



Oregon Department of Environmental Quality

# Reporting Form Instructions

R1000 Series

Form Series R1000 provides the necessary forms for each owner/operator of a facility operating under an Oregon Title V Operating Permit (permit) to report the compliance status of their facility with all the permit requirements. The reporting forms consist of the following:

Form Number	Description	Page Number
R1001	Annual Report	2
R1002	Semi-Annual Compliance Certification (SACC)	6
R1003	Summary of Permit Deviations	13
R1004	Notice of Approved Construction Completion	15
R1005	Emission Statement Form	16

When submitting any reporting form, the owner/operator is required to submit the following:

- One hard copy and one electronic copy of all completed answer sheets and any attachments to the regional DEQ office; and
- One hard copy of all completed answer sheets and any attachments to the EPA Region X office.

The forms are designed to capture the information required by the permit and the underlying regulations, including those applicable requirements that become affective after the permit is issued but have not been incorporated into the permit. For compliance certifications, OAR 340-218-0080 requires the following information be reported:

- The identification of each term or condition of the permit that is the basis of the certification;
- The compliance status;
- Whether compliance was continuous or intermittent;
- The method(s) used for determining the compliance status of the source currently and over the reporting period consistent with OAR 340-218-0050(3);
- Any deviations from permit requirements, the probable cause of such deviations, and any corrective actions or preventative measures taken; and
- Such other facts as DEQ may require for determining the compliance status of the source.

Since these are standard forms used by all permitted sources, there will be situations in which the forms either request information that is not applicable to a specific source or fail to identify information required to be reported by the Oregon Title V Operating Permit. In those cases, the requirements of the permit govern over the forms. Indicate “not applicable” if the requested information is not appropriate for their facility. If the permit requires information to be reported in addition to that identified in the forms, provide the information either in a cover letter or as an attachment to the forms.

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# Form R1001 – Annual Report

The Annual Report, Form R1001, must be completed by all owners/operators. In addition to the attachments required by the Annual Report instructions, you must calculate the annual emissions from the facility for monitoring compliance with the annual Plant Site Emission Limits (PSEL) established in the permit.

This Annual Report form is divided into three sections--Part A, Part B, and Part C. All owners/operators need to complete Part A. Depending on the pollutants emitted by the source, you might need to complete either Part B or Part C, or both. Part B captures annual emissions data for pollutants quantified through production/raw material usage/throughput calculations or continuous monitoring, while Part C captures annual emissions data calculated through material balance (i.e., VOC emissions). Short term emissions data are not reported in the annual report, but the compliance status for a short term PSEL, if applicable, is reported on Form R1002, Semi-Annual Compliance Certification.

## Part A

1. Specify the year for which this Annual Report is being completed (hereinafter referred to as the "reporting year").
2. If required by the permit, provide the following operating schedule information for the facility during the reporting year.
  - a) Specify whether the operation was seasonal or year-round.
  - b) If the operation was seasonal, specify the months of operation.
  - c) Indicate the total number of days that the source operated.
  - d) Indicate the total number of hours that the source operated.
3. Attach to the Annual Report answer sheets for the other forms and information required in the submittal:
  - Form R1002, Semi-Annual Compliance Certification, for the last six months of the reporting year;
  - Appropriate forms from Form Series F1100, Emission Fees;
  - Emission Statement Form, R1005, if applicable;
  - Excess Emissions Report Summary; and
  - Identify and explain any major maintenance procedures or repairs to any process or control equipment since the last Annual Report was submitted that would affect emissions. In the discussion, specify the identification numbers of the equipment affected (e.g., emissions unit identification (ID) number or label, control device identification (ID) number or label).

**Statement of Certification:** Per OAR 340-218-0040(5) and 340-218-0050(3)(c)(D), owners/operators are required to certify their Annual Report. Carefully read the Statement of Certification on the answer sheet. The certification must be signed by the official designated in the permit as responsible for the source's compliance with state and federal air quality regulations and knowledgeable of the truth, accuracy, and completeness of the contents of this report.

## Part B

Complete one Part B answer sheet for each regulated air pollutant for which annual plant site emissions are quantified through the method of production/raw material usage/throughput calculation or continuous monitoring, as established in the permit. Also, complete one Part B answer sheet for each operating scenario under which the facility has operated during the reporting period. One answer sheet will be completed for the base operating scenario and another answer sheet for each alternative operating scenario under which the facility operated. In providing the information for the alternative operating

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scenario(s), only describe information on each subsequent answer sheet about emissions units not already captured under the operating scenarios already reported. This will avoid providing redundant information for multiple operating scenarios.

