**§ 63.6 Compliance with standards and maintenance requirements.**

(e) *Operation and maintenance requirements.*

(3) *Startup, shutdown, and malfunction plan.*

(i) The owner or operator of an affected source must develop a written startup, shutdown, and malfunction plan that describes, in detail, procedures for operating and maintaining the source during periods of startup, shutdown, and malfunction; and a program of corrective action for malfunctioning process, air pollution control, and monitoring equipment used to comply with the relevant standard. The startup, shutdown, and malfunction plan does not need to address any scenario that would not cause the source to exceed an applicable emission limitation in the relevant standard. This plan must be developed by the owner or operator by the source's compliance date for that relevant standard. The purpose of the startup, shutdown, and malfunction plan is to—

(A) Ensure that, at all times, the owner or operator operates and maintains each affected source, including associated air pollution control and monitoring equipment, in a manner which satisfies the general duty to minimize emissions established by [paragraph (e)(1)(i)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(e)(1)(i)) of this section;

(B) Ensure that owners or operators are prepared to correct malfunctions as soon as practicable after their occurrence in order to minimize excess emissions of hazardous air pollutants; and

(C) Reduce the reporting burden associated with periods of startup, shutdown, and malfunction (including corrective action taken to restore malfunctioning process and air pollution control equipment to its normal or usual manner of operation).

(ii) [Reserved]

(iii) When actions taken by the 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 (including actions taken to correct a malfunction) are consistent with the procedures specified in the affected source's startup, shutdown, and malfunction plan, the owner or operator must keep records for that event which demonstrate that the procedures specified in the plan were followed. These records may take the form of a “checklist,” or other effective form of recordkeeping that confirms conformance with the startup, shutdown, and malfunction plan and describes the actions taken for that event. In addition, the owner or operator must keep records of these events as specified in paragraph 63.10(b), including records of the occurrence and duration of each startup or shutdown (if the startup or shutdown causes the source to exceed any applicable emission limitation in the relevant emission standards), or malfunction of operation and each malfunction of the air pollution control and monitoring equipment. Furthermore, the owner or operator shall confirm that actions taken during the relevant reporting period during periods of startup, shutdown, and malfunction were consistent with the affected source's startup, shutdown and malfunction plan in the semiannual (or more frequent) startup, shutdown, and malfunction report required in [§ 63.10(d)(5)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(d)(5)).

(iv) If an action taken by the owner or operator during a startup, shutdown, or malfunction (including an action taken to correct a malfunction) is not consistent with the procedures specified in the affected source's startup, shutdown, and malfunction plan, and the source exceeds any applicable emission limitation in the relevant emission standard, then the owner or operator must record the actions taken for that event and must report such actions 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, in accordance with [§ 63.10(d)(5)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(d)(5)) (unless the owner or operator makes alternative reporting arrangements, in advance, with the Administrator).

(v) The owner or operator must maintain at the affected source a current startup, shutdown, and malfunction plan and must make the plan available upon request for inspection and copying by the Administrator. In addition, if the startup, shutdown, and malfunction plan is subsequently revised as provided in [paragraph (e)(3)(viii)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(e)(3)(viii)) of this section, the owner or operator must maintain at the affected source each previous (i.e., superseded) version of the startup, shutdown, and malfunction plan, and must make each such previous version available for inspection and copying by the Administrator for a period of 5 years after revision of the plan. If at any time after adoption of a startup, shutdown, and malfunction plan the affected source ceases operation or is otherwise no longer subject to the provisions of this part, the owner or operator must retain a copy of the most recent plan for 5 years from the date the source ceases operation or is no longer subject to this part and must make the plan available upon request for inspection and copying by the Administrator. The Administrator may at any time request in writing that the owner or operator submit a copy of any startup, shutdown, and malfunction plan (or a portion thereof) which is maintained at the affected source or in the possession of the owner or operator. Upon receipt of such a request, the owner or operator must promptly submit a copy of the requested plan (or a portion thereof) to the Administrator. The owner or operator may elect to submit the required copy of any startup, shutdown, and malfunction plan to the Administrator in an electronic format. If the owner or operator claims that any portion of such a startup, shutdown, and malfunction plan is confidential business information entitled to protection from disclosure under section 114(c) of the Act or [40 CFR 2.301](https://www.ecfr.gov/current/title-40/section-2.301), the material which is claimed as confidential must be clearly designated in the submission.

