## § 63.5 Preconstruction review and notification requirements.

(a) **Applicability.**

(1) This section implements the preconstruction review requirements of section 112(i)(1). After the effective date of a relevant standard, promulgated pursuant to section 112(d), (f), or (h) of the Act, under this part, the preconstruction review requirements in this section apply to the owner or operator of new affected sources and reconstructed affected sources that are major-emitting as specified in this section. New and reconstructed affected sources that commence construction or reconstruction before the effective date of a relevant standard are not subject to the preconstruction review requirements specified in [paragraphs (b)(3)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(b)(3)), [(d)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)), and [(e)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(e)) of this section.

(2) This section includes notification requirements for new affected sources and reconstructed affected sources that are not major-emitting affected sources and that are or become subject to a relevant promulgated emission standard after the effective date of a relevant standard promulgated under this part.

(b) **Requirements for existing, newly constructed, and reconstructed sources.**

(1) A new affected source for which construction commences after proposal of a relevant standard is subject to relevant standards for new affected sources, including compliance dates. An affected source for which reconstruction commences after proposal of a relevant standard is subject to relevant standards for new sources, including compliance dates, irrespective of any change in emissions of hazardous air pollutants from that source.

(2) [Reserved]

(3) After the effective date of any relevant standard promulgated by the Administrator under this part, no person may, without obtaining written approval in advance from the Administrator in accordance with the procedures specified in [paragraphs (d)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)) and [(e)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(e)) of this section, do any of the following:

(i) Construct a new affected source that is major-emitting and subject to such standard;

(ii) Reconstruct an affected source that is major-emitting and subject to such standard; or

(iii) Reconstruct a major source such that the source becomes an affected source that is major-emitting and subject to the standard.

(4) After the effective date of any relevant standard promulgated by the Administrator under this part, an owner or operator who constructs a new affected source that is not major-emitting or reconstructs an affected source that is not major-emitting that is subject to such standard, or reconstructs a source such that the source becomes an affected source subject to the standard, must notify the Administrator of the intended construction or reconstruction. The notification must be submitted in accordance with the procedures in [§ 63.9(b)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(b)).

(5) [Reserved]

(6) After the effective date of any relevant standard promulgated by the Administrator under this part, equipment added (or a process change) to an affected source that is within the scope of the definition of affected source under the relevant standard must be considered part of the affected source and subject to all provisions of the relevant standard established for that affected source.

(c) [Reserved]

(d) **Application for approval of construction or reconstruction.** The provisions of this paragraph implement section 112(i)(1) of the Act.

(1) **General application requirements.**

(i) An owner or operator who is subject to the requirements of [paragraph (b)(3)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(b)(3)) of this section must submit to the Administrator an application for approval of the construction or reconstruction. The application must be submitted as soon as practicable before actual construction or reconstruction begins. The application for approval of construction or reconstruction may be used to fulfill the initial notification requirements of [§ 63.9(b)(5)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(b)(5)). The owner or operator may submit the application for approval well in advance of the date actual construction or reconstruction begins in order to ensure a timely review by the Administrator and that the planned date to begin will not be delayed.

(ii) A separate application shall be submitted for each construction or reconstruction. Each application for approval of construction or reconstruction shall include at a minimum:

(A) The applicant's name and address;

(B) A notification of intention to construct a new major affected source or make any physical or operational change to a major affected source that may meet or has been determined to meet the criteria for a reconstruction, as defined in [§ 63.2](https://www.ecfr.gov/current/title-40/section-63.2) or in the relevant standard;

(C) The address (i.e., physical location) or proposed address of the source;

(D) An identification of the relevant standard that is the basis of the application;

(E) The expected date of the beginning of actual construction or reconstruction;

(F) The expected completion date of the construction or reconstruction;

(G) [Reserved]

(H) The type and quantity of hazardous air pollutants emitted by the source, reported in units and averaging times and in accordance with the test methods specified in the relevant standard, or if actual emissions data are not yet available, an estimate of the type and quantity of hazardous air pollutants expected to be emitted by the source reported in units and averaging times specified in the relevant standard. The owner or operator may submit percent reduction information if a relevant standard is established in terms of percent reduction. However, operating parameters, such as flow rate, shall be included in the submission to the extent that they demonstrate performance and compliance; and

(I) [Reserved]

(J) Other information as specified in [paragraphs (d)(2)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)(2)) and [(d)(3)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)(3)) of this section.

(iii) An owner or operator who submits estimates or preliminary information in place of the actual emissions data and analysis required in [paragraphs (d)(1)(ii)(H)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)(1)(ii)(H)) and [(d)(2)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)(2)) of this section shall submit the actual, measured emissions data and other correct information as soon as available but no later than with the notification of compliance status required in [§ 63.9(h)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(h)) (see [§ 63.9(h)(5)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(h)(5))).

(2) **Application for approval of construction.** Each application for approval of construction must include, in addition to the information required in [paragraph (d)(1)(ii)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)(1)(ii)) of this section, technical information describing the proposed nature, size, design, operating design capacity, and method of operation of the source, including an identification of each type of emission point for each type of hazardous air pollutant that is emitted (or could reasonably be anticipated to be emitted) and a description of the planned air pollution control system (equipment or method) for each emission point. The description of the equipment to be used for the control of emissions must include each control device for each hazardous air pollutant and the estimated control efficiency (percent) for each control device. The description of the method to be used for the control of emissions must include an estimated control efficiency (percent) for that method. Such technical information must include calculations of emission estimates in sufficient detail to permit assessment of the validity of the calculations.

(3) **Application for approval of reconstruction.** Each application for approval of reconstruction shall include, in addition to the information required in [paragraph (d)(1)(ii)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)(1)(ii)) of this section—

(i) A brief description of the affected source and the components that are to be replaced;

(ii) A description of present and proposed emission control systems (i.e., equipment or methods). The description of the equipment to be used for the control of emissions shall include each control device for each hazardous air pollutant and the estimated control efficiency (percent) for each control device. The description of the method to be used for the control of emissions shall include an estimated control efficiency (percent) for that method. Such technical information shall include calculations of emission estimates in sufficient detail to permit assessment of the validity of the calculations;

(iii) An estimate of the fixed capital cost of the replacements and of constructing a comparable entirely new source;

(iv) The estimated life of the affected source after the replacements; and

(v) A discussion of any economic or technical limitations the source may have in complying with relevant standards or other requirements after the proposed replacements. The discussion shall be sufficiently detailed to demonstrate to the Administrator's satisfaction that the technical or economic limitations affect the source's ability to comply with the relevant standard and how they do so.

(vi) If in the application for approval of reconstruction the owner or operator designates the affected source as a reconstructed source and declares that there are no economic or technical limitations to prevent the source from complying with all relevant standards or other requirements, the owner or operator need not submit the information required in [paragraphs (d)(3)(iii)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)(3)(iii)) through [(d)(3)(v)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)(3)(v)) of this section.

(4) **Additional information.** The Administrator may request additional relevant information after the submittal of an application for approval of construction or reconstruction.

(e) **Approval of construction or reconstruction.**

(1)

(i) If the Administrator determines that, if properly constructed, or reconstructed, and operated, a new or existing source for which an application under [paragraph (d)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)) of this section was submitted will not cause emissions in violation of the relevant standard(s) and any other federally enforceable requirements, the Administrator will approve the construction or reconstruction.

