

Federal Operating Permit Program (40 CFR Part 71)

**INITIAL COMPLIANCE PLAN AND COMPLIANCE CERTIFICATION (I-COMP)**

**SECTION A - COMPLIANCE STATUS AND COMPLIANCE PLAN**

Complete this section for each unique combination of applicable requirements and emissions units at the facility. List all compliance methods (monitoring, recordkeeping and reporting) you used to determine compliance with the applicable requirement described above. Indicate your compliance status at this time for this requirement and compliance methods and check "YES" or "NO" to the follow-up question.

<p>Emission Unit ID(s):</p> <p>Applicable Requirement (Describe and Cite)</p> <p>Compliance Methods for the Above (Description and Citation):</p> <p>Compliance Status:</p> <p><input type="checkbox"/> In Compliance: Will you continue to comply up to permit issuance? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><input type="checkbox"/> Not In Compliance: Will you be in compliance at permit issuance? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><input type="checkbox"/> Future-Effective Requirement: Do you expect to meet this on a timely basis? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Emission Unit ID(s):</p> <p>Applicable Requirement (Description and Citation):</p> <p>Compliance Methods for the Above (Description and Citation):</p> <p>Compliance Status:</p> <p><input type="checkbox"/> In Compliance: Will you continue to comply up to permit issuance? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><input type="checkbox"/> Not In Compliance: Will you be in compliance at permit issuance? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><input type="checkbox"/> Future-Effective Requirement: Do you expect to meet this on a timely basis? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>

**B. SCHEDULE OF COMPLIANCE**

Complete this section if you answered "NO" to any of the questions in section A. Also complete this section if required to submit a schedule of compliance by an applicable requirement. Please attach copies of any judicial consent decrees or administrative orders for this requirement.

Unit(s) \_\_\_\_\_ Requirement \_\_\_\_\_

**Reason for Noncompliance.** Briefly explain reason for noncompliance at time of permit issuance or that future-effective requirement will not be met on a timely basis:

**Narrative Description of how Source Compliance Will be Achieved.** Briefly explain your plan for achieving compliance:

**Schedule of Compliance.** Provide a schedule of remedial measures, including an enforceable sequence of actions with milestones, leading to compliance, including a date for final compliance.

Remedial Measure or Action	Date to be Achieved

**C. SCHEDULE FOR SUBMISSION OF PROGRESS REPORTS**

Only complete this section if you are required to submit one or more schedules of compliance in section B or if an applicable requirement requires submittal of a progress report. If a schedule of compliance is required, your progress report should start within 6 months of application submittal and subsequently, no less than every six months. One progress report may include information on multiple schedules of compliance.

<p>Contents of Progress Report (describe):</p> <p>First Report ___/___/___ Frequency of Submittal _____</p>
<p>Contents of Progress Report (describe):</p> <p>First Report ___/___/___ Frequency of Submittal _____</p>

**D. SCHEDULE FOR SUBMISSION OF COMPLIANCE CERTIFICATIONS**

<p>This section must be completed once by every source. Indicate when you would prefer to submit compliance certifications during the term of your permit (at least once per year).</p> <p>Frequency of submittal _____ Beginning ___/___/___</p>
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**E. COMPLIANCE WITH ENHANCED MONITORING & COMPLIANCE CERTIFICATION REQUIREMENTS**

This section must be completed once by every source. To certify compliance with these, you must be able to certify compliance for every applicable requirement related to monitoring and compliance certification at every unit.

Enhanced Monitoring Requirements:      \_\_\_\_ In Compliance      \_\_\_\_ Not In Compliance

Compliance Certification Requirements:      \_\_\_\_ In Compliance      \_\_\_\_ Not In Compliance

## INSTRUCTIONS FOR I-COMP INITIAL COMPLIANCE PLAN AND COMPLIANCE CERTIFICATION

### Section A (Compliance Status and Compliance Plan)

Description of Applicable Requirement: Complete Section A for each unique combination of applicable requirements (emission limitations, standards or other similar requirements of federal rules, SIP, TIP, FIP, or federally-enforceable permits) that apply to particular emissions units. You will likely have to complete this section numerous times to include all requirements at all emission units.

The emissions unit ID(s) should be the ones defined in section I of form GIS. If the requirement, including compliance method, applies in the same way to multiple emission units, you may list multiple units for a particular requirement.

The descriptions here should be detailed to the individual requirement level, rather than the standard level (if a MACT applies to you, describe each requirement of the MACT, rather than just a citation to the MACT as a whole). If the requirement imposes a particular numerical limit or range, include that in your description.

Citations to the requirements should unambiguously identify the requirement to the lowest level necessary.

