

# **Air Certification and Emissions Electronic Reporting (ACE) Manual**

## **Air Certification Electronic Reporting**

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## Appendices

## Disclaimer

Use of ACE requires prior application to and registration with NYSDEC. The application can be found and downloaded at <http://www.dec.ny.gov/chemical/4754.html>.

Once the application to use the Air Certification and Emissions electronic reporting system (ACE, also known as ACE E-reporting) is accepted by New York State Department of Environmental Conservation (NYSDEC) Division of Air (DAR), users are granted the rights to ACE and given a unique ACE password and identification. This information should be kept private and secure. Abuse or misuse of the system will automatically remove the applicant's rights to use the system.

## Introduction

This Air Compliance and Emissions (ACE) manual is a work in progress. It was created to provide approved Title V users with step by step instruction when using ACE to complete compliance certification reports. We welcome any suggestions, comments or recommendations regarding improving the content of the manual. Please send your suggestions to [ereport@gw.dec.state.ny.us](mailto:ereport@gw.dec.state.ny.us).

ACE is a data transfer system. This means that submitting a report through ACE does not guarantee that the submittal is complete, correct or timely. DAR reviews all reports and issues the final compliance determination.

Organizationally, the following instructions for ACE are separated into in Section I and Section II. **Section I is for the first time user. Section II is for the return user**, or on-going user. Section II provides problem-solving instructions.

Each Section is arranged by role. **The role order for both sections is:**

Compliance Certification Editor (CCE)/Emission Statement Editor (ESE) initially enter the data and use the program most frequently.

Compliance Certification/Emission Statement Reviewer (CCR/ ESR)

Responsible Official (RO) makes the final submission.

## Authorized Users and Roles

Authorized users are all ACE users approved through the application process. All authorized users have roles assigned to them by the Title V facility owner and/ or operator during the application process. The roles are:

### Compliance Certification Editor (CCE)

The CCE is an Authorized User who enters and edits the data for compliance reports. The RO may also fulfill the role of and complete the tasks of a CCE.

### Emission Statement Editor (ESE)

The ESE is an Authorized User who enters and edits the data for emission statements. The RO may also fulfill the role of and complete the tasks of an ESE.

### Compliance Certification/Emission Statement Reviewer (CCR/ ESR)

The CCR and/ or ESR is an Authorized User assigned 'read only' access to ACE in order to inspect data for accuracy. The Reviewer role is not a required role however DAR highly recommends that a Reviewer also be assigned.

### Responsible Official (RO)

The RO is a required Authorized User role. A facility must have at least one RO (there can be multiple ROs) on record with DAR for the ACE system at all times. Without an authorized RO, a facility cannot submit a report.

The authorized RO is any person(s) who performs policy or decision-making functions and is authorized to legally bind a corporation, partnership, sole proprietorship or government entity that operates a facility subject to the provisions of 6 NYCRR 201-2(b)(28).

The authorized RO is

1. Able to enter or edit data, fulfilling the function of a CCE or/and ESE
2. The only person who can submit work,
3. Is legally responsible for the accuracy of all information in the form, and
4. Is the only person with authority to submit compliance certification reports or emission statements.

## Personnel Changes

At any time, a Title V facility can contact DAR and submit an application to update or change an ACE Authorized User or their role.

Requests to change or update existing Authorized Users or roles of CCE, ESE, CCR or ESR status can be done electronically using an email template. The email template is accessed by the following steps,

1. Logon,
2. Go to the 'My Facilities' screen,
3. Select a facility which takes the user to the 'Facility' screen,
4. On the 'Facility' screen the user will select the 'Need to add/modify user account?' option listed at the bottom left side of the screen,
5. The 'User Account Modification Request' screen provides an email template. Use this template to send a request to DAR to start the modification process.

The authorized RO is the only required role. There must always be at least one authorized RO entered in the system at all times for a facility.

Requests to change or update an existing RO can only be done by informing DAR of the intent to change the RO, then completing and submitting a new application for the new RO in hard copy to DAR for authorization. The application is found at <http://www.dec.ny.gov/chemical/4754.html>.

DAR must accept and authorize the new RO user request before changes in the existing authorized RO will be allowed. To avoid potential submission delays, a facility may choose to assign more than one RO.

## **Section 1.0** **Getting Started/Initial Editing**

Each new Authorized User receives an initial confirmation email from DAR with the correct web address, a user name and password. This information should be kept private and secure. Abuse or misuse of the system will automatically remove the applicant's rights to use the system.

If you have not received your user name and password, or if you experience any problem with ACE that you cannot resolve please contact DAR's Air Facility Systems (AFS) Administrator by email at [ereport@gw.dec.state.ny.us](mailto:ereport@gw.dec.state.ny.us) or phone at 1-518-402-8401.

***Note: Initially, all users follow the same sequence of steps through Step 4 for both Compliance Certification and Emissions Inventory reporting. At Step 3 the user decides to work on either Compliance or Emissions reports.***

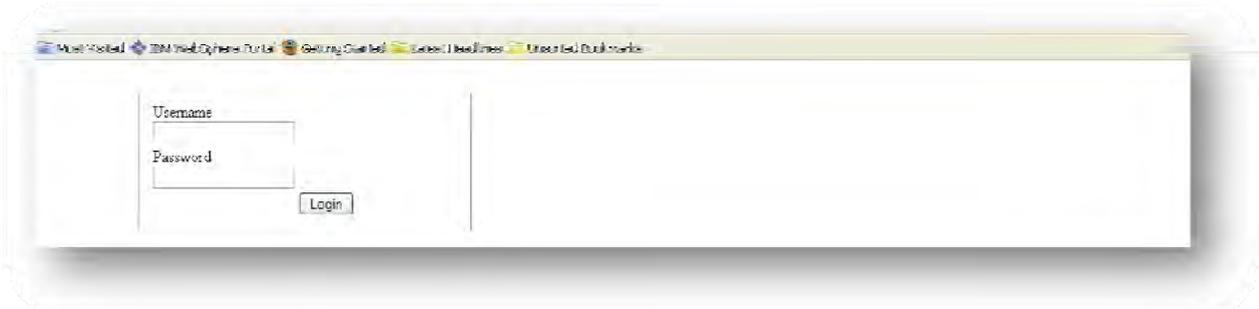
### **Section 1.0.1** **All Authorized Users**

NOTE: ACE closes out after 20 consecutive minutes of inactivity. The user is prompted to sign back in.

**Step 1: Logon** (Picture 1).

Go to the web address provided in the initial confirmation email from DAR to access initial login page for ACE.

Picture 1



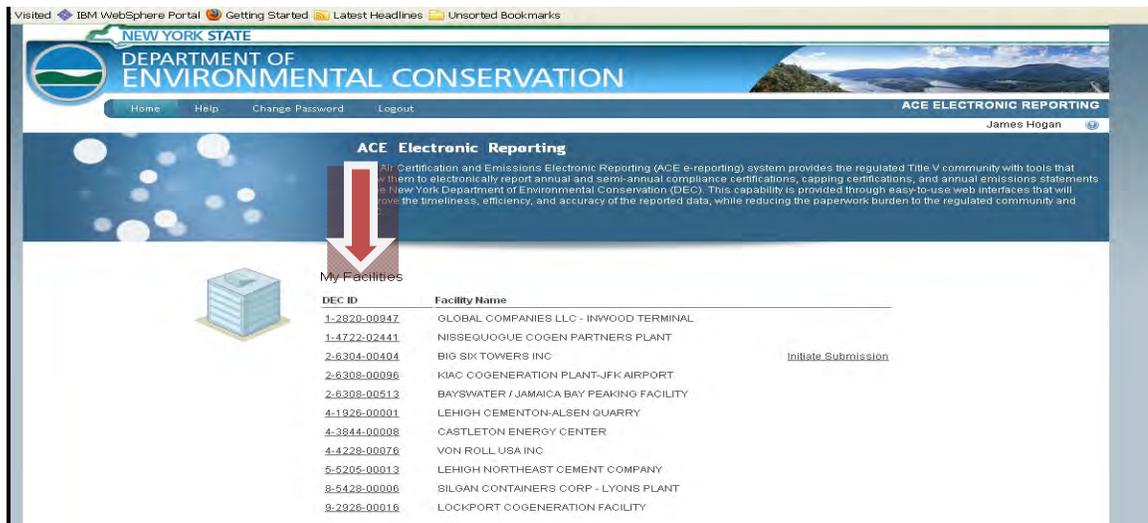
An Authorized first time User completes the login using the user name and password provided in the confirmation email from DAR, is prompted to change the initial password and will use the new password to enter ACE in the future.

Entering the new password takes the user to the 'My Facilities' screen which lists the facility names and DEC ID#s associated with that user (Picture 2).

The 'My Facilities' screen is the program default page. A user automatically returns to this page after using the 'Help' option in the menu found under the Department logo.

## Step 2: Select the DEC ID of the facility (Picture 2).

Picture 2

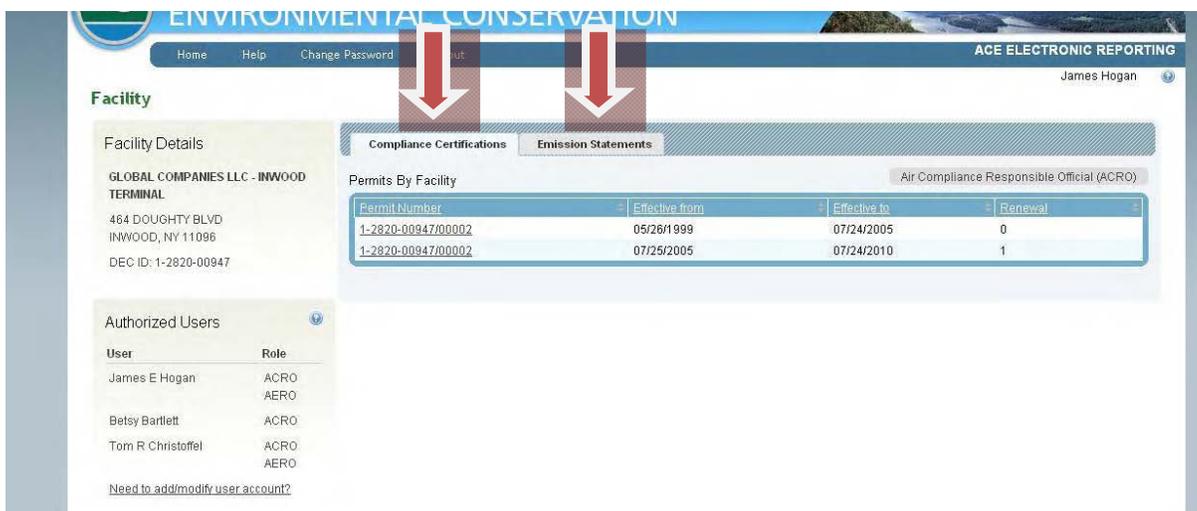


Selecting the facility by 'DEC ID' brings the user to the 'Facility' screen (Picture 3). The 'Facility' screen shows the permit numbers issued to each facility, Facility Details, and Authorized Users. The **CCE** accesses permits and reports of each facility from this screen.

**Please note: As a default, the screen as shown in Picture 3 will always appear for all users as they enter into the application. The Compliance Certifications Tab is first, the Emissions Statements tab is to the right of the Compliance Certifications tab.**

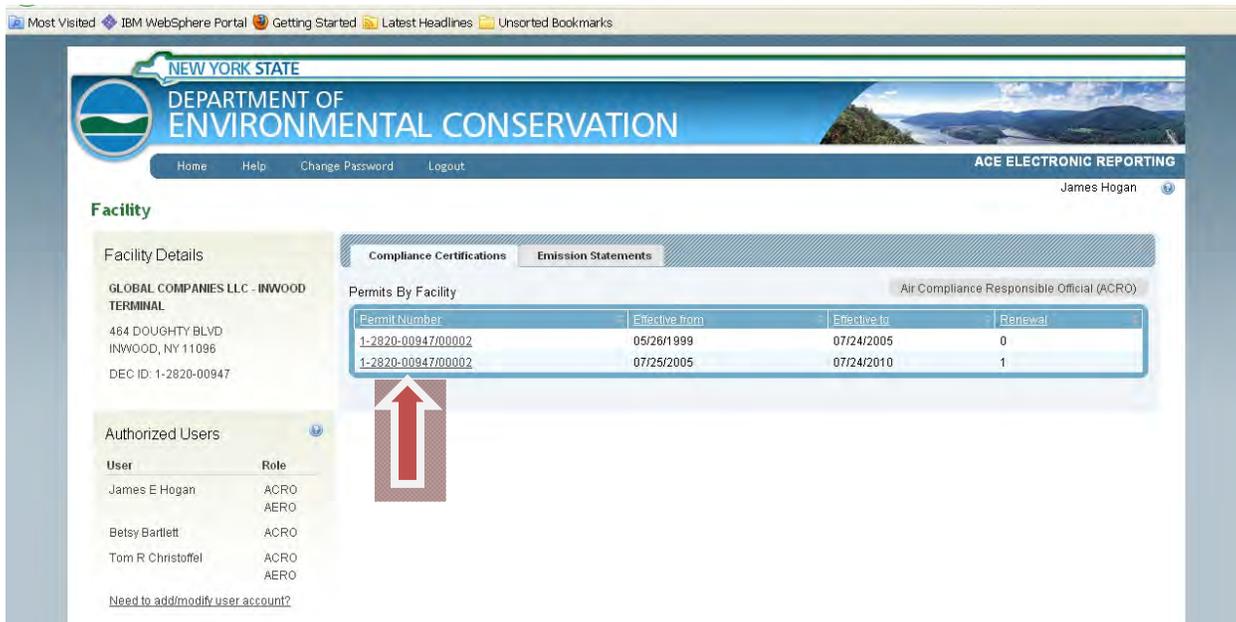
## Step 3: Select Compliance Certifications (Picture 3).

Picture 3



**Step 4: Select the desired permit** (Picture 4).

Picture 4



A screen showing 'Compliance Certifications for Permit' opens below the 'Permit Number' (Picture 5).

Organizationally, the manual distinguishes the next steps by role and follows the order of tasks for each role through completion.

The screen of each task is shown with instructions on how to continue to the next step or screen in order to complete the compliance certification.

- **If your role is CCE, please go directly to Section I-A page 6.**
- **If your role is CCR, please go directly to Section I-B page 13.**
- **If your role is RO please go to Section I-C page 15.**

## Section 1.1

### Editing Compliance Conditions

#### 1.1.1 Compliance Certification Editor (CCE)

**CCE Step 5: CCE selects 'Start' listed under the right hand column named Action (Picture 5).** This choice begins a new report.

'Continue' under the Action column is for an on-going report. Go to page 8 for further instructions on an on-going report.

Picture 5

The screenshot shows the 'Compliance Certifications' tab in the ACE ELECTRONIC REPORTING system. On the left, facility details for 'SILGAN CONTAINERS CORP - LYONS PLANT' are listed. The main area shows 'Permits By Facility' with a table containing one permit: 8-5428-00006/00027, effective from 09/19/2007 to 09/18/2012, with a renewal of 1. Below this, a table lists 'Compliance Certifications for Permit: 8-5428-00006/00027, Renewal 1'. The table has columns for Type, Report Start Date, Report End Date, Due Date, Submission Date, Status, and Action. The 'Action' column contains 'View Amend', 'Start', 'Start', 'Start', and 'Start'. A red arrow points to the 'Start' button in the second row, which has a status of 'Overdue'.

Type	Report Start Date	Report End Date	Due Date	Submission Date	Status	Action
Semi-Annual	01/01/2010	06/30/2010	07/30/2010	07/12/2010	Under Review	View Amend
Annual	01/01/2010	12/31/2010	01/30/2011		Overdue	Start
Semi-Annual	07/01/2010	12/31/2010	01/30/2011		Overdue	Start
Semi-Annual	01/01/2011	06/30/2011	07/30/2011		Not Started	Start
Annual	01/01/2011	12/31/2011	01/30/2012		Not Started	Start

**CCE Step 6: Select a Condition Number found at the top left column of the chart (Picture 6).**

Left click on a number under the Condition Number column.

Picture 6

The screenshot shows the 'Compliance Certification Report' page. On the left, a 'Report Summary' box displays details for report 1-4722-02441-00003, Renewal 1, Semi-Annual, reporting period 04/01/2010 - 09/30/2010, with a status of 'Overdue' and due date of 10/30/2010. The main area features a table with columns: Condition Number, Requirement Description, Regulatory Citation, Begin Date, End Date, Permit Level, Compliance Status, Deviation(s), Started, and Validated. A red arrow points to the number '23' in the 'Condition Number' column of the first row.

