# INSPECTION CHECKLIST FOR THE PHARMACEUTICALS MACT STANDARD 40 CFR PART 63

**September 2001**

## Disclaimer

The United State Environmental Protection Agency (USEPA) designed this checklist as a compliance tool and/or a guidance document to be used by USEPA, State and Local agency inspectors, as well as the pharmaceutical industry, for the purposes of a facility compliance inspection or a self audit. This checklist is not intended, nor can it be relied on, to create any rights enforceable by any party in litigation with the United States. EPA and State and Local officials may decide to follow this checklist or to act at variance with it, based on analysis of specific site circumstances. This checklist may be revised without public notice to reflect changes in EPA's policy. The most current version will be posted on the pharmaceutical MACT website. The address is: http://www.epa.gov/ttn/uatw/pharma/pharmpg.html

This checklist is meant to be used for onsite inspections; therefore, certain records and reports that might need to be reviewed prior to the onsite inspection are not addressed in this checklist. For example, we do not discuss precompliance reports or stack tests.

Please refer to Table 1 of the pharmaceuticals NESHAP for overlapping provisions with 40 CFR part 63 subpart A (General Provisions). All provisions in Table 1 and definitions in the General Provisions are incorporated by reference.

Please be aware that the USEPA made its best effort to make this an accurate inspection checklist, however, in the event that there are typing errors or deviations from the final pharmaceutical MACT rule, the final rule stands.

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**Section I. General Applicability**

## I. GENERAL APPLICABILITY

***Note:*** The answers to question A, B, and C must be "yes" for the facility to be subject to the pharmaceuticals NESHAP. Additionally, research and development facilities are not subject to the pharmaceuticals NESHAP.

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| **A. Is the facility a major HAP source?**<br><br>[ ] Potential to emit ≥ 10 tons per year (tpy) of any of the 188 HAPs listed in §112(b) of the Clean Air Act (with the exception of delisted HAPs), **or**<br><br>[ ] Potential to emit ≥ 25 tpy of total HAPs.<br><br>*Note:* Although research and development facilities are not subject to the pharmaceuticals NESHAP, their emissions must be included in the potential to emit calculations. | Yes [ ] No [ ] |
| **B. Does the facility produce any pharmaceutical products?** (Check all of the following that apply.)<br><br>[ ] Any material described by the SIC code 2833 or 2834<br><br>[ ] Any material whose manufacturing process is described by NAICS code 325411 or 325412<br><br>[ ] A finished dosage form of a drug (e.g., tablet, capsule, solution, etc.)<br><br>[ ] Any active ingredient or precursor produced at a facility whose primary operations are described by SIC code 2833 or 2834<br><br>[ ] Any material whose primary use is as an active ingredient that is produced at a facility whose primary operations are not described by SIC code 2833 or 2834 | Yes [ ] No [ ] |
| **C. Are any processes that produce a pharmaceutical product using, processing, or producing HAP?** | Yes [ ] No [ ] |
| **D. Are any of the following HAP emission points located within pharmaceutical manufacturing process units?** (Check the emission points below that apply.)<br><br>[ ] Process vents<br><br>[ ] Storage tanks<br><br>[ ] Wastewater streams and treatment operations<br><br>[ ] Equipment containing or contacting a HAP | Yes [ ] No [ ] |
| **E. Was the pollution prevention alternative selected for one or more processes?**<br><br>*Note:* If the answer to this question is "yes," skip sections V through VIII of this checklist for that process or processes. | Yes [ ] No [ ]<br>N/A [ ] |

## II. COMPLIANCE DEADLINES

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| **A. All Pharmaceutical Manufacturing Operations Subject to New Source Standards**<br><br>1. Except as specified in questions 2 through 4, was the new or reconstructed affected source in compliance upon startup or August 29, 2000 (i.e., the date of publication of the final amendments), whichever was later? | Yes [ ] No [ ]<br>N/A [ ] |
| 2. Affected sources that commenced construction or reconstruction after April 2, 1997 and before September 21, 1998 are not required to comply with the new source requirements in the amended final rule until September 21, 2001 if **both** of the following are true:<br><br>a) Are the requirements of the amended final rule more stringent than the requirements published on September 21, 1998? **and** | Yes [ ] No [ ]<br>N/A [ ] |
| b) Did the facility comply with the April 2, 1997 proposed rule during the period until September 21, 2001? | Yes [ ] No [ ]<br>N/A [ ] |
| 3. Affected sources that commenced construction or reconstruction after September 21, 1998 and before April 10, 2000 are not required to comply with the new source requirements in the amended final rule until October 21, 2002 if **both** of the following are true:<br><br>a) Are the requirements of the amended final rule more stringent than the requirements published on September 21, 1998? **and** | Yes [ ] No [ ]<br>N/A [ ] |
| b) Did the facility comply with the requirements published on September 21, 1998 during the period between startup and October 21, 2002? | Yes [ ] No [ ]<br>N/A [ ] |
| 4. Affected sources that commenced construction or reconstruction after April 10, 2000 and before August 29, 2000 are not required to comply with the new source requirements of the amended final rule until August 29, 2001 if **both** of the following are true:<br><br>a) Are the requirements of the amended final rule more stringent that the proposed amendments? **and** | Yes [ ] No [ ]<br>N/A [ ] |
| b) Did the facility comply with the requirements published on September 21, 1998 during the period between startup and August 29, 2001? | Yes [ ] No [ ]<br>N/A [ ] |
| **B. All Pharmaceutical Manufacturing Operations Subject to Existing Source Standards**<br><br>Were all emission points in compliance by October 21, 2002, or by the date of a compliance extension granted under § 63.1250(f)(6)(i)? | Yes [ ] No [ ]<br>N/A [ ] |

**Section III. Reporting Requirements**

## III. REPORTING REQUIREMENTS

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| **A. Performance Testing**<br><br>*Note:* The questions in this section apply for each individual control device for which a performance test is required. Facilities may submit an application for approval of an alternative test method, which must be reviewed and approved per §63.7(f). | |
| 1. Did the facility conduct an initial performance test of all pollution control equipment for which it is required?<br><br>(If the inlet HAP emissions to a pollution control device exceed 10 tpy, and the control device is used to control process vent emissions, an initial performance test is generally required. A performance test is not required for vents using the alternative standard as described by §63.1254(c). Either performance tests or design evaluations may be conducted for control devices used to control storage tanks or wastewater systems. Note that no performance tests are required for floating roofs, process heaters > 44 MW with vent introduced into the flame zone, condensers, or RCRA devices.) | Yes [ ] No [ ]<br>N/A [ ] |
| 2. Did the facility notify the regulatory authority at least 60 days prior to each test? (§63.1260(l)) | Yes [ ] No [ ] |
| 3. Did the facility submit the test plan and emission profile with the notification of the performance test? (§63.1260(l)) | Yes [ ] No [ ] |
| 4. Was the initial performance test plan <u>approved by EPA</u> within 60 days of submission? (§63.7(c)(3))<br><br>*Note:* The facility can proceed with the performance test if EPA does not respond within the specified review period. | Yes [ ] No [ ] |
| **B. Initial Notifications**<br><br>1. For pharmaceutical manufacturing operations subject to existing source standards:<br><br>a) Does the report contain all of the following information (§63.9(b)(2)(i) through (v)):<br><br>• The name and address of the owner or operator? | Yes [ ] No [ ]<br>N/A [ ] |
| • The physical location (address) of the affected sources? | Yes [ ] No [ ]<br>N/A [ ] |
| • The relevant standard, or other requirements, that are the basis of the notification? | Yes [ ] No [ ]<br>N/A [ ] |
| • The source's compliance date? | Yes [ ] No [ ]<br>N/A [ ] |
| • A brief description of the nature, size, design, and method of operations of the source, including its operating and design capacity and a preliminary identification of emission sources? | Yes [ ] No [ ]<br>N/A [ ] |

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| • A statement indicating that the affected source is a major source? | Yes [ ] No [ ] N/A [ ] |
| b) Did the facility submit the notification within 120 calendar days after September 21, 1998? | Yes [ ] No [ ] N/A [ ] |
| 2. For new or reconstructed sources or dedicated PMPU:<br><br>a) Did the facility submit a notification of intention to construct a new major affected source, reconstruct a major affected source, or reconstruct a major source such that it becomes a major affected source (§63.1260(b) and §63.9(b))? The notification should have been submitted in accordance with one of the following:<br><br>• If construction or reconstruction began BEFORE the effective date of the Pharmaceutical MACT standard (i.e., September 21, 1998), was the notification submitted with the faclility's application for approval to construct or reconstruct, and did it indicate the date when construction or reconstruction began? | Yes [ ] No [ ] N/A [ ] |
| • If construction or reconstruction began AFTER the effective date of the Pharmaceutical MACT standard, did the notification indicate the date when construction began, and was the report postmarked no later than 30 days after such date (§63.9(b)(4)(iii))? | Yes [ ] No [ ] N/A [ ] |
| b) Did the facility submit a notification of the anticipated startup of the source, and was it delivered or postmarked between 30 and 60 days before such date (§63.9(b)(4)(iv))? | Yes [ ] No [ ] N/A [ ] |
| c) Did the facility submit a notification of the actual startup date, and was is delivered or postmarked within 15 days after that date (§63.9(b)(4)(v))? | Yes [ ] No [ ] N/A [ ] |
| **C. Notification of Compliance Status Report (NOCSR)**<br><br>*Note:* This Checklist identifies the types of information that must be included in the NOCSR, but an evaluation of whether the information demonstrates compliance is beyond the scope of this checklist. See §63.1260(f) in the rule for guidance on how to evaluate the information.<br><br>1. Did the facility submit a NOCSR <u>within 150 days</u> after the applicable compliance date (i.e., by March 21, 2003 for existing sources and 150 days after startup for new sources) (§63.1260(f))? | Yes [ ] No [ ] |
| 2. Did the report include the results of all applicability determinations, emissions calculations, and/or analyses used to identify and quantify HAP emissions from the affected source (§63.1260(f)(1))? | Yes [ ] No [ ] N/A [ ] |
| 3. Did the report include the results of emissions profiles, performance tests, engineering analyses, design evaluations, and/or calculations used to demonstrate compliance (§63.1260(f)(2))? | Yes [ ] No [ ] N/A [ ] |
| a) For performance tests, did the results include descriptions of sampling and analysis procedures and quality assurance procedures? | Yes [ ] No [ ] N/A [ ] |

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| 4. Did the report contain each of the following about monitoring (§63.1260(f)(3)):<br><br>a) Descriptions of monitoring devices? | Yes [ ] No [ ]<br>N/A [ ] |
| b) Descriptions of monitoring frequencies? | Yes [ ] No [ ]<br>N/A [ ] |
| c) Values for monitoring parameters established during the initial compliance determinations, and the supporting data and calculations? | Yes [ ] No [ ]<br>N/A [ ] |
| d) A definition of the source's operating day or block used to determine average values of monitored parameters? If using an operating day, does the definition include the times an operating day begins and ends? | Yes [ ] No [ ]<br>N/A [ ] |
| 5. Did the report contain a list of operating scenarios for each process (§63.1260(f)(4))? | Yes [ ] No [ ]<br>N/A [ ] |
| 6. Did the report contain descriptions of worst-case operating and/or testing conditions for applicable control devices (§63.1260(f)(5))? | Yes [ ] No [ ]<br>N/A [ ] |
| 7. For processes subject to equipment leak provisions:<br><br>a) Did the report include the following general information (§63.1255(h)(2)(i)):<br><br>• The process group identification? | Yes [ ] No [ ]<br>N/A [ ] |
| • The number of each equipment type in organic HAP service, excluding equipment in vacuum service? | Yes [ ] No [ ]<br>N/A [ ] |
| • The method of compliance with the standard (e.g., "monthly LDAR" or "equipped with dual mechanical seal")? | Yes [ ] No [ ]<br>N/A [ ] |
| b) For enclosed-vented process units, did the report include the following information (§63.1255(h)(2)(iii)):<br><br>• Process identification? | Yes [ ] No [ ]<br>N/A [ ] |
| • A description of the system used to create a negative pressure in the enclosure and the control device used to comply with the requirements of §63.1255(b)(3)? | Yes [ ] No [ ]<br>N/A [ ] |
| c) For each process subject to the requirements for pressure testing in §63.1255(b)(4)(iv), did the report include the following information (§63.1255(h)(2)(ii)):<br><br>• A listing of all applicable products or product codes? | Yes [ ] No [ ]<br>N/A [ ] |
| • A planned schedule for pressure testing when equipment is configured for production of products subject to the equipment leak provisions? | Yes [ ] No [ ]<br>N/A [ ] |

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| 8. If the source is using a series of wastewater treatment devices or a series of control devices to control emissions from wastewater streams, did the report identify the treatment and/or control devices, including the first and last in each series (§63.1256(g)(7)(i)(C) and (ii)(B))? | Yes [ ] No [ ] N/A [ ] |
| 9. If the source uses process knowledge to determine annual average HAP concentrations in a wastewater stream, did the report document how the partially soluble, soluble, and/or total HAP concentrations were determined (§63.1257(e)(ii)(B))? | Yes [ ] No [ ] N/A [ ] |
| 10. Did the report include a statement by the owner or operator as to whether the source has complied with the relevant standard or other requirements (§63.9(h)(2)(i)(G))? | Yes [ ] No [ ] |
| 11. Did the report identify emission points subject to overlapping requirements and the authority under which the facility complies (§63.1260(f)(6))? | Yes [ ] No [ ] N/A [ ] |
| **D. Periodic Reports**<br><br>1. Except under the conditions specified in items 2 and 4 of this checklist, has the facility submitted Periodic Reports semiannually beginning 240 days after the due date of the NOCSR (i.e., by November 15, 2003 for existing sources and 390 days after startup for new sources)? (§63.1260(g)(1))<br><br>*Note:* For existing sources, the compliance date is October 21, 2002, and the NOCSR is due 150 days after the compliance date (i.e., March 21, 2003 unless a compliance extension was granted). The first periodic report is due 240 days after March 21, 2003. Thus, the first periodic report is due November 15, 2003 unless a compliance extension was granted. | Yes [ ] No [ ] N/A [ ] |
| 2. If the facility experienced an exceedance of a temperature monitoring limit for a condenser, an exceedance of an outlet concentration limit when monitoring with a CEM, or an exceedance of any of the parametric monitoring limits specified in §63.1258(b)(5) for the alternative standard: (§63.1260(g)(1)(ii))<br><br>a) Were the Periodic Reports submitted quarterly? **or** | Yes [ ] No [ ] N/A [ ] |
| b) Has the source received permission to revert back to semiannual reporting? | Yes [ ] No [ ] N/A [ ] |
| 3. Does the report identify each new operating scenario that was implemented during the reporting period? (§63.1260(g)(2)(vii))<br><br>*Note:* For the initial periodic report, each operating scenario for each process operated since the compliance date must be submitted. | Yes [ ] No [ ] N/A [ ] |
| 4. When a new operating scenario was implemented since the last report, did the source submit reports quarterly? (§63.1260(g)(1)(iii)) | Yes [ ] No [ ] N/A [ ] |
| 5. Do the reports include all of the following (§63.1260(g)(2)(i) and §63.10(e)(3)(vi)):<br><br>a) The affected source's company name and address? | Yes [ ] No [ ] |

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| b) Identification of each HAP monitored at the affected source? | Yes [ ] No [ ] |
| c) Beginning and ending dates of the reporting period? | Yes [ ] No [ ] |
| d) A brief description of the process units? | Yes [ ] No [ ] |
| e) A description of any changes in processes or controls since the last reporting period? | Yes [ ] No [ ] |
| f) The emission and operating limitations applicable to the affected source under 40 CFR part 63, subpart GGG? | Yes [ ] No [ ] |
| g) The total operating time of the affected source during the reporting period? | Yes [ ] No [ ] |
| h) An emissions data summary (or similar summary if the affected source is monitoring control system parameters), including each of the following:<br>• The total duration of excess emissions, expressed in hours? | Yes [ ] No [ ]<br>N/A [ ] |
| • The total duration of excess emissions, expressed as a percent of the total source operating time during the reporting period? | Yes [ ] No [ ]<br>N/A [ ] |
| • 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? | Yes [ ] No [ ]<br>N/A [ ] |
| i) The name, title, and signature of the responsible official who is certifying the accuracy of the report? | Yes [ ] No [ ] |
| j) The date of the report? | Yes [ ] No [ ] |
| 6. Periodic reporting requirements for CMS.<br>a) For each CMS, do the reports include all of the following: (§63.10(e)(3)(vi)(F), (G), and (K))<br>• Equipment manufacturer(s) and model number(s)? | Yes [ ] No [ ]<br>N/A [ ] |
| • Date of latest CMS certification or audit? | Yes [ ] No [ ]<br>N/A [ ] |
| • A description of any changes in CMS since the last reporting period? | Yes [ ] No [ ]<br>N/A [ ] |
| b) For each CMS, do the reports include a CMS performance summary (or similar summary if the affected source is monitoring control system parameters) that contains all of the following (§63.1260(g)(2)(i) and §63.10(e)(3)(vi)(J)):<br>• The total CMS downtime during the reporting period, expressed in hours? | Yes [ ] No [ ]<br>N/A [ ] |
| • The total duration of CMS downtime, expressed as a percent of the total source operating time during that reporting period? | Yes [ ] No [ ]<br>N/A [ ] |

