

# ANNUAL COMPLIANCE CERTIFICATION

December 2018

## INSTRUCTIONS

Use this form to certify compliance with permit terms and conditions on an annual basis as required by your Title V Operating Permit, issued by the Western North Carolina Regional Air Quality Agency. Your responsible official must certify the truth, accuracy, and completeness of all information that is submitted in the form (and attachments). Once you have completed the form, submit a signed copy postmarked on or before January **30** to each of the following addresses:

Western North Carolina Regional Air Quality Agency  
P.O. Box 2749  
Asheville, NC 28802

(Street address)  
52 Coxe Avenue  
Asheville, NC 28801

Air and EPCRA Enforcement Branch  
U.S. Environmental Protection Agency, Region 4  
61 Forsyth Street  
Atlanta, GA 30303-8960

### **Record Retention**

You must retain records, materials, or other support material used in the preparation of this compliance certification for a period of at least 5 years from the date you submit this form to the permitting authority.

### **Availability of Information to the Public and Confidential Treatment of Information.**

Information submitted in this form will, upon request, be made available to the public for inspection and copying. If you wish to request confidential treatment for business information, such information should be submitted separately to the permitting authority along with a claim of confidentiality, as governed by 40 CFR Part 2, Subpart B. Note that the Part 2 regulations generally do not allow emissions information or information used for compliance purposes to be granted confidential treatment.

### **DETAILED INSTRUCTIONS**

Complete Sections *A* and *B* once for each report to identify the permitted source, the reporting period covered by the report, and for the responsible official to certify that the information submitted on the form (and attachments) is true, accurate, and complete. On the second page, use Sections *C* and *D* to identify the compliance status and the methods (or other means) used to determine compliance with each permit term and condition. You may use this page to describe two such permit terms and conditions. Copy the second page as many times as necessary to cover all permit terms and conditions. On the third page, use Section *E* to report all deviations from permit terms and conditions that occurred during the reporting period. Copy this page as many times as necessary to report on all deviations. A summary report for the *General Conditions* of your Title V permit is also required, and for your convenience we have created a separate table specifically for the General Conditions.

#### ***Section A (General Information)***

You must complete Sections *A.1.* and *A.2.* once for each compliance certification.

*Section A.1.* – Enter the permitted facility's official or legal name. 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 should be available to be contacted by the permitting authority.

If there is more than one contact person, list the others on an attachment.

*Section A.2.* – Enter the beginning and ending dates for the reporting period covered by this form. The beginning date shall be assumed to begin and end at midnight local time. Your Title V permit requires the reporting period to be the calendar year.

***Section B (Certification of Truth, Accuracy, and Completeness)***

This section should be completed once and submitted with each set of documents (forms and attachments) that make up the annual compliance certification sent to the permitting authority.

*Section B.1.* - Federal law requires that title V permit applications be signed by a responsible official. The definition of responsible official can be found 40 CFR section 70.2. Provide the name, title, address, telephone number, and, if desired, the facsimile machine number for the responsible official.

*Section B.2.* - The responsible official must sign and date the certification of truth, accuracy and completeness. This should be done after all application forms are complete and the responsible official has reviewed the information. Normally this would be the last form completed before the package of forms is mailed to the permitting authority.

***Section C (Compliance Status of Each Permit Term and Condition)***

Identify each individual permit term and condition. Do so by including a brief description and a cross-reference or citation to each individual permit term and condition, using the numbering system established in the permit. The cross-reference or citation should usually be detailed enough to unambiguously and clearly identify the specific permit term and condition [e.g., section IV.H.(a)(4) of the permit]. If the permit term and condition is expressed as a numerical limitation or range of values, the description should identify the specific numerical limit or range. 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. Note that you do not have to list a permit term and condition multiple times solely because it applies to multiple emission units, provided that: (1) the permit term and condition applies the same way at all units, (2) it uses the same methods for determining compliance at the units, (3) all units have the same compliance status, and (4) the cross reference to the permit covers those terms and units appropriately. For example, if a permit term and condition applies the same way and the same compliance methods are used to determine compliance, but one unit was in intermittent compliance and the other in continuous compliance, you would need to list the permit term and condition separately for each unit to accurately identify the compliance status of the units.

Note that you must also include a certification for permit terms and condition that were not effective or otherwise did not apply during the reporting period of the compliance certification (e.g., those with future-effective compliance dates, alternative methods of compliance, and alternative scenarios). You may generally certify to continuous compliance for such terms, if there is no evidence showing noncompliance, the permit did not require them to be used, and you did not use them for any period of time covered by the reporting period for the compliance certification.