Condition Number	Requirement Description	Regulatory Citation	Begin Date	End Date	Permit Level	Compliance Status	Deviation(s)	Started	Validated
23	Facility Specific Monitoring	6 NYCRR Part 200	04/01/2010	09/30/2010	FACILITY		0	NO	NO
25	Facility Specific Monitoring	6 NYCRR 200.7	04/01/2010	09/30/2010	FACILITY		0	NO	NO
27	Facility Specific Monitoring	6 NYCRR Subpart 201-6	04/01/2010	09/30/2010	FACILITY		0	NO	NO
28	Semi annual reporting requirements	6 NYCRR 201-6.5 (c) (3)	04/01/2010	09/30/2010	FACILITY		0	NO	NO
5	Semiannual Reporting Requirements (j)	6 NYCRR 201-6.5 (c) (3) (j)	04/01/2010	09/30/2010	FACILITY		0	NO	NO
35	Applicability and deadline.	6 NYCRR 204-4.1	04/01/2010	09/30/2010	FACILITY		0	NO	NO
61	Notifications	6 NYCRR	04/01/2010	09/30/2010	1-00001		0	NO	NO

Selecting a 'Condition Number' opens the Compliance Condition window shown in Picture 7.

Picture 7

The screenshot shows the 'Compliance Condition' window in the ACE ELECTRONIC REPORTING system. The user is James Hogan, Air Compliance Certification Editor. The window displays the following information:

- Condition Summary:**
  - Condition Number: 86
  - Regulatory Citation: 6 NYCRR 211.2
  - Permit Level: FACILITY
  - Begin Date: 10/1/10
  - End Date: 9/30/11
  - Validated: NO
  - Deviations: 0
  - 0 Known Errors
- Compliance Status:** Continuous, Intermittent, Not Applicable
- Requirement Synopsis:** 4000 characters left
- Compliance Method Description:** 4000 characters left
- Not Applicable Explanation:** 4000 characters left
- Separate Report Date:** 17
- Separate Report Description:** 4000 characters left

Buttons at the bottom: Cancel, Save, Save and Validate.

The Compliance Condition screen is where a CCE reviews the issued permit and enters information for the first time from a permit into ACE.

## Data Entry

There are two methods to enter the data. The first method, and illustrated in the following steps, is Direct Data Entry. The first time user is encouraged to use Direct Data Entry.

The second method, and one usually reserved for an experienced ACE user, is mass data entry. An explanation of mass data entry and instructions for mass data entry is found in Section II A beginning page 31.

Both methods require saving all data before leaving the screen. DAR highly recommends saving often throughout the data entry process using the 'Save and Validate' option. The option, 'Save and Validate,' is detailed in Step 8.

### CCE Step 7: Direct Data Entry (Picture 8)

- a. Select the 'Compliance Status'
- b. Type the data from the permit into the fields 'Requirement Synopsis' and 'Compliance Method Description.'
- c. Type data into other fields as necessary.

Picture 8

The screenshot displays the 'James Hogan, Air Compliance Certification Editor' interface. On the left, a 'Condition Summary' sidebar lists details such as Condition Number (86), Regulatory Citation (6 NYCRR 211.2), Permit Level (FACILITY), Begin Date (10/1/10), End Date (9/30/11), Validated (NO), and Deviations (0). The main form area is titled 'Compliance Condition' and shows 'Condition 11 of 95'. It features a 'Compliance Status' section with radio buttons for 'Continuous', 'Intermittent', and 'Not Applicable'. Below this are text input fields for 'Requirement Synopsis' (with a 'Default Requirement Synopsis/Compliance Method' link), 'Compliance Method Description', 'Not Applicable Explanation', 'Separate Report Date', and 'Separate Report Description'. Red arrows highlight the 'Compliance Status' radio buttons, the 'Requirement Synopsis' field, and the 'Compliance Method Description' field. At the bottom, there are 'Cancel', 'Save', and 'Save and Validate' buttons.

The 'Compliance Status, Requirement Synopsis' and 'Compliance Method Description' must have data entered into their text fields. The additional fields, 'Not Applicable Explanation', 'Separate Report Date', and 'Separate Report Description' are related to Compliance Status.

If 'Intermittent' is the Compliance Status for the condition, refer to Section II-B for additional details.

Selecting the 'Not Applicable' Compliance Status requires a 'Not Applicable Explanation.'

'Separate Report Date', and 'Separate Report Description' are completed when there is additional information that supports the certification of any Compliance status.

**CCE Step 8: Select 'Save and Validate' (Picture 9).**

DAR highly recommends saving continuously using **'Save and Validate,'** throughout the data entry process. **'Save and Validate'** identifies and explains all errors. For quick storage, **'Save'** will save all work up to that point without validating the data. Both are located in the lower right corner of the screen.

Picture 9

The screenshot shows the 'Compliance Condition' form. On the left, there is a 'Condition Summary' section with fields for Condition Number (39), Regulatory Citation (6 NYCRR 211.2), Permit Level (FACILITY), Begin Date (1/1/10), End Date (12/31/10), Validated (NO), and Deviations (0). Below this is a 'Deviations' section stating 'No deviations exist for the condition.' The main form area includes 'Compliance Status' (Continuous selected), 'Requirement Synopsis' (No person shall cause or allow emissions...), 'Compliance Method Description' (To monitor the emissions...), 'Not Applicable Explanation', 'Separate Report Date' (12), and 'Separate Report Description'. At the bottom right, the 'Save and Validate' button is highlighted with a red arrow pointing down.

When the data is correct, a yellow banner shows across the top of the screen with the words, **'Condition save and validate successful'** (Picture 10).

Picture 10

The screenshot shows the 'Compliance Condition' form with a yellow banner at the top that reads 'Condition save and validate successful.' A red arrow points to the banner. The form content is similar to Picture 9, but with 'Validated' set to 'YES' and 'Separate Report Date' set to '12'. The 'Save and Validate' button is still visible at the bottom right.

If 'Save' is used, a yellow banner shows across the top of the screen with the words, **'Condition save successful.'**

**Errors:** When there are data errors, a pink banner shows across the top of the screen with an explanation of the errors. For example, Picture 11 shows the error that the Compliance Status was not selected.

Picture 11

Home Help Change Password Logout ACE ELECTRONIC REPORTING James Hogan, Air Compliance Certification Editor

**Compliance Condition**

Compliance status value must be continuous, intermittent or not applicable. [C-6]

Condition 9 of 12 Previous Next Report Home

**Condition Summary**

Condition Number: 39  
Regulatory Citation: 40 CFR 52.21  
Permit Level: FACILITY  
Begin Date: 4/1/11  
End Date: 9/30/11  
Validated: NO  
Deviations: 0  
[1 Known Errors](#)

**Deviations**

No deviations exist for the condition.

**Compliance Status**

Continuous  Intermittent  Not Applicable

**Requirement Synopsis** [Default Requirement Synopsis/Compliance Method](#)

The sulfur content of distillate fuel burned at the facility shall not exceed 0.2% by weight. Sample will be taken and analyzed upon each delivery and records will be maintained at the facility.

3886 characters left

**Compliance Method Description**

To maintain a log of all samples taken of the distillate fuel delivered with the sulfur content of each delivery.

3887 characters left

**Not Applicable Explanation**

4000 characters left

**Separate Report Date**

**Separate Report Description**

4000 characters left

Cancel Save Save and Validate

The CCE corrects the errors (the Compliance Status is selected, it was stated missing in Picture 11 above) and repeats 'Save and Validate.' A yellow banner then shows across the top with the words, 'Condition save and validate successful' (Picture 12).

Picture 12

**Compliance Condition**

Condition save and validate successful.

Condition 9 of 12 Previous Next Report Home

**Condition Summary**

Condition Number: 39  
Regulatory Citation: 40 CFR 52.21  
Permit Level: FACILITY  
Begin Date: 4/1/11  
End Date: 9/30/11  
Validated: YES  
Deviations: 0  
0 Known Errors

**Deviations**

No deviations exist for the condition.

**Compliance Status**

Continuous  Intermittent  Not Applicable

**Requirement Synopsis** [Default Requirement Synopsis/Compliance Method](#)

The sulfur content of distillate fuel burned at the facility shall not exceed 0.2% by weight. Sample will be taken and analyzed upon each delivery and records will be maintained at the facility.

3886 characters left

**Compliance Method Description**

To maintain a log of all samples taken of the distillate fuel delivered with the sulfur content of each delivery.

3887 characters left

**Not Applicable Explanation**

4000 characters left

**Separate Report Date**

**Separate Report Description**

4000 characters left

Cancel Save Save and Validate

Repeat entering information for each condition by following Steps 6 to 8 until all conditions have a relevant compliance status. The user navigates through the conditions by left clicking on either 'Previous' or 'Next' from the top right screen. The report is ready for review by the CCR once the CCE has entered all the necessary data, selected 'Save and Validate,' corrected any errors, and the screen displays 'Condition Save and Validate Successful.'

**CCE Step: 9 The CCE informs the Compliance Certification Reviewer (CCR) that the report is ready to be reviewed.**

NOTE: The report can be viewed by any two (2) or more Authorized Users at the same time.

**Section 1.2**  
**Reviewing Compliance Conditions**  
**1.2.1 Compliance Certification Reviewer (CCR)**

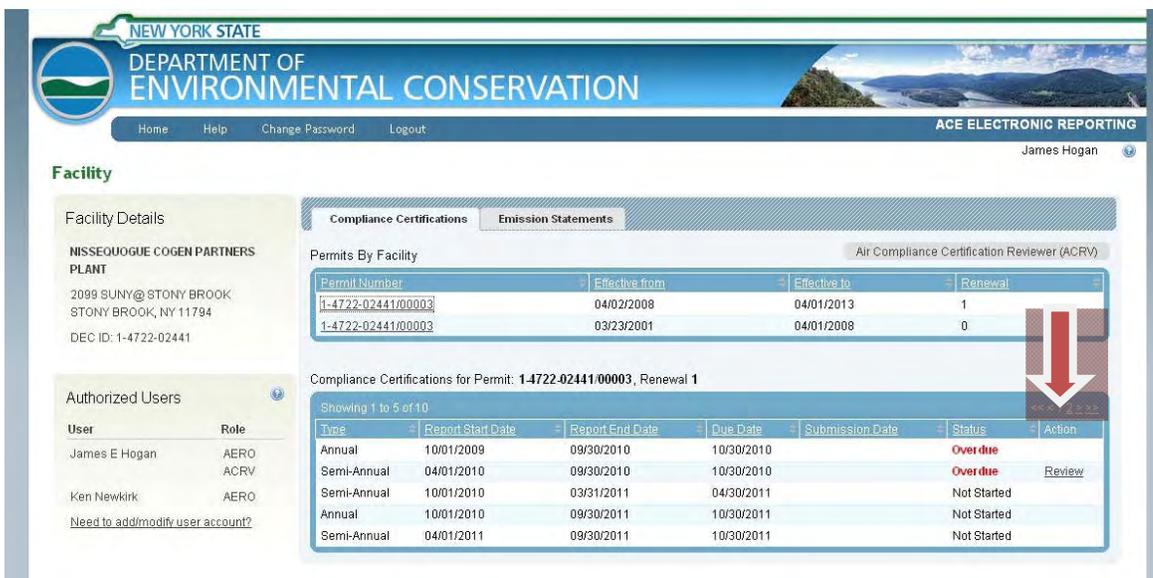
The Compliance Certification Reviewer (CCR) is informed by the CCE that the report is ready to be reviewed.

*The first time Authorized Compliance Certification Reviewer (CCR) User completes steps 1 through 4 on pages 2-5 of the manual. This page begins step 5 for the CCR.*

The CCR reviews the data entered in ACE by the CCE by following steps 5 through 8.

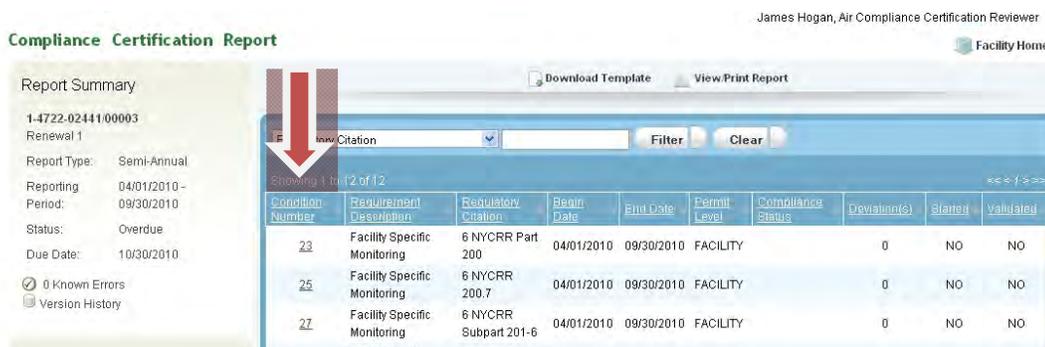
**CCR Step 5: Select the Action, 'Review' (Picture 13)**

Picture 13



**CCR Step 6: Select a Condition Number found at the top left column of the chart (Picture 14)**

Picture 14



Selection of a 'Condition Number' opens the Compliance Condition window (Picture 15). Please note that this page is a read-only status.

### CCR Step 7: Review of Condition.

- 1.) **Reviews** the page to make sure the *Compliance Status*, *Requirement Synopsis* and *the Compliance Method Description* fields on this screen are complete,
- 2.) **Reviews** information in the *Requirement Synopsis* and *the Compliance Method Description* fields to make sure the data is correct and relates to the Regulatory Citation listed in the Condition Summary, and
- 3.) **Informs** CCE of comments or any issues that require further appropriate action. For example, if *Requirement Synopsis* does not describe the Regulatory Citation accurately.

Picture 15

The screenshot displays the 'Compliance Condition' window for 'James Hogan, Air Compliance Certification Reviewer'. The window is titled 'Condition 1 of 1' and includes navigation buttons for 'Previous', 'Next', and 'Report Home'. The main content is divided into several sections:

- Condition Summary:** A sidebar on the left containing fields for Condition Number (86), Regulatory Citation (6 NYCRR 211.2), Permit Level (FACILITY), Begin Date (10/1/10), End Date (9/30/11), Validated (NO), Deviations (0), and 0 Known Errors.
- Compliance Status:** A section with radio buttons for 'Continuous', 'Intermittent', and 'Not Applicable'.
- Requirement Synopsis:** A text area containing a regulatory citation: 'No person shall cause or permit emissions or contaminants to the outdoor atmosphere of such quantity, characteristic or duration which are injurious to human, plant or animal life or to property, or which unreasonably interfere with the comfortable enjoyment of life or property. Notwithstanding the existence of specific air quality standards or emission limits, this prohibition applies, but is not limited to, any particulate, fume, gas, mist, odor, smoke, vapor, pollen, toxic or deleterious emission, either alone or in combination with others.' It shows 3448 characters left.
- Compliance Method Description:** A text area containing: 'To monitor all the emissions of all emission unit sources and validate that no such quantity, characteristic or duration which are injurious to human, plant or animal life or to property, or which unreasonably interfere with the comfortable enjoyment of life or property will be emitted into the outdoor atmosphere.' It shows 3685 characters left.
- Not Applicable Explanation:** A text area with 4000 characters left.
- Separate Report Date:** A date input field.
- Separate Report Description:** A text area with 4000 characters left.

Red arrows in the image point to the 'Condition Number', 'Compliance Status', 'Requirement Synopsis', and 'Compliance Method Description' fields.

**CCR Step 8: Send any comments to the CCE** for further appropriate action.

If there is an issue, the CCE may edit the report or may discuss possible outcomes with the CCR in order to resolve the issues.

**CCE Step 9: Complete/resolve the appropriate EDITS** suggested by the CCR. When all issues are resolved, the CCR informs the CCE the report is ready for submission and the CCR's job is complete.

**CCE Step 10: Once a report is successfully validated, the CCE informs the RO** that the report is ready to for submission.

The CCE may also 'flag' the report for submittal for a RO so that the RO can easily access the report. To flag a report from a condition, go to page 25.

## Section 1.3 Editing, Validating and Submitting Compliance Conditions Reports 1.3.1 Facility Responsible Officer (RO)

This section applies to the Submission Process for first time users in the role of Title V Facility Responsible Officer (RO).

