



BAY AREA
AIR QUALITY
MANAGEMENT
DISTRICT

COMPLIANCE & ENFORCEMENT

Policies and Procedures
Reportable Compliance Activity (RCA)
Program

Effective: October 27, 2021
Supersedes: CEM, GLM and Mobile Monitor
Guidelines - July 15, 1998, and
Breakdown Guidelines – September 15, 1998

Approved by:

A handwritten signature in black ink that reads "Jeff Gove". The signature is written in a cursive, slightly slanted style.

Jeff Gove
Director, Compliance and Enforcement

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Purpose

This document sets the standard work practices to be used by inspection staff for Reportable Compliance Activities (RCAs). It supersedes any previous Compliance and Enforcement (C&E) policies and procedures for the RCA Program except for those incorporated via reference. It is intended to comply with the objective of the Bay Area Air Quality Management (Air District) to provide a safe and healthy environment for all its employees.

If you have questions or need additional clarification for any of these inspection guidelines and work practices, contact your Supervising Air Quality Specialist and/or Manager.

Introduction

A Reportable Compliance Activity, or RCA¹, is an umbrella term that combines six distinct reporting categories required by Air District regulations.

These categories include the following:

- Requests for Breakdown Relief (Breakdown)
- Excess emissions indicated by a continuous emission monitor {CEM} (CEM excess)
- Area Concentration excesses indicated by a ground level monitor {GLM} (GLM excess)
- Inoperative Air District required monitors (Inoperative Monitor)
- Parametric monitor excursions
- Pressure relief device {PRD} releases (PRD releases)

Regulated facilities are required to report such events and releases to the Air District, as per Air District Regulations and/or Permit Conditions, to ensure public safety and attainment of air pollution standards.

The guidelines in this document are intended to handle events that have impacts on local and regional air pollution and may result in Air District enforcement actions applied to regulated facilities for excess emissions and/or public nuisance violations.

Air District staff shall endeavor to investigate every RCA to the extent necessary to allow the Air District to protect public health. RCAs are an important part of the daily workload of an Air District Inspector. It is essential that RCA investigations and processing be handled in a prompt, efficient and professional manner. Inspection staff shall maintain a cooperative but objective attitude, proper of an investigator.

Program Objective

The objective of the RCA Program is to ensure that reportable compliance activities are documented, tracked, and investigated in an efficient manner at the highest level of quality and integrity.

¹ RCAs were previously called Episodes

Definitions

BREAKDOWN

A breakdown is any unforeseeable failure or malfunction of any air pollution control equipment or operating equipment which causes a violation of any emission standard or limitation prescribed by Air District, California or federal rules, regulations, or laws, where such failure or malfunction:

- Is not the result of intent, neglect, or disregard of any air pollution control law, rule or regulation;
- Is not the result of improper maintenance;
- Does not constitute a nuisance;
- Is not an excessively recurrent breakdown of the same equipment.

(Air District Regulation 1, Section 208)

CONTINUOUS EMISSION MONITOR (CEM)

Monitoring equipment required by regulation and approved by the Air District's Meteorology and Measurements (M&M) Division to continuously sample, analyze, measure, and provide, by means of readings recorded, a permanent record of sulfur dioxide (SO₂), oxides of nitrogen (NO_x), carbon dioxide (CO₂), or oxygen (O₂) emissions or concentrations, stack gas volumetric flow rate or opacity as referenced in Air District Regulation 1-520 (Regulation 1-520).

CEMs provide a direct measurement at point sources and must be installed pursuant to the Air District Manual of Procedures, Volume V, "Continuous Emission Monitoring Policy and Procedures," as referenced in Regulation 1-602.

A list of current of Air District-approved CEMs can be found at: <P:\Techdata\SourceTest\Review Memos\CEMS Inventory Current.xlsx>

GROUND LEVEL MONITOR (GLM)

Monitors required by regulation to continuously record area concentrations of specified pollutants (Hydrogen Sulfide, Sulfur Dioxide or Lead) at facility boundaries.

GLMs must be installed pursuant to the Air District Manual of Procedures, Volume VI, "Air Monitoring Procedures," as referenced in Regulation 1-602. A list of Air District-approved GLMs can be found at: <H:\Enforcement\GLM Tracking\GLM Sites.xlsx>

PARAMETRIC MONITOR

Any monitoring device or system required by an Air District permit condition or regulation to monitor the operational parameters of either a source or an abatement device. Parametric monitors may record temperature, gauge pressure, flowrate, pH, hydrocarbon breakthrough or other factors.

(Air District Regulation 1, Section 238)

PRESSURE RELIEF DEVICE (PRD)

The automatic pressure-relieving device for discharges of material that prevents safety hazards, prevents pressures from exceeding the maximum allowable working pressure of the operating process equipment, or prevents equipment damage. Such devices include, but are not limited to, pressure relief valves, emergency de-pressuring vents and rupture disks.

(Air District Regulation 8, Rule 28, Section 208)

Policy Details

RCA Types

1. BREAKDOWN

A malfunction of air pollution control equipment causing a violation of emission standards. The APCO may refrain from enforcing the provisions of District regulations for excesses of emissions resulting from the breakdown of air pollution abatement equipment or operating equipment provided such emissions do not interfere with the attainment or maintenance of any national or California ambient air quality standard and further provided that the persons responsible for such emissions comply with the administrative requirements of Regulations 1-431 and 432.²

(Air District Regulation 1, Section 112)

2. CEM EXCESS

Any indicated excess of any emission standard to which the source is required to conform, as indicated by the monitor, shall be reported to the APCO within 96 hours after such occurrence. The report shall include the nature, extent, and cause.

(Air District Regulation 1, Section 522.7)

3. GLM EXCESS

Excesses of air pollutant levels over limits prescribed in District regulations recorded on instruments required pursuant to Area Monitoring (Regulation 1-510) shall be reported to the APCO within the next normal working day following the examination of data made pursuant to Area Monitoring Data Examination (Regulation 1-540).

(Air District Regulation 1, Section 542)

4. INOPERATIVE MONITOR

A period for which a parametric monitor, CEM or GLM fails to measure or record data. This includes periods for which the monitor failed a required calibration, rendering the data recorded from the last valid calibration, as invalid or null and void.