1. Enter the facility name and site identifier.
2. Enter the permit number.
3. Enter the operating scenario identification (ID) number or label, if multiple scenarios are permitted
4. Identify the regulated air pollutant for which this form is completed.
5. Provide the following information for each emissions unit emitting the pollutant identified in question 2, even if a facility-wide PSEL was established in the permit.
  - a. Under column **a**, enter the emissions unit identification (ID) number or label and then, immediately below that, list the identification (ID) number or label(s) of the component device(s)/process(s) in that emissions unit. Then provide the information requested in **5.b** through **5.e** for each device/process identified. Thus, on the same row as the device/process identification (ID) number or label, enter in the adjacent columns the information requested below.
  - b. Enter the code corresponding to the method used to determine actual emissions in order to determine compliance with the annual PSEL, as required by the permit.
    - i. PSEL emission factor established in the permit and actual production for the year reported
    - ii. Continuous emissions monitoring data
    - iii. Fuel sampling and analysis (SO<sub>2</sub> material balance)
    - iv. Material balance, if not reported on form R1001-C.
    - v. If the permit requires that a continuous monitor be used to report emissions, questions **3.c** and **5.d** do not need to be completed. The total emissions from the continuous emissions monitor are reported in **5.e**.
  - c. Identify the actual total quantity of product produced, or raw material or fuel used, during the reporting year. Include the appropriate unit of measure (e.g., lb/yr, gal/yr, tons of aluminum/yr, etc.) as used in the permit.
  - d. Specify the long-term (annual) emission factor from the PSEL monitoring section of the permit. Include the appropriate unit of measure (e.g., lb/ton, lb/gal., lb/million cubic feet, grains per dry standard cubic feet, parts per million, etc.). If designating parts per million by volume (wet or dry), provide stack gas flow rate in either actual cubic feet per minute [acfm], with temperature and stack gas percent moisture, or dry standard cubic feet per minute [dscfm].
  - e. Calculate the total annual emissions for the device/process, in tons per year. Notice that the answer sheet provides a subtotal line for each emissions unit. Sub-total the quantities under column **5.e** for the devices/processes in each emissions unit.
6. Total all of the subtotals in column **5.e**, only if a facility-wide PSEL was established in the permit, to determine the total annual emissions during the reporting year.

## Part C

Complete one Part C answer sheet for VOC emissions calculated through the method of material balance, as established in the permit. Also complete one Part C answer sheet for each operating scenario under which the facility has operated during the reporting period. One answer sheet will be completed for the base operating scenario and another answer sheet for each alternative operating scenario under which the facility operated. In providing the information for the alternative operating scenario(s), only describe information on each subsequent answer sheet about emissions units not already captured under the operating scenarios already reported. This will avoid providing redundant information for multiple operating scenarios. If the permit requires a different type of VOC material balance then the owner/operator should develop an answer sheet tailored to the method required by the permit.

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**Calculate VOC emissions from the application of paints, coatings, and inks under question 4. VOC emissions from other solvents should be calculated under question 5.**

1. Enter the facility name and site identifier.
2. Enter the permit number.
3. Enter the operating scenario identification (ID) number or label, if multiple scenarios are permitted
4. Provide the following information for each emissions unit that emitted VOCs through the use of paints, coatings, and/or inks.
  - a. Under column a, enter the emissions unit identification (ID) number or label and then, immediately below that, identify the paints, inks, and coatings from the use of which in that emissions unit VOCs have been emitted during the reporting year. Then provide the information requested in **4.b** through **4.g** for each paint/ink/coating identified. Thus, on the same row as the paint/ink/coating name, enter in the adjacent columns the information requested below.
  - b. Specify the actual total annual usage of each paint/coating/ink during the reporting year, in gallons.
  - c. Indicate the density of each paint/coating/ink in pounds per gallon.
  - d. Indicate the percentage by weight of nonexempt solvents. (See OAR 340-200-0020 for a discussion of exempted solvents under the definition of Volatile Organic Compounds.)
  - e. Enter the overall efficiency of the VOC control device used, if applicable. Enter the efficiency in the form as a decimal (e.g., 90 percent is "0.90" not "90"). Enter "0" if no VOC control device is used.
  - f. Quantify the amount of VOC waste generated during the reporting year, in pounds. To determine this, you will need to know the volume of waste generated through the use of the paint/coating/ink, and the density and VOC content of the waste; if no VOC is left in the waste ignore this calculation. Attach calculations and assumptions about the wastes. Column **f** can be calculated using the following equation:

$$f = [(waste\ quantity \times waste\ density \times waste\ VOC\ content)]$$

- g. Enter the quantity of VOCs emitted during the reporting year, in tons.

$$g = [(b \times c \times d) - f] \times (1 - e) / 2000$$

- h. Enter the total quantity of VOCs emitted by all paint/coating/ink usage, in tons.