The first time Authorized RO completes steps 1 through 4 on pages 2-5 of the manual. This page begins step 5 for the RO.

**Please note: The RO is the only role/ person with the capacity to submit a report or amend a submitted report.**



**RO Step 5: Select the Action 'Continue,' if this is a new report (Picture 16)**

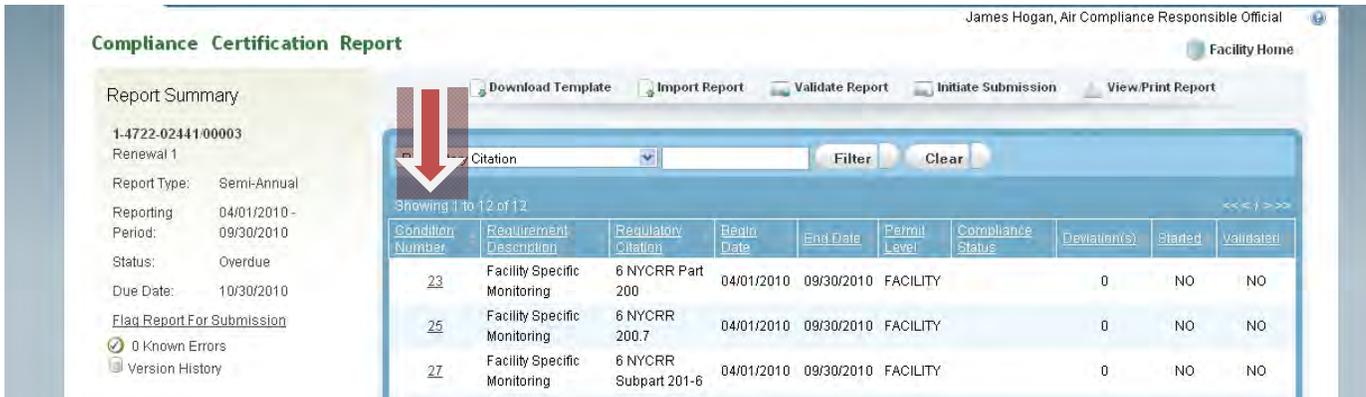
Picture 16



The RO is now in the Compliance Certification Report screen.

**RO Step 6: Select a Condition Number found at the top left column of the chart (Picture 17).**

Picture 17



Selecting a 'Condition Number' opens the Compliance Condition window (Picture 18).

Picture 18



The Compliance Condition screen is where a RO either reviews the CCE's work or personally enters the information from the issued permit into ACE.

**RO Step 7: Review/Enter information for 'Compliance Status,' Requirement Synopsis' and Compliance Method Description' into the data fields on the screen (Picture 19).** This is known as Direct Data entry [Refer to CCE Step 7 in Section I].

Picture 19

**RO Step 8: Select 'Save and Validate' option located in the lower right corner of the screen (Picture 20). 'Save and Validate' identifies all known errors and explains any problems.**

DAR highly recommends using 'Save and Validate' (Picture 20) continuously throughout the data entry process and before exiting any screen.

Picture 20

If there are no data entry errors identified, the screen will show a yellow banner across the top of the screen with the words, '**Condition save and validate successful**' (Picture 21).

Picture 21

James Hogan, Air Compliance Certification Editor

**Compliance Condition**

Condition save and validate successful.

Condition 9 of 12 Previous | Next Report Home

**Condition Summary**

Condition Number: 39  
Regulatory Citation: 40 CFR 52.21  
Permit Level: FACILITY  
Begin Date: 4/1/11  
End Date: 9/30/11  
Validated: YES  
Deviations: 0  
0 Known Errors

**Deviations**

No deviations exist for the condition.

**Compliance Status**

Continuous  Intermittent  Not Applicable

**Requirement Synopsis**

The sulfur content of distillate fuel burned at the facility shall not exceed 0.2% by weight. Sample will be taken and analyzed upon each delivery and records will be maintained at the facility.

3806 characters left

**Compliance Method Description**

To maintain a log of all samples taken of the distillate fuel delivered with the sulfur content of each delivery.

3887 characters left

**Not Applicable Explanation**

4000 characters left

**Separate Report Date**

17

**Separate Report Description**

4000 characters left

Cancel Save Save and Validate

Any errors found by 'Save and Validate' are explained in a pink banner across the top of the screen (Picture 22).

Picture 22

James Hogan, Air Compliance Responsible Official

**Compliance Condition**

Compliance method description is required. Please enter a description or specify a not applicable compliance status for the permit condition. [C-7]

Condition 3 of 11 Previous | Next Report Home

**Condition Summary**

Condition Number: 28  
Regulatory Citation: 6 NYCRR 201-6.5 (c) (3)  
Permit Level: FACILITY  
Begin Date: 1/1/02  
End Date: 6/30/02  
Validated: NO  
Deviations: 0  
1 Known Errors

**Deviations**

No deviations exist for the condition.

**Compliance Status**

Continuous  Intermittent  Not Applicable

**Requirement Synopsis**

The permit shall incorporate all applicable Federal reporting requirements which must include the following: submittal of any required monitoring at least every 6 months; and notification and reporting of permit deviations and incidences of noncompliance stating the

3646 characters left

**Compliance Method Description**

4000 characters left

**Not Applicable Explanation**

4000 characters left

**Separate Report Date**

17

**Separate Report Description**

4000 characters left

Cancel Save Save and Validate

The RO corrects the error by entering data into the Compliance Method Description text field and then repeats 'Save and Validate.' The screen will show a yellow banner across the top with the words, 'Condition save and validate successful' as seen above in Picture 21.

Once the RO has entered all the necessary data, completed 'Save and Validate,' corrected all known errors, and the screen displays "Condition save and validate successful," the report is ready for review.

**RO acting as CCE may inform the CCR that the report is ready to be reviewed.** This is an optional step.

The CCR (if one is involved):

- a.) Reviews the data entered in to the system (see steps 4 through 6 beginning on page 11)
- b.) Sends any comments to the CCE for further appropriate action.

RO:

- a) Completes/resolves the appropriate EDITS suggested by the CCR
- b) The report is ready to be submitted.

The RO has the same editing capacity as the CCE so they may override all previous edits and make needed changes to a report before submitting the report through ACE.

**NOTE:** *Submission of an ACE report to NYSDEC Division of Air Resources certifies that the Responsible Official has reviewed the electronic report being submitted in its entirety, and agrees to the validity and accuracy of the information contained within it to the best of their knowledge.*

### Section 1.4 Submission of a Compliance Certification Report

Once all the necessary data is entered, 'Save and Validate' is completed, all known errors are corrected, the screen displays 'Condition Save and Validate Successful,' and the report is reviewed, the report(s) is (are) ready for submission.

The RO accesses the report by completing Steps 1 through 4 on pages 2 through 4 of Section I in the manual.

**RO Step 5: Select 'Continue' under the Action column (Picture 23).**

Picture 23

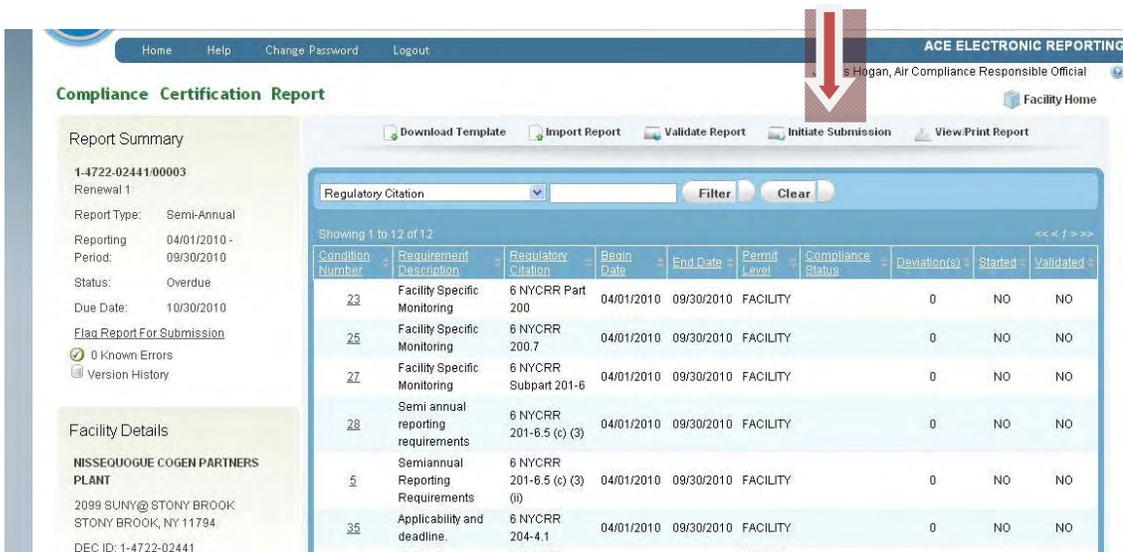


'Continue' takes the RO to the **Compliance Certification Report** screen (Picture 24).

**RO Step 6: Select 'Initiate Submission' (Picture 24).**

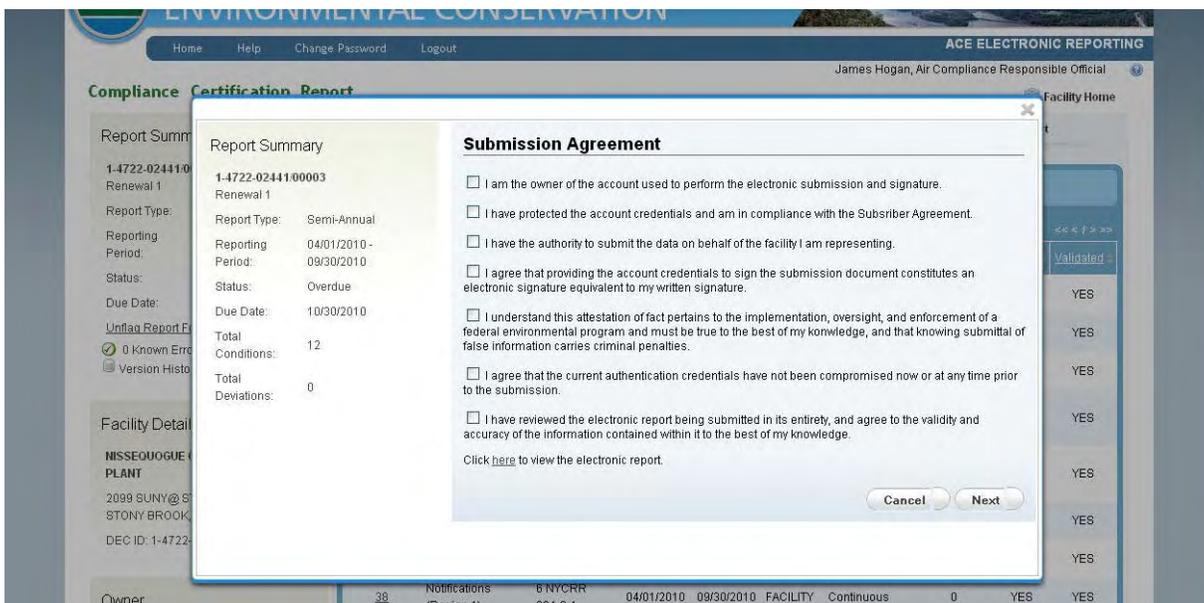
A menu that includes the options: 'Download Template,' 'Import Report,' 'Validate Report,' 'Initiate Submission' and 'View Print Report' is above the Regulatory Citation box on the Compliance Certification Report.

Picture 24



A window showing **Submission Agreement** insert box appears (Picture 25).

Picture 25



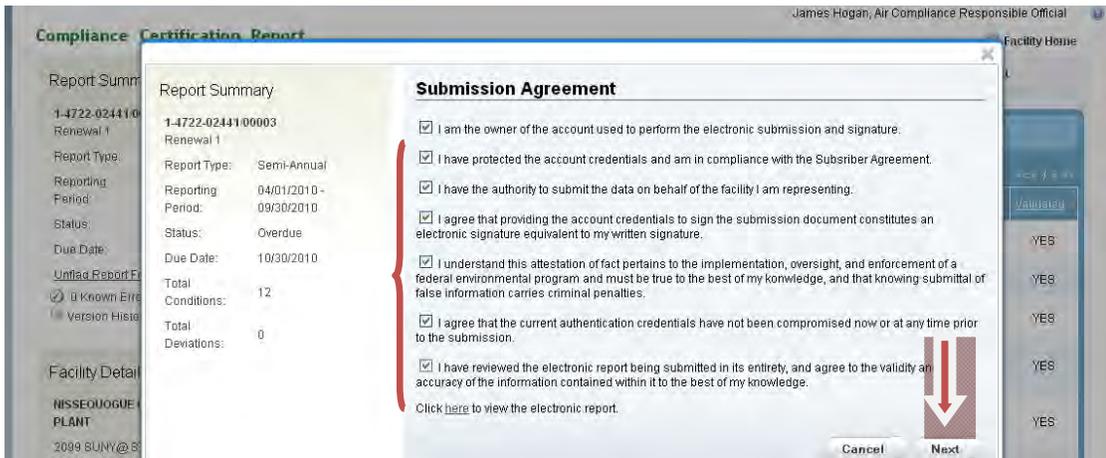
**RO Step 7: Certify the Submission Agreement (Picture 26).**

1. Read each item in 'Submission Agreement' and check all corresponding boxes to the left of the items.
  - a. In completing the Submission Agreement and electronically signing it, the RO attests
    - i. that they are who they are,
    - ii. that the electronic signature is equivalent to their written signature,
    - iii. they have the authority to electronically sign and submit the reports,
    - iv. the submitted reports are in compliance with the Subscriber Agreement, and
    - v. that they have the authority to sign the submission agreement and that the electronic signature is equivalent to their written signature, attest that the information on the form is true to the best of their knowledge, that they are subject to criminal penalties if they knowingly submit false information, and that the authentication credentials (user name and id issued to validate users at logon) has not been compromised.<sup>1</sup>

<sup>1</sup> The Submission Agreement is a legally binding agreement signed and notarized in which the Responsible Officer attests to the NYS DEC that the submitted forms are in compliance with the Subscriber Agreement.

2. Select 'Next' in the lower right hand corner of the 'Submission Agreement' to submit Certification Agreement (Picture 26).

Picture 26



This brings the RO to a Submission Signature screen.

**RO Step 8: Select the 'Request Signature Token' option** (Picture 27).

A Signature Token is a *digital key* that ensures a secure electronic submission of the report. A text box appears that states, "A Signature Token and Instructions will be sent to your email account shortly."

Picture 27



A yellow banner appears that indicates the email was sent (Picture 28).

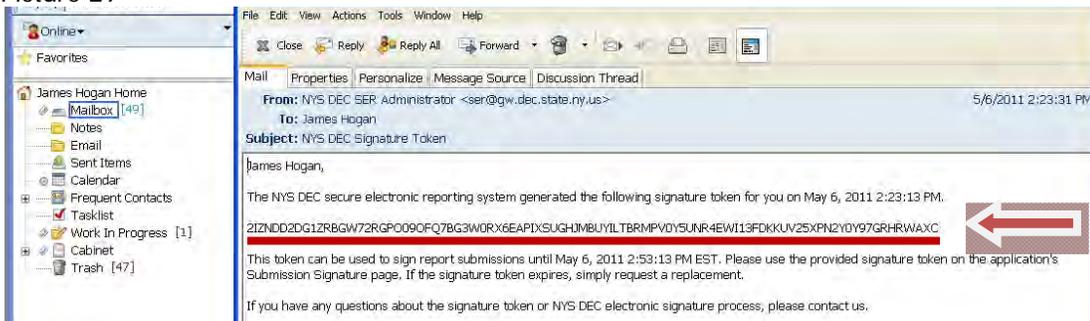
Picture 28



A Signature Token is automatically sent in an email to the email address listed on the initial application for the Responsible Official. (The token is high-lighted in Picture 29.) The RO has 30 minutes before the signature token expires to submit any reports with it. The time begins when the email is sent and is reflected within the body of the email.

Once the Signature Token has expired, a new Signature Token must be requested. This usually requires a re-log-in and reinitiating the submission process, Step 5.

Picture 29



**RO Step 9: Select and copy the 'Signature Token' from the email.**

Hold down the left button on the mouse and move the mouse across the 'Signature Token' (Picture 30) right click on the mouse, then select 'copy'.

