



## **BACKGROUND**

BACKGROUND The Air Facility System (AFS) contains compliance, enforcement and permit data for stationary sources of air pollution regulated by the US EPA, state, and local air pollution agencies. This information is used by the environmental regulatory community to track the compliance of stationary sources with various programs regulated under the Clean Air Act.

The Universal Interface (UI) was developed in response to the need of State and Local agencies with independent data systems, to report mandatory compliance and enforcement requirements to the USEPA. The UI was created to assist in the transfer of data from a State or Local Agency database to the AFS.

## **PURPOSE OF THIS WORKBOOK**

This workbook was designed to be an aide to a state or local agency in the process of mapping their data elements to those in the UI. Please read the top of each worksheet which includes a small box in the upper left hand corner containing a notes box. Please read the notes for specific information pertaining to that worksheet.

## **USING THIS WORKBOOK**

The UI is designed to mirror the AFS in the data structure and accordingly, each worksheet in this workbook represents an AFS record. Also note that each worksheet represents an import file into the UI, as is shown on the UI Data Entry Screen in the order that they appear. For (additional information review section 3.0 and 9.0 of the "Universal Interface Operators Manual"). A listing of the Minimum Data Requirements are at the end of this document.

### **Compliance Enforcement** (*worksheets prefixed with "CE"*)

- Plant General
- Air Program
- Air Program Pollutant
- Action

### **Permits** (*worksheets prefixed with "P"*)

- Permit
- Permit Event

### **Continuous Emissions Monitoring** (*worksheets pre-fixed with "CEM"*)

- Point
- Air Program
- Monitor
- Excess Emission Report

### **Compliance Monitoring Strategy** (*worksheets titled "CMS"*)

- CMS

### **Comment** (*worksheets titled "Comment"*)

- Comment

## **CONTACTS**

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Please be sure to keep in contact with your respective Regional AFS Compliance Manager

**Compliance Enforcement - Plant General Record**

This table contains general information describing the plant and its physical location.

Data Element Acronym	Data Element Name	Description	Valid Values
<b>STTE</b>	State Code	A two-character FIPS code identifying the state/territory in which a plant is located.	The FIPS code entered must exist on the FIPS code table. Refer to the UI Cross Reference tables or the AFS Database for a complete listing.
<b>CNTY</b>	County Code	A three character FIPS code which identifies the county in which a plant is located and the county in which the office or business of the contractor responsible for asbestos Demo/Reno work is located.	The county code must exist on the county / city table.
<b>PCDS</b>	Plant ID	A five character plant identifier required to assign compliance information to plants in the AIRS facility subsystem. Formerly called CDS Plant ID.	This ID is unique within a state county. It may contain alpha and numeric values.
<b>PNME</b>	Plant Name	The name associated with a plant at a given location.	
<b>STRT</b>	Street Address	The street address for the physical location of the plant.	PO Box is not a valid value
<b>CYCD</b>	City Code	Either City Code or City Name is to be entered in.	
<b>CYNM</b>	City Name		
<b>ZIPC</b>	Zip Code	The zip code for the physical location of the plant	
<b>SIC1</b>	Primary SIC Code	Enter SIC if NAICS is not available. Either NAICS or SIC is required.	
<b>GOVT</b>	Government Facility Code	A one character code identifying facilities owned or operated by a governmental unit.	<b>0</b> -all other facilities not owned or operated by a federal, state, or local government; <b>1</b> -source owned or operated by the federal government; <b>2</b> -source owned or operated by the state; <b>3</b> -source owned or operated by the county; <b>4</b> -source owned or operated by the municipality; <b>5</b> -source owned or operated by the district
<b>NIC1</b>	NAICS Code	Enter NAICS if SIC is not available. Either NAICS or SIC is required.	
<b>STRS</b>	State Registration Number	This could be the ID that is internal to the particular State or Local Agency	Up to 15 alphanumeric characters
<b>LCON</b>	Local Control Region	A user-defined 2 character code identifying the local control region with jurisdiction over a plant	2 alphanumeric characters
<b>PAFS</b>	AFS ID	A fifteen-character plant identifier required to enter permit information for plants. It must be unique within a county and requires the FIPS State and County Codes to uniquely identify a plant in AFS. The AFS ID must be established on the Plant prior to submitting permit information. Business Rule Guidance - Each AFS Plant ID Should Be Assigned A Unique Permit ID	Up to 15 alphanumeric characters

**Compliance Enforcement - Air Program Record**

This record contains information on the regulatory program of the Clean Air Act that is applicable to a source

Data Element Acronym		Data Element Name	Description	Valid Values
<b>STTE</b>		State Code	a two-character FIPS code identifying the state/territory in which a plant is located.	The FIPS code entered must exist on the FIPS code table. Refer to the UI Cross Reference tables or the AFS Database for a complete listing.
<b>CNTY</b>		County Code	a three character FIPS code which identifies the county in which a plant is located and the county in which the office or business of the contractor responsible for asbestos Demo/Reno work is located.	The county code must exist on the county / city table.
<b>PCDS</b>		Plant ID	a five character plant identifier required to assign compliance information to plants in the AIRS facility subsystem. Formerly called CDS Plant ID.	This ID is unique within a state county. It may contain alpha and numeric values.
<b>APC1</b>		Air Program Code	a one character alphanumeric code used to identify the regulatory air program(s) a plant or point is subject to and the regulatory air program(s) authorizing and associated with an action taken by a local, state or federal regulatory agency.	<b>A</b> - Acid Precipitation, <b>F</b> - FESOP - (Non-Title V), <b>I</b> - Native American, <b>M</b> - MACT (Section 63 NESHAPS), <b>V</b> - Title V Permits, <b>0</b> - SIP Source, <b>1</b> - SIP Source Under Federal Jurisdiction, <b>3</b> - Non-Federally Reportable Source, <b>4</b> - CFC Tracking, <b>6</b> - PSD, <b>7</b> - NSR, <b>8</b> - NESHAP, <b>9</b> - NSPS
<b>AST1</b>		Air Program Operating Status	represents the operational condition of a plant associated with a given air program	<b>O</b> -operating, <b>P</b> - planned (has applied for a construction permit), <b>C</b> -under construction, <b>T</b> - temporarily closed, <b>X</b> - permanently closed, <b>I</b> - seasonal, <b>D</b> - NESHAP demolition, <b>R</b> - NESHAP renovation, <b>S</b> - NESHAP spraying, <b>L</b> - landfill
<b>SPT1</b>	CFR SP 1	CFR Subparts 1 thru 12	Subparts are codes indicating the subpart for air programs: "9" - NSPS; "8" -NESHAP and; "M" - MACT NESHAP. The subpart information pertains to sections 60, 61 and 63 of the code of federal regulations respectively. NSPS Subparts may also be entered on the SIP air program. Subpart data is required for NSPS, NESHAPS, and MACT air program codes. Subparts may be indicated on the SIP air program if applicable. Up to 12 subpart codes may be associated with each plant air program.	The Subpart Code must exist on the subparts code table for the correct air program. Refer to the UI Cross Reference Tables or the AFS database for current listing of subparts.
<b>SPT1</b>	CFR SP 2			
<b>SPT1</b>	CFR SP 3			
<b>SPT1</b>	CFR SP 4			
<b>SPT1</b>	CFR SP 5			
<b>SPT1</b>	CFR SP 6			
<b>SPT1</b>	CFR SP 7			
<b>SPT1</b>	CFR SP 8			
<b>SPT1</b>	CFR SP 9			
<b>SPT1</b>	CFR SP 10			
<b>SPT1</b>	CFR SP 11			
<b>SPT1</b>	CFR SP 12			

