

WISCONSIN DEPARTMENT OF NATURAL RESOURCES

# Compliance Certification Electronic Submittal Guidebook

---

## Air Pollution Control Operation Permits

Air Management Program

Publication Number: AM-536-2015



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

## **Table of Contents**

<b>Background / Set-Up Options</b> .....	2
Compliance Certification Report.....	2
Facility Reporting Guidance .....	2
Requesting DNR Switchboard Access to Use Electronic Submittal System .....	3
<b>Electronic Submittal Process</b> .....	5
Login Options .....	5
Locate the Facility .....	5
Compliance Certification Review and Selection .....	6
Deviation Reporting.....	7
Signature Requirements.....	9
Confidential Submissions .....	9
Attaching Documents .....	10
E-mail Receipt.....	10
<b>Review</b> .....	11
Review Submissions .....	11
Completed Submissions.....	11
<b>More Information</b> .....	12
Resources .....	12

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

### **Compliance Certification Report**

The Compliance Certification Report is a requirement under Part II section N of all Air Pollution Control Operation Permits and s. NR 439.03(1)(c), Wisconsin Administrative Code. The report is required to include a compliance status statement for each and every condition in the permit. This can be accomplished by developing a table with each permit term or condition of the permit, the compliance status with respect to each permit term or condition, and the method used to determine the status of each term or condition. Another option for this report is to use forms 4530-170 and 4530-171 that the department has developed for the permittee's use. Please note that the code requires the permittee to identify all deviations and violations from applicable requirements in the permit if any occurred. The optional forms can be found at: <http://dnr.wi.gov/topic/AirPermits/Forms.html>, on the Compliance tab.

### **Facility Reporting Guidance**

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

Permittees may use the Air Operation Permit Compliance Certification DNR Form 4530-170, and Deviation Form 4530-171, available at <http://dnr.wi.gov/topic/airpermits/forms.html>, on the Compliance tab, to satisfy this requirement. To simplify the electronic submittal process, a combined form 4530-170&171 is available.

Permittees may also submit the report electronically through the Compliance Certification 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 form and may not exceed 30 megabytes in size.

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.

The Compliance Certification Report must be signed by the facility's Responsible Official. If the 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.

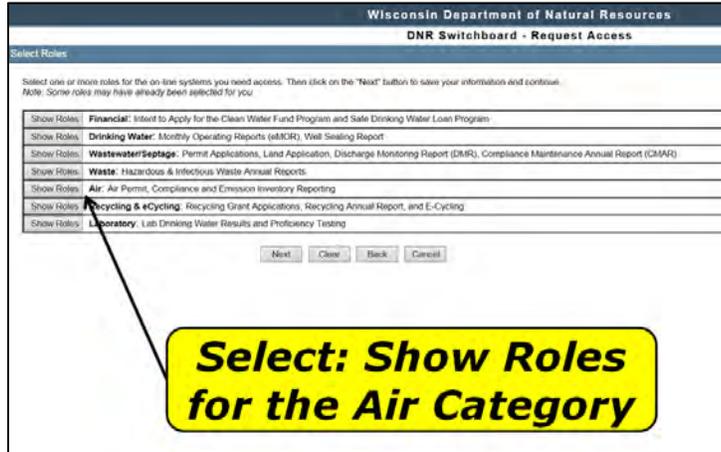
A Web Access Management System (WAMS) user ID is required to log into the Switchboard system. If a WAMS User ID is needed, please follow the process to create one by clicking the “Create WAMS ID” button at the top of the Switchboard landing page (<http://dnr.wi.gov/topic/Switchboard/>). Those with WAMS 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 Certifications electronically. If the company or municipality already has access to the Air Compliance Actions Role skip to Page 5 of this guide.