5. Provide the following information for each emissions unit that emitted VOCs through the use of other solvents (e.g., clean-up solvents). **[Note: Item 3 can be found in R1001-C]**
  - a. Under column **a**, enter the emissions unit identification (ID) number or label and then, immediately below that, identify the individual solvents from the use of which in that emissions unit VOCs have been emitted during the reporting year. Then provide the information requested in **5.b** through **5.h** for each solvent identified. On the same row as the solvent name, enter in the adjacent columns the information requested below.
  - b. Specify the actual total annual usage of the solvent during the reporting year, in gallons.
  - c. Indicate the density of the solvent, in pounds per gallon.
  - d. Indicate the percentage by weight of nonexempt solvents. (See OAR 340-200-0020 for a discussion of exempted solvents under the definition of Volatile Organic Compounds.)
  - e. Enter the overall efficiency of the VOC control device used, if applicable. Enter the efficiency in the form as a decimal (e.g., 90 percent is "0.90" not "90"). Enter "0" if no VOC control device is used.
  - f. Quantify the amount of VOC waste generated by the device/process during the reporting year, in pounds. To determine this, you will need to know the volume of waste generated through the use of other solvents, and the density and VOC content of the waste. If no VOC is left in the waste ignore this calculation. Attach calculations and assumptions about the waste. Column **f** can be calculated through the equation:

$$f = [(waste\ volume \times waste\ density \times waste\ VOC\ content)]$$

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- g. Quantify the amount of VOC solvent recovered by the device/process during the reporting year, in pounds. To determine this, you will need to know the volume of the solvent recovered from the process that are not recycled back into the process. If no solvent is recovered from the process, then ignore this calculation. Attach calculations and assumptions about the solvents recovered. Column **g** can be calculated through the equation:

$$g = [(\text{solvent volume recovered} \times \text{solvent density} \times \text{solvent VOC content})]$$

- h. Enter the quantity of VOCs emitted by the device/process during the reporting year, in tons.

$$h = [(\mathbf{b} \times \mathbf{c} \times \mathbf{d}) - \mathbf{f} - \mathbf{g}] \times (1 - \mathbf{e}) / 2000$$

- i. Enter the total quantity of VOCs emitted by other solvent usage, in tons.

6. Enter the total quantity of VOCs emitted, in tons. This quantity is calculated by summing **4.h** and **5.i**.

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# Form R1002 – Semi-Annual Compliance Certification

The Semi-Annual Compliance Certification, Form R1002, must be completed by all owners/operators. This form is used to report the compliance status of the facility, either continuous or intermittent, with all permit conditions.

In order to report the compliance status, you must know what defines continuous or intermittent compliance. Continuous compliance means all of the requirements of a permit condition were met (e.g., there were no permit deviations). If the permit condition is an emission limit, the compliance status would be continuous if all of the available monitoring data showed the emissions were less than the limit; or, the required inspections, maintenance, and corrective actions were performed. For monitoring, recordkeeping, and reporting conditions, the compliance status would be continuous if all of the monitoring, recordkeeping, and reporting were performed as required by the permit. A status of "intermittent" compliance would be when there was a documented instance of noncompliance with the permit condition (i.e., there was a documented permit deviation).

Some of the permits include operation and maintenance requirements for monitoring process or control device parameters and taking corrective action in response to an excursion of a parameter action level. As used for this purpose, the operation and maintenance requirements are surrogates for the underlying pollutant emissions standards. Provided you maintain the emission devices and/or control devices within the approved parameter levels and takes corrective action when there is an excursion of a parameter action level, you can certify continuous compliance with the operation and maintenance requirement and the underlying standard. An excursion of a parameter action level is not a violation of the permit, unless you do not perform corrective action; and, then it would only be a violation of the operation and maintenance requirement and not the underlying standard.

The following items should be considered when completing the Semi-Annual Compliance Certification form. Contact a regional inspector with further questions.