**Compliance Enforcement - Air Program Pollutant Record**  
 This record contains data fields used to describe the pollutants linked to the source under regulation for a specific air program.

Data Element Acronym	Data Element Name	Description	Valid Values
STTE	State Code	a two-character FIPS code identifying the state/territory in which a plant is located.	The FIPS code entered must exist on the FIPS code table. Refer to the UI Cross Reference tables or the AFS Database for a complete listing.
CNTY	County Code	a three character FIPS code which identifies the county in which a plant is located and the county in which the office or business of the contractor responsible for asbestos Demo/Reno work is located.	The county code must exist on the county / city table.
PCDS	Plant ID	a five character plant identifier required to assign compliance information to plants in the AIRS facility subsystem. Formerly called CDS Plant ID.	This ID is unique within a state county. It may contain alpha and numeric values.
APC1	Air Program Code	a one character code used to identify the regulatory air program(s) a plant or point is subject to and the regulatory air program(s) authorizing and associated with an action taken by a local, state or federal regulatory agency.	<b>A</b> - Acid Precipitation, <b>F</b> – FESOP – (Non-Title V), <b>I</b> - Native American, <b>M</b> - MACT (Section 63 NESHAPS), <b>V</b> - Title V Permits, <b>0</b> -SIP Source, <b>1</b> - SIP Source Under Federal Jurisdiction, <b>3</b> - Non-Federally Reportable Source, <b>4</b> - CFC Tracking, <b>6</b> - PSD, <b>7</b> - NSR, <b>8</b> - NESHAP, <b>9</b> - NSPS
PLAP	Pollutant Code	a five -character code or up to 9 digit Chemical Abstract Service Number identifying a pollutant tracked at the plant level on the pollutant air program (MDR if criteria). It is a supporting element for actions.	<b>Either PLAP or CAPP are required.</b> This 5-digit code can be retrieved from the AFS database, or the UI Cross Reference Tables
CAPP	Chemical Abstract Service Number	If the pollutant code is not available then the Chemical Abstract Service Number must be supplied.	<b>Either PLAP or CAPP are required.</b> This 9-digit code can be taken from the internet or from the AFS website, or the UI Cross Reference Tables
SCAP	State Pollutant Compliance Status	a one-character code which reflects the state agency's determination of the compliance status of a facility with regards to pollutants regulated by an air program or by the procedural requirements of a permit. Compliance falls within four categories: in, out, on schedule, and unknown. Values entered at the plant air program pollutant level are compared by AFS, and the most serious generated and displayed at the plant air program level. The most serious of the air program values are in turn displayed at the plant general level.	[in order from worst to best case ]: <b>Out of compliance:</b> <b>B</b> - in violation with regard to both emissions and procedural compliance, <b>1</b> - in violation no schedule, <b>6</b> - in violation-not meeting schedule, <b>W</b> - in violation with regard to procedural compliance. <b>Unknown compliance:</b> <b>Y</b> - unknown with regard to both emissions and procedural compliance, <b>0</b> - unknown compliance status, <b>A</b> - unknown with regard to procedural compliance, <b>7</b> - in violation - unknown with regard to schedule. <b>On schedule:</b> <b>5</b> - meeting compliance schedule. <b>In compliance:</b> <b>C</b> - in compliance with procedural requirements, <b>4</b> - in compliance- certification, <b>3</b> - in compliance-inspection, <b>M</b> - in compliance-cems, <b>2</b> - in compliance-source test, <b>8</b> - no applicable state regulation, <b>9</b> - in compliance-shut down, <b>P</b> - present, see other program(s).
SCLP	State Pollutant Classification	a two -character code assigning a plant classification to individual criteria pollutants regulated by an air program. This code may be different than the EPA pollutant classification.	<b>A</b> - Major emissions; actual or potential emissions are above the applicable major source thresholds. <b>SM</b> - Synthetic Minor emissions; Potential emissions are below all applicable major source thresholds if an only if the sources complies with Federally enforceable regulations or limitations (Potential to emit at the major threshold but due to operation restrictions or other controls emit at the minor level), <b>B</b> - Minor emission; Potential uncontrolled emissions are below the applicable major source thresholds, <b>C</b> - Emissions classification is unknown .
SATT	State Attainment Indicator	A one -character code identifying the criteria pollutant attainment status for the county in which the plant is located. This field is mandatory only for air programs other than NESHAP and in conjunction with the following criteria pollutants: VOC, PT, SO2.	<b>A</b> - Attainment area for given pollutant; <b>M</b> - Moderate (for VOC, NO2, CO and particulate); <b>S</b> - Serious (for VOC, NO2, CO and particulate); <b>V</b> - Severe (for VOC and NO2); <b>X</b> - Extreme (for VOC and NO2); <b>T</b> - Transport region not serious, severe, or extreme (VOC only); <b>N</b> - All other non-attainment for primary and secondary standards; <b>1</b> - Non-attainment for primary SO2 standards; <b>2</b> – Non-attainment for secondary PT or SO2 standards; <b>U</b> - Unclassified
ECAP	EPA Pollutant Compliance Status	a one-character code which reflects the state agency's determination of the compliance status of a facility with regards to pollutants regulated by an air program or by the procedural requirements of a permit. <b>This value is normally populated only when the EPA assessment differs from the state.</b> Compliance falls within four categories: in, out, on schedule, and unknown. Values entered at the plant air program pollutant level are compared by AFS, and the most serious generated and displayed at the plant air program level. The most serious of the air program values are in turn displayed at the plant general level.	[in order from worst to best case ]: <b>Out of compliance:</b> <b>B</b> - in violation with regard to both emissions and procedural compliance, <b>1</b> - in violation no schedule, <b>6</b> - in violation-not meeting schedule, <b>W</b> - in violation with regard to procedural compliance. <b>Unknown compliance:</b> <b>Y</b> - unknown with regard to both emissions and procedural compliance, <b>0</b> - unknown compliance status, <b>A</b> - unknown with regard to procedural compliance, <b>7</b> - in violation - unknown with regard to schedule. <b>On schedule:</b> <b>5</b> - meeting compliance schedule. <b>In compliance:</b> <b>C</b> - in compliance with procedural requirements, <b>4</b> - in compliance- certification, <b>3</b> - in compliance-inspection, <b>M</b> - in compliance-cems, <b>2</b> - in compliance-source test, <b>8</b> - no applicable state regulation, <b>9</b> - in compliance-shut down, <b>P</b> - present, see other program(s).
ECLP	EPA Pollutant Classification	A one -character code identifying the criteria pollutant attainment status for the county in which the plant is located. This field is mandatory only for air programs other than NESHAP and in conjunction with the following criteria pollutants: VOC, PT, SO2. <b>This field is used when an EPA classification value differs from the classification value submitted by a state.</b>	<b>A</b> - Major emissions; actual or potential emissions are above the applicable major source thresholds. <b>SM</b> - Synthetic Minor emissions; Potential emissions are below all applicable major source thresholds if an only if the sources complies with Federally enforceable regulations or limitations (Potential to emit at the major threshold but due to operation restrictions or other controls emit at the minor level), <b>B</b> - Minor emission; Potential uncontrolled emissions are below the applicable major source thresholds, <b>C</b> - Emissions classification is unknown .
EATT	EPA Attainment Nonattainment Indicator	A one -character code identifying the criteria pollutant attainment status for the county in which the plant is located. This field is mandatory only for air programs other than NESHAP and in conjunction with the following criteria pollutants: VOC, PT, SO2. <b>This field is used when an EPA attainment/non-attainment indicator value differs from an attainment/non-attainment indicator value submitted by a state.</b>	<b>A</b> - Attainment area for given pollutant; <b>M</b> - Moderate (for VOC, NO2, CO and particulate); <b>S</b> - Serious (for VOC, NO2, CO and particulate); <b>V</b> - Severe (for VOC and NO2); <b>X</b> - Extreme (for VOC and NO2); <b>T</b> - Transport region not serious, severe, or extreme (VOC only); <b>N</b> - All other non-attainment for primary and secondary standards; <b>1</b> - Non-attainment for primary SO2 standards; <b>2</b> – Non-attainment for secondary PT or SO2 standards; <b>U</b> - Unclassified

