

AIR POLLUTION CONTROL DISTRICT
REGULATORY COMPLIANCE DIVISION

POLICIES AND PROCEDURES

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Topic: Breakdown Reporting

Distribution: All Policy Holders

This policy and procedure document provides guidance on the procedures to be followed after a breakdown condition is reported as per District Rule 505.

Breakdown conditions are usually reported to the District by telephone¹. When the call is received, the Breakdown Reporting Form (ENF-6--Attachment 1) is to be completed by the Regulatory Compliance Clerk Typist III. If an inspector or engineer is contacted, s/he will refer the source to the clerk typist². The clerk typist will first provide the caller with a unique number (pre-printed on the ENF-6) and inform the caller that this number is to be used on all correspondence and in all verbal communication concerning this breakdown condition. The clerk typist will then ask for the information necessary to complete all entries on the ENF-6 and inform the caller that all breakdown reports are to be sent to the Santa Barbara office for all sources.

The entries on the form are self-explanatory. However the following cautionary notes apply:

1. Rule 505.B only requires the time, specific location, equipment involved and to the extent known, the cause of the breakdown occurrence to be provided. Use "N/A" for any entries where this information is not available.
2. The last item, "DATE BREAKDOWN REPORT RECEIVED", is to be left blank until the written report has been received.
3. If the call is left on the answering machine or the report made by mail/fax, all the information necessary to complete the ENF-6 may not be provided. Fill in the entries as thoroughly as possible. Additionally, in the "COMMENTS" section, note that the call was received via an answering machine or written correspondence.

¹ These procedures are applicable even if the breakdown is reported in person or by fax.

² The rationale for having the Clerk Typist receive all calls is that the source needs to be assigned a unique breakdown number which will be used to track the investigation and paperwork process.

Distribution for the three copies of the form is as follows:

Original	Remains in the breakdown log book.
Yellow copy	To be placed in the Suspense File.
Pink copy	To be given to the appropriate inspector within two hours of receiving the call, or by 10:00 AM the next regular business day, if the notification is either (a) not during regular business hours or (b) after 3:00 PM on a regular business day. The report will be faxed to the north county inspectors.

Within one working day of receiving the breakdown call, the inspector shall contact the source either by telephone or in person to determine whether the occurrence constitutes a breakdown condition. To assist in this determination, it is necessary for the inspector to complete the Breakdown Investigation Report (ENF-7 - Attachment 2).

1. The first five lines can be completed using information from the Breakdown Reporting Form.
2. The "Date & Time of Repair" may not be available until either the inspector contacts the source or receives the source's written breakdown report.
3. Section I - documents the source's explanation for the breakdown condition.
4. Section II - documents the duration of the breakdown incident.
5. Sections III, IV, and V - Rule 505.A prohibits a failure or malfunction of a piece of air pollution control equipment or in-stack Continuous Emission Monitoring (CEM) from being classified as a breakdown condition if the answer to any of these questions is "yes". In Section V, a "recurrent breakdown" is one which has already occurred at least twice in the last calendar quarter or at least three times during the current calendar year. The number of occurrences can be determined by checking previous Breakdown Reporting Forms (Attachment 1).
6. Section VI - the answer to this question is "YES" if the source has initiated appropriate corrective measures within two hours of the time of the breakdown (twenty-four hours for CEM equipment).
7. Section VII - consult with either the project manager or the appropriate RCD Supervisor to ascertain whether a variance request was filed or a variance granted or denied.
8. Sections VIII and IX - all breakdown calls shall be investigated by at least a phone call to the source. All pertinent information must be documented: The individual contacted, date and time of contact and a summary of the conversation. If the breakdown condition is a failure or malfunction of any air pollution control or related operating equipment, request the

source to cite the emission limitation or restriction which has or is being violated³.

Additionally, a field investigation must be conducted for all ongoing breakdown conditions which result in excess emissions. Field investigations are optional for all other breakdown conditions.

9. Section X - consult with either the project manager or appropriate RCD Supervisor to ascertain whether the source requested and received an extension of the reporting deadline. Extensions may be granted if one of the following two conditions are satisfied:
 - A. If the source is unable to determine the cause of the breakdown condition within twenty four hours of when the condition commenced, or
 - B. If the cause of the breakdown condition is due to the failure of a public utility to provide electrical power or natural gas.

If an extension was not granted, the breakdown report has to be received no more than seven calendar days from the date of correction of the breakdown condition. The date and time of repair should either be available from the Breakdown Reporting Form or should be requested during the course of completing Section IX.

10. Section XI - if an NOV was issued, provide the NOV #, the date of issuance and the reason.
11. If the breakdown call was left on the answering machine (check the "COMMENTS" time frame for doing this section of the ENF-6), the inspector will inform the source of their breakdown number and tell them to include the number in all future communication.