(ii) In addition, in the case of reconstruction, the Administrator's determination under this paragraph will be based on:

(A) The fixed capital cost of the replacements in comparison to the fixed capital cost that would be required to construct a comparable entirely new source;

(B) The estimated life of the source after the replacements compared to the life of a comparable entirely new source;

(C) The extent to which the components being replaced cause or contribute to the emissions from the source; and

(D) Any economic or technical limitations on compliance with relevant standards that are inherent in the proposed replacements.

(2)

(i) The Administrator will notify the owner or operator in writing of approval or intention to deny approval of construction or reconstruction within 60 calendar days after receipt of sufficient information to evaluate an application submitted under [paragraph (d)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)) of this section. The 60-day approval or denial period will begin after the owner or operator has been notified in writing that his/her application is complete. The Administrator will notify the owner or operator in writing of the status of his/her application, that is, whether the application contains sufficient information to make a determination, within 30 calendar days after receipt of the original application and within 30 calendar days after receipt of any supplementary information that is submitted.

(ii) When notifying the owner or operator that his/her application is not complete, the Administrator will specify the information needed to complete the application and provide notice of opportunity for the applicant to present, in writing, within 30 calendar days after he/she is notified of the incomplete application, additional information or arguments to the Administrator to enable further action on the application.

(3) Before denying any application for approval of construction or reconstruction, the Administrator will notify the applicant of the Administrator's intention to issue the denial together with—

(i) Notice of the information and findings on which the intended denial is based; and

(ii) Notice of opportunity for the applicant to present, in writing, within 30 calendar days after he/she is notified of the intended denial, additional information or arguments to the Administrator to enable further action on the application.

(4) A final determination to deny any application for approval will be in writing and will specify the grounds on which the denial is based. The final determination will be made within 60 calendar days of presentation of additional information or arguments (if the application is complete), or within 60 calendar days after the final date specified for presentation if no presentation is made.

(5) Neither the submission of an application for approval nor the Administrator's approval of construction or reconstruction shall—

(i) Relieve an owner or operator of legal responsibility for compliance with any applicable provisions of this part or with any other applicable Federal, State, or local requirement; or

(ii) Prevent the Administrator from implementing or enforcing this part or taking any other action under the Act.

(f) **Approval of construction or reconstruction based on prior State preconstruction review.**

(1) Preconstruction review procedures that a State utilizes for other purposes may also be utilized for purposes of this section if the procedures are substantially equivalent to those specified in this section. The Administrator will approve an application for construction or reconstruction specified in [paragraphs (b)(3)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(b)(3)) and [(d)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)) of this section if the owner or operator of a new affected source or reconstructed affected source, who is subject to such requirement meets the following conditions:

(i) The owner or operator of the new affected source or reconstructed affected source has undergone a preconstruction review and approval process in the State in which the source is (or would be) located and has received a federally enforceable construction permit that contains a finding that the source will meet the relevant promulgated emission standard, if the source is properly built and operated.

(ii) Provide a statement from the State or other evidence (such as State regulations) that it considered the factors specified in [paragraph (e)(1)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(e)(1)) of this section.

(2) The owner or operator must submit to the Administrator the request for approval of construction or reconstruction under this [paragraph (f)(2)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(f)(2)) no later than the application deadline specified in [paragraph (d)(1)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)(1)) of this section (see also [§ 63.9(b)(2)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(b)(2))). The owner or operator must include in the request information sufficient for the Administrator's determination. The Administrator will evaluate the owner or operator's request in accordance with the procedures specified in [paragraph (e)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(e)) of this section. The Administrator may request additional relevant information after the submittal of a request for approval of construction or reconstruction under this [paragraph (f)(2)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(f)(2)).

## § 63.7 Performance testing requirements.

(b) **Notification of performance test.**

(1) The owner or operator of an affected source must notify the Administrator in writing of his or her intention to conduct a performance test at least 60 calendar days before the performance test is initially scheduled to begin to allow the Administrator, upon request, to review an approve the site-specific test plan required under [paragraph (c)](https://www.ecfr.gov/current/title-40/section-63.7#p-63.7(c)) of this section and to have an observer present during the test.

(2) In the event the owner or operator is unable to conduct the performance test on the date specified in the notification requirement specified in [paragraph (b)(1)](https://www.ecfr.gov/current/title-40/section-63.7#p-63.7(b)(1)) of this section due to unforeseeable circumstances beyond his or her control, the owner or operator must notify the Administrator as soon as practicable and without delay prior to the scheduled performance test date and specify the date when the performance test is rescheduled. This notification of delay in conducting the performance test shall not relieve the owner or operator of legal responsibility for compliance with any other applicable provisions of this part or with any other applicable Federal, State, or local requirement, nor will it prevent the Administrator from implementing or enforcing this part or taking any other action under the Act.

## § 63.9 Notification requirements.

(b) **Initial notifications.**

(1)

(i) The requirements of this paragraph apply to the owner or operator of an affected source when such source becomes subject to a relevant standard.

(ii) If an area source subsequently becomes a major source that is subject to the emission standard or other requirement, such source shall be subject to the notification requirements of this section. Area sources previously subject to major source requirements that become major sources again are also subject to the notification requirements of this paragraph and must submit the notification according to the requirements of [paragraph (k)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(k)) of this section.

(iii) Affected sources that are required under this paragraph to submit an initial notification may use the application for approval of construction or reconstruction under [§ 63.5(d) of this subpart](https://www.ecfr.gov/current/title-40/part-63/section-63.5#p-63.5(d)), if relevant, to fulfill the initial notification requirements of this paragraph.

(2) The owner or operator of an affected source that has an initial startup before the effective date of a relevant standard under this part shall notify the Administrator in writing that the source is subject to the relevant standard. The notification, which shall be submitted not later than 120 calendar days after the effective date of the relevant standard (or within 120 calendar days after the source becomes subject to the relevant standard), shall provide the following information:

(i) The name and address of the owner or operator;

(ii) The address (i.e., physical location) of the affected source;

(iii) An identification of the relevant standard, or other requirement, that is the basis of the notification and the source's compliance date;

(iv) A brief description of the nature, size, design, and method of operation of the source and an identification of the types of emission points within the affected source subject to the relevant standard and types of hazardous air pollutants emitted; and

(v) A statement of whether the affected source is a major source or an area source.

(3) [Reserved]

(4) The owner or operator of a new or reconstructed major affected source for which an application for approval of construction or reconstruction is required under [§ 63.5(d)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)) must provide the following information in writing to the Administrator:

(i) A notification of intention to construct a new major-emitting affected source, reconstruct a major-emitting affected source, or reconstruct a major source such that the source becomes a major-emitting affected source with the application for approval of construction or reconstruction as specified in [§ 63.5(d)(1)(i)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)(1)(i)); and

(ii)–(iv) [Reserved]

(v) A notification of the actual date of startup of the source, delivered or postmarked within 15 calendar days after that date.

(5) The owner or operator of a new or reconstructed affected source for which an application for approval of construction or reconstruction is not required under [§ 63.5(d)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)) must provide the following information in writing to the Administrator:

(i) A notification of intention to construct a new affected source, reconstruct an affected source, or reconstruct a source such that the source becomes an affected source, and

(ii) A notification of the actual date of startup of the source, delivered or postmarked within 15 calendar days after that date.

(iii) Unless the owner or operator has requested and received prior permission from the Administrator to submit less than the information in [§ 63.5(d)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)), the notification must include the information required on the application for approval of construction or reconstruction as specified in [§ 63.5(d)(1)(i)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)(1)(i)).