Picture 30

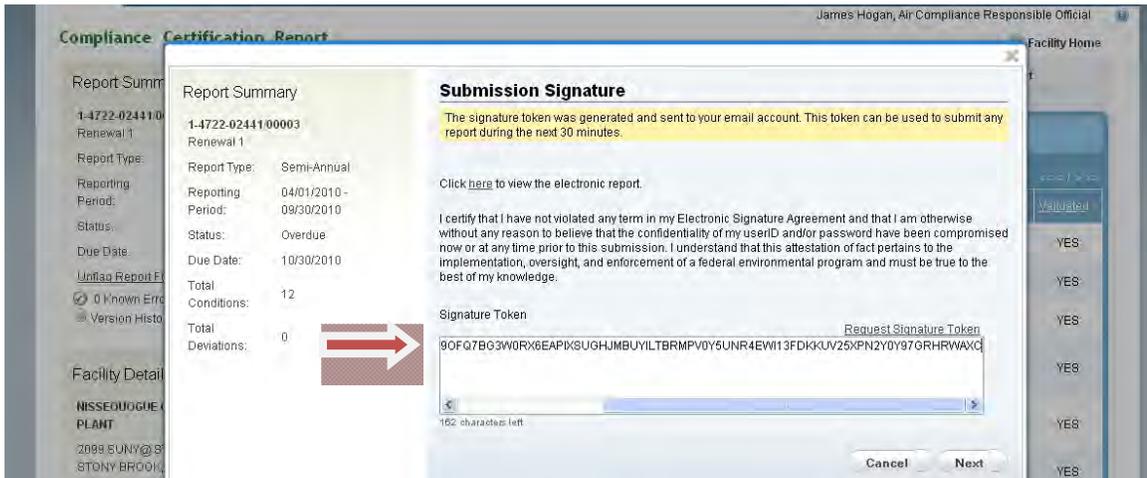


***In order to avoid errors DO NOT attempt to type this Signature Token into the Signature Token window. Copy and paste it into the 'Signature Token' field as shown in Pictures 30 and 31.***

**RO Step 10: Copy and Paste the Signature Token into the Signature Token window.**

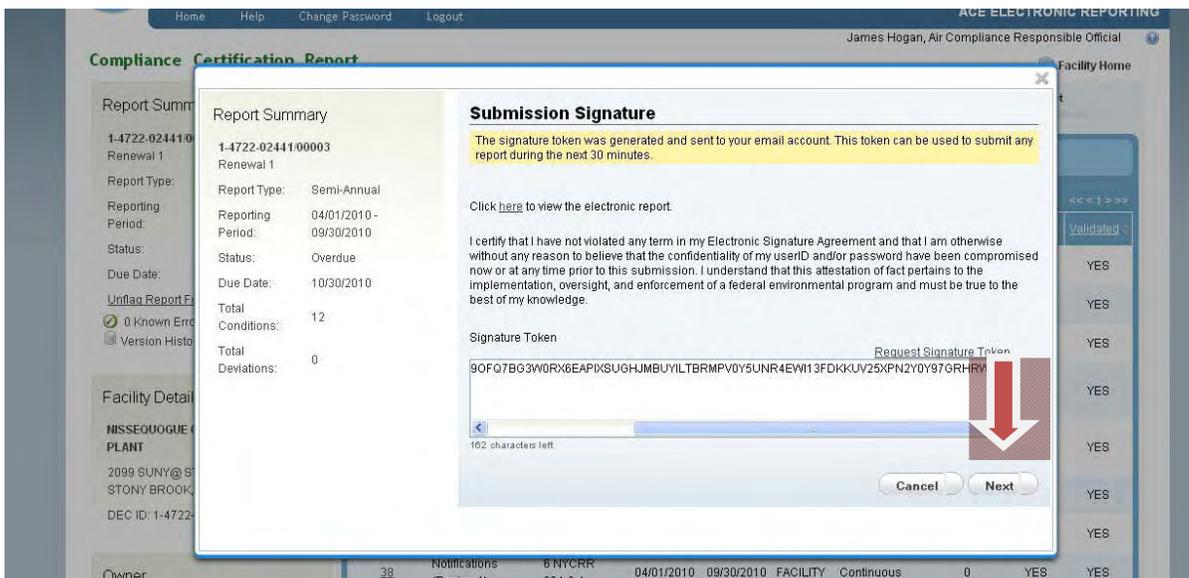
Right click the mouse, select 'paste' and left click on the mouse to put the Signature Token into the 'Signature Token' window (Picture 31).

Picture 31



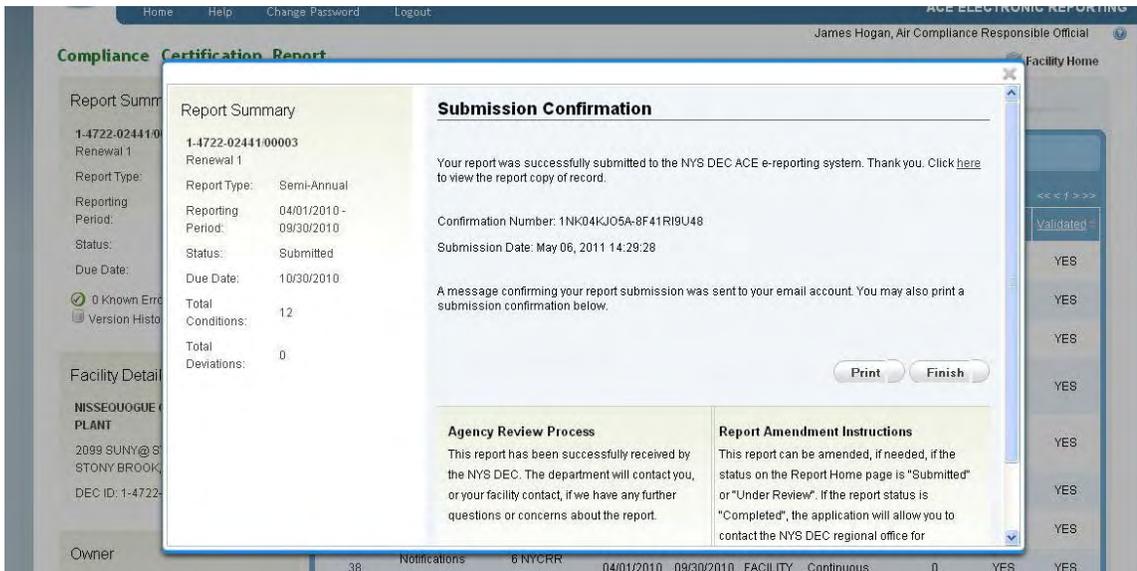
**RO Step 11: Select 'Next' found at the bottom right side of the screen (Picture 32).**

Picture 32



The Signature Token is now submitted. If the submission is accepted, a screen with 'Submission Confirmation' appears (Picture 33).

Picture 33



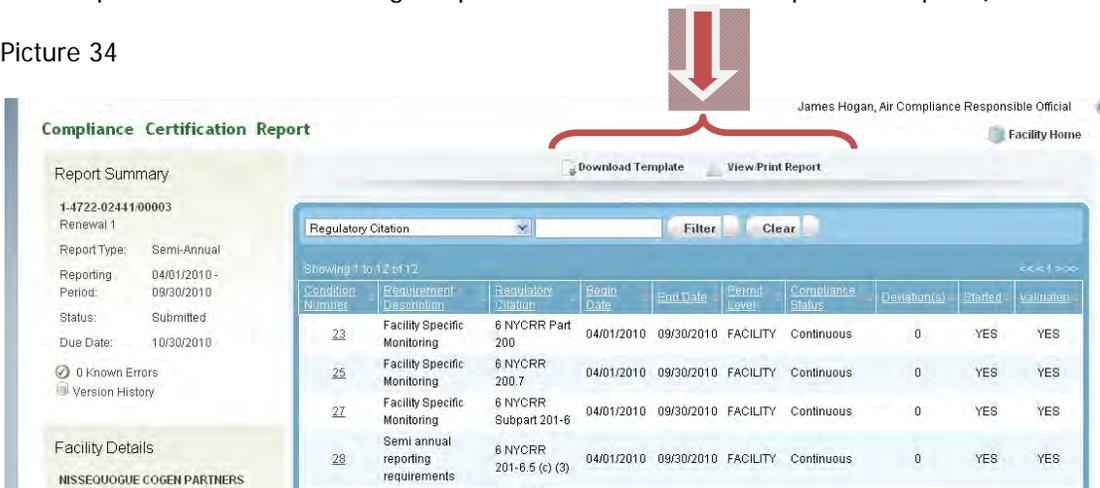
**RO Step 12:** Select the 'Finish' option found at the bottom right side of the screen, when the completed with the submittal of the report. This will return the user to the Compliance Certification Report screen (Picture 33).

**RO Step 13:** Select 'Print' for a hard copy of the submission confirmation. This copy can be used for facility records and/or EPA certification submittal as well.

If the submission is not accepted, there are errors in the report. Contact the CCE. Using 'Save and Validate' in CCE Step 8 (page 9) would have identified the error and the CCE could correct it at that point.

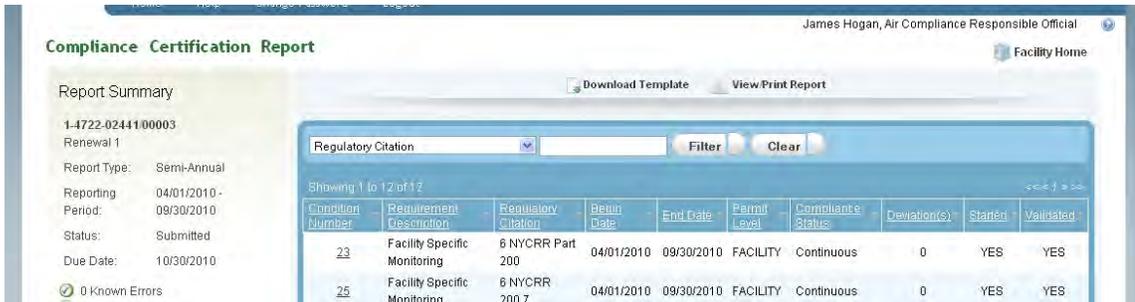
The Compliance Certification Report screen lists two options, 'Download Template' and 'View/Print Reports' indicates the RO's responsibilities for submitting a report were met and ACE accepted the report (Picture 34).

Picture 34



**RO Step 14: Select 'Facility Home' (Picture 35).**

Picture 35



Picture 36 shows the **Facility** screen where the 'Submission Date' and two options, 'View' and 'Amend' under the Action column are listed.

Picture 36

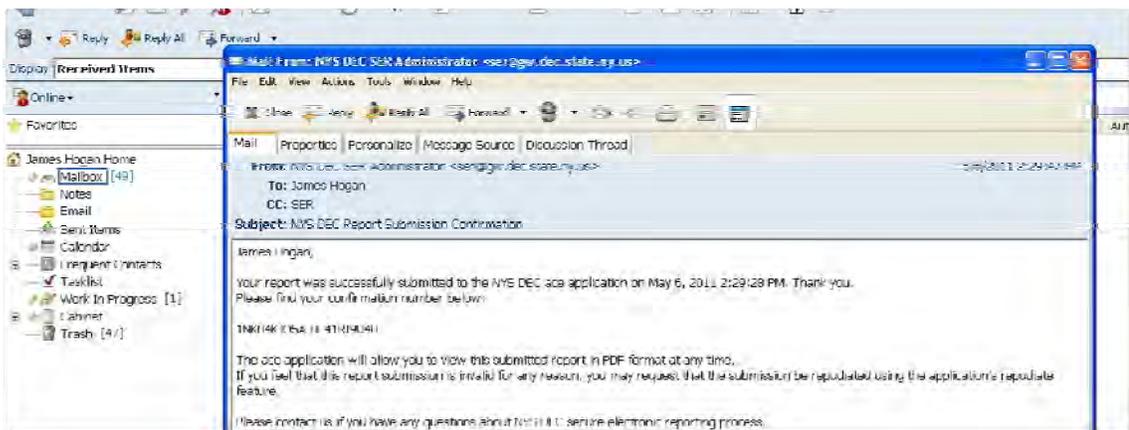


The option to 'Amend' a report is only available at this screen. To Amend a report, see Section I E.

**RO Step 15: Select 'Logout'.**

Logout ends the RO's submission process and takes the RO to the Facility screen. A confirmation email is sent automatically to the RO, the permit writer, and the RAPCE and E-Reporting mailbox (Picture 37).

Picture 37



## Section 1.5

### 1.5.1 CCE 'Activate Flag Report for Submission' Process

Once a report is successfully validated and ready to submit to the RO, the CEE and the RO may choose to 'flag' a report for submittal. This option, found on the Compliance Certification screen, is a simple way for the RO to locate and access a report ready for submittal. Once the report is located and accessed, the RO continues through all electronic submission protocols.

**CCE Step 11: Select 'Report Home' (Picture 38).**

Picture 38

Condition save and validate successful.

Condition 9 of 12   Previous | Next   **Report Home**

**Condition Summary**

Condition Number: 39  
 Regulatory Citation: 40 CFR 52.21  
 Permit Level: FACILITY  
 Begin Date: 4/1/11  
 End Date: 9/30/11  
 Validated: YES  
 Deviations: 0  
 0 Known Errors

**Deviations**

No deviations exist for the condition.

**Compliance Status**

Continuous    Intermittent    Not Applicable

**Requirement Synopsis** [Default Requirement Synopsis/Compliance Method](#)

The sulfur content of distillate fuel burned at the facility shall not exceed 0.2% by weight. Sample will be taken and analyzed upon each delivery and records will be maintained at the facility.

3806 characters left

**Compliance Method Description**

To maintain a log of all samples taken of the distillate fuel delivered with the sulfur content of each delivery.

3887 characters left

**Not Applicable Explanation**

4000 characters left

**Separate Report Date**

**Separate Report Description**

4000 characters left

Cancel   Save   Save and Validate

The Compliance Certification Report screen appears (Picture 39)

**CCE Step 12: Select the specific compliance report ready for submittal.** The **Compliance Certification Report** screen opens showing an option titled 'Flag Report For Submission' under the Report Summary, located on the left side of the screen (Picture 39).

Picture 39

Home   Help   Change Password   Logout   **ACE ELECTRONIC REPORTING**

James Hogan, Air Compliance Certification Editor   Facility Home

**Compliance Certification Report**

Report Summary

1-4722-02441-00003  
 Renewal 1  
 Report Type: Semi-Annual  
 Reporting Period: 04/01/2010 - 09/30/2010  
 Status: Overdue  
 Due Date: 10/30/2010  
Flag Report For Submission  
 0 Known Errors  
 Version History

Facility Details

NISSEQUOUE COGEN PARTNERS

Download Template   Import Report   Validate Report   View/Print Report

Regulatory Citation:    Filter   Clear

Showing 1 to 12 of 12

Condition Number	Requirement Description	Regulatory Citation	Rein. Date	End Date	Permit Level	Compliance Status	Deviation(s)	Started	Validated
23	Facility Specific Monitoring	6 NYCRR Part 200	04/01/2010	09/30/2010	FACILITY		0	NO	NO
25	Facility Specific Monitoring	6 NYCRR 200.7	04/01/2010	09/30/2010	FACILITY		0	NO	NO
27	Facility Specific Monitoring	6 NYCRR Subpart 201-6	04/01/2010	09/30/2010	FACILITY		0	NO	NO
28	Semi annual reporting requirements	6 NYCRR 201-6.5 (c) (3)	04/01/2010	09/30/2010	FACILITY		0	NO	NO
	Semiannual	6 NYCRR							

**CCE Step 13: Select 'Flag Report For Submission' (Picture 40).**

Picture 40



Once the Report is flagged, an 'Unflag Report For Submission' appears on the CCE's screen associated with the permit (Picture 41).

Picture 41



Note: This will place a submission indicator on the Home screen of RO associated with the permit (Picture 42). The CCE screen shows no 'Initiate Submission' option available.

**CCE Step 14: Informs the RO the report is ready to be submitted.**

## 1.5.2 RO 'Activate Flag Report for Submission' Process

**RO Step 15: Logon into the ACE account.** The 'My Facilities' screen opens. The RO views any and all permits that have reports ready for submittal.

**RO Step 16: Select 'Initiate Submission'** (Picture 42)

Picture 42



**ACE Electronic Reporting**

The Air Certification and Emissions Electronic Reporting (ACE e-reporting) system provides the regulated Title V community with tools that allow them to electronically report annual and semi-annual compliance certifications, capping certifications, and annual emissions statements to the New York Department of Environmental Conservation (DEC). This capability is provided through easy-to-use web interfaces that will improve the timeliness, efficiency, and accuracy of the reported data, while reducing the paperwork burden to the regulated community and DEC.