Note that compliance methods, such as monitoring, recordkeeping, and reporting in permits constitute both “permit terms and conditions” and “methods used to determine compliance.” Keep in mind that a compliance certification for a permit term and condition that requires certain compliance methods to be performed will be a certification that the compliance methods were performed as frequently and in the manner required by the permit. This certification is in addition to a certification as to the compliance status of the permit terms and conditions for which the compliance methods serve as a method for determining compliance.

In the second column of Section C, specify which emissions unit(s) is/are subject to the permit term and condition. This is essential because permit terms may apply to all or only certain specific emission units at a source. Thus, similar equipment at a source may be subject to vastly different permit terms and conditions. As provided above, you may often list multiple emissions units for a permit term and condition.

Indicate compliance status for each individual permit term and condition in the column provided by marking either “Intermittent Compliance” or “Continuous Compliance.” For annual compliance certification purposes, you must indicate compliance status for each term and condition on the basis of its compliance status throughout the reporting period.

***Continuous compliance*** means collection of all monitoring data required by the permit under the data collection frequency required by the permit, with no deviations, and no other information that indicates deviations, except for upsets or malfunctions during which compliance is not required. Monitoring data includes information from instrumental (e.g., CEMS, COMS, or parameter monitors) and noninstrumental (e.g., visual observation, inspection, recordkeeping) forms of monitoring.

***Intermittent compliance*** means any form of compliance other than continuous compliance.

Part 70 does not contain definitions for these terms, but the interim definitions shown here will help you to provide a meaningful representation of your compliance status. Note that under these interim definitions, it makes no difference whether you use continuous or intermittent data to make your compliance status determination. In addition, when making a determination of compliance status, § 70.6(c)(5)(iii)(B) requires you to consider all other material information you have in order to comply with section 113(c)(2) of the Act, which prohibits knowingly making a false certification or omitting material information. The term “other material information” refers to information or knowledge you have, whether that information or knowledge is required to be collected by the permit or not. As used here, this term is similar to the term “other credible evidence,” which refers to non-reference test methods and other information “readily available” to you that the permit may, or may not, require you to collect. The term “readily available information” refers to information that is readily available and already being utilized, such as engineering calculations, indirect emissions estimates, and direct measurement by various means, whether this information is required to be collected by a regulation or permit, or for some other purpose (this information may also constitute “credible evidence” or “material information”). Therefore, 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. Such permit terms might, for example, impose a limit on the amount of missing or invalid data. If the amount of missing or invalid data were to increase above the limit imposed in the permit, the data would not have been collected consistent with the permit, and you would only be able to certify to intermittent compliance.

#### ***Section D (Methods Used to Determine Compliance)***

Use this section to 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 used 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 terms that require the monitoring (using the numbering system established in the permit). The cross-reference or citation to permit terms must be detailed enough to unambiguously and clearly identify the specific monitoring method. Also, describe the origin and authority of monitoring not required by the permit, such as voluntary methods or methods based on State-only enforceable requirements (material information or credible evidence). An example of an adequate 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 section IV.F.(b)(2).”

For recordkeeping methods used to determine compliance (whether they constitute noninstrumental 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 terms that require the recordkeeping, or a description of the origin or authority of recordkeeping not required by the permit. 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 term IV.G.(a)(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 terms that require the reporting, or a description of the origin or authority of reporting not required by the permit. 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 term IV.G.(a)(2).”

### ***Section E (Deviations)***

Use this section to summarize all deviations from permit terms and conditions that occurred during the last year. Such deviations should have been reported previously in-writing in monitoring reports for the year. This should include the monitoring report for the most recent reporting period. You must also include any deviations that were required to be reported, but either were not reported or were reported later than the required deadline. Such deviation would not have been contained in any previously submitted monitoring report.

Provide information on each deviation in a separate row of the table. Copy this page as many times as necessary to include all deviations that occurred during the reporting period for this compliance certification.

Deviations occur when any permit term or condition is not met, including, but not limited to, terms that establish emission limitations, emission standards, control equipment requirements, work practices, and parameter ranges, and permit terms designed to assure compliance with other permit terms (such as monitoring, recordkeeping, and reporting required by the permit). You must include deviations from permit terms that occur during startup, shutdown, malfunction, and upset conditions (as these terms are defined in the permit), whether excused by the permit or not. Note that an emergency is also considered a deviation subject to prompt reporting requirements, and thus, emergencies must also be included in this form. An emergency constitutes an affirmative defense to an action brought for noncompliance with technology-based emission limitations if the conditions of § 70.6(g)(3) of this section are met, including that notice of the emergency was submitted to the permitting authority within 2 working days of the time when emission limitations were exceeded due to the emergency. A deviation is not necessarily a violation. Violations will be determined by the Western North Carolina Regional Air Quality Agency and/or EPA.