(Air district Regulation 1, Sections 522.4, 523.2, and 530)

5. PARAMETRIC MONITORING EXCURSIONS

An indication, via parametric monitor, that a permitted source or abatement device has operated in violation, outside of the limits required in Air District permit conditions or regulations and resulted in excess emissions of air pollutants.

(Air District Regulation 1, Section 523)

6. PRD RELEASES

Any indication of a Release Event at a petroleum refinery or chemical plant, by an automatic pressure-relieving device, for discharges of material that prevents safety hazards, prevents pressures from exceeding the maximum allowable working pressure of the operating process equipment or prevents equipment damage. Such devices include, but are not limited to, pressure relief valves, emergency de-pressuring vents and rupture disks.

(Air District Regulation 8, Rule 28)

² Per Reg 1-431 persons seeking breakdown relief shall notify the Air District *immediately*, with due regard to public safety. Notifications made the following day, or after the shift in which they occurred, may not be eligible for breakdown relief.

RCA Receipt from Facility

There are several options available for a facility operator to report an RCA, as described below. The information needed by the Air District can be found on the RCA Notification Form available on the Air District website at:

<https://www.baaqmd.gov/forms/compliance-forms>

1. Received via E-Mail:
RCAs reported on the Air District's C&E Division e-mail at rca@baaqmd.gov are received by the Air District's Communication Center (Dispatch) 24 hours a day, 7 days a week.
2. Received via Telephone During Staffed Business Hours (Core Hours):
RCAs called in on the Air District's C&E Division telephone line at (415) 749-4949 are received by Dispatch between 7:30am and 6:00pm, Monday through Friday.
3. Received via Telephone After Hours on Breakdown Line (Non-Core Hours):
Breakdowns called in on the Air District's After-Hours Breakdown telephone line at (415) 749-4666 are received during weekday non-business hours and weekends.
4. Received by An Air District Inspector (Inspector):
When an RCA is received by an Inspector, the Inspector shall instruct the facility contact to report the event via the Air District's C&E Division e-mail or telephone lines.

In some cases, a facility might make a procedural error when reporting an RCA. An example of this is when a facility requests breakdown relief in accordance with Regulation 1, provides all the required information for a breakdown and an indicated excess, receives a breakdown number; however, fails to check the box or receive an indicated excess number. In these situations, the inspector should verify that the breakdown was associated with a CEM/GLM or Parametric excess by reviewing the request and work with operations staff to rectify the situation.

When these minor procedural offenses occur, the inspector should instruct the company on proper RCA reporting procedures. However, if a facility demonstrates a repetitive pattern and reluctance to follow procedures the inspector should consult with their Supervising and Manager as to the appropriate course of action.

RCA Dispatch

1. Logging and Dispatching RCAs
RCAs are entered into an Air District computer program and database and assigned a unique reference number (RCA#). The RCA is dispatched by a radio telephone operator (RTO) to the assigned area Inspector or backup via email. The RCA# will be provided to the reporting facility by the RTO and can be used to track the progress, actions taken and final resolution of the RCA.
2. Duplicate RCAs
Sometimes RCAs received by the Air District are duplicates of an existing event and may result in the inadvertent creation of a separate RCA#. In these cases, the Inspector must notify both his/her Supervising Air Quality Specialist and Dispatch of the duplicate RCA so that it can be properly voided within the database.

3. RCA Cancellation

Historically, when the C&E Division allowed cancellations of RCAs, the provision was abused by certain facilities. To avoid this scenario the C&E Division will not cancel any reported RCA.

RCA Field Response Guidance

When responding to RCAs, an Inspector shall follow these response guidelines to ensure that his/her investigations are timely and thorough:

Breakdowns: The Inspector shall commence his/her investigation the same day the RCA was received from Dispatch, or the next working day when received near the end of the work shift.³ The goal is to observe and document any ongoing violations.

CEM / GLM / Parametric / PRD Excesses associated with Breakdowns: The Inspector shall commence his/her investigation the same day the RCA was received from Dispatch, or the next working day when received near the end of the work shift. Again, the goal is to observe and document any ongoing violations.

CEM / GLM / Parametric / PRD Excess (non-Breakdown): The Inspector shall commence his/her investigation within one week of receipt of the RCA; however, if the event is ongoing, the inspector shall commence his/her investigation using the breakdown response guideline. The goal of inspection staff is to have CEM / GLM Charts submitted for technical evaluation within 10 working days of initial receipt from Dispatch.

Procedures

RCA Investigation

A thorough, prompt investigation of an RCA is integral to determining the appropriate enforcement actions (if any) to be taken by an Inspector. Upon receipt of the RCA, the Inspector should evaluate whether it was reported in accordance with the time submittal thresholds specified in Air District Regulation 1 (Table 1). Depending on the type of RCA reported, the investigation shall proceed using the following procedures:

Breakdowns

Upon receipt of a Breakdown RCA, the Inspector shall report in person to the facility to investigate the alleged breakdown condition and document any ongoing violations, such as visible emission violations in progress.

Follow-up site visits may be conducted, as necessary, to obtain enough evidence to support final action. The Inspector is expected to conduct a prompt and thorough investigation and not rely on a “reporting facility’s”, 30-day Breakdown report for determining breakdown relief eligibility.

Investigative questions to answer include, but are not limited to:

1. What broke or malfunctioned? What were the emissions (type and quantity)? And when was the event reported?

³ Ongoing violations and active complaints take precedent in determining response priority. Inspectors should exercise judgement and consult their supervisor in situations involving multiple high priority events.

2. When and how did the operator become aware of the breakdown condition?
3. Was the breakdown the result of an action taken by the operator or operator error?
4. Prior to the breakdown, was the air pollution control or operating equipment properly maintained?
 - Were there maintenance logs available or a planned maintenance schedule? What was the manufacturer's recommended maintenance schedule? What was the useful life of the piece of equipment?
5. Were repairs made in an expeditious manner? Was overtime or off-shift labor utilized?
 - Understanding how the facility fixed or intended to fix the problem may uncover important details necessary for determining whether breakdown relief can be granted.
6. Were emissions minimized as to amount and/or duration, and how?
7. Was the breakdown part of a recurring pattern indicative of inadequate design, operation, or maintenance?
8. If the equipment is an abatement device, what sources were controlled by it, and what sources were in operation at the time of the breakdown?
9. Are there ongoing violations?

