

## 1.5 Notification and Record Keeping

- (a) Any owner or operator subject to the provisions contained herein shall furnish the Director written notification or, if acceptable to both the Director and the owner or operator of a source, electronic notification of the date upon which demonstration of the continuous monitoring system performance commences in accordance with Section 1.3. The notification shall be postmarked (received if electronic) not less than 30 days prior to such date.
- (b) Any owner or operator subject to the provisions contained herein shall maintain records of the occurrence and duration of any startup, shutdown, or malfunction in the operation of an affected facility; any malfunction of the air pollution control equipment; or any periods during which a continuous monitoring system or a monitoring device is inoperative.
- (c) Each owner or operator which is required by any applicable requirement to install and operate a continuous monitoring system (CMS) or monitoring device and to report the results, shall submit a report of excess emissions, exceedances or excursions and monitoring systems performance (excess emissions, exceedance(s) or excursion(s) are defined in applicable source categories, permits or regulations), and a summary report form [see paragraph (d) of this section] to the Director for every calendar quarter, except when: more frequent reporting is specifically required by an applicable source category; the Director, on a case-by-case basis, determines that more frequent reporting is necessary to accurately assess the compliance status of the source; or less frequent or modified reporting is specifically specified by the Director. All reports shall be postmarked by the 30th day following the end of each calendar quarter. The above required reports shall include the following information:
- (1) The magnitude of excess emissions, exceedance(s), or excursion(s) computed in accordance with Section 1.4, any conversion factor(s) used, and the date and time of commencement and completion of each time period of excess emissions, exceedance(s) or excursion(s). The process operating time during the reporting period.
  - (2) Specific identification of each period of excess emissions, exceedance(s), or excursion(s) that occurs during startups, shutdowns, and malfunctions of the affected facility. The nature and cause of any malfunction (if known), the corrective action taken or preventative measures adopted.
  - (3) The date and time identifying each period during which the continuous monitoring system was inoperative except for zero and span checks and the nature of the system repairs or adjustments.
  - (4) When no excess emissions, exceedance(s), or excursion(s) have occurred or the continuous monitoring system(s) or monitoring device have not been inoperative, repaired, or adjusted, such information shall be stated in the report.
  - (5) As used in these **Procedures For Testing and Monitoring Sources of Air Pollutants**, or as used in any requirements of or pursuant to the provision of Chapter 391-3-1.02(6) including conditions of permits to operate or construct issued in accordance with those Rules, the terms excess emission, exceedance and excursion shall have the following meanings:

*Excess emissions* shall mean: any condition that is detected by monitoring or record keeping which is specifically defined, or stated to be, *excess emissions* by an applicable requirement.

*Exceedance* shall mean: any condition that is detected by monitoring or record keeping that provides data in terms of an emission limitation or standard and that indicates that emissions (or opacity) do not meet the applicable emission limitation or standard consistent with the averaging period specified for averaging the results of the monitoring.

*Excursion* shall mean: any departure from an indicator range or value established for monitoring consistent with any averaging period specified for averaging the results of the monitoring.
- (d) The summary report form shall contain the information and be in the format shown in Figure 1,

unless otherwise specified by the Director. One summary report form shall be submitted for each pollutant monitored at each affected facility.

- (e) (1) Notwithstanding the frequency of reporting requirements specified in paragraph <sup>©</sup> of this section, an owner or operator who is required by any applicable requirement to submit reports of excess emissions, exceedances, or excursions and monitoring systems performance (and summary reports) on a quarterly (or more frequent) basis may reduce the frequency of reporting for that standard to semiannual if the following conditions are met:
    - (i) For 1 full year (e.g., 4 quarterly or 12 monthly reporting periods) the affected facility's reports of excess emissions, exceedances, or excursions and monitoring systems performance submitted to comply with any applicable requirement continually demonstrate that the facility is in compliance with the applicable requirement;
    - (ii) The owner or operator continues to comply with all record\_keeping and monitoring requirements; and
    - (iii) The Director does not object to a reduced frequency of reporting for the affected facility, as provided in paragraph (e)(2) of this section.
  - (2) The frequency of reporting of excess emissions, exceedance(s), or excursions(s) and monitoring systems performance (and summary) reports may be reduced only after the owner or operator notifies the Director in writing of his or her intention to make such a change and the Director does not object to the intended change. In deciding whether to approve a reduced frequency of reporting, the Director may review information concerning the source's entire previous performance history during the required record keeping period prior to the intended change, including performance test results, monitoring data, and evaluations of an owner or operator's conformance with operation and maintenance requirements. Such information may be used by the Director to make a judgment about the source's potential for noncompliance in the future.
  - (3) As soon as monitoring data indicate that the affected facility is not in compliance with any emission limitation or operating parameter specified in the applicable standard, the frequency of reporting shall revert to the frequency specified in §1.5<sup>©</sup> of this section, and the owner or operator shall submit a report of excess emissions, exceedances or excursions and monitoring systems performance (and summary report, if required) at the next appropriate reporting period following the nonconforming event. After demonstrating compliance with the applicable emission limitation or operating value or range for another full year, the owner or operator may again request approval from the Director to reduce the frequency of reporting for that emission limitation or operating value or range as provided for in paragraphs (e)(1) and (e)(2) of this section.
- (f) Any owner or operator subject to the provisions of these Procedures shall maintain a file of all measurements, including continuous monitoring system, monitoring device, and performance testing measurements; all continuous monitoring system performance evaluations; all continuous monitoring system or monitoring device calibration checks; adjustments and maintenance performed on these systems or devices; and all other required information recorded in a permanent form suitable for inspection. The file shall be retained for five years following the date of such measurements, maintenance reports, and records, except as follows:
    - (1) This paragraph applies to owners or operators required to install a continuous emissions monitoring system(CEMS) where the CEMS installed is automated, and where the calculated data averages do not exclude periods of CEMS breakdown or malfunction. An automated CEMS records and reduces the measured data to the form of the pollutant emission standard through the use of a computerized data acquisition system. Unless prescribed otherwise by the Director, in lieu of maintaining a file of all CEMS subhourly measurements as required under paragraph (f) of this section, the owner or operator shall retain the most recent consecutive three averaging periods of subhourly measurements and data acquisition system algorithm used to reduce the measured data into the reportable form of the standard.
    - (2) This paragraph applies to owners or operators required to install a CEMS where the

measured data is manually reduced to obtain the reportable form of the standard, and where the calculated data averages do not exclude periods of CEMS breakdown or malfunction. Unless otherwise prescribed by the Director, in lieu of maintaining a file of all CEMS subhourly measurements as required under paragraph (f) of this section, the owner or operator shall retain all subhourly measurements for the most recent reporting period. The subhourly measurements shall be retained for 120 days from the date of the most recent summary or report of excess emissions, exceedances, or excursions and monitoring system performance as prescribed in Section 1.5, submitted to the Director.

(3) The Director, upon notification to the source, may require the owner or operator to maintain all measurements as required by paragraph (f) of this section if the Director determines these records are required to more accurately assess the compliance status of the affected source.

(g) [Reserved]

(h) Individual sub-sections of this text may include specific provisions which clarify or make inapplicable the provisions set forth in this section.

**FIGURE 1**

**SUMMARY REPORT - EXCESS EMISSIONS, EXCEEDANCE, OR EXCURSION  
 AND MONITORING SYSTEM PERFORMANCE**

Pollutant \_\_\_\_\_ (OR, circle one - SO<sub>2</sub>/NO<sub>x</sub>/TRS/H<sub>2</sub>S/CO/Opacity/VOC)

Reporting period dates: From \_\_\_\_\_ to \_\_\_\_\_

Company: \_\_\_\_\_ Emission Limitation \_\_\_\_\_

Address: \_\_\_\_\_

Monitor Manufacturer and Model No. \_\_\_\_\_

Date of Latest CMS Certification or Audit \_\_\_\_\_

Process Unit(s) Description: \_\_\_\_\_

Total source operating time in reporting period \_\_\_\_\_<sup>1</sup>

Emission Data <sup>1</sup>	CMS Performance Summary <sup>1</sup>
1. Duration of excess emissions exceedance, or excursion in reporting period due to: <ul style="list-style-type: none"> <li>a. Startup/shutdown _____</li> <li>b. Control equipment problems _____</li> <li>c. Process problems _____</li> <li>d. Other known causes _____</li> <li>e. Unknown causes _____</li> </ul> 2. Total duration , or number of excess emission, exceedance or excursion _____	1. CMS downtime in reporting period due to: _____ <ul style="list-style-type: none"> <li>a. Monitor equipment malfunctions _____</li> <li>b. Non-Monitor equipment malfunctions _____</li> <li>c. Quality assurance calibration _____</li> <li>d. Other known causes _____</li> <li>e. Unknown causes _____</li> </ul> 2. Total CMS Downtime _____
3. Total duration or number (from 2 above) x (100) [Total source operating time] _____ %	3. [Total CMS Downtime] x (100) [Total source operating time] _____ %

On a separate page, describe any changes since last quarter in CMS, process or controls. \_\_\_\_\_

I certify that the information contained in this report is true, accurate, and complete. \_\_\_\_\_

\_\_\_\_\_  
 NAME SIGNATURE TITLE DATE

<sup>1</sup>For opacity, record all times in minutes. For gases, record all times in hours. For other, please specify.