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| • A breakdown of the total CMS downtime during the reporting period that are due to monitoring equipment malfunctions, non-monitoring equipment malfunctions, quality assurance/quality control calibrations, other known causes, and other unknown causes? | Yes [ ] No [ ] N/A [ ] |
| c) If the total duration of excess emissions, parameter exceedances, or excursions is ≥1 percent of the total operating time during the reporting period or the total CMS downtime is ≥5 percent of the total operating time during the reporting period, does the report include each of the following (§63.1260(g)(2)(ii)(D) and §63.10(c)(5) through (13)):<br><br>• The date and time during which the CMS was inoperative except for zero and high-level checks? | Yes [ ] No [ ] N/A [ ] |
| • The date and time during which the CMS was out of control?<br><br>*Note:* "Out-of-control" includes periods when (1) the zero-, mid-, or high-level calibration drift exceeds 2 times the drift specification; or (2) the CMS fails a performance test audit, relative accuracy audit, relative accuracy test audit, or linearity test audit (§63.8(c)(7)(i)). | Yes [ ] No [ ] N/A [ ] |
| • Date and time of commencement and completion of each period of excess emissions and parameter monitoring exceedances that occurs during startups, shutdowns, and malfunctions of the affected source? | Yes [ ] No [ ] N/A [ ] |
| • Date and time of commencement and completion of each period of excess emissions and parameter monitoring exceedances that occurs during periods other than startups, shutdowns, and malfunctions of the affected source? | Yes [ ] No [ ] N/A [ ] |
| • The nature and cause of any malfunction? | Yes [ ] No [ ] N/A [ ] |
| • The corrective action taken or preventive measures adopted? | Yes [ ] No [ ] N/A [ ] |
| • The nature of the repairs or adjustments to the CMS that was inoperative or out of control? | Yes [ ] No [ ] N/A [ ] |
| • The total process operating time during the reporting period? | Yes [ ] No [ ] N/A [ ] |
| 7. If the total duration of excess emissions, parameter exceedances, or excursions for the reporting period is ≥1 percent of the total operating time for the reporting period, or the total downtime for the reporting period is ≥5 percent of the total operating time, does the report include each of the following (§63.1260(g)(2)(ii)(A) through (C)):<br><br>a) Monitoring data, including 15-minute monitoring values and daily (or block) average values of monitored parameters, for all operating days when the average values were outside of the ranges established in the NOCSR or operating permit? | Yes [ ] No [ ] N/A [ ] |

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| b) Duration of excursions? | Yes [ ] No [ ] N/A [ ] |
| c) Operating logs and operating scenarios for all operating days when the values are outside the levels established in the NOCSR or operating permit? | Yes [ ] No [ ] N/A [ ] |
| 8. For each inspection conducted on a vapor collection system, closed-vent system, fixed roof, cover, or enclosure pursuant to §63.1258(h)(2) or (3) during which a leak is detected during the reporting period, does the report include all of the following information (§63.1260(g)(2)(iii) and §63.1259(i)(7)):<br>a) The instrument identification number(s)? | Yes [ ] No [ ] N/A [ ] |
| b) The operator name or initials? | Yes [ ] No [ ] N/A [ ] |
| c) Identification of the equipment? | Yes [ ] No [ ] N/A [ ] |
| d) The date the leak was detected? | Yes [ ] No [ ] N/A [ ] |
| e) The date of the first attempt to repair the leak? | Yes [ ] No [ ] N/A [ ] |
| f) The maximum instrument reading measured (by the method in §63.1258(h)(4)) after the leak is successfully repaired or determined to be nonrepairable? | Yes [ ] No [ ] N/A [ ] |
| g) If the leak is not repaired within 15 calendar days after discovery of the leak, each of the following:<br>• A statement that repair is delayed? | Yes [ ] No [ ] N/A [ ] |
| • The reason for the delay? | Yes [ ] No [ ] N/A [ ] |
| • The name, initials, or other form of identification of the owner or operator (or designee) whose decision it was that repair could not be effected without a shutdown? | Yes [ ] No [ ] N/A [ ] |
| • The expected date of successful repair? | Yes [ ] No [ ] N/A [ ] |
| h) Dates of shutdowns that occur while the equipment is unrepaired? | Yes [ ] No [ ] N/A [ ] |
| i) The date of successful repair of the leak? | Yes [ ] No [ ] N/A [ ] |

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| 9. For each vapor collection system or closed-vent system with a bypass line and a flow indicator (i.e., subject to §63.1252(b)(1)), does the report include the following records (§63.1260(g)(2)(iv) and §63.1259(i)(6)(i)):<br><br>a) Records identifying the hourly periods during which a diversion of the vent stream from the control device was detected? | Yes [ ] No [ ]<br>N/A [ ] |
| b) Records of the times and durations of all periods when the vent stream is diverted? | Yes [ ] No [ ]<br>N/A [ ] |
| c) Records of times and durations of all periods when the flow indicator is not operating? | Yes [ ] No [ ]<br>N/A [ ] |
| 10. For each vapor collection system or closed-vent system with a bypass line and a bypass line valve that is secured with a car seal or lock and key (i.e., subject to §63.1252(b)(2)), does the report include records of the following occurrences (§63.1260(g)(2)(iv) and §63.1259(i)(6)(ii)):<br><br>a) All periods in which the seal mechanism is broken? | Yes [ ] No [ ]<br>N/A [ ] |
| b) All periods in which the bypass valve position has changed? | Yes [ ] No [ ]<br>N/A [ ] |
| c) All periods when the key to unlock the bypass line valve was checked out? | Yes [ ] No [ ]<br>N/A [ ] |
| 11. Does the report include the following statements when applicable (§63.1260(g)(2)(v)):<br><br>a) No excess emissions? | Yes [ ] No [ ]<br>N/A [ ] |
| b) No exceedances of a parameter? | Yes [ ] No [ ]<br>N/A [ ] |
| c) No excursions? | Yes [ ] No [ ]<br>N/A [ ] |
| d) No CMS has been inoperative, out of control, repaired, or adjusted? | Yes [ ] No [ ]<br>N/A [ ] |
| 12. For each storage tank subject to control requirements, does the report identify periods of planned routine maintenance during which the control device did not meet the control requirements specified in §63.1253(b) through (d)? (§63.1260(g)(2)(vi)) | Yes [ ] No [ ]<br>N/A [ ] |
| **E. Process Changes**<br><br>1. Has the facility made any process changes or a change in the information submitted in the NOCSR? (§63.1260(h)(1))<br><br>*Note:* For the purposes of §63.1260(h)(1), a process change means the starting of a new process. | Yes [ ] No [ ] |
| 2. If the answer to question G.1 is “yes,” did the facility submit a summary of the changes in its Periodic Report? (See Checklist item III.G.5.e) | Yes [ ] No [ ]<br>N/A [ ] |

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| 3. Does the report or summary include the following items (§63.1260(h)(1)(i)):<br><br>a) A brief description of the process change? | Yes [ ] No [ ]<br>N/A [ ] |
| b) A description of any modifications to standard procedures or quality assurance procedures? | Yes [ ] No [ ]<br>N/A [ ] |
| c) Any revisions to the information reported in the original NOCSR? (see Checklist item III.E) | Yes [ ] No [ ]<br>N/A [ ] |
| d) Information required by the NOCSR for changes involving the addition of processes or equipment? (See Checklist item III.E) | Yes [ ] No [ ]<br>N/A [ ] |
| 4. Did the facility submit a report 60 days before the scheduled implementation date of either of the following: (§63.1260(h)(2))<br><br>a) Any change in the activity covered by the Precompliance Report? **or** | Yes [ ] No [ ]<br>N/A [ ] |
| b) A change in the status of a control device from small to large? | Yes [ ] No [ ]<br>N/A [ ] |
| **F. Startup, Shutdown and Malfunction (SSM) Plan**<br><br>1. Has the facility developed and implemented a SSM **plan** for the processing equipment, control devices, and monitors at the affected source?<br><br>If "yes," continue with the remaining questions in this section. (§63.1259(a)(3) and §63.6(e)(3)) | Yes [ ] No [ ] |
| 2. Does the plan describe procedures for operating and maintaining the source during periods of SSM? (§63.1259(a)(3) and §63.6(e)(3)(i)) | Yes [ ] No [ ] |
| 3. Does the plan include a program of corrective action for malfunction of process, air pollution control equipment, and monitoring equipment used to comply with the relevant standard? (§63.1259(a)(3) and §63.6(e)(3)(i))<br><br>*Note:* Malfunctions means any sudden, infrequent, and not reasonably preventable failure of air pollution control equipment, process equipment, or a process to operate in a normal manner | Yes [ ] No [ ] |
| 4. Does the plan identify all routine or otherwise predictable CMS malfunctions? (§63.6(e)(3)(i)) | Yes [ ] No [ ] |
| 5. Does the facility keep the plan on site and readily available for inspection for the life of the source or until the source is no longer subject to the rule? (§63.1259(a)(3) and §63.6(e)(3)(v)) | Yes [ ] No [ ] |
| 6. If the plan has been revised, does the facility keep previous versions of the plan on site and readily available for inspection for a period of 5 years after each revision? (§63.1259(a)(3) and §63.6(e)(3)(v)) | Yes [ ] No [ ]<br>N/A [ ] |

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| 7. Does the plan include the following written procedures for managing maintenance wastewater (§63.1256(a)(4)(i):<br><br>a) Descriptions of the process equipment and/or maintenance tasks expected to create wastewater during maintenance activities? | Yes [ ] No [ ]<br>N/A [ ] |
| b) Procedures for properly managing the wastewater and minimizing organic HAP emissions to the atmosphere? | Yes [ ] No [ ]<br>N/A [ ] |
| c) Procedures for clearing materials from process equipment? | Yes [ ] No [ ]<br>N/A [ ] |
| 8. Does the facility modify and update the procedures for managing maintenance wastewater as needed following each maintenance procedure based on actions taken and the wastewater generated in the preceding maintenance procedure? (§63.1256(a)(4)(ii)) | Yes [ ] No [ ]<br>N/A [ ] |
| 9. Does the plan include written procedures identifying the conditions that justify delay of repair of leaking equipment? (§63.1255(g)(4)(v)(A))<br><br>*Note:* The written procedure may be maintained in a separate document that is maintained at the plant site. | Yes [ ] No [ ]<br>N/A [ ] |
| **G. Startup, Shutdown and Malfunction Reports**<br><br>*Note:* If no startup, shutdown, or malfunction occurs during a reporting period, a SSM Report is not required.<br><br>1. For each semi-annual reporting period, has the facility prepared a SSM **Report** to document each incident that is a startup, shutdown, or malfunction, as defined in §63.1251)? | Yes [ ] No [ ]<br>N/A [ ] |
| 2. Does the report indicate the duration of each malfunction of air pollution control equipment or CMSs used to comply with the rule? (§63.1260(i) and §63.1259(a)(3)(i) and (ii)) | Yes [ ] No [ ]<br>N/A [ ] |
| 3. For each SSM, does the report indicate one of the following (§63.1260(i) and §63.1259(a)(3)(iii)):<br><br>a) That the procedures specified in the SSM plan were followed? **or** | Yes [ ] No [ ]<br>N/A [ ] |
| b) Any actions taken that were inconsistent with the SSM plan? | Yes [ ] No [ ]<br>N/A [ ] |
| 4. Each time actions were taken that were not consistent with the SSM plan. (§63.1260(i) and §63.10(d)(5)(ii))<br><br>a) Did the facility report the actions in accordance with both of the following?<br><br>• Contact the Administrator by phone or fax within 2 working days after beginning the actions to describe the actions taken? **and** | Yes [ ] No [ ]<br>N/A [ ] |

**Section IV. Recordkeeping**

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| • Submit a letter within 7 working days after the end of the event that explains the circumstances of the event, the reasons for not following the SSM plan, and whether any excess emissions and/or parameter monitoring exceedances occurred? | Yes [ ] No [ ] N/A [ ] |
| b) Alternatively, did the facility report the actions in accordance with alternative procedures arranged in advance with the state permitting authority? | Yes [ ] No [ ] N/A [ ] |
| 5. Does each report include the name, title, and signature of the responsible official certifying the accuracy of the report? (§63.1260(i) and §63.10(d)(5)(i)) | Yes [ ] No [ ] N/A [ ] |

**IV. RECORDKEEPING**

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| **A. Data Retention**<br><br>Does the facility retain records for at least 5 years, with records from at least the most recent 2 years retained on site? (§63.1259(a)(1) and §63.10(b)(1)) | Yes [ ] No [ ] N/A [ ] |
| **B. Records for Emission Points**<br><br>*Note:* Records for specific operating parameters for an emission point are covered under the Checklist item for that emission point (i.e., Checklist items V through VIII). | |

**V. REQUIREMENTS FOR PROCESS VENTS**

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| **A. Applicability**<br><br>1. For each process, do any of the vents within the process release, or have the potential to release, an undiluted and uncontrolled gas stream containing ≥50 ppmv HAP?<br><br>*Note*: If the answer to question A.1 is "yes," all of the vents within the process that contain ≥50 ppmv HAP are process vents, and are subject to the rule. | Yes [ ] No [ ] |
| 2. Is the process associated with an existing or new source?<br><br>[ ] Existing source<br>[ ] New source<br><br>***Existing sources*** – all sources that are not new sources.<br><br>***New sources*** – affected sources that commenced construction or reconstruction *after* April 2, 1997. A dedicated PMPU on which construction commenced after April 2, 1997, or reconstruction commenced after October 21, 1999, is also subject to new source requirements if the new or reconstructed unit has the potential to emit 10 tpy or more of any one HAP or 25 tpy or more of total HAPs. | |

**Section V. Requirements for Process Vents**

**B. Control Requirements for Process Vents at Existing Sources**

1. Compliance Options for "Large" Vents

*Note*: Large vents are those with: (1) > 25 tpy uncontrolled emissions from either individual unit operations or vents from multiple unit operations within a single process that are manifolded together, and (2) a Flow-weighted average flow rate ($FR_a$) less than or equal to the Flow rate index (FRI) as determined by equations 1 and 2 of §63.1254(a)(3)(i). The source should identify such vents in the NOCSR.

a) If the process contains any large vents, with which of the following options does the facility comply?

[ ] The **98 percent control** level as determined by a review of the operating scenario? (§63.1254(a)(3)(i)) (See also Checklist item V.B.3 for halogenated vent streams, if applicable, and complete the appropriate control device data sheet in Checklist item XI.E to verify compliance with monitoring parameter limits identified in the operating scenario.)