When applicable, the Inspector shall utilize every means possible to document the violation, including, but not limited to, taking a plume evaluation reading, toxic vapor analyzer (TVA) reading, verifying a source of odor, obtaining charts, records or other observations and documents. Inspectors shall also research the breakdown history for the facility via the Production System, On Base, etc., in determining whether the event is excessively recurrent.

With regard to "excessively recurrent" – facilities are required to take reasonable measures to prevent events of non-compliance from repeating. If an event repeats and no evidence of any measures were taken to prevent it, Inspectors should regard this as excessively recurrent. Further, multiple occurrences (more than 2) of the same event should generally be regarded as excessively recurrent. When in doubt, consult with your supervisor.

When it is not possible to determine excessive emissions, collect enough data for technical evaluation.

In those cases where emissions have ceased or could not be confirmed, contact with plant staff will still be required.

Parametric, CEM and GLM Excesses

Upon receipt of an RCA indicated Excess, the Inspector shall report in person to the facility as outlined below, to obtain necessary chart/monitor data and other information for determining final action.

Follow-up site visits may be conducted, as necessary, to obtain enough evidence to support final action.

CEM and GLM excesses:

- The Inspector shall report to the facility to obtain a copy of the chart/monitoring data and conduct an investigation.
- The Inspector will not be responsible for evaluating CEM or GLM data for an event reported. That function will be performed by the Air District's M&M Division staff.

- The goal for Compliance and Enforcement is to have all necessary charts or monitoring data submitted to the M&M Division for evaluation within 10 working days of initial receipt from dispatch. A narrative report is not required for M&M review; however, the CEM excess report (Example 2) will be attached to the records submitted. The recommended action is to be filled out after receiving the interoffice memorandum evaluation of monitor data back from M&M.
- The Inspector will determine the recommended action⁴ for the CEM/GLM Excess within 1 week of receiving the evaluated CEM/GLM Excess back from the M&M Division.

Parametric Excesses:

- An Inspector will collect and evaluate monitoring data and verify that excess emissions occurred. Unlike CEM and GLM data, these data are not sent to the M&M Division. Air Quality Inspectors are responsible for evaluating monitor data and determining violations.
- For purposes of determining a violation, the Inspector will obtain from the facility the manufacturer's range of error for the monitor and apply that error to the reading. If the facility cannot obtain the manufacturer's specification, then the actual readings recorded shall be used to determine if a violation occurred. It is the company's responsibility to know the range of error of their monitor in order to comply with Air District Regulations.

Investigative questions to answer include but are not limited to:

1. What were the emissions? What caused the emissions? When was the event reported?
2. When and how did the operator become aware of the excess emissions?
3. Prior to the excess was the air pollution control or operating equipment properly maintained?
4. Were repairs made in an expeditious manner? Was overtime or off-shift labor utilized?
5. Were emissions minimized as to amount and/or duration, and how?
6. Were emissions part of a recurring pattern indicative of inadequate design, operation, or maintenance?
7. If the equipment is an abatement device, what sources were abated by it, and were the sources in operation at the time of the breakdown?
8. Are there ongoing violations?

When applicable, the Inspector shall utilize every means possible to document the violation, including, but not limited to, taking a plume evaluation reading, TVA reading, verifying a source of odor, obtaining charts, records or other observations and documents.

In those cases where emissions have ceased or could not be confirmed, contact with plant staff will still be required and the applicable RCA report must be filled out.

Further examples of investigation questions are listed in Table 2 at the end of this document.

⁴ The "Recommended Action" is found on the bottom of the CEM excess report cover sheet. See the "Recommended Action" section on page 9 for further guidance.

Inoperative Monitors

Upon receipt of the Inoperative Monitor (Inop), the Inspector will review the information received to ensure compliance with applicable sections of Regulation 1-522 for CEMs and Regulation 1-523 for Parametric Monitors.

Follow-up site visits and requests for records may be conducted, as necessary, to obtain enough evidence to support final action.

Air Quality Inspectors are not required to complete an RCA report. For Inops found in violation of regulation 1-522 or 523, the NOV report shall be sufficient.

Investigative questions to answer include but are not limited to:

1. When was the event reported? Was the event reported on time?
2. How long was the monitor inoperative?
3. Was the Inop repaired within the timeframe prescribed in Regulation 1-522 or 523?
4. Were there any plant upsets or malfunctions during the Inop period?
5. Was the Inop due to a malfunction? Was it part of a recurring pattern indicative of inadequate design, operation, or maintenance?
6. Are there ongoing violations?

When applicable, the Inspector shall utilize every means possible to document an indicated violation, including obtaining charts, records or other observations and documents.

When it is not possible to determine compliance, collect enough data for technical evaluation.

In those cases where an indicated violation has ceased or could not be confirmed, contact with plant staff will still be required and the applicable RCA report must be written.

Further examples of investigation questions are listed in Table 2 at the end of this document.

Pressure Relief Device (PRD) Releases (Release Event)

Upon receipt of a Release Event, the Inspector shall report to the facility as outlined in the RCA field response guidance section of this policy. The inspector shall obtain the necessary information to determine compliance with Air Regulation 8, Rule 28 – Episodic Releases from Pressure Relief Devices at Petroleum Refineries and Chemical Plants.

Follow-up site visits and requests for records may be conducted, as necessary, to obtain sufficient evidence to support recommended action. The inspector is expected to conduct a prompt and thorough investigation and not rely on a “reporting facility’s”, 30-day PRD report for the event details. This investigation shall include an inspection per Reg 8-18 to ensure the PRD is re-set and not leaking.

Investigative questions to answer include but are not limited to:

1. Was the Release Event reported in accordance with Regulation 8-28-401?

2. Prior to the Release Event, was the PRD inspected in accordance with Regulation 8-28-402?
3. Are there prevention measure records to demonstrate compliance with the standards in Regulation 8-28-303 and 8-28-405?
4. Was the Release Event due to a malfunction? Was it part of a recurring pattern indicative of inadequate design, operation, or maintenance?
5. Are there ongoing violations?

