

WISCONSIN DEPARTMENT OF NATURAL RESOURCES

# Compliance Monitoring Reports Electronic Submittal Guidebook

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## Air Pollution Control Operation Permits

Air Management Program

Publication Number: AM-537-2015



For more information on the electronic submittal process, contact your compliance inspector.

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## **Background / Set-Up Options**

### **Monitoring Reports**

The Compliance Monitoring Report is required by Part II section D.3 of a facility's Operation Permit and in s. NR 439.03(1)(b) of the Wisconsin Administrative Code. The report is required to include the **results of monitoring** required by the permit or, if approved by the Wisconsin Department of Natural Resources (DNR), a summary of the monitoring results. Work with the DNR compliance engineer assigned to the facility to determine what information should be contained in the Monitoring Report.

### Monitoring Results vs. Summary of Monitoring Results

Example Permit Requirement: maintain records of baghouse pressure drop readings

<i>monitoring results</i>	a copy of the actual record of each pressure drop reading required
<i>summary of monitoring results</i>	a declaration of the range of the pressure drop values recorded during the reporting period

- \* Note: the code requires facilities to identify **all** deviations and violations of applicable requirements in the report regardless of the method of reporting approved for use.

### **Facility Reporting Guidance**

All facilities with an air pollution operation permit must submit a Compliance Monitoring Report to the Department of Natural Resources (DNR). The Environmental Protection Agency (EPA) no longer requires a separate submittal for sources operating under a Title V permit (see sidebar).

Permittees may submit the report electronically through the Compliance Monitoring Report Submittal system. This is the DNR preferred method for submittal, though paper copies are still accepted. Please note all document uploads must be in PDF format and may not exceed 30 megabytes in size.

The Compliance Monitoring Report must be signed by the Responsible Official. If the

USEPA recently published a notification of a change to the Compliance Certification Requirements for Title V sources. Effective 9/15/2014, with the exception of major facilities on tribal land EPA made a determination that the reporting provisions in 40 CFR 70.6(c)(5)(iv) are met by sending the compliance certifications to the state; a separate submittal to EPA Region 5 is no longer required.

electronic system is used for submittal, a HARD COPY INK SIGNATURE page MUST be submitted to DNR (not the entire report document, just the page with ink signature). Be sure to include the FID/Company Name on the signature page for identification.

### Requesting DNR Switchboard Access to Use Electronic Submittal System

The Switchboard is used to securely login and access forms and reporting systems which are related to a specific company or municipality. The Switchboard can be located by typing “switchboard” into the search button on the DNR home page ([dnr.wi.gov](http://dnr.wi.gov)), or by navigating to it by hovering over the “business” button in the blue navigation bar on the DNR home page and clicking “Switchboard” on the drop down menu.

A Web Access Management System (WAMS) user ID is required to log into the Switchboard system. If a WAMS User ID is needed, please follow the process to create one by clicking the “Create WAMS ID” button at the top of the Switchboard landing page (<http://dnr.wi.gov/topic/Switchboard/>). Those with WAMS ID’s already assigned can click on the “Log In” button on the Switchboard landing page to begin.

Once a WAMs ID is already associated with the company or municipality for other DNR reporting such as Water, Wastewater, or Air Emissions, the company or municipality will **need to request access for the new air Compliance Actions Role** to be able to submit Compliance Monitoring Reports electronically. If the company or municipality already has access to the Air Compliance Actions Role, skip to Page 5 of this guide.

To request access, select the “Request Access” button on the Switchboard landing page or select Air Compliance Submittal Actions (see below).



## Monitoring Report Electronic Submittal Guidebook

Next select “Show Roles” for the Air category:

Wisconsin Department of Natural Resources  
DNR Switchboard - Request Access

Select Roles

Select one or more roles for the on-line systems you need access. Then click on the "Next" button to save your information and continue.  
Note: Some roles may have already been selected for you.

Show Roles:	<b>Financial:</b> Intent to Apply for the Clean Water Fund Program and Safe Drinking Water Loan Program
Show Roles:	<b>Drinking Water:</b> Monthly Operating Reports (eMOR), Well Sealing Report
Show Roles:	<b>Wastewater/Septage:</b> Permit Applications, Land Application, Discharge Monitoring Report (DMR), Compliance Maintenance Annual Report (CMAR)
Show Roles:	<b>Waste:</b> Hazardous & Infectious Waste Annual Reports
Show Roles:	<b>Air:</b> Air Permit, Compliance and Emission Inventory Reporting
Show Roles:	<b>Recycling &amp; eCycling:</b> Recycling Grant Applications, Recycling Annual Report, and E-Cycling
Show Roles:	<b>Laboratory:</b> Lab Drinking Water Results and Proficiency Testing

Next Clear Back Cancel

**Select: Show Roles for the Air Category**

Next click the checkbox for the Air Compliance Submittal and click the “Next” button.

