



ICIS-AFS Requirements Webinar #2

December 12, 2012

Welcome

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Chair, AFS Modernization Senior Management Steering Committee (Tier 2)

Agenda

- ▶ Welcome / Agenda Check/Time Adjustment
- ▶ Recap of first webinar on 12/6
- ▶ Six Topic Areas:
 - Overview of Compliance Monitoring
 - FCE/PCE, Investigation, and Information Requests
 - CMS
 - Title V Annual Compliance Certifications
 - Stack Test/Electronic Reporting Tool
 - Permits

Recap of First Webinar on 12/6

- ▶ 12/6 Webinar Covered:
 - Web data entry
 - Unique identifier
 - Batch data entry
 - Facility information, including air programs / pollutants
 - Creating reports
- ▶ Any additional thoughts or points to revisit from previous webinar?

Overview of Compliance Monitoring (Report Section 3.2.1)

- ▶ Compliance monitoring is one of the key components agencies use to ensure that the regulated community complies with environment laws and regulations
- ▶ Compliance monitoring activities that will be included in the modernized system:
 - Full Compliance Evaluations (FCEs)
 - Partial Compliance Evaluations (PCEs)
 - Investigations
 - Information Requests
 - Stack Tests
 - Title V Annual Compliance Certifications (TV ACCs)
 - Continuous Emissions Monitoring (CEM) and Excess Emissions Reports (EERs)
- ▶ May include other things from EPA/State discussions on expanding CM activities

Summary of Proposed Changes from Legacy AFS

- ▶ In legacy AFS, users must add, edit, or view compliance monitoring activities by first selecting the facility and then accessing the facility screen
 - In ICIS-AFS will be more flexible - there will be multiple ways by which users can add, edit, or view a compliance monitoring activity:
 - ❖ Home page
 - ❖ Facility screen
 - ❖ List compliance monitoring activity search results screen
 - ❖ Add and edit screens using the add/link another option
 - In ICIS-AFS, users record compliance monitoring data based on the type of compliance monitoring activity conducted at a particular facility:
 - ❖ FCEs, PCEs, Investigations, and Information Requests (Sec. 114 letter)
 - ❖ Stack Tests
 - ❖ TV ACCs
 - ❖ CEMs/EERs

Summary of Proposed Changes from Legacy AFS (cont.)

- ▶ Legacy AFS does not import compliance monitoring data from an external source
 - ICIS-AFS will allow import of some CM data from EPA's WebFire, the repository for stack test data submitted via the Electronic Reporting Tool (ERT), and will be able to access other e-reporting going into ERT
- ▶ Legacy AFS does not have a dedicated CM search screen
 - ICIS-AFS will have a CM search screen with multiple pre-defined search fields and a visual set of search results
- ▶ Legacy AFS does not allow users to link compliance monitoring activities to other related compliance monitoring activities or enforcement actions occurring at the same facility
 - ICIS-AFS will allow users the ability to link activities for the same facility to each other to show relationships between those activities

Review of Major Comments

- ▶ Delegated Agency users are very concerned about electronic submittal of data by the regulated community
 - ❖ The inclusion of data in the system that they have not yet reviewed
 - ❖ Reconciliation of manually entered data and electronically submitted data
- ▶ Facility's owner name should be added to the compliance monitoring search screen
- ▶ The 5-digit EPA pollutant code should be added to the pollutant search box on the compliance monitoring search screen
- ▶ LCON number and name should be added to the compliance monitoring search screen
- ▶ There should be one screen showing all the various statuses for a facility so a status determination can be made

FCE, PCE, Investigation, and Information Request (Report Section 3.2.2)



Overview of FCE, PCE, Investigation, Information Request

- ▶ FCEs, PCEs, Investigations, and Information Requests are types of compliance monitoring activities performed to ensure a facility's compliance with regulatory requirements.
- ▶ An FCE is a comprehensive evaluation conducted by a regulatory authority to ensure the facility meets its full compliance requirements.
- ▶ A PCE focuses on a subset of regulated pollutants, regulatory requirements, and/or emission units at a facility to ensure compliance.
- ▶ An investigation is limited to a portion of a facility, involving a more in-depth assessment of a particular issue.
- ▶ Section 114 letters or Information Requests serve as means for EPA to request information such as records, data, or sampling from any person who owns or operates any emission source or who is subject to any requirement of the CAA.