- **Signature by the Responsible Official** - Each permit includes a certification statement that must be signed by the Responsible Official identified in the permit (see cover page of each permit).
- **Significant Figures** - When reporting the compliance status with any limit (e.g., opacity, grain loading, process weight, short-term PSEL, fuel sulfur content, scrubber recycle pH, etc.) contained in the permit, the question of significant figures arises. The compliance status should be reported with the same number of significant figures as the permit specifies in the limit. Rounding must be done according to the convention that 1.500 and above is rounded up to 2 and 1.499 and below is rounded down to 1. For example, to monitor compliance with a 0.1 grain/dscf limit, a source test was done resulting in particulate emissions of 0.14 grain/dscf. Since the permit limit is 0.1 grains/dscf, rather than 0.10 grain/dscf, the owner/operator should report the results as 0.1. If the source test resulted in particulate emissions of 0.16 grain/dscf, the results are reported as 0.2 grain/dscf, and the owner/operator must report intermittent compliance and complete the Summary of Permit Deviations, Form R1003.
- **Opacity** - If EPA Method 9 is required to monitor opacity, a certified opacity reader is required. If the opacity reader's certification has lapsed, you will be required to report intermittent compliance with the monitoring requirement. Permits provide for situations where opacity cannot be observed due to visual interferences caused by other visible emissions sources (e.g., fugitive emissions during high wind conditions) or due to weather conditions such as fog, heavy rain, or snow.
- **Short-term PSEL** - Each permit establishes short-term PSELs on either an emissions unit basis or a facility-wide basis. For emissions unit PSELs, compliance should be determined based upon

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whatever averaging period was established in the permit. For example, if an hourly PSEL was established, the compliance status for each hour of operation must be reported. Some permits may establish short-term PSELs for more than one averaging period (e.g., hourly and daily), and compliance must be reported for each short-term PSEL. For a facility-wide short-term PSEL report the compliance status on whatever averaging period is established by the permit for the **summation** of all the emissions units that make up the facility-wide short-term PSEL.

- **Records** - Failure to maintain the records required to monitor compliance with the short-term PSEL would require the owner/operator to report intermittent compliance with the monitoring requirement.
- **Continuous Emissions/Opacity Monitoring Data** - When a Continuous Monitoring System (CMS) is used to monitor emissions or opacity, monitoring must be done in accordance with the Department's *Continuous Monitoring Manual* or the manufacturer's written instructions, whichever is required by the permit. Failure to perform continuous monitoring in such a manner would require the owner/operator to report intermittent compliance with the monitoring requirement.
- **Data Availability** - When a continuous monitoring system (CMS) is the method of monitoring required by the permit and a CMS problem has prevented full data acquisition, you must ensure the amount of data that has been gathered is adequate to determine the compliance status. For a CMS data average to be accepted, a minimum of 75% of the data for a 6-minute or 1-hour period and 90% of a 24-hour or monthly period must be included in the average, unless otherwise specified in the permit. Less data availability than these levels would require the owner/operator to report intermittent compliance with the monitoring requirement.
- **Insignificant Activities** - EPA has determined that monitoring of insignificant activities is not required (White Paper II). Therefore, you may certify continuous compliance without any monitoring data provided there is no other information that would indicate noncompliance. Insignificant activities include those identified as categorically insignificant in the Title V permit application and activities or devices that fit under the aggregate insignificant emissions levels.
- **Sufficient Monitoring** - The permit establishes the type and the frequency of monitoring required for each applicable requirement. If the required monitoring (e.g., source testing, visual emissions observations, production recordkeeping, VOC material balance recordkeeping, complaint log, inspection and maintenance log, etc.) is not done, you have not fulfilled the periodic monitoring requirements of Title V. In this situation, you would have to report intermittent compliance with the monitoring requirement, but could certify "continuous" compliance with the applicable requirement (e.g. emissions limit) based on other available information and a general knowledge of the process. Likewise, if monitoring was not performed for some reason, but other information reveals one or more deviations, then you must certify "intermittent" compliance.
- **Monitoring Timeliness** - If a permit requires monthly source testing, an owner/operator would have to report intermittent compliance if a source test was not performed during any single month. Exceptions would be allowed for extenuating circumstances under an Administrative Amendment (see Permit Modification/Operational Flexibility/Construction Approval, Form Series MD900 Overview). DEQ recommends you not wait until the last day of the month to do monthly source testing. Extenuating circumstances would not include the temporary shutdown of a facility, unless the shutdown were for an extended period of time (e.g., more than one month for a monthly testing requirement).

