



Air Quality Division
Upset Condition Deviation Report
(For Breakdowns/Malfunions of
Pollution Control Equipment, CEMS or COMS)

DO NOT USE THIS FORM FOR REPORTING EXCESS EMISSIONS
THIS FORM DOES NOT MEET THE REQUIREMENTS
FOR REPORTING EXCESS EMISSIONS
as required by Arizona Administrative Code (A.A.C.) R18-2-310.01

USE THIS FORM FOR REPORTING PERMIT DEVIATIONS FOR UPSET CONDITIONS,
DEFINED AS MALFUNCTIONS OR BREAKDOWNS OF POLLUTION CONTROL EQUIPMENT,
CONTINUOUS EMISSION MONITORING SYSTEMS (CEMS), or
CONTINUOUS OPACITY MONITORING SYSTEMS (COMS),
THAT DO NOT INCLUDE EXCESS EMISSIONS

- 1. Company/Facility Name:
2. Permit No.:
3. Report Date:
4. Description/identification of the upset pollution control equipment or continuous monitoring system:
5. Time and duration (or expected duration) of the upset condition:
Date and time the upset began:
Date and time the upset ended (if applicable):
Duration (or expected duration) of the upset:
6. Nature and cause of the upset:
7. Steps taken to remedy the upset and steps taken or planned to prevent the recurrence of the malfunction(s):

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 Reporting Upset Conditions

Upset conditions are defined in the source's air permit as malfunctions or breakdowns of pollution control equipment, continuous emissions monitoring systems (CEMS), or continuous opacity monitoring systems (COMS).

ADEQ has developed the Upset Condition Permit Deviation Report Form to assist owners and operators of sources meet the prompt reporting requirements for permit deviations related to malfunctions or breakdowns of pollution control equipment or continuous monitoring systems which are not associated with excess emissions. Per the Excess Emissions, Permit Deviations and Emergency Reporting Section of Attachment A of the source's permit; notice regarding upset conditions of pollution control equipment or continuous monitoring systems that is submitted within two working days of discovery shall be considered prompt.

1. **Company/Facility 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 upset condition permit deviation report was submitted.

4. **Description/identification of the upset pollution control equipment or continuous monitoring system:**

Identify the pollution control equipment or monitoring system and the respective emission source.

5. **Time and duration (or expected duration) of the upset condition:**

Identify the date and time that the upset began and ended (if applicable) along with the duration (or expected duration) of the upset. If a specific time and duration is unknown, an approximate estimate or range is acceptable.

6. **Nature and cause of the upset:**

Describe the circumstances surrounding the upset and the cause or probable cause. ADEQ recommends that you conduct a root cause analysis to determine the reason(s) why the upset occurred. If such an analysis is not complete at the time of the report, ADEQ suggests that you note that an analysis is underway and that this information will be provided to ADEQ at a later date.

7. **Steps taken to remedy the upset and steps taken or planned to prevent the recurrence of the upset:**

If the upset was the result of 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.

Phone Contact

602-771-4109 or within Arizona 1-800-234-5677

Filing Instructions

This completed and **signed** form may be used to satisfy the prompt reporting requirements for malfunctions or breakdowns of pollution control equipment or continuous monitoring systems by mailing or faxing it, within two working days of discovery of the upset condition to:

Via FAX:

(602) 771-2299 or within Arizona 1-800-234-5677

ATTN: Facilities Emissions Control Section

Via USPS Mail:

Arizona Department of Environmental Quality

Air Quality Division

Facilities Emissions Control Section

1110 W. Washington Street

Phoenix, Arizona 85007