(vi) To satisfy the requirements of this section to develop a startup, shutdown, and malfunction plan, the owner or operator may use the affected source's standard operating procedures (SOP) manual, or an Occupational Safety and Health Administration (OSHA) or other plan, provided the alternative plans meet all the requirements of this section and are made available for inspection or submitted when requested by the Administrator.

(vii) Based on the results of a determination made under [paragraph (e)(1)(i)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(e)(1)(i)) of this section, the Administrator may require that an owner or operator of an affected source make changes to the startup, shutdown, and malfunction plan for that source. The Administrator must require appropriate revisions to a startup, shutdown, and malfunction plan, if the Administrator finds that the plan:

(A) Does not address a startup, shutdown, or malfunction event that has occurred;

(B) Fails to provide for the operation of the source (including associated air pollution control and monitoring equipment) during a startup, shutdown, or malfunction event in a manner consistent with the general duty to minimize emissions established by [paragraph (e)(1)(i)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(e)(1)(i)) of this section;

(C) Does not provide adequate procedures for correcting malfunctioning process and/or air pollution control and monitoring equipment as quickly as practicable; or

(D) Includes an event that does not meet the definition of startup, shutdown, or malfunction listed in [§ 63.2](https://www.ecfr.gov/current/title-40/section-63.2).

(viii) The owner or operator may periodically revise the startup, shutdown, and malfunction plan for the affected source as necessary to satisfy the requirements of this part or to reflect changes in equipment or procedures at the affected source. Unless the permitting authority provides otherwise, the owner or operator may make such revisions to the startup, shutdown, and malfunction plan without prior approval by the Administrator or the permitting authority. However, each such revision to a startup, shutdown, and malfunction plan must be reported in the semiannual report required by [§ 63.10(d)(5)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(d)(5)). If the startup, shutdown, and malfunction plan fails to address or inadequately addresses an event that meets the characteristics of a malfunction but was not included in the startup, shutdown, and malfunction plan at the time the owner or operator developed the plan, the owner or operator must revise the startup, shutdown, and malfunction plan within 45 days after the event to include detailed procedures for operating and maintaining the source during similar malfunction events and a program of corrective action for similar malfunctions of process or air pollution control and monitoring equipment. In the event that the owner or operator makes any revision to the startup, shutdown, and malfunction plan which alters the scope of the activities at the source which are deemed to be a startup, shutdown, or malfunction, or otherwise modifies the applicability of any emission limit, work practice requirement, or other requirement in a standard established under this part, the revised plan shall not take effect until after the owner or operator has provided a written notice describing the revision to the permitting authority.

(ix) The title V permit for an affected source must require that the owner or operator develop a startup, shutdown, and malfunction plan which conforms to the provisions of this part, but may do so by citing to the relevant subpart or subparagraphs of [paragraph (e)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(e)) of this section. However, any revisions made to the startup, shutdown, and malfunction plan in accordance with the procedures established by this part shall not be deemed to constitute permit revisions under [part 70](https://www.ecfr.gov/current/title-40/part-70) or [part 71 of this chapter](https://www.ecfr.gov/current/title-40/part-71) and the elements of the startup, shutdown, and malfunction plan shall not be considered an applicable requirement as defined in [§ 70.2](https://www.ecfr.gov/current/title-40/section-70.2) and [§ 71.2 of this chapter](https://www.ecfr.gov/current/title-40/section-71.2). Moreover, none of the procedures specified by the startup, shutdown, and malfunction plan for an affected source shall be deemed to fall within the permit shield provision in section 504(f) of the Act.

(h) ***Compliance with opacity and visible emission standards*** —

(7) ***Use of a continuous opacity monitoring system.***

(i) The owner or operator of an affected source required to use a continuous opacity monitoring system (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 in accordance with the provisions of [§ 63.10(e)(4)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(e)(4)).

