

**Excess Emissions and Continuous Monitoring System (CMS)
Performance Report and/or Summary Report**

**THIS IS A SAMPLE NOTIFICATION FORM, WHICH CAN BE USED BY FACILITIES
AT THEIR DISCRETION TO MEET COMPLIANCE
WITH 40 CFR 63 Subpart A, §63.10(e)(3)**

Applicable Rule: 40 CFR Part 63, Subpart A — National Emission Standards for Hazardous Air Pollutants for Source Categories, Subpart A — General Provisions. Excess emissions and CMS performance report and/or summary report is being made in accordance with §63.10(e)(3).

Excess emissions and parameter monitoring exceedances are defined in relevant standards. The owner or operator of an affected source required to install a CMS by a relevant standard shall submit an excess emissions and CMS performance report and/or a summary report to the Administrator semiannually, except when

- a. *More frequent reporting is specifically required by a relevant standard;*
- b. *The Administrator determines on a case-by-case basis that more frequent reporting is necessary to accurately assess the compliance status of the source; or*
- c. *The CMS data are to be used directly for compliance determination and the source experienced excess emissions, in which case quarterly reports shall be submitted. Once a source reports excess emissions, the source shall follow a quarterly reporting format until a §63.10(e)(3)(ii) request to reduce frequency of excess emissions and CMS performance reports is approved. (§63.10(e)(3)(i)(A)-(C))*

All excess emissions and monitoring system performance reports and all summary reports, if required, shall be delivered or postmarked by the 30th day following the end of each calendar half or quarter, as appropriate. (§63.10(e)(3)(v))

If the total duration of excess emissions or process or control system parameter exceedances for the reporting period is less than 1 percent of the total operating time for the reporting period, and CMS downtime for the reporting period is less than 5 percent of the total operating time for the reporting period, only the summary report shall be submitted, and the full excess emissions and CMS performance report need not be submitted unless required by the Administrator. (§63.10(e)(3)(vii))

If the total duration of excess emissions or process or control system parameter exceedances for the reporting period is 1 percent or greater of the total operating time for the reporting period, or the total CMS downtime for the reporting period is 5 percent or greater of the total operating time for the reporting period, both the summary report and the excess emissions and CMS performance report shall be submitted. (§63.10(e)(3)(viii))

Notwithstanding the frequency of reporting requirements specified in §63.10(e)(3)(i), an owner or operator who is required by a relevant standard to submit excess emissions and CMS performance (and summary) reports on a quarterly (or more frequent) basis may reduce the frequency of reporting for that standard to semiannual if the following conditions are met:

- a. For 1 full year (e.g., 4 quarterly or 12 monthly reporting periods) the affected source's excess emissions and CMS performance reports continually demonstrate that the source is in compliance with the relevant standard;*
- b. The owner or operator continues to comply with all recordkeeping and monitoring requirements specified in this subpart and the relevant standard; and*
- c. The Administrator does not object to a reduced frequency of reporting for the affected source, as provided in §63.10(e)(3)(iii). (§63.10(e)(3)(ii)(A)-(C))*

The frequency of reporting of excess emissions and CMS performance (and summary) reports required to comply with a relevant standard may be reduced only after the owner or operator notifies the Administrator in writing of his or her intention to make such a change and the Administrator does not object to the intended change. In deciding whether to approve a reduced frequency of reporting, the Administrator may review information concerning the source's entire previous performance history during the 5-year recordkeeping period prior to the intended change, including performance test results, monitoring data, and evaluations of an owner or operator's conformance with operation and maintenance requirements. Such information may be used by the Administrator to make a judgment about the source's potential for noncompliance in the future. If the Administrator disapproves the owner or operator's request to reduce the frequency of reporting, the Administrator will notify the owner or operator in writing within 45 days after receiving notice of the owner or operator's intention. The notification from the Administrator to the owner or operator will specify the grounds on which the disapproval is based. In the absence of a notice of disapproval within 45 days, approval is automatically granted. (§63.10(e)(3)(iii))