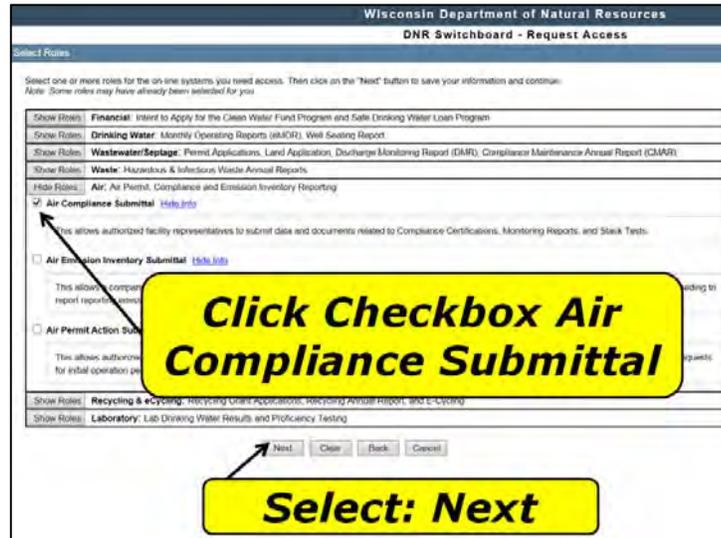
To request access, select the “Request Access” button on the Switchboard landing page or select Air Compliance Submittal Actions (see below).

The image shows a screenshot of the DNR Switchboard website. A yellow callout box with the text "Select: REQUEST" has an arrow pointing to the "Request access" button. Another yellow callout box with the text "Or Select: AIR COMPLIANCE SUBMITTAL ACTIONS" has an arrow pointing to the "Air Compliance Submittal Actions" link in the "Air" category. The website interface includes a navigation bar, a search bar, and a main content area with buttons for "Create WAMS ID", "Request access", "Log in", and "Reset password". Below these are sections for "Air", "Water", and "Waste" with various sub-links. A mouse cursor is visible over the "Request access" button.

Next select “Show Roles” for the Air category:



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



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

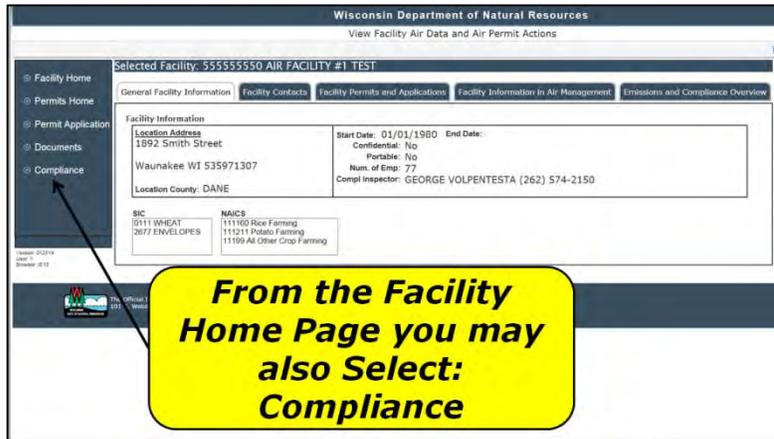
The WAMS log in screen will prompt you to enter your User ID and Password. Upon entering this information, the facility or municipality information will populate the page. Locate the desired facility and select the “Air Compliance Actions” choice in the right-hand column.

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 BE WAUNAKEE, WI 53097-9005 FID: 113288120	<a href="#">Upload</a> <a href="#">Review Facility Contracts</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>

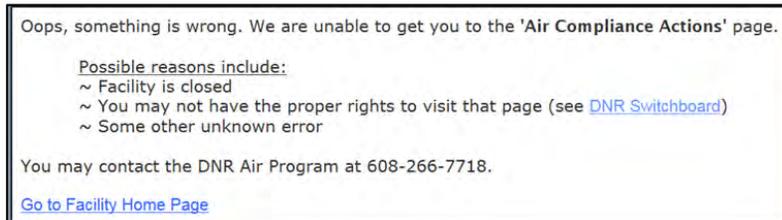
**Locate Desired Facility and Select: Air Compliance Actions**

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

## Compliance Certification Electronic Submittal Guidebook



- \* 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 resubmit 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 Certification Review and Selection

Select the Compliance Certification tab. Note all required compliance certification submittal ID's, due dates, status and previous submittals are shown.