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- **Compliance Schedules** - Compliance schedules contained in permits will include remedial measures, such as an enforceable sequence of actions with milestones leading to compliance, and interim measures to be taken by the owner/operator to minimize the amount of excess emissions during the scheduled period. Along with each milestone, the owner/operator will be required to notify DEQ in writing within seven (7) days that the milestone has been accomplished. In order to report a status of continuous compliance, the owner/operator must complete all milestones and notification requirements **on time**.
- **Source Test Procedures** - When source testing is required by the permit, you must perform the source tests in accordance with DEQ's *Source Sampling Manual* or the owner's/operator's Quality Assurance Plan approved by DEQ, whichever is required by the permit. Any deviations in the source testing procedures must be approved in advance in writing and may require a permit modification. If the source test is not performed in accordance with the requirements, the test may be considered invalid, and the owner/operator would have to report intermittent compliance with the testing requirement.
- **Notification Requirements** - If there is a change at the facility that qualifies as an off-permit change or a section 502(b)(10) change (OAR 340-218-0140 and general conditions G13 and G14), a notification must be sent to DEQ and to the EPA. If this notification is not sent, the owner/operator would have to report intermittent compliance with the reporting requirement to submit such notifications (General Condition G13 and/or G14).
- Excess emissions are required to be reported as they have always been, either immediately or in accordance with OAR 340-214-0340. Failure to report excess emissions would require the owner/operator to report intermittent compliance with the excess emissions conditions in the reporting requirements section of the permit.
- Deviations from permit requirements that do not cause excess emissions are required to be reported to the Department within fifteen (15) days of the deviation. Examples of deviations that do not cause excess emissions include, but are not limited to, **failure to perform required monitoring**, failure to take corrective action when an Emission Action Level (EAL) is exceeded, failure to update a Quality Assurance Plan, failure to maintain records for five (5) years, failure to submit reports on a timely basis, failure to pay emission fees, etc. Failure to report deviations would require the owner/operator to report intermittent compliance with the permit deviations condition in the reporting requirements section of the permit.
- **Construction Approval** – You are required to obtain construction approval by OAR 340, Division 224 (New Source Review) or OAR 340-218-0190 (Construction/Operation Modification). Failure to submit an application for construction approval would require the owner/operator to report intermittent compliance with the application requirement (General Conditions G19 and G20).
- **Administrative Amendment Requirements** – You are required to notify DEQ promptly upon becoming aware of the need for an administrative amendment. These amendments include but are not limited to changes in the responsible official, changes in ownership, changes in reporting or source testing requirements for extenuating circumstances, corrections to baseline or PSELs when more accurate data is available, or incorporation of construction approval, etc. Failure to submit an application for an administrative amendment would require the owner/operator to report intermittent compliance with the administrative amendment application requirements (General Condition G15).

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- **Permit Modification Requirements** - You are required to apply for permit modifications if such modifications are triggered by some change made at the facility. If an application for a permit modification was not submitted by the owner/operator, intermittent compliance with the modification application requirements must be reported (General Conditions G16 and G17).

## Instructions

1. Specify the calendar period covered by this report (hereinafter referred to as the reporting period).
  - a. January-June
  - b. July-December
  - c. Other [specify; for those owners/operators whose permit conditions require more frequent compliance reporting]
2. Indicate (yes or no) if anything was done during the reporting period that would trigger the requirement to develop a Risk Management Plan.
3. Provide the following information about every permit condition (i.e., emissions units, emissions limits and standards, PSEL, testing, monitoring, recordkeeping, reporting, and general conditions), except those listed below.
  - a. Enter each condition or subpart of a condition on a separate row. Note: It is not necessary to list the subparts of the conditions separately if the compliance status for the entire condition was continuous (C), as identified in question 3.c. If the compliance status was intermittent (I) for individual condition subparts, then the subparts of the conditions must be listed separately. **In addition, conditions 1, 2, G1, G2, G3, G11, G22, G24, G25, G27, and G28 do not have to be listed.**
  - b. List all compliance methods (monitoring, recordkeeping and reporting) you used to determine compliance with the permit term described above using the following codes and cross-reference the permit condition containing the compliance method.

Monitoring Code	Short Description	Included/Example Activities
BMP	Best Management Practice	<ul style="list-style-type: none"> <li>• Practices generally recognized as “good operational practice “or published as “best management practice”</li> </ul>
CEMS	Continuous Emission Monitoring System	<ul style="list-style-type: none"> <li>• Continuous emissions monitoring systems</li> </ul>
CEMS	Continuous Emission Monitoring System	<ul style="list-style-type: none"> <li>• CO monitoring for RICE</li> <li>• NOx monitoring for boiler</li> </ul>
COMS	Continuous Opacity Monitoring System	<ul style="list-style-type: none"> <li>• Pulp mill recovery furnace</li> <li>• Glass melting furnace</li> </ul>
CPMS	Continuous Parametric Monitoring System	<ul style="list-style-type: none"> <li>• Record thermal oxidizer operating temperature</li> <li>• Record baghouse pressure drop</li> <li>• Record scrubbant flow rate and pH</li> </ul>
IN	Inspection	<ul style="list-style-type: none"> <li>• Periodic inspection of work practices</li> </ul>