[ ] The **93 percent control** level for control devices installed before April 2, 1997 (see Checklist items V.B.1.b through f for additional requirements, and see Checklist item V.B.3 for halogenated vent streams, if applicable)

[ ] **Alternative Standard** (see Checklist item V.B.5 for requirements)

[ ] **Outlet Concentration Limit(s)** (with continuous compliance demonstrated by parametric monitoring; see Checklist item V.B.6)

[ ] **Exempted Control Device** (see Checklist item V.B.7)

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| b) Except under the conditions specified in questions (d) through (f), if the control device was installed prior to April 2, 1997, does it reduce emissions by the greater of the following: (§63.1254(a)(3)(ii)(A)(2))<br><br>*Note:* The pollution prevention option and hydrogenation provisions are not included in this checklist because they are beyond the scope of a routine inspection and have limited applicability in the industry.<br><br>• By a minimum of 93 percent as demonstrated by the operating scenario? (See also Checklist item V.B.3 for halogenated vent streams) | Yes [ ] No [ ] N/A [ ] |
| • By the same level of control as specified in the preconstruction permit? | Yes [ ] No [ ] N/A [ ] |
| c) Are control device operating parameters being operated within the values identified in the operating scenario?<br><br>*Note*: See Checklist items in section XI.A for the appropriate monitoring parameters for different types and sizes of control devices. Complete the appropriate control device data sheet in section XI.E to check compliance with the monitoring parameter limits. | Yes [ ] No [ ] N/A [ ] |

**Section V. Requirements for Process Vents**

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| d) If the control device was **reconstructed** after April 2, 1997, does the revised operating scenario demonstrate that the control device reduces emissions by 98 percent or that it satisfies one of the other options in Checklist item V.B.1.a (except the 93 percent option)? (§63.1254(a)(3)(ii)(A)(3)) | Yes [ ] No [ ] N/A [ ] |
| e) If it has been at least **15 years since issuance of the control device preconstruction permit**, and the date of the inspection is after **April 2, 2007**, has the control device been upgraded reconstructed or replaced, and does the revised operating scenario demonstrate that the control device reduces emissions by 98 percent or that it satisfies one of the other options in Checklist item V.B.1.a (except the 93 percent option)? (§63.1254(a)(3)(ii)(A)(4)) | Yes [ ] No [ ] N/A [ ] |

2. Compliance Options for all Vents Within a Process Except Large Vents

a) For vents that are not large vents, with which of the following options is the facility seeking to comply? (see notes for allowed combinations of options)

[ ] **Process Based Annual Mass Limit** (PBAML) (see section V.B.2.b for requirements)

[ ] **Process Based Emission Reduction Requirement** (PBERR) (see section V.B.2.c for compliance requirements)

[ ] **Alternative Standard** (see section V.B.5 of this checklist for requirements)

[ ] **Outlet Concentration Limit(s)** (with continuous compliance demonstrated by parametric monitoring; see section V.B.6 of this checklist for requirements)

[ ] **Exempted Control Device** (see section V.B.7 of this checklist)

*Note*: The facility may comply with a combination of the PBAML and the alternative standard for different vents within the process.

*Note*: The facility may comply with any combination of the alternative standard, the outlet concentration option, the exempt control devices, and the PBERR for different vents within a process.

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| b) Process Based Annual Mass Limit (§63.1254(a)(2))<br>• Are the emissions from the sum of all process vents (excluding any large vents and any vents subject to the alternative standard) ≤ 2,000 lb/yr (900 kg/yr)? | Yes [ ] No [ ] N/A [ ] |
| • If the facility is complying with the PBAML for more than one process, are the emissions from the sum of all process vents from all processes subject to the PBAML ≤ 4,000 lb/yr (1,800 kg/yr)? | Yes [ ] No [ ] N/A [ ] |

**Section V. Requirements for Process Vents**

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| • If a control device is used to comply with the PBAML, is it being operated within the parameter values identified in the operating scenario?<br><br>*Note*: See Checklist items in section XI.A for the appropriate monitoring parameters for different types and sizes of control devices. Complete the appropriate control device data sheet in section XI.E to check compliance with the monitoring parameter limits. | Yes [ ] No [ ]<br>N/A [ ] |
| c) Process-Based Emission Reduction Requirement (§63.1254(a)(1)(i))<br><br>• Does the operating scenario demonstrate a 93 percent reduction in HAP emissions from the sum of all vents within the process that are subject to the PBERR?<br><br>*Note:* Operating scenario percent reduction demonstration should be included in the NOCSR. | Yes [ ] No [ ]<br>N/A [ ] |
| • Are the control devices being operated within the parameter values identified in the operating scenario?<br><br>*Note*: See Checklist items in section XI.A for the appropriate monitoring parameters for different types and sizes of control devices. Complete the appropriate control device data sheet in section XI.E to check compliance with the monitoring parameter limits. | Yes [ ] No [ ]<br>N/A [ ] |
| • If the source has changed from compliance with the PBAML to compliance with the PBERR, had they been complying with the PBAML for at least 365 days before the switch? See Checklist item V.D.6 for records of compliance with the PBAML. | Yes [ ] No [ ]<br>N/A [ ] |
| 3. Additional Compliance Requirements for Halogenated Streams that are Controlled with Combustion Devices (§63.1252(g))<br><br>a) Are any halogenated vent streams controlled with a combustion device? | Yes [ ] No [ ]<br>N/A [ ] |
| b) If the answer to question (a) is "yes," does the facility comply with one of the following:<br><br>• Is the vent stream routed to a halogen reduction device after the combustion device that reduces overall emissions of hydrogen halides and halogens by 95 percent or to a concentration $\leq$20 ppmv? or | Yes [ ] No [ ]<br>N/A [ ] |
| • Is the vent stream routed to a halogen reduction device before the combustion control device that reduces the halogen atom concentration to $\leq$20 ppmv? | Yes [ ] No [ ]<br>N/A [ ] |

**Section V. Requirements for Process Vents**

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| c) Is the halogen reduction device being operated within the parameter values identified in the operating scenario?<br><br>*Note*: See Checklist items in section XI.A for the appropriate monitoring parameters for different types and sizes of control devices. Complete the appropriate control device data sheet in section XI.E to check compliance with the monitoring parameter limits. | Yes [ ] No [ ]<br>N/A [ ] |
| 4. Compliance Options for Closed-Vent Systems (§63.1252(b))<br><br>a) If the closed-vent system to the control device has a bypass line around the control device, does the source demonstrate there is no flow through the bypass line based on one of the following:<br><br>• Operating a flow indicator? or | Yes [ ] No [ ]<br>N/A [ ] |
| • Securing the bypass line valve in the closed position with a car seal or lock and key? | Yes [ ] No [ ]<br>N/A [ ] |
| b) If the closed-vent system includes a bypass line with a valve sealed closed with a car seal or lock-and-key configuration, does the facility conduct monthly visual inspections? | Yes [ ] No [ ]<br>N/A [ ] |
| c) Does the facility inspect closed-vent systems that route emissions to a control device every 12 months as specified in §63.1258(h)? See Checklist item III.F.8 for records required when a leak is detected. | Yes [ ] No [ ]<br>N/A [ ] |
| 5. Alternative Standard (§63.1254(c) and §63.1258(b)(5))<br><br>a) If emissions are routed to a combustion device:<br><br>• Is the outlet TOC concentration, as calibrated on methane or the predominant HAP, $\leq$20 ppmv, as demonstrated by continuous emissions monitoring? | Yes [ ] No [ ]<br>N/A [ ] |
| • Is the outlet concentration of hydrogen halides and halogens $\leq$20 ppmv, as demonstrated by continuous monitoring (or knowledge that the emission stream contains no hydrogen halides or halogens)? | Yes [ ] No [ ]<br>N/A [ ] |
| b) If emissions are routed to a noncombustion device:<br><br>• Is the outlet TOC concentration, as calibrated on methane or the predominant HAP, $\leq$50 ppmv, as demonstrated by continuous emissions monitoring? | Yes [ ] No [ ]<br>N/A [ ] |
| • Is the outlet concentration of hydrogen halides and halogens $\leq$50 ppmv, as demonstrated by continuous monitoring (or knowledge that the emission stream contains no hydrogen halides or halogens)? | Yes [ ] No [ ]<br>N/A [ ] |

**Section V. Requirements for Process Vents**

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| c) If halogenated vent stream emissions are controlled by a combustion device followed by a scrubber:<br><br>• Is the outlet TOC concentration, as calibrated on methane or the predominant HAP, ≤20 ppmv as demonstrated by continuous monitoring? | Yes [ ] No [ ] N/A [ ] |
| • Is the outlet concentration of hydrogen halides and halogens ≤50 ppmv, as demonstrated by continuous monitoring, or are the HCl emissions reduced by ≥95 percent in the scrubber, as demonstrated by parametric monitoring? (§63.1258(b)(5)(i)(C)) | Yes [ ] No [ ] N/A [ ] |
| d) Does the facility monitor emission concentrations as specified in section XI.B of this checklist? | Yes [ ] No [ ] N/A [ ] |
| 6. Outlet Concentration Limits (§63.1254(a)(1)(ii)(A))<br><br>a) Is the outlet TOC concentration ≤20 ppmv, as demonstrated by parameter monitoring?. | Yes [ ] No [ ] N/A [ ] |
| b) Is the outlet concentration of hydrogen halides and halogens ≤20 ppmv, as demonstrated by parameter monitoring? | Yes [ ] No [ ] N/A [ ] |
| c) Are the control devices being operated within the parameter values identified in the operating scenario?<br><br>*Note*: See Checklist items in section XI.A for the appropriate monitoring parameters for different types and sizes of control devices. Complete the appropriate control device data sheet in section XI.E to check compliance with the monitoring parameter limits. | Yes [ ] No [ ] N/A [ ] |
| 7. Exempted Control Devices (§63.1254(a)(1)(ii)(C) and §63.1257(a)(4))<br><br>a) Are any of the following control devices used? If "yes," the source is exempt from the compliance requirements in subpart GGG for vents routed to the devices.<br>[ ] Boilers or process heaters with a design heat input capacity of 44 MW or greater.<br>[ ] Boilers or process heaters into which the emissions are introduced with primary fuel.<br>[ ] Boilers or process heaters burning hazardous waste for which the source has been issued a final permit under part 270 and complies with part 266, subpart H; or which has certified compliance with the interim status requirements of part 266, subpart H.<br>[ ] A hazardous waste incinerator for which the source has been issued a final permit under part 270 and complies with part 264, subpart O; or has certified compliance with the interim status requirements of part 265, subpart O. | Yes [ ] No [ ] N/A [ ] |

**Section V. Requirements for Process Vents**

**C. Control Requirements for Process Vents at New Sources**

1. Control Options.

a) With which of the following options is the source complying for process vents within a process?

[ ] **Process Based Emission Reduction Requirement** (PBERR) (see section V.C.4 for requirements)

[ ] **Alternative Standard** (see section V.C.5 of this checklist)

[ ] **Outlet Concentration Limit(s)** (with continuous compliance demonstrated by parametric monitoring; see section V.C.6 of this checklist)

[ ] **Exempted Control Device** (see section V.C.7 of this checklist)

[ ] **Facility Wide Mass Emission Limit** (see section V.C.8 of this checklist)

*Note*: The source may comply with any combination of the above options for the vents within a process.

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| 2. Additional Compliance Requirements for Halogenated Streams that are Controlled with Combustion Devices (§63.1252(g)) | |
| a) Are any halogenated vent streams controlled with a combustion device? | Yes [ ] No [ ] N/A [ ] |
| b) If the answer to question (a) is "yes," does the facility comply with one of the following: | |
| • Is the vent stream routed to a halogen reduction device after the combustion device that reduces overall emissions of hydrogen halides and halogens by 95 percent or to a concentration ≤20 ppmv? or | Yes [ ] No [ ] N/A [ ] |
| • Is the vent stream routed to a halogen reduction device before the combustion control device that reduces the halogen atom concentration to ≤20 ppmv? | Yes [ ] No [ ] N/A [ ] |
| 3. Compliance Options for Closed-Vent Systems (§63.1252(b)) | |
| a) If the closed-vent system to the control device has a bypass line around the control device, does the source demonstrate there is no flow through the bypass line based on one of the following: | |
| • Operating a flow indicator? or | Yes [ ] No [ ] N/A [ ] |
| • Securing the bypass line valve in the closed position with a car seal or lock and key? | Yes [ ] No [ ] N/A [ ] |
| b) If the closed-vent system includes a bypass line with a valve sealed closed with a car seal or lock-and-key configuration, does the facility conduct monthly visual inspections? | Yes [ ] No [ ] N/A [ ] |

**Section V. Requirements for Process Vents**

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| c) Does the facility inspect closed-vent systems that route emissions to a control device every 12 months as specified in §63.1258(h)? See Checklist item III.F.8 for records required when a leak is detected. | Yes [ ] No [ ] N/A [ ] |
| 4. Process Based Emission Reduction Requirement (§63.1254(b)(1))<br><br>a) Does the operating scenario demonstrate a 98 percent reduction in HAP emissions from the sum of all vents within the process that are subject to the PBERR?<br><br>*Note:* Operating scenario percent reduction demonstration should be included in the NOCSR. | Yes [ ] No [ ] N/A [ ] |
| b) Are the control devices being operated within the process parameters identified in the operating scenario?<br><br>*Note*: See Checklist items in section XI.A for the appropriate monitoring parameters for different types and sizes of control devices. Complete the appropriate control device data sheet in section XI.E to check compliance with the monitoring parameter limits. | Yes [ ] No [ ] N/A [ ] |
| 5. Alternative Standard (§63.1254(c) and §63.1258(b)(5))<br><br>a) If emissions are routed to a combustion device:<br><br>• Is the outlet TOC concentration, as calibrated on methane or the predominant HAP, ≤20 ppmv, as demonstrated by continuous emissions monitoring? | Yes [ ] No [ ] N/A [ ] |
| • Is the outlet concentration of hydrogen halides and halogens ≤20 ppmv, as demonstrated by continuous monitoring (or knowledge that the emission stream contains no hydrogen halides and halogens)? | Yes [ ] No [ ] N/A [ ] |
| b) If emissions are routed to a noncombustion device:<br><br>• Is the outlet TOC concentration, as calibrated on methane or the predominant HAP, ≤50 ppmv, as demonstrated by continuous emissions monitoring? | Yes [ ] No [ ] N/A [ ] |
| • Is the outlet concentration of hydrogen halides and halogens ≤50 ppmv, as demonstrated by continuous monitoring (or knowledge that the emission stream contains no hydrogen halides and halogens)? | Yes [ ] No [ ] N/A [ ] |
| c) If halogenated vent stream emissions are controlled by a combustion device followed by a scrubber: | |
| • Is the outlet TOC concentration, as calibrated on methane or the predominant HAP, ≤20 ppmv as demonstrated by continuous monitoring? | Yes [ ] No [ ] N/A [ ] |
| • Is the outlet concentration of hydrogen halides and halogens ≤50 ppmv, as demonstrated by continuous monitoring, or are the HCl emissions reduced by ≥95 percent in the scrubber, as demonstrated by parametric monitoring? (§63.1258(b)(5)(i)(C)) | Yes [ ] No [ ] N/A [ ] |

**Section V. Requirements for Process Vents**

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| d) Does the facility monitor outlet concentrations as specified in section XI.B of this checklist? | Yes [ ] No [ ] N/A [ ] |
| 6. Outlet Concentration Limits (§63.1254(a)(1)(ii)(A) and §63.1254(b)(1))<br>a) Is the outlet TOC concentration ≤20 ppmv? | Yes [ ] No [ ] N/A [ ] |
| b) Is the outlet concentration of hydrogen halides and halogens ≤20 ppmv? | Yes [ ] No [ ] N/A [ ] |
| c) Are the control devices being operated within the parameter values identified in the operating scenario?<br><br>*Note*: See Checklist items in section XI.A for the appropriate monitoring parameters for different types and sizes of control devices. Complete the appropriate control device data sheet in section XI.E to check compliance with the monitoring parameter limits. | Yes [ ] No [ ] N/A [ ] |
| 7. Exempted Control Devices (§63.1254(a)(1)(ii)(C) and §63.1254(b)(1))<br>a) Is the source seeking to comply by routing any process vents to any of the following exempted control devices? If "yes," the source is exempt from the compliance requirements in subpart GGG for vents routed to those devices.<br>[ ] Boilers or process heaters with a design heat input capacity of 44 MW or greater.<br>[ ] Boilers or process heaters into which the emissions are introduced with primary fuel.<br>[ ] Boilers or process heaters burning hazardous waste for which the source has been issued a final permit under part 270 and complies with part 266, subpart H; or which has certified compliance with the interim status requirements of part 266, subpart H.<br>[ ] A hazardous waste incinerator for which the source has been issued a final permit under part 270 and complies with part 264, subpart O; or has certified compliance with the interim status requirements of part 265, subpart O. | Yes [ ] No [ ] N/A [ ] |
| 8. Annual Mass Limit (§63.1254(b)(2))<br>a) If the source is complying with the facility wide annual mass emission limit in §63.1254(b)(2), are the actual HAP emissions from the sum of all such vents ≤2,000 lb (900 kg) in each 365-day period? | Yes [ ] No [ ] N/A [ ] |
| b) If the source uses any add-on controls to achieve compliance with the mass emission reduction requirement, are the control devices being operated within the process parameters identified in the operating scenario?<br><br>*Note*: See Checklist items in section XI.A for the appropriate monitoring parameters for different types and sizes of control devices. Complete the appropriate control device data sheet in section XI.E to check compliance with the monitoring parameter limits. | Yes [ ] No [ ] N/A [ ] |