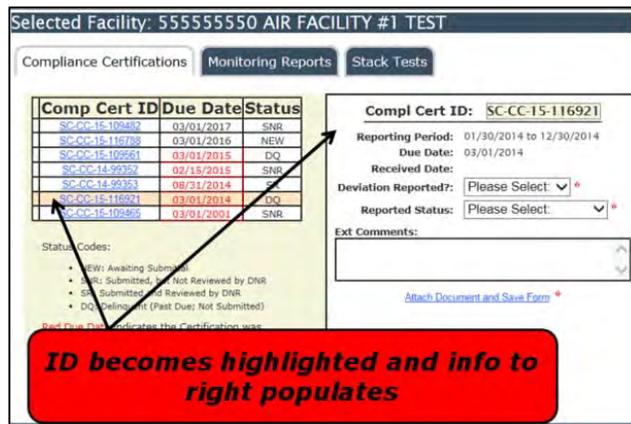
If there is inaccurate or missing information, please contact your compliance inspector.

Compliance 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 Certification was received late or is currently delinquent.**

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



- \* All fields labeled with a RED asterisks are required fields.
- \* Ensure the Reporting Period and Due Date is correct. Contact the 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 Compliance Certification upload. 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 compliance certification, this facility was in <b>continuous</b> compliance with <b>all</b> conditions specified in the permit identified in this compliance certification. The method used to determine compliance for each condition is the method specified in the permit identified in this compliance certification.)</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 compliance certification, this facility was not in compliance with a specified permit condition identified in this compliance certification 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 compliance certification, this facility was not in compliance with a specified permit condition identified in this compliance certification and the deviation is ongoing or has not been corrected.)</p>

The last box allows the permittee to add 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.

**Select: Attach Document and Save Form**

Comp Cert ID	Due Date	Status
SC-CC-15-10460	03/01/2017	SNR
SC-CC-15-11676	03/01/2016	NEW
SC-CC-15-10961	03/01/2015	DQ
SC-CC-14-59352	02/15/2015	SNR
SC-CC-14-59351	08/31/2014	SR
SC-CC-15-116921	03/01/2014	DQ
SC-CC-15-10465	03/01/2001	SNR

**Compl Cert ID:** SC-CC-15-116921  
**Reporting Period:** 01/30/2014 to 12/30/2014  
**Due Date:** 03/01/2014  
**Received Date:**  
**Deviation Reported?:** Yes  
**Reported Status:** Intermittent  
**Ext Comments:** Deviations are listed on page 3 of attached report. Additionally report was a year late.

**Status Codes:**  
 • NEW: Awaiting Submittal  
 • SNR: Submitted, but Not Reviewed by DNR  
 • SR: Submitted and Reviewed by DNR  
 • DQ: Delinquent (Past Due; Not Submitted)  
 Red Due Date indicates the Certification was received late or is currently delinquent.

[Attach Document and Save Form](#)

An “Upload Compliance Certification” 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 Compliance Inspector.

The Department 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.

The EPA published a notification of a change to the Compliance Certification Requirements for Title V sources. Effective 09/15/2014, with the exception of major facilities on tribal land, making a determination that the reporting provisions in 40 CFR 70.6(c)(5)(iv) are met by sending the compliance certifications to the state. Therefore a separate submittal to EPA Region 5 is no longer required. 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.

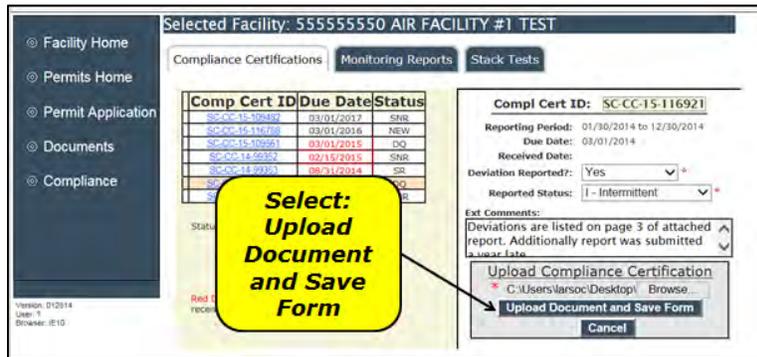
## Confidential Submissions

If any part of the facility’s Compliance Certification has been approved to be considered confidential via the confidentiality request approval process, **DO NOT SUBMIT THE CONFIDENTIAL VERSION OF THE DOCUMENT VIA THE ELECTONIC 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 “Upload Documents and Save Form” button. The “Browse” button may be used to locate the compliance certification 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.

