



# SALES SUMMARY & FACILITY DATA

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# *Sales Summary:*

## **Sales Summary—the Authority**

### **30 CFR §210.10(c)(21) and 30 CFR §210.202**

Sales summaries are part of the information collections required by the Minerals Management Service (MMS). The information collection associated with the sales summaries, facility data, and sales contracts have been approved by OMB under 44 U.S.C. 3501 *et seq.* The information required on the sales summary and other required reporting forms is collected by the Department of the Interior to meet its congressionally mandated accounting and auditing responsibilities relating to Federal and Indian mineral royalty management.

Lessees are required to submit sales summaries in accordance with the statutory authority stated above. Subsection 210.10 explains who must report and why reporting must be done. Subsection 210.202 details what must be submitted.

MMS uses both the sales summary and facility data together with the Production & Royalty Report (MMS-4430) (P&R Report) and other tools and documentation, such as sales contracts, in the end-to-end compliance review process to verify that the volume and value of Federal and Indian solid minerals sold, and the royalties on such minerals, were reasonably computed, reported and paid to MMS as required by applicable Federal laws, regulations, and lease terms.

## **About the Sales Summary**

The sales summary details each purchaser sale; you must submit a sales summary for sales from each mine site. Sales summaries are submitted monthly and due at the same time you submit the P&R Report. The data you submit must account for 100 % of your product sales, and must include all leases with ad valorem royalty terms (royalty is calculated as a percentage of the value of production). For leases with non- ad valorem royalty terms (the royalty due is not a function of the value of production, as in cents-per-ton or dollars-per unit), you must submit monthly sales summaries only if we specifically request them. You do not need to submit a sales summary for those months in which you do not sell any Federal or Indian production.

You may use your own internal document and format to report sales summary data (we prefer Excel files), rather than using a government form. The only requirement is that you must report certain data elements, outlined later in this section. All sales summary data must be submitted electronically to the Ruby Mailbox at **rubymailbox@mms.gov**.

Sales summaries must be submitted for any remote storage sites from which you sell Federal or Indian solid minerals. If you sell from five or fewer remote storage sites, you must submit a sales summary for each site. If you sell from more than five remote storage sites, you may total the data from all sites and submit the summarized data as one sales summary.

## **Required Data**

Use this table to determine the timeframes for submitting sales summaries and the data elements you must include in your submission.

Data element	Coal	Sodium/potassium	Western phosphate	Metals	All other leases with ad valorem royalty terms	All other leases with no ad valorem royalty terms
(i) Purchaser Name or Unique Identification.	Monthly .....	Monthly .....	Monthly .....	Monthly .....	Monthly .....	As Requested.
(ii) Sales Units .....	Monthly .....	Monthly .....	Monthly .....	Monthly .....	Monthly .....	Monthly.
(iii) Gross Proceeds	Monthly .....	Monthly .....	Not Required .....	Monthly .....	Monthly .....	Not Required.
(iv) Processing or washing costs.	Monthly .....	Monthly .....	Not Required .....	Monthly .....	Monthly .....	Not Required.
(v) Transportation costs.	Monthly .....	Monthly .....	Not Required .....	Monthly .....	Monthly .....	Not Required.
(vi) Name of product type sold.	Not Required ..	Monthly .....	Not Required .....	Monthly .....	Monthly .....	As Requested.
(vii) Btu/lb .....	Monthly .....	Not Required ..	Not Required .....	Not Required ..	Not Required ...	Not Required.
(viii) Ash % .....	Monthly .....	Not Required ..	Not Required .....	Not Required ..	Not Required ...	Not Required.
(ix) Sulfur % .....	Monthly .....	Not Required ..	Not Required .....	Not Required ..	Not Required ...	Not Required.
(x) lbs SO2 .....	Monthly .....	Not Required ..	Not Required .....	Not Required ..	Not Required ...	Not Required.
(xi) Moisture % .....	Monthly .....	Not Required ..	Monthly .....	Not Required ..	Not Required ...	Not Required.
(xii) By-product Units	Not Required ..	As Requested	Monthly .....	As Requested	As Requested ..	Not Required.
(xiii) P2O5 % .....	Not Required ..	Not Required ..	Monthly .....	Not Required ..	Not Required ...	Not Required.
(xiv) Size .....	Not Required ..	Not Required ..	Not Required .....	Not Required ..	As Requested ..	Not Required.
(xv) Net Smelter Return data.	Not Required ..	Not Required ..	Not Required .....	Monthly .....	Not Required ...	Not Required.
(xvi) Other Data e.g., Royalty Calculation Worksheet.	As Requested	Monthly .....	As Requested .....	As Requested	As Requested ..	As Requested.