When applicable, the Inspector shall utilize every means possible to document an indicated violation, including TVA readings, verifying a source of odor, obtaining charts, records or other observations and documents.

When it is not possible to determine excessive emissions, collect enough data for Engineering Division evaluation.

Recommended Action

At the completion of the investigation, the Inspector will render a recommended action. Note, for an RCA requiring CEM/GLM or data evaluation by another division, the investigation cannot be completed until the evaluation is returned to the Inspector. Once the investigation has been completed it should take no longer than 1 week to render a recommended action and submit the RCA report to his/her Supervisor.

If a facility has provided all appropriate documentation required per Regulation 1 to determine compliance with Air District Regulations, it is C&E Division policy not to issue an NOV for a procedural violation. An example of this is when a facility requests breakdown relief in accordance with Regulation 1, provides all the required information for a breakdown and an indicated excess, receives a breakdown number; however, fails to check the box or receive an indicated excess number. The inspector should not issue an NOV for failing to report the excess within 96 hours, even if an NOV is recommended by the Technical Division. Upon requesting breakdown relief, the company is reporting a possible violation (or excess) and therefore “notifying” the District within 96 hours.

The following ‘recommended actions’ for each RCA type will be determined by the Inspector.

Breakdowns

Breakdown recommendations by the Inspector will not be finalized until the Inspector reviews the facility’s 30-day breakdown report required in Regulation 1-432. Additionally, for Title V facilities the 10- and 30-day deviation reports need to be reviewed by the Inspector prior to a recommendation for denial or relief. For Breakdowns associated with CEMs, the Inspector shall obtain the charts from the facility and submit them to the M&M Division for evaluation within 10 working days of initial receipt from dispatch. Every effort shall be made as not to impede the process of receiving an evaluation by M&M Division staff to determine if the indicated excess resulted in an actual violation. Facilities are required to calculate excess mass emissions in their 30-day report, per the [Breakdown Excess Emission Calculation Compliance Advisory](#) from December 3, 2004.

1. Denial

The Inspector will deny relief if any of the following conditions exist:

- a. The breakdown is the result of intent, negligence, or disregard of air pollution control regulations.

- b. The breakdown is the result of improper maintenance.
- c. The breakdown creates a public nuisance.
- d. The breakdown is caused by an excessively recurrent breakdown of the same equipment⁵.
- e. The breakdown occurs, and the emissions interfere with attainment or maintenance of any federal or California air quality standard.
- f. The breakdown was reported late (not called in immediately⁶), or the 30-Day Report was not received or received late.

If the breakdown is recommended for denial, a Notice of Violation (NOV) will be issued citing the regulation or permit condition violated, not the breakdown sections in Regulation 1. The basis for denial will be discussed with the plant contact upon issuance and identified in the NOV report.

If no written breakdown report is received from the facility within 30-days of the breakdown request, the Inspector should recommend denial where a violation was documented. As a compliance assistance gesture, the Inspector can contact the facility to remind it of the 30-day written breakdown report requirement.

2. Relief

If the Inspector is able to clearly establish that the reporting facility has not triggered any of the of the above criteria for breakdown denial, the Inspector may recommend granting breakdown relief.

Breakdown Relief is only good up to the end of the production run or 24-hours, whichever is sooner.

(Air District Regulation 1, Section 113)

When breakdown relief is granted, no further action will be taken on confirmed CEM, GLM, and parametric excesses found in violation of regulatory limits.

Process Upsets are not eligible for Breakdown Relief.

3. Variance in Effect

This situation would apply to either an already-existing variance or a newly approved emergency variance. It is effectively the same as breakdown relief with the exception that the variance grants relief beyond the 24-hour limit for breakdowns. If there is a variance in effect, inspectors will mark the checkbox and record the docket number on the breakdown investigation form.

Enforcement support of a variance request should meet the same criteria as establishing breakdown relief. In other words, if the Inspector has obtained evidence that is enough to deny the breakdown, the variance request should not be supported.

4. Not Applicable / No Further Action

This determination applies when the Inspector is unable to verify or establish that a violation occurred.

⁵For guidance on excessively recurrent, refer to the Procedures section on Breakdowns of this policy (page 6).

⁶As a rule of thumb, A person seeking breakdown relief shall notify the APCO of the breakdown condition immediately, with due regard for public safety meaning breakdowns should be filed as soon as practicably possible. Breakdown relief is only applicable for up to 24 hours, therefore, with minimal exceptions, breakdowns reported 24 hours after the initial event are ineligible for relief. Inspectors shall consult their supervisor in situations where late reporting is in question.

Inspectors shall not use this determination in situations where excess emissions have been demonstrated by a parametric monitor, CEM, or GLM.

Parametric, CEM and GLM Excesses

1. Violation

An Inspector shall recommend and issue an NOV when investigation and evaluation of a monitor excess established that a violation of any applicable federal, state, local air pollution regulation and/or permit condition occurred.

Applicable violations include reporting requirements per Air District Permit Conditions (Regulation 2-1-307), Title V – General Requirements (Regulation 2-6-307), and Reg. 1-522 or Reg. 1-523. When a site late reports an indicated excess and the indicated excess does not result in a violation of the standard, because the excess is within range of error for the monitor, staff should issue an NOV for late reporting. However, if a site late reports an indicated excess and the indicated excess does not result in a violation due to a malfunctioning monitor, interference of steam, or another type of false reading, staff should issue an NTC.

2. No Further Action

If the investigation is unable to establish a violation of the regulations, or if an associated breakdown is granted relief, the Inspector will recommend that “no further action” (NFA) be taken for the event reported.

Inoperative Monitors

1. Violation

An Inspector shall recommend and issue an NOV when investigation and evaluation of an Inop established the occurrence of a violation of any applicable federal, state, local air pollution regulation and/or permit condition.

Applicable violations include reporting requirements per Air District Permit Conditions (Regulation 2-1-307), Title V – General Requirements (Regulation 2-6-307), and Reg. 1-522, Reg 1-523, or Reg. 1-530.