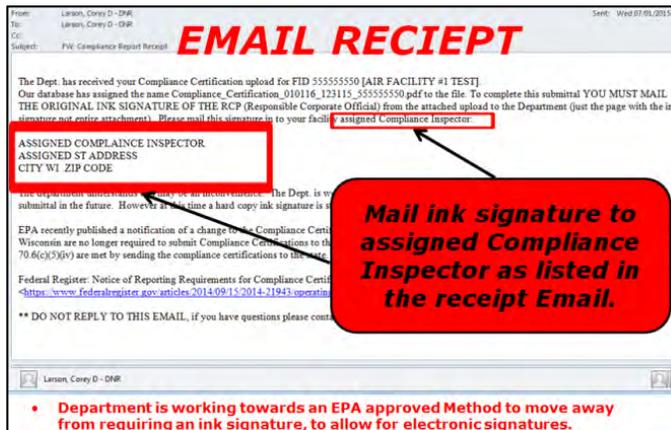
The selected document should be listed under the “Upload Compliance Certification.” Select the “Upload Document and Save Form” button to submit the compliance certification.



## E-mail Receipt

After uploading the Compliance Certification document, 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.



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

- E-mail receipt: Compliance Certification 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 “Compliance Certification ID” and selecting “View Document.”

Comp Cert ID	Due Date	Status
SC-CC-15-109482	03/01/2017	SNR
SC-CC-15-116728	03/01/2016	NEW
SC-CC-15-109561	03/01/2015	DQ
SC-CC-14-99352	02/15/2015	SNR
SC-CC-14-99353	08/31/2014	SR

**Select: View Document if you wish to view document**

**Compl Cert ID:** SC-CC-15-116921

[View Document](#)

Reporting Period: 01/30/2014 to 12/30/2014  
 Due Date: 03/01/2014  
 Received Date: 03/13/2015  
 Deviation Reported?: Y  
 Reported Status: I - Intermittent

Ext. Comments:  
 Deviations are listed on page 3 of attached report. Additionally report was submitted a year late

DNR Review Section:  
 Review Date:  
 Reviewed By:

After submission, DNR will rename the document, in this format:  
 Compliance\_Certification\_Reporting Period\_ FID

Example: Compliance\_Certification\_010114\_123114\_555555500  
 (101114\_123114 (is equivalent to Jan 1, 2014 to Dec 31, 2014)

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

### Completed Submissions

The Compliance Certification 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 Compliance Certification ID. Listed in this section are the review date and DNR staff reviewing the certification. Once DNR has completed their review, the status will be updated.

## Compliance Certification Electronic Submittal Guidebook

Wisconsin Department of Natural Resources  
View Facility Air Data and Air Permit Actions

Selected Facility: 55555550 AIR FACILITY #1 TEST

Compliance Certifications | Monitoring Reports | Stack Tests

Comp Cert ID	Due Date	Status
SC-CC-15-116920	03/01/2014	NEW
SC-CC-15-10595	03/01/2015	DO
SC-CC-15-10592	08/13/2015	DO
SC-CC-15-10593	08/13/2014	DO
SC-CC-15-10591	08/13/2014	DO
SC-CC-15-10590	08/13/2014	DO

Compl Cert ID: SC-CC-15-116921

Reporting Period: 03/01/2014 to 12/30/2014

Received Date: 03/13/2015

Deviation Reported?: Y

Reported Status: I - Intermittent

Deviation Comments: Deviations are listed on page 3 of attached report. Additionally report was submitted a year late.

DNR Review Section:

Review Date: 03/14/2015

Reviewed By: CROBY LARSON

Status Codes:

- NEW: Awaiting Submittal
- DO: Submitted, but Not Reviewed by DNR
- DI: Submitted and Reviewed by DNR
- DD: Delinquent (Past Due Not Submitted)

Red Due Date indicates the Certification was received late or is currently delinquent.

## 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.*

*The Wisconsin Department of Natural Resources provides equal opportunity in its employment, programs, services, and functions under an Affirmative Action Plan. If you have any questions, please write to Equal Opportunity Office, Department of Interior, Washington, D.C. 20240.*

*This publication is available in alternative format (large print, Braille, audio tape. etc.) upon request. Please call (bureau contact number) for more information.*

Wisconsin Department of Natural Resources  
Box 7921  
Madison, WI 53707