Wisconsin Department of Natural Resources  
DNR Switchboard - Request Access

Select Roles

Select one or more roles for the on-line systems you need access. Then click on the "Next" button to save your information and continue.  
Note: Some roles may have already been selected for you.

Show Roles:	<b>Financial:</b> Intent to Apply for the Clean Water Fund Program and Safe Drinking Water Loan Program
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Show Roles:	<b>Waste:</b> Hazardous & Infectious Waste Annual Reports
Show Roles:	<b>Air:</b> Air Permit, Compliance and Emission Inventory Reporting
Show Roles:	<input checked="" type="checkbox"/> <b>Air Compliance Submittal</b> <a href="#">Hide Info</a> This allows authorized facility representatives to submit data and documents related to Compliance Certifications, Monitoring Reports, and Stack Tests.
Show Roles:	<input type="checkbox"/> <b>Air Emission Inventory Submittal</b> <a href="#">Hide Info</a> This allows companies to report reports to the DNR.
Show Roles:	<input type="checkbox"/> <b>Air Permit Action Submittal</b> <a href="#">Hide Info</a> This allows authorized facility representatives to request for initial operation permits.
Show Roles:	<b>Recycling &amp; eCycling:</b> Recycling Grant Applications, Recycling Annual Report, and E-Cycling
Show Roles:	<b>Laboratory:</b> Lab Drinking Water Results and Proficiency Testing

Next Clear Back Cancel

**Click Checkbox Air Compliance Submittal**

**Select: Next**

An Electronic Signature is REQUIRED if the facility or municipality is new to the Switchboard. Sign and date the Wisconsin Department of Natural Resources Electronic Signature Agreement and mail the original signed version to the DNR at:

Switchboard Access Request – SS/7  
Department of Natural Resources  
PO Box 7921  
Madison, WI 53707-7921

If new to having Switchboard access, the facility or municipality will receive e-mail notification that access has been granted within two to three business days. Access to a new role for those with existing Switchboard access should be granted within 5 days. Contact the DNR if access is not granted within 5 days.

Please note: If you request access to Asbestos Notification you will need to submit an original, signed and notarized document.

## Electronic Submittal Process

### Login Options

Once the facility or municipality completes Switchboard set-up, including a WAMS ID and access granted to the Air Compliance Submittal option, the permittee can begin electronically submitting Air Compliance documents.

Log in to the Switchboard using one of these three options:

1. Click the “log in” button on the Switchboard landing page (<http://dnr.wi.gov/topic/Switchboard/>),
2. Selecting the “Air Compliance Submittal Actions” button on the bottom left of the Switchboard landing page.
3. Click the “log in” button on the Air Compliance Reporting Information landing page (<http://dnr.wi.gov/topics/AirPermits/ComplianceReports.html>)

### Locate the Facility

The WAMS log in screen will prompt you to enter your User ID and Password. Upon entering this information, the facility or municipality information will populate the page. Locate the desired facility and select the “Air Compliance Actions” choice in the right-hand column.

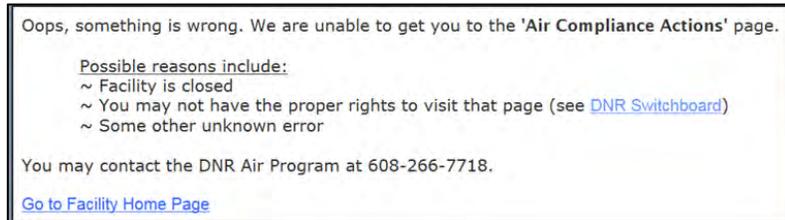
Your Contact Information:	What You Can Do:
<b>STEVE BOGOST</b> 101 S WEBSTER ST WAUNAKEE MADISON, WI 53707 (608) 264-8843 Ext:111 steven.bogost@wisconsin.gov	<a href="#">Asbestos Notification</a> <a href="#">Update Contact Info</a>
Your Facility / Company Information:	What You Can Do:
<b>ASPIR</b> 333 P WAUS FID: 7	<a href="#">Upload</a>
<b>CORP</b> 905 B WAUNAKEE, WI 53087-9005 FID: 113288120	<a href="#">Review Facility Contacts</a> <a href="#">Update Facility Info</a>
<b>CROWN CORK &amp; SEAL CO INC</b> 4801 W WOOLWORTH AVE MILWAUKEE, WI 53218-1417 FID: 241081590	<a href="#">View Facility Air Data (and Upload)</a> <a href="#">Air Permit Actions</a> <a href="#">Review Facility Contacts</a> <a href="#">Update Facility Info</a>
<b>DNR AIR REPORTING TEST FACILITY (PROD)</b> 555 ANYWHERE DR MADISON, WI 53707 FID: 555555550	<a href="#">Annual Air Emission Inventory</a> <a href="#">Air Compliance Actions</a> <a href="#">Air Permit Actions</a> <a href="#">Review Facility Contacts</a> <a href="#">Update Facility Info</a>

