






# Guide to Air Permit Required Reporting

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**TEAM  
KENTUCKY.**  
ENERGY AND  
ENVIRONMENT CABINET

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# ENVIRONMENTAL COMPLIANCE ASSISTANCE PROGRAM (ECAP)

## AIR PERMIT REQUIRED REPORTING GUIDEBOOK

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SPECIAL THANKS: KENTUCKY DIVISION FOR AIR  
QUALITY (DAQ)

**This guide provides an overview of the required reporting obligations under Kentucky's Division for Air Quality permitting program. It explains the purpose, important dates, and format of the Annual Compliance Certification (ACC) and Semi-Annual Monitoring Report (SAMR), as well as submission procedures and helpful resources.**





## ABOUT ACC AND SAMR

### AIR PERMIT REQUIRED REPORTING

The table below summarizes the differences between the Annual Compliance Certification (ACC) and the Semi-Annual Monitoring Report (SAMR). The following pages will go into more detail.

<b>Permit-Required Report</b>	<b>ACC</b>	<b>SAMR</b>
<b>Frequency</b>	Once per year	Twice per year
<b>Due Date</b>	January 30 <sup>th</sup>	January 30 <sup>th</sup> and July 30 <sup>th</sup>
<b>Official Form</b>	DEP 7007CC	N/A
<b>Purpose</b>	Yes/No Legal Statement of Compliance	Monitoring Requirement Summary
<b>Scope</b>	All Permit Conditions	Permit Monitoring Requirements



## ABOUT SEMI-ANNUAL MONITORING REPORT (SAMR)

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### PURPOSE OF THE SAMR

The Semi-Annual Monitoring Report documents ongoing monitoring activities and compliance status for each reporting period. It serves to:

- Confirm that required monitoring is being conducted.
- Inform DAQ of any deviations from permit conditions. See examples of non-compliance above under the ACC section “Common Examples of Non-Compliance.”
- Hold management accountable through Responsible Official certification.
- Demonstrate continued protection of air quality.

SAMRs must be submitted for every reporting period in which the facility holds an active permit, even if no equipment operated during that time.

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### SAMR REPORTING PERIODS AND DEADLINES

- Reports must be received by DAQ Regional Offices by **January 30<sup>th</sup>**: Covers the period from July 1<sup>st</sup> to December 31<sup>st</sup> (previous year).
- Reports must be received by DAQ Regional Offices by **July 30<sup>th</sup>**: Covers the period from January 1<sup>st</sup> to June 30<sup>th</sup> (current year).

See “ACC and SAMR Submission Instructions” below for details on electronic and mail-in submission.

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### SAMR SUBMISSION FORMAT AND DETAIL

There is no official form or format to report this information. Report formats will vary from facility to facility due to differences in permit conditions, but the SAMR must contain all applicable monitoring information. Summary or data tables may also be appropriate.

The SAMR should summarize required monitoring, not necessarily include full logs. However, actual logs must be provided if required by your permit or requested by DAQ. A facility may always check with its inspector regarding the SAMR format prior to submittal.

If your permit includes rolling total limits (e.g., 12-month totals), include data summary tables or spreadsheets showing monthly totals and annual rolling calculations.

# KEY SAMR REQUIREMENTS

- Each requirement is listed in the permit's Monitoring Requirements and Recordkeeping Requirements sections.
- Frequency of each monitoring activity and confirmation that it was completed.
- Any deviations, any issues of non-compliance, exceedances, or corrective actions.
- A summary statement certifying that monitoring records are maintained and available for inspection.
- Plant-wide requirements, such as limits on source-wide 12-month-rolling-total emissions or maintaining maintenance and operation logs of air pollution control equipment.





## SIGNATURE AND CERTIFICATION STATEMENT

The Responsible Official must sign the SAMR. This individual is defined under [401 KAR 52:001\(1\)\(62\)](#) and is typically the owner, partner, or principal executive officer.

Include the following certification statement:

*I, the undersigned, hereby certify under penalty of law that I am a responsible official and that I have personally examined and am familiar with the information submitted in this document and all attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify that the information is, to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false or incomplete information, including the possibility of fine or imprisonment.*

## PROCESSES NOT IN OPERATION

- If the facility has been issued a permit but has not yet started operations, a SAMR must still be submitted. Include a brief statement describing the construction or operational status.
- If only some emission units were inactive, specify which units were not operating and the corresponding dates.