Summary of Proposed Changes from Legacy AFS

- ▶ Legacy AFS has the same screens for federal and delegated agency users:
 - In ICIS-AFS Delegated agency users will enter data using streamlined screens specific to the air program
 - In ICIS-AFS Delegated agency screens will contain system generated defaults:
 - ❖ Compliance activity type will default to evaluation, investigation, or information request
 - ❖ Federal statutes will default to CAA
 - ❖ State, region, and LCON will default based on user's profile

- ▶ Legacy AFS does not store information request data
 - ICIS-AFS will include information request (Section 114 Letter) as a CM activity type option

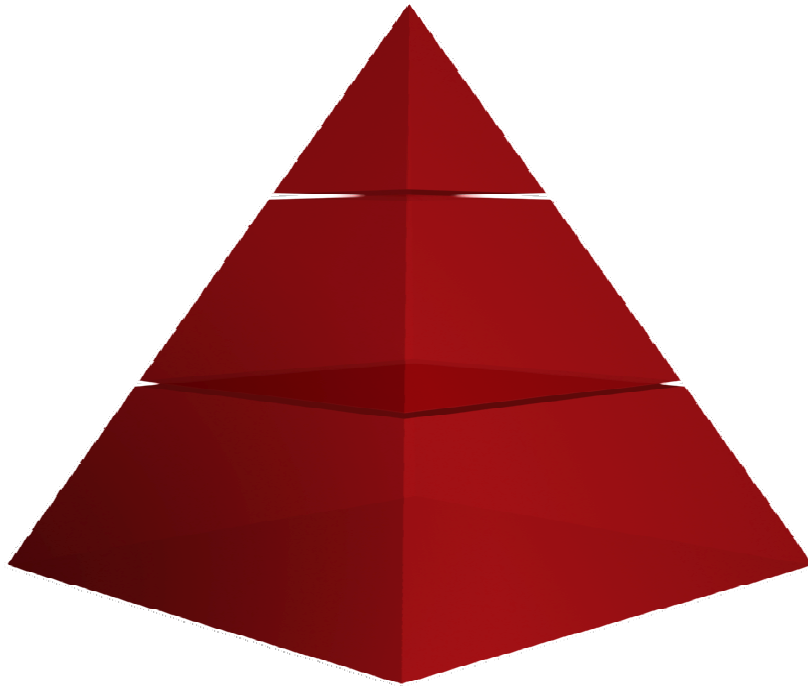
Summary of Proposed Changes from Legacy AFS (cont.)

- ▶ Some data elements nomenclature will change
 - Legacy AFS used the data element names:
 - ❖ compliance monitoring activity type, PCE action description, FCE action description, PCE type, and on or off site
 - ICIS-AFS will use the data element name:
 - ❖ compliance monitoring type

Review of Major Comments

- ▶ Participants voiced concerns with PCEs potentially becoming required in the future. They recommended that PCE reporting should remain optional and that mandatory reporting of PCEs creates additional burden.

Compliance Monitoring Strategy (Report Section 3.1.2)



Overview of Compliance Monitoring Strategy

- ▶ The Compliance Monitoring Strategy (CMS) provides national consistency in developing stationary source air compliance monitoring programs while allowing Delegated Agencies flexibility to address local air pollution and compliance problems

Summary of Proposed Changes from Legacy AFS

- ▶ In Legacy AFS, the term “CMS Indicator” was used to indicate whether the regulatory agency has performed an FCE at the facility per the CMS plan
 - ICIS-AFS will use the term “CMS Status” instead

- ▶ In Legacy AFS, historical CMS records are archived “manually” for ten years
 - ICIS-AFS will automatically archive historical CMS records based upon a date provided by a system administrator.

- ▶ In Legacy AFS, only one CMS status for the fiscal year was generated based on historical data
 - ICIS-AFS will track two CMS statuses:
 - ❖ A *current CMS status* will be generated based on real-time changes to the CMS data, latest FCE actual end date, or on a scheduled basis. This status will not be generated between October 1st and December 1st
 - ❖ A *Fiscal Year CMS status* will be generated on December 1 based upon the complete data from the previous fiscal year

Summary of Proposed Changes from Legacy AFS (cont.)

- ▶ In Legacy AFS, there was a monthly frequency for updating an unknown compliance status
 - ICIS-AFS will update the current CMS status in real time whenever there is a new or changed CMS record or a change to the latest FCE actual end date
- ▶ Legacy AFS does not store calculated data generated by the CMS status algorithm
 - ICIS-AFS will use a streamlined algorithm to generate and store the CMS status.
- ▶ In Legacy AFS, a user had to send a delete action to remove a CMS record permanently from the system
 - ICIS-AFS will provide the users the capability to set a CMS record to inactive and capture the date it was set to inactive in place of permanently deleting the CMS record

Review of Major Comments

- ▶ The terms "CMS Origination Date", "CMS Start Date", and "CMS Effective Date" need to be clarified. ----- The "Next FCE Due Date" needs to be clarified
- ▶ There are problems with 'freezing' data since it's so dynamic. "Freezing" the data may actually give a false impression of facility CMS status for the various programs. Snapshots of the status for all facilities should not be taken until December 1
- ▶ Clarification is needed on how Next FCE Due Date is calculated
- ▶ CMS Categories need to be explained
- ▶ Suggestion that if a facility is closed, then the CMS plan should automatically be set to inactive

Title V Annual Compliance Certifications (Report Section 3.2.4)



Overview of TV ACC

- ▶ TV ACCs are a type of compliance monitoring activity performed by facilities with Title V permits to ensure the facilities' compliance with regulatory requirements
- ▶ Facilities are required to submit TV ACCs to the regulating agency per the schedule outlined in the permit, usually once a year on an agency-wide basis or on the anniversary of the permit
- ▶ Copies of the TV ACC are sent to the EPA regional office and the delegated agency for review