2. No Further Action

If the investigation is unable to establish a violation of the regulations, the Inspector shall take NFA for the event reported.

NFA’s for Inops do not require documentation or a written report.

Per Regulation 1, Section 522.4, “Adequate proof of expeditious repair shall be furnished to the APCO for downtime in excess of fifteen consecutive days.” Inspectors should review records indicating that the repair was completed expeditiously and that the CEM was returned to service as soon as practicable.

PRDs

1. Violation

An Inspector shall recommend and issue an NOV when the investigation and evaluation of a release event established the occurrence of a violation of any applicable federal, state, local air pollution regulation and/or permit condition.

2. No Further Action

If the investigation is unable to establish a violation of the regulations, the Inspector shall recommend that no further action be taken for the event reported.

RCA Reports

The Inspector will fill out the appropriate RCA Form, ensuring that any inaccurate information dispatched is corrected on the cover sheet. It should be noted that RCA investigation forms do not require a narrative report.

RCAs mistakenly reported or entered under the wrong category (Parametric Excesses reported as CEMs, etc.) shall be corrected and the Inspector is responsible for notifying dispatch and the area Supervising Air Quality Specialist of the error as soon as possible.

Upon filling out the report form, the Inspector will provide sufficient detail in each of the required fields such that compliance or non-compliance is easily discernable. The Inspector shall indicate in the “Additional Investigation Details” section of the report whether an M&M evaluation occurred.

If the documentation includes any records, clearly identify what the records are and how they relate to the event in the “Additional Investigation Details” and attach the records to the end of the report.

An RCA report will be submitted even when the investigation determines that no excessive emissions have been recorded.

For breakdown reports, the Supervising Air Quality Specialists should review the Inspector’s recommendation and, if they concur, sign at the bottom of the form and enter any comments, as necessary.

NOV Issuance and Reports

All report recommendations require concurrence of the area Supervising Air Quality Specialist before an NOV is prepared and issued by the Inspector. The RCA report will be the basis for the NOV documentation and shall be submitted as soon as possible after completion of the investigation.

Upon endorsement of the recommended NOV by the Supervising Air Quality Specialist, the Inspector shall issue the NOV to the facility. Unless otherwise prevented by unforeseen circumstances, the Inspector shall issue the NOV within 10 days of receiving authorization from the Supervising Air Quality Specialist.

A copy of RCA reports associated with NOVs shall be attached and submitted with the NOV report. The original RCA report shall be submitted separately.

****Inspectors need to remember to “link” associated RCAs to the NOV when reporting the NOV issuance to Dispatch.***

RCA Forms

Breakdown reports shall always be accompanied by the appropriate excess form, if applicable. (Example: CEM, Parametric, GLM, PRD, etc.)

CEM and GLM reports shall be accompanied by M&M Division evaluation and recommendation forms/sheets. (see example in appendix)

All reports shall include pertinent data/charts/pictures documenting events as accurately and clearly as possible.

If an NOV is issued, all applicable RCA reports and associated documentation shall be attached to the NOV report (for guidance, refer to the NOV Policy and Procedures).

Examples of the approved forms and interoffice memos for each RCA category are listed in the appendix of this policy.

Title V Reporting

Air District reporting requirements for an RCA are different than Title V deviation reporting requirements. A Title V facility must report all violations incurred as Title V deviations. Filing an RCA does not fulfill this requirement. RCA reporting is required for “indicated violations”, situations in which a violation is indicated by a monitor or event but may not have occurred. Title V reporting requirements are based on a criterion of “non-compliance”, situations where a violation has clearly been established.

For further guidance and applicability of 10- and 30-day deviation reports, please refer to the Standard Conditions section of the Title V permit, applicable Policy and Procedure documents (e.g., Title V Reporting AOP), or your Supervising Air Quality Specialist.


Mobile Monitoring

The Air District operates a mobile air monitoring van. The van is operated by the Air Monitoring Section of the Meteorology and Measurements (M&M) Division and is equipped to record off-property H₂S and SO₂ concentrations. Mobile monitoring for other pollutants may also be requested.

A van may be requested by Compliance and Enforcement staff for certain situations. To request the mobile air monitoring van, an Inspector will contact his/her Supervisor who will notify the Enforcement Manager and Director of Enforcement of the request. If use of the van is warranted, the Director of Enforcement or designee shall contact the Director of M&M who will coordinate the deployment of the van with their staff.

RCA Tables and Further Guidance

Table 1 – RCA Reporting Thresholds

 BAY AREA AIR QUALITY MANAGEMENT DISTRICT		COMPLIANCE & ENFORCEMENT DIVISION			Reporting Thresholds* for Reportable Compliance Activities (RCAs)
Time Frame After Occurrence	Immediately	Next Normal Working Day	96 hours	15 days	30 days
Activity	<ul style="list-style-type: none"> Breakdown Relief Request 	<ul style="list-style-type: none"> Any Inoperative Monitor, if monitor is inoperative for greater than 24-hours GLM Area Concentration Excess (check no later than 7 days) PRD Release Event 	<ul style="list-style-type: none"> CEM Emission Excess Parametric excursion 	<ul style="list-style-type: none"> CEM Inoperative Monitor, where downtime is greater than 15 days, must furnish proof of expeditious repair (in writing) 	<ul style="list-style-type: none"> Breakdown Written Report with emissions estimate PRD Release Event Written Report with emissions estimate GLM Area Concentration Excess or CEM Emission Excess Written Report - submit monitor data report within 30 days following month reported on
Regulation	1-431	1-522.4 1-523.2 1-530 1-542 8-28-401	1-522.7 1-523.3	1-522.4	1-432 1-522.8 1-544 8-28-401

* Your permit may have other specific reporting requirements that are not satisfied by these RCA Reporting Thresholds. For example, Deviation Reporting (monitored excesses for Title V regulated facilities – standard permit condition 1.f) includes a 10 day reporting requirement. Another, less common reporting threshold for GLMs is also found at 1-530.

Table 2 – Examples of Investigation Questions

- What were the events leading up to the RCA?
- When was the event discovered?
- How was the event discovered?
- How often is this component inspected or replaced? Do you have records to support this?
- What is the recommended maintenance on this component as per manufacturer's specifications?
- What is the life expectancy of this piece of equipment as per manufacturer's recommendations?
- What is the accuracy of this monitor or device? (Per manufacturer's specifications)
- Is this equipment or monitor operated/used in conjunction with manufacturers specifications?
- Can I see the broken part/piece of equipment?
- Do you have replacement parts on site and available?
- Were plant operations curtailed during the event?
- What actions were taken when the event occurred?
- Do you provide your staff with training or guidance for situations like this?
- Can you provide me with a copy of your training materials/manuals?
- Do you have a written protocol for such occurrences? Can you provide me with a copy?
- What were the emissions resulting from the event?
- Have you rewritten any facility protocol or policy because of this event?
- Can I speak with the operator/mechanic/technician/etc. who was on duty or responded to the event?
- Is the facility functioning normally?
- What was the root cause of the Excess or Breakdown?

Appendix

Breakdown Report Form

BAY AREA AIR QUALITY MANAGEMENT DISTRICT 375 BEALE STREET STE 600, SAN FRANCISCO, CA, (415) 771-6000

BREAKDOWN ID# [REDACTED]

PARAMETRIC MONITOR / CEM / GLM EXCESS ID# [REDACTED]

BREAKDOWN INVESTIGATION FORM

	<i>Initials</i>	<i>Date</i>
Supv Specialist	[REDACTED]	[REDACTED]
Com Center Update	[REDACTED]	[REDACTED]

FACILITY INFORMATION

COMPANY: [REDACTED] SITE # [REDACTED]
 REPORTED BY: [REDACTED] TITLE: [REDACTED]
 START date: [REDACTED] Time: [REDACTED] hr REPORTED date: [REDACTED] Time: [REDACTED] hr
 CLEAR date: [REDACTED] Time: [REDACTED] hr REPORTED date: [REDACTED] Time: [REDACTED] hr

BREAKDOWN INVESTIGATION & RECOMMENDATION

S# [REDACTED] SOURCE DESCRIPTION: [REDACTED]
 ABATEMENT DEVICE: [REDACTED]
 PROBLEM: [REDACTED]
 FACILITY CONTACT: [REDACTED] TITLE: [REDACTED] PHONE: [REDACTED]
 Did you meet with the contact? Yes No
 DATE: [REDACTED] TIME: [REDACTED]
 Did you review the event details with the contact? Yes No
 COMPANY WRITTEN REPORT DUE: [REDACTED] RECEIVED WITHIN 30 DAYS: YES NO
 INSPECTOR REVIEWED REPORT ON: [REDACTED]

INDICATED VIOLATION:

- * ATTACH MONITOR EXCESS PENDING TECHNICAL EVALUATION
- * COMPLETE THE FOLLOWING NOV DATA

REGULATION: [REDACTED] RULE: [REDACTED] SECTION: [REDACTED]
 REGULATION: [REDACTED] RULE: [REDACTED] SECTION: [REDACTED]

FOR PERMIT CONDITION:

CONDITION NO. [REDACTED] SUBSECTION NO. [REDACTED] NUMBER OF DAYS: [REDACTED]

RULE / PERMIT CONDITION LANGUAGE:

[REDACTED]

Inspector: [REDACTED] I# [REDACTED] Date of Report: [REDACTED]

SITE #
BREAKDOWN ID#
PARAMETRIC MONITOR / CEM EXCESS ID#
Inspector: I#
Date of Report:

BREAKDOWN INVESTIGATION & RECOMMENDATION

INVESTIGATION:

- Were there excess emissions from this event? Yes – Quantity: No
- Did the event result in a *public nuisance*? Yes No
- Was the event the result of *intent* or *negligence*? Yes No
- Was the event *recurrent* or a *repeat event*? Yes No
 - ❖ Date of last Breakdown filed:
 - ❖ Are these events related? Yes No
- Was the event a result of *improper* or *lack of maintenance*? Yes No
 - ❖ Maintenance schedule:
 - ❖ Date of last maintenance (prior to event):
- Were the conditions of the *Breakdown definition met*? Yes No – (if no check boxes below)
 - Late reporting of event Not Equipment Failure Not Applicable - No Violation
- Were the *Breakdown administrative requirements met*? Yes No – (if no check boxes below)
 - None or Late written company report Not unexpected

ADDITIONAL INVESTIGATION DETAILS:

RECOMMENDED ACTION:

- RELIEF
- VARIANCE IN EFFECT – DOCKET #
- NOT APPLICABLE – No violation documented
- DENIAL (Investigation boxes must be checked)

If recommended for a reason other than lack of company written report, it must be verified that the inspector has reviewed the company's written report (see above).

SUPERVISOR REVIEW

SUPERVISING SPECIALIST:

DATE:

COMMENTS:

CEM Report Form

BAY AREA AIR QUALITY MANAGEMENT DISTRICT 375 BEALE STREET STE 600, SAN FRANCISCO, CA, (415) 771-6000

CEM EXCESS ID # [REDACTED]
ASSOCIATED BREAKDOWN ID # [REDACTED]
 UNREPORTED RCA

**CEM EXCESS
INVESTIGATION FORM**

	<i>Initials</i>	<i>Date</i>
Supv Specialist	[REDACTED]	[REDACTED]
M&M	[REDACTED]	[REDACTED]
Com Center Update	[REDACTED]	[REDACTED]

FACILITY INFORMATION

COMPANY: [REDACTED] SITE #: [REDACTED]
 REPORTED BY: [REDACTED] TITLE: [REDACTED]
 START date: [REDACTED] Time: [REDACTED] hr REPORTED date: [REDACTED] Time: [REDACTED] hr
 CLEAR date: [REDACTED] Time: [REDACTED] hr REPORTED date: [REDACTED] Time: [REDACTED] hr

CEM INVESTIGATION

(MUST BE A DISTRICT APPROVED CEM)

S# [REDACTED] SOURCE DESCRIPTION: [REDACTED]
 FACILITY CONTACT: [REDACTED] TITLE: [REDACTED] PHONE: [REDACTED]
 Did you meet with the contact? Yes No
 DATE: [REDACTED] TIME: [REDACTED]
 Did you review the monitor data with the contact? Yes No
 MONITOR NAME: [REDACTED] EMISSION MEASURED: [REDACTED] LIMIT: [REDACTED]