## MULTIPLE OR REVISED PERMITS

- If you are responsible for multiple permits, submit a separate SAMR for each facility under each Agency Interest number.
- If your permit was revised or renewed during the year, submit two SAMRs: one for the previous permit and one for the revised version, specifying the correct date ranges.
- For new permits, begin certifying compliance from the permit issuance date.

# SAMR: EXAMPLE AND TRAINING

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## SAMR EXAMPLE

While there is no template for the SAMR and every facility will have its own style of report that fits its permit specifications, we have provided an example to assist those who are completing the report for the first time. The mock permit, sample Annual Compliance Certification, and Semi-Annual Monitoring Report are based on common permit types and demonstrate how to organize and present required information clearly to fulfill the reporting requirements.

[Example](#)



[Example Air Permit](#)



## TRAINING MODULES

View these links to get more training on Annual Compliance Certification reporting:

[Understanding Your Air Permit and Required Recordkeeping](#)



[Semi-Annual Monitoring Report Module](#)

**Late or missing ACCs may result in a Notice of Violation (NOV) and other enforcement actions.**



## ABOUT ANNUAL COMPLIANCE CERTIFICATION (ACC)

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### PURPOSE OF THE ACC

After the 1990 Clean Air Act Amendments were enacted, major sources were required to commence submitting this certification to the US Environmental Protection Agency (EPA) and the KY Division for Air Quality (DAQ) to report their compliance status with all terms and conditions of their permit and all applicable State and Federal Requirements. KY has extended this certification requirement to minor sources as well. The ACC serves as an annual verification that a facility is in compliance with applicable air quality regulations and permit conditions. It requires the facility to audit, confirm, and certify that operations have remained in compliance throughout the reporting period.

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### ACC SUBMISSION DEADLINE

The ACC must be received by the regional office by **January 30<sup>th</sup>** of each year and covers the reporting period from January 1<sup>st</sup> through December 31<sup>st</sup> of the previous year.

See “ACC and SAMR Submission Instructions” in the following pages for details on electronic and mail-in submission.

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### ACC SUBMISSION FORMAT

Use the DEP 7007CC (Compliance Certification) form available on the DAQ website: [Permit Required Reporting Forms](#).

A direct link to the form can also be found here: [Annual Compliance Certification form DEP 7007CC](#).

Alternate formats may be used only with prior DAQ approval to ensure all regulatory requirements are met.



# KEY ACC REQUIREMENTS

To complete the ACC, facilities will need a copy of the facility's current permit and all recordkeeping logs for the reporting period between January 1<sup>st</sup> and December 31<sup>st</sup> of the previous year.

If you need a copy of your permit, visit the EEC eSearch Portal:



<https://dep.gateway.ky.gov/eSearch/Approvals/Issued>

- List each DAQ permit term or condition and all applicable requirements for each emission unit, applicable regulations, the permit limit or requirements, and actual emission values (if applicable).
- You will also be required to provide the Method used for determining compliance (test methods, monitoring, recordkeeping, and reporting), and whether the Method provided continuous or intermittent data.
- Clearly identify any non-compliance during the reporting period, including date(s), cause, and corrective actions.

**Note: Do not leave any section of the form blank. If a section is not applicable, state that clearly in the table to avoid questions of incomplete reporting.**



## ACC MUST BE SIGNED BY A RESPONSIBLE OFFICIAL

The Responsible Official must sign the “Signature Box” of the ACC form. This individual is defined under [401 KAR 52:001\(1\)\(62\)](#) and is typically the owner, partner, or principal executive officer.

## DAQ PERMITS THAT DO NOT ESTABLISH NUMERICAL LIMITS

Facilities must certify compliance with any requirements, even if they do not establish numerical limits. DAQ permits have sections on Operating Limitations, Testing Requirements, Monitoring Requirements, Recordkeeping Requirements, and Reporting Requirements, as well as Emission Limitations. The Annual Compliance Certification should list each of the conditions under each of these sections of their permit and certify whether they were compliant, or not, with whatever the permit condition requires.

## MULTIPLE OR REVISED PERMITS

- If your facility has multiple permits, submit a separate ACC for each.
- If your permit was revised or renewed during the year, clearly designate the Permit ID# in Column A of the tables to address the different permit versions.
- For new permits, begin certifying compliance from the permit issuance date.

## REPORTING MONITORING FOR A “12-MONTH-ROLLING-TOTAL EMISSIONS” LIMIT OR OTHER “ROLLING” LIMITS

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List the emission units or label the row as “source-wide” and list the permit condition as a rolling total or rolling average. Then, for the actual emissions list the month during which the rolling annual total was the highest during that year. You should also reference your Semi-Annual Monitoring Report for the year which must include more detailed info on every month’s total(s). When referencing the SAMR, please specify what page or section you are referring to. The SAMR for the second half of the reporting year should be submitted at the same time as the ACC. If a rolling total exceeded a limit during any period in the year then the source or emission unit(s) MUST be listed on the “emission units not in continuous compliance” section of the ACC form for that requirement.

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## IF THE FACILITY DID NOT OPERATE OR EMISSION UNITS WERE NOT IN-USE

Facilities must still submit the ACC even if they did not operate during the reporting year. Indicate this status clearly in the form (Section CC.3 10a).

If some emission units were not in use:

- List ALL emission units on the ACC form and then indicate as “not active” for the “Actual Emissions” column.
- Include a statement clearly explaining that these emission units were not in operation during the specified date ranges.

# CONTINUOUS VS INTERMITTENT COMPLIANCE

In tables 10c)(1) and 10c)(2), you will need to understand the difference between the terms “continuous” and “intermittent” to fill out the tables accurately (see Fig. 3 and Fig. 4).

**Continuous compliance** can be achieved even when the data is **intermittent** due to an **intermittent method** of determining compliance.

**Continuous methods** of determining compliance include automated monitoring systems that collect data on emissions, operating parameters, or process variables whenever the emission unit is operating. Examples include:

- Continuous Opacity Monitoring Systems (COMS) have an optical sensor continuously reading opacity whenever the unit operates.
- Continuous Emissions Monitoring Systems (CEMS) measure pollutant emissions in real time, often every minute.

**Intermittent methods** of determining compliance are periodic, manual, or event-based checks that demonstrate compliance only at the time the check is performed. Examples include:

- Weekly or daily reading of a baghouse pressure gauge.
- Weekly visual inspections of control devices (e.g., air filters in place).

## CONTINUOUS

**A source can claim continuous compliance when there is no evidence or reason to believe they were not in compliance.**

**Example:** Performing weekly checks of filters is an intermittent method of determining compliance for a paint booth emission unit. If a complete log of weekly checks is maintained for the entire year, the source may claim continuous compliance, as there is no reason to believe it was not in compliance while using this intermittent method.

## INTERMITTENT

**Evidence or reason exists to believe the source was not in compliance at all times with a given term or condition.**

**Example:** If the source is required to perform weekly filter checks but one week is missing from the log, the source cannot claim continuous compliance for that reporting year. The paint booth emission point was in intermittent compliance for the reporting year due to a lack of monitoring/recordkeeping for a one-week period. The noncompliance must be documented in Tables 10c)(1) and 10c)(2), which is further explained in the following section.

# REPORTING EMISSION UNITS “IN CONTINUOUS” COMPLIANCE OR “NOT IN CONTINUOUS” COMPLIANCE

Ensure accurate reporting under Section CC.1, Question 8 of the form (see Fig. 1) if any emission units were out of compliance. If an emission unit or permit condition is listed on the ACC, per permit requirements, it may only be listed as either “in compliance” or “out of compliance.”

8) Submittal Information					
Are you certifying any requirement(s) as "not in continuous compliance?"			<input type="checkbox"/> Yes	<input type="checkbox"/> No	What is the reporting period?
					_____ TO _____
					mm/ dd/ yy mm/ dd/ yy

Figure 1. Section CC.1, Question 8 on the DEP7007CC Form

If the emission unit or permit condition was in continuous compliance for a reporting year and also did not receive violations, the emission unit or permit condition may be listed in 10a) for units “In Compliance” (see Fig. 2).

Section CC.3: Identification of Emission Units & Each Term or Condition of the Permit					
Emission Units in Continuous Compliance					
10a) Emission Units in Continuous Compliance. The following emission units were in continuous compliance with each permit term or condition(s) and applicable requirements listed here, such as emission standards, emission control requirements, emission testing, court requirements, work practices, or enhanced monitoring, based on the compliance methods specified below. If additional space is required, reproduce this page as needed.					
Emission Unit/Permit ID#	Permit Term, Condition, or Applicable Regulation	Emission Unit Description	Permit Limit or requirement	Actual Emissions or status of requirement	The method used for determining compliance over the reporting period, and whether the method provided continuous or intermittent data. (such as test methods, monitoring procedures, recordkeeping and reporting)

Figure 2. 10a) Emission Units in Continuous Compliance

If the emission unit or permit condition was not in compliance or if the facility received a violation, it must be listed in Section 10c)(1) for “Emission Units Not in Continuous Compliance” as seen in Figure 3 below. This shows that the emission unit or permit condition was NOT compliant for the entire year.

Section CC.3: Identification of Emission Units & Each Term or Condition of the Permit					
Emission Units Not in Continuous Compliance					
10c)(1) Emission Units Not in Continuous Compliance. The following emission units were not in continuous compliance with each permit term or condition and applicable requirements listed here, such as emission standards, emission control requirements, emission testing, court requirements, work practices, or enhanced monitoring, based on the compliance methods specified below. If additional space is required, reproduce this page as needed.					
Emission Unit/Permit ID#	Permit Term, Condition, or Applicable Regulation	Emission Unit Description	Permit Limit or Requirement	Actual Emissions or Status of Requirement	The method used for determining compliance over the reporting period, and whether compliance was continuous or intermittent. (such as test methods, monitoring procedures, recordkeeping and reporting)

Figure 3. 10c)(1) Emission Units Not in Continuous Compliance

In addition, when an Emission Unit is out of compliance, Section 10c)(2) must be completed (see Fig. 4). State the non-compliance again, the reason, the date(s) of non-compliance, and the corrective action taken or planned to prevent non-compliance. If you complete Section 10c)(1), you must also complete Section 10c)(2), ensuring that each row corresponds between the two tables.

**Section CC.3: Identification of Emission Units & Each Term or Condition of the Permit**

*Emission Units Not in Continuous Compliance (continued)*

**10c)(2) Emission Units Not in Continuous Compliance.** *For the emission units and requirements listed in 10c)(1) that were not in continuous compliance since the last reporting period, state the duration, magnitude, and reason or reasons for non-compliance. Each row of 10c)(2) must relate to the corresponding row of 10c)(1). If additional space is required, reproduce this page as needed.*

Emission Unit Permit ID#	Description of duration, magnitude, and reason(s) for non-compliance and corrective steps taken or planned.
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Figure 4. 10c)(2) Emission Units Not in Continuous Compliance (continued)

## COMMON EXAMPLES OF NON-COMPLIANCE

**Examples where a facility must report that the emission units were not in continuous compliance can include but is not limited to:**

- Failure to conduct or record required monitoring.
- Installing or modifying emission units without prior notification or permit revision.
- Missing or incomplete daily or monthly logs of material usage, emissions, or operating parameters.
- Exceeding emission limits for pollutants.
- Failure to maintain rolling 12-month total emission calculations for pollutants.
- Late or missing Semi-Annual Monitoring Reports or Annual Compliance Certifications.
- Not performing required pressure drop or temperature readings for control equipment (e.g., baghouse, scrubber, oxidizer).

**Failure to maintain continuous compliance must be reported on both the ACC and SAMR.**

# ACC: EXAMPLE AND TRAINING

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## ACC EXAMPLE

To help facilities understand what an acceptable DEP7007CC should include, ECAP has developed a sample permit along with mock Annual Compliance Certification and Semi-Annual Monitoring Report examples based on common permit types. These examples illustrate how to clearly and completely organize and present the required information to meet reporting requirements.

[Example ACC](#)



[Example Air Permit](#)



## TRAINING MODULES

View these links to get more training on Annual Compliance Certification reporting:

[Understanding Your Air Permit and Required Recordkeeping](#)



[Annual Compliance Certification Module](#)

**Late or missing ACCs may result in a Notice of Violation (NOV) and other enforcement actions.**

# GENERAL GUIDANCE FOR ACC AND SAMR

## SUBMISSION INSTRUCTIONS

Semi-Annual Monitoring Reports must be **received** by the field office by **January 30<sup>th</sup>** and **July 30<sup>th</sup>** every year the permit is active.

Annual Compliance Certifications must be **received** by the field office by **January 30<sup>th</sup>** every year the permit is active.

