

curate adjustment of the measured SO₂ concