

NEW YORK STATE  
DEPARTMENT OF ENVIRONMENTAL CONSERVATION  
Division of Air Resources

***INSTRUCTIONS FOR COMPLETING ANNUAL COMPLIANCE CERTIFICATION  
AND  
SEMIANNUAL MONITORING REPORTS***

Use the format presented in the attached pages to submit compliance certifications with permit terms and conditions on an annual or more frequent basis or to submit semiannual or more frequent monitoring reports as required by your Title V operating permit. In each case, a responsible official must certify the truth, accuracy, and completeness of all information that is submitted on the form (and any attachments).

**CERTIFICATION OF TRUTH, ACCURACY AND COMPLETENESS**  
(Must be used for any document submittals requiring a certification statement.)

Complete the cover page for each report to identify the facility and the reporting period covered by the report. The responsible official must certify that the information submitted on the form (and attachments) is true, accurate, and complete.

**Facility Information:**

Enter the report type (Annual Compliance, Semiannual Monitoring, etc.)

Enter the beginning and ending dates for the reporting period covered by this form. The dates shall be assumed to begin and end at midnight local time.

Enter the DECID number of the permit.

Enter the facility name as printed on your permit. Do not use a colloquial or abbreviated name. Enter the complete mailing address for the facility and the name, telephone number, and facsimile number (if desired) for the contact person. The contact person should be a person familiar with the day-to-day operation of the facility, such as a plant site manager or other individual, who is available to be contacted by the Department.

**Responsible Official Certification:**

This section should be completed once and submitted with each set of documents (forms and attachments) sent to the Department. A responsible official must sign and date the certification of truth, accuracy and completeness. The definition of a responsible official can be found in 40 CFR Section 70.2. Provide the name, title, address, telephone number, and, if desired, the facsimile machine number for the responsible official. This should be done after all application forms are complete and the responsible official has reviewed the information.<sup>1</sup>

## ANNUAL COMPLIANCE REPORT FORM

Use the compliance certification form to report the compliance status and the methods (or other means) used to determine compliance with each permit term and condition. Copy this page as many times as necessary to cover all permit terms and conditions.

Identify each individual permit term and condition. The term “individual permit term and condition” used here refers to each unique permit requirement. Permit requirements include emissions limitations, control equipment requirements, work practice standards, monitoring, recordkeeping and reporting, and any other obligation of the source contained in the permit conditions.

### **Condition Number**

Enter the permit condition number as shown in the permit.

### **Applicable Requirement**

Enter the regulatory citation for this condition.

### **Permit Level**

Indicate the level in the permit at which this condition applies (facility, emission unit, process, emission source, emission point).

### **Description of Requirement**

Briefly describe the requirement in the condition. If the requirement is expressed as a numerical limitation or range of values, the description should identify that limit.

### **Compliance Status of Each Permit Term and Condition:**

Indicate compliance status for each permit condition in the column provided by writing either “Intermittent” or “Continuous.” For annual compliance certification purposes, you must indicate compliance status for each permit condition on the basis of its compliance with the specific requirements of the condition throughout the reporting period.

It is possible for you to certify to continuous compliance, provided you collect the monitoring data consistent with the permit, the data show no deviations or that there are deviations but they are all excused by the permit, and you know of no other material information (or “credible evidence”) that would lead you to a different compliance status conclusion. For the data to be collected consistent with the permit, you would have to collect them consistent with any permit terms concerning the collection of the data.

### **Methods Used to Determine Compliance:**

Report the compliance methods (or other means) you used to determine compliance status for each permit term or condition during the reporting period. Compliance methods may include monitoring (instrumental and non-instrumental), recordkeeping and reporting requirements, test methods, or other methods or means required by the permit, or that constitute material information.

To describe *monitoring methods* to determine compliance, indicate the type of monitoring device, the

parameter or air pollutant being monitored, the averaging time, the monitoring frequency or the period over which the monitoring occurred, and include cross-reference or citation to the permit condition that requires the monitoring (using the numbering system established in the permit). An example of a description for monitoring methods required by the permit might be: “Hourly averages of SO<sub>2</sub> concentration using Method 19 CEMS, data collected over last 12 months, as required by permit condition 102.3.

For *recordkeeping methods* used to determine compliance (whether they constitute non-instrumental monitoring or they are merely the records of monitoring methods), describe the records kept, the frequency of record collection, the frequency or dates when recordkeeping occurred, and include cross-reference or citation to the permit condition that requires the recordkeeping. An example of an adequate description for recordkeeping methods required by the permit might be: “Records of visual determination of opacity recorded at noon each day over the last 12 months, required by permit condition 58.1.”

For *reporting methods* used to determine compliance, describe what was reported, the frequency or dates when reporting occurred, and include a cross-reference or citation to the permit condition that requires the reporting. An example of an adequate description for reporting methods used to determine compliance that are required by the permit might be: “Reports of daily records of visual determination of opacity, submitted on 1/31 and 7/31 of each year as part of the 6 month monitoring report, required by permit condition 72.4.”

### **Deviations**

In this column choose yes or no to state whether any deviations from the requirements of the permit condition occurred during the reporting period. If “yes,” the “Summary of Deviations” form must be attached. This part of the certification may use copies of the deviation summaries from the semi-annual reports submitted during the report period covered in the certification.

## SEMI-ANNUAL MONITORING REPORT

Use this form to summarize all monitoring activities on a 6-month or more frequent basis as required by your Title V operating permit. In addition, any separate monitoring reports that may have been required during this time period by any specific applicable requirements in your permit should be referenced.

Monitoring required in Title V operating permits includes monitoring required by applicable requirements, periodic monitoring established for the first time in the permit, and, as necessary, requirements concerning the use, maintenance, and where appropriate, installation of monitoring equipment or methods. [See 40 CFR § 71.6(a)(3)(i)(A), (B), and (C).] Monitoring can also be generally defined as the collection and use of measurement data or other information to control or document the proper operation of a process or a pollution control device, or to assure compliance with applicable requirements (such as emissions limitations and standards, control equipment standards, work practice standards, and other requirements under the Clean Air Act). Monitoring may include instrumental or non-instrumental methods, including periodic inspections, visual observations, work practice checks, and recordkeeping related to documenting that an action has been taken or that a permit requirement has been met. Some examples of monitoring include continuous emissions monitoring, periodic readings of parameters related to operating conditions, stack tests using EPA reference test methods, vendor or laboratory analytical testing, and manual inspections that include the recording of process conditions or work practices.

### **Condition Number**

Enter the condition number as shown in the permit.

### **Applicable Requirement**

Enter the regulatory citation for this condition.

### **Level**

Indicate the level in the permit at which this condition applies (facility, emission unit, process, emission source, emission point).

### **Description of Requirement**

Briefly describe the requirement in the condition.

### **Description of Monitoring Data and Analysis Required by the Permit**

Provide a description that is appropriate to the required monitoring in terms of the date and place as defined in the permit, and time of sampling or measurements, the date(s) analyses were performed, the company or entity that performed the analyses, the analytical techniques or methods used including quality assurance and quality control procedures if required, the results of such analyses including quality assurance data where required and the operating conditions as existing at the time of sampling or measurement.

### **Deviations**

State in this column (yes or no) whether any deviations from the requirements of the permit condition occurred during the reporting period. If yes, the "Summary of Deviations" form must be attached. This part of the certification may use copies of the deviation summaries from the semi-annual reports

submitted during the report period covered in the certification.

**Separate Reports**

Use this column to indicate whether a separate report required by any specific applicable requirements in your permit is attached. If separate reports are indeed attached, then include the date on which that report is due.

## SUMMARY OF DEVIATIONS FROM PERMIT REQUIREMENTS

Use the Summary of Deviations to report all deviations from permit terms and conditions that occurred during the reporting period. This form may be used for both the Annual Compliance Certification and the Semiannual Monitoring Reports. Copy this page as many times as necessary to report all deviations.

### **Condition Number**

Enter the permit condition number as shown in the permit.

### **Applicable Requirement**

Enter the regulatory citation for this condition.

### **Permit Level**

Indicate the level in the permit at which this condition applies (facility, emission unit, process, emission source, emission point).

### **Description of Deviation**

Describe the deviation (i.e., “emissions exceeded limitation of 6 ppm for NO<sub>x</sub>”). Include the beginning and ending time of the period(s) over which the deviation occurred. Although each 24-hour period of deviation is considered a separate deviation, you may indicate continuous periods of deviation that span multiple days in a single entry.

### **Probable Cause of Deviation**

Briefly explain the probable cause of the deviation from the permit requirements, if known. Examples of entries include “operator error” or “mechanical failure.” Be as specific as possible.

### **Corrective/Preventative Actions Taken as a Result of the Deviation**

If any corrective actions or preventative measures were taken to avoid future, similar deviations, briefly explain them in this column. Examples of possible entries include “trained operator on proper operation of control devices” or “repaired defective equipment and will perform routine maintenance on an accelerated schedule.” If known, include dates when such actions or measures were taken or will be taken in the future.

### **Date of Written Notification**

Enter the date that any written report was first submitted for the referenced deviation, if required (i.e. notification of accidental or emergency releases).

**CERTIFICATION OF TRUTH, ACCURACY AND COMPLETENESS**

Report Type: \_\_\_\_\_ Reporting Period: \_\_\_\_\_ To \_\_\_\_\_

DECID: \_\_\_\_\_

Facility Name: \_\_\_\_\_

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

\_\_\_\_\_

\_\_\_\_\_

**FACILITY CONTACT:**

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Telephone: \_\_\_\_\_

**RESPONSIBLE OFFICIAL:**

Name: \_\_\_\_\_

Title: \_\_\_\_\_

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

\_\_\_\_\_

\_\_\_\_\_

Telephone: \_\_\_\_\_

***The Responsible Official must sign this statement after the applicable report form is completed.***

I certify, under penalty of law, that based on information and belief formed after reasonable inquiry, the statements and information contained in these documents are true, accurate and complete.

Signature of Responsible Official: \_\_\_\_\_

Date: \_\_\_\_\_

# ANNUAL COMPLIANCE REPORT

Condition Number	Applicable Requirement	Permit Level	Description of Requirement	Compliance status Continuous or Intermittent	Methods used to determine compliance	Deviations Y/N

# SEMI-ANNUAL MONITORING REPORT

Condition Number	Applicable Requirement	Permit Level	Description of Requirement	Description of Monitoring Data and Analysis Required by Permit	Deviations? Y/N	Separate Report? Date

# SUMMARY OF DEVIATIONS FROM PERMIT REQUIREMENTS

Condition Number	Applicable Requirement	Permit Level	Description of Deviation	Probable Cause of Deviation	Corrective/Preventative Action Taken as a Result of the Deviation	Date of Written Notification