**My Facilities**

DEC ID	Facility Name	
<a href="#">1-2820-00947</a>	GLOBAL COMPANIES LLC - INWOOD TERMINAL	
<a href="#">1-4722-02441</a>	NISSEQUOGUE COGEN PARTNERS PLANT	<a href="#">Initiate Submission</a>
<a href="#">2-6304-00404</a>	BIG SIX TOWERS INC	<a href="#">Initiate Submission</a>
<a href="#">2-6308-00096</a>	KIAC COGENERATION PLANT-JFK AIRPORT	

A text window opens within the screen (Picture 43).

Picture 43



**ACE Electronic Reporting**

The Air Certification and Emissions Electronic Reporting (ACE e-reporting) system provides the regulated Title V community with tools that allow them to electronically report annual and semi-annual compliance certifications, capping certifications, and annual emissions statements to the New York Department of Environmental Conservation (DEC). This capability is provided through easy-to-use web interfaces that will improve the timeliness, efficiency, and accuracy of the reported data, while reducing the paperwork burden to the regulated community and DEC.

**My Facilities**

DEC ID	Facility Name	
<a href="#">1-2820-00947</a>	GLOBAL COMPANIES LLC - INWOOD TERMINAL	
<a href="#">1-4722-02441</a>	NISSEQUOGUE COGEN PARTNERS PLANT	<a href="#">Initiate Submission</a>

Compliance Certification Reports

Reporting Period	Due Date	Status	Action
04/01/2010 - 09/30/2010	10/30/2010	Overdue	<a href="#">Open</a>
1-4722-02441/00003, R1			

[2-6304-00404](#) BIG SIX TOWERS INC [Initiate Submission](#)

[2-6308-00096](#) KIAC COGENERATION PLANT-JFK AIRPORT

[2-6308-00513](#) BAYSWATER / JAMAICA BAY PEAKING FACILITY

**RO Step 17: Select 'Open'** (Picture 44)

Picture 44



**ACE Electronic Reporting**

The Air Certification and Emissions Electronic Reporting (ACE e-reporting) system provides the regulated Title V community with tools that allow them to electronically report annual and semi-annual compliance certifications, capping certifications, and annual emissions statements to the New York Department of Environmental Conservation (DEC). This capability is provided through easy-to-use web interfaces that will improve the timeliness, efficiency, and accuracy of the reported data, while reducing the paperwork burden to the regulated community and DEC.

**My Facilities**

DEC ID	Facility Name	
<a href="#">1-2820-00947</a>	GLOBAL COMPANIES LLC - INWOOD TERMINAL	
<a href="#">1-4722-02441</a>	NISSEQUOGUE COGEN PARTNERS PLANT	<a href="#">Initiate Submission</a>

Compliance Certification Reports

Reporting Period	Due Date	Status	Action
04/01/2010 - 09/30/2010	10/30/2010	Overdue	<a href="#">Open</a>
1-4722-02441/00003, R1			

**RO Step 18: Select 'Initiate Submission' (Picture 45)**

Picture 45

The screenshot shows the 'Compliance Certification Report' page in the ACE ELECTRONIC REPORTING system. The page includes a navigation bar with 'Home', 'Help', 'Change Password', and 'Logout'. The user is identified as 's.Hogan, Air Compliance Responsible Official'. The main content area features a 'Report Summary' on the left and a table of regulatory citations on the right. The 'Initiate Submission' button is highlighted with a red arrow.

**Report Summary**

1-4722-02441-00003  
Renewal 1  
Report Type: Semi-Annual  
Reporting Period: 04/01/2010 - 09/30/2010  
Status: Overdue  
Due Date: 10/30/2010  
[Flag Report For Submission](#)  
 0 Known Errors  
 Version History

**Facility Details**

NISSEQUOGUE COGEN PARTNERS PLANT

**Regulatory Citation Table**

Condition Number	Requirement Description	Regulatory Citation	Begin Date	End Date	Permit Level	Compliance Status	Deviation(s)	Started	Validated
23	Facility Specific Monitoring	6 NYCRR Part 200	04/01/2010	09/30/2010	FACILITY		0	NO	NO
25	Facility Specific Monitoring	6 NYCRR 200.7	04/01/2010	09/30/2010	FACILITY		0	NO	NO
27	Facility Specific Monitoring	6 NYCRR Subpart 201-6	04/01/2010	09/30/2010	FACILITY		0	NO	NO
28	Semi annual reporting requirements	6 NYCRR 201-6.5 (c) (3)	04/01/2010	09/30/2010	FACILITY		0	NO	NO
5	Semiannual Reporting	6 NYCRR 201-6.5 (c) (3)	04/01/2010	09/30/2010	FACILITY		0	NO	NO

At this point, please refer to page 18, Section I-C for Submissions and start with Step 6.

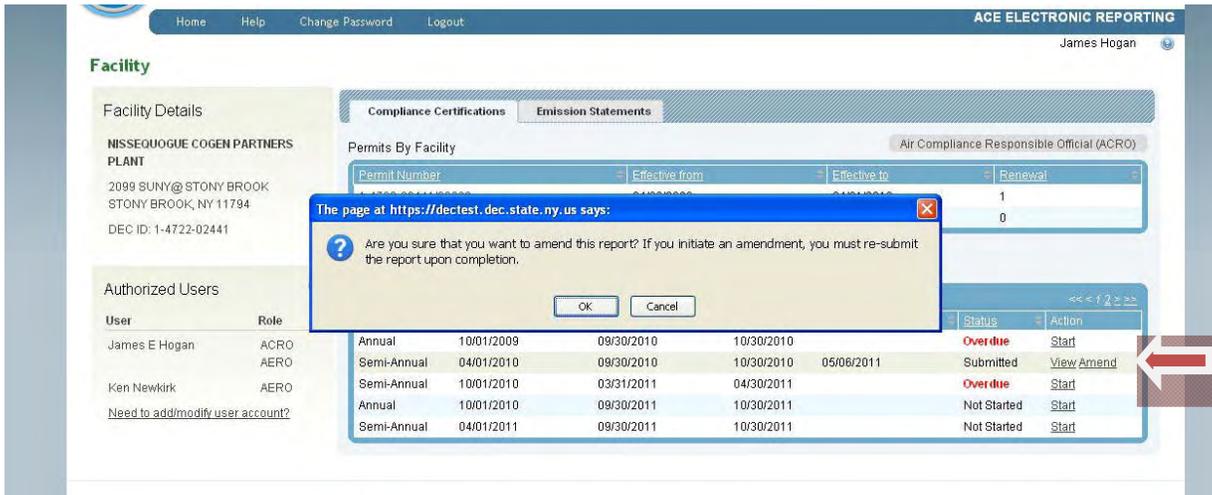
## Section 1.6 Amending a Submitted Report

Only the RO has the capacity to initiate an Amendment process.

**RO Step 1: Go to the Facility screen.**

**RO Step 2: Select 'Amend' under the Action column (Picture 46)**

Picture 46



RO is prompted whether they are sure they want to amend the report.

**RO Step 3: Select 'OK'.**

The Status column shows "Being Amended" (Picture 47).

Picture 47



An email about the request is automatically generated to the permit writer, the RAPCE and E-Reporting mailbox. The permit writer is under no obligation to review or start work on the request.

**RO Step 4: Select 'Continue' under the Action column to start working on a new report for submission (Picture 48)**

Refer to Section I-A for entering new data into ACE as required and Section I-D for Submittal of new report.

Picture 48

Home Help Change Password Logout **ACE ELECTRONIC REPORTING** James Hogan

### Facility

**Facility Details**

**NISSEQUOGUE COGEN PARTNERS PLANT**  
2099 SUNY@ STONY BROOK  
STONY BROOK, NY 11784  
DEC ID: 1-4722-02441

**Authorized Users**

User	Role
James E Hogan	ACRO
	AERO
Ken Newkirk	AERO
<a href="#">Need to add/modify user account?</a>	

**Compliance Certifications** | **Emission Statements**

Permits By Facility Air Compliance Responsible Official (ACRO)

Permit Number	Effective from	Effective to	Renewal
1-4722-02441/00003	04/02/2008	04/01/2013	1
1-4722-02441/00003	03/23/2001	04/01/2008	0

Compliance Certifications for Permit: **1-4722-02441/00003**, Renewal **1**

Showing 1 to 5 of 10

Type	Report Start Date	Report End Date	Due Date	Submission Date	Status	Action
Annual	10/01/2009	09/30/2010	10/30/2010		<b>Overdue</b>	<a href="#">Start</a>
Semi-Annual	04/01/2010	09/30/2010	10/30/2010		Being Amended	<a href="#">Continue</a>
Semi-Annual	10/01/2010	03/31/2011	04/30/2011		<b>Overdue</b>	<a href="#">Start</a>
Annual	10/01/2010	09/30/2011	10/30/2011		Not Started	<a href="#">Start</a>
Semi-Annual	04/01/2011	09/30/2011	10/30/2011		Not Started	<a href="#">Start</a>



## Section 2.0 The Experienced User 2.1 Mass Data Entry

For the experienced ACE user, mass data entry is a time saving shortcut to complete reports with multiple conditions. It is a way to transfer large amounts of information from a previously submitted report into the current ACE report faster than manually entering data condition by condition.

Win-zip is the default zip file format. DAR recommends using the default (WinZip) however other compressed file formats are compatible.

### Getting Started

The CCE/ESE, or the RO who is completing the tasks of a CCE or ESE, enters ACE by following steps 1 through 6 described on pages 3 to 6. Mass data entry is begun at step 7.

**CCE/RO Step 7-A: Select 'Download Template' option located at the center top of the Report Summary (Picture 49)**

Picture 49

The screenshot displays the 'Compliance Certification Report' interface. At the top, a red arrow points to the 'Download Template' button. The interface includes a 'Report Summary' section on the left with details for report 1-4722-02441-00003, and a main table of regulatory citations. The table has columns for Condition Number, Requirement Description, Regulatory Citation, Begin Date, End Date, Permit Level, Compliance Status, Deviation(s), Started, and Validated. A 'Regulatory Citation' dropdown menu is visible above the table with 'Filter' and 'Clear' buttons.

Condition Number	Requirement Description	Regulatory Citation	Begin Date	End Date	Permit Level	Compliance Status	Deviation(s)	Started	Validated
23	Facility Specific Monitoring	6 NYCRR Part 200	04/01/2010	09/30/2010	FACILITY		0	NO	NO
25	Facility Specific Monitoring	6 NYCRR 200.7	04/01/2010	09/30/2010	FACILITY		0	NO	NO
27	Facility Specific Monitoring	6 NYCRR Subpart 201-6	04/01/2010	09/30/2010	FACILITY		0	NO	NO
28	Semi annual reporting requirements	6 NYCRR 201-6.5 (c) (3)	04/01/2010	09/30/2010	FACILITY		0	NO	NO
5	Semiannual Reporting Requirements (i)	6 NYCRR 201-6.5 (c) (3)	04/01/2010	09/30/2010	FACILITY		0	NO	NO
35	Applicability and deadline.	6 NYCRR 204-4.1	04/01/2010	09/30/2010	FACILITY		0	NO	NO
54	Notifications (Region 1).	6 NYCRR 204-8.4	04/01/2010	09/30/2010	1-00001 P0001		0	NO	NO
38	Notifications (Region 1).	6 NYCRR 204-8.4	04/01/2010	09/30/2010	FACILITY		0	NO	NO

The **Download Template** tab opens the Download Template (Picture 50).

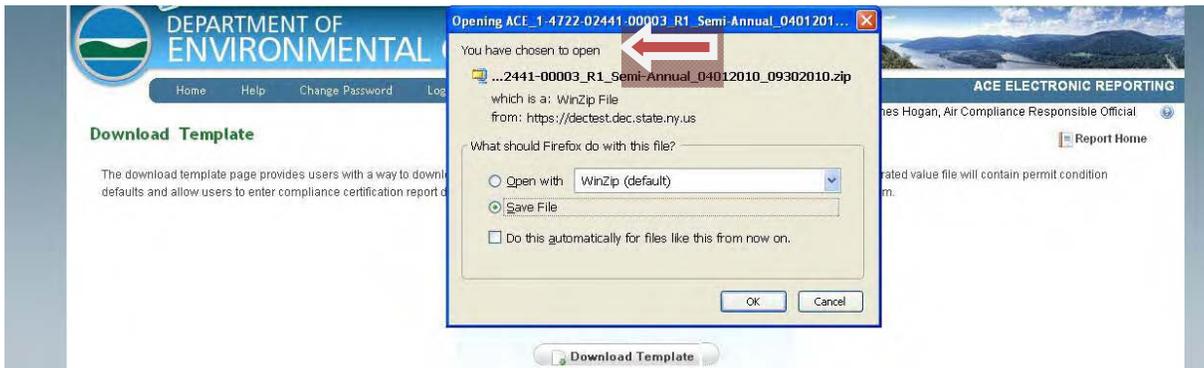
**CCE/ RO Step 7-B: Select 'Download Template,' located in the center of the screen. (Picture 50)**

Picture 50



A screen opens with the text **"You have chosen to open"** followed by the DEC ID, report period, title of the report period and the dates of the report the user is currently in Picture 51.

Picture 51



**CCE/ RO Step 7-C: Select 'Save File' then mouse click 'OK' (Picture 52)**

Picture 52



**'Save File'** downloads the compressed folder containing at least two zip spreadsheet files to your computer. **'Open with'** allows the selection of the compressed or zip file to be view or edited the file but does not save it.

**DAR recommends always saving the compressed folder with the zip files to your desktop.**

**CCE/ RO Step 7-D: Open the Win-zip folder.** If WinZip is on the computer, double click on the WinZip folder to find the Microsoft Excel data spreadsheets, 'ComplianceCondition.CSV' and 'ComplianceDeviation.CSV.' This manual uses Microsoft Excel for this instruction however any spreadsheet program can be used.

Open the file using the WinZip Wizard as follows:

- a. Double click on the WinZip folder,
- b. Select **'Next'** on the **'Welcome to...'** using the WinZip Wizard.
- c. The user is prompted to Unzip or install on the **'What do you want to do?'** screen.
- d. Select **'Unzip or install from an existing Zip file'** and select **'Next.'**
- e. The user is asked to either **'Unzip Now'** or **'unzip to selected folder,'**
- f. Select **'Unzip to selected folder'** and choose your Desktop. Select **'ok.'**
- g. Select **'Unzip Now'** and then **'Finish.'** A screen will display your desktop. Close the screen.

Two Microsoft Excel data spreadsheets, 'ComplianceCondition.CSV' and 'ComplianceDeviation.CSV,' are now unzipped and located on the desktop.

**CCE/ RO Step 7-E: Open the 'ComplianceCondition.CSV' spreadsheet (Picture 53)**

Column A, (Permit Condition Number) and Column C, (Regulatory Citation) already contain data. Column B, Permit Condition Modification Number, may contain data if the permit has modifications.

Picture 53

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P
1	PermitConditionNumber	PermitConditionModificationNumber	RegulatoryCitation	RequirementSynopsis	ComplianceMethodDescription	ComplianceStatus	ComplianceDate	SeparateReportDate	ReportDate							
2	23		6 NYCRR Part 200													
3	25		6 NYCRR 200.7													
4	27		6 NYCRR Subpart 201-6													
5	28		6 NYCRR 201-6.5 (c) (3)													
6	5		6 NYCRR 201-6.5 (c) (3) (ii)													
7	35		6 NYCRR 204-4.1													
8	54		6 NYCRR 204-8.4													
9	38		6 NYCRR 204-8.4													
10	39		40 CFR 52.21													
11	40		40 CFR 52.21													
12	65		40 CFR 60.11													
13	67		40 CFR 60.49b													
14																
15																

**CCE/ RO Step 7-F: Enter all data for each permit condition.**

- (1.) Complete Column D, **'Requirement Synopsis,'** and Column E, **'Compliance Method Description,'** from the written permit.
- (2.) **Enter the condition compliance status,** as either **'Continuous,' 'Intermittent,'** or **'Not applicable.'**

If the report contains a condition with an 'Intermittent' compliance status, then there is a deviation and the data must also be placed in the Deviations spreadsheet. If there is a deviation, please go to Section II B (page 37).

Alternatively, the CCE could also go through the conditions AFTER uploading in order to change any conditions to 'intermittent' in those singular deviations as needed and then add the deviation at the same time.