**Section V. Requirements for Process Vents**

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| **D. Recordkeeping Specific for Process Vents** | |
| 1. Does the source have a daily log of operating scenarios? (§63.1259(b)(8)) | Yes [ ] No [ ] N/A [ ] |
| 2. Is the process being operated per the operating scenario identified in the daily log? | Yes [ ] No [ ] N/A [ ] |
| 3. Does the facility retain a description of worst-case operating conditions under which initial compliance was demonstrated for control devices used to control batch processes? (§63.1259(b)(9)) | Yes [ ] No [ ] N/A [ ] |
| 4. Does the source maintain the complete test report or design evaluation used to demonstrate initial compliance? | Yes [ ] No [ ] N/A [ ] |
| 5. Annual Mass Limit demonstrations for compliance with the PBAML at existing sources or the facility-wide annual mass limit at new sources. (§63.1259(b)(4) and (b)(5)(ii)) | |
| a) Is the source seeking to comply with the Annual Mass Limit? | Yes [ ] No [ ] N/A [ ] |
| b) If the answer to question (a) is "yes," does the facility have records of the following for process vents in compliance with the annual mass emissions limits: | |
| • Daily calculation of rolling annual total emissions? | Yes [ ] No [ ] N/A [ ] |
| • Number of batches per year for each batch process? | Yes [ ] No [ ] N/A [ ] |
| • Operating hours per year for continuous processes? | Yes [ ] No [ ] N/A [ ] |
| • Standard batch uncontrolled and controlled emissions for each process? | Yes [ ] No [ ] N/A [ ] |
| • A record to show whether each batch operated was considered a standard batch? | Yes [ ] No [ ] N/A [ ] |
| ▸ Actual uncontrolled and controlled emissions for each non-standard batch? | Yes [ ] No [ ] N/A [ ] |
| 6. Is the source seeking to change the method of compliance from the 2,000 lb/yr (900 kg/yr) or 4,000 lb/yr (1,800 kg/yr) mass emission limitations to the percent reduction? | Yes [ ] No [ ] N/A [ ] |
| a) On the date of the switch, did the source have data from the preceding 365 days to use in the calculation of the rolling annual total emissions? | Yes [ ] No [ ] N/A [ ] |
| 7. If an existing source changed the method of compliance from the 93 percent reduction to the mass emission limitation, did they begin to calculate daily rolling annual summations (with data for the preceding 365 days) on the first day after the switch? (§63.1258(c)) | Yes [ ] No [ ] N/A [ ] |

**Section V. Requirements for Process Vents**

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| 8. Compliance with PBERR (percent reduction) for an existing source. (§63.1259(b)(5)(i))<br><br>a) Is the source seeking to comply with the percent reduction requirements for a process that contains some vents that are uncontrolled or controlled to less than the PBERR level? | Yes [ ] No [ ] N/A [ ] |
| b) If the answer to question (a) is "yes," does the source have the following records:<br><br>• Standard batch uncontrolled and controlled emissions for each process? | Yes [ ] No [ ] N/A [ ] |
| • Actual uncontrolled and controlled emissions for each non-standard batch? | Yes [ ] No [ ] N/A [ ] |
| • A record of whether each batch operated was a standard batch? | Yes [ ] No [ ] N/A [ ] |
| 9. Does the facility retain records of the monitored parameters? (§63.1259(b)(1)) | Yes [ ] No [ ] N/A [ ] |
| 10. Does the facility retain the following CMS records: (§63.1259(b)(3) and §63.10(c)(5) through (13))<br><br>a) Records of the calibration checks and maintenance of CMS? | Yes [ ] No [ ] N/A [ ] |
| b) The date and time during which the CMS was inoperative, except for zero and high-level checks? | Yes [ ] No [ ] N/A [ ] |
| c) The date and time during which the CMS was out-of-control? | Yes [ ] No [ ] N/A [ ] |
| d) The date and time of commencement and completion of each period of excess emissions and parameter monitoring exceedances that occur during SSM of the affected source? | Yes [ ] No [ ] N/A [ ] |
| e) The date and time of commencement and completion of each period of excess emissions and parameter monitoring exceedances that occur during periods other than SSM of the affected source? | Yes [ ] No [ ] N/A [ ] |
| f) The nature and cause of any malfunction? | Yes [ ] No [ ] N/A [ ] |
| g) The corrective action taken or preventative measures adopted? | Yes [ ] No [ ] N/A [ ] |
| h) The nature of the repairs or adjustments made to the CMS that was inoperative or out-of-control? | Yes [ ] No [ ] N/A [ ] |
| i) The total process operating time during the reporting period? | Yes [ ] No [ ] N/A [ ] |

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| 11. For bypass lines with a flow indicator, does the facility record the following: (§63.1259(i)(6)(i))<br><br>a) Records identifying the hourly periods during which a diversion of the vent stream from the control device was detected? | Yes [ ] No [ ]<br>N/A [ ] |
| b) Records of the times and durations of all periods when the vents stream is diverted? | Yes [ ] No [ ]<br>N/A [ ] |
| c) Records of times and durations of all periods when the flow indicator is not operating? | Yes [ ] No [ ]<br>N/A [ ] |
| 12. For bypass line valves sealed with a car seal or lock-and-key configuration, does the facility record: (§63.1259(i)(6)(ii))<br><br>a) All periods in which the seal mechanism is broken? | Yes [ ] No [ ]<br>N/A [ ] |
| b) All periods in which the bypass valve position has changed? | Yes [ ] No [ ]<br>N/A [ ] |
| c) All periods when the key to unlock the bypass line valve was checked out? | Yes [ ] No [ ]<br>N/A [ ] |
| **E. Reporting Specific for Process Vents**<br><br>1. If the source has changed from the PBAML to the PBERR or from the PBERR to the PBAML, did the source notify EPA according to the process change procedures in §63.1260(h)? (§63.1254(a)(1)(i) and (a)(2)(iv))<br><br>*Note*: This type of change is only applicable for existing sources. | Yes [ ] No [ ]<br>N/A [ ] |

## VI. REQUIREMENTS FOR STORAGE TANKS

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| **A. Applicability**<br><br>*Note*: The tank or other vessel is subject to the storage tank provisions in the rule, if the answer to question 1 is “no” and the answer to questions 2 through 5 are “yes.”<br><br>*Note*: Storage tank applicability criteria are the same for existing and new sources.<br><br>1. Do any of the following apply to the tank or other vessel? (Check all that apply.)<br>[ ] Is it permanently attached to a motor vehicle such as a truck, railcar, barge, or ship?<br>[ ] Is it a pressure vessel designed to operate in excess of 204.9 kPa and without emission to the atmosphere?<br>[ ] Is it storing organic liquid that contains HAP only as impurities?<br>[ ] Is it a wastewater storage tank?<br>[ ] Is it a process tank? | Yes [ ] No [ ] |

**Section VI. Requirements for Storage Tanks**

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| 2. Is the tank or other vessel used to store organic liquid containing HAP? | Yes [ ] No [ ] |
| 3. Is the stored liquid a raw material feedstock, or is it used solvent from multiple batches collected in a tank farm for purposes of solvent recovery? | Yes [ ] No [ ] |
| 4. Is the capacity of the tank or other vessel $\geq 38 m^3$ (approximately 10,000 gal)? | Yes [ ] No [ ] |
| 5. Is the maximum true vapor pressure of the stored liquid $\geq$ 1.9 Psia? | Yes [ ] No [ ] |
| **B. Control Requirements for Storage Tanks**<br><br>*Note:* This checklist does not include inspection for floating roofs because of limited use in the industry.<br><br>1. For a storage tank with a closed-vent system and an add-on control device.<br><br>a) If the design capacity is greater than or equal to 38 $m^3$ (approximately 10,000 gal) and less than 75 $m^3$ (approximately 20,000 gal) and the vapor pressure of the total HAP is greater than 13.1 kPa (1.9 psia), is the facility seeking to comply with the rule by routing emissions to one of the following?<br><br>[ ] a control device that reduces HAP emissions by 90 percent by weight or greater?<br><br>[ ] an enclosed combustion device that provides a minimum residence time of 0.5 seconds and at a minimum temperature of 760°C?<br><br>[ ] a boiler, process heater, or hazardous waste incinerator specified in §63.1257(a)(4)?<br><br>[ ] a control device that reduces organic HAP emissions to 20 ppmv or less and hydrogen halides and halogens to 20 ppmv or less in accordance with the alternative standard in §63.1253(d)? | Yes [ ] No [ ]<br>N/A [ ] |

**Section VI. Requirements for Storage Tanks**

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| b) If the design capacity is greater than or equal to 75 $m^3$ (approximately 20,000 gal) and the vapor pressure of the total HAP is greater than 13.1 kPa (1.9 psia), does the facility route emissions to one of the following?<br><br>[ ] a control device that reduces HAP emissions by 95 percent (or 90 percent if the device was installed on the storage tank before April 2, 1997)?<br><br>[ ] an enclosed combustion device that provides a minimum residence time of 0.5 seconds and at a minimum temperature of 760°C?<br><br>[ ] a boiler, process heater, or hazardous waste incinerator specified in §63.1257(a)(4)?<br><br>[ ] a control device that reduces organic HAP emissions to 20 ppmv or less and hydrogen halides and halogens to 20 ppmv or less in accordance with the alternative standard in §63.1253(d)? | Yes [ ] No [ ]<br>N/A [ ] |
| c) Were periods of planned routine maintenance of the control device during which the control device did not meet the required control levels of < 240 hr/yr? (§63.1253(e)) | Yes [ ] No [ ] |
| d) For each closed-vent system that routes emissions to a control device, does the facility inspect the closed-vent system every 12 months as specified in §63.1258(h)? See Checklist item III.F.8 for records required when a leak is detected. | Yes [ ] No [ ]<br>N/A [ ] |
| e) If the closed-vent system has a bypass line around the control device, does the source:<br><br>• Maintain any bypass line valve in the closed position with a car seal or lock and key type configuration, as verified by monthly inspections? (§63.1252(b)(2) **or** | Yes [ ] No [ ]<br>N/A [ ] |
| • Operate a flow indicator as specified in §63.1252(b)(1)? | Yes [ ] No [ ]<br>N/A [ ] |
| 2. For storage tanks complying with the vapor balancing alternative.<br><br>a) Is the vapor balancing system designed and operated to route organic HAP vapors displaced from loading of the storage tank to the railcar or tank truck from which the storage tank is filled? (§63.1253(f)(1)) | Yes [ ] No [ ]<br>N/A [ ] |
| b) Does the railcar or tank truck have a current DOT pressure test certification in accordance with 40 CFR part 180 or 40 CFR 173.31? (§63.1253(f)(2)) | Yes [ ] No [ ]<br>N/A [ ] |
| c) Are HAP unloaded only when the vapor collection system is connected? (§63.1253(f)(3)) | Yes [ ] No [ ]<br>N/A [ ] |
| d) Are pressure relief devices set to 2.5 psig or greater at all times, and do they remain closed during loading and diurnal temperature changes? (§63.1253(f)(4) and (5)) | Yes [ ] No [ ]<br>N/A [ ] |

**Section VI. Requirements for Storage Tanks**

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| e) Are railcars and tank trucks that deliver HAP to an affected storage tank reloaded or cleaned at a compliant facility in accordance with one of the following:<br><br>• Is the railcar or tank truck at the reloading or cleaning facility connected to a closed-vent system with a control device that reduces HAP emissions by at least 90 percent? (§63.1253(f)(6)(i)) **or** | Yes [ ] No [ ]<br>N/A [ ] |
| • Is a vapor balancing system used to collect HAP vapor displaced during reloading and to return the vapor to the storage tank that is the source of the liquid? (§63.1253(f)(6)(ii)) | Yes [ ] No [ ]<br>N/A [ ] |
| f) Does the facility have written certification that the reloading or cleaning facility accepts responsibility for complying with the requirements of §63.1253(f)? (§63.1253(f)(7)(i)) | Yes [ ] No [ ]<br>N/A [ ] |
| **C. Recordkeeping Requirements for Storage Tanks**<br><br>1. Affected Storage Tanks<br><br>For affected storage tanks, does the facility retain on site all information from at least the most recent 2 years? (§63.1259(a)(1) and §63.10(b)(1)) | Yes [ ] No [ ]<br>N/A [ ] |
| 2. Storage tanks equipped with a closed-vent system routed to a control device<br><br>For storage tanks equipped with a closed-vent system routed to a control device, does the facility also maintain the following records for 5 years, with the 2 most recent years maintained on site:<br><br>a) Complete test report for initial performance test results or a design evaluation?<br><br>*Note*: A design evaluation is only applicable if complying with a percent reduction requirement. | Yes [ ] No [ ]<br>N/A [ ] |
| b) Measured values of the following monitored parameters:<br><br>• For each control device that controls <1 ton/yr of HAP, does the facility retain records of monitoring parameters proposed in the Precompliance report to ensure that the control device is being properly operated and maintained? (§63.1258(b)(1)(i)) See Checklist item XI.A.1.<br><br>*Note*: If applicable, complete the appropriate data sheet in section XI.E. for the control device used with the storage tank. | Yes [ ] No [ ]<br>N/A [ ] |

**Section VI. Requirements for Storage Tanks**

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| • For each control device that controls ≥1 ton/yr of HAP, does the facility retain records of the applicable monitoring parameters for that control device? (§63.1258(b)(1)(ii) through (ix) and §63.1259(b)(1)) See Checklist items XI.A.2 through 10.<br><br>*Note*: Complete the appropriate data sheet in section XI.E. for the control device used with the storage tank. | Yes [ ] No [ ]<br>N/A [ ] |
| • For control devices used to comply with the alternative standard, does the facility monitor the outlet concentrations as specified in section XI.B. of this checklist? | Yes [ ] No [ ]<br>N/A [ ] |
| c) The following CMS records: (§63.1259(b)(3) and §63.10(c)(5) through (13))<br><br>• Records of the calibration checks and maintenance of CMS? | Yes [ ] No [ ]<br>N/A [ ] |
| • The date and time during which the CMS was inoperative, except for zero and high-level checks? | Yes [ ] No [ ]<br>N/A [ ] |
| • The date and time during which the CMS was out-of-control? | Yes [ ] No [ ]<br>N/A [ ] |
| • The date and time of commencement and completion of each period of excess emissions and parameter monitoring exceedances that occur during SSM of the affected source? | Yes [ ] No [ ]<br>N/A [ ] |
| • The date and time of commencement and completion of each period of excess emissions and parameter monitoring exceedances that occur during periods other than SSM of the affected source? | Yes [ ] No [ ]<br>N/A [ ] |
| • The nature and cause of any malfunction? | Yes [ ] No [ ]<br>N/A [ ] |
| • The corrective action taken or preventative measures adopted? | Yes [ ] No [ ]<br>N/A [ ] |
| • The nature of the repairs or adjustments made to the CMS that was inoperative or out-of-control? | Yes [ ] No [ ]<br>N/A [ ] |
| • The total process operating time during the reporting period? | Yes [ ] No [ ]<br>N/A [ ] |
| d) Periods of planned routine maintenance for the control device, including:<br><br>• The first time of day and date the control requirements are <u>not</u> met at the beginning of the planned routine maintenance? **and** | Yes [ ] No [ ]<br>N/A [ ] |
| • The first time of day and date the control requirements are met at the conclusion of the planned routine maintenance? | Yes [ ] No [ ]<br>N/A [ ] |

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| e) For bypass lines with a flow indicator, does the facility record the following:<br><br>• Records identifying the hourly periods during which a diversion of the vent stream from the control device was detected? | Yes [ ] No [ ] N/A [ ] |
| • Records of the times and durations of all periods when the vents stream is diverted? | Yes [ ] No [ ] N/A [ ] |
| • Records of times and durations of all periods when the flow indicator is not operating? | Yes [ ] No [ ] N/A [ ] |
| f) For bypass line valves sealed with a car seal or lock-and-key configuration, does the facility record:<br><br>• All periods in which the seal mechanism is broken? | Yes [ ] No [ ] N/A [ ] |
| • All periods in which the bypass valve position has changed? | Yes [ ] No [ ] N/A [ ] |
| • All periods when the key to unlock the bypass line valve was checked out? | Yes [ ] No [ ] N/A [ ] |
| 3. Does the facility retain records of the following for storage tanks complying with vapor balancing:<br><br>a) DOT certifications for trucks and railcars that deliver HAP to the storage tanks? (§63.1259(b)(12)) | Yes [ ] No [ ] N/A [ ] |
| b) Pressure relief vent setting and quarterly monitoring records? (§63.1259(b)(12)) | Yes [ ] No [ ] N/A [ ] |
| **D. Periodic Reports for Storage Tanks Equipped with a Closed-Vent System Routed to a Control Device**<br><br>For storage tanks equipped with a closed-vent system routed to a control device, do Periodic Reports include periods of planned routine maintenance during which the control device does not meet the standard for storage tanks? | Yes [ ] No [ ] N/A [ ] |