## ELECTRONIC SUBMITTAL (PREFERRED)

As of July 15, 2024, users will no longer be required to utilize Kentucky Online Gateway to reach the eForms platform and instead will use the direct link via <https://dep.gateway.ky.gov/eForms>.

Submit both the ACC and SAMR electronically via [EEC eForms](https://dep.gateway.ky.gov/eForms/Home/Forms?FormId=34) "DAQ Field Operations Branch Electronic Submittal, Form #34":

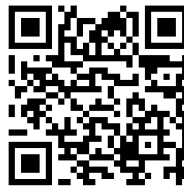
<https://dep.gateway.ky.gov/eForms/Home/Forms?FormId=34>.

## EFORMS RESOURCES

Guidance Document: [How to Create an EEC eForms Account](#)



Video: [How to Navigate Your EEC eForms Account](#)



Video: [ACC & SAMR Submission Video Tutorial](#)



## SUBMITTING REPORTS VIA MAIL

Reports may still be mailed to the regional office listed on the first page of your permit. However, the term "postmarked" is no longer applicable to air permit reporting. Mailed reports must be **received** by the regional office by the reporting deadline to avoid being considered late. Reports postmarked on January 30<sup>th</sup> or July 30<sup>th</sup> will be regarded as late unless they are also received by the office on those dates. Electronic submission is recommended to avoid late reporting.

## TITLE V - MAJOR PERMITS - REPORTING TO THE EPA

*Documents submitted to EEC eForms are not sent to the EPA. If your facility is required to report directly to the EPA, submit hard copies via mail or use their online submittal tool, [CEDRI](#).*

### **Mailing Address:**

United States Environmental Protection Agency  
Region 4 Air Enforcement Branch  
Atlanta Federal Center  
61 Forsyth Street, SW  
Atlanta, GA 30303-8960

# GENERAL GUIDANCE FOR THE ACC AND SAMR

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## OBTAINING PAST SUBMITTALS

To request copies of previous ACC or SAMR reports: Contact your DAQ Regional Office to request courtesy copies or submit an Open Records Request to [eec.kora@ky.gov](mailto:eec.kora@ky.gov). Include your facility name, permit number, and reporting year(s).

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## NEED HELP? CONTACT DAQ

For specific questions about reporting, contact your DAQ Regional Office listed on the front page of your permit.

Regional office information is also available here: [DAQ Regional Map and Contacts](#)



ECAP hosts an in-person training on air permit required reporting annually, as well as an introductory workshop on air quality permitting in Kentucky.

For information about upcoming trainings, view

<https://eec.ky.gov/Environmental-Protection/Compliance-Assistance/Pages/DCA-Training.aspx>



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## CHANGING THE AIR PERMIT CONTACT FOR THE FACILITY

If the air permit contact person for your facility has changed, or if you need to change the air permit contact for your facility, please email Samantha Hoffman at [samantha.hoffman@ky.gov](mailto:samantha.hoffman@ky.gov). Ensure that the email contact and mailing address on file are up to date to receive updates from DAQ. **Note:** *An air permit contact cannot be a third-party consultant. Updating the contact information on the DEP7007CC form does not update the contact information in our database. The Division of Water and Waste Management must be contacted separately to update contacts in their systems.*

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## NEED TO REMOVE EMISSION POINTS OR RESCIND AN AIR QUALITY PERMIT

Facilities that remove one or more emission point(s) -- or all permitted equipment -- must continue submitting required reports as long as a DAQ permit remains active. If your facility plans to permanently discontinue these operations, it may be beneficial to update your permit rather than wait until the next renewal period to notify the DAQ. For guidance on how to update your permit, contact ECAP at [envhelp@ky.gov](mailto:envhelp@ky.gov).

The information in this document is offered only as general guidance. It is not a substitute for reading and understanding Kentucky's statutes and regulations governing the applicability and issuance of environmental permits. Specific requirements may vary with location. ECAP is not authorized to relieve any person from any requirement of federal regulations or Kentucky law through this document.



The Environmental Compliance Assistance Program (ECAP) assists businesses, individuals, and organizations in understanding and complying with permits and other environmental requirements. Contact us for any of your environmental compliance assistance needs.

Online: [eec.ky.gov/ECAP](http://eec.ky.gov/ECAP)

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