*Data for separate reports may also be added by completing columns H and I.*

**CCE/ RO Step 7-G: Save on the desktop as 'ComplianceCondition.CSV' and then close out of the file.**

An error message may appear informing the CCE that saving in CSV form may result in loss data. A prompt asks if you want to save anyway. Select 'Yes.'

**CCE/ RO Step 7-H: Re-zip or re-compress the 'ComplianceCondition.CSV' spreadsheet file as follows:**

- Open WinZip Wizard by selecting the WinZip Folder on the desktop.
- Select **'Next.'**
- Select Update **'ACE...'** and select **'Next'**
- Select **'Add files,'**
- A window of the files on desktop appears. Find the unzipped files. Add each file.

Select 'Zip Now'  
Select 'Finish.'

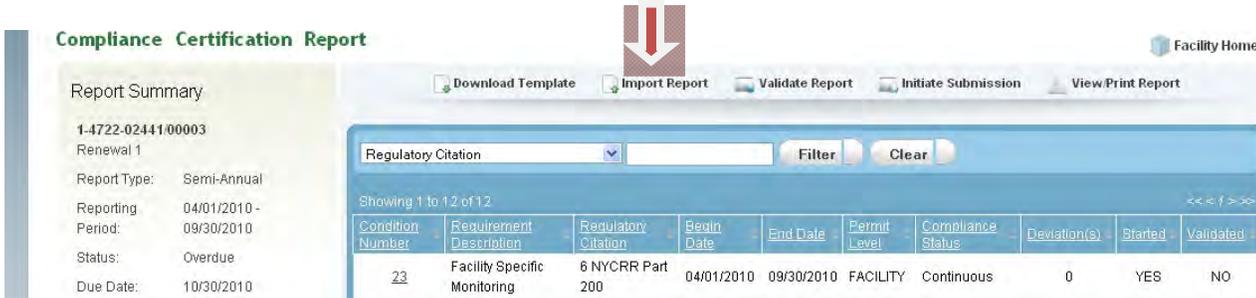
***NOTE:*** The ACE system default requires both the 'ComplianceCondition.CSV' and the 'ComplianceDeviation.CSV' files in order to process the submittal. Therefore, even when the compliance certification report does not contain a deviation, the files must be submitted together.

The ACE Compliance Certification Report screen remains open throughout the mass data entry. Re-login if necessary.

## Section 2.2 The Import process

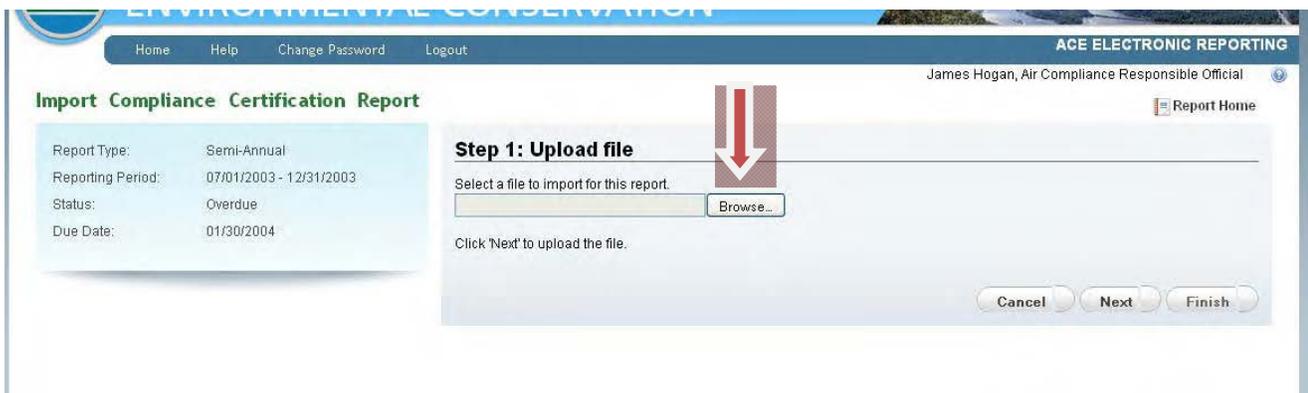
**CCE/ RO Step 7-I: Select the 'Import Report' option on the Compliance Certification Report screen (Picture 54).**

Picture 54



**CCE/ RO Step 7-J: Select 'Browse..' (Picture 55)**

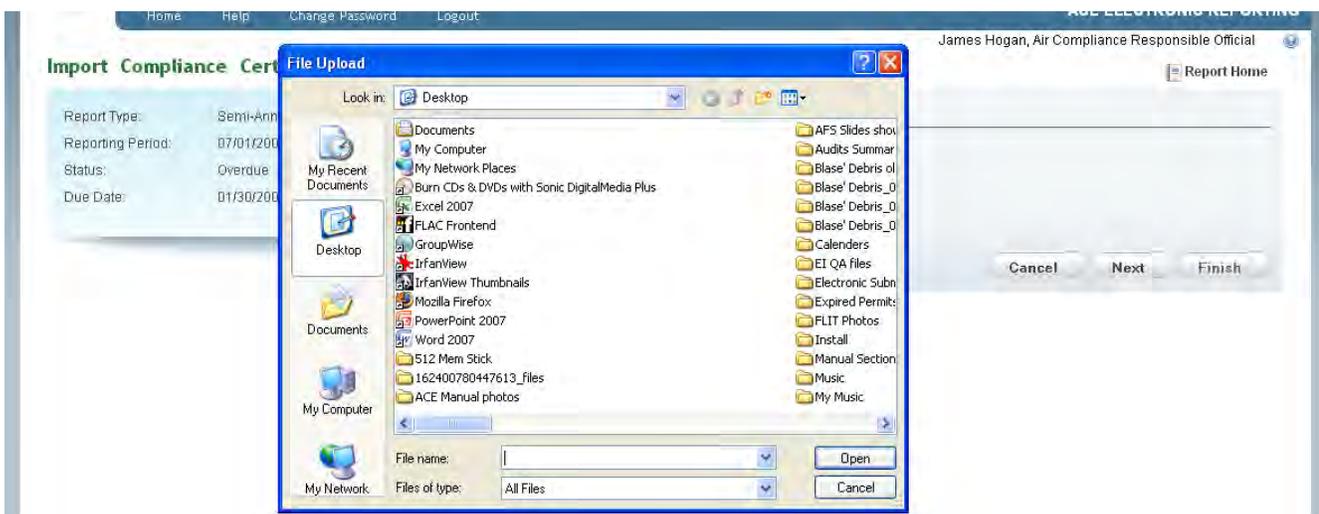
Picture 55



The "Upload File" is the zip folder containing both compliance and deviation data spreadsheets.

**CCE/ RO Step 7-K: Find and Select the WinZip folder previously saved on the desktop (Picture 56)**

Picture 56



Remember that both the compliance and deviation files are in the WinZip folder. Keep them together and submit them together.

## CCE/ RO Step 7-L: Select 'Next'. (Picture 57)

Picture 57

The screenshot shows the 'Import Compliance Certification Report' page. On the left, a light blue box contains report details: Report Type: Semi-Annual, Reporting Period: 07/01/2003 - 12/31/2003, Status: Overdue, and Due Date: 01/30/2004. The main content area is titled 'Step 1: Upload file' and includes the instruction 'Select a file to import for this report.' Below this is a file path 'C:\Documents and Settings\jehogan\Des' followed by a 'Browse...' button. A large red arrow points downwards. At the bottom right, there are three buttons: 'Cancel', 'Next', and 'Finish'.

If the files are in the correct format, ACE will prompt you to continue the upload process.

## CCE/ RO Step 7-M: Select 'Next' to continue (Picture 58)

ACE reviews/validates the files.

Picture 58

The screenshot shows the 'Import Compliance Certification Report' page. The left sidebar with report details remains the same. The main content area is titled 'Step 2: Validate Report' and displays the message 'The format of your uploaded file is valid.' Below this is the instruction 'Click 'Next' to validate the report using business rules.' A large red arrow points downwards. At the bottom right, there are three buttons: 'Cancel', 'Next', and 'Finish'.

## CCE/ RO Step 7-N: Select 'Finish' (Picture 59)

Picture 59

The screenshot shows the 'Import Compliance Certification Report' page. The left sidebar with report details remains the same. The main content area is titled 'Step 3: Save Report' and displays the message 'Your report has been validated successfully.' Below this is the instruction 'Please click 'Finish' to save the imported report to the system.' A large red arrow points downwards. At the bottom right, there are three buttons: 'Cancel', 'Next', and 'Finish'.

This step completes the import of both of the Microsoft Excel data files into ACE.

When the data upload is successful and the user selects '**Finish**', the **Compliance Certification Report** screen appears with "Yes" under both the Started and Validate columns (Picture 60).

Picture 60



**CCE/ RO Step 7-O: The CEE informs Reviewer *or* the RO the data is in the system and ready to submit.**

The data used in **Compliance Condition** and **Compliance Deviation** reports submitted through ACE into AFS and accepted by DAR are available for transfer into other reports. For example, a CCE enters data for the Semi-Annual report, submits the report, and the report is entered in AFS. The data from that Semi-Annual report is then available for any other Semi-Annual or Annual Report by selecting the Default Requirement Synopsis/Compliance Method.

Find Steps for 'Activate Flag Report for Submission' on page 25.

### **Section 2.3 Deviations**

A deviation is a variation in specific requirements or limits of a permit condition during the reporting period. A deviation is not always a violation however a violation is always a deviation. When a deviation becomes repetitive, it is generally considered a violation.

The CCE has to decide whether a variation in the data relative to the requirements of the permit condition rises to the level of a deviation. When it does, the compliance status is documented as an 'Intermittent' compliance status. The CCE's explanation of the variations in the 'Add Deviations' screen assists DAR to determine whether the deviation is a violation.

#### **Getting Started**

The CCE/ESE, or RO completing the CCE or ESE tasks, enters ACE by following steps 1 through 6, pages 3 to 6.

**CCE/ RO Step 7: Select 'Intermittent' located under the Compliance Status (Picture 61)**

Picture 61

**Compliance Condition** Condition 11 of 95 Previous | Next Report Home

**Condition Summary**

Condition Number: 86  
Regulatory Citation: 6 NYCRR 211.2  
Permit Level: FACILITY  
Begin Date: 10/1/10  
End Date: 9/30/11  
Validated: NO  
Deviations: 0  
0 Known Errors

**Deviations** No deviations exist for the condition.

**Compliance Status**  
 Continuous  Intermittent  Not Applicable

**Requirement Synopsis** [Default Requirement Synopsis/Compliance Method](#)  
4000 characters left

**Compliance Method Description**  
4000 characters left

**Not Applicable Explanation**  
4000 characters left

**Separate Report Date**

**Separate Report Description**  
4000 characters left

Cancel Save Save and Validate

CCE/ RO Step 8: Complete the Requirement Synopsis and Compliance Method Description fields (Picture 62)

Picture 62

**Compliance Condition** Condition 3 of 11 Previous | Next Report Home

**Condition Summary**

Condition Number: 28  
Regulatory Citation: 6 NYCRR 201-6.5 (c) (3)  
Permit Level: FACILITY  
Begin Date: 1/1/02  
End Date: 6/30/02  
Validated: NO  
Deviations: 0  
0 Known Errors

**Deviations** No deviations exist for the condition.

**Compliance Status**  
 Continuous  Intermittent  Not Applicable

**Requirement Synopsis** [Default Requirement Synopsis/Compliance Method](#)  
4000 characters left

**Compliance Method Description**  
4000 characters left

**Not Applicable Explanation**  
4000 characters left

**Separate Report Date**

**Separate Report Description**  
4000 characters left

CCE/ RO Step 9: Select 'Add Deviations' icon, the green sphere with a plus sign in the middle of it under the Deviations heading on the left side of the screen (Picture 63)

Picture 63

The screenshot shows a web-based form titled "Compliance Condition". At the top right, it identifies the user as "James Hogan, Air Compliance Responsible Official" and shows navigation options: "Condition 3 of 11", "Previous | Next", and "Report Home".

**Condition Summary**

- Condition Number: 28
- Regulatory Citation: 6 NYCRR 201-6.5 (c) (3)
- Permit Level: FACILITY
- Begin Date: 1/1/02
- End Date: 6/30/02
- Validated: NQ
- Deviations: 0
- 0 Known Errors

**Compliance Status**

Continuous  Intermittent  Not Applicable

**Requirement Synopsis**

The permit shall incorporate all applicable Federal reporting requirements which must include the following: submittal of any required monitoring at least every 6 months; and notification and reporting of permit deviations and incidences of noncompliance stating the probable cause of such deviations, and any corrective actions or preventative measures.

3696 characters left

**Compliance Method Description**

The owner/operator shall submit reports of all required monitoring at least every 6 months; and the notification and reporting of permit deviations and incidences of noncompliance stating the probable cause of such deviations, and any corrective actions or preventative measures.

3721 characters left

**Not Applicable Explanation**

4000 characters left

**Separate Report Date**

**Separate Report Description**

4000 characters left

Buttons: Cancel, Save, Save and Validate

A red arrow points to a small green button with a plus sign, labeled "Add Deviations", located in the "Deviations" section.

The Add Deviations screen appears (Picture 64)

**CCE/ RO Step 10: Add data.**

Complete each field of the Add Deviations screen (Picture 64).

Picture 64

The screenshot shows a modal window titled "Add Deviation" overlaid on the "Compliance Condition" form. The background form is dimmed.