(ii) Whenever an opacity emission test method has not been specified in an applicable subpart, or an owner or operator of an affected source is required to conduct Test Method 9 observations (see appendix A of [part 60 of this chapter](https://www.ecfr.gov/current/title-40/part-60)), the owner or operator may submit, for compliance purposes, COMS data results produced during any performance test required under [§ 63.7](https://www.ecfr.gov/current/title-40/section-63.7) in lieu of Method 9 data. If the owner or operator elects to submit COMS data for compliance with the opacity emission standard, he or she shall notify the Administrator of that decision, in writing, simultaneously with the notification under [§ 63.7(b)](https://www.ecfr.gov/current/title-40/section-63.7#p-63.7(b)) of the date the performance test is scheduled to begin. Once the owner or operator of an affected source has notified the Administrator to that effect, the COMS data results will be used to determine opacity compliance during subsequent performance tests required under [§ 63.7](https://www.ecfr.gov/current/title-40/section-63.7), unless the owner or operator notifies the Administrator in writing to the contrary not later than with the notification under [§ 63.7(b)](https://www.ecfr.gov/current/title-40/section-63.7#p-63.7(b)) of the date the subsequent performance test is scheduled to begin.

(iii) For the purposes of determining compliance with the opacity emission standard during a performance test required under [§ 63.7](https://www.ecfr.gov/current/title-40/section-63.7) using COMS data, the COMS data shall be reduced to 6-minute averages over the duration of the mass emission performance test.

(iv) The owner or operator of an affected source using a COMS for compliance purposes is responsible for demonstrating that he/she has complied with the performance evaluation requirements of [§ 63.8(e)](https://www.ecfr.gov/current/title-40/section-63.8#p-63.8(e)), that the COMS has been properly maintained, operated, and data quality-assured, as specified in [§ 63.8(c)](https://www.ecfr.gov/current/title-40/section-63.8#p-63.8(c)) and [§ 63.8(d)](https://www.ecfr.gov/current/title-40/section-63.8#p-63.8(d)), and that the resulting data have not been altered in any way.

(v) Except as provided in [paragraph (h)(7)(ii)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(h)(7)(ii)) of this section, the results of continuous monitoring by a COMS that indicate that the opacity at the time visual observations were made was not in excess of the emission standard are probative but not conclusive evidence of the actual opacity of an emission, provided that the affected source proves that, at the time of the alleged violation, the instrument used was properly maintained, as specified in [§ 63.8(c)](https://www.ecfr.gov/current/title-40/section-63.8#p-63.8(c)), and met Performance Specification 1 in appendix B of [part 60 of this chapter](https://www.ecfr.gov/current/title-40/part-60), and that the resulting data have not been altered in any way.

**§ 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.

**§ 63.8 Monitoring requirements.**

(d) ***Quality control program.***

(3) The owner or operator shall keep these written procedures on record for the life of the affected source or until the affected source is no longer subject to the provisions of this part, to be made available for inspection, upon request, by the Administrator. If the performance evaluation plan is revised, the owner or operator shall keep previous (i.e., superseded) versions of the performance evaluation plan on record to be made available for inspection, upon request, by the Administrator, for a period of 5 years after each revision to the plan. Where relevant, e.g., program of corrective action for a malfunctioning CMS, these written procedures may be incorporated as part of the affected source's startup, shutdown, and malfunction plan to avoid duplication of planning and recordkeeping efforts.

**§ 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.

(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)).

(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.

(f) ***Notification of opacity and visible emission observations.*** The owner or operator of an affected source shall notify the Administrator in writing of the anticipated date for conducting the opacity or visible emission observations specified in [§ 63.6(h)(5)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(h)(5)), if such observations are required for the source by a relevant standard. The notification shall be submitted with the notification of the performance test date, as specified in [paragraph (e)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(e)) of this section, or if no performance test is required or visibility or other conditions prevent the opacity or visible emission observations from being conducted concurrently with the initial performance test required under [§ 63.7](https://www.ecfr.gov/current/title-40/section-63.7), the owner or operator shall deliver or postmark the notification not less than 30 days before the opacity or visible emission observations are scheduled to take place.

(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.

**§ 63.10 Recordkeeping and reporting requirements.**

(b) ***General recordkeeping requirements.***

(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;

(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;

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

(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.***

(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.

(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.