The sales summary data are an end-of-month snapshot of your sales totals that we compare to the originally submitted P&R Report as part of our mine-level compliance review. Do not submit revisions or adjustments to your sales summary, as our comparisons are made net of any adjustments. Do not add adjustments to a prior month's sales in the current month's sales summary.

If a sales summary with adjustments must be submitted, please ensure that any adjustments are identifiable from sales in the current month. If we cannot differentiate the adjustments, we may ask you to resubmit that report. Include the effect of any discounts, rebates, and exchanges.

Any transportation or washing allowances claimed (deducted) on the P&R Report must be reflected on the sales summary. Individual sales must be broken down into product proceeds and deductible transportation or washing costs.

Sodium and potassium producers must differentiate sales by foreign and domestic customers. Sales must also be differentiated by bagged versus bulk sales of the same product. Different delivery points to the same purchaser also must be line itemized.

## ***Facility Data:***

### **Facility Data– the Authority**

#### **30 CFR §210.10(c)(19) and 30 CFR §210.204**

Facility data is a part of the information collection required by MMS and approved by OMB under 44 U.S.C. 3501 *et seq.* The information required on the facility data and other required reporting forms is collected by the Department of the Interior to meet its congressionally mandated accounting and auditing responsibilities relating to Federal and Indian mineral royalty management.

Some payors are required to submit facility data in accordance with the statutory authority stated above. Subsection 210.10 explains who must report and why reporting must be done. Subsection 210.204 details what must be submitted.

Facility data is compared with the P&R Report, sales summary data, and other tools and documentation such as sales contracts, in the mine-level compliance process to verify that the volume and value of Federal and Indian solid minerals sold, and the royalties on such minerals, were reasonably computed, reported and paid to MMS as required by applicable Federal laws, regulations, and lease terms.

### **About Facility Data**

Facility data tracks the process of converting raw production into marketable products prior to sale. These data must be submitted monthly by operators of washing, refining, ore concentration, or other processing facilities for any coal, sodium, potassium, metals, or other solid minerals produced from Federal or Indian leases with ad valorem royalty terms. You must report on a facility regardless of whether it is on or off the lease.

You do not have to submit facility data for those months in which you do not process solid minerals produced from Federal or Indian leases and do not have any such minerals in a stockpile inventory.

You must include in your facility data all production processed in the facility from all properties within your mining operation(s). This includes State and fee production, as well as production from Federal and Indian leases (fee data may be aggregated).

All facility data must be submitted electronically to the Ruby Mailbox at **[rubymailbox@mms.gov](mailto:rubymailbox@mms.gov)**.

## **Required Data**

You may use your own internal document and format to report facility data (we prefer Excel files), rather than using a government form. The only requirement is that you must report certain data elements:

- Identification of facility
- Mines served
- Input quantity
- Input quality or ore grade (except for coal)
- Output quantity
- Output quality or product grades

The following producers must submit facility data:

- Clean/blended coal producers
- Metals producers
- Sodium/Potassium producers

It is essential to clearly report the movement of materials from the mine to the facility output.

## **Why is Facility Data Needed?**

The Bureau of Land Management (BLM) as well as MMS uses facility data to ensure that all production is accounted for and reported. MMS is the central repository for this information and BLM is authorized to view facility data. You are not required to send this data directly to BLM.

MMS also uses the data to assure that Federal or Indian leased processed production (the output of process plants) is consistent with the input of raw production. MMS uses facility data to ensure that the P&R Report sales volumes and values are properly allocated to Federal and Indian leases, and that contract specifications are followed (i.e., Btu minimums).

If there are any changes or corrections to a previously submitted facility data report, you must submit an updated report. Ensure that any adjustments or corrections are clearly line itemized in the updated facility data.

## **File Naming Convention for Sales Summary and Facility Data Electronic Submittals**

You must e-mail your monthly facility data as an attachment in an e-mail to **rubymailbox@mms.gov**. Use “Solids Reports” in the subject line of the e-mail message. The naming convention for the attachment (the data file) must follow the following format (be sure to include the underscores):

Sales summary submission: S1\_XXXXXXXX\_MAXXX\_MOYEAR\_ST.ext

Facility data submission: F1\_XXXXXXXX\_MAXXX\_MOYEAR\_ST.ext

### **S1/F1**

Sales summary or facility data:

S – Sales summary

F – Facility data

1 – Identification for each separate sales or facility location. This number must be incremented sequentially and be uniform (the same assigned number always associated with the same facility or sales point each month.) If submitting an updated report for an already submitted month, please let us know in your e-mail to the Ruby Mailbox. Do not increment this number.