**Add Deviation**

Condition Number: 86 Condition Effective Period: 1/01/2010 - 06/30/2012

**Deviation Type**: Choose One (dropdown menu)

**Number of Occurrences**:

**Begin Date**:

**End Date**:

**Written Notification Date**:

**Description**:  4000 characters left

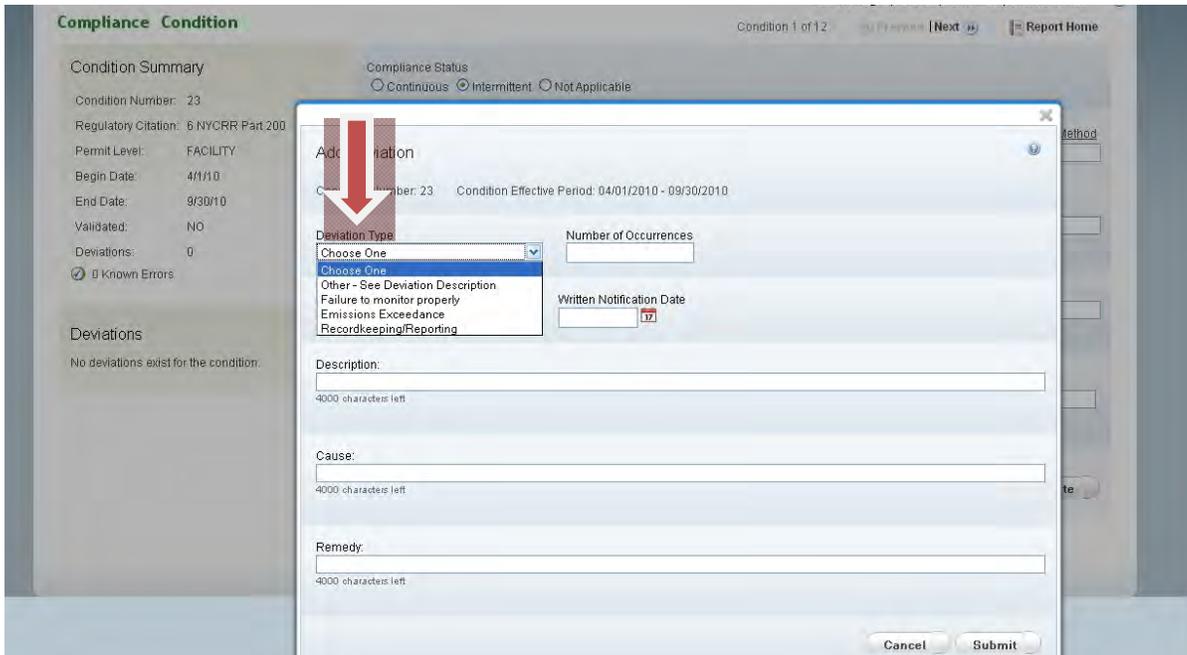
**Cause**:  4000 characters left

**Remedy**:  4000 characters left

Buttons: Cancel, Submit, Save and Validate

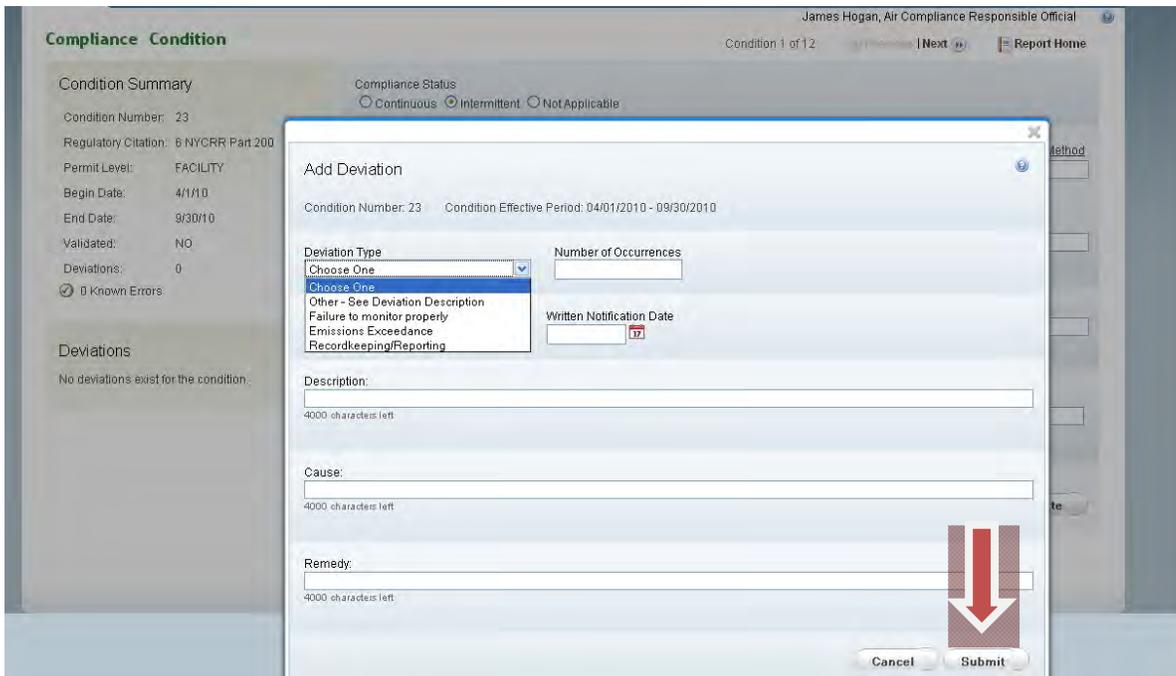
**CCE/ RO Step 11: Select one of the four possible Deviation Types from the drop menu (Picture 65)**

Picture 65



**CCE/ RO Step 12: Select 'Submit', located in the lower right hand corner (Picture 66)**

Picture 66



The Compliance Condition screen re-appears.

**CCE/ RO Step 13: Select 'Save and Validate'.**

a.) A yellow banner shows across the top of the screen with the words, '**Condition save and validate successful**' when each field is correctly completed, and

b.) A deviation shows under the Deviation section on the Compliance Condition screen (Picture 67).

Picture 67

### Compliance Condition

Condition save and validate successful.



Condition 3 of 11    << Previous | Next >>    Report Home

#### Condition Summary

Condition Number: 28  
Regulatory Citation: 6 NYCRR 201-6.5 (c) (3)  
Permit Level: FACILITY  
Begin Date: 1/1/02  
End Date: 6/30/02  
Validated: YES  
Deviations: 1  
 Known Errors

#### Compliance Status

Continuous  Intermittent  Not Applicable

#### Requirement Synopsis

[Default Requirement Synopsis/Compliance Method](#)

The permit shall incorporate all applicable Federal reporting requirements which must include the following: submittal of any required monitoring at least every 6 months; and notification and reporting of permit deviations and incidences of noncompliance stating the probable cause of such deviations, and any corrective actions or preventative measures.

3646 characters left

#### Compliance Method Description

The owner/operator shall submit reports of all required monitoring at least every 6 months; and the notification and reporting of permit deviations and incidences of noncompliance stating the probable cause of such deviations, and any corrective actions or preventative measures.

3721 characters left

#### Not Applicable Explanation

4000 characters left

#### Separate Report Date

17

#### Separate Report Description

4000 characters left

Cancel    Save    Save and Validate

#### Deviations

#1 Type: Recordkeeping/Reporting



CCE/ RO Step 14: Select 'Report Home' or 'Previous/Next' to continue (Picture 68)

Picture 68

### Compliance Condition

Condition save and validate successful.

Condition 3 of 11    << Previous | Next >>    Report Home



#### Condition Summary

Condition Number: 28  
Regulatory Citation: 6 NYCRR 201-6.5 (c) (3)  
Permit Level: FACILITY  
Begin Date: 1/1/02  
End Date: 6/30/02  
Validated: YES  
Deviations: 1  
 Known Errors

#### Compliance Status

Continuous  Intermittent  Not Applicable

#### Requirement Synopsis

[Default Requirement Synopsis/Compliance Method](#)

The permit shall incorporate all applicable Federal reporting requirements which must include the following: submittal of any required monitoring at least every 6 months; and notification and reporting of permit deviations and incidences of noncompliance stating the probable cause of such deviations, and any corrective actions or preventative measures.

3646 characters left

#### Compliance Method Description

The owner/operator shall submit reports of all required monitoring at least every 6 months; and the notification and reporting of permit deviations and incidences of noncompliance stating the probable cause of such deviations, and any corrective actions or preventative measures.

3721 characters left

#### Not Applicable Explanation

4000 characters left

#### Separate Report Date

17

#### Separate Report Description

4000 characters left

Cancel    Save    Save and Validate

Selecting 'Report Home' opens the **Compliance Certification Report** screen, where all conditions can be viewed.

Selecting either 'Previous' or 'Next' opens to a single condition.

## Section 2.4 Edit an Existing Deviation

Follow Steps 1 through 6 to enter Ace and select a report, (pages 3 to 5 for CCE or pages 13 to 15 for RO).

**CCE/ RO Step 7: Select 'Open Deviation' icon, a picture of text with a pencil on top of it (Picture 69)**

Picture 69

The screenshot shows the 'Compliance Condition' form for Condition 9 of 12. The user is James Hogan, Air Compliance Responsible Official. The form includes sections for 'Condition Summary', 'Compliance Status', 'Requirement Synopsis', 'Compliance Method Description', 'Not Applicable Explanation', and 'Separate Report Date'. A table at the bottom left shows a list of deviations with columns for '#1', 'Type', 'Recordkeeping/Reporting', and an icon. A red arrow points to the 'Add Deviation' icon (a pencil on a document) in the first row of the table. The 'Save and Validate' button is visible at the bottom right.

An 'Add Deviation' screen appears where editing can be done in any of the text boxes (Picture 70).

**CCE/ RO Step 8: Edit data by completing all fields (Picture 70)**

Picture 70

The screenshot shows the 'Add Deviation' form. The condition number is 39 and the effective period is 04/01/2011 - 09/30/2011. The form has the following fields:

- Deviation Type: Recordkeeping/Reporting (dropdown)
- Number of Occurrences: 1 (text box)
- Begin Date: 8/1/11 (calendar)
- End Date: 8/1/11 (calendar)
- Written Notification Date: 8/2/11 (calendar)
- Description: Failure to maintain log of sulfur content per delivery. (3945 characters left)
- Cause: Operator error. (3985 characters left)
- Remedy: Reviewed the condition and its requirements with the operator.. (3937 characters left)

The 'Save and Validate' button is at the bottom right.

**CCE/ RO Step 9: Select 'Submit'.** It is not shown in the picture but located in the lower right hand corner of the 'Add Deviation' screen (Picture 71).

Picture 71

The screenshot shows the 'Add Deviation' form. On the left, a 'Compliance Condition' sidebar lists details for Condition Number 39, Regulatory Citation 40 CFR 52.21, and other metadata. The main form area includes a 'Condition Summary' section with the same details. Below this are fields for 'Deviation Type' (a dropdown menu), 'Number of Occurrences' (a text box), and dates for 'Begin Date', 'End Date', and 'Written Notification Date'. Three large text input areas are provided for 'Description', 'Cause', and 'Remedy', each with a '4000 characters left' indicator. At the bottom right, there are 'Cancel' and 'Submit' buttons. A red arrow points to the 'Submit' button.

The 'Add Deviation' screen closes and returns to the **Compliance Condition** screen.

**CCE/ RO Step 10: Select 'Save' or 'Save and Validate'** (Picture 72)

Picture 72

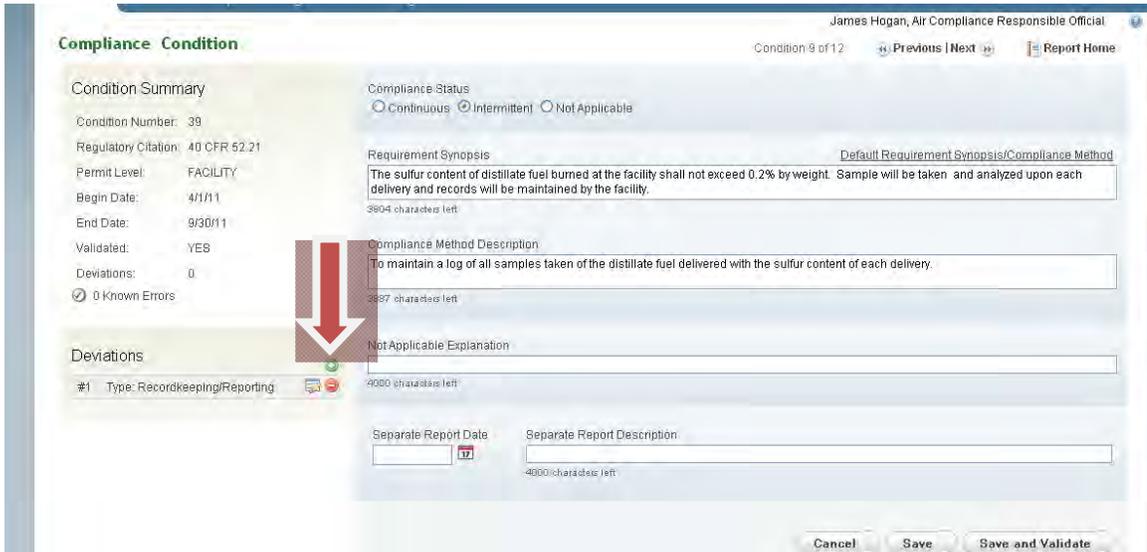
The screenshot shows the 'Compliance Condition' screen. The left sidebar contains the 'Condition Summary' for Condition Number 39. The main content area is divided into several sections: 'Compliance Status' with radio buttons for 'Continuous', 'Intermittent', and 'Not Applicable'; 'Requirement Synopsis' with a text box containing the text 'The sulfur content of distillate fuel burned at the facility shall not exceed 0.2% by weight. Sample will be taken and analyzed upon each delivery and records will be maintained by the facility.'; 'Compliance Method Description' with a text box containing 'To maintain a log of all samples taken of the distillate fuel delivered with the sulfur content of each delivery.'; and 'Not Applicable Explanation' with an empty text box. Below these are fields for 'Separate Report Date' and 'Separate Report Description'. At the bottom right, there are 'Cancel', 'Save', and 'Save and Validate' buttons. A red arrow points to the 'Save and Validate' button.

## Section 2.5 Adding Additional Deviations

Follow Steps 1 through 6 to enter ACE and select a report, pages 3 to 5 for CCE or pages 13 to 15 for ROs.

**CCE/ RO Step 7: Select 'Add Deviations' icon, the green sphere with a plus sign in the middle of it under the Deviations heading on the left side of the screen.** This opens a blank 'Add Deviation' screen (Picture 73).

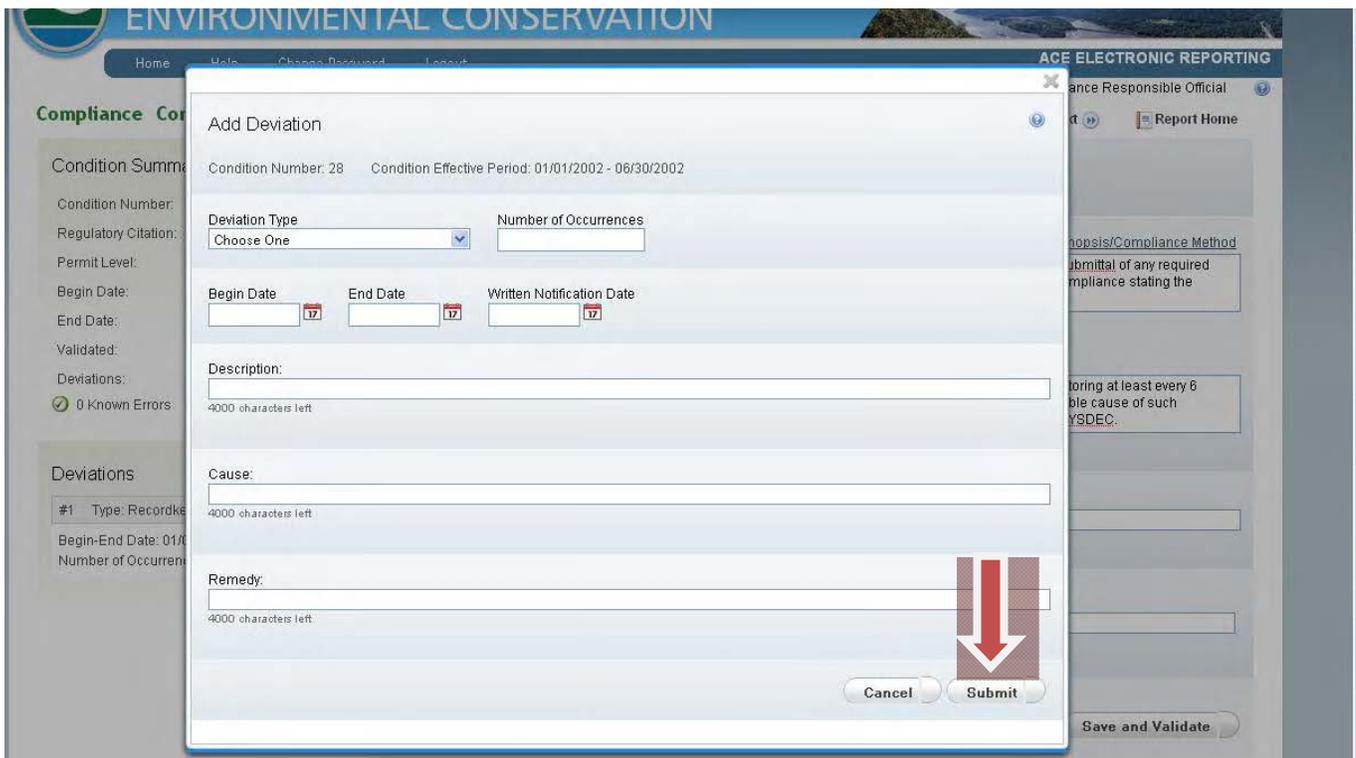
Picture 73



The screenshot shows the 'Compliance Condition' interface. On the left, under the 'Deviations' heading, there is a green circle with a plus sign. A red arrow points to this icon. The main area contains fields for 'Condition Summary', 'Compliance Status', 'Requirement Synopsis', 'Compliance Method Description', 'Not Applicable Explanation', and 'Separate Report Date/Description'. At the bottom right, there are 'Cancel', 'Save', and 'Save and Validate' buttons.

**CCE/ RO Step 8: Enter data in all fields and select 'Submit' located in the lower right hand corner** (Picture 74)

Picture 74



The screenshot shows the 'Add Deviation' dialog box. It contains fields for 'Condition Number: 28', 'Condition Effective Period: 01/01/2002 - 06/30/2002', 'Deviation Type' (dropdown), 'Number of Occurrences', 'Begin Date', 'End Date', and 'Written Notification Date'. There are also text areas for 'Description', 'Cause', and 'Remedy'. At the bottom right, there are 'Cancel' and 'Submit' buttons. A red arrow points to the 'Submit' button.

## CCE/ RO Step 9: Select 'Save and Validate.'

The screen shows the deviations displayed in the order they were entered (Picture 75).

Picture 75

The screenshot displays the 'Compliance Condition' interface. At the top right, it identifies the user as 'James Hogan, Air Compliance Responsible Official' and shows 'Condition 9 of 12' with navigation buttons for 'Previous', 'Next', and 'Report Home'.