**Compliance Enforcement - Action Record**  
 This record contains fields related to an action associated to an air program.

Data Element Acronym	Data Element Name	Description	Valid Values
<b>STTE</b>	State Code	a two-character FIPS code identifying the state/territory in which a plant is located.	The FIPS code entered must exist on the FIPS code table. Refer to the UI Cross Reference tables or the AFS Database for a complete listing.
<b>CNTY</b>	County Code	a three character FIPS code which identifies the county in which a plant is located and the county in which the office or business of the contractor responsible for asbestos Demo/Reno work is located.	The county code must exist on the county / city table.
<b>PCDS</b>	Plant ID	a five character plant identifier required to assign compliance information to plants in the AIRS facility subsystem. Formerly called CDS Plant ID.	This ID is unique within a state county. It may contain alpha and numeric values.
<b>ANU1</b>	Action Number	A three digit numeric action identifier.	Numeric values between 1 and 999; input values of 999 will generate the next available sequential action number.
<b>KAN1</b>	Key Action Number	A key action number assigned to an action to indicate which violation pathway the action is linked. An action can be linked into a maximum of five pathways.	For violation pathways, KAN1 is an MDR. Key action numbers for an action will be assigned, when requested, to national action type <b>2E - State Day Zero</b>
<b>ACS1</b>	AP Code 1	Air Program Code (1 thru 6)	A Acid Precipitation, F – FESOP – (Non-Title V), I - Native American, M - MACT (Section 63 NESHAPS), V - Title V Permits, 0 - SIP Source, 1 - SIP Source Under Federal Jurisdiction, 3 - Non-Federally Reportable Source, 4 - CFC Tracking, 6 - PSD, 7 - NSR, 8 - NESHAP, 9 - NSPS
<b>ACS1</b>	AP Code 2		
<b>ACS1</b>	AP Code 3		
<b>ACS1</b>	AP Code 4		
<b>ACS1</b>	AP Code 5		
<b>ACS1</b>	AP Code 6		
<b>ATP1</b>	Action Type	a two character code identifying a compliance activity. Two categories of action types exist: national action types, which are used to retrieve similar compliance activities identified by EPA regions using region-specific action type codes; and regional action types, which are the region-specific codes used to identify a compliance activity	The action type code must exist on the AFS list of actions. Refer to the UI Cross Reference tables or the AFS database for the listing of action types by region or national.
<b>DTS1</b>	Date Scheduled	the date on which a compliance action is scheduled to be performed.	DTS1 is a necessary field when entering TV Annual Compliance Certification due dates.
<b>DTA1</b>	Date Achieved	the date on which a compliance action (activity) is completed	Date format must be "YYYYMMDD"
<b>PAM1</b>	Penalty Amount	the civil penalty assessed against a facility in the final agreement between the enforcement authority and the plant.	0 - 999,999,999 (commas are not entered)
<b>RSC1</b>	Results code	an MDR for stack test results. The conclusion of all stack tests should be recorded using two character codes indicating "Pass", "Fail", or "99" for pending. It is a supporting element for all other actions.	RSC1 is required when entering TV Annual Compliance Certification
<b>SCC1</b>	Staff Code	three character code identifying: 1) the compliance or enforcement official assigned to monitor the compliance status of a plant, or 2) the staff member assigned to complete an action.	The staff code must exist on the staff code table. Please refer to the UI cross-reference tables, or the AFS for staff code listings.
<b>PLC1</b>	Pollutant	a five character code or up to 9 digit Chemical Abstract Service Number identifying a pollutant tracked at the plant level on the pollutant air program (MDR if criteria). It is a supporting element for actions.	Code must exist on the pollutant table
<b>CAA1</b>	CAS Number	a five character code or up to 9 digit Chemical Abstract Service Number identifying a pollutant tracked at the plant level on the pollutant air program (MDR if criteria). It is a supporting element for actions.	
<b>RD81</b>	RDE 8	A field defined by users and used to maintain information relating to plant or point level actions.	
<b>R161</b>	RDE 16	A field defined by users and used to maintain information relating to plant or point level actions.	
<b>LDC1</b>	Lead Agency	a one character code that identifies the agency taking the lead role in tracking an action linking pathway to resolution.	F - FEDERAL; J - JOINT; L - LOCAL; S - STATE
<b>VID1</b>	Violating Identifier	a one character code that indicates which agency identified the violation that requires tracking to resolution using the action linking mechanism.	F - FEDERAL; J - JOINT; L - LOCAL; S - STATE
<b>VTP1</b>	Type Code 1	Violation Type Code (1 thru 7)	Three character code(s) that identify the types of violations cited for a violation or administrative penalty. Violation Type Code(s) may be input for violations or administrative penalties being tracked using the action linking mechanism.
<b>VTP1</b>	Type Code 2		
<b>VTP1</b>	Type Code 3		
<b>VTP1</b>	Type Code 4		
<b>VTP1</b>	Type Code 5		
<b>VTP1</b>	Type Code 6		
<b>VTP1</b>	Type Code 7		
<b>VPL1</b>	Pollutant 1	Violating Pollutant (1 thru 3)	a five character code identifying a pollutant for the air program which has been identified as being in violation. This code enables a historical record of
<b>VPL1</b>	Pollutant 2		
<b>VPL1</b>	Pollutant 3		

**Permit - Permit Record**

The following fields are necessary for a complete permit draft record; STTE, ASPN, PMTC & PAFS.