**Locate Desired Facility and Select: Air Compliance Actions**

Or you can check the “Compliance” button when on one of the other facility Air pages in WAMS.



- \* If the following screen appears, the appropriate role was not selected in the “Requesting DNR Switchboard Access” step. Please return to page 3 of this guide for instructions on how to submit the request.



- \* If “no records found” is listed under the facility Compliance Certifications, and the permit requires Compliance Certification, contact the compliance inspector assigned to the facility.



## Compliance Monitoring Reports Review and Selection

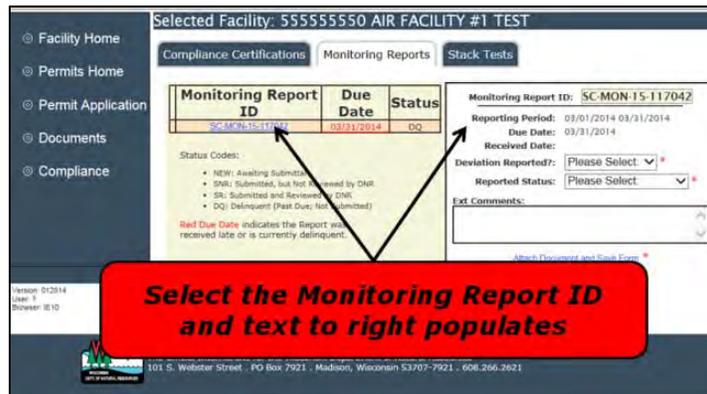
Select the Monitoring Reports tab. Note: The required Monitoring Report submittal ID, due date and status are shown. If there is inaccurate or missing information, please contact your air compliance inspector.

Monitoring Report Status Codes:

Status Code	Description
NEW	Awaiting Submittal
SNR	Submitted, not reviewed by DNR
SR	Submitted & reviewed by DNR
DQ	Delinquent (past due, not submitted)

**A RED Due Date indicates the Report was received late or is currently delinquent.**

To begin the submittal process, select the appropriate Monitoring Report ID (located in blue, underlined text) desired. The text at the right of the screen will change, highlighting the Monitoring Report ID information.



- \* All fields labeled with a RED asterisks are required fields.
- \* Ensure the Reporting Period and Due Date is correct. Contact the air compliance inspector if there is an error.

## Deviation Reporting

Deviations at any time during the reporting period must be reported. A deviation is defined as any time an owner or operator cannot claim complete conformance with every term and condition of applicable permits and regulation. Use the dropdown menu to select if a Deviation will be reported.

If “Yes” is selected, all deviations must be listed in the Monitoring Report. DNR Form 4530-171 (Deviation Summary Report) (<http://dnr.wi.gov/topic/airpermits/forms.html>) or an equivalent method may be used to report deviations. There is also the combined form 4530-170&171 to simplify the electronic submittal.

Next select the Facility Compliance Status during the reporting period. Choices are C = Compliance, I = Intermittent, and NC = non-Compliant.

