



# Air Quality Division

## Excess Emissions/Deviation Report

1. Company/Facility Name: \_\_\_\_\_

2. Permit No.: \_\_\_\_\_

3. Report Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

4. Identity of the stack or other emission point where the excess emissions occurred: \_\_\_\_\_

5. Magnitude of the excess emissions expressed in the units of the applicable emission limitation and the operating data and calculations used in determining the magnitude of the excess emissions: \_\_\_\_\_

6. Time and duration (or expected duration) of the excess emissions:

Date and time the excess emissions began: \_\_\_\_ / \_\_\_\_ / \_\_\_\_ \_\_\_\_:\_\_\_\_

Date and time the excess emissions ended (if applicable): \_\_\_\_ / \_\_\_\_ / \_\_\_\_ \_\_\_\_:\_\_\_\_

Duration (or expected duration) of excess emissions: \_\_\_\_ Days \_\_\_\_ Hours \_\_\_\_ Minutes

Were (or are) the excess emissions: Continuous \_\_\_\_ Intermittent \_\_\_\_

7. Identity of the equipment from which the excess emissions emanated: \_\_\_\_\_

8. Nature and cause of the excess emissions: \_\_\_\_\_

9. Steps taken, if the excess emissions were the result of a malfunction, to remedy the malfunction and the steps taken or planned to prevent the recurrence of the malfunctions: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

10. Steps that were or are being taken to limit the excess emissions: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

11. If the source's permit contains procedures governing source operations during periods of startup or malfunction and the excess emissions resulted from startup or malfunction; a list of the steps taken to comply with the permit procedures: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

12. Any other corrective actions or preventive measures taken: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

*Certification of Truth, Accuracy and Completeness*

By my signature; I, \_\_\_\_\_, hereby certify that, based on information and belief formed after reasonable inquiry, the statements and information in this document are true, accurate, and complete.

Signature of Responsible Official: \_\_\_\_\_ Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_\_

## Instructions for Excess Emissions/Deviation Reporting

Arizona Administrative Code (A.A.C) R18-2-310.01 requires the owner or operator of any source issued a permit by the Arizona Department of Environmental Quality, Air Quality Division to report to the Director any emissions in excess of the limits established by A.A.C. Title 18, Chapter 2 or the applicable permit. Such reporting shall be in two parts as specified below:

- a. Initial notification by telephone or facsimile within 24 hours of the time when the owner or operator first learned of the occurrence of excess emissions, including all available information to address the report content requirements in A.A.C. R18-2-310.01.B.
- b. Detailed written notification within 72 hours of the initial notification (described above) that contains the information required in A.A.C. R18-2-310.01.B.

Notice that complies with the detailed written notification 72-hour timeframe above shall be considered “prompt” for purposes of deviation reporting required by A.A.C. R18-2-306.A.5.b.

ADEQ has developed the Excess Emissions/Deviation Report Form to assist owners and operators of sources meet the excess emissions and deviation reporting content requirements in A.A.C. R18-2-310.01.2 and R18-2-306.A.5.b, respectively. An owner or operator may use another format for the report so long as it contains the information required by A.A.C. R18-2-310.01.2 and R18-2-306.A.5.b. Instructions on completing the form are provided below.