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OMP	Operations and Maintenance Plan	<ul style="list-style-type: none"> <li>Operate equipment in accordance with manufacturer's recommendation</li> <li>Periodic replacement of paint booth filters</li> </ul>
Monitoring Code	Short Description	Included/Example Activities
PEMS	Predictive Emissions Monitoring System	<ul style="list-style-type: none"> <li>Predictive NOx monitor for boilers</li> </ul>
RC	Records Review	<ul style="list-style-type: none"> <li>Other material information used to certify compliance in addition to those required by permit</li> <li>USPS certified mail receipts for complying with a reporting requirement</li> </ul>
RR	Recordkeeping Requirement	<ul style="list-style-type: none"> <li>By-delivery fuel certification</li> <li>Record that engine purchased is certified by manufacturer to comply with NSPS IIII standards</li> <li>Analytical data for landfill gas</li> <li>Track pollutant (e.g., VOC) content</li> <li>Calculate rolling emissions total</li> <li>Manually record baghouse pressure drop</li> </ul>
ST	Stack Testing	<ul style="list-style-type: none"> <li>Testing using EPA approved method</li> </ul>
VE	Visible Emissions Monitoring	<ul style="list-style-type: none"> <li>Daily visible emissions check</li> <li>Periodic Method 9 observation</li> <li>Periodic Method 22 observation</li> </ul>

If there are multiple methods for determining compliance, multiple entries may be required in this column. For example, if compliance is demonstrated through the continuous parametric monitoring and the recordkeeping, then enter CPMS and RR. The permittee can use other codes if an explanation of the code is included on the form.

- c. Enter the compliance status for each condition or condition subpart. Write "C" if the facility was in continuous compliance with the permit condition or condition subpart identified in question 3.a. Write "I" if the facility was in intermittent compliance with the condition or condition subpart identified in question 3.a. At a minimum, use all applicable information obtained from the testing, monitoring, and recordkeeping requirements in the permit as the basis for determining the compliance status. Consider any other available information, such as tests conducted in addition to those required in the permit and a general knowledge of the process, as a basis for determining the compliance status during the reporting period.
- For emissions limits and standards conditions, including the PSEL conditions, intermittent compliance means that there were measured (or in some cases, calculated or estimated) emissions in excess of the limit or standard, also referred to as permit deviations that are excess emissions permit deviations. For all other conditions in the permit (i.e., monitoring, recordkeeping, reporting), intermittent compliance means that there were times when the requirements of the condition were not fulfilled and these are referred to as permit deviations that do not cause excess emissions.
  - Some permits include operation and maintenance (O&M) requirements that include process and/or control device parameter action levels. Provided the emissions unit was operated within the approved parameter levels or corrective action was initiated when there

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was an excursion of a parameter action level, the owner/operator can certify continuous compliance with the O&M requirements and the underlying standard. If corrective action was not performed when there was an excursion of a parameter action level, the owner/operator would be in intermittent compliance with the O&M requirements, but not

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necessarily in intermittent compliance with the underlying standard. It is not necessary to list parameter action level excursions as “permit deviations” as long as corrective action was taken to address the excursion.

- d. If the compliance status is continuous (C), questions **3.e** through **3.g** do not have to be completed. If the compliance status is intermittent (I), provide the information requested in questions **3.c** through **3.e**.
- e. Enter the emissions unit identification code for each emissions unit that had permit deviations. If the permit deviations were applicable to the entire facility, enter “F”.
- f. Enter “EE” if the permit deviations were excess emissions. Enter “non-EE” if the permit deviations did not cause excess emissions. If the permit deviations were excess emissions, attach a copy of the Excess Emissions Report for each deviation. If the permit deviations did not cause excess emissions or if an Excess Emissions Report was not required for the excess emissions permit deviation, complete form R1008, Prompt Deviation Report, for each permit deviation or R1003, Summary of Permit Deviations.
- g. Enter the total number of permit deviations for each permit condition or condition subpart for which the compliance status was intermittent.

The permittee can print multiple copies of Page 1 if additional space is needed.