(c) **Request for extension of compliance.** If the owner or operator of an affected source cannot comply with a relevant standard by the applicable compliance date for that source, or if the owner or operator has installed BACT or technology to meet LAER consistent with [§ 63.6(i)(5) of this subpart](https://www.ecfr.gov/current/title-40/part-63/section-63.6#p-63.6(i)(5)), he/she may submit to the Administrator (or the State with an approved permit program) a request for an extension of compliance as specified in [§ 63.6(i)(4)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(i)(4)) through [§ 63.6(i)(6)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(i)(6)).

(d) **Notification that source is subject to special compliance requirements.** An owner or operator of a new source that is subject to special compliance requirements as specified in [§ 63.6(b)(3)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(b)(3)) and [§ 63.6(b)(4)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(b)(4)) shall notify the Administrator of his/her compliance obligations not later than the notification dates established in [paragraph (b)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(b)) of this section for new sources that are not subject to the special provisions.

(e) **Notification of performance test.** The owner or operator of an affected source shall notify the Administrator in writing of his or her intention to conduct a performance test at least 60 calendar days before the performance test is scheduled to begin to allow the Administrator to review and approve the site-specific test plan required under [§ 63.7(c)](https://www.ecfr.gov/current/title-40/section-63.7#p-63.7(c)), if requested by the Administrator, and to have an observer present during the test.

(g) **Additional notification requirements for sources with continuous monitoring systems.** The owner or operator of an affected source required to use a CMS by a relevant standard shall furnish the Administrator written notification as follows:

(1) A notification of the date the CMS performance evaluation under [§ 63.8(e)](https://www.ecfr.gov/current/title-40/section-63.8#p-63.8(e)) is scheduled to begin, submitted simultaneously with the notification of the performance test date required under [§ 63.7(b)](https://www.ecfr.gov/current/title-40/section-63.7#p-63.7(b)). If no performance test is required, or if the requirement to conduct a performance test has been waived for an affected source under [§ 63.7(h)](https://www.ecfr.gov/current/title-40/section-63.7#p-63.7(h)), the owner or operator shall notify the Administrator in writing of the date of the performance evaluation at least 60 calendar days before the evaluation is scheduled to begin;

(2) A notification that COMS data results will be used to determine compliance with the applicable opacity emission standard during a performance test required by [§ 63.7](https://www.ecfr.gov/current/title-40/section-63.7) in lieu of Method 9 or other opacity emissions test method data, as allowed by [§ 63.6(h)(7)(ii)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(h)(7)(ii)), if compliance with an opacity emission standard is required for the source by a relevant standard. The notification shall be submitted at least 60 calendar days before the performance test is scheduled to begin; and

(3) A notification that the criterion necessary to continue use of an alternative to relative accuracy testing, as provided by [§ 63.8(f)(6)](https://www.ecfr.gov/current/title-40/section-63.8#p-63.8(f)(6)), has been exceeded. The notification shall be delivered or postmarked not later than 10 days after the occurrence of such exceedance, and it shall include a description of the nature and cause of the increased emissions.

(h) **Notification of compliance status.**

(1) The requirements of [paragraphs (h)(2)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(h)(2)) through [(h)(4)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(h)(4)) of this section apply when an affected source becomes subject to a relevant standard.

(2)

(i) Before a title V permit has been issued to the owner or operator of an affected source, and each time a notification of compliance status is required under this part, the owner or operator of such source shall submit to the Administrator a notification of compliance status, signed by the responsible official who shall certify its accuracy, attesting to whether the source has complied with the relevant standard. The notification shall list—

(A) The methods that were used to determine compliance;

(B) The results of any performance tests, opacity or visible emission observations, continuous monitoring system (CMS) performance evaluations, and/or other monitoring procedures or methods that were conducted;

(C) The methods that will be used for determining continuing compliance, including a description of monitoring and reporting requirements and test methods;

(D) The type and quantity of hazardous air pollutants emitted by the source (or surrogate pollutants if specified in the relevant standard), reported in units and averaging times and in accordance with the test methods specified in the relevant standard;

(E) If the relevant standard applies to both major and area sources, an analysis demonstrating whether the affected source is a major source (using the emissions data generated for this notification);

(F) A description of the air pollution control equipment (or method) for each emission point, including each control device (or method) for each hazardous air pollutant and the control efficiency (percent) for each control device (or method); and

(G) A statement by the owner or operator of the affected existing, new, or reconstructed source as to whether the source has complied with the relevant standard or other requirements.

(ii) The notification must be sent before the close of business on the 60th day following the completion of the relevant compliance demonstration activity specified in the relevant standard (unless a different reporting period is specified in the standard, in which case the letter must be sent before the close of business on the day the report of the relevant testing or monitoring results is required to be delivered or postmarked). For example, the notification shall be sent before close of business on the 60th (or other required) day following completion of the initial performance test and again before the close of business on the 60th (or other required) day following the completion of any subsequent required performance test. If no performance test is required but opacity or visible emission observations are required to demonstrate compliance with an opacity or visible emission standard under this part, the notification of compliance status shall be sent before close of business on the 30th day following the completion of opacity or visible emission observations. Notifications may be combined as long as the due date requirement for each notification is met.

(3) After a title V permit has been issued to the owner or operator of an affected source, the owner or operator of such source shall comply with all requirements for compliance status reports contained in the source's title V permit, including reports required under this part. After a title V permit has been issued to the owner or operator of an affected source, and each time a notification of compliance status is required under this part, the owner or operator of such source shall submit the notification of compliance status to the appropriate permitting authority following completion of the relevant compliance demonstration activity specified in the relevant standard.

(4) [Reserved]

(5) If an owner or operator of an affected source submits estimates or preliminary information in the application for approval of construction or reconstruction required in [§ 63.5(d)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)) in place of the actual emissions data or control efficiencies required in [paragraphs (d)(1)(ii)(H)](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)(1)(ii)(H)) and [(d)(2) of § 63.5](https://www.ecfr.gov/current/title-40/section-63.5#p-63.5(d)(2)), the owner or operator shall submit the actual emissions data and other correct information as soon as available but no later than with the initial notification of compliance status required in this section.

(6) Advice on a notification of compliance status may be obtained from the Administrator.

(i) **Adjustment to time periods or postmark deadlines for submittal and review of required communications.**

(1)

(i) Until an adjustment of a time period or postmark deadline has been approved by the Administrator under [paragraphs (i)(2)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(i)(2)) and [(i)(3)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(i)(3)) of this section, the owner or operator of an affected source remains strictly subject to the requirements of this part.

(ii) An owner or operator shall request the adjustment provided for in [paragraphs (i)(2)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(i)(2)) and [(i)(3)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(i)(3)) of this section each time he or she wishes to change an applicable time period or postmark deadline specified in this part.

(2) Notwithstanding time periods or postmark deadlines specified in this part for the submittal of information to the Administrator by an owner or operator, or the review of such information by the Administrator, such time periods or deadlines may be changed by mutual agreement between the owner or operator and the Administrator. An owner or operator who wishes to request a change in a time period or postmark deadline for a particular requirement shall request the adjustment in writing as soon as practicable before the subject activity is required to take place. The owner or operator shall include in the request whatever information he or she considers useful to convince the Administrator that an adjustment is warranted.

(3) If, in the Administrator's judgment, an owner or operator's request for an adjustment to a particular time period or postmark deadline is warranted, the Administrator will approve the adjustment. The Administrator will notify the owner or operator in writing of approval or disapproval of the request for an adjustment within 15 calendar days of receiving sufficient information to evaluate the request.