<u>Facility Compliance Status</u>	<u>Description</u>
Compliance	<p><b>Facility was in continuous compliance. <u>This means zero deviations occurred during the reporting period.</u></b> (During the entire reporting period identified in this monitoring report, this facility was in <b>continuous</b> compliance with <b>all</b> conditions specified in the permit identified in this monitoring report. The method used to determine compliance for each condition is the method specified in the permit identified in this monitoring report.)</p>
Intermittent	<p><b>Facility was in intermittent compliance. <u>This means one or more deviations occurred during the reporting period that were all corrected prior to the end of the reporting period.</u></b> (This indicates that deviations occurred and are identified in the submittal, but all have been corrected and are no longer occurring. At some point during the reporting period identified in the monitoring report, this facility was not in compliance with a specified permit condition identified in this monitoring report and the deviation has been corrected.)</p>
Non-Compliant	<p><b>Facility was in non-compliance. <u>This means one or more deviations occurred during the reporting period and one or more deviations are still on-going at the time of the reporting period ended.</u></b> (This indicates a deviation occurred and is identified in the submittal. At some point during the reporting period identified in the monitoring report, this facility was not in compliance with a specified permit condition identified in this monitoring report and the deviation is ongoing or has not been corrected.)</p>

The last box allows the permittee to provide any additional comments to the Department (i.e., “Deviations are listed on page 3 of attached report.” or “I lost the permit.” or “Report is one year late.”)

## Signature Requirements

Select the “Attach Documents and Save Form” link at the bottom of the page.



An “Upload Monitoring Report” box will appear with an important disclaimer stating “To complete this submittal YOU MUST MAIL THE ORIGINAL INK SIGNATURE OF THE RCP (Responsible Corporate Official) from the uploaded document to the Department (just the page with the ink signature not entire attachment).” Please mail this signature page to the facility’s assigned Air Compliance Inspector.

The DNR is working towards obtaining an EPA approved electronic signature system for this submittal in the future. However at this time a hard copy ink signature is still required to meet federal and state regulations.

After submittal, a return-receipt e-mail containing this same information will be sent to the WAMS ID e-mail on file. Please contact the facility’s assigned compliance inspector with any questions.

## Confidential Submissions

If any part of the facility’s Monitoring Report has been approved to be considered confidential via the confidentiality request approval process, **DO NOT SUBMIT THE CONFIDENTIAL VERSION OF THE DOCUMENT VIA THE ELECTRONIC UPLOAD SYSTEM.** Submit the confidential copy via hard copy in the mail, and submit the public version via the electronic system.

## Attaching Documents

After reviewing the signature and confidential submission requirements, click the “Browse” button to locate the monitoring report on your computer or network. Find and select the document for upload and press the “Open” button. Remember, only PDF files of less than 30 megabytes in size can be uploaded.

## Monitoring Report Electronic Submittal Guidebook

Selected Facility: 55555550 AIR FACILITY #1 TEST

Compliance Certifications | Monitoring Reports | Stack Tests

Monitoring Report ID	Due Date	Status
SC-MON-15-117042	03/31/2014	DQ

Monitoring Report ID: SC-MON-15-117042  
 Reporting Period: 03/01/2014 03/31/2014  
 Due Date: 03/31/2014  
 Received Date:  
 Deviation Reported?: Yes  
 Reported Status: C - In Compliance

**Select: Browse**

**Upload Monitoring Report**

Ink Signature Still Required? [Read more...](#) Confidential Data? [Read less...](#)

Maximum Upload File Size: 12MB

**Upload Document and Save Form** **Cancel**

The selected document should be listed in the “Upload Monitoring Report” box next to the “Browse” button. Select the “Upload Document and Save Form” button to submit the monitoring report.

Selected Facility: 55555550 AIR FACILITY #1 TEST

Compliance Certifications | Monitoring Reports | Stack Tests

Monitoring Report ID	Due Date	Status
SC-MON-15-117042	03/31/2014	DQ

Monitoring Report ID: SC-MON-15-117042  
 Reporting Period: 03/01/2014 03/31/2014  
 Due Date: 03/31/2014  
 Received Date:  
 Deviation Reported?: Yes  
 Reported Status: C - In Compliance

**Select: Upload Document and Save Form**

**Upload Monitoring Report**

Ink Signature Still Required? [Read more...](#) Confidential Data? [Read less...](#)

Maximum Upload File Size: 12MB

**Upload Document and Save Form** **Cancel**

### E-mail Receipt

After uploading the Monitoring Report an e-mail receipt will be sent to the facility.

- \* NOTE: There will be a reminder in the message to mail the original ink signature of the Responsible Official from the compliance certification to the assigned compliance inspector.

From: Larson, Corey D - DNR  
 To: Larson, Corey D - DNR  
 Cc:  
 Subject: Monitoring Report Receipt

**EMAIL RECIEPT**

Sent: Tue 07/07/2015 1:11

The Dept. has received your Monitoring Report upload for FID 55555550 (AIR FACILITY #1 TEST). Our database has assigned the name Monitoring\_Report\_030114\_033114\_55555550.pdf to the file. To complete this submittal YOU MUST MAIL THE ORIGINAL INK SIGNATURE OF THE RCP (Responsible Corporate Official) from the attached upload to the Department (just the page with the ink signature not entire attachment). Please mail this signature in to your facility assigned Compliance Inspector.