### **XXXXXXXX**

The 8-digit mine number.

### **MAXXX**

The 5-character Customer ID.

### **MOYEAR**

The 2-digit month and 4-digit year the report is for.

### **ST**

The 2-character U.S Postal Service state abbreviation code.

For mines on Indian property, the appropriate code below (use instead of a state code):

CR – Crow Tribe (Absaloka mine)

HN – Hopi and Navajo Tribes (Black Mesa and Kayenta mines)

NN – Navajo tribe (Navajo mine)

NX – Navajo tribe and New Mexico (McKinley mine)

PL – Pyramid Lake Paiute tribe (Paiute Pit)

SX – Tohono O’odham (Mission mine)

## **Ext**

The extension for the program format in which the file was created (e.g.; .xls for Excel files). If you are sending an Access file, you will need to name the file .txt rather than .mdb. This is the only way that our security software will allow us to receive Access files. Notate in your e-mail that you are sending an Access file, and we will rename it to .mdb.

## **Reporting File Formats for Sales Summary and Facility Data Electronic Submittals**

If you use non- Microsoft Office software, contact your software company to determine which Office program your file can be associated with. We will work with you to ensure we can read your submission.

Password protect your file with the password supplied by MMS staff. All passwords are case sensitive. Please ensure that you have typed your password exactly as provided.

You can zip one or multiple files in your submission. (Zipping is the process of compressing large files.) Do not password protect the zip file. You may submit a combination of sales summaries and facility data if you wish. Using the proper naming convention will ensure that MMS accurately identifies your files.

### ***Zip File Name***

If you have only one data file to submit, you may name the zipped file the same as the data file. If you are zipping multiple files into one zip file, use a name that is meaningful and which we can easily identify with your submissions. Do not use generalizations such as, Reports.zip, January 2002.zip, or Sales Summaries.zip, as other reporters may use these same filenames. Do not password protect the zipped file.

### ***Zipping one File***

There are different ways to locate the file(s) you intend to zip. The easiest way to find your files is through the Explorer.

- Open the Explorer and locate the file
- Click once on the file to be zipped. After selecting the desired file, it will appear highlighted or darkened.
- While positioning the cursor inside the highlighted area, right click for a drop down menu to appear. You can also access this drop down menu by clicking on the File button on the toolbar.
- Position the cursor on WinZip. Another sub-menu will appear.
- Click on the 'Zip and E-mail Plus' button. A pop up box will appear.
- You may opt to click on the:
  - 'Use the Name .....' button (zip filename will default to the same name as the data file); or,

- 'Use this Name' button allowing you to type in your own zip filename (do not type in a .zip after the name, the system will do this automatically).
- A pop up box will appear named 'Choose Profile'.
- Make sure that Outlook appears in the Profile Name.
- Click on the 'OK' button. You will then be taken to Outlook where the zip file will automatically appear as an attachment.
- Your report is now ready to send to the Ruby Mailbox.

***Zipping Multiple Files:***

- Open the Explorer and locate the file
- Hold down the Ctrl button and click on all the files to be zipped. After selecting the desired files, they will appear highlighted or darkened.
- While positioning the cursor inside the highlighted area, right click for a drop down menu to appear. You can also access this drop down menu by clicking on the File button on the toolbar.
- Position the cursor on WinZip. Another sub-menu will appear.
- Click on the 'Zip and E-mail Plus' button. A pop up box will appear.
- Click on the 'Use this Name' button allowing you to type in your own zip filename (do not type in a .zip after the name, the system will do this automatically).
- A pop up box will appear named 'Choose Profile'.
- Make sure that Outlook appears in the Profile Name.
- Click on the 'OK' button. You will then be taken to Outlook where the zip file will automatically appear as an attachment.
- Your report is now ready to send to the Ruby Mailbox.

***Duplicate Submissions***

There may be times when you are unsure if we have received your submission. Do not resend the report; first call us at (303) 231-3365. To avoid duplicate submissions of data, check the "Request a Read Receipt for this Message box", under the Options button in Outlook before sending. You will receive an automated confirmation that we have received your file once we open it.