(4) If the Administrator is unable to meet a specified deadline, he or she will notify the owner or operator of any significant delay and inform the owner or operator of the amended schedule.

(j) **Change in information already provided.** Any change in the information already provided under this section shall be provided to the Administrator within 15 calendar days after the change. The owner or operator of a major source that reclassifies to area source status is also subject to the notification requirements of this paragraph. The owner or operator may use the application for reclassification with the regulatory authority (e.g., permit application) to fulfill the requirements of this paragraph. A source which reclassified after January 25, 2018, and before January 19, 2021, and has not yet provided the notification of a change in information is required to provide such notification no later than February 2, 2021, according to the requirements of [paragraph (k)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(k)) of this section. Beginning January 19, 2021, the owner or operator of a major source that reclassifies to area source status must submit the notification according to the requirements of [paragraph (k)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(k)) of this section. A notification of reclassification must contain the following information:

(1) The name and address of the owner or operator;

(2) The address (i.e., physical location) of the affected source;

(3) An identification of the standard being reclassified from and to (if applicable); and

(4) Date of effectiveness of the reclassification.

## § 63.10 Recordkeeping and reporting requirements.

(a) **Applicability and general information.**

(1) The applicability of this section is set out in [§ 63.1(a)(4)](https://www.ecfr.gov/current/title-40/section-63.1#p-63.1(a)(4)).

(2) For affected sources that have been granted an extension of compliance under [subpart D of this part](https://www.ecfr.gov/current/title-40/part-63/subpart-D), the requirements of this section do not apply to those sources while they are operating under such compliance extensions.

(3) If any State requires a report that contains all the information required in a report listed in this section, an owner or operator may send the Administrator a copy of the report sent to the State to satisfy the requirements of this section for that report.

(4)

(i) Before a State has been delegated the authority to implement and enforce recordkeeping and reporting requirements established under this part, the owner or operator of an affected source in such State subject to such requirements shall submit reports to the appropriate Regional Office of the EPA (to the attention of the Director of the Division indicated in the list of the EPA Regional Offices in [§ 63.13](https://www.ecfr.gov/current/title-40/section-63.13)).

(ii) After a State has been delegated the authority to implement and enforce recordkeeping and reporting requirements established under this part, the owner or operator of an affected source in such State subject to such requirements shall submit reports to the delegated State authority (which may be the same as the permitting authority). In addition, if the delegated (permitting) authority is the State, the owner or operator shall send a copy of each report submitted to the State to the appropriate Regional Office of the EPA, as specified in [paragraph (a)(4)(i)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(a)(4)(i)) of this section. The Regional Office may waive this requirement for any reports at its discretion.

(5) If an owner or operator of an affected source in a State with delegated authority is required to submit periodic reports under this part to the State, and if the State has an established timeline for the submission of periodic reports that is consistent with the reporting frequency(ies) specified for such source under this part, the owner or operator may change the dates by which periodic reports under this part shall be submitted (without changing the frequency of reporting) to be consistent with the State's schedule by mutual agreement between the owner or operator and the State. For each relevant standard established pursuant to section 112 of the Act, the allowance in the previous sentence applies in each State beginning 1 year after the affected source's compliance date for that standard. Procedures governing the implementation of this provision are specified in [§ 63.9(i)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(i)).

(6) If an owner or operator supervises one or more stationary sources affected by more than one standard established pursuant to section 112 of the Act, he/she may arrange by mutual agreement between the owner or operator and the Administrator (or the State permitting authority) a common schedule on which periodic reports required for each source shall be submitted throughout the year. The allowance in the previous sentence applies in each State beginning 1 year after the latest compliance date for any relevant standard established pursuant to section 112 of the Act for any such affected source(s). Procedures governing the implementation of this provision are specified in [§ 63.9(i)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(i)).

(7) If an owner or operator supervises one or more stationary sources affected by standards established pursuant to section 112 of the Act (as amended November 15, 1990) and standards set under part 60, part 61, or both such parts of this chapter, he/she may arrange by mutual agreement between the owner or operator and the Administrator (or the State permitting authority) a common schedule on which periodic reports required by each relevant (i.e., applicable) standard shall be submitted throughout the year. The allowance in the previous sentence applies in each State beginning 1 year after the stationary source is required to be in compliance with the relevant section 112 standard, or 1 year after the stationary source is required to be in compliance with the applicable part 60 or part 61 standard, whichever is latest. Procedures governing the implementation of this provision are specified in [§ 63.9(i)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(i)).

(b) **General recordkeeping requirements.**

(1) The owner or operator of an affected source subject to the provisions of this part shall maintain files of all information (including all reports and notifications) required by this part recorded in a form suitable and readily available for expeditious inspection and review. The files shall be retained for at least 5 years following the date of each occurrence, measurement, maintenance, corrective action, report, or record. At a minimum, the most recent 2 years of data shall be retained on site. The remaining 3 years of data may be retained off site. Such files may be maintained on microfilm, on a computer, on computer floppy disks, on magnetic tape disks, or on microfiche.

(2) The owner or operator of an affected source subject to the provisions of this part shall maintain relevant records for such source of—

(i) The occurrence and duration of each startup or shutdown when the startup or shutdown causes the source to exceed any applicable emission limitation in the relevant emission standards;

(ii) The occurrence and duration of each malfunction of operation (i.e., process equipment) or the required air pollution control and monitoring equipment;

(iii) All required maintenance performed on the air pollution control and monitoring equipment;

(iv)

(A) Actions taken during periods of startup or shutdown when the source exceeded applicable emission limitations in a relevant standard and when the actions taken are different from the procedures specified in the affected source's startup, shutdown, and malfunction plan (see [§ 63.6(e)(3)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(e)(3))); or

(B) Actions taken during periods of malfunction (including corrective actions to restore malfunctioning process and air pollution control and monitoring equipment to its normal or usual manner of operation) when the actions taken are different from the procedures specified in the affected source's startup, shutdown, and malfunction plan (see [§ 63.6(e)(3)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(e)(3)));

(v) All information necessary, including actions taken, to demonstrate conformance with the affected source's startup, shutdown, and malfunction plan (see [§ 63.6(e)(3)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(e)(3))) when all actions taken during periods of startup or shutdown (and the startup or shutdown causes the source to exceed any applicable emission limitation in the relevant emission standards), and malfunction (including corrective actions to restore malfunctioning process and air pollution control and monitoring equipment to its normal or usual manner of operation) are consistent with the procedures specified in such plan. (The information needed to demonstrate conformance with the startup, shutdown, and malfunction plan may be recorded using a “checklist,” or some other effective form of recordkeeping, in order to minimize the recordkeeping burden for conforming events);

(vi) Each period during which a CMS is malfunctioning or inoperative (including out-of-control periods);

(vii) All required measurements needed to demonstrate compliance with a relevant standard (including, but not limited to, 15-minute averages of CMS data, raw performance testing measurements, and raw performance evaluation measurements, that support data that the source is required to report);

(A) This paragraph applies to owners or operators required to install a continuous emissions monitoring system (CEMS) where the CEMS installed is automated, and where the calculated data averages do not exclude periods of CEMS breakdown or malfunction. An automated CEMS records and reduces the measured data to the form of the pollutant emission standard through the use of a computerized data acquisition system. In lieu of maintaining a file of all CEMS subhourly measurements as required under [paragraph (b)(2)(vii)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(b)(2)(vii)) of this section, the owner or operator shall retain the most recent consecutive three averaging periods of subhourly measurements and a file that contains a hard copy of the data acquisition system algorithm used to reduce the measured data into the reportable form of the standard.