**Statement of Certification:** Per OAR 340-218-0040(5) and 340-218-0050(3)(c)(D), owners/operators are required to certify their compliance certification. Carefully read the Statement of Certification on the answer sheet. The certification must be signed by the official designated in the permit as responsible for the source's compliance with state and federal air quality regulations and knowledgeable of the truth, accuracy, and completeness of the contents of this report.

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# Form R1003 – Summary of Permit Deviations

If the owner/operator reported intermittent compliance with any permit condition (including the general conditions) not otherwise reported in the Excess Emissions Report, the Summary of Permit Deviations, Form R1003, must be submitted unless the owner/operator would rather attach forms R1008 to the semi-annual reports instead of filling out R1003.

This form is designed to gather more information DEQ requires for determining the extent of the permit violation. Deviations that cause excess emissions and are required to be reported under OAR 340-214-0340 should not be reported on this form. Excess emissions should be reported on the Excess Emissions Report, R1007, and attached to Form R1002.

Complete this form if the following types of permit deviations have been identified in the Semi-Annual Compliance Certification, Form R1002:

- deviations from a parameter, pollutant limit, or work practice that cause excess emissions that are not required to be reported in an Excess Emissions Report (OAR 340-214-0340); or
  - deviations from a parameter, pollutant limit, or work practice that do not cause excess emissions; or
  - deviations from any other permit condition, including emissions units definitions, testing, monitoring, recordkeeping, reporting, and general conditions.
1. Specify the calendar period covered by this report (hereinafter referred to as the reporting period).
    - a. January-June
    - b. July-December
    - c. Other [specify; for those owners/operators whose permit conditions require more frequent compliance reporting]
  2. Provide the following information about each permit deviation identified on Form R1002 and not otherwise summarized in the Excess Emissions Report.
    - a. Enter the condition, as identified in the owner/operator's permit.
    - b. Enter the identification (ID) number or label of the emissions unit. If the deviation applied to the entire facility, enter "F".
    - c. Enter the probable cause of the deviation. If the deviation is due to an exceedance of a pollutant/parameter limit, enter the appropriate two-letter code from the list of "Pollutant/Parameter/Work Practice Deviation." If the deviation is due to monitoring data/downtime or insufficient monitoring/recordkeeping, enter the appropriate two-letter code from the list of "Monitoring Deviation."

Pollutant/Parameter/Work Practice Deviation

pa control equipment failure  
 pb cleaning, soot-blowing  
 pc fuel problems  
 pd process problems  
 pe startup/shutdown  
 pf other: specify (attach explanation)

Monitoring Deviation

ma calibration  
 mb non-CEM equipment malfunction  
 mc CEM equipment malfunction  
 md other known CEM downtime  
 me unknown CEM downtime  
 mf process downtime  
 mg inadequate frequency  
 mh incorrect procedure  
 mi other: specify (attach explanation)

- d. Enter the date and time that the deviation period began. Enter the date as month and day (mm/dd). Enter the time in military time (e.g., 2:00 pm is 1400).
- e. Enter the date and time that the deviation period ended. Enter the date as month and day (mm/dd). Enter the time in military time (e.g., 2:00 pm is 1400).

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- f. Enter the deviation as measured or quantified (e.g., if the parameter is opacity, the limit is 20 percent, and the deviation was an opacity reading of 50 percent, enter "50 percent" in the answer space). If the deviation is from a work practice (e.g., sweeping the paved areas around materials handling operations to minimize fugitive emissions), then you may have difficulty quantifying the deviation; in this case, attach an explanation of the deviation and estimate resultant emissions. Attach all calculations and equations used to answer this question.
- g. Identify any corrective actions and/or preventative measures taken as a result of the deviation to contain the deviation and/or prevent a recurrence. If additional space is needed attach the explanation. The attachment should clearly identify what deviation is being addressed

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# Form R1004 – Notice of Approved Construction Completion

OAR 340-218-0190 requires owners/operators to notify DEQ within thirty (30) days after construction is complete. Form R1004 is provided for this notification. This form is not to be used for notification of completion for construction approved in accordance with OAR 340, Division 224 but other forms may be required to be submitted in accordance with the Air Contaminant Discharge Permit program.

## Instructions

- Enter the NC application number
- Enter the permit number
- Enter the facility name
- Enter the date on which the construction/modification was approved.
- Enter the date on which the construction/modification commenced.
- Enter the date on which the construction/modification was completed.
- Enter the date of initial operation of the constructed/modified device(s)/process(s).
- Enter a brief description and the identification numbers of the device(s)/process(s).
- Enter the location of the constructed facility/equipment
- Enter the make, model, and identification name or number of the constructed facility/equipment
- Enter the exhaust parameters (e.g., stack height, diameter, temperature, flowrate, volume or area source dimensions)
- Check the box yes or no on whether the construction/installation built in accordance with the approved plans and specifications. If no, the owner or operator must submit any changes in construction or modification plans that affect emissions.