<b>Data Element Acronym</b>	<b>Data Element Name</b>	<b>Description</b>	<b>Valid Values</b>
<b>STTE</b>	State code	a two-character FIPS code identifying the state/territory in which a plant is located.	The FIPS code entered must exist on the FIPS code table. Refer to the UI Cross Reference tables or the AFS Database for a complete listing.
<b>ASPN</b>	Permit ID	User defined value to identify a permit. The combination of State and Permit ID uniquely identifies a permit.	
<b>PMTC</b>	Category	A code that indicates the kind of Permit. Title V and Non-Title V Permits are both supported.	<b>C</b> - NON-TITLE V PERMIT - PERMIT TO CONSTRUCT; <b>G</b> - TITLE V PERMIT - GENERAL PERMIT; <b>N</b> - NON-TITLE V PERMIT - OPERATING PERMIT; <b>V</b> - TITLE V PERMIT - PLANT SPECIFIC
<b>PMFD</b>	Effective Date	The date a permit takes effect.	Date Format: YYYYMMDD
<b>ASRD</b>	Mod/Renewal Effective Date	The date the last modification or renewal to a permit takes effect.	Date Format: YYYYMMDD
<b>PMXD</b>	Expiration Date (Projected)	The projected date a permit is scheduled to expire and would no longer be in effect. Note: Submit a Permit Expires Event to reflect an Actual Permit Expiration Date where the permit has expired and is no longer in effect.	Date Format: YYYYMMDD
<b>AAD1</b>	Permitting Authority Data Element	Optional User-defined field provided for agency representatives to maintain permit information that relates to a permit or application.	
<b>CNTY</b>	County	a three character FIPS code which identifies the county in which a plant is located and the county in which the office or business of the contractor responsible for asbestos Demo/Reno work is located.	The county code must exist on the county / city table.
<b>PAFS</b>	AFS ID	A fifteen-character plant identifier required to enter permit information for plants. It must be unique within a county and requires the FIPS State and County Codes to uniquely identify a plant in AFS. The AFS ID must be established on the Plant prior to submitting permit information. Business Rule Guidance - Each AFS Plant ID Should Be Assigned A Unique Permit ID	

**Permit - Permit Event Record**

To ensure a full and complete permit event record ALL the fields in the table are necessary. Please fill out completely.

<b>Data Element Acronym</b>	<b>Data Element Name</b>	<b>Description</b>	<b>Valid Values</b>
<b>STTE</b>	State Code	a two-character FIPS code identifying the state/territory in which a plant is located.	The FIPS code entered must exist on the FIPS code table. Refer to the UI Cross Reference tables or the AFS Database for a complete listing.
<b>CNTY</b>	County Code	a three character FIPS code which identifies the county in which a plant is located and the county in which the office or business of the contractor responsible for asbestos Demo/Reno work is located.	The county code must exist on the county / city table.
<b>PAFS</b>	AFS ID	A fifteen-character plant identifier required to enter permit information for plants. It must be unique within a county and requires the FIPS State and County Codes to uniquely identify a plant in AFS. The AFS ID must be established on the Plant prior to submitting permit information. Business Rule Guidance - Each AFS Plant ID Should Be Assigned A Unique Permit ID	
<b>PAPN</b>	Permit ID	User defined value to identify a permit. The combination of State and Permit ID uniquely identifies a permit.	
<b>PATY</b>	Event Type	A code identifying a permitting related activity. Once the permit is issued, these events can not be deleted from the data base (unless the entire permit is deleted).	Refer to the UI Cross Reference tables or the AFS database for the complete listing. Mandatory Events in the UI table
<b>PACN</b>	Event Number	A user defined number to identify permit event. Users may enter '999' to have AFS assign the next available number. The combination of State, County, AFS Plant ID, Permit Event Type and Permit Event Number uniquely identifies an event in AFS.	Integer values between 001 - 999
<b>PDEA</b>	Date Achieved	The date on which a permit event is completed. Title V and Non-Title V Permits are both supported.	yyyymmdd - Either Date Scheduled or Date Achieved is required
<b>PARC</b>	Results	A two-character code indicating whether an event has been achieved or if another event should be referred to.	Must exist on the UI table

Continuous Emissions Monitoring - Point General Record
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Data Element Acronym	Data Element Name	Description	Valid Values
<b>STTE</b>	State code	a two-character FIPS code identifying the state/territory in which a plant is located.	The FIPS code entered must exist on the FIPS code table. Refer to the UI Cross Reference tables or the AFS Database for a complete listing.
<b>CNTY</b>	County Code	a three character FIPS code which identifies the county in which a plant is located and the county in which the office or business of the contractor responsible for asbestos Demo/Reno work is located.	The county code must exist on the county / city table.
<b>PCDS</b>	Plant ID	a five character plant identifier required to assign compliance information to plants in the AIRS facility subsystem. Formerly called CDS Plant ID.	This ID is unique within a state county. It may contain alpha and numeric values.
<b>PNUM</b>	Point ID	A three-character field used to identify a point	Must be 3 alphanumeric characters
<b>CEID</b>	Point C/E ID	A one-character field used to distinguish emission point numbers from compliance point numbers and identify Merged points.	<b>C</b> – Compliance; <b>M</b> – Merged; <i>System-generated (“C”)</i> when adding a point to a compliance-only facility. User supplied value required when adding a point to a merged facility.
<b>DSC3</b>	Point Description	A description of a point monitored for compliance.	Up to 25 alphanumeric characters

**Continuous Emissions Monitoring - Point Air Program Record**

The following fields are necessary for a complete point air program record; STTE, CNTY, PCDS, PNUM, CEID, APC3, SCA3 & AST3. Please fill out completely.

Data Element Acronym	Data Element Name	Description	Valid Values
<b>STTE</b>	State Code	a two-character FIPS code identifying the state/territory in which a plant is located.	The FIPS code entered must exist on the FIPS code table. Refer to the UI Cross Reference tables or the AFS Database for a complete listing.
<b>CNTY</b>	County Code	a three character FIPS code which identifies the county in which a plant is located and the county in which the office or business of the contractor responsible for asbestos Demo/Reno work is located.	The county code must exist on the county / city table.
<b>PCDS</b>	Plant ID	a five character plant identifier required to assign compliance information to plants in the AIRS facility subsystem. Formerly called CDS Plant ID.	This ID is unique within a state county. It may contain alpha and numeric values.
<b>PNUM</b>	Point ID	A three-character field used to identify a point	Must be 3 alphanumeric characters
<b>CEID</b>	Point C/E ID	A one-character field used to distinguish emission point numbers from compliance point numbers and identify Merged points.	<b>C</b> – Compliance; <b>M</b> – Merged; <i>System-generated ("C") when adding a point to a compliance-only facility. User supplied value required when adding a point to a merged facility.</i>
<b>APC3</b>	Point Air Program	A one character code used to identify the regulatory air program(s) Point is subject to.	<b>A</b> - ACID PRECIPITATION; <b>F</b> – FESOP – (Non-Title V); <b>I</b> - NATIVE AMERICAN; <b>M</b> - MACT (SECTION 63 NESHAPS); <b>V</b> - TITLE V PERMITS <b>0</b> - SIP SOURCE; <b>1</b> - SIP SOURCE UNDER FEDERAL JURISDICTION; <b>3</b> - NON-FEDERALLY REPORTABLE SOURCE; <b>4</b> - CFC TRACKING <b>6</b> - PSD; <b>7</b> - NSR; <b>8</b> - NESHAP; <b>9</b> - NSPS
<b>SPT3</b>	SubPart 1	Subparts are codes indicating the subpart for air programs: "9" - NSPS; "8" -NESHAP and; "M" - MACT NESHAP. The subpart information pertains to sections 60, 61 and 63 of the code of federal regulations respectively. NSPS Subparts may also be entered on the SIP air program. Subpart data is required for NSPS, NESHAPS, and MACT air program codes. Subparts may be indicated on the SIP air program if applicable. Up to 12 subpart codes may be associated with each plant air program.	The Subpart Code must exist on the subparts code table for the correct air program. Refer to the UI Cross Reference Tables or the AFS database for current listing of subparts.
<b>SPT3</b>	SubPart 2		
<b>SPT3</b>	SubPart 3		
<b>SPT3</b>	SubPart 4		
<b>SPT3</b>	SubPart 5		
<b>SPT3</b>	SubPart 6		
<b>SPT3</b>	SubPart 7		
<b>SPT3</b>	SubPart 8		
<b>SPT3</b>	SubPart 9		
<b>SPT3</b>	SubPart 10		
<b>SPT3</b>	SubPart 11		
<b>SPT3</b>	SubPart 12		
<b>SCA3</b>	Point Compliance Status	A one-character code which reflects the state agency's determination of the compliance status of a facility with regards to pollutants regulated by an air program or by the procedural requirements of a permit. Compliance falls within four categories: in, out, on schedule, and unknown. Values entered at the point air program pollutant level are NOT bubbled up to the plant level.	
<b>AST3</b>	Point Operating Status	Represents the operational condition of a point associated with a given air program.	<b>O</b> operating; <b>P</b> planned (has applied for a construction permit); <b>C</b> under construction; <b>T</b> temporarily closed; <b>X</b> permanently closed; <b>I</b> seasonal; <b>D</b> NESHAP demolition; <b>R</b> NESHAP renovation; <b>S</b> NESHAP spraying; <b>L</b> - landfill

**Continuous Emission Monitoring - Monitor Record**

The following fields are necessary for a complete monitor record; STTE, CNTY, PCDS, PNUM, CEID, & CHNM, as they are used to identify the equipment. In addition please enter information for at least ONE of the following fields to provide descriptive information about the equipment: MTMR, MTMN, MTSN, MTRC, CEMA, PEML, MTID, PSTD, PSTS &/or CEDT.

Data Element Acronym	Data Element Name	Description	Valid Values
STTE	State Code	a two-character FIPS code identifying the state/territory in which a plant is located.	The FIPS code entered must exist on the FIPS code table. Refer to the UI Cross Reference tables or the AFS Database for a complete listing.
CNTY	County Code	a three character FIPS code which identifies the county in which a plant is located and the county in which the office or business of the contractor responsible for asbestos Demo/Reno work is located.	The county code must exist on the county / city table.
PCDS	Plant ID	a five character plant identifier required to assign compliance information to plants in the AIRS facility subsystem. Formerly called CDS Plant ID.	This ID is unique within a state county. It may contain alpha and numeric values.
PNUM	Point ID	A three-character field used to identify a point	Must be 3 alphanumeric characters
CEID	Point C/E ID	A one-character field used to distinguish emission point numbers from compliance point numbers and identify Merged points.	C – Compliance; M – Merged; System-generated ("C") when adding a point to a compliance-only facility. User supplied value required when adding a point to a merged facility.
CHNM	Channel Number	A three-character code identifying the channel number associated with a point monitor.	<b>First character- parameter being monitored:</b> 0 - Air toxics monitor; 1 - Opacity monitor; 2 - Sulfur dioxide (so2) monitor; 3 - NOx monitor; 4 - Diluent (oxygen or carbon dioxide) monitor; 5 - Hydrocarbon; 6 - Total reduced sulfur (so2) monitor; 7 - Hydrogen disulfide monitor; 8 - Carbon monoxide; 9 - Coal sampling and analysis. <b>Second character - monitor indicator:</b> To indicate that the channel number is associated with a point monitor, the second position must equal "1". <b>Third character:</b> Single/group monitor number indicates if a monitor is the single monitor for the point or one of several monitoring the point; Single monitors are indicated by a value of "1"; Cluster monitors are indicated by a sequential number between 2-9.
MTMR	Manufacturer	The manufacturer of the primary component of the monitoring unit.	Up to 20 alphanumeric characters.
MTMN	Model Number	The monitor primary component model number.	Up to 15 alphanumeric characters.
MTSN	Serial Number	The serial number used to identify a primary component monitoring unit.	Up To 15 Alphanumeric Characters.
MTRC	Requirement Code	A one-character code identifying the air program regulation, enforcement action, compliance order, or consent decree requiring the installation of Continuous Emissions Monitoring equipment.	A - Acid rain precipitation; 0 - SIP Source; 1 - No Federal Requirement; 3 – Enforcement action, compliance order or consent decree; 6 - PSD; 9 - NSPS
CEMA	Enforcement Agency	A one character code identifying the federal, state or local agency with enforcement jurisdiction for Continuous Emission Monitoring at the plant.	1 - EPA-Headquarters; 2 - EPA-Region; 3 - State; 4 - Local
PEML	Permissible Limit	The emission value and units specified by the monitor regulation emission value and units.	Up to 20 alphanumeric characters.
MTID	Installation Date	The year and month in which the monitor was installed.	Date format YYYYMM
PSTD	Performance Specification	The year and month that the latest performance specification test was performed.	Date format YYYYMM
PSTS	Performance Specification	The result of the latest performance specification test.	Pass; Fail
CEDT	Certification Date	The date the continuous emissions monitor received certification.	Date format YYYYMMDD

**Continuous Emissions Monitor - Excess Emission Report Record**

The following fields are necessary for a complete excess emission report record; STTE, CNTY, PCDS, PNUM, CEID, CHNE & RQT3. In addition please enter information for at least ONE of the following fields to provide descriptive information about the emission; ACSP, TSOT, TIMC, STSH, CLSB, UNEE, CLEF, CLMU, PPRO, PPRU, INEE, FUPB, OKEE, MTEM, MNEM, CALB, UNMD, OKMD &/or INMD.

Data Element Acronym	Data Element Name	Description	Valid Values
STTE	State Code	a two-character FIPS code identifying the state/territory in which a plant is located.	The FIPS code entered must exist on the FIPS code table. Refer to the UI Cross Reference tables or the AFS Database for a complete listing.
CNTY	County Code	a three character FIPS code which identifies the county in which a plant is located and the county in which the office or business of the contractor responsible for asbestos Demo/Reno work is located.	The county code must exist on the county / city table.
PCDS	Plant ID	a five character plant identifier required to assign compliance information to plants in the AIRS facility subsystem. Formerly called CDS Plant ID.	This ID is unique within a state county. It may contain alpha and numeric values.
PNUM	Point ID	A three-character field used to identify a point	Must be 3 alphanumeric characters
CEID	Point C/E ID	A one-character field used to distinguish emission point numbers from compliance point numbers and identify Merged points.	C – Compliance; M – Merged; System-generated ("C") when adding a point to a compliance-only facility. User supplied value required when adding a point to a merged facility.
CHNE	Channel Number	A three-character code identifying the channel number associated with a point monitor.	<b>First character- parameter being monitored:</b> 0 - Air toxics monitor; 1 - Opacity monitor; 2 - Sulfur dioxide (so2) monitor; 3 - NOx monitor; 4 - Diluent (oxygen or carbon dioxide) monitor; 5 - Hydrocarbon; 6 - Total reduced sulfur (so2) monitor; 7 - Hydrogen disulfide monitor; 8 - Carbon monoxide; 9 - Coal sampling and analysis. <b>Second character - monitor indicator:</b> To indicate that the channel number is associated with a point monitor, the second position must equal "1". <b>Third character:</b> Single/group monitor number indicates if a monitor is the single monitor for the point or one of several monitoring the point; Single monitors are indicated by a value of "1"; Cluster monitors are indicated by a sequential number between 2-9.
RQT3	Report Quarter	Identifies the year and quarter in which a Continuous Emissions Monitoring Excess Emissions Report was	Date format YYYYQQ; Where QQ represents quarter values of 01, 02, 03, 04
ACSP	EER AIR PRGM 1	A one character code used to identify the regulatory air program(s) that is the reason an EER is produced.	A - ACID PRECIPITATION; I - NATIVE AMERICAN; M - MACT (SECTION 63 NESHAPS); V - TITLE V PERMITS; 0 - SIP SOURCE; 1 - SIP; SOURCE UNDER FEDERAL JURISDICTION; 3 - NON-FEDERALLY REPORTABLE SOURCE; 4 - CFC TRACKING; 6 - PSD; 7 - NSR; 8 - NESHAP; 9 - NSPS
ACSP	EER AIR PRGM 2		
ACSP	EER AIR PRGM 3		
ACSP	EER AIR PRGM 4		
ACSP	EER AIR PRGM 5		
ACSP	EER AIR PRGM 6		
TSOT	Total Source Operating Time	The total amount of time a plant is operating during the specified report quarter.	0 - 999,999
TIMC	Time Period Code	A one-character code indicating the units of time applied to quarterly excess emissions reported in an excess emissions report.	M - Minutes; A - 6 Minutes; B - 15 Minutes; C - 30 Minutes; D - 1 Hour (60 Minutes); E - 2 Hours (120 Minutes)
STSH	Start-up / Shut-down	A count of the quarterly excess emissions period units associated with the starting up or shutting down of the source.	0 - 999,999
CLSB	Cleaning / Soot-blowing	Count of the number of excess emission time periods due to cleaning/soot blowing, during the reporting quarter.	0 - 999,999
UNEE	Unknown Excess	The total number of quarterly excess emissions periods/units due to unknown reasons.	0 - 999,999
CLEF	Control Equipment Failure	Sum of quarterly excess emission period units due to unit/control equipment failure or malfunction.	0 - 999,999
CLMU	Control Equipment Malfunction Unacceptable	Sum of quarterly excess emission period units due to control equipment malfunctions that were deemed unacceptable. Used only if the control equipment malfunctions are a large portion of the total excess emissions, and a breakdown between acceptable malfunctions and any unacceptable malfunctions is deemed necessary. Guidance on the use of this field is available from each EPA Regional Continuous Emissions Monitoring coordinator.	0 - 999,999
PPRO	Process Problems	The summary total of quarterly excess emission period/units due to acceptable and unacceptable process problems defined by the monitoring agency.	0 - 999,999
PPRU	Process Problems Unacceptable	Sum of quarterly excess emission reporting period units due to process problems that were deemed unacceptable, as defined by the monitoring agency.	0 - 999,999
INEE	Number of Incidents of Excess Emissions	Total number of quarterly incidents of excess emissions recorded by a monitor.	0 - 999
FUPB	Fuel Problems	The number of quarterly period units the monitor recorded excess emissions due to fuel problems.	0 - 999,999
OKEE	Other Known Excessess	The number of period units during the quarter the monitor recorded excess emissions due to other known reasons.	0 - 999,999
MTEM	Monitor Equipment Malfunction	The number of quarterly monitor downtime period units due to the malfunction of the monitor equipment.	0 - 999,999
MNEM	Non-Monitor Equipment Malfunction	The number of quarterly monitor downtime period units due to the malfunction of non-monitor equipment.	0 - 999,999
CALB	Calibration	The number of quarterly time period units the source was operating and the monitor was not operating due to monitor calibration.	1 - 999,999
UNMD	Unknown Monitor Downtime	The number of quarterly monitor down time period/units due to unknown reasons.	0 - 999999
OKMD	Other Known Monitor Downtime	The number of monitor downtime period units during the quarter due to other known reasons.	0 - 999,999
INMD	Number of Incidents of Monitor Downtime	The total number of quarterly incidents of monitor downtime.	0 - 999

**Compliance Monitoring Strategy - CMS Record**

This record captures information related to compliance monitoring activities.