Compliance Methods: List all compliance methods (monitoring, recordkeeping and reporting) you used to determine compliance with the applicable requirement described above. Such methods may be required by the applicable requirements or performed for other reasons. List all compliance methods required by applicable requirements, whether you used them to determine compliance or not.

To describe monitoring, indicate the monitoring device, the equipment, process, or pollutant monitored, averaging time, frequency, and a citation or cross-reference to the requirement. To describe recordkeeping, describe the records kept, the frequency of collection, and include a citation or cross-reference to the requirement. Please indicate whether monitoring data, results, or other records kept for compliance purposes may be kept on-site rather than reported. To describe reporting requirements, describe what is reported, when it is reported, and cite or cross-reference the requirement.

The citation or cross-reference here must unambiguously identify the requirement to the lowest level necessary.

Note that Compliance Assurance Monitoring (CAM) under part 64 is also an applicable requirement that may impose compliance methods for title V sources and require the submittal of a CAM plan with this application. Also note that periodic monitoring (which may be monitoring or recordkeeping designed to serve as monitoring) under part 71 may be required in certain limited circumstances: when there is no monitoring required, monitoring is required but there is no frequency specified, or only a one-time test is required. You may propose periodic monitoring in your application, but the permitting authority will make the final decision. If you wish to propose periodic monitoring, please do so in an attachment that clearly identifies the requirements, the units they apply to, and what you propose for periodic monitoring.

Compliance Status: For each requirement and associated compliance methods described above, indicate whether you are in compliance, not in compliance, or it is a future-effective requirement (only check one). This is with respect to your compliance status at the time of application submittal. You should consider all available information or knowledge that you have when evaluating your compliance status, including reference test methods and other compliance requirements that are required directly by a statute, regulation, or permit and credible evidence (e.g., non-reference test methods and other information readily available to you and already being utilized by you). For each compliance status indication, you must answer "YES" or "NO" as to your expectations for continuing (or future) compliance. If you answer "NO" to any of these questions, you will have to complete the schedule of compliance section (section B).

**Section B (Schedule of Compliance)**

Complete this section if you answered "NO" to any of the questions in section A. Regardless of how you answered the questions in section A, complete this section if required to have a schedule of compliance by an applicable requirement, or if a judicial consent decree or administrative order includes a schedule of compliance.

Identify the applicable requirement using the same information you used in section A. Provide a brief explanation of the reason for noncompliance (either now or in the future). [e.g., "do not have control device required as BACT."] Next, provide a brief description of what the schedule of compliance is trying to achieve. Then in the table provided, include a detailed schedule of remedial measures, including an enforceable sequence of actions with milestones, leading to compliance with the applicable requirement. This schedule shall resemble and be at least as stringent as that contained in any judicial consent decree or administrative order to which the source is subject. Any such schedule of compliance must be supplemental to, and not sanction noncompliance with, the applicable requirements on which it is based. For each remedial measure, provide the date by which the action will be completed. This schedule or one approved by the permitting authority will be included in the permit.

Lastly, attach a copy of any judicial consent decrees or administrative orders for which you are providing a schedule of compliance.

**Section C (Schedule for Submission of Progress Reports)**

If you must submit one or more schedules of compliance (specified in section B), or if an applicable requirement requires submittal of a progress report, complete this section. Progress reports describe your progress in meeting the milestone dates for the remedial measures required by the schedule of compliance. Progress reports must be submitted at least every 6 months, but specific applicable requirements may require them more frequently. One progress report may include information on one or more schedules of compliance. Describe the contents of the progress report, including the date that your facility will begin submitting them and the frequency they will be submitted.

**Section D (Schedule for Submission of Compliance Certifications)**

All applicants must complete this section. Compliance certifications must be submitted at least every year unless the applicable requirement or EPA requires them more frequently. Provide the date when the first compliance certification will be sent.

**Section E (Compliance Status for Enhanced Monitoring and Compliance Certification)**

All applicants must complete this section. The completion of this section does not satisfy the requirement for the responsible official to submit a certification of truth, accuracy, and completeness (instead this is met by completing form CTAC and submitting it with the other forms you send to EPA).

To certify compliance with "Enhanced Monitoring," you must be in compliance at all emission units with CAM and "Periodic Monitoring" [required by 40 CFR 71.6(a)(3)(i)(B)], if they apply. "Compliance Certification Requirements" include requirements for compliance certification in title V applications and permits, and possibly through applicable requirements (e.g., certain MACT standards). If you have fully completed sections A - E of this form, you will be in compliance with the compliance certification requirement for applications. If you do not have a title V permit at this time, you can assume you are in compliance with the compliance certification requirements for permits and with periodic monitoring requirements. If you indicate you are "not in compliance" with either of these requirements, attach an explanation.

END