## VII. REQUIREMENTS FOR WASTEWATER STREAMS

### A. Applicability

1. Is the wastewater associated with an existing source or a new source?

   [ ] Existing source
   [ ] New source

***Existing sources*** – all sources that are not new sources.

***New sources*** – affected sources that commenced construction or reconstruction *after* April 2, 1997. A dedicated PMPU on which construction commenced after April 2, 1997, or reconstruction commenced after October 21, 1999, is also subject to new source requirements if the new or reconstructed unit has the potential to emit 10 tpy or more of any one HAP or 25 tpy or more of total HAPs

**Section VII. Requirements for Wastewater Streams**

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| 2. For an existing source, are there any wastewater streams for which: (§63.1256(a)(1)(i))<br><br>*Note*: A POD means the point where a wastewater stream exits the process, storage tank, or last recovery device.<br><br>*Note*: The wastewater provisions do not apply to stormwater from segregated sewers, spills, water from fire-fighting and deluge systems (including testing of such systems), and water from safety showers.<br><br>*Note:* Effluent from a water scrubber is considered to be an affected wastewater stream if the scrubber is used to comply with the process vent standards and the vent stream contains Table 2 HAPs.<br><br>*Note*: The wastewater provisions apply to each wastewater stream at the POD for which the answer to question (a), (b), or (c) is "yes."<br><br>a) The annual average concentration of partially soluble HAP is greater than 1,300 ppmw, and the total partially soluble and soluble HAP load in all wastewater from the PMPU exceeds 0.25 Mg/yr? | Yes [ ] No [ ]<br>N/A [ ] |
| b) The annual average concentration of total partially soluble and/or soluble HAP is greater than 5,200 ppmw, and the total partially soluble and soluble HAP load in all wastewater from the PMPU exceeds 0.25 Mg/yr? | Yes [ ] No [ ]<br>N/A [ ] |
| c) The annual average concentration of total partially soluble and/or soluble HAP is greater than 10,000 ppmw, and the total partially soluble and soluble HAP load in all wastewater from the affected source exceeds 1 Mg/yr? | Yes [ ] No [ ]<br>N/A [ ] |
| 3. For a new source, are there any wastewater streams for which: (§63.1256(a)(1)(i))<br><br>*Note*: A POD means the point where a wastewater stream exits the process, storage tank, or last recovery device.<br><br>*Note*: The wastewater provisions do not apply to stormwater from segregated sewers, spills, water from fire-fighting and deluge systems (including testing of such systems), and water from safety showers.<br><br>*Note:* Effluent from a water scrubber is considered to be an affected wastewater stream if the scrubber is used to comply with the process vent standards and the vent stream contains Table 2 HAPs.<br><br>*Note*: The wastewater provisions apply to each wastewater stream at the POD for which the answer to question (a), (b), (c), or (d) is "yes."<br><br>a) The annual average concentration of partially soluble HAP is greater than 1,300 ppmw, and the total partially soluble and soluble HAP load in all wastewater from the PMPU exceeds 0.25 Mg/yr? | Yes [ ] No [ ]<br>N/A [ ] |

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| b) The annual average concentration of total partially soluble and/or soluble HAP is greater than 5,200 ppmw, and the total partially soluble and soluble HAP load in all wastewater from the PMPU exceeds 0.25 Mg/yr? | Yes [ ] No [ ] N/A [ ] |
| c) The annual average concentration of total partially soluble and/or soluble HAP is greater than 10,000 ppmw, and the total partially soluble and soluble HAP load in all wastewater from the affected source exceeds 1 Mg/yr? | Yes [ ] No [ ] N/A [ ] |
| d) The annual average concentration of soluble HAP is greater than 110,000 ppmw, and the soluble HAP load in all wastewater from the PMPU exceeds 1 Mg/yr? | Yes [ ] No [ ] N/A [ ] |
| **B. Control Requirements for Wastewater Streams and Residuals**<br><br>*Note:* This checklist does not include requirements for surface impoundments and oil-water separators because of limited use in the industry.<br><br>*Note:* This checklist does not include inspection for floating roofs on wastewater tanks because of limited use in the industry.<br><br>1. Suppression requirements for wastewater tanks (§63.1256(b)):<br><br>a) For each wastewater tank, does the facility operate and maintain a fixed roof? | Yes [ ] No [ ] N/A [ ] |
| b) If the contents of the wastewater tank are heated, treated by means of an exothermic reaction, or sparged, does the facility also do one of the following:<br><br>• route emissions from the tank through a closed-vent system to a control device? **or** | Yes [ ] No [ ] N/A [ ] |
| • demonstrate that the total soluble and partially soluble HAP emissions from the tank are no more than 5 percent higher than they would be if the contents of the tank were not heated, treated by an exothermic reaction, or sparged? | Yes [ ] No [ ] N/A [ ] |
| 2. Suppression requirements for containers (§63.1256(d)):<br><br>a) Does the facility operate and maintain a cover,? | Yes [ ] No [ ] N/A [ ] |
| b) If the container capacity is less than or equal to 0.42 $m^3$ (110 gallons), does the container meet the DOT requirements under 40 C.F.R. 178 or are the cover and all openings maintained without leaks? | Yes [ ] No [ ] N/A [ ] |
| c) If the container capacity is >0.42$m^3$ (110 gal), does the facility do one of the following:<br><br>• Fill using a submerged fill pipe? **or** | Yes [ ] No [ ] N/A [ ] |
| • Locate the container in an enclosure and route displacement vapors to a control device? **or** | Yes [ ] No [ ] N/A [ ] |

**Section VII. Requirements for Wastewater Streams**

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| • Vapor balance with the vessel from which the container is being filled? | Yes [ ] No [ ] N/A [ ] |
| d) Is the container located within an enclosure when the container is open during treatment of wastewater or residual? | Yes [ ] No [ ] N/A [ ] |
| 3. Suppression requirements for individual drain systems (§63.1256(e))<br><br>For each individual drain system, does the facility do one of the following:<br><br>a) Operate and maintain a cover over each opening and, if the cover is vented, is it vented to a process or through a closed-vent system to a control device? **or** | Yes [ ] No [ ] N/A [ ] |
| b) Equip each drain with water seal controls or a tightly fitting cap or plug, equip each junction box with a tightly fitting solid cover or vent the junction box to a control device, and cover each sewer line?<br><br>*Note:* The junction box may be vented to the atmosphere if it is filled and emptied by gravity flow, it is operated with no more than slight fluctuations in the liquid level, the vent pipe length is ≥90 cm and the inside diameter is ≤10.2 cm, and water seals are installed at the wastewater entrance(s) to or exit from the junction box. | Yes [ ] No [ ] N/A [ ] |
| 4. Treatment standards<br><br>a) For wastewater streams containing partially soluble HAP, does the facility: (§63.1256(g)(8) and (10))<br><br>• Reduce the concentration to ≤ 50 ppmw? **or** | Yes [ ] No [ ] N/A [ ] |
| • Reduce the mass by 99 percent or more? **or** | Yes [ ] No [ ] N/A [ ] |
| • Treat in an RCRA unit? | Yes [ ] No [ ] N/A [ ] |
| b) For wastewater streams containing soluble HAP, does the facility: (§63.1256(g)(9) and (10))<br><br>• Reduce the concentration to ≤ 520 ppmw? **or** | Yes [ ] No [ ] N/A [ ] |
| • Reduce the mass by 90 percent or more? **or** | Yes [ ] No [ ] N/A [ ] |
| • Treat in an enhanced biological treatment unit? **or** | Yes [ ] No [ ] N/A [ ] |
| • Treat in an RCRA unit? | Yes [ ] No [ ] N/A [ ] |

**Section VII. Requirements for Wastewater Streams**

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| c) If the facility uses an enhanced biological treatment system to treat wastewater streams containing soluble HAP, is the system designed and operated as follows:<br><br>*Note:* An enhanced biological treatment system is an aerated, thoroughly mixed treatment unit that contains suspended biomass followed by a clarifier that removes biomass from the treated water and recycles recovered biomass to the aeration unit.<br><br>*Note*: An enhanced biological treatment unit may not be used if the wastewater stream is designated as an affected wastewater stream and it may only be used for affected wastewater streams that contain < 50 ppmw of partially soluble HAP. (See Checklist items VII.D and VII.E, Monitoring Requirements and Recordkeeping Requirements, respectively)<br><br>• Is the biomass greater than 1 kg/$m^3$ in the enhanced biodegration unit? | Yes [ ] No [ ] N/A [ ] |
| • Is the biomass aerated by submerged air flow or mechanical agitation? | Yes [ ] No [ ] N/A [ ] |
| • Is there uniform biomass distribution and uniform organic compound concentration? | Yes [ ] No [ ] N/A [ ] |
| d) As an alternative to questions (a) and (b), does the facility use a biological treatment unit to reduce the total mass of partially soluble and soluble HAP by 95 percent or more? (§63.1256(g)(11)) | Yes [ ] No [ ] N/A [ ] |
| e) For residuals from affected wastewater streams, does the facility do any of the following? (§63.1256(g)(14))<br><br>• Recycle the residual to a process? | Yes [ ] No [ ] N/A [ ] |
| • Return the residual to the treatment process? | Yes [ ] No [ ] N/A [ ] |
| • Treat to destroy total partially soluble and soluble HAP by 99 percent or more? | Yes [ ] No [ ] N/A [ ] |
| • Treat in an RCRA unit? | Yes [ ] No [ ] N/A [ ] |
| f) If affected wastewater or residuals are shipped offsite for treatment: (§63.1256(a)(5))<br><br>• Does the facility include a notice with each shipment or transport (or initially if the discharge is continuous or ongoing) that the affected wastewater or residual contains organic HAP and is to be treated in accordance with 40 CFR, part 63, subpart GGG? | Yes [ ] No [ ] N/A [ ] |
| • Has the transferee submitted to EPA written certification that the transferee will manage and treat any affected wastewater and residual properly? | Yes [ ] No [ ] N/A [ ] |

**Section VII. Requirements for Wastewater Streams**

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| g) In addition to (a) through (f) for wastewater streams at new sources that contain soluble HAP at concentrations ≥110,000 ppmw, does the facility reduce the total mass of soluble HAP by 99 percent, or treat in an RCRA unit? (§63.1256(g)(12)) | Yes [ ] No [ ] N/A [ ] |
| 5. Control Device Performance Standards<br><br>For gases vented from waste management units (including treatment units, except for biological treatment units): (§63.1256(h))<br>(See Checklist item XI.E for Control Device Data Sheets)<br><br>a) Does the control device reduce organic HAP emissions by at least 95 percent by weight or to an outlet concentration ≤ 20 ppmv? | Yes [ ] No [ ] N/A [ ] |
| b) As an alternative to question 6.a, if the control device is an enclosed combustion device, does it provide a minimum residence time of 0.5 sec at a minimum temperature of 760°C? (See Checklist item XI.E)<br><br>*Note:* The monitoring and recordkeeping are the same as for a combustion device used to achieve the percent reduction or outlet concentration, but the initial compliance demonstration (design evaluation) differs. | Yes [ ] No [ ] N/A [ ] |
| c) If the control device is a combustion device, are halogenated compounds reduced as specified in §63.1252(g)? | Yes [ ] No [ ] N/A [ ] |
| d) Does the facility inspect for and repair defects in closed-vent systems, covers, and control devices? (See Checklist item III.F.8 for records related to inspections) | Yes [ ] No [ ] N/A [ ] |
| **C. Maintenance Wastewater Requirements** (§63.1256(a)(3)(ii))<br><br>1. Has the facility prepared, as part of the SSM plan, a description of maintenance procedures? (See Checklist item III.H.7 for the procedures to include in the SSM plan) | Yes [ ] No [ ] N/A [ ] |
| 2. Has the description been updated as needed? (See Checklist item III.H.8) | Yes [ ] No [ ] N/A [ ] |
| **D. Monitoring Requirements**<br><br>1. Does the PMPU operate treatment units under §63.1258(g)(2)? | Yes [ ] No [ ] N/A [ ] |
| a) For biological treatment units, does the facility monitor the following at the frequency specified by the permitting authority:<br>• TSS? | Yes [ ] No [ ] N/A [ ] |
| • BOD? | Yes [ ] No [ ] N/A [ ] |
| • Biomass concentration? | Yes [ ] No [ ] N/A [ ] |

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| b) For nonbiological treatment units, does the facility monitor parameters proposed in the Precompliance Report and approved by the permitting authority? (§63.1258(g)(3)) (If the nonbiological treatment unit is a steam stripper, complete the Steam Stripper Data Sheet in Checklist item XI.E to verify compliance with the monitoring parameter values) | Yes [ ] No [ ] N/A [ ] |
| 2. Emission Streams Routed to a Control Device<br>a) Does the facility route emissions to a control device? | Yes [ ] No [ ] N/A [ ] |
| b) If the answer to 2.a is "yes," does the facility operate the control device within the parameter values specified in section XI.A? Complete the appropriate Control Device Data Sheet in Checklist item XI.E to verify compliance with the monitoring parameter values. | Yes [ ] No [ ] N/A [ ] |
| **E. Recordkeeping Requirements**<br>*Note:* This checklist does not include inspections for surface impoundments and oil-water separators because of limited use in the industry.<br>*Note:* This checklist does not include inspection for floating roofs on wastewater tanks because of limited use in the industry.<br>1. For all wastewater systems, does the facility maintain records for at least 5 years, with records from at least the most recent 2 years retained on site? | Yes [ ] No [ ] N/A [ ] |
| 2. Does the facility retain records of the partially soluble and/or soluble HAP concentration in the wastewater stream from each POD? (§63.1259(b)(6)) | Yes [ ] No [ ] N/A [ ] |
| 3. Does the facility perform the following **semiannual** visual inspections of WMUs as specified in Table 7 of the rule: (§63.1258(g)(1))<br>a) For wastewater tanks, did the facility:<br>• Inspect the fixed roof and all openings for leaks? **and** | Yes [ ] No [ ] N/A [ ] |
| • Inspect for improper work practices and control equipment failures? | Yes [ ] No [ ] N/A [ ] |
| b) For containers, did the facility:<br>• Inspect the cover and all openings for leaks? **and** | Yes [ ] No [ ] N/A [ ] |
| • Inspect the enclosure and all openings for leaks? **and** | Yes [ ] No [ ] N/A [ ] |
| • Inspect for improper work practices and control equipment failures? | Yes [ ] No [ ] N/A [ ] |
| c) For individual drain systems, did the facility:<br>• Inspect cover and all openings to ensure that there are no gaps, cracks, or holes? | Yes [ ] No [ ] N/A [ ] |

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| • Inspect for improper work practices and control equipment failures? | Yes [ ] No [ ] N/A [ ] |
| • Verify that sufficient water is present to properly maintain water seals? | Yes [ ] No [ ] N/A [ ] |
| • Inspect all drains using tightly fitted caps or plus to ensure the caps or plugs are in place and properly installed? | Yes [ ] No [ ] N/A [ ] |
| • Inspect all junction boxes to ensure covers are in place and have no visible gaps, cracks, or holes? | Yes [ ] No [ ] N/A [ ] |
| • Inspect unburied portion of all sewer lines for cracks and gaps? | Yes [ ] No [ ] N/A [ ] |
| 4. Does the facility keep the following records of inspections:<br><br>a) For inspections of vapor collection systems, closed-vent systems, fixed roofs, covers, and enclosures when no leaks are detected: (§63.1259(i)(8))<br><br>• Record that the inspection was performed? | Yes [ ] No [ ] N/A [ ] |
| • Date of inspection? | Yes [ ] No [ ] N/A [ ] |
| • Statement that no leaks were detected? | Yes [ ] No [ ] N/A [ ] |
| b) For inspections of vapor collection systems, closed-vent systems, fixed roofs, covers, and enclosures when leaks were detected: (§63.1259(i)(7))<br><br>• Instrument identification? | Yes [ ] No [ ] N/A [ ] |
| • Operator identification? | Yes [ ] No [ ] N/A [ ] |
| • Equipment identification? | Yes [ ] No [ ] N/A [ ] |
| • Date the leak was detected? | Yes [ ] No [ ] N/A [ ] |
| • Date of the first attempt to repair the leak? | Yes [ ] No [ ] N/A [ ] |
| • Maximum instrument reading after repair? | Yes [ ] No [ ] N/A [ ] |
| • Reason for any delay in repair? | Yes [ ] No [ ] N/A [ ] |
| • Identification of individual who decides a repair could not be effected without a shutdown? | Yes [ ] No [ ] N/A [ ] |
| • Expected date of repair if repair is delayed? | Yes [ ] No [ ] N/A [ ] |