The RCD clerk will check the Suspense File and note on the copy of the Breakdown Investigation Report whether the source's breakdown report has been received by the required date. If the breakdown report is not received in a timely manner, the clerk will inform the appropriate inspector. When the written breakdown report is received, the clerk will check if the source is a north county source; if so, a copy of the written report will be made and sent along with a copy of the ENF-6 to the north county office for their permit files.

One copy of the Breakdown Reporting Form, the Breakdown Investigation Report and the source's written breakdown report is to be placed in the Regulatory Compliance Division's Breakdown File and one copy in the source's ATC or PTO file.

³ For there to be a breakdown of air pollution control or related operating equipment, Rule 505.A requires that the failure or malfunction of the equipment must result in an emission violation.

SANTA BARBARA COUNTY
AIR POLLUTION CONTROL DISTRICT

BREAKDOWN REPORTING LOG

PRE-PRINTED NO.

D/T OF CALL _____ RECEIVED BY _____

REPORTED BY _____ PHONE _____

COMPANY _____ LOCATION _____

D/T--BREAKDOWN _____ EXP. REPAIR _____

ACTUAL REPAIR _____ ID _____ SCDP _____ VARIANCE _____

ELEMENTS OF BREAKDOWN

AFFECTED EQUIPMENT _____

BREAKDOWN DESCRIPTION _____

CAUSE _____

COMMENTS _____

DATE WRITTEN BREAKDOWN REPORT RECEIVED _____

SANTA BARBARA COUNTY
AIR POLLUTION CONTROL DISTRICT
APCD Breakdown No. _____

Company _____ Facility _____
Address _____ Phone (____) _____
Contact _____ Report Date _____

BREAKDOWN INFORMATION: (D/T = Date/Time)

D/T Reported _____ By Whom _____
D/T Breakdown _____ D/T Corrected _____

Equipment and Location _____

Breakdown Description _____

Reason of Breakdown _____

Corrective Measures/Comments (If there were no excess emissions, please state this and provide a reason) Attach extra sheets if needed

EXCESS EMISSIONS: Quantify all emissions during breakdown period above permitted levels and provide quantification methodology.

LBS

Sulfur Oxides	_____.
Nitrous Oxides	_____.
Hydrogen Sulfide	_____.
Carbon Monoxide	_____.
Particulate Matter	_____.
Total Organic Compounds	_____.
_____	_____.
_____	_____.

BREAKDOWN INVESTIGATION REPORT

Breakdown No. _____ Inspector _____ Verbal Report Rec'd _____
 Facility _____ Location _____
 Equipment ID _____
 Breakdown Date/Time _____ Repair Date/Time _____

I. Reported breakdown was caused by (check one):

- a. _____ Unforeseen failure or malfunction of any air pollution equipment or related operating equipment which causes a violation of an emission limit or restriction prescribed by the District's rules.
- b. _____ Unforeseen failure or malfunction of any in-stack continuous monitoring equipment.
- c. _____ Other (describe below)

II. Period of Breakdown

- a. _____ 24-hours or less
- b. _____ 96-hours or less (only for CEM equipment)
- c. _____ Other (describe below, e.g., end of production run)

III. Was the failure or malfunction which caused the breakdown a result of any of the following?

- Negligence or disregard of any air pollution law regulation?
 YES NO
- Intentional or negligent act or omission on the part of the owner or operator?
 YES NO
- Result of improper maintenance?
 YES NO

IV. Did the breakdown constitute a nuisance as defined in H & S Section 41700?
 YES NO

V. Is breakdown a recurrent breakdown of the same equipment?
 YES NO (Check previous breakdown reports)

Did the owner or operator immediately undertake appropriate corrective measures or shut down and come into compliance within 24 hours (96 hours for CEM)? YES ____ NO ____

VII. Emergency Variance Request

a. If the breakdown period lasted for more than 24 or 96 hours, did the source make application for an Emergency Variance?

YES ____ NO ____

b. If a Variance petition was filed, provide the Variance case number _____.

c. If the source filed for an Emergency Variance, was the variance granted or denied?

GRANTED ____ DENIED ____

VIII. Was the source contacted by phone or inspected to ascertain that a breakdown condition had occurred?

NO ____ YES ____ (provide details below including date and time of contact or inspection)

IX. Was the source inspected to ascertain that the breakdown condition was corrected? YES ____ NO ____ (explain below)

X. Breakdown Report

a. Date by which breakdown report has to be received (no more than seven calendar days from the date of correction of the breakdown condition): _____.

b. Date breakdown report actually received: _____.

c. Was report received on time? YES ____ NO ____

d. If the breakdown report was not received on time, did the owner or operator request and receive an extension (up to thirty days) of the reporting deadline? Rule 505.D.3. allows an extension for good cause.

YES _____ NO _____

e. Did the report contain all the information required by Rule 505.D? YES _____ NO _____ (explain below)

XI. Was the source issued an NOV in connection with this breakdown condition?

_____ NO

_____ YES - NOV # : _____

Date of Issuance : _____

Reason: _____