Data Element Acronym	Data Element Name	Description	Valid Values
<b>STTE</b>	State Code	a two-character FIPS code identifying the state/territory in which a plant is located.	The FIPS code entered must exist on the FIPS code table. Refer to the UI Cross Reference tables or the AFS Database for a complete listing.
<b>CNTY</b>	County Code	a three character FIPS code which identifies the county in which a plant is located and the county in which the office or business of the contractor responsible for asbestos Demo/Reno work is located.	The county code must exist on the county / city table.
<b>PCDS</b>	Plant ID	a five character plant identifier required to assign compliance information to plants in the AIRS facility subsystem. Formerly called CDS Plant ID.	This ID is unique within a state county. It may contain alpha and numeric values.
<b>CMSC</b>	Source Category	A one character code that indicates the source category to which a facility subject to CMS belongs.	<b>A</b> Title V Major; <b>S</b> 80% Synthetic Minor; <b>M</b> Mega-Site; <b>O</b> Other
<b>CMSI</b>	CMS Min Frequency Indicator	A one digit field indicating the number of years allowable between full compliance evaluations.	1 – 9
<b>CMYA</b>	Fiscal Year of FCE A	A four digit year indicating the year that a full compliance evaluation has been scheduled as defined in the CMS plan. There are 5 occurrences.	Valid Year >= 2002
<b>CMOA</b>	On Site Visit Indicator A	A 1 character flag indicating if an on-site visit is planned for a given fiscal year. Default value is 'Y'. There are 5 occurrences.	<b>Y</b> – An On-site visit is planned; <b>N</b> – An On-site visit is Not planned
<b>CMYB</b>	Fiscal Year of FCE B	A four digit year indicating the year that a full compliance evaluation has been scheduled as defined in the CMS plan. There are 5 occurrences.	Valid Year >= 2002
<b>CMOB</b>	On Site Visit Indicator B	A 1 character flag indicating if an on-site visit is planned for a given fiscal year. Default value is 'Y'. There are 5 occurrences.	<b>Y</b> – An On-site visit is planned; <b>N</b> – An On-site visit is Not planned
<b>CMYC</b>	Fiscal Year of FCE C	A four digit year indicating the year that a full compliance evaluation has been scheduled as defined in the CMS plan. There are 5 occurrences.	Valid Year >= 2002
<b>CMOC</b>	On Site Visit Indicator C	A 1 character flag indicating if an on-site visit is planned for a given fiscal year. Default value is 'Y'. There are 5 occurrences.	<b>Y</b> – An On-site visit is planned; <b>N</b> – An On-site visit is Not planned
<b>CMYD</b>	Fiscal Year of FCE D	A four digit year indicating the year that a full compliance evaluation has been scheduled as defined in the CMS plan. There are 5 occurrences.	Valid Year >= 2002
<b>CMOD</b>	On Site Visit Indicator D	A 1 character flag indicating if an on-site visit is planned for a given fiscal year. Default value is 'Y'. There are 5 occurrences.	<b>Y</b> – An On-site visit is planned; <b>N</b> – An On-site visit is Not planned
<b>CMYE</b>	Fiscal Year of FCE E	A four digit year indicating the year that a full compliance evaluation has been scheduled as defined in the CMS plan. There are 5 occurrences.	Valid Year >= 2002
<b>CMOE</b>	On Site Visit Indicator E	A 1 character flag indicating if an on-site visit is planned for a given fiscal year. Default value is 'Y'. There are 5 occurrences.	<b>Y</b> – An On-site visit is planned; <b>N</b> – An On-site visit is Not planned
<b>CM19</b>	CMS Comment	an optional field which permits the user to enter additional information for the plant CMS record. Comments consist of one lines, which can hold 39 characters.	

**Comment Record**

If the comment is against the whole plant then an action # is NOT needed. However, if the comment is for a specific action, then all fields are necessary.

<b>Data Element Acronym</b>	<b>Data Element Name</b>	<b>Description</b>	<b>Valid Values</b>
<b>STTE</b>	State Code	a two-character FIPS code identifying the state/territory in which a plant is located.	The FIPS code entered must exist on the FIPS code table. Refer to the UI Cross Reference tables or the AFS Database for a complete listing.
<b>CNTY</b>	County Code	a three character FIPS code which identifies the county in which a plant is located and the county in which the office or business of the contractor responsible for asbestos Demo/Reno work is located.	The county code must exist on the county / city table.
<b>PCDS</b>	Plant ID	a five character plant identifier required to assign compliance information to plants in the AIRS facility subsystem. Formerly called CDS Plant ID.	This ID is unique within a state county. It may contain alpha and numeric values.
<b>ANU1</b>	Action Number	A three digit numeric action identifier.	Numeric values between 1 and 999; input values of 999 will generate the next available sequential action number.
<b>CNU1</b>	Comment Number	a three-digit numeric comment identifier.	0 - 999; input values of 999 will generate the next available sequential action comment number.
<b>COM1</b>	Comment	an optional field which permits the user to enter additional information for an action. Comments consist of four lines, each of which can hold 55, 57, 57 and 57 characters respectively.	



**United States Environmental Protection Agency  
Office of Enforcement and Compliance Assurance  
Office of Compliance**

July 2005

## SUMMARY OF NATIONAL MINIMUM DATA REQUIREMENTS (MDRs) FOR CLEAN AIR ACT STATIONARY SOURCE COMPLIANCE

**Note:** Unless otherwise noted, both Regions and states/locals report their data. The reportable universe of facilities for AFS includes: Major, Synthetic Minor and Part 61 NESHAP Minor facilities, other facilities identified within the CMS Evaluation Plan, any facility with a formal enforcement action, any facility with an active HPV. Individual regional/state agreements are not superceded by this listing.