(B) This paragraph applies to owners or operators required to install a CEMS where the measured data is manually reduced to obtain the reportable form of the standard, and where the calculated data averages do not exclude periods of CEMS breakdown or malfunction. In lieu of maintaining a file of all CEMS subhourly measurements as required under [paragraph (b)(2)(vii)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(b)(2)(vii)) of this section, the owner or operator shall retain all subhourly measurements for the most recent reporting period. The subhourly measurements shall be retained for 120 days from the date of the most recent summary or excess emission report submitted to the Administrator.

(C) The Administrator or delegated authority, upon notification to the source, may require the owner or operator to maintain all measurements as required by paragraph (b)(2)(vii), if the administrator or the delegated authority determines these records are required to more accurately assess the compliance status of the affected source.

(viii) All results of performance tests, CMS performance evaluations, and opacity and visible emission observations;

(ix) All measurements as may be necessary to determine the conditions of performance tests and performance evaluations;

(x) All CMS calibration checks;

(xi) All adjustments and maintenance performed on CMS;

(xii) Any information demonstrating whether a source is meeting the requirements for a waiver of recordkeeping or reporting requirements under this part, if the source has been granted a waiver under [paragraph (f)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(f)) of this section;

(xiii) All emission levels relative to the criterion for obtaining permission to use an alternative to the relative accuracy test, if the source has been granted such permission under [§ 63.8(f)(6)](https://www.ecfr.gov/current/title-40/section-63.8#p-63.8(f)(6)); and

(xiv) All documentation supporting initial notifications and notifications of compliance status under [§ 63.9](https://www.ecfr.gov/current/title-40/section-63.9).

(3) If an owner or operator determines that his or her existing or new stationary source is in the source category regulated by a standard established pursuant to section 112 of the Act, but that source is not subject to the relevant standard (or other requirement established under this part) because of enforceable limitations on the source's potential to emit, or the source otherwise qualifies for an exclusion, the owner or operator must keep a record of the applicability determination. The applicability determination must be kept on site at the source for a period of 5 years after the determination, or until the source changes its operations to become an affected source subject to the relevant standard (or other requirement established under this part), whichever comes first if the determination is made prior to January 19, 2021. The applicability determination must be kept until the source changes its operations to become an affected source subject to the relevant standard (or other requirement established under this part) if the determination was made on or after January 19, 2021. The record of the applicability determination must be signed by the person making the determination and include an emissions analysis (or other information) that demonstrates the owner or operator's conclusion that the source is unaffected (e.g., because the source is an area source). The analysis (or other information) must be sufficiently detailed to allow the Administrator to make an applicability finding for the source with regard to the relevant standard or other requirement. If applicable, the analysis must be performed in accordance with requirements established in relevant [subparts of this part](https://www.ecfr.gov/current/title-40/part-63/subpart-s) for this purpose for particular categories of stationary sources. If relevant, the analysis should be performed in accordance with EPA guidance materials published to assist sources in making applicability determinations under section 112 of the Act, if any. The requirements to determine applicability of a standard under [§ 63.1(b)(3)](https://www.ecfr.gov/current/title-40/section-63.1#p-63.1(b)(3)) and to record the results of that determination under this [paragraph (b)(3)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(b)(3)) of this section shall not by themselves create an obligation for the owner or operator to obtain a title V permit.

(c) **Additional recordkeeping requirements for sources with continuous monitoring systems.** In addition to complying with the requirements specified in [paragraphs (b)(1)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(b)(1)) and [(b)(2)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(b)(2)) of this section, the owner or operator of an affected source required to install a CMS by a relevant standard shall maintain records for such source of—

(1) All required CMS measurements (including monitoring data recorded during unavoidable CMS breakdowns and out-of-control periods);

(2)–(4) [Reserved]

(5) The date and time identifying each period during which the CMS was inoperative except for zero (low-level) and high-level checks;

(6) The date and time identifying each period during which the CMS was out of control, as defined in [§ 63.8(c)(7)](https://www.ecfr.gov/current/title-40/section-63.8#p-63.8(c)(7));

(7) The specific identification (i.e., the date and time of commencement and completion) of each period of excess emissions and parameter monitoring exceedances, as defined in the relevant standard(s), that occurs during startups, shutdowns, and malfunctions of the affected source;

(8) The specific identification (i.e., the date and time of commencement and completion) of each time period of excess emissions and parameter monitoring exceedances, as defined in the relevant standard(s), that occurs during periods other than startups, shutdowns, and malfunctions of the affected source;

(9) [Reserved]

(10) The nature and cause of any malfunction (if known);

(11) The corrective action taken or preventive measures adopted;

(12) The nature of the repairs or adjustments to the CMS that was inoperative or out of control;

(13) The total process operating time during the reporting period; and

(14) All procedures that are part of a quality control program developed and implemented for CMS under [§ 63.8(d)](https://www.ecfr.gov/current/title-40/section-63.8#p-63.8(d)).

(15) In order to satisfy the requirements of [paragraphs (c)(10)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(c)(10)) through [(c)(12)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(c)(12)) of this section and to avoid duplicative recordkeeping efforts, the owner or operator may use the affected source's startup, shutdown, and malfunction plan or records kept to satisfy the recordkeeping requirements of the startup, shutdown, and malfunction plan specified in [§ 63.6(e)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(e)), provided that such plan and records adequately address the requirements of paragraphs (c)(10) through (c)(12).

(d) **General reporting requirements.**

(2) **Reporting results of performance tests.** Before a title V permit has been issued to the owner or operator of an affected source, the owner or operator shall report the results of any performance test under [§ 63.7](https://www.ecfr.gov/current/title-40/section-63.7) to the Administrator. After a title V permit has been issued to the owner or operator of an affected source, the owner or operator shall report the results of a required performance test to the appropriate permitting authority. The owner or operator of an affected source shall report the results of the performance test to the Administrator (or the State with an approved permit program) before the close of business on the 60th day following the completion of the performance test, unless specified otherwise in a relevant standard or as approved otherwise in writing by the Administrator. The results of the performance test shall be submitted as part of the notification of compliance status required under [§ 63.9(h)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(h)).

(3) **Reporting results of opacity or visible emission observations.** The owner or operator of an affected source required to conduct opacity or visible emission observations by a relevant standard shall report the opacity or visible emission results (produced using Test Method 9 or Test Method 22, or an alternative to these test methods) along with the results of the performance test required under [§ 63.7](https://www.ecfr.gov/current/title-40/section-63.7). If no performance test is required, or if visibility or other conditions prevent the opacity or visible emission observations from being conducted concurrently with the performance test required under [§ 63.7](https://www.ecfr.gov/current/title-40/section-63.7), the owner or operator shall report the opacity or visible emission results before the close of business on the 30th day following the completion of the opacity or visible emission observations.

(4) **Progress reports.** The owner or operator of an affected source who is required to submit progress reports as a condition of receiving an extension of compliance under [§ 63.6(i)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(i)) shall submit such reports to the Administrator (or the State with an approved permit program) by the dates specified in the written extension of compliance.