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| • Dates of shutdowns that occur while equipment is unrepaired? | Yes [ ] No [ ] N/A [ ] |
| • Date of successful repair of the leak? | Yes [ ] No [ ] N/A [ ] |
| c) For vapor collection systems, closed-vent systems, fixed roofs, covers, and enclosures that are designated as unsafe or difficult to inspect, does the facility keep the following records: (§63.1259(i)(4) and (5)) | |
| • Identification of all equipment designated as unsafe or difficult to inspect? | Yes [ ] No [ ] N/A [ ] |
| • An explanation of why the equipment is unsafe or difficult to inspect? | Yes [ ] No [ ] N/A [ ] |
| • The plan for inspecting the equipment? | Yes [ ] No [ ] N/A [ ] |
| 5. Waste Management Units Equipped with a Closed-Vent System Routed to a Control Device | |
| a) Complete test report or design evaluation for initial compliance demonstration? | Yes [ ] No [ ] N/A [ ] |
| b) Measured values of monitored parameters? (See Checklist item VII.D.2 for monitoring requirements) | Yes [ ] No [ ] N/A [ ] |
| c) CMS records (§63.1259(b)(3) and §63.10(c)(5) through (13)) | |
| • Records of the calibration checks and maintenance of CMS? | Yes [ ] No [ ] N/A [ ] |
| • The date and time during which the CMS was inoperative, except for zero and high-level checks? | Yes [ ] No [ ] N/A [ ] |
| • The date and time during which the CMS was out-of-control? | Yes [ ] No [ ] N/A [ ] |
| • The date and time of commencement and completion of each period of excess emissions and parameter monitoring exceedances that occur during SSM of the affected source? | Yes [ ] No [ ] N/A [ ] |
| • The date and time of commencement and completion of each period of excess emissions and parameter monitoring exceedances that occur during periods other than SSM of the affected source? | Yes [ ] No [ ] N/A [ ] |
| • The nature and cause of any malfunction? | Yes [ ] No [ ] N/A [ ] |
| • The corrective action taken or preventative measures adopted? | Yes [ ] No [ ] N/A [ ] |
| • The nature of the repairs or adjustments made to the CMS that was inoperative or out-of-control? | Yes [ ] No [ ] N/A [ ] |

**Section VIII. Requirements for Equipment Leaks**

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| • The total process operating time during the reporting period? | Yes [ ] No [ ] N/A [ ] |
| 6. Does the facility retain records of the parameters monitored for each wastewater treatment unit, as specified in Checklist item VII.D.1? (§63.1259(b)(1)) | Yes [ ] No [ ] N/A [ ] |
| 7. Wastewater or Residual Transferred for Treatment<br>a) If the facility transfers wastewater or residual offsite for treatment, does the facility keep a copy of the record(s) sent to the treatment operator with each shipment of wastewater or residual? (§63.1259(g))<br>*Note:* If the transfer is continuing or ongoing, the notice is only required initially and whenever there is a change in the required treatment. | Yes [ ] No [ ] N/A [ ] |
| b) If the answer to question 7.a is "yes," does the notice state that the wastewater or residual contains organic HAP and is to be treated in accordance with the provisions of subpart GGG? | Yes [ ] No [ ] N/A [ ] |
| 8. If the facility uses delay of repair due to unavailability of parts for controls of waste management units or treatment units, does the facility maintain the following records: (§63.1259(f))<br>a) Description of the failure? | Yes [ ] No [ ] N/A [ ] |
| b) The reason additional time was necessary? | Yes [ ] No [ ] N/A [ ] |
| c) The date when the repair was completed? | Yes [ ] No [ ] N/A [ ] |
| 9. If the facility decides to use an extension of compliance because a wastewater tank cannot be emptied, or a failure cannot be repaired, within 45 days, does the facility keep the following records: (§63.1259(h))<br>a) A description of the failure? | Yes [ ] No [ ] N/A [ ] |
| b) Documentation that alternate storage capacity is unavailable? | Yes [ ] No [ ] N/A [ ] |
| c) Schedule of actions to repair equipment and empty the tank? | Yes [ ] No [ ] N/A [ ] |

**VIII. REQUIREMENTS FOR EQUIPMENT LEAKS**

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| **A. Applicability**<br>1. Do you have any pumps, compressors, pressure relief devices, sampling connection systems, open-ended valves or lines, valves, agitators, connectors, control devices, instrumentation systems, or closed-vent systems that are:<br>(a) Contacting fluid containing ≥5 percent by weight total organic HAP? If the answer is "no," the equipment is not subject to the LDAR | Yes [ ] No [ ] N/A [ ] |

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| (b) Operating more than 300 hours per year in organic HAP service? If the answer is "no," the equipment is not subject to the LDAR provisions.<br><br>*Note:* If the answers to both (a) and (b) are "yes," the equipment is subject, and you should continue with the Checklist. | Yes [ ] No [ ]<br>N/A [ ] |
| 2. Does the facility have any equipment operating under vacuum pressure and/or operating on a bench scale? If the answer is "yes," that equipment is not subject during periods when the equipment is operating under these conditions. | Yes [ ] No [ ]<br>N/A [ ] |
| 3. Does the facility have equipment currently subject to 40 CFR part 63, subpart I? If "yes," with which of the following methods does the facility comply for this equipment? (Check the selected option.)<br><br>[ ] Option A–The LDAR program specified in 40 CFR part 63, subpart H? **or**<br><br>[ ] Option B–The LDAR program specified in 40 CFR part 63, subpart GGG? **or**<br><br>[ ] Option C–The subpart H LDAR program for some equipment, and the subpart GGG program for other equipment.<br><br>*Note:* If a facility has processes subject to subpart I and it complies with a pollution prevention alternative, the facility does not have to comply with subpart H for those processes. | Yes [ ] No [ ] |
| 4. For equipment subject to 40 CFR part 63, subpart I, has the facility indicated in the Notification of Compliance Status report the LDAR program(s) with which they are complying?<br><br>*Note:* For equipment in compliance with the subpart H LDAR program, the inspector must refer to the HON for requirements that differ from the subpart GGG LDAR program. | Yes [ ] No [ ]<br>N/A [ ] |
| **B. Monitoring**<br><br>1. Does the facility implement a facility-wide LDAR program or a Process-Based program? (Check the appropriate option.)<br><br>[ ] facility-wide basis<br><br>[ ] process basis | |
| 2. If the facility's monitoring technician is available during the inspection, have the technician calibrate the portable instrument and demonstrate how the monitoring is done. Does technician follow the Method 21? | Yes [ ] No [ ]<br>N/A [ ] |

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| **C. Records of LDAR Programs**<br><br>1. Does the facility maintain the following equipment identification and monitoring schedule records:<br><br>a) A list of identification numbers for equipment subject to subpart GGG (equipment may be identified individually or by designated area or length of pipe)? (§63.1255(g)(2)(i)(A)) | Yes [ ] No [ ]<br>N/A [ ] |
| b) Is the list in question (a) updated to incorporate equipment changes within 90 days or by the next Periodic Report following the end of the monitoring period for that component? (§63.1255(g)(2)(i)(A)) | Yes [ ] No [ ]<br>N/A [ ] |
| c) For each group of processes, a schedule for monitoring connectors under §63.174(a) and valves under §63.1255(e)? (§63.1255(g)(2)(i)(B))<br><br>*Note:* The facility may create groups of processes for monitoring. The monitoring frequency for valves and connectors within a group depends on the percentage of leaking valves and connectors in the group. For connectors, the frequency may be between once per year and once every 8 years. For valves, the frequency may be between once per month and once every 2 years. | Yes [ ] No [ ]<br>N/A [ ] |
| d) A list of identification numbers for equipment controlled with closed-vent systems and control devices? (§63.1255(g)(2)(ii)(A)) | Yes [ ] No [ ]<br>N/A [ ] |
| e) A list of identification numbers for compressors designated as operating with an instrument reading of < 500 ppmv above background? (§63.1255(g)(1)(ii)(B)) | Yes [ ] No [ ]<br>N/A [ ] |
| f) A list of identification numbers for pressure relief devices subject to monitoring after pressure releases? (§63.1255(g)(2)(iii)(A)) | Yes [ ] No [ ]<br>N/A [ ] |
| g) A list of identification numbers for pressure relief devices equipped with rupture disks? (§63.1255(g)(2)(iii)(B)) | Yes [ ] No [ ]<br>N/A [ ] |
| h) Identification of instrumentation systems subject to subpart GGG? (§63.1255(g)(2)(iv)) | Yes [ ] No [ ]<br>N/A [ ] |
| i) For pumps and agitators with dual mechanical seal systems: (§63.1255(g)(2)(v))<br><br>• Design criteria and an explanation of why the criteria indicate failure of the seal system, the barrier fluid system, or both? | Yes [ ] No [ ]<br>N/A [ ] |
| • Any changes to the criteria and reasons for the changes? | Yes [ ] No [ ]<br>N/A [ ] |
| j) A list of equipment designated as unsafe or difficult to monitor/inspect? (§63.1255(g)(2)(vi)) | Yes [ ] No [ ]<br>N/A [ ] |
| k) A copy of the plan for monitoring equipment designated as unsafe or difficult to monitor/inspect? (§63.1255(g)(2)(vi)) | Yes [ ] No [ ]<br>N/A [ ] |

**Section VIII. Requirements for Equipment Leaks**

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| l) If the facility takes credit for removed connectors, a list of connectors removed from or added to the process, and documentation of the integrity of the weld for any connectors removed because of welding? (§63.1255(g)(2)(vii)) | Yes [ ] No [ ] N/A [ ] |
| m) If the facility complies with the alternative means of emission limitation for batch processes in §63.178(c): (§63.1255(g)(2)(vii))<br>• A list of equipment added to the process since the last monitoring period? | Yes [ ] No [ ] N/A [ ] |
| • Records documenting the proportion of time during the calendar year the equipment is in use in a manner subject to subpart GGG? | Yes [ ] No [ ] N/A [ ] |
| n) Identification of equipment in organic HAP service < 300 hr/yr? (§63.1255(g)(9)) | Yes [ ] No [ ] N/A [ ] |
| 2. Does the facility maintain records of weekly visual inspections for indications of liquids dripping from pump/agitator seals? (§63.1255(g)(3))<br><br>*Note*: Most sealless pumps are exempt from leak monitoring requirements as outlined in §63.1255(c)(6) and (7). | Yes [ ] No [ ] N/A [ ] |
| 3. Does the facility maintain the following monitoring records when a leak is detected from pumps, agitators, valves, or connectors: (§63.1255(g)(4))<br><br>a) Instrument identification? | Yes [ ] No [ ] N/A [ ] |
| b) Equipment or area identification number? | Yes [ ] No [ ] N/A [ ] |
| c) Operator identification? | Yes [ ] No [ ] N/A [ ] |
| d) Date the leak was detected? | Yes [ ] No [ ] N/A [ ] |
| e) Date of the first attempt at repair? | Yes [ ] No [ ] N/A [ ] |
| f) Date of successful repair? | Yes [ ] No [ ] N/A [ ] |
| g) The maximum instrument reading after the leak is successfully repaired? | Yes [ ] No [ ] N/A [ ] |
| h) If repair is delayed, reason for the delay and dates of any process shutdowns while the equipment is unrepaired? | Yes [ ] No [ ] N/A [ ] |

**Section VIII. Requirements for Equipment Leaks**

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| i) If the facility elects **not** to use the alternative in §63.174(c)(1)(ii) for the monitoring period, did the facility identify the connectors that have been disturbed since the last monitoring period and the date and results of follow-up monitoring?<br><br>*Note:* §63.174(c)(1)(ii) allows the facility to not monitor connectors that have been opened or had the seal broken but may not count nonrepairable connectors for the purposes of determining monitoring frequency; instead the nonrepairable component $C_{an}$, is set to zero for all monitoring periods. | Yes [ ] No [ ]<br>N/A [ ] |
| j) Date and results of monitoring for equipment added to a batch process for which the facility complies with the alternative means of emission limitation for batch processes in §63.178(c)? | Yes [ ] No [ ]<br>N/A [ ] |
| 4. If the facility conducts a pressure test, are the following records maintained? (§63.1255(g)(5))<br><br>a) Identification of each product (or product code) produced in the equipment during the calendar year? | Yes [ ] No [ ]<br>N/A [ ] |
| b) The test date, the test pressure, and the observed pressure drop for each pressure test? | Yes [ ] No [ ]<br>N/A [ ] |
| c) Records of visible, audible, or olfactory evidence of fluid loss? | Yes [ ] No [ ]<br>N/A [ ] |
| d) When a process equipment train does not pass two consecutive pressure tests, records of the following:<br><br>• Date of each pressure test? | Yes [ ] No [ ]<br>N/A [ ] |
| • Date of each attempt to repair leaks? | Yes [ ] No [ ]<br>N/A [ ] |
| • Method applied in attempts to repair leaks? | Yes [ ] No [ ]<br>N/A [ ] |
| • Expected date for delivery of replacement equipment? | Yes [ ] No [ ]<br>N/A [ ] |
| • Actual date of delivery of replacement equipment? | Yes [ ] No [ ]<br>N/A [ ] |
| • Date of successful repair? | Yes [ ] No [ ]<br>N/A [ ] |
| 5. For any compressor designated to operate with an instrument reading of less than 500 ppmv above background, does the facility maintain the following records: (§63.1255(g)(6))<br><br>a) Date of each compliance test? | Yes [ ] No [ ]<br>N/A [ ] |

**Section VIII. Requirements for Equipment Leaks**

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| b) Background level measured during test, if the facility adjusts instrument readings for background?<br><br>*Note:* Under the test method specified in §63.180, the facility may elect to adjust or not adjust for background. If the owner elects not to adjust for background, the owner or operator shall monitor the equipment according to the methods specified in §63.180(b)(1)-(b)(4) and compare the instrument readings directly to the applicable leak definition. | Yes [ ] No [ ]<br>N/A [ ] |
| c) Maximum instrument reading measured during the test? | Yes [ ] No [ ]<br>N/A [ ] |
| 6. For pressure relief devices that are monitored after pressure releases, does the facility maintain the following records: (§63.1255(g)(6))<br><br>a) Date of each monitoring? | Yes [ ] No [ ]<br>N/A [ ] |
| b) Background level measured during test, if the facility adjusts instrument readings for background?<br><br>*Note:* Under the test method specified in §63.180, the facility may elect to adjust or not adjust for background. If the owner elects not to adjust for background, the owner or operator shall monitor the equipment according to the methods specified in §63.180(b)(1)-(b)(4) and compare the instrument readings directly to the applicable leak definition. | Yes [ ] No [ ]<br>N/A [ ] |
| c) Maximum instrument reading measured during the test? | Yes [ ] No [ ]<br>N/A [ ] |
| 7. For closed-vent systems and control devices used to comply with §63.1255, does the facility maintain the following records: (§63.1255(g)(7))<br><br>a) Design specifications and performance demonstrations:<br><br>• Detailed schematics, design specifications of the control device, and piping and instrumentation diagrams? | Yes [ ] No [ ]<br>N/A [ ] |
| • Dates and descriptions of any changes in the design specifications? | Yes [ ] No [ ]<br>N/A [ ] |
| • Flare design and results of the compliance demonstration in §63.11(b)? | Yes [ ] No [ ]<br>N/A [ ] |
| • Description of parameters monitored and an explanation of why the parameters were selected? | Yes [ ] No [ ]<br>N/A [ ] |
| b) Dates and durations of monitoring parameter exceedances, periods when the monitoring system is inoperative, and periods of startups and shutdowns of the control devices? | Yes [ ] No [ ]<br>N/A [ ] |
| c) Records of inspections:<br><br>• When no leaks were detected, does the facility have a record that the inspection was performed, the date, and a statement that no leaks were detected? | Yes [ ] No [ ]<br>N/A [ ] |