<b><u>Identification</u></b>	<b><u>Covered by the 2001 ICR</u></b>	<b><u>AFS Acronym</u></b>
1. Facility Name	Yes	PNME
2. State	Yes	STAB/STTE
3. County	Yes	CNTY
4. Facility Number	Yes	PCDS
5. Street	Yes	STRS
6. City	Yes	CYNM
7. Zip Code	Yes	ZIPC
8. SIC or NAICS Code	Yes-SIC	SIC1/NIC1
9. Government Ownership	Yes	GOVT
10. HPV Linkage and Key Action (Day Zero)	Yes	Linked from Action Data
<b><u>Compliance Monitoring Strategy (CMS)</u></b>		
11. CMS Source Category <sup>1</sup>	Yes	CMSC
12. CMS Minimum Frequency Indicator <sup>1</sup>	Yes	CMSI
<b><u>All Regulated Air Program(s)<sup>2</sup></u></b>		
13. Air Program	Yes	APC1
14. Operating Status	Yes	AST1
15. Subparts for NSPS, NESHAP and MACT <sup>3</sup>	No	SPT1
<b><u>Regulated Pollutant(s) within Air Program(s)</u></b>		
16. Pollutant(s)	Yes	PLAP/CAPP
17. Classification(s)	Yes	ECLP/SCLP
18. Attainment Status	Yes	EATN/SATN
19. Compliance Status	Yes	ECAP/SCAP
<b><u>Actions Within Air Programs<sup>4</sup></u></b>		
20. Minimum Reportable Actions:		
Notice of Violation(s)	Yes	
Administrative Order(s) and Assessed Penalties	Yes	
(Includes Enforcement Orders, Consent Decrees and Consent Agreements)		

Civil Referrals	Yes	
HPV Violation Discovered <sup>5</sup>	No	Linked from Action Data
Examples: FCEs, On-or Off-Site PCEs, Stack Tests, Title V Annual Compliance Certifications		
HPV Addressing Actions <sup>6</sup>	Yes	Linked from Action Data
HPV Resolving Actions <sup>7</sup>	Yes	Linked from Action Data
Full Compliance Evaluations	Yes	
Stack Tests <sup>8</sup>	Yes	
Title V Annual Compliance Certification Received <sup>9 11</sup>	Yes	
Title V Annual Compliance Certification Reviewed <sup>10 12</sup>	Yes	
Investigations <sup>13</sup>	Yes	

**Additional Action Information:**

21. Results Code <sup>8 10</sup>	Yes	RSC1
22. RD08 (Certification Deviations) <sup>9 10</sup>	Yes	RD81
23. Date Scheduled <sup>11</sup>	Yes	DTS1
24. HPV Violation Type Code <sup>14</sup>	No	VTP1
25. HPV Violating Pollutant(s) <sup>14</sup>	No	VPL1

**Timeliness Standard<sup>15</sup>**

26. Action Reported within 60 Days of Event; with minimum of 6 uploads to AFS per year.	No	
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**OPTIONAL/DISCRETIONARY DATA REPORTING TO AFS–NON-MDR DATA**

The following items cover data that is not considered an MDR, but will be useful and helpful for program implementation, evaluation and oversight. State and local agencies are encouraged to report the following items whenever practicable.

1. Minor Facility information: For minor sources that are not MDR (MDR for minor facilities is defined as: Minor NESHAP, a minor facility identified within the CMS plan for evaluation, minor facilities with an enforcement action or any HPV case regardless of class) reporting is optional but encouraged. Minor source information would include NSPS and MACT subpart applicability.
2. Stack Test Pollutant (PLC1)
3. Partial Compliance Evaluations (PCEs) and specific reporting of On-Site PCE activity defined as: Complaint Partial Compliance Evaluation, Permit Partial Compliance Evaluation, Process Partial Compliance Evaluation, Partial Compliance Evaluation On-Site Observation. (Note: All PCEs are required to be reported by EPA Regional offices. Also, any negotiated PCEs that are part of an alternative frequency which is part of an

agency's CMS plan are required to be reported.)

4. Reporting more frequently than every 60 days.
5. State Investigations initiated.
6. Title V Permit Program Data Elements (PPDEs): Required for reporting to AFS by the Office of Air Quality Planning and Standards (OAQPS), used by the Office of Enforcement and Compliance Assurance (OECA) for major source universe population. To be established when the Title V permit is issued. AFS will require the establishment of an AFS ID, the individual permit number, category, and event type for permit issued plus the date achieved. Permit Program Data Elements (PPDEs) include the Permit Number (ASPN), Permit Category (PMTTC), and Permit Issuance Event Types (IF-Permit Issued and IR-Permit Renewal) and the date (PATY/PDEA).

**Notes for Table 1:**

1. Generally EPA enters this information into AFS; states/locals provide this information per agreement with the EPA Region. An EPA Region may delegate data entry rights to a state/local agency.
2. All applicable air programs should be reflected at the plant level of AFS.
3. Any applicable subpart for the NSPS, NESHAP or MACT air program at major and synthetic minor sources, minor source NESHAP and all other facilities reported as MDR. Phase-In approach of data entry limits data input to applicable subparts at sources receiving FCEs starting in FY06. Reporting of minor source NSPS and MACT subparts are optional but recommended (unless the minor source is included in the CMS universe, has a current enforcement action of <3 years old and is listed as a discretionary HPV).
4. Includes action number, action type, and date achieved. Penalty amount is also included where appropriate and should reflect assessed penalty (penalty assessed via a formal enforcement action).
5. Actions for Discovery Date are defined as: FCEs, PCEs, Title V Annual Compliance Certifications and Stack Tests. These action types should be linked into the HPV pathway. Phased-In approach for data entry requires HPV Violation Discovered Date to be reported on new HPV cases starting in FY06.
6. Examples of addressing actions include, but are not limited to: State/EPA Civil Action; State/EPA Administrative Order; State/EPA Consent Decree; Source returned to compliance by State/EPA with no further action required. HPV Lead Agency responsible for data entry of actions into AFS, or as negotiated.
7. Examples of resolving actions include: Violation Resolved by State/EPA, State/EPA Closeout Memo Issued, Source returned to compliance by State/EPA with no further action required. HPV Lead agency responsible for data entry of actions into AFS, or as negotiated.
8. Pass/Fail codes (PP/FF) are reported in the results code field.
9. EPA reports and enters into AFS unless otherwise negotiated.
10. Results codes for Annual Compliance Certification reviews are: in compliance (MC), in violation (MV) and unknown (MU).

11. The Due Date of a Title V Annual Compliance Certification will be reported as a date scheduled on the “Title V Annual Compliance Certification Due/Received by EPA” action, and is not enforcement sensitive.

12. Annual Compliance Certification deviations(s) will be indicated in RD08 for EPA reviews (and state reviews as negotiated).

13. EPA Investigation Initiated (started) and State/EPA Investigation Conducted (finished). State Investigation Initiated is added for optional use. EPA and State Investigation Initiated (started) action types are enforcement sensitive.

14. HPV Violation Type Code is to be identified when the Day Zero is established, values are listed at:

<http://www.epa.gov/compliance/data/systems/air/afssystem.html>

HPV Pollutants are to be entered with the Day Zero action type. Phased-In approach for data entry requires HPV Violation Type Code and Violating Pollutants to be reported on new HPV cases starting in FY06.

15. Data is to be reported to AFS within 60 days of the event reported in the Date Achieved (DTA1) field of the action record for state and local agencies. Monthly updating is encouraged. Federal data is to be reported on a monthly basis.