(5)

(i) **Periodic startup, shutdown, and malfunction reports.** If actions taken by an owner or operator during a startup or shutdown (and the startup or shutdown causes the source to exceed any applicable emission limitation in the relevant emission standards), or malfunction of an affected source (including actions taken to correct a malfunction) are consistent with the procedures specified in the source's startup, shutdown, and malfunction plan (see [§ 63.6(e)(3)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(e)(3))), the owner or operator shall state such information in a startup, shutdown, and malfunction report. Actions taken to minimize emissions during such startups, shutdowns, and malfunctions shall be summarized in the report and may be done in checklist form; if actions taken are the same for each event, only one checklist is necessary. Such a report shall also include the number, duration, and a brief description for each type of malfunction which occurred during the reporting period and which caused or may have caused any applicable emission limitation to be exceeded. Reports shall only be required if a startup or shutdown caused the source to exceed any applicable emission limitation in the relevant emission standards, or if a malfunction occurred during the reporting period. The startup, shutdown, and malfunction report shall consist of a letter, containing the name, title, and signature of the owner or operator or other responsible official who is certifying its accuracy, that shall be submitted to the Administrator semiannually (or on a more frequent basis if specified otherwise in a relevant standard or as established otherwise by the permitting authority in the source's title V permit). The startup, shutdown, and malfunction report shall be delivered or postmarked by the 30th day following the end of each calendar half (or other calendar reporting period, as appropriate). If the owner or operator is required to submit excess emissions and continuous monitoring system performance (or other periodic) reports under this part, the startup, shutdown, and malfunction reports required under this paragraph may be submitted simultaneously with the excess emissions and continuous monitoring system performance (or other) reports. If startup, shutdown, and malfunction reports are submitted with excess emissions and continuous monitoring system performance (or other periodic) reports, and the owner or operator receives approval to reduce the frequency of reporting for the latter under [paragraph (e)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(e)) of this section, the frequency of reporting for the startup, shutdown, and malfunction reports also may be reduced if the Administrator does not object to the intended change. The procedures to implement the allowance in the preceding sentence shall be the same as the procedures specified in [paragraph (e)(3)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(e)(3)) of this section.

(ii) **Immediate startup, shutdown, and malfunction reports.** Notwithstanding the allowance to reduce the frequency of reporting for periodic startup, shutdown, and malfunction reports under [paragraph (d)(5)(i)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(d)(5)(i)) of this section, any time an action taken by an owner or operator during a startup or shutdown that caused the source to exceed any applicable emission limitation in the relevant emission standards, or malfunction (including actions taken to correct a malfunction) is not consistent with the procedures specified in the affected source's startup, shutdown, and malfunction plan, the owner or operator shall report the actions taken for that event within 2 working days after commencing actions inconsistent with the plan followed by a letter within 7 working days after the end of the event. The immediate report required under this [paragraph (d)(5)(ii)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(d)(5)(ii)) shall consist of a telephone call (or facsimile (FAX) transmission) to the Administrator within 2 working days after commencing actions inconsistent with the plan, and it shall be followed by a letter, delivered or postmarked within 7 working days after the end of the event, that contains the name, title, and signature of the owner or operator or other responsible official who is certifying its accuracy, explaining the circumstances of the event, the reasons for not following the startup, shutdown, and malfunction plan, describing all excess emissions and/or parameter monitoring exceedances which are believed to have occurred (or could have occurred in the case of malfunctions), and actions taken to minimize emissions in conformance with [§ 63.6(e)(1)(i)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(e)(1)(i)). Notwithstanding the requirements of the previous sentence, after the effective date of an approved permit program in the State in which an affected source is located, the owner or operator may make alternative reporting arrangements, in advance, with the permitting authority in that State. Procedures governing the arrangement of alternative reporting requirements under this [paragraph (d)(5)(ii)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(d)(5)(ii)) are specified in [§ 63.9(i)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(i)).

(e) **Additional reporting requirements for sources with continuous monitoring systems** —

(1) **General.** When more than one CEMS is used to measure the emissions from one affected source (e.g., multiple breechings, multiple outlets), the owner or operator shall report the results as required for each CEMS.

(2) **Reporting results of continuous monitoring system performance evaluations.**

(i) The owner or operator of an affected source required to install a CMS by a relevant standard shall furnish the Administrator a copy of a written report of the results of the CMS performance evaluation, as required under [§ 63.8(e)](https://www.ecfr.gov/current/title-40/section-63.8#p-63.8(e)), simultaneously with the results of the performance test required under [§ 63.7](https://www.ecfr.gov/current/title-40/section-63.7), unless otherwise specified in the relevant standard.

(ii) The owner or operator of an affected source using a COMS to determine opacity compliance during any performance test required under [§ 63.7](https://www.ecfr.gov/current/title-40/section-63.7) and described in [§ 63.6(d)(6)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(d)(6)) shall furnish the Administrator two or, upon request, three copies of a written report of the results of the COMS performance evaluation conducted under [§ 63.8(e)](https://www.ecfr.gov/current/title-40/section-63.8#p-63.8(e)). The copies shall be furnished at least 15 calendar days before the performance test required under [§ 63.7](https://www.ecfr.gov/current/title-40/section-63.7) is conducted.

(3) **Excess emissions and continuous monitoring system performance report and summary report.**

(i) 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 continuous monitoring system 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) [Reserved]

(D) The affected source is complying with the Performance Track Provisions of [§ 63.16](https://www.ecfr.gov/current/title-40/section-63.16), which allows less frequent reporting.

(ii) **Request to reduce frequency of excess emissions and continuous monitoring system performance reports.** Notwithstanding the frequency of reporting requirements specified in [paragraph (e)(3)(i)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(e)(3)(i)) of this section, an owner or operator who is required by a relevant standard to submit excess emissions and continuous monitoring system 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 continuous monitoring system 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 [paragraph (e)(3)(iii)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(e)(3)(iii)) of this section.

(iii) The frequency of reporting of excess emissions and continuous monitoring system 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.

(iv) As soon as 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 continuous monitoring system 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 [paragraphs (e)(3)(ii)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(e)(3)(ii)) and [(e)(3)(iii)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(e)(3)(iii)) of this section.

(v) **Content and submittal dates for excess emissions and monitoring system performance reports.** 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. Written reports of excess emissions or exceedances of process or control system parameters shall include all the information required in [paragraphs (c)(5)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(c)(5)) through [(c)(13)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(c)(13)) of this section, in [§§ 63.8(c)(7)](https://www.ecfr.gov/current/title-40/section-63.8#p-63.8(c)(7)) and [63.8(c)(8)](https://www.ecfr.gov/current/title-40/section-63.8#p-63.8(c)(8)), and in the relevant standard, and they shall contain the name, title, and signature of the responsible official who is certifying the accuracy of the report. When no excess emissions or exceedances of a parameter have occurred, or a CMS has not been inoperative, out of control, repaired, or adjusted, such information shall be stated in the report.