**Condition Summary:**

- Condition Number: 39
- Regulatory Citation: 40 CFR 52.21
- Permit Level: FACILITY
- Begin Date: 4/1/11
- End Date: 9/30/11
- Validated: YES
- Deviations: 0
- 0 Known Errors

**Compliance Status:**  Continuous  Intermittent  Not Applicable

**Requirement Synopsis:** [Default Requirement Synopsis/Compliance Method](#)  
The sulfur content of distillate fuel burned at the facility shall not exceed 0.2% by weight. Sample will be taken and analyzed upon each delivery and records will be maintained by the facility.  
3804 characters left

**Compliance Method Description:**  
To maintain a log of all samples taken of the distillate fuel delivered with the sulfur content of each delivery.  
3887 characters left

**Not Applicable Explanation:**  
4000 characters left

**Separate Report Date:** [Date Picker] [TZ]

**Separate Report Description:**  
4000 characters left

**Deviations:**

- #1 Type: Recordkeeping/Reporting [Edit] [Delete]
- #2 Type: Failure to monitor properly [Edit] [Delete]

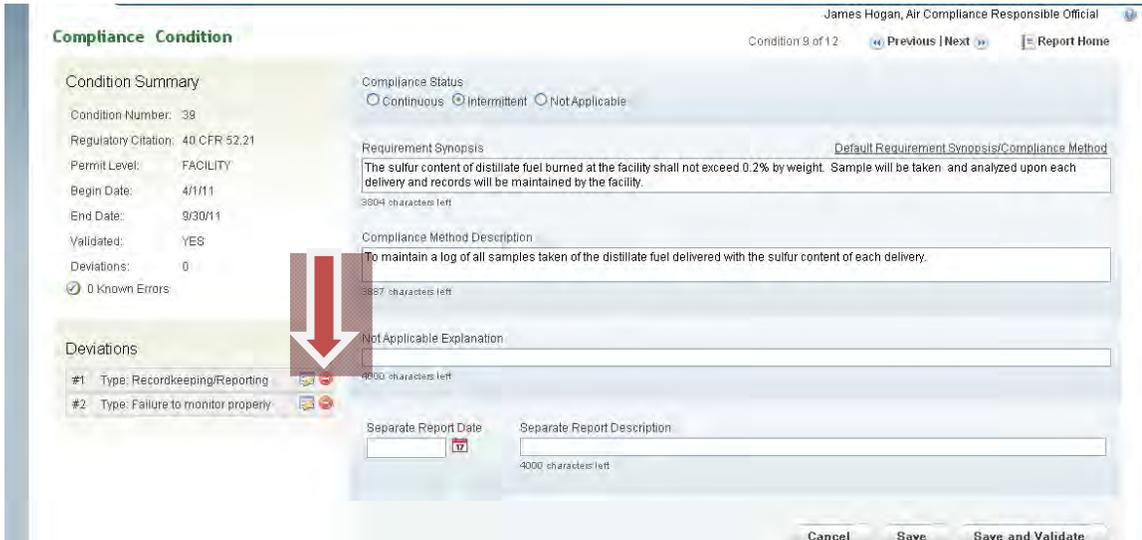
At the bottom right, there are three buttons: 'Cancel', 'Save', and 'Save and Validate'.

## Section 2.6 Deleting Deviations

Follow Steps 1 through 6 pages 3 to 5 and select a report.

**CCE/ RO Step 7: Select 'Delete Deviation' icon (a red circle with a minus sign in it) located under the Deviations section (Picture 76)**

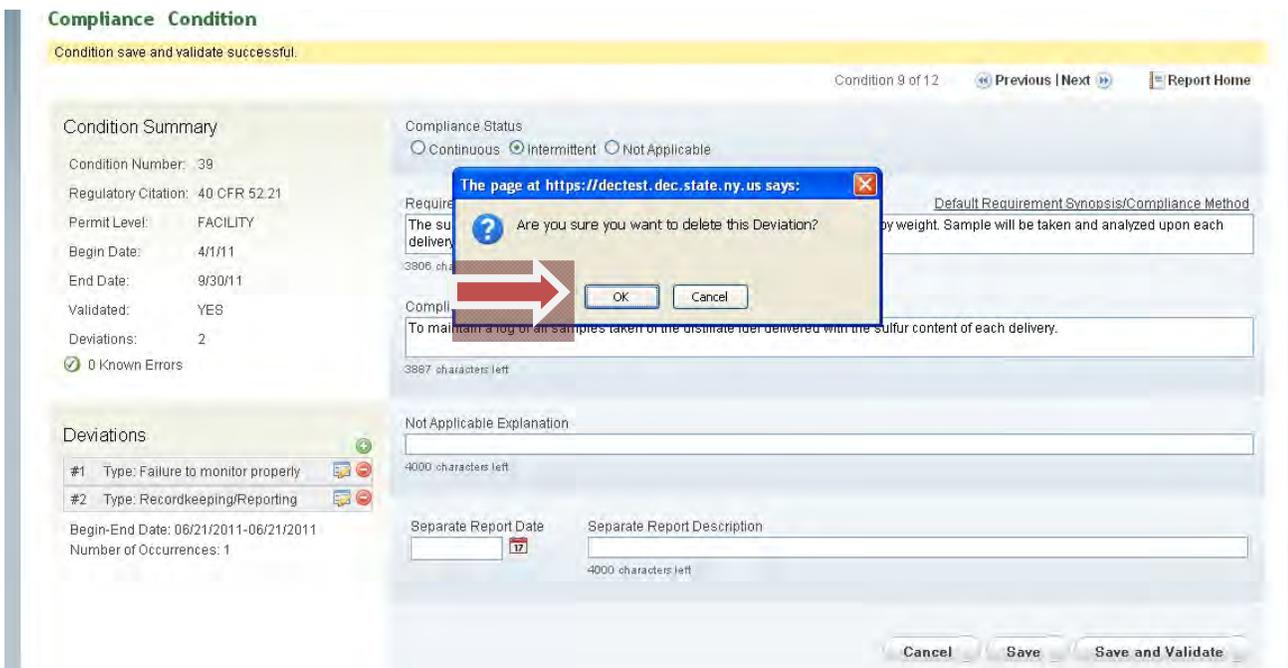
Picture 76



The screenshot shows the 'Compliance Condition' form for Condition 9 of 12. The 'Deviations' section lists two items: #1 Type: Recordkeeping/Reporting and #2 Type: Failure to monitor properly. A red arrow points to the delete icon (a red circle with a minus sign) next to the first deviation. The form includes fields for Compliance Status (Continuous, Intermittent, Not Applicable), Requirement Synopsis, Compliance Method Description, Not Applicable Explanation, Separate Report Date, and Separate Report Description. Buttons for Cancel, Save, and Save and Validate are at the bottom.

**CCE/ RO Step 8: Select 'OK' (Picture 77)**

Picture 77



The screenshot shows the same 'Compliance Condition' form, but now with a confirmation dialog box overlaid. The dialog box has a title bar that reads 'The page at https://dectest.dec.state.ny.us says:' and contains the question 'Are you sure you want to delete this Deviation?'. There are 'OK' and 'Cancel' buttons in the dialog. A red arrow points to the 'OK' button. The background form shows the 'Deviations' section with two items, and the 'Compliance Status' is set to 'Intermittent'. A yellow banner at the top of the form reads 'Condition save and validate successful.'

**CCE/ RO Step 9: Select 'Save and Validate.'**

The Deviation will no longer be listed under the **Deviations** heading.

## Section 2.7

## 'Not Applicable' Compliance Status

The compliance status 'Not Applicable' is not a compliance status. It is used when no compliance determination is required. For example, when a performance test is required in a condition of a permit, 'Non Applicable' would be selected.

**Steps 1 through 6** on how to enter the system and select a report were explained previously. See pages 3 to 5 (for CCE) or pages 13 to 15 (for ROs) for these steps.

**CCE/ RO Step 7: Select 'Not Applicable' as the compliance status.**

**CCE/ RO Step 8: Enter data in 'Requirement Synopsis,' 'Compliance Method Description' and 'Not Applicable Explanation' fields (Picture 78)**

Picture 78

The screenshot displays the 'Compliance Condition' form. At the top, a yellow banner reads 'Condition save and validate successful.' Below this, the form is divided into several sections:

- Condition Summary:** Includes fields for Condition Number (39), Regulatory Citation (40 CFR 52.21), Permit Level (FACILITY), Begin Date (4/1/11), End Date (9/30/11), Validated (YES), Deviations (0), and a checked 'Known Errors' checkbox.
- Compliance Status:** Radio buttons for Continuous, Intermittent, and Not Applicable (selected).
- Requirement Synopsis:** A text box containing the text: 'The sulfur content of distillate fuel burned at the facility shall not exceed 0.2% by weight. Sample will be taken and analyzed upon each delivery and records will be maintained at the facility.' (3906 characters left).
- Compliance Method Description:** A text box containing: 'To maintain a log of all samples taken of the distillate fuel delivered with the sulfur content of each delivery.' (3997 characters left).
- Not Applicable Explanation:** A text box containing: 'No fuel was used during this period.' (3964 characters left).
- Separate Report Date:** A date picker field.
- Separate Report Description:** A text box (3900 characters left).

At the bottom right, there are three buttons: 'Cancel', 'Save', and 'Save and Validate'.

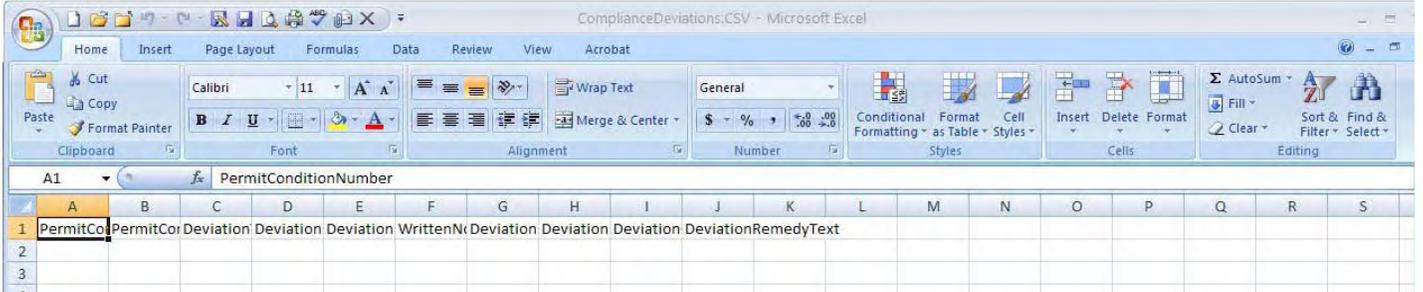
**CCE/ RO Step 9: Select 'Save and Validate'.**

## Section 2.8 Mass Data Upload when Adding Deviations

Mass Data Upload can be a time saver for the experienced user when there are multiple deviation occurrences on individual or multiple conditions.

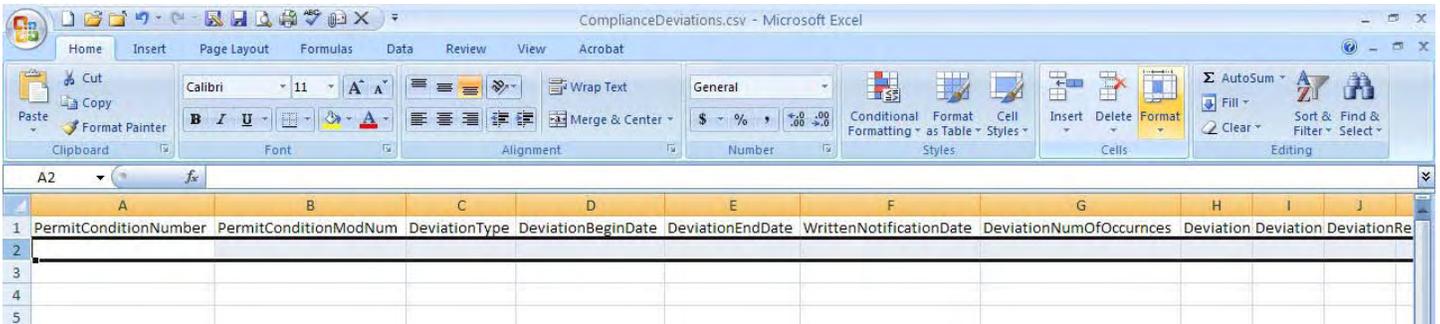
**CCE/ RO Step 7: Open the Microsoft Excel data spreadsheet 'ComplianceDeviation.CSV' file, save on a user's desktop during the Download Template section (Picture 79)**

Picture 79



**CCE/ RO Step 8: Enter data into spreadsheet (Picture 80)**

Picture 80



### Important

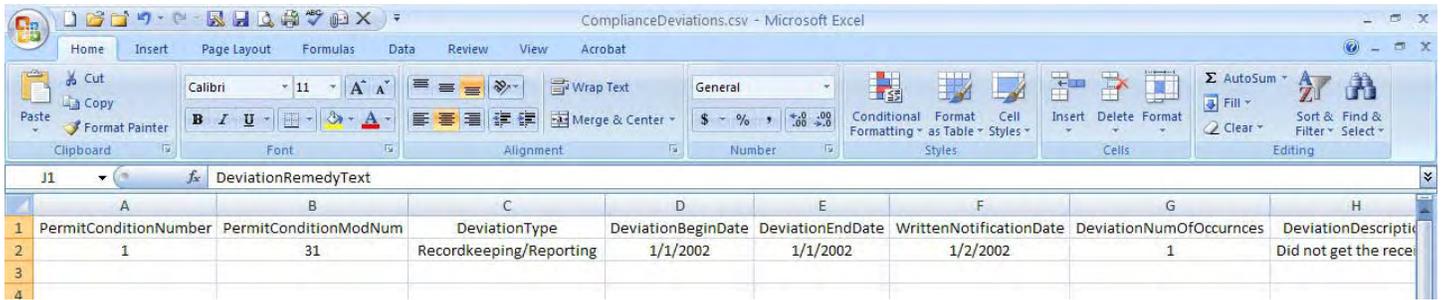
- 1) All columns (B through J) must be filled in once a Permit Condition Number has been entered into column A.
- 2) The user must insert a specific deviation type into Column C.

The choices are:

1. Other – See Deviation Description
2. Failure to monitor properly
3. Emissions Exceedance
4. Recordkeeping/Reporting

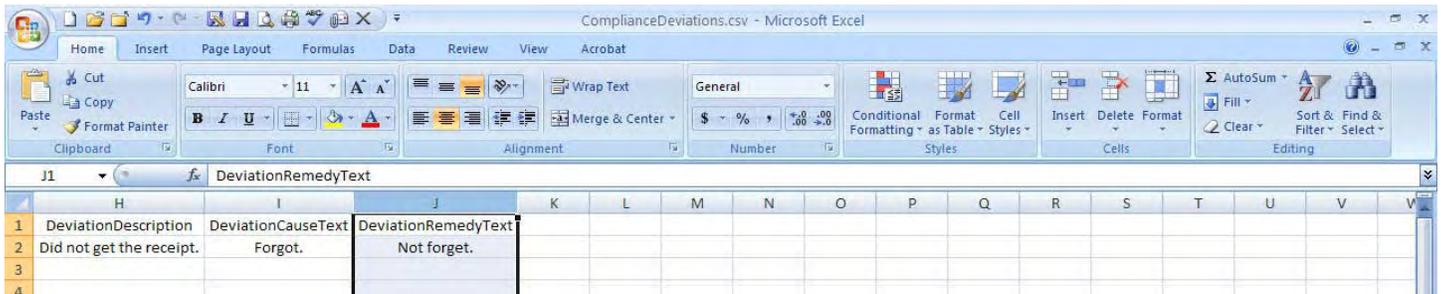
And they must be placed exactly as listed above, with the spaces and capital letters listed above. In Picture 81, columns A to H, illustrate how the data looks.

Picture 81



In Picture 82, columns H to J, illustrate how the data looks.

Picture 82



**CCE/ RO Step 8: Save the spreadsheet after all the data has been entered.**

Again DAR suggests saving the data to desktop for easy retrieval.

**CCE/ RO Step 9: Save file in CSV format if the original format was not CSV.**

Identical to the steps followed in the Mass Data Upload section, the user must save the file in CSV format before compressing it.

**CCE/ RO Step 10: Compress the Compliance/Deviation file for upload.**

**CCE/ RO Step 11: Save in the same folder that is used for submitting the report to ACE, identical to Mass Data Upload, Section II.**