**COMPLIANCE INSPECTOR MAILING ADDRESS CITY W1 ZIP**

The department understands this may be an inconvenience. The Dept is working towards obtaining an EPA approved electronic signature system for this submittal in the future. However at this time a hard copy ink signature is still required to meet federal and state regulations.

**\*\* DO NOT REPLY TO THIS EMAIL, if you have questions please contact your assigned compliance inspector \*\***

- Department is working towards an EPA approved Method to move away from requiring an ink signature system, to allow for electronic signatures.

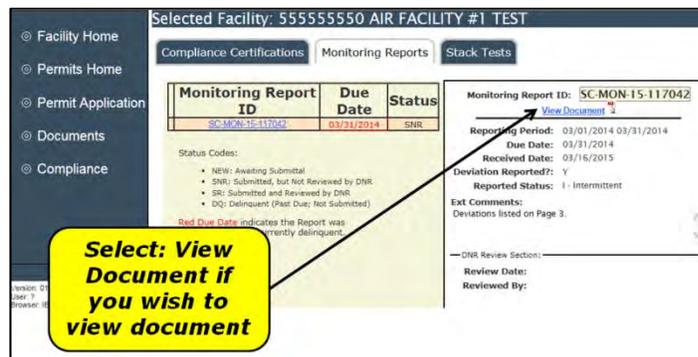
The following e-mail notifications will be sent from the DNR to the contact(s) having the “Air Compliance Actions” role. They include:

- E-mail receipt: Monitoring Report submittal
- Courtesy notification: Report period has ended, you can now report.
- Courtesy notification: Report ID due in 14 days
- Courtesy notification: Report is past due (if report is not received by the due date)
- Courtesy notification: Report is 20 days past due
- Courtesy notification: Signature not received (30 days after due date)

## Review

### Review Submissions

All past and present electronic submissions can be viewed by clicking the “Monitoring Report ID” and selecting “View Document.”



After submission, DNR will rename the document, in this format:  
Monitoring\_Report\_Reporting Period\_FID

Example:

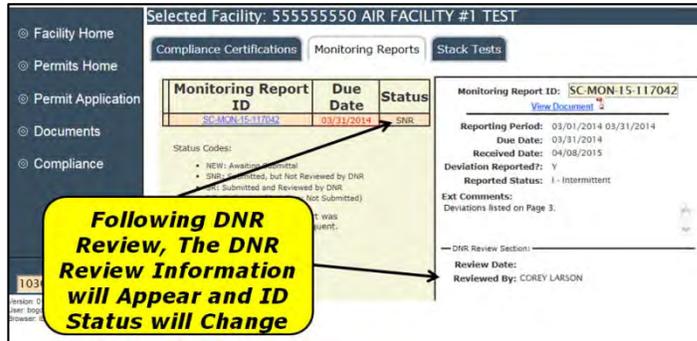
Monitoring\_Report\_010114\_123114\_55555550  
(010114\_123114 is equivalent to Jan 1, 2014 to Dec 31, 2014 Reporting Period)

If a re-submit occurs for any reason, DNR will add “\_NA” to end of the un-submitted report.

### Completed Submissions

The Compliance Monitoring Report submission is complete when ALL STEPS (including mailing the original ink signature page to the air compliance inspector) are complete.

The facility or municipality can follow the DNR review process by locating the DNR Review Section under the Monitoring Reports ID. Listed in this section are the review date and DNR staff reviewing the Monitoring Report. Once DNR has completed their review, the status will be updated.



## More Information

### Resources

Please visit the Air Compliance Submittal Actions Electronic Reporting web page at <http://dnr.wi.gov/topic/AirPermits/ComplianceReports.html> or contact your compliance inspector.

*This document is intended solely as guidance and does not include any mandatory requirements except where requirements found in statute or administrative rule are referenced. This guidance does not establish or affect legal rights or obligations and is not finally determinative of any of the issues addressed. This guidance does not create any rights enforceable by any party in litigation with the State of Wisconsin or the Department of Natural Resources. Any regulatory decisions made by the Department of Natural Resources in any manner addressed by this guidance will be made by applying the governing statutes and administrative rules to the relevant facts.*

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Wisconsin Department of Natural Resources  
 Box 7921  
 Madison, WI 53707