**§ 63.10685 What are the requirements for the control of contaminants from scrap?**

(a) ***Chlorinated plastics, lead, and free organic liquids.*** For metallic scrap utilized in the EAF at your facility, you must comply with the requirements in either [paragraph (a)(1)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(a)(1)) or [(2)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(a)(2)) of this section. You may have certain scrap at your facility subject to [paragraph (a)(1)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(a)(1)) of this section and other scrap subject to [paragraph (a)(2)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(a)(2)) of this section provided the scrap remains segregated until charge make-up.

(1) ***Pollution prevention plan.*** For the production of steel other than leaded steel, you must prepare and implement a pollution prevention plan for metallic scrap selection and inspection to minimize the amount of chlorinated plastics, lead, and free organic liquids that is charged to the furnace. For the production of leaded steel, you must prepare and implement a pollution prevention plan for scrap selection and inspection to minimize the amount of chlorinated plastics and free organic liquids in the scrap that is charged to the furnace. You must submit the scrap pollution prevention plan to the permitting authority for approval. You must operate according to the plan as submitted during the review and approval process, operate according to the approved plan at all times after approval, and address any deficiency identified by the permitting authority within 60 days following disapproval of a plan. You may request approval to revise the plan and may operate according to the revised plan unless and until the revision is disapproved by the permitting authority. You must keep a copy of the plan onsite, and you must provide training on the plan's requirements to all plant personnel with materials acquisition or inspection duties. Each plan must include the information in [paragraphs (a)(1)(i)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(a)(1)(i)) through [(iii)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(a)(1)(iii)) of this section:

(i) Specifications that scrap materials must be depleted (to the extent practicable) of undrained used oil filters, chlorinated plastics, and free organic liquids at the time of charging to the furnace.

(ii) A requirement in your scrap specifications for removal (to the extent practicable) of lead-containing components (such as batteries, battery cables, and wheel weights) from the scrap, except for scrap used to produce leaded steel.

(iii) Procedures for determining if the requirements and specifications in [paragraph (a)(1)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(a)(1)) of this section are met (such as visual inspection or periodic audits of scrap providers) and procedures for taking corrective actions with vendors whose shipments are not within specifications.

(iv) The requirements of [paragraph (a)(1)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(a)(1)) of this section do not apply to the routine recycling of baghouse bags or other internal process or maintenance materials in the furnace. These exempted materials must be identified in the pollution prevention plan.

(b) ***Mercury requirements.*** For scrap containing motor vehicle scrap, you must procure the scrap pursuant to one of the compliance options in [paragraphs (b)(1)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(1)), [(2)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(2)), or [(3)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(3)) of this section for each scrap provider, contract, or shipment. For scrap that does not contain motor vehicle scrap, you must procure the scrap pursuant to the requirements in [paragraph (b)(4)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(4)) of this section for each scrap provider, contract, or shipment. You may have one scrap provider, contract, or shipment subject to one compliance provision and others subject to another compliance provision.

(1) ***Site-specific plan for mercury switches.*** You must comply with the requirements in [paragraphs (b)(1)(i)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(1)(i)) through [(v)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(1)(v)) of this section.

(i) You must include a requirement in your scrap specifications for removal of mercury switches from vehicle bodies used to make the scrap.

(ii) You must prepare and operate according to a plan demonstrating how your facility will implement the scrap specification in [paragraph (b)(1)(i)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(1)(i)) of this section for removal of mercury switches. You must submit the plan to the permitting authority for approval. You must operate according to this plan as submitted during the review and approval process, operate according to the approved plan at all times after approval, and address any deficiency identified by the permitting authority within 60 days following disapproval of a plan. You may request approval to revise the plan and may operate according to the revised plan unless and until the revision is disapproved by the permitting authority. The permitting authority may change the approval status of the plan upon 90-days written notice based upon the semiannual compliance report or other information. The plan must include:

(A) A means of communicating to scrap purchasers and scrap providers the need to obtain or provide motor vehicle scrap from which mercury switches have been removed and the need to ensure the proper management of the mercury switches removed from that scrap as required under the rules implementing subtitle C of the Resource Conservation and Recovery Act (RCRA) ([40 CFR parts 261](https://www.ecfr.gov/current/title-40/part-261) through [265](https://www.ecfr.gov/current/title-40/part-265) and [268](https://www.ecfr.gov/current/title-40/part-268)). The plan must include documentation of direction to appropriate staff to communicate to suppliers throughout the scrap supply chain the need to promote the removal of mercury switches from end-of-life vehicles. Upon the request of the permitting authority, you must provide examples of materials that are used for outreach to suppliers, such as letters, contract language, policies for purchasing agents, and scrap inspection protocols;

(B) Provisions for obtaining assurance from scrap providers that motor vehicle scrap provided to the facility meet the scrap specification;

(C) Provisions for periodic inspections or other means of corroboration to ensure that scrap providers and dismantlers are implementing appropriate steps to minimize the presence of mercury switches in motor vehicle scrap and that the mercury switches removed are being properly managed, including the minimum frequency such means of corroboration will be implemented; and

(D) Provisions for taking corrective actions (i.e., actions resulting in scrap providers removing a higher percentage of mercury switches or other mercury-containing components) if needed, based on the results of procedures implemented in [paragraph (b)(1)(ii)(C)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(1)(ii)(C)) of this section).

(iii) You must require each motor vehicle scrap provider to provide an estimate of the number of mercury switches removed from motor vehicle scrap sent to your facility during the previous year and the basis for the estimate. The permitting authority may request documentation or additional information at any time.

(iv) You must establish a goal for each scrap provider to remove at least 80 percent of the mercury switches. Although a site-specific plan approved under [paragraph (b)(1)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(1)) of this section may require only the removal of convenience light switch mechanisms, the permitting authority will credit all documented and verifiable mercury-containing components removed from motor vehicle scrap (such as sensors in anti-locking brake systems, security systems, active ride control, and other applications) when evaluating progress towards the 80 percent goal.

(v) For each scrap provider, you must submit semiannual progress reports to the permitting authority that provide the number of mercury switches removed or the weight of mercury recovered from the switches, the estimated number of vehicles processed, an estimate of the percent of mercury switches removed, and certification that the removed mercury switches were recycled at RCRA-permitted facilities or otherwise properly managed pursuant to RCRA subtitle C regulations referenced in [paragraph (b)(1)(ii)(A)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(1)(ii)(A)) of this section. This information can be submitted in aggregated form and does not have to be submitted for each scrap provider, contract, or shipment. The permitting authority may change the approval status of a site-specific plan following 90-days notice based on the progress reports or other information.

(2) ***Option for approved mercury programs.*** You must certify in your notification of compliance status that you participate in and purchase motor vehicle scrap only from scrap providers who participate in a program for removal of mercury switches that has been approved by the Administrator based on the criteria in [paragraphs (b)(2)(i)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(2)(i)) through [(iii)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(2)(iii)) of this section. If you purchase motor vehicle scrap from a broker, you must certify that all scrap received from that broker was obtained from other scrap providers who participate in a program for the removal of mercury switches that has been approved by the Administrator based on the criteria in [paragraphs (b)(2)(i)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(2)(i)) through [(iii)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(2)(iii)) of this section. The National Vehicle Mercury Switch Recovery Program and the Vehicle Switch Recovery Program mandated by Maine State law are EPA-approved programs under [paragraph (b)(2)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(2)) of this section unless and until the Administrator disapproves the program (in part or in whole) under [paragraph (b)(2)(iii)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(2)(iii)) of this section.

(i) The program includes outreach that informs the dismantlers of the need for removal of mercury switches and provides training and guidance for removing mercury switches;

(ii) The program has a goal to remove at least 80 percent of mercury switches from the motor vehicle scrap the scrap provider processes. Although a program approved under [paragraph (b)(2)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(2)) of this section may require only the removal of convenience light switch mechanisms, the Administrator will credit all documented and verifiable mercury-containing components removed from motor vehicle scrap (such as sensors in anti-locking brake systems, security systems, active ride control, and other applications) when evaluating progress towards the 80 percent goal; and

(iii) The program sponsor agrees to submit progress reports to the Administrator no less frequently than once every year that provide the number of mercury switches removed or the weight of mercury recovered from the switches, the estimated number of vehicles processed, an estimate of the percent of mercury switches recovered, and certification that the recovered mercury switches were recycled at facilities with permits as required under the rules implementing subtitle C of RCRA ([40 CFR parts 261](https://www.ecfr.gov/current/title-40/part-261) through [265](https://www.ecfr.gov/current/title-40/part-265) and [268](https://www.ecfr.gov/current/title-40/part-268)). The progress reports must be based on a database that includes data for each program participant; however, data may be aggregated at the State level for progress reports that will be publicly available. The Administrator may change the approval status of a program or portion of a program (e.g., at the State level) following 90-days notice based on the progress reports or on other information.

(iv) You must develop and maintain onsite a plan demonstrating the manner through which your facility is participating in the EPA-approved program.

(A) The plan must include facility-specific implementation elements, corporate-wide policies, and/or efforts coordinated by a trade association as appropriate for each facility.

(B) You must provide in the plan documentation of direction to appropriate staff to communicate to suppliers throughout the scrap supply chain the need to promote the removal of mercury switches from end-of-life vehicles. Upon the request of the permitting authority, you must provide examples of materials that are used for outreach to suppliers, such as letters, contract language, policies for purchasing agents, and scrap inspection protocols.

(C) You must conduct periodic inspections or provide other means of corroboration to ensure that scrap providers are aware of the need for and are implementing appropriate steps to minimize the presence of mercury in scrap from end-of-life vehicles.

(3) ***Option for specialty metal scrap.*** You must certify in your notification of compliance status that the only materials from motor vehicles in the scrap are materials recovered for their specialty alloy (including, but not limited to, chromium, nickel, molybdenum, or other alloys) content (such as certain exhaust systems) and, based on the nature of the scrap and purchase specifications, that the type of scrap is not reasonably expected to contain mercury switches.

(c) ***Recordkeeping and reporting requirements.*** In addition to the records required by [§ 63.10](https://www.ecfr.gov/current/title-40/section-63.10), you must keep records to demonstrate compliance with the requirements for your pollution prevention plan in [paragraph (a)(1)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(a)(1)) of this section and/or for the use of only restricted scrap in [paragraph (a)(2)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(a)(2)) of this section and for mercury in [paragraphs (b)(1)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(1)) through [(3)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(3)) of this section as applicable. You must keep records documenting compliance with [paragraph (b)(4)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(4)) of this section for scrap that does not contain motor vehicle scrap.

(1) If you are subject to the requirements for a site-specific plan for mercury under [paragraph (b)(1)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(1)) of this section, you must:

(i) Maintain records of the number of mercury switches removed or the weight of mercury recovered from the switches and properly managed, the estimated number of vehicles processed, and an estimate of the percent of mercury switches recovered; and

(ii) Submit semiannual reports of the number of mercury switches removed or the weight of mercury recovered from the switches and properly managed, the estimated number of vehicles processed, an estimate of the percent of mercury switches recovered, and a certification that the recovered mercury switches were recycled at RCRA-permitted facilities. The semiannual reports must include a certification that you have conducted inspections or taken other means of corroboration as required under [paragraph (b)(1)(ii)(C)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(1)(ii)(C)) of this section. You may include this information in the semiannual compliance reports required under [paragraph (c)(3)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(c)(3)) of this section.

(2) If you are subject to the option for approved mercury programs under [paragraph (b)(2)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(2)) of this section, you must maintain records identifying each scrap provider and documenting the scrap provider's participation in an approved mercury switch removal program. If you purchase motor vehicle scrap from a broker, you must maintain records identifying each broker and documentation that all scrap provided by the broker was obtained from other scrap providers who participate in an approved mercury switch removal program.

(3) You must submit semiannual compliance reports to the Administrator for the control of contaminants from scrap according to the requirements in [§ 63.10(e)](https://www.ecfr.gov/current/title-40/section-63.10#p-63.10(e)). The report must clearly identify any deviation from the requirements in [paragraphs (a)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(a)) and [(b)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)) of this section and the corrective action taken. You must identify which compliance option in [paragraph (b)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)) of this section applies to each scrap provider, contract, or shipment.