1. **Company Name:** Provide the name of your company and the name of the facility (if applicable) as it appears on your current air quality permit.
2. **Permit No.:** Provide your current air quality permit number.
3. **Report Date:** Identify the date on which the excess emissions/deviation report was completed.
4. **Identity of the stack or other emission point where the excess emissions occurred:**  
Briefly describe the stack or other emission point from which the excess emissions were or are being emitted. For stacks, ADEQ recommends the description include the stack ID number as designated in your permit or most recent Emissions Inventory submittal if applicable.
5. **Magnitude of the excess emissions expressed in the units of the applicable emission limitation and the operating data and calculations used in determining the magnitude of the excess emissions:**  
Identify the magnitude of the excess emissions in terms of the applicable emission limitation or standard (e.g.; 60% opacity, 0.899 lbs SO<sub>2</sub>/hour, 6.5 lbs NO<sub>x</sub>/ton production) and the method used to determine that emission level (e.g., performance test, monitoring method). If surrogate parameters are used to determine emission rates, then a description of these surrogate parameters (e.g., combustion chamber temperature), the emissions factors used to convert them to emission rates, and the equations used to calculate the emissions should be identified (calculations may be included as attachments). If the excess emissions were (or are) fluctuating, or if no formal method was used to determine emission levels (e.g., informal visible emissions observation), an approximate estimate or range is acceptable.
6. **Time and duration or expected duration of the excess emissions:**  
Identify the date and time that the excess emissions began and ended (if applicable) along with the duration (or expected duration) of the excess emissions. If a specific time and duration is unknown, an approximate estimate or range is acceptable. ADEQ also recommends that you identify whether the excess emission were (or are) continuous or intermittent.
7. **Identity of the equipment from which the excess emissions emanated:**  
Briefly describe the equipment (or activity) from which the excess emissions originated. ADEQ recommends the description include the same name or ID number as in the permit or from your most recent Emissions Inventory submittal if applicable.
8. **Nature and cause of the excess emissions:**  
Describe the circumstances surrounding the excess emissions event and the cause or probable cause (if known), including whether the excess emissions were the result of a startup, shutdown, or malfunction. Although not required as part of the excess emissions reporting requirements, ADEQ recommends that you conduct a root cause analysis to determine the reason(s) why the excess emissions occurred. If such an analysis is not complete at the time of the report, ADEQ suggests that you note that the analysis is underway and that this information will be provided to ADEQ at a later date. ADEQ may request such an analysis

as part of its review of the excess emissions report and subsequent compliance and enforcement investigation.

9. **Steps taken, if the excess emissions were the result of a malfunction, to remedy the malfunction and the steps taken or planned to prevent the recurrence of the malfunctions:**

If the excess emissions were caused by a malfunction, identify the actions (troubleshooting, adjustments, equipment repair or replacement, etc.) taken to remedy the malfunction and what actions (root cause analysis, equipment upgrades, process improvements, etc.) were or are being taken to prevent the malfunction from occurring again. If no such steps are necessary, you should include an explanation for that determination.

10. **The steps that were or are being taken to limit the excess emissions.**

Identify corrective action or other measures that were or are being taken to limit, reduce, or control excess emissions until resumption of operation in compliance with the emission limitation or standard. If no such steps are necessary, you should include an explanation for that determination.

11. **If the source's permit contains procedures governing source operations during periods of startup or malfunction and the excess emissions resulted from startup or malfunction; a list of the steps taken to comply with the permit procedures:**

If the source's permit prescribes operating procedures during periods of startup or malfunction (e.g., a condition requiring operation in accordance with a startup, shutdown, and malfunction plan), and the excess emissions resulted from a startup or malfunction event, provide a list of steps taken to comply with those procedures.

12. **Any other corrective actions or preventive measures taken:**

Identify any other corrective actions or preventive measures that were or are being taken to address the excess emissions or underlying cause(s). If no such actions or measures are necessary, you should include an explanation for that determination. If potential corrective actions or preventive measures have not been identified at the time of the report (i.e., the cause(s) of the excess emissions not yet determined), ADEQ suggests that you note that this information will be provided to ADEQ at a later date. ADEQ may request such information as part of its review of the excess emissions report and subsequent compliance and enforcement investigation.

### **Filing Instructions**

To conduct the initial reporting requirements of A.A.C. R18-2-310.01.A.1 by phone, call 602-771-4109 or within Arizona 1-800-234-5677.

This completed form may be used to satisfy the initial reporting requirements of A.A.C. R18-2-310.01.A.1 by faxing it within 24 hours of the time when the owner or operator first learned of the occurrence of excess emissions to:

Fax (602) 771-2299 or within Arizona 1-800-234-5677  
ATTN: Facilities Emissions Control Section

This completed and **signed** form may be used to satisfy the written reporting requirements of A.A.C. R18-2-310.01.A.1. by certifying it with an original signature and **mailing** it, within 72 hours of the initial notification of A.A.C. R18-2-310.01.A.2., to:

Arizona Department of Environmental Quality  
Air Quality Division  
Facilities Emissions Control Section  
1110 W. Washington Street  
Phoenix, Arizona 85007