INDICATED VIOLATION

Meets Regulation 1-522.7? Yes No
(reported within 96 hrs after the occurrence)

MONITORS/RECORDING DEVICES:

Meets Regulation 1-522.5? (Calibrated) Yes No
(monitors calibrated daily except for velocity sensing instruments which are calibrated monthly)

Meets Regulation 1-522.9? Yes No
(records kept for 2 years and include dates of occurrence and duration of any startup, shutdown or malfunction, tests, calibrations, adjustments, maintenance, and emission measurements)

Inspector: [REDACTED] I# [REDACTED] Date of Report: [REDACTED]

BAY AREA AIR QUALITY MANAGEMENT DISTRICT 375 BEALE STREET STE 600, SAN FRANCISCO, CA, (415) 771-6000
CEM Excess Investigation Report – page 2

SITE #
CEM EXCESS ID#
ASSOC. BREAKDOWN ID#
Inspector: I#
Date of Report:

CEM INVESTIGATION & RECOMMENDATION

INDICATED VIOLATION CONT.

REGULATION: [REDACTED] **RULE:** [REDACTED] **SECTION:** [REDACTED]

FOR PERMIT CONDITION:

CONDITION NO. [REDACTED] SUBSECTION NO. [REDACTED] NUMBER OF DAYS: [REDACTED]

RULE / PERMIT CONDITION LANGUAGE:

[REDACTED]

ADDITIONAL INVESTIGATION DETAILS:

[REDACTED]

RECOMMENDED ACTION: NOV - (EXCESS EMISSIONS VIOLATION DOCUMENTED)

NTC - (DE MINIMUS/ADMINISTRATIVE VIOLATION DOCUMENTED)

NFA - (M&M - EMISSIONS DID NOT EXCEED STANDARD)

HAS THIS RECOMMENDATION BEEN DISCUSSED WITH YOUR SUPERVISOR? Yes No

Inspector:

I#

Date of Report:

Parametric Monitor Report Form

BAY AREA AIR QUALITY MANAGEMENT DISTRICT 375 BEALE STREET STE 600, SAN FRANCISCO, CA, (415) 771-6000

PARAMETRIC MONITOR ID # [REDACTED]
ASSOCIATED BREAKDOWN ID # [REDACTED]

**PARAMETRIC MONITOR
INVESTIGATION FORM**

	Initials	Date
Supv Specialist	[REDACTED]	[REDACTED]
Com Center Update	[REDACTED]	[REDACTED]

FACILITY INFORMATION

COMPANY: [REDACTED] SITE #: [REDACTED]
 REPORTED BY: [REDACTED] TITLE: [REDACTED]
 START date: [REDACTED] Time: [REDACTED] hr REPORTED date: [REDACTED] Time: [REDACTED] hr
 CLEAR date: [REDACTED] Time: [REDACTED] hr REPORTED date: [REDACTED] Time: [REDACTED] hr

PARAMETRIC MONITOR INVESTIGATION

(MONITOR MUST BE REQUIRED BY EITHER A PERMIT CONDITION or A RULE)

S# [REDACTED] SOURCE DESCRIPTION: [REDACTED]
 FACILITY CONTACT: [REDACTED] TITLE: [REDACTED] PHONE: [REDACTED]
 Did you meet with the contact? Yes No DATE: [REDACTED] TIME: [REDACTED]
 Did you review the monitor data with the contact? Yes No
 MONITOR NAME: [REDACTED] PARAMETER MEASURED: [REDACTED] *(temperature, pressure, H2S, NH3, etc.)*
 MEASUREMENT/CONCENTRATION: [REDACTED] LIMIT: [REDACTED]
 RECORDING DEVICE: [REDACTED] MANUFACTURER SPEC. (INSTRUMENT ERROR): [REDACTED]

INOPERATIVE

Meets Regulation 1-523.1? Yes No
(inoperative greater than 24 continuous hours; reported by the following working day)

Meets Regulation 1-523.2? Yes No
(incident did not exceed 15 consecutive days or 30 calendar days per consecutive 12-months)

INDICATED VIOLATION

Meets Regulation 1-523.3? Yes No
(reported within 96 hrs after the occurrence)

MONITORS/RECORDING DEVICES:

Meets Regulation 1-523.4? Yes No
(records kept for 2 years and include dates and duration of inoperation, tests, calibrations, adjustments and maintenance)

Meets Regulation 1-523.5? *(Monitor calibrated to manufacturer specifications)* Yes No

Inspector: [REDACTED] I# [REDACTED] Date of Report: [REDACTED]

BAY AREA AIR QUALITY MANAGEMENT DISTRICT 375 BEALE STREET STE 600, SAN FRANCISCO, CA, (415) 771-6000
Parametric Excess Investigation Report – page 2

SITE #
PARAMETRIC MONITOR ID#
ASSOC. BREAKDOWN ID#
Inspector: I#
Date of Report:

PARAMETRIC MONITOR INVESTIGATION & RECOMMENDATION

INDICATED VIOLATION CONT.

REGULATION: [REDACTED] **RULE:** [REDACTED] **SECTION:** [REDACTED]

FOR PERMIT CONDITION:

CONDITION NO. [REDACTED] SUBSECTION NO. [REDACTED] NUMBER OF DAYS: [REDACTED]

RULE / PERMIT CONDITION LANGUAGE:

[REDACTED]

ADDITIONAL INVESTIGATION DETAILS:

[REDACTED]

➤ Was the event *recurrent* or a *repeat event*? Yes No

❖ Date(s) of last excess(es) filed: [REDACTED]

RECOMMENDED ACTION: NOV NTC NFA

HAS THIS RECOMMENDATION BEEN DISCUSSED WITH YOUR SUPERVISOR? Yes No

Inspector: I# Date of Report:

GLM Report Form

BAY AREA AIR QUALITY MANAGEMENT DISTRICT 375 BEALE STREET STE 600, SAN FRANCISCO, CA, (415) 771-6000

GLM EXCESS ID# [REDACTED]
ASSOCIATED BREAKDOWN ID# [REDACTED]
 UNREPORTED RCA

**GLM EXCESS
INVESTIGATION FORM**

	<i>Initials</i>	<i>Date</i>
Supv Specialist	[REDACTED]	[REDACTED]
M&M	[REDACTED]	[REDACTED]
Com Center Update	[REDACTED]	[REDACTED]

FACILITY INFORMATION

COMPANY: [REDACTED] SITE #: [REDACTED]
 REPORTED BY: [REDACTED] TITLE: [REDACTED]
 START date: [REDACTED] Time: [REDACTED] hr REPORTED date: [REDACTED] Time: [REDACTED] hr
 CLEAR date: [REDACTED] Time: [REDACTED] hr REPORTED date: [REDACTED] Time: [REDACTED] hr

GLM INVESTIGATION & RECOMMENDATION

MONITOR NAME: [REDACTED]
INDICATED VIOLATION
 EXCESS: [REDACTED]
 Meets Regulation 1-542? Yes No
(Reported within 7 days or less upon discovery)

FACILITY CONTACT: [REDACTED] TITLE: [REDACTED] PHONE: [REDACTED]
 Did you meet with the contact? Yes No
 DATE: [REDACTED] TIME: [REDACTED]
 Did you review the monitor data with the contact? Yes No

FOR REGULATION/RULE VIOLATION:

REGULATION: [REDACTED] RULE: [REDACTED] SECTION: [REDACTED]

RULE LANGUAGE:

[REDACTED]

Inspector: [REDACTED] I# [REDACTED] Date of Report: [REDACTED]

BAY AREA AIR QUALITY MANAGEMENT DISTRICT 375 BEALE STREET STE 600, SAN FRANCISCO, CA, (415) 771-6000
CEM Excess Investigation Report – page 2

SITE #
CEM EXCESS ID#
ASSOC. BREAKDOWN ID#
Inspector: I#
Date of Report:

CEM INVESTIGATION & RECOMMENDATION

INDICATED VIOLATION CONT.

REGULATION: [REDACTED] RULE: [REDACTED] SECTION: [REDACTED]

FOR PERMIT CONDITION:

CONDITION NO. [REDACTED] SUBSECTION NO. [REDACTED] NUMBER OF DAYS: [REDACTED]

RULE / PERMIT CONDITION LANGUAGE:

[REDACTED]

ADDITIONAL INVESTIGATION DETAILS:

[REDACTED]

RECOMMENDED ACTION: NOV NTC NFA

HAS THIS RECOMMENDATION BEEN DISCUSSED WITH YOUR SUPERVISOR? Yes No

Inspector:

I#

Date of Report:

PRD Report Form

BAY AREA AIR QUALITY MANAGEMENT DISTRICT 375 BEALE STREET STE 600, SAN FRANCISCO, CA, (415) 771-6000

PRD RELEASE ID# [REDACTED]

**PRD INVESTIGATION FORM
(PRESSURE RELEASE DEVICES)**

To	Initials	Date
Supv Specialist	[REDACTED]	[REDACTED]
Com Center Update	[REDACTED]	[REDACTED]

FACILITY INFORMATION

COMPANY: [REDACTED] SITE # [REDACTED]
REPORTED BY: [REDACTED] TITLE: [REDACTED]
START date: [REDACTED] time: [REDACTED] hrs REPORTED date: [REDACTED] time: [REDACTED] hrs
CLEAR date: [REDACTED] time: [REDACTED] hrs REPORTED date: [REDACTED] time: [REDACTED] hrs

PRESSURE RELIEF DEVICE – EPISODIC RELEASE INVESTIGATION

VENT NAME: [REDACTED] # [REDACTED]
SOURCE DESCRIPTION: [REDACTED] S# [REDACTED]
PROBLEM: [REDACTED]
COMPANY WRITTEN REPORT DUE: [REDACTED] RECEIVED WITHIN 30 DAYS Yes No
INSPECTOR REVIEWED REPORT ON: [REDACTED]
NOV RECOMMENDED? NO – (NO VIOLATION OF AIR QUALITY STANDARDS OCCURRED)
 YES – (COMPLETE DATA BELOW)
REGULATION: [REDACTED] RULE: [REDACTED] SECTION: [REDACTED]
Date Range: [REDACTED] Number of Days: [REDACTED]
COMMENTS: [REDACTED]
Inspector: [REDACTED] I# [REDACTED] Date of Report: [REDACTED]
SUPERVISING SPECIALIST: [REDACTED] DATE: [REDACTED]

M&M Division interoffice memorandum evaluation of monitor data



Interoffice Memorandum

TO: Chart Processing, Enforcement Division
VIA: Jerry Bovee, Air Quality Engineering Manager
VIA: Jeff Aaseth, Air Quality Engineer
FROM: Waiman Pon, Air Quality Instrument Specialist
SUBJECT: Evaluation of Monitor Data

J. Aaseth 10/9/2020
Digitally signed by J. Aaseth
Date: 2020.10.04 06:01:55 -0700

COMPANY NAME: Phillips 66 Company - San Francisco Refinery SOURCE: U-235

EPISODE # BID07Q45/EID07Q55 PLANT # A0016 | 21359 SOURCE #: S-1010

Type of episode: Excess Breakdown Instrument Malfunction

Type of monitor: Opacity SO₂ NO_x CO O₂
 Fuel Gas Lbs/MMBTU CO₂

The referenced documents have been evaluated:

AN EXCESS HAS OCCURRED FURTHER EVALUATION IS RECOMMENDED
 AN EXCESS HAS NOT OCCURRED FURTHER EVALUATION IS NOT RECOMMENDED

under

Permit Condition 23125, Part 7b

Date of Episode: 11-Dec-2019
Duration Time: 05:00 - 08:00
Peak Time: 05:00 - 06:00
Tolerance, ppm: ≤ 90 ppm at 7% O₂ / 1-hr avg
Regulation Limit: ≤ 75 ppm at 7% O₂ / 1-hr avg

NOTE: This excess (07Q55) is associated with breakdown (07Q45) and had a peak average corrected CO concentration of 112 ppm during the indicated time. Further evaluation is recommended.