**Statement of Certification:** Per OAR 340-218-0040(5) and 340-218-0050(3)(c)(D), owners/operators are required to certify their report. Carefully read the Statement of Certification on the answer sheet. The certification must be signed by the official designated in the permit as responsible for the source's compliance with state and federal air quality regulations and knowledgeable of the truth, accuracy, and completeness of the contents of this notice.

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# Form R1005 – Emission Statement Form

Owners/operators of facilities that are located in ozone nonattainment areas and that meet any of the following criteria are required to submit an Emission Statement, Form R1005:

- The facility has a VOC PSEL  $\leq$  25 tons per year; and/or
- The facility has a NO<sub>x</sub> PSEL  $\leq$  25 tons per year; and/or
- The facility has actual emissions of VOC or NO<sub>x</sub>  $\leq$  25 tons per year (i.e., the facility has a PSEL for VOC or NO<sub>x</sub> of  $\leq$  25 tons per year, but due to an upset had actual emissions of  $\leq$  25 tons per year).

The purpose of Emission Statement information is to meet EPA requirements on monitoring progress toward attainment of the ozone National Ambient Air Quality Standard. To that end, the Emission Statement reporting requirements collect information on VOC and NO<sub>x</sub> emissions during the previous ozone season, June 1 through August 31 of the previous calendar year. Specifically, the Emission Statement is intended to estimate "average ozone season weekday emissions" of VOC and NO<sub>x</sub> as a means of measuring the contribution of VOC and NO<sub>x</sub> to the region's levels of ambient ozone. The purpose of attempting to estimate "weekday" (as opposed to weekend or just daily) emissions is to obtain the most conservative (i.e., worst-case) picture possible of ozone in the area, as weekdays typically experience the heaviest emissions from traffic and business activity in general.

## Instructions

First should consider how emissions were calculated for purposes of the emissions fees required under OAR 340, Division 220.

- If emissions fees were calculated based on actual emissions, then use the same underlying assumptions (e.g., same emissions factor) when calculating average ozone season weekday VOC or NO<sub>x</sub> emissions for questions 3 and 4.
- If you elected to pay fees based on the Plant Site Emission Limits, then for this form use current and applicable emission factors and **actual** production data to estimate and report actual emissions.

1. Enter the mailing address for the facility.
2. Enter the physical location of the facility.
3. Enter the ozone season calendar year. The ozone season is the three month period during which ozone exceedances typically occur (i.e., June, July, and August).
4. Indicate which pollutant(s) you are required to report in this form (VOC, NO<sub>x</sub>, or both) and answer the appropriate questions below for the reported pollutant(s).
5. VOC Emission Information
  - a. Calculate the estimated actual average weekday emissions of VOC (in pounds) during the preceding year's ozone season. Average weekday emissions mean the total emissions occurring on weekdays during the ozone season divided by the number of weekdays with emissions during the ozone season.
  - b. Indicate whether the emissions were calculated using material balance, source test data, continuous monitoring data, or emission factors.
  - c. If emission factors were used, provide the source of the emission factor (e.g., AP-42, permit detail sheets, etc.). Only emission factors approved by the EPA or DEQ may be used.
6. NO<sub>x</sub> Emission Information

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- a. Calculate the estimated actual average weekday emissions of NO<sub>x</sub> (in pounds) during the preceding year's ozone season. Average weekday emissions mean the total emissions occurring on weekdays during the ozone season divided by the number of weekdays with emissions during the ozone season.
- b. Indicate whether the emissions were calculated using source test data, continuous monitoring data, or emission factors.
- c. If emission factors were used, provide the source of the emission factor (e.g., AP-42, permit detail sheets, etc.). Only emission factors approved by the EPA or DEQ may be used.

**Statement of Certification:** Per OAR 340-218-0040(5) and 340-218-0050(3)(c)(D), owners/operators are required to certify the Emission Statement. Carefully read the Statement of Certification on the answer sheet. The certification must be signed by the official designated in the permit as responsible for the source's compliance with state and federal air quality regulations and knowledgeable of the truth, accuracy, and completeness of the contents of this report.

### **Non-discrimination statement**

DEQ does not discriminate on the basis of race, color, national origin, disability, age or sex in administration of its programs or activities. Visit DEQ's [Civil Rights and Environmental Justice page](#).

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