**§ 63.10686 What are the requirements for electric arc furnaces and argon-oxygen decarburization vessels?**

(d) Except as provided in [paragraph (d)(6)](https://www.ecfr.gov/current/title-40/section-63.10686#p-63.10686(d)(6)) of this section, you must conduct performance tests to demonstrate initial compliance with the applicable emissions limit for each emissions source subject to an emissions limit in [paragraph (b)](https://www.ecfr.gov/current/title-40/section-63.10686#p-63.10686(b)) or [(c)](https://www.ecfr.gov/current/title-40/section-63.10686#p-63.10686(c)) of this section.

(1) You must conduct each PM performance test for an EAF or AOD vessel according to the procedures in [§ 63.7](https://www.ecfr.gov/current/title-40/section-63.7) and [40 CFR 60.275a](https://www.ecfr.gov/current/title-40/section-60.275a) using the following test methods in [40 CFR part 60](https://www.ecfr.gov/current/title-40/part-60), appendices A-1, A-2, A-3, and A-4:

(i) Method 1 or 1A of appendix A-1 of [40 CFR part 60](https://www.ecfr.gov/current/title-40/part-60) to select sampling port locations and the number of traverse points in each stack or duct. Sampling sites must be located at the outlet of the control device (or at the outlet of the emissions source if no control device is present) prior to any releases to the atmosphere.

(ii) Method 2, 2A, 2C, 2D, 2F, or 2G of appendix A-1 of [40 CFR part 60](https://www.ecfr.gov/current/title-40/part-60) to determine the volumetric flow rate of the stack gas.

(iii) Method 3, 3A, or 3B of appendix A-3 of [40 CFR part 60](https://www.ecfr.gov/current/title-40/part-60) to determine the dry molecular weight of the stack gas. You may use ANSI/ASME PTC 19.10-1981, “Flue and Exhaust Gas Analyses” (incorporated by reference—see [§ 63.14](https://www.ecfr.gov/current/title-40/section-63.14)) as an alternative to EPA Method 3B.

(iv) Method 4 of appendix A-3 of [40 CFR part 60](https://www.ecfr.gov/current/title-40/part-60) to determine the moisture content of the stack gas.

(v) Method 5 or 5D of appendix A-3 of [40 CFR part 60](https://www.ecfr.gov/current/title-40/part-60) to determine the PM concentration. Three valid test runs are needed to comprise a PM performance test. For EAF, sample only when metal is being melted and refined. For AOD vessels, sample only when the operation(s) are being conducted.

(2) You must conduct each opacity test for a melt shop according to the procedures in [§ 63.6(h)](https://www.ecfr.gov/current/title-40/section-63.6#p-63.6(h)) and Method 9 of appendix A-4 of [40 CFR part 60](https://www.ecfr.gov/current/title-40/part-60). When emissions from any EAF or AOD vessel are combined with emissions from emission sources not subject to this subpart, you must demonstrate compliance with the melt shop opacity limit based on emissions from only the emission sources subject to this subpart.

(3) During any performance test, you must monitor and record the information specified in [40 CFR 60.274a(h)](https://www.ecfr.gov/current/title-40/section-60.274a#p-60.274a(h)) for all heats covered by the test.

(4) You must notify and receive approval from the Administrator for procedures that will be used to determine compliance for an EAF or AOD vessel when emissions are combined with those from facilities not subject to this subpart.

(5) To determine compliance with the PM emissions limit in [paragraph (c)](https://www.ecfr.gov/current/title-40/section-63.10686#p-63.10686(c)) of this section for an EAF or AOD vessel in a lb/ton of steel format, compute the process-weighted mass emissions (Ep) for each test run using Equation 1 of this section:



Where:

Ep = Process-weighted mass emissions of PM, lb/ton;

C = Concentration of PM or total metal HAP, gr/dscf;

Q = Volumetric flow rate of stack gas, dscf/hr;

T = Total time during a test run that a sample is withdrawn from the stack during steel production cycle, hr;

P = Total amount of metal produced during the test run, tons; and

K = Conversion factor, 7,000 grains per pound.