**Section VIII. Requirements for Equipment Leaks**

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| • When a leak was detected:<br>▸ Instrument identification? | Yes [ ] No [ ]<br>N/A [ ] |
| ▸ Equipment identification number? | Yes [ ] No [ ]<br>N/A [ ] |
| ▸ Operator identification? | Yes [ ] No [ ]<br>N/A [ ] |
| ▸ Date the leak was detected? | Yes [ ] No [ ]<br>N/A [ ] |
| ▸ Date of the first attempt at repair? | Yes [ ] No [ ]<br>N/A [ ] |
| ▸ Date of successful repair? | Yes [ ] No [ ]<br>N/A [ ] |
| ▸ The maximum instrument reading after the leak is successfully repaired? | Yes [ ] No [ ]<br>N/A [ ] |
| ▸ If repair is delayed, reason for the delay and dates of any process shutdowns while the equipment is unrepaired? | Yes [ ] No [ ]<br>N/A [ ] |
| • If the facility elects **not** to comply with the alternative in §63.174(c)(1)(ii), did the facility identify the connectors that have been disturbed since the last monitoring period and the date and results of follow-up monitoring?<br><br>*Note:* §63.174(c)(1)(ii) allows the facility to not monitor connectors that have been opened or had the seal broken but may not count nonrepairable connectors for the purposes of determining monitoring frequency; instead the nonrepairable component $C_{an}$, is set to zero for all monitoring periods. | Yes [ ] No [ ]<br>N/A [ ] |
| • Date and results of monitoring for equipment added to a batch process for which the facility complies with the alternative means of emission limitation for batch processes in §63.178(c)? | Yes [ ] No [ ]<br>N/A [ ] |
| 8. Does the facility maintain information, data, and analyses used to determine that a piece of equipment is in heavy liquid service? (§63.1255(g)(8))<br><br>*Note:* Heavy liquids are defined as process fluids that do not meet the criteria of "in light liquid or gas service." Information that may be used to demonstrate heavy liquid includes records of chemicals purchased, analysis of stream composition, engineering calculations, process knowledge, etc. | Yes [ ] No [ ]<br>N/A [ ] |
| 9. If complying with the alternative means of emission limitation (enclosed-vented process units), does the facility maintain the following records: (§63.1255(g)(10))<br><br>a) Identification of the process(es) and the organic HAP they handle? | Yes [ ] No [ ]<br>N/A [ ] |
| b) A schematic of the process, enclosure, and closed-vent system? | Yes [ ] No [ ]<br>N/A [ ] |

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| c) A description of the system used to create negative pressure in the enclosure? | Yes [ ] No [ ] N/A [ ] |

10. From the list of the LDAR-affected pieces of equipment (obtain from the last two Periodic Reports), select a representative number of leaky components (e.g. five pumps, three valves, and one agitator) in light liquid or gas/vapor service that have a history of leaks. Record the tag or identification numbers in the following table. Have the facility provide the monitoring and repair records related to the selected equipment.

| Piece of equipment | Monitoring frequency | Date the leak was detected | Date of the first attempt to repair the leak | Date of the successful repair |
|---|---|---|---|---|
| **Process Unit:_____**<br>**Pumps** | | | | |
| ID No. _____ | | | | |
| ID No. _____ | | | | |
| ID No. _____ | | | | |
| ID No. _____ | | | | |
| ID No. _____ | | | | |
| **Process Unit:_____**<br>**Valves** | | | | |
| ID No. _____ | | | | |
| ID No. _____ | | | | |
| ID No. _____ | | | | |
| **Process Unit:_____**<br>**Agitators** | | | | |
| ID No. _____ | | | | |

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| a) For each piece of equipment in the above list, review the calibration records to determine if the facility has used the proper calibration gas concentration to comply with the leak definition. Did the facility use the correct calibration gas? | Yes [ ] No [ ] N/A [ ] |
| b) Review the leak records and repair records to determine if the repairs were done within the 5 or 15 days allowed by the regulations for each leaky piece of equipment listed above.<br>• Did the facility comply with allowed repair time periods? | Yes [ ] No [ ] N/A [ ] |
| • If the facility did not, do they have an allowed delay of repair?<br>*Note:* Delay of repair is allowed under §63.1255(g)(4). | Yes [ ] No [ ] N/A [ ] |

11. Ask the LDAR personnel to demonstrate what procedure is being followed to identify leaks, repair the leaks, and prepare the Periodic Report

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| 12. Do you have any delay of repair? If "yes," review the record to see if it was justified to delay the repair and if it was reported properly in the last Periodic Report. Did the facility justify a valid reason for the delay of repair? | Yes [ ] No [ ] N/A [ ] |

## IX. HEAT EXCHANGE SYSTEMS

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| **A. Applicability**<br><br>1. Does the facility use heat exchange systems to cool process equipment or materials used in pharmaceutical manufacturing operations?<br><br>*Note*: If the answer to question 1 is "yes," continue with this checklist. If the answer is "no," the facility is not subject to the heat exchange provisions in the rule. | Yes [ ] No [ ] |
| 2. If the answer to question 1 is "yes," does the facility identify and fix leaks in accordance with one (or both) of the following:<br><br>[ ] The provisions in §63.104 of subpart F of the HON? (§63.1252(c)(1)) | Yes [ ] No [ ] |
| [ ] By using the physical integrity of a reactor in systems which meet current good manufacturing practice (CGMP) requirements of 21 CFR part 211 as a surrogate of heat exchange system leaks? (§63.1252(c)(2))?<br><br>*Note*: If the facility complies with the provisions of §63.104, continue with this checklist.<br><br>*Note*: Heat exchange provisions are the same for both existing and new sources. | Yes [ ] No [ ] |
| 3. A heat exchange system is not subject to the rule if the answer to any of the following is "yes:" (§63.104(a)(1) through (6))<br><br>a) Is the pressure on the cooling water side at least 35 kPa greater than the pressure on the process side? | Yes [ ] No [ ]<br>N/A [ ] |
| b) Is there an intervening cooling fluid that contains <5 percent by weight of total HAP between the process and the cooling water? | Yes [ ] No [ ]<br>N/A [ ] |
| c) Is the heat exchange system a once-through system that is subject to an NPDES permit with an allowable discharge limit of either 1 ppm or less or 10 percent or less above influent concentration? | Yes [ ] No [ ]<br>N/A [ ] |
| d) Is the heat exchange system a once-through system that is subject to an NPDES permit that requires all of the following:<br><br>• monitoring of a parameter(s) or condition(s) to detect a leak of process fluids into cooling water? | Yes [ ] No [ ]<br>N/A [ ] |
| • the normal range of the parameter or condition? | Yes [ ] No [ ]<br>N/A [ ] |
| • monitoring for the parameters selected as leak indicators on a quarterly or more frequent basis? | Yes [ ] No [ ]<br>N/A [ ] |
| • reporting the occurrence of leaks and fixing leaks? | Yes [ ] No [ ]<br>N/A [ ] |

**Section IX. Heat Exchange Systems**

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| e) Is the heat exchange system a recirculating system (i.e., a cooling tower system) that is used to cool process fluids that contain less than 5 percent by weight of total HAP listed in Table 4 of subpart F? | Yes [ ] No [ ] N/A [ ] |
| f) Is the heat exchange system a once-through system that is used to cool process fluids that contain less than 5 percent by weight of total HAP listed in Table 9 of subpart G? | Yes [ ] No [ ] N/A [ ] |
| **B. Monitoring**<br><br>1. Does the facility monitor the cooling water in a heat exchange system for the presence of one of the following indicators of a leak? (check the appropriate option).<br><br>[ ] Total HAP, total VOC, total organic carbon, one or more speciated HAP compounds listed on Table 4 of subpart F or Table 9 of subpart G, or other representative substances? | Yes [ ] No [ ] N/A [ ] |
| [ ] A surrogate indicator such as ion specific electrode monitoring, pH, conductivity, or other representative indicators? | Yes [ ] No [ ] N/A [ ] |
| 2. If the facility monitors for organic HAP or other representative substances, is the monitoring conducted as follows:<br><br>a) Is the cooling water monitored quarterly? (§§63.1252(c)(1) and 63.104(b)(1)) | Yes [ ] No [ ] N/A [ ] |
| b) Are samples collected at either of the following locations: (§63.104(b)(4))<br><br>• the entrance and exit of each heat exchange system, or | Yes [ ] No [ ] N/A [ ] |
| • at locations where the cooling water enters and exits each heat exchanger or combination of heat exchangers?<br><br>*Note*: Section 63.104(b)(4)(i) through (iii) defines the locations of the entrance and exit points. | Yes [ ] No [ ] N/A [ ] |
| c) Are a minimum of 3 sets of samples taken at each point, averaged, and corrected for the addition of any make-up water or for any evaporative losses, as applicable? (§63.104(b)(5)) | Yes [ ] No [ ] N/A [ ] |
| d) Is the concentration determined using any EPA-approved method listed in 40 CFR part 136 that is sensitive to concentrations as low as 10 ppm?<br><br>*Note*: A leak is detected if the exit concentration exceeds the value determined based on a statistical procedure described in §63.104(b)(6). | Yes [ ] No [ ] N/A [ ] |
| e) Is the same method of analysis used for both the entrance and exit samples? (§63.104(b)(3)) | Yes [ ] No [ ] N/A [ ] |

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| 3. If the facility monitors for a surrogate indicator of leaks, is the monitoring conducted as follows:<br><br>a) Did the facility prepare and implement a monitoring plan? (§63.104(c)(1)) | Yes [ ] No [ ] N/A [ ] |
| b) Does the monitoring plan include the following: (§63.104(c)(1)(i) through (iv))<br><br>• a description of the parameter or condition to be monitored? | Yes [ ] No [ ] N/A [ ] |
| • an explanation of how the parameter or condition indicates a leak? | Yes [ ] No [ ] N/A [ ] |
| • the parameter level(s) or condition(s) that constitute a leak, and documentation to support selection of the parameter(s) or condition(s)? | Yes [ ] No [ ] N/A [ ] |
| • the monitoring frequency (i.e., quarterly)? | Yes [ ] No [ ] N/A [ ] |
| • identification of the records that will be maintained? | Yes [ ] No [ ] N/A [ ] |
| c) Does the facility update the plan within 180 days of any substantial leak that is detected by methods other than those in the plan? (§63.104(c)(3)) | Yes [ ] No [ ] N/A [ ] |
| d) Does the facility maintain the current plan onsite or accessible within 2 hours? (§63.104(c)(3)) | Yes [ ] No [ ] N/A [ ] |
| e) If the facility has updated the plan, is the superseded plan retained for at least 5 years after its creation? (§63.104(c)(3)) | Yes [ ] No [ ] N/A [ ] |
| **C. Recordkeeping**<br><br>1. Does the facility retain the following records: (§63.104(f)(1))<br><br>a) Monitoring data that indicate a leak? | Yes [ ] No [ ] N/A [ ] |
| b) The date each leak was discovered? | Yes [ ] No [ ] N/A [ ] |
| c) The dates of efforts to repair leaks? | Yes [ ] No [ ] N/A [ ] |
| d) The method or procedure used to confirm repair of a leak? | Yes [ ] No [ ] N/A [ ] |
| e) The date repair was confirmed (and was it within 7 calendar days of repair or startup)? | Yes [ ] No [ ] N/A [ ] |
| 2. Does the facility retain the records for 5 years, and are records for the most recent 2 years onsite? (§63.1259(a)(1)) | Yes [ ] No [ ] N/A [ ] |

**Section X. Pollution Prevention**

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| **D. Reporting**<br><br>If the facility invoked the delay of repair provisions in §63.104(e) because a leak was not repaired within 45 days of detection, did the facility report the following in the periodic report: (§63.104(f)(2))<br><br>1. Presence of a leak and the date of detection? | Yes [ ] No [ ]<br>N/A [ ] |
| 2. Whether the leak has been repaired? | Yes [ ] No [ ]<br>N/A [ ] |
| 3. Reason for delay of repair? | Yes [ ] No [ ]<br>N/A [ ] |
| 4. Documentation of emission estimates, if necessary? | Yes [ ] No [ ]<br>N/A [ ] |
| 5. If the leak is unrepaired, the expected date of repair? | Yes [ ] No [ ]<br>N/A [ ] |
| 6. The date the leak was repaired? | Yes [ ] No [ ]<br>N/A [ ] |

**X. POLLUTION PREVENTION (P2) 40 CFR 63.1252**

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| **A. For facilities using 75% HAP emission reduction P2 plan Monitoring and Recordkeeping**<br><br>1. If the facility operates a batch or continuous process, do they have records to show the monthly HAP and VOC consumption factors on a rolling average basis? | Yes [ ] No [ ]<br>N/A [ ] |
| 2. If the facility operates a batch process, do they have records to show the annual HAP and VOC consumption factors of:<br><br>a) Every 10 batches for the 12-month period preceding the 10th batch? | Yes [ ] No [ ]<br>N/A [ ] |
| b) Every 5 batches if the number of batches is < 10 for the 12-month period preceding the 10th batch? | Yes [ ] No [ ]<br>N/A [ ] |
| c) Every year if the number of batches is less than 5 for the 12-month period preceding the 5th batch? | Yes [ ] No [ ]<br>N/A [ ] |
| 3. After reviewing the above records and comparing it to the established baseline values in the NOCSR, is this facility in compliance with its P2 plan? (See Checklist item III.D.4 for the pollution prevention demonstration summary, which must be submitted as part of the Precompliance Report.) | Yes [ ] No [ ]<br>N/A [ ] |
| **B. For facilities using 50% HAP emission reduction with 25% add-on control P2 plan Monitoring and Recordkeeping**<br><br>1. If the facility operates a batch or continuous process, do they have records to show the monthly HAP and VOC consumption factors on a rolling yearly average basis? | Yes [ ] No [ ]<br>N/A [ ] |

| | |
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| 2. For add-on control, verify operating monitoring parameters and determine compliance with the parameters established in the NOCSR. Is the facility in compliance? (See Checklist item III.D for Precompliance Report requirements) | Yes [ ] No [ ] |

## XI. GENERIC CHECKLIST ITEMS: EMISSION STREAMS ROUTED TO A CONTROL DEVICE

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| **A. Control Devices**<br><br>1. For a control device with total inlet HAP emissions <1 tpy is the device monitored daily to verify that it is operating properly?<br><br>*Note:* These "small" devices don't have to comply with the continuous parametric monitoring detailed below. If the control device is used to control process vents from batch processes alone or in combination with other streams, the verification may be on a per batch basis. The verification shall include, but is not limited to, daily or per batch demonstration that the unit is working as designed and may include any of the appropriate parameters indicated for specific devices below.<br><br>*Note*: This requirement is not applicable to control devices for which the facility is complying with the alternative standard. | Yes [ ] No [ ]<br>N/A [ ] |
| 2. All control devices for which a daily average of monitored parameters is calculated.<br><br>a) Are the devices operating continuously to receive emissions? | Yes [ ] No [ ]<br>N/A [ ] |
| b) If the device is not operating continuously to receive emissions, has the source installed a flow indicator on the inlet or outlet of the device to identify periods of no flow?<br><br>*Note:* Monitoring values taken during periods in which the control devices are not functioning in controlling emissions, such as during periods of no flow, shall not be considered in averages. (See Checklist item III.F.9) | Yes [ ] No [ ]<br>N/A [ ] |
| 3. Scrubbers<br><br>a) Is the minimum scrubber flowrate or pressure drop as identified on the Scrubber Data Sheet measured and recorded every 15 minutes during the period in which the scrubber is functioning in achieving the HAP removal as required by the rule? | Yes [ ] No [ ]<br>N/A [ ] |
| b) Is the minimum scrubber flowrate or pressure drop operated as specified on the Scrubber Data Sheet? | Yes [ ] No [ ]<br>N/A [ ] |
| c) Does the Scrubber use a caustic solution to remove acid emissions? | Yes [ ] No [ ]<br>N/A [ ] |
| d) If the answer is "yes" to question (c), is the pH within the range identified on the Scrubber Data Sheet? | Yes [ ] No [ ]<br>N/A [ ] |