As soon as the CMS data indicate that the source is not in compliance with any emission limitation or operating parameter specified in the relevant standard, the frequency of reporting shall revert to the frequency specified in the relevant standard, and the owner or operator shall submit an excess emissions and CMS performance (and summary) report for the noncomplying emission points at the next appropriate reporting period following the noncomplying event. After demonstrating ongoing compliance with the relevant standard for another full year, the owner or operator may again request approval from the Administrator to reduce the frequency of reporting for that standard, as provided for in §63.10(e)(3)(ii) and §63.10(e)(3)(iii). (§63.10(e)(3)(iv))

**SECTION I
GENERAL INFORMATION**

A. Print or type the following information for each facility for which you are submitting an excess emissions and CMS performance report and/or summary report (§63.9(b)(2)(i)-(ii))

Operating Permit Number (OPTIONAL)		Facility I.D. Number (OPTIONAL)	
Responsible Official's Name/Title			
Street Address			
City	State	ZIP Code	
Facility Name (if different from Responsible Official's Name)			
Facility Street Address (If different than Responsible Official's Street Address)			
Facility Local Contact Name	Title	Phone (OPTIONAL)	
City	State	ZIP Code	

B. Indicate the relevant standard(s) or other requirement(s) that is/are the basis for this report. (§63.5(d)(1)(ii)(D))

Basis for this report (*relevant standards or other requirements*)

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C. Are you requesting a waiver of recordkeeping and/or reporting requirements under the applicable relevant standard(s) in conjunction with this excess emissions and CMS performance report and/or summary report? (§63.10(f)(3))

Yes No

If you answered yes, you must submit the application for a waiver of recordkeeping and/or reporting requirements together with this excess emissions and CMS performance report and/or summary report. The application for waiver should include whatever information you consider useful to convince the Administrator that a waiver of recordkeeping and/or reporting is warranted. (§63.10(f)(3))

D. Check the box that corresponds to the report(s) you are submitting:

- Summary Report Only (**Complete Sections II and IV**)
- Excess Emission and CMS Performance Report and Summary Report (**Complete Sections II, III, and IV**)

SECTION II

CERTIFICATION (Note: you may edit the text in this section as deemed appropriate)

Based upon information and belief formed after a reasonable inquiry, I, as a responsible official of the above-mentioned facility, certify the information contained in this report is accurate and true to the best of my knowledge.

Name of Responsible Official (Print or Type)	Title	Date (mm/dd/yy)
Signature of Responsible Official		

Note: Responsible official is defined under §63.2 as any of the following: the president, vice-president, secretary, or treasurer of the company that owns the plant; the owner of the plant; the plant engineer or supervisor; a government official if the plant is owned by the Federal, State, city, or county government; or a ranking military officer if the plant is located on a military installation.

SECTION III

EXCESS EMISSIONS AND CMS PERFORMANCE REPORT

A. Excess Emissions

1. Have any excess emissions or exceedances of a parameter occurred during this reporting period? Yes No **(if no, go to B.1.)** (§63.10(e)(3)(v))
2. If you answered yes, complete the following table **for each period** of excess emissions and/or parameter monitoring exceedances, as defined in the relevant standard(s), that occurred **during** startups, shutdowns, and/or malfunctions of your affected source, **or during periods other than** startups, shutdowns, and/or malfunctions of your affected source. (§63.10(c)(7)-(11))

Note: Use a separate line for each period of excess emissions and/or parameter monitoring exceedances of your affected source.

Nature of Event or Problem		Excess Emissions and/or Parameter Monitoring Exceedances Occurred:							
Excess Emissions	Parameter Monitoring Exceedance	During Startup	During Shutdown	During Malfunction	During Another Period	Start Date (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)	Nature and Cause of any Malfunction (if known)	Corrective Action Taken or Preventive Measures Adopted
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	12/18/2001	12/19/2001	VOC detector inoperative	Repaired VOC detector
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
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<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				

B. CMS Performance

1. Has a CMS been inoperative (except for zero/low-level and high-level checks), out of control (as defined in §63.8(c)(7)(i)), repaired, or adjusted during this reporting period? Yes No **(if no, go to B.3.)** (§63.10(e)(3)(v))