(6) If you own or operate an existing affected source that is subject to the emissions limits in [paragraph (b)](https://www.ecfr.gov/current/title-40/section-63.10686#p-63.10686(b)) or [(c)](https://www.ecfr.gov/current/title-40/section-63.10686#p-63.10686(c)) of this section, you may certify initial compliance with the applicable emission limit for one or more emissions sources based on the results of a previous performance test for that emissions source in lieu of the requirement for an initial performance test provided that the test(s) were conducted within 5 years of the compliance date using the methods and procedures specified in [paragraph (d)(1)](https://www.ecfr.gov/current/title-40/section-63.10686#p-63.10686(d)(1)) or [(2)](https://www.ecfr.gov/current/title-40/section-63.10686#p-63.10686(d)(2)) of this section; the test(s) were for the affected facility; and the test(s) were representative of current or anticipated operating processes and conditions. Should the permitting authority deem the prior test data unacceptable to demonstrate compliance with an applicable emissions limit, the owner or operator must conduct an initial performance test within 180 days of the compliance date or within 90 days of receipt of the notification of disapproval of the prior test, whichever is later.

**§ 63.10690 What parts of the General Provisions apply to this subpart?**

(b) The notification of compliance status required by [§ 63.9(h)](https://www.ecfr.gov/current/title-40/section-63.9#p-63.9(h)) must include each applicable certification of compliance, signed by a responsible official, in [paragraphs (b)(1)](https://www.ecfr.gov/current/title-40/section-63.10690#p-63.10690(b)(1)) through [(6)](https://www.ecfr.gov/current/title-40/section-63.10690#p-63.10690(b)(6)) of this section.

(1) For the pollution prevention plan requirements in [§ 63.10685(a)(1)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(a)(1)): “This facility has submitted a pollution prevention plan for metallic scrap selection and inspection in accordance with [§ 63.10685(a)(1)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(a)(1))”;

(2) For the restrictions on metallic scrap in [§ 63.10685(a)(2)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(a)(2)): “This facility complies with the requirements for restricted metallic scrap in accordance with [§ 63.10685(a)(2)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(a)(2))”;

(3) For the mercury requirements in [§ 63.10685(b)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)):

(i) “This facility has prepared a site-specific plan for mercury switches in accordance with [§ 63.10685(b)(1)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(1))”;

(ii) “This facility participates in and purchases motor vehicle scrap only from scrap providers who participate in a program for removal of mercury switches that has been approved by the EPA Administrator in accordance with [§ 63.10685(b)(2)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(2))” and has prepared a plan demonstrating how the facility participates in the EPA-approved program in accordance with [§ 63.10685(b)(2)(iv)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(2)(iv));

(iii) “The only materials from motor vehicles in the scrap charged to an electric arc furnace at this facility are materials recovered for their specialty alloy content in accordance with [§ 63.10685(b)(3)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(3)) which are not reasonably expected to contain mercury switches”; or

(iv) “This facility complies with the requirements for scrap that does not contain motor vehicle scrap in accordance with [§ 63.10685(b)(4)](https://www.ecfr.gov/current/title-40/section-63.10685#p-63.10685(b)(4)).”

(4) This certification of compliance for the capture system requirements in [§ 63.10686(a)](https://www.ecfr.gov/current/title-40/section-63.10686#p-63.10686(a)), signed by a responsible official: “This facility operates a capture system for each electric arc furnace and argon-oxygen decarburization vessel that conveys the collected emissions to a PM control device in accordance with [§ 63.10686(a)](https://www.ecfr.gov/current/title-40/section-63.10686#p-63.10686(a))”.

(5) If applicable, this certification of compliance for the performance test requirements in [§ 63.10686(d)(6)](https://www.ecfr.gov/current/title-40/section-63.10686#p-63.10686(d)(6)): “This facility certifies initial compliance with the applicable emissions limit in [§ 63.10686(a)](https://www.ecfr.gov/current/title-40/section-63.10686#p-63.10686(a)) or [(b)](https://www.ecfr.gov/current/title-40/section-63.10686#p-63.10686(b)) based on the results of a previous performance test in accordance with [§ 63.10686(d)(6)](https://www.ecfr.gov/current/title-40/section-63.10686#p-63.10686(d)(6))”.

(6) This certification of compliance for the monitoring requirements in [§ 63.10686(e)](https://www.ecfr.gov/current/title-40/section-63.10686#p-63.10686(e)), signed by a responsible official: “This facility has developed and submitted proposed monitoring information in accordance with [40 CFR part 64](https://www.ecfr.gov/current/title-40/part-64)”.