(vi) **Summary report.** As required under [paragraphs (e)(3)(vii)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(e)(3)(vii)) and [(e)(3)(viii)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(e)(3)(viii)) of this section, 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). The summary report shall be entitled “Summary Report—Gaseous and Opacity Excess Emission and Continuous Monitoring System Performance” and shall contain the following information:

(A) The company name and address of the affected source;

(B) An identification of each hazardous air pollutant monitored at the affected source;

(C) The beginning and ending dates of the reporting period;

(D) A brief description of the process units;

(E) The emission and operating parameter limitations specified in the relevant standard(s);

(F) The monitoring equipment manufacturer(s) and model number(s);

(G) The date of the latest CMS certification or audit;

(H) The total operating time of the affected source during the reporting period;

(I) An emission data summary (or similar summary if the owner or operator monitors control system parameters), including the total duration of excess emissions during the reporting period (recorded in minutes for opacity and hours for gases), the total duration of excess emissions expressed as a percent of the total source operating time during that reporting period, and a breakdown of the total duration of excess emissions during the reporting period into those that are due to startup/shutdown, control equipment problems, process problems, other known causes, and other unknown causes;

(J) A CMS performance summary (or similar summary if the owner or operator monitors control system parameters), including the total CMS downtime during the reporting period (recorded in minutes for opacity and hours for gases), the total duration of CMS downtime expressed as a percent of the total source operating time during that reporting period, and a breakdown of the total CMS downtime during the reporting period into periods that are due to monitoring equipment malfunctions, nonmonitoring equipment malfunctions, quality assurance/quality control calibrations, other known causes, and other unknown causes;

(K) A description of any changes in CMS, processes, or controls since the last reporting period;

(L) The name, title, and signature of the responsible official who is certifying the accuracy of the report; and

(M) The date of the report.

(vii) 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 continuous monitoring system performance report need not be submitted unless required by the Administrator.

(viii) 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 continuous monitoring system performance report shall be submitted.

(4) **Reporting continuous opacity monitoring system data produced during a performance test.** The owner or operator of an affected source required to use a COMS shall record the monitoring data produced during a performance test required under [§ 63.7](https://www.ecfr.gov/current/title-40/section-63.7) and shall furnish the Administrator a written report of the monitoring results. The report of COMS data shall be submitted simultaneously with the report of the performance test results required in [paragraph (d)(2)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(d)(2)) of this section.

(f) **Waiver of recordkeeping or reporting requirements.**

(1) Until a waiver of a recordkeeping or reporting requirement has been granted by the Administrator under this paragraph, the owner or operator of an affected source remains subject to the requirements of this section.

(2) Recordkeeping or reporting requirements may be waived upon written application to the Administrator if, in the Administrator's judgment, the affected source is achieving the relevant standard(s), or the source is operating under an extension of compliance, or the owner or operator has requested an extension of compliance and the Administrator is still considering that request.

(3) If an application for a waiver of recordkeeping or reporting is made, the application shall accompany the request for an extension of compliance under [§ 63.6(i)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(i)), any required compliance progress report or compliance status report required under this part (such as under [§§ 63.6(i)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(i)) and [63.9(h)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(h))) or in the source's title V permit, or an excess emissions and continuous monitoring system performance report required under [paragraph (e)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(e)) of this section, whichever is applicable. The application shall include whatever information the owner or operator considers useful to convince the Administrator that a waiver of recordkeeping or reporting is warranted.

(4) The Administrator will approve or deny a request for a waiver of recordkeeping or reporting requirements under this paragraph when he/she—

(i) Approves or denies an extension of compliance; or

(ii) Makes a determination of compliance following the submission of a required compliance status report or excess emissions and continuous monitoring systems performance report; or

(iii) Makes a determination of suitable progress towards compliance following the submission of a compliance progress report, whichever is applicable.

(5) A waiver of any recordkeeping or reporting requirement granted under this paragraph may be conditioned on other recordkeeping or reporting requirements deemed necessary by the Administrator.

(6) Approval of any waiver granted under this section shall not abrogate the Administrator's authority under the Act or in any way prohibit the Administrator from later canceling the waiver. The cancellation will be made only after notice is given to the owner or operator of the affected source.

## § 63.787 Notification requirements.

(a) Each owner or operator of an affected source shall comply with all applicable notification requirements in [§ 63.9(a)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(a)) through [(d)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(d)) and [(i)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(i)) through [(j)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(j)), with the exception that the deadline specified in [§ 63.9(b) (2)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(b)(2)) and [(3)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(b)(3)) shall be extended from 120 days to 180 days. Any owner or operator that receives approval pursuant to [§ 63.783(c)](https://www.ecfr.gov/current/title-40/section-63.783#p-63.783(c)) to use an add-on control system to control coating emissions shall comply with the applicable requirements of [§ 63.9(e)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(e)) through [(h)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(h)).

(b) **Implementation plan.** The provisions of [§ 63.9(a)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(a)) apply to the requirements of this paragraph.

(1) Each owner or operator of an affected source shall:

(i) Prepare a written implementation plan that addresses each of the subject areas specified in [paragraph (b)(3)](https://www.ecfr.gov/current/title-40/section-63.787#p-63.787(b)(3)) of this section; and

(ii) Not later than one year after the effective date of this subpart, submit the implementation plan to the Administrator along with the notification required by [§ 63.9(b)(2)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(b)(2)) or [(b)(5)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(b)(5)) of subpart A, as applicable.

(2) [Reserved]

(3) **Implementation plan contents.** Each implementation plan shall address the following subject areas:

(i) **Coating compliance procedures.** The implementation plan shall include the compliance procedure(s) under [§ 63.785(c)](https://www.ecfr.gov/current/title-40/section-63.785#p-63.785(c)) that the source intends to use.

(ii) **Recordkeeping procedures.** The implementation plan shall include the procedures for maintaining the records required under [§ 63.788](https://www.ecfr.gov/current/title-40/section-63.788), including the procedures for gathering the necessary data and making the necessary calculations.

(iii) **Transfer, handling, and storage procedures.** The implementation plan shall include the procedures for ensuring compliance with [§ 63.783(b)](https://www.ecfr.gov/current/title-40/section-63.783#p-63.783(b)).

(4) **Major sources that intend to become area sources by the compliance date.** Existing major sources that intend to become area sources by the December 16, 1997 compliance date may choose to submit, in lieu of the implementation plan required under [paragraph (b)(1)](https://www.ecfr.gov/current/title-40/section-63.787#p-63.787(b)(1)) of this section, a statement that, by the compliance date, the major source intends to obtain and comply with federally enforceable limits on their potential to emit which make the facility an area source.

## § 63.788 Recordkeeping and reporting requirements.

(a) Each owner or operator of an affected source shall comply with the applicable recordkeeping and reporting requirements in [§ 63.10 (a)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(a)), [(b)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(b)), [(d)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(d)), and [(f)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(f)). Any owner that receives approval pursuant to [§ 63.783(c)](https://www.ecfr.gov/current/title-40/section-63.783#p-63.783(c)) to use an add-on control system to control coating emissions shall also comply with the applicable requirements of [§ 63.10 (c)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(c)) and [(e)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(e)). A summary of recordkeeping and reporting requirements is provided in Table 3 of this subpart.

(b) **Recordkeeping requirements.**

(1) Each owner or operator of a major source shipbuilding or ship repair facility having surface coating operations with less than 1000 liters (L) (264 gallons (gal)) annual marine coating usage shall record the total volume of coating applied at the source to ships. Such records shall be compiled monthly and maintained for a minimum of 5 years.

(2) Each owner or operator of an affected source shall compile records on a monthly basis and maintain those records for a minimum of 5 years. At a minimum, these records shall include:

(i) All documentation supporting initial notification;

(ii) A copy of the affected source's approved implementation plan;

(iii) The volume of each low-usage-exempt coating applied;

(iv) Identification of the coatings used, their appropriate coating categories, and the applicable VOHAP limit;

(v) Certification of the as-supplied VOC content of each batch of coating;

(vi) A determination of whether containers meet the standards as described in [§ 63.783(b)(2)](https://www.ecfr.gov/current/title-40/section-63.783#p-63.783(b)(2)); and

(vii) The results of any Method 24 of appendix A to 40 CFR part 60 or approved VOHAP measurement test conducted on individual containers of coating, as applied.