**Section XI. Generic Checklist Items**

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| e) Is the monitoring device used to determine pressure drop certified by the manufacturer to be accurate within ± 10 percent of the maximum pressure drop measured? | Yes [ ] No [ ] N/A [ ] |
| f) Is the monitoring device used to determine scrubber liquid flowrate certified by the manufacturer to be accurate within ± 10 percent of the design scrubber liquid flowrate? | Yes [ ] No [ ] N/A [ ] |
| g) Is the monitoring device calibrated annually? | Yes [ ] No [ ] N/A [ ] |
| 4. Condensers<br>a) Is the maximum condenser outlet gas temperature measured and recorded every 15 minutes during the period in which the condenser is functioning in achieving HAP removal required by this subpart? | Yes [ ] No [ ] N/A [ ] |
| b) Is the condenser outlet gas temperature below the maximum temperature specified on the Condenser Data Sheet? | Yes [ ] No [ ] N/A [ ] |
| c) Is the temperature monitoring device certified by the manufacturer to be accurate to within ± 2 percent of the temperature in $^{o}$C or ± 2.5 $^{o}$C, whichever is greater? | Yes [ ] No [ ] N/A [ ] |
| d) Is the monitoring device calibrated annually? | Yes [ ] No [ ] N/A [ ] |
| 5. Regenerative Carbon Adsorbers<br>a) Is the regenerative carbon adsorber operated at the:<br>• minimum regeneration frequency? | Yes [ ] No [ ] N/A [ ] |
| • minimum bed temperature during regeneration? | Yes [ ] No [ ] N/A [ ] |
| • maximum cooling temperature during cooling phase? | Yes [ ] No [ ] N/A [ ] |
| • minimum regeneration stream flow as specified in the Regenerative Carbon Adsorber Data Sheet? | Yes [ ] No [ ] N/A [ ] |
| b) Is the cooling temperature measured within 15 minutes of the completion of the cooling phase? | Yes [ ] No [ ] N/A [ ] |
| c) Is the temperature monitoring device certified by the manufacturer to be accurate to within ± 2 percent of the temperature in $^{o}$C or ± 2.5 $^{o}$C, whichever is greater? | Yes [ ] No [ ] N/A [ ] |
| d) Is the regeneration stream flow monitor certified by the manufacturer to be accurate to within ± 10 percent of the established value? | Yes [ ] No [ ] N/A [ ] |
| e) Is the monitoring device calibrated annually? | Yes [ ] No [ ] N/A [ ] |
| f) Is the bed inspected annually per the manufacturer's specifications for bed poisoning? | Yes [ ] No [ ] N/A [ ] |

**Section XI. Generic Checklist Items**

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| 6. Nonregenerative Carbon Adsorbers<br>a) Is the maximum time interval between replacement monitored as specified on the Nonregenerative Carbon Adsorber Data Sheet? | Yes [ ] No [ ]<br>N/A [ ] |
| 7. Thermal Oxidizer/Incinerators<br>a) Is the minimum temperature of the gases exiting the combustion chamber measured and recorded once every 15 minutes during the period in which the Thermal Oxidizer/Incinerator is functioning in achieving the HAP removal required by this subpart? | Yes [ ] No [ ]<br>N/A [ ] |
| b) Is the temperature of the gases exiting the combustion chamber above the minimum temperature specified on the Thermal Oxidizer/Incinerator Data Sheet? | Yes [ ] No [ ]<br>N/A [ ] |
| c) Is the temperature monitoring device certified by the manufacturer to be accurate to within ± 0.75 percent of the temperature in $^{o}$C or ± 2.5 $^{o}$C, whichever is greater? | Yes [ ] No [ ]<br>N/A [ ] |
| d) Is the monitoring device calibrated annually? | Yes [ ] No [ ]<br>N/A [ ] |
| 8. Catalytic Oxidizers<br>a) Is the temperature immediately before and after the catalyst bed measured and recorded once every 15 minutes during the period in which the Catalytic Oxidizer is functioning in achieving the HAP removal required by this subpart? | Yes [ ] No [ ]<br>N/A [ ] |
| b) Is the temperature immediately before the catalyst bed above the minimum temperature as specified on the Catalytic Oxidizer Data Sheet? | Yes [ ] No [ ]<br>N/A [ ] |
| c) Is the differential temperature across the bed above the minimum differential as specified on the Catalytic Oxidizer Data Sheet? | Yes [ ] No [ ]<br>N/A [ ] |
| d) Is the temperature monitoring device certified by the manufacturer to be accurate to within ± 0.75 percent of the temperature in $^{o}$C or ± 2.5 $^{o}$C, whichever is greater? | Yes [ ] No [ ]<br>N/A [ ] |
| e) Is the monitoring device calibrated annually? | Yes [ ] No [ ]<br>N/A [ ] |
| 9. Process Heaters and Boilers<br>a) Are all of the vent streams introduced as primary fuel? **or** | Yes [ ] No [ ]<br>N/A [ ] |
| b) Is the design heat input capacity of the boiler or process heater greater than or equal to 44 MW?<br>If the answer is “no” to questions (a) **and** (b): | Yes [ ] No [ ]<br>N/A [ ] |
| c) Is the minimum temperature of the gases exiting the combustion chamber measured and recorded once every 15 minutes during the period in which the Process Heater or Boiler is functioning in achieving the HAP removal required by this subpart? | Yes [ ] No [ ]<br>N/A [ ] |
| d) Is the temperature monitoring device certified by the manufacturer to be accurate to within ± 0.75 percent of the temperature in $^{o}$C or ± 2.5 $^{o}$C, whichever is greater? | Yes [ ] No [ ]<br>N/A [ ] |

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| e) Is the monitoring device calibrated annually? | Yes [ ] No [ ] N/A [ ] |
| 10. CEMS<br>a) As an alternative to any of the parameters specified above, has the source opted to install CEMS to monitor and record one of the following:<br>• outlet HAP Concentration? **or** | Yes [ ] No [ ] N/A [ ] |
| • outlet TOC concentration and hydrogen halide and halogen concentration? | Yes [ ] No [ ] N/A [ ] |
| b) Does the facility know, based on process knowledge, that the emission stream does not contain hydrogen halide or halogens? | Yes [ ] No [ ] N/A [ ] |
| c) Does the facility measure and record outlet HAP concentration or both outlet TOC concentration and hydrogen halide and halogen concentration (if applicable) once every 15 minutes during the period in which the control device is functioning in achieving the HAP removal required by this subpart? | Yes [ ] No [ ] N/A [ ] |
| d) Does the CEMS meet the Performance Specifications 8 or 9 of appendix B of Part 60?<br>*Note:* The Performance Specifications 8 and 9 of appendix B of part 60 include methods for evaluating flame ionization, photoionization, nondispersive infrared absorption, and gas chromotography CEMS, respectively for TOC. The specifications include instructions on evaluating calibration drift and relative accuracy. | Yes [ ] No [ ] N/A [ ] |
| e) Is the CEMS installed, calibrated, and operated according to §63.8? | Yes [ ] No [ ] N/A [ ] |
| f) Does the facility conduct, at a minimum, quarterly gas cylinder audits? | Yes [ ] No [ ] N/A [ ] |
| **B. Monitoring for Alternative Standard**<br>1. Does the facility seek to comply through use of the alternative standard for process vents and/or storage tanks? | Yes [ ] No [ ] N/A [ ] |
| 2. Does the facility operate a TOC monitor meeting Performance Specification 8 or 9?<br>*Note:* The Performance Specifications 8 and 9 of appendix B of part 60 include methods for evaluating flame ionization, photoionization, nondispersive infrared absorption, and gas chromotography CEMS, respectively for TOC. The specifications include instructions on evaluating calibration drift and relative accuracy. | Yes [ ] No [ ] N/A [ ] |
| 3. Does the facility measure and record the outlet TOC concentration every 15 minutes during the period in which the device is functioning in achieving HAP removal required by the rule? | Yes [ ] No [ ] N/A [ ] |
| 4. Is the TOC monitor installed, calibrated, and maintained according to §63.8? | Yes [ ] No [ ] N/A [ ] |

**Section XI. Generic Checklist Items**

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| 5. If the facility does not monitor hydrogen halides or halogens, do they have process knowledge that the emission stream does not contain them? | Yes [ ] No [ ] N/A [ ] |
| 6. If supplemental gases are added to the vent streams or manifold before a combustion device, does the facility either:<br>a) Correct the concentrations to 3 percent oxygen (§63.1257(a)(3)(i))? or | Yes [ ] No [ ] N/A [ ] |
| b) Monitor the residence time and firebox temperature to maintain one of the following (§63.1258(b)(5)(ii)(A)):<br>*Note*: Monitoring of residence may be accomplished by monitoring flowrate into the combustion chamber.<br>• For combustion devices otherwise required to achieve a control efficiency of 95 percent or less, does the source maintain a temperature of greater than 760°C and a residence time of greater than 0.5 seconds? | Yes [ ] No [ ] N/A [ ] |
| • For combustion devices otherwise required to achieve a control efficiency of 98 percent, does the source maintain a temperature of greater than 816°C and a residence time of greater than 0.75 seconds? | Yes [ ] No [ ] N/A [ ] |
| 7. If supplemental gases are added to the vent stream or manifold before a noncombustion device, does the facility either:<br>a) Correct the concentrations for supplemental gases using Equation 7B in §63.1257(a)(3)(ii)? or | Yes [ ] No [ ] N/A [ ] |
| b) If the facility has a "dense gas system," monitor the system flowrate and correct the concentrations using Equation 63 in §63.1258(b)(5)(ii)(B)(1)? | Yes [ ] No [ ] N/A [ ] |
| **C. Exceedances of Operating Parameters**<br>1. Does the facility have any parameters, that when averaged over the period identified in the NOCSR (24-hour or block average) are below the minimum values indicated on the appropriate data sheet? | Yes [ ] No [ ] N/A [ ] |
| 2. Does the facility have any parameters, that when averaged over the period identified in the NOCSR (24-hour or block average) are above the maximum values indicated on the appropriate data sheet? | Yes [ ] No [ ] N/A [ ] |
| **If the answer to either question C.1 or C.2 is yes, the facility has an exceedance for each instance.**<br>*Note:* If the facility has an exceedance, see the Periodic Report to see if it has been recorded. | |
| **D. Excursions of Operating Parameters** (See Checklist item III.G.5, 6 and 7)<br>1. For a facility with 4 hours or greater in an operating day, does the facility have sufficient data to constitute a valid hour for at least 75 percent of the operating hours? | Yes [ ] No [ ] N/A [ ] |

| | |
|---|---|
| 2. For a facility with less than 4 hours in an operating day, does the facility have sufficient data to constitute a valid hour for at least 3 hours? | Yes [ ] No [ ] N/A [ ] |

**If the answer to either question D.1 or D.2 is no, the facility has an excursion for each instance.**

*Note:* Monitoring data are considered insufficient to constitute a valid hour of data if measured values are unavailable for any of the required 15-minute periods within the hour. This notwithstanding, a facility may not have continuous data and still be in compliance if they have corresponding records indicating no flow to the control device. In accordance with §63.8(c)(4), certain periods of CEMS downtime are not considered excursions. (See Checklist item III.F.6 and 7 for Periodic reporting requirements)

**E. Control Device Data Sheets**

Data sheets follow.

DATA SHEET
for
Catalytic Oxidizer

Facility Name: _____

Inspector: _____ Date: _____

Equipment ID #: _____

Process Name: _____

Operating Scenario: _____

Batch #: _____

Note: A 20 ppmv "alternative standard" for processes or tanks is a compliance option and should reflect the appropriate monitoring requirements.

| Data from | Temperature before the catalyst bed, in F° or C°[1] | Temperature after the catalyst bed, in F or C°[2] | Temperature differential across the bed [4] |
|---|---|---|---|
| NOCSR[3] | | | |
| Operating | | | |
| Difference | | | |
| Excursion | Yes___ No___ | Yes___ No__ | Yes___ No__ |

Are the Continuous Monitoring Devices calibrated annually? Yes___ No__

[1,2&4] Must have the same units

[3]Minimum temperature is established and reported in the NOCSR

DATA SHEET
for
Thermal Incinerator

Facility Name: _____

Inspector: _____ Date: _____

Equipment ID #: _____

Process Name: _____

Operating Scenario: _____

Batch #: _____

Note: A 20 ppmv “alternative standard” for processes or tanks is a compliance option and should reflect the appropriate monitoring requirements.

| Data from | Gas temperature exiting combustion chamber in F° or C° [1] |
|---|---|
| NOCSR[2] | |
| Operating | |
| Difference | |
| Excursion | Yes___ No___ |

Is the Continuous Monitoring Device calibrated annually? Yes___ No__

[1]Must have the same units

[2]Minimum temperature of the gases exiting the combustion chamber is established and reported in the NOCSR

DATA SHEET
for
Water or Other Scrubber

Facility Name: _____

Inspector: _____ Date: _____

Equipment ID #: _____

Process Name: _____

Operating Scenario: _____

Batch #: _____

Circulating medium: Water or other (specify) _____

Note: A 50 ppmv "alternative standard" for processes or tanks is a compliance option and should reflect the appropriate monitoring requirements.

| Data from | Liquid flow rate, in gpm | Pressure drop, in inches of W.C. | Specify other parameter |
|---|---|---|---|
| NOCSR[1] | | | |
| Operating | | | |
| Difference | | | |
| Excursion | Yes___ No___ | Yes___ No__ | Yes__ No __ |

Are the Continuous Monitoring Devices calibrated annually? Yes___ No__

[1] Minimum liquid flow rate and minimum pressure drop and/or other parameters are established and reported in the NOCSR

DATA SHEET
for
Caustic Scrubber

Facility Name: _____

Inspector: _____ Date: _____

Equipment ID #: _____

Process Name: _____

Operating Scenario: _____

Batch #: _____

Circulating medium: Caustic

Note: A 50 ppmv "alternative standard" for processes or tanks is a compliance option and should reflect the appropriate monitoring requirements.

| Data from | Liquid flow rate, in gpm | Pressure drop, in inches of W.C. | pH of effluent scrubber liquid |
|---|---|---|---|
| NOCSR[1] | | | |
| Operating | | | |
| Difference | | | |
| Excursion | Yes___ No__ | Yes___ No__ | Yes___ No___ |

Are the Continuous Monitoring Devices calibrated annually? Yes___ No__

[1] Minimum liquid flow rate, minimum pressure drop and a pH range are established and reported in the NOCSR

DATA SHEET
for
Non-Process Condenser

Facility Name: _____

Inspector: _____ Date: _____

Equipment ID #: _____

Process Name: _____

Operating Scenario: _____

Cooling Medium: _____

Batch #: _____

Note: A 50 ppmv "alternative standard" for processes or tanks is a compliance option and should reflect the appropriate monitoring requirements.

| Data from | Outlet gas temperature in, F° or C° |
|---|---|
| NOCSR[1] | |
| Operating | |
| Difference | |
| Excursion | Yes___ No___ |

Is the Continuous Monitoring Device calibrated annually? Yes___ No__

[1]Maximum condenser outlet gas temperature is established and reported in the NOCSR

DATA SHEET
for
Regenerative Carbon Adsorber

Facility Name: _____

Inspector: _____ Date: _____

Equipment ID #: _____

Process Name: _____

Operating Scenario: _____

Batch #: _____

Note: A 50 ppmv "alternative standard" for processes or tanks is a compliance option and should reflect the appropriate monitoring requirements.

| Data from | Regeneration frequency, operating time[1] | Bed temperature during heating cycle, F° or C° [2] | Bed temperature during cooling cycle, F° or C° [3] | Regenerative stream flow, lb/hr[4] |
|---|---|---|---|---|
| NOCSR[5] | | | | |
| Operating | | | | |
| Difference | | | | |
| Excursion | Yes___ No___ | Yes___ No___ | Yes___ No___ | Yes___ No___ |

Are the Continuous Monitoring Devices calibrated annually? Yes___ No__

[1,2,3&4] Must have the same units

[5]Minimum regeneration frequency, minimum bed temperature during heating cycle, maximum bed temperature during cooling cycle, and minimum regeneration stream flow are established and reported in the NOCSR

DATA SHEET
for
Non-Regenerative Carbon Adsorber

Facility Name: _____

Inspector: _____ Date: _____

Equipment ID #: _____

Process Name: _____

Operating Scenario: _____

Batch #: _____

Note: A 50 ppmv "alternative standard" for processes or tanks is a compliance option and should reflect the appropriate monitoring requirements.

| Data from | Length of operating time between replacements |
|---|---|
| NOCSR[1] | |
| Operating | |
| Difference | |
| Excursion | Yes___ No___ |

[1]Maximum time interval between replacements of the carbon bed is established and reported in the NOCSR

DATA SHEET
for
Steam Stripper

Facility Name: _____

Inspector: _____ Date: _____

Equipment ID #: _____

Process Name: _____

Operating Scenario: _____

| Data from | Maximum water flow rate, in gpm | Steam/feed ratio |
|---|---|---|
| NOCSR[1] | | |
| Operating | | |
| Difference | | |
| Excursion | Yes___ No___ | Yes___ No___ |

[1]Base line parameters established and reported in the NOCSR