Summary of Proposed Changes from Legacy AFS

- ▶ In Legacy AFS, all TV ACC data need to be entered at once in order to save the record
 - In ICIS-AFS, users will have the option to enter data for TV ACC records all at once or in phases
- ▶ In Legacy AFS, details of review statuses and reviewers are not captured for each TV ACC review period
 - ICIS-AFS will allow users to track multiple reviews and the reviewers' information each time a TV ACC is reviewed
- ▶ In Legacy AFS, facility-reported compliance status was tracked as “in compliance, in violation, or unknown” for the TV ACC record
 - In ICIS-AFS, users may track the results of review only by indicating whether the facility-reported compliance status is continuous or intermittent in accordance with the TV ACC policy

Summary of Proposed Changes from Legacy AFS, cont.

- ▶ In legacy AFS, permit ID was not required
 - In ICIS-AFS, permit ID will only be required if a facility has multiple TV ACC permits in order to correctly identify the TV ACC certification review period for the associated permit

- ▶ In legacy AFS, certification start and end dates were not required
 - In ICIS-AFS, certification start and end dates will be required for federal users

Review of Major Comments

- ▶ Review status field should be removed at the reviewer level since it was noted that EPA will not track TV ACC as “in compliance, in violation,” etc.
- ▶ Overall, the various status fields on the proposed TV ACC screen were confusing and provided too much duplicated information
- ▶ There seems to be some new required data- permit ID, reviewer info., review dates, etc. If so, the data should be optional
- ▶ Providing a permit ID could pose issues and will require certain needs be met to accommodate existing permit ID structures

Stack Tests (Report Section 3.2.3)



Overview of Stack Tests

- ▶ Stack tests are a subset of a PCE performed at facilities to ensure the facilities' compliance with regulatory requirements for emissions limits, or for capture or control efficiencies
- ▶ Delegated agencies are required to conduct stack tests when there are no other means for determining compliance with the emission limits

Summary of Proposed Changes from Legacy AFS

- ▶ Legacy AFS does not import electronic data from an external system
 - ICIS-AFS will have the ability to import available electronic stack test data from WebFire.
- ▶ In Legacy AFS, users provided a pollutant's test result with Pass, Fail, or Pending statuses
 - For ICIS-AFS, stack test status will be entered by ICIS-AFS users as Pass, Fail, Pending, Not Applicable (N/A), or Incomplete
- ▶ Legacy AFS does not calculate stack test percentage above/below limit
 - If the limit and actual data are available, ICIS-AFS will automatically calculate the percent value based on the allowable limit and actual number and indicate whether the actual number is above, below, or meets the allowable limit

Summary of Proposed Changes from Legacy AFS, cont.

- ▶ In legacy AFS, users were required to provide test results at the entire source-tested level regardless of whether they passed or failed
 - For ICIS-AFS, the system will only require users to enter failed parameter and pollutant test results
- ▶ In Legacy AFS, users cannot easily view a list of stack tests with “pending” test results
 - In ICIS-AFS, users will be able to view stack tests with “pending” and blank statuses immediately as data are saved into the system. They can be viewed through the search results screen or by creating a report.
 - A notification will be displayed upon subsequent logins to the user who originally entered the stack test’s pollutant test results data

Review of Major Comments

- ▶ Since electronic data may be imported from WebFire/ERT, facilities need to receive adequate training on using the ERT. Delegated agencies have questions on the ERT's data correction process and would like more information on the ERT's progress, design, and implementation plans
- ▶ Will ICIS-AFS update existing records or delete existing records and add a new record when stack test data are imported from WebFire? How will duplicate entries be prevented?
- ▶ Users would like an option to opt-out of using the ERT's imported data, specifically for stack test data
- ▶ Often the stack test reviewers are not the same as the AFS users so this makes data entry of stack tests burdensome
- ▶ Owner/Operator should be added to Stack Test Conducted By
- ▶ Having to list the "Purpose" of a stack test will be too much burden

Permits (Report Section 3.1.3)



Overview of Permits

- ▶ A permit is required for a source to begin operation; but it is **not** currently required that agencies report permit data to EPA
- ▶ There are two distinct categories of permits: Title V and Non-Title V
- ▶ Title V operating permits, mandated by the Title V amendment of the Clean Air Act, can be further classified into two types:
 - Part 70 – Issued by the state, local, and tribal permit authorities
 - Part 71 – Issued by EPA
- ▶ In the modernized system, basic permit functionality will be the same regardless of permit type

Summary of Proposed Changes from Legacy AFS

- ▶ Legacy AFS allowed users to enter permit events and their corresponding dates as independent data fields stored in the database
 - ICIS-AFS will allow users to pick permit events from a dropdown list and select the date from a calendar icon

Review of Major Comments

- ▶ Ensure that permits do not become required reporting
- ▶ Add the ability to track the issuance of multiple modifications to a permit



Discussion