(3) The records required by [paragraph (b)(2)](https://www.ecfr.gov/current/title-40/section-63.788#p-63.788(b)(2)) of this section shall include additional information, as determined by the compliance procedure(s) described in [§ 63.785(c)](https://www.ecfr.gov/current/title-40/section-63.785#p-63.785(c)) that each affected source followed:

(i) **Coatings to which thinning solvent will not be added.** The records maintained by facilities demonstrating compliance using the procedure described in [§ 63.785(c)(1)](https://www.ecfr.gov/current/title-40/section-63.785#p-63.785(c)(1)) shall contain the following information:

(A) Certification of the as-applied VOC content of each batch of coating; and

(B) The volume of each coating applied.

(ii) **Coatings to which thinning solvent will be added—coating-by-coating compliance.** The records maintained by facilities demonstrating compliance using the procedure described in [§ 63.785(c)(2)](https://www.ecfr.gov/current/title-40/section-63.785#p-63.785(c)(2)) shall contain the following information:

(A) The density and mass fraction of water and exempt compounds of each thinner and the volume fraction of solids (nonvolatiles) in each batch, including any calculations;

(B) The maximum allowable thinning ratio (or ratios, if the affected source complies with the cold-weather limits in addition to the other limits specified in Table 2 of this subpart) for each batch of coating, including calculations;

(C) If an affected source chooses to comply with the cold-weather limits, the dates and times during which the ambient temperature at the affected source was below 4.5 °C (40 °F) at the time the coating was applied and the volume used of each batch of the coating, as supplied, during these dates;

(D) The volume used of each batch of the coating, as supplied;

(E) The total allowable volume of thinner for each coating, including calculations; and

(F) The actual volume of thinner used for each coating.

(iii) **Coatings to which the same thinning solvent will be added—group compliance.** The records maintained by facilities demonstrating compliance using the procedure described in [§ 63.785(c)(3)](https://www.ecfr.gov/current/title-40/section-63.785#p-63.785(c)(3)) shall contain the following information:

(A) The density and mass fraction of water and exempt compounds of each thinner and the volume fraction of solids in each batch, including any calculations;

(B) The maximum allowable thinning ratio (or ratios, if the affected source complies with the cold-weather limits in addition to the other limits specified in Table 2 of this subpart) for each batch of coating, including calculations;

(C) If an affected source chooses to comply with the cold-weather limits, the dates and times during which the ambient temperature at the affected source was below 4.5 °C (40 °F) at the time the coating was applied and the volume used of each batch in the group, as supplied, during these dates;

(D) Identification of each group of coatings and their designated thinners;

(E) The volume used of each batch of coating in the group, as supplied;

(F) The total allowable volume of thinner for the group, including calculations; and

(G) The actual volume of thinner used for the group.

(iv) **Demonstration of compliance through an alternative (i.e., non-Method 24 in appendix A to 40 CFR part 60) test method.** The records maintained by facilities demonstrating compliance using the procedure described in [§ 63.785(c)(4)](https://www.ecfr.gov/current/title-40/section-63.785#p-63.785(c)(4)) shall contain the following information:

(A) Identification of the Administrator-approved VOHAP test method or certification procedure;

(B) For coatings to which the affected source does not add thinning solvents, the source shall record the certification of the as-supplied and as-applied VOHAP content of each batch and the volume of each coating applied;

(C) For coatings to which the affected source adds thinning solvent on a coating-by-coating basis, the source shall record all of the information required to be recorded by [paragraph (b)(3)(ii)](https://www.ecfr.gov/current/title-40/section-63.788#p-63.788(b)(3)(ii)) of this section; and

(D) For coatings to which the affected source adds thinning solvent on a group basis, the source shall record all of the information required to be recorded by [paragraph (b)(3)(iii)](https://www.ecfr.gov/current/title-40/section-63.788#p-63.788(b)(3)(iii)) of this section.

(4) If the owner or operator of an affected source detects a violation of the standards specified in [§ 63.783](https://www.ecfr.gov/current/title-40/section-63.783), the owner or operator shall, for the remainder of the reporting period during which the violation(s) occurred, include the following information in his or her records:

(i) A summary of the number and duration of deviations during the reporting period, classified by reason, including known causes for which a Federally-approved or promulgated exemption from an emission limitation or standard may apply.

(ii) Identification of the data availability achieved during the reporting period, including a summary of the number and total duration of incidents that the monitoring protocol failed to perform in accordance with the design of the protocol or produced data that did not meet minimum data accuracy and precision requirements, classified by reason.

(iii) Identification of the compliance status as of the last day of the reporting period and whether compliance was continuous or intermittent during the reporting period.

(iv) If, pursuant to [paragraph (b)(4)(iii)](https://www.ecfr.gov/current/title-40/section-63.788#p-63.788(b)(4)(iii)) of this section, the owner or operator identifies any deviation as resulting from a known cause for which no Federally-approved or promulgated exemption from an emission limitation or standard applies, the monitoring report shall also include all records that the source is required to maintain that pertain to the periods during which such deviation occurred and:

(A) The magnitude of each deviation;

(B) The reason for each deviation;

(C) A description of the corrective action taken for each deviation, including action taken to minimize each deviation and action taken to prevent recurrence; and

(D) All quality assurance activities performed on any element of the monitoring protocol.

(5) Each owner or operator that receives approval pursuant to [§ 63.783(c)](https://www.ecfr.gov/current/title-40/section-63.783#p-63.783(c)) to use an add-on control system to control coating emissions shall maintain records of the occurrence and duration of each malfunction of operation (i.e., process equipment) or the required air pollution control and monitoring equipment. Each owner or operator shall maintain records of actions taken during periods of malfunction to minimize emissions in accordance with [§ 63.783(b)(1)](https://www.ecfr.gov/current/title-40/section-63.783#p-63.783(b)(1)), including corrective actions to restore malfunctioning process and air pollution control and monitoring equipment to its normal or usual manner of operation.

(c) **Reporting requirements.** Before the 60th day following completion of each 6 month period after the compliance date specified in [§ 63.784](https://www.ecfr.gov/current/title-40/section-63.784), each owner or operator of an affected source shall submit a report to the Administrator for each of the previous 6 months. The report shall include all of the information that must be retained pursuant to [paragraphs (b)(2)](https://www.ecfr.gov/current/title-40/section-63.788#p-63.788(b)(2)) through [(3)](https://www.ecfr.gov/current/title-40/section-63.788#p-63.788(b)(3)) of this section, except for that information specified in paragraphs (b)(2)(i) through (ii), (b)(2)(v), (b)(3)(i)(A), (b)(3)(ii)(A), and (b)(3)(iii)(A). If a violation at an affected source is detected, the owner or operator of the affected source shall also report the information specified in [paragraph (b)(4)](https://www.ecfr.gov/current/title-40/section-63.788#p-63.788(b)(4)) of this section for the reporting period during which the violation(s) occurred. To the extent possible, the report shall be organized according to the compliance procedure(s) followed each month by the affected source. If there was a malfunction during the reporting period, the report must also include the number, duration and a brief description of each malfunction which occurred during the reporting period and which caused or may have caused any applicable emission limitation to be exceeded. The report must also include a description of actions taken by an owner or operator during a malfunction of an affected source to minimize emissions in accordance with [§ 63.783(b)(1)](https://www.ecfr.gov/current/title-40/section-63.783#p-63.783(b)(1)), including actions taken to correct a malfunction.