In the first column of the table in section E, cross-reference or cite the permit term and condition for which there is a deviation [e.g., “term IV.B.(a)(2)(i)”] and describe the requirement (e.g., “emissions limitation of 6 ppm for NO<sub>x</sub>” or “submission of annual compliance certification”). You may cross-reference deviations previously submitted in monitoring reports. Be sure to clearly and unambiguously identify the specific monitoring report (submittal date should suffice) and the specific deviation contained in the report. There may be many equally appropriate ways to cross-reference the specific deviation contained in a report. For example, you might have assigned an identification number to the deviations in the original report or you might attach a copy of the previously submitted report and annotate it with such numbers you assign specifically for this purpose.

In addition, in the first column, whether you cross-reference deviations or not, you must indicate whether the deviation(s) are “possible exceptions to compliance.” A possible exception to compliance is a deviation that occurs when compliance is required by the permit (e.g., you are required to maintain emissions below a certain level during normal operations and you do not). A deviation that is not a possible exception to compliance would be one that occurs when a standard does not require compliance or when compliance is explicitly excused (e.g., you exceed an emissions limitation during a malfunction and the permit excuses such exceedances). If you indicate that a deviation

is not a possible exception to compliance, briefly explain why it is allowed by the permit and cite or cross-reference the relevant permit term and condition that allows it. Note that, different from deviations that are specifically excused or exempted by the permit, deviations for which the permit provides an affirmative defense (e.g., emergencies) must be identified as possible exceptions to compliance. This is so because only the permitting authority may determine if the affirmative defense applies in any specific case.

You do not have to complete columns 2 through 4 of the table in section E for a particular deviation, if you properly cross-reference the deviation (originating in a monitoring report) in the first column, and the original monitoring report adequately identified the emissions units, the beginning and ending time periods, and the deviation report submittal date.

In the second column of section E, list the emission unit (Unit ID) where this deviation occurred. You may list multiple units here if they all had the same deviation during the same time periods. In addition, for deviations that impose requirements to the permitted facility as a whole or to all units at your facility, you may enter “facility-wide” in the emissions unit column.

In the third column of section E, identify the beginning and ending time periods 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. Use the 24-hour clock (equivalent to military time) for reporting these times (e.g., the day starts and ends at midnight, 12 a.m., or 00:00 in military time. Zone means time zone (e.g., EST or EDT).

In the fourth column of section E, specify the date when the written deviation report was submitted to the permitting authority. Leave the date field blank if you did not submit a written deviation report during the reporting period covered by the monitoring report (whether required to do so or not). It is a deviation to neglect to submit a required deviation report (whether required by telephone, fax, or in writing) or to submit such a report later than the deadline specified in the permit. For the purposes of this form, such deviations would be deviations of the permit term and condition requiring deviation reporting. In addition, if a prompt deviation report was made by telephone or fax, consistent with the permit, shortly before the end of a reporting period for the monitoring report, but the permit does not require a written deviation report until after the reporting period for the annual compliance certification, there could be no deviation of the permit term requiring deviation reporting to report on this form.

Lastly, note that any deviations required to be included in this report, that have never been made in-writing (e.g., within a monitoring report), as these obviously cannot be cross-referenced in this form. However, such deviations should be included in this section of the form. For such deviations, more information than indicated by this form will be needed. You must indicate whether the deviation is a “possible exception to compliance” (as described above).

#### ***Compliance Summary Report for General Conditions***

A summary report for the *General Conditions* of your Title V permit is also required, and for your convenience we have created a separate table specifically for the General Conditions.

WESTERN NORTH CAROLINA REGIONAL AIR QUALITY AGENCY  
TITLE V OPERATING PERMIT PROGRAM  
**ANNUAL COMPLIANCE CERTIFICATION**

INSTRUCTIONS: There are 3 pages to this form. On this page, complete Sections A and B once with respect to the entire annual compliance certification.

**A. GENERAL INFORMATION**

**1. Identifying Information.**

Source or company name \_\_\_\_\_  
Mailing address: Street or P.O. Box \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_ - \_\_\_\_\_  
Contact person \_\_\_\_\_ Title \_\_\_\_\_  
Telephone (\_\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ Ext. \_\_\_\_\_ Title V permit no. \_\_\_\_\_

**2. Reporting Period** The reporting period should be the one-year, or shorter, period required by your Title V permit. It will be assumed that the beginning date begins and ends at Midnight (12 A.M.), unless you specify otherwise.

Period beginning \_\_\_\_/\_\_\_\_/\_\_\_\_ Period ending \_\_\_\_/\_\_\_\_/\_\_\_\_

**B. CERTIFICATION OF TRUTH, ACCURACY, AND COMPLETENESS**

**1. Responsible Official.** Identify the responsible official and provide contact information.

Name: (Last) \_\_\_\_\_ (First) \_\_\_\_\_ (Middle) \_\_\_\_\_  
Title \_\_\_\_\_  
Street or Post Office Box \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_ - \_\_\_\_\_  
Telephone (\_\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ Ext. \_\_\_\_\_ Facsimile (\_\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_

**2. Certification of Truth, Accuracy and Completeness.** The Responsible Official must sign this statement after the form is completed for all applicable requirements.

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.

Name (signed) \_\_\_\_\_

Name (printed or typed) \_\_\_\_\_ Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

**INSTRUCTIONS:** Use this page to describe the compliance status of each permit term or condition. This page may be used to provide information on 2 different permit terms or conditions. Copy this page as many times as necessary to cover all permit terms and conditions.

**C. COMPLIANCE STATUS OF EACH PERMIT TERM OR CONDITION**

Identify (Describe and Cross-reference the Permit Term or Condition)	Unit ID(s):	Compliance status during reporting period _____ Intermittent Compliance _____ Continuous Compliance
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**D. METHODS USED TO DETERMINE COMPLIANCE**

Describe all methods or means you used to determine compliance with the permit term and condition described in section C.

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**C. COMPLIANCE STATUS OF EACH PERMIT TERM OR CONDITION**

Identify (Describe and Cross-reference) the Permit Term or Condition	Unit ID(s):	Compliance status during reporting period _____ Intermittent Compliance _____ Continuous Compliance
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**D. METHODS USED TO DETERMINE COMPLIANCE**

Describe all methods or means you used to determine compliance with the permit term and condition described in section C.

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**E. DEVIATIONS FROM PERMIT TERMS AND CONDITIONS**

The table below is appropriate for reporting deviations from permit terms or conditions that have been previously reported in a monitoring report (assuming that the most recent monitoring report and the annual compliance certification both end on the same date). Copy this page as many times as necessary to include all such deviations. Note that you may cross-reference deviations already reported in the monitoring report in the first column of the table, and leave the other columns blank, however such cross-reference must be clear and unambiguous with respect to the monitoring report and the individual deviation being cross-referenced. In addition, in the first column, whether you cross-reference deviations or not, you must indicate whether each deviation is a “possible exception to compliance.” If a deviation is not a possible exception to compliance, please briefly explain why it is allowed by the permit and cite the relevant permit term that provides the excuse. In addition, if there are deviations that have never been reported in writing to the permitting authority, more information than required by this table will be needed. You must indicate whether the deviation is a “possible exception to compliance.”

Permit Term for Which There is a Deviation & Whether the Deviation is a “Possible Exception to Compliance”	Emission Units (unit IDs)	Deviation Time Periods			Written Deviation Report Submittal Date (mo/dy/year)
		Date (mo/day/yr)	Time (hr/min)	Time Zone	
		Beginning ___/___/___	___:___	___	
		Ending ___/___/___	___:___	___	___/___/___
		Beginning ___/___/___	___:___	___	
		Ending ___/___/___	___:___	___	___/___/___
		Beginning ___/___/___	___:___	___	
		Ending ___/___/___	___:___	___	___/___/___
		Beginning ___/___/___	___:___	___	
		Ending ___/___/___	___:___	___	___/___/___
		Beginning ___/___/___	___:___	___	
		Ending ___/___/___	___:___	___	___/___/___



F. Compliance Summary Report for General Conditions

For Calendar Year \_\_\_\_\_

Terms and Conditions		Deviations? (Yes / No)	Records Maintained? (Yes/No/NA)	Was Deviation a non-compliance issue? (Yes / No)	Method(s) of Determining Compliance Status	Comments
Permit Condition Number	Condition Summary					
3.A.	General Provisions					
3.B	Permit available at facility					
3.D	Submissions of reports to WNCRAQA					
3.G	Permit modifications and applications					
3.I	Reporting requirements for excess emissions and permit deviations					
3.K	Permit renewal every five year					
3.M	Duty to submit any information requested by Director					
3.N	Duty to supplement					
3.O	Retention of records					
3.P	Annual compliance certification					
3.Q	Certification by responsible official					
3.T	Insignificant activities records available at facility					
3.V	Inspection and entry					
3.W	Annual fee payment					
3.X	Annual emission inventory requirement					
3.Z	Construction and operation permits					
3.CC	Refrigerant requirements					
3.DD	Prevention of accidental releases – Section 112(r)					
3.EE	Prevention of accidental releases “General Duty Clause” - Section 112(r)(1)					
3.JJ	Emission testing and reporting requirements					
3.LL	Reporting requirements for non-operating equipment					