Note: A CMS is out of control if (a) the zero (low-level), mid-level (if applicable), or high-level calibration drift (CD) exceeds two times the applicable CD specification in the applicable performance specification or in the relevant standard; or (b) the CMS fails a performance test audit (e.g., cylinder gas audit), relative accuracy audit, relative accuracy test audit, or linearity test audit; or (c) the COMMS CD exceeds two times the limit in the applicable performance specification in the relevant standard. (§63.8(c)(7)(i))

When the CMS is out of control, the owner or operator of the affected source shall take the necessary corrective action and shall repeat all necessary tests which indicate that the system is out-of-control. The owner or operator shall take corrective action and conduct retesting until the performance requirements are below the applicable limits. The beginning of the out-of-control period is the hour the owner or operator conducts a performance check (e.g., calibration drift) that indicates an exceedance of the performance requirements established under this part. The end of the out-of-control period is the hour following the completion of corrective action and successful demonstration that the system is within the allowable limits. During the period the CMS is out-of-control, recorded data shall not be used in data averages and calculations, or to meet any data availability requirement established under this part. (§63.8(c)(7)(ii))

2. If you answered yes, complete the following table **for each period** a CMS was out of control, repaired, or adjusted: (§63.10(c)(5)-(6), (10)-(12); §63.8(c)(8))

3. Indicate the total process operating time during the reporting period. (§63.10(c)(13))

Total process operating time (days)

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**SECTION IV
SUMMARY REPORT- GASEOUS AND OPACITY EXCESS EMISSION AND CONTINUOUS
MONITORING SYSTEM PERFORMANCE**

Note: One summary report shall be submitted for the hazardous air pollutants monitored at each affected source (unless the relevant standard specifies that more than one summary report is required, e.g., one summary report for each hazardous air pollutant monitored). (§63.10(e)(3)(vi))

A. Report Date and Submittal Reporting Period

Indicate the reporting period covered by this submittal and the date of this summary report. (§63.10(e)(3)(vi)(C), (M))

Reporting period beginning date (mm/dd/yyyy)	Reporting period ending date (mm/dd/yyyy)	Summary report date (mm/dd/yyyy)

B. Process Description and Monitoring Equipment Information

Complete the following process description and monitoring equipment information table **for each affected source process unit** (§63.10(e)(3)(vi)(B), (D), (E), (F), (G), (H))

Total operating time of affected source during the reporting period (days)

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Process unit name

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Process unit description

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Emission and/or operating parameter limitations specified in the relevant standard(s)

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Monitoring Equipment Information

Type	Latest Certification or Audit Date (mm/dd/yyyy)	Manufacturer	Model	HAPs Monitored

C. Emission Data Summary

Complete the following emission data summary table **for each affected source:**
 (§63.10(e)(3)(vi)(I))

Total duration of excess emissions/parameter exceedances (minutes for opacity, hours for gases)

Opacity (minutes):	Gases (hours):
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Total operating time of affected source during the reporting period (days)

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Percent of total source operating time during which excess emissions/parameter exceedances occurred (percent)

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Summary of causes of excess emissions/parameter exceedances (percent of total duration by cause)

Startup/shutdown	%
Control equipment problems	%
Process problems	%
Other known causes	%
Other unknown causes	%
TOTAL	100%

D. CMS Performance Summary

Complete the following CMS performance summary table **for each affected source:**
 (§63.10(e)(3)(vi)(J))

Total duration of CMS downtime (minutes for opacity, hours for gases)

Opacity (minutes):	Gases (hours):
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Total operating time of affected source during the reporting period (days)

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Percent of total source operating time during which CMS were down (percent)

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Summary of causes of CMS downtime (percent of downtime by cause)

Monitoring equipment malfunctions	%
Nonmonitoring equipment malfunctions	%
Quality assurance/quality control calibrations	%
Other known causes	%
Other unknown causes	%
TOTAL	100%

E. CMS, Process, or Control Changes

1. Have you made any changes in CMS, processes, or controls since the last reporting period? Yes No **(if no, end of form)** (§63.10(e)(3)(vi)(K))

2. If you answered yes, please describe the changes below:

Changes in CMS, processes, or controls since the last reporting period

END OF FORM - Please make sure that a Responsible Official signs Section II prior to submitting the form to your EPA Regional Office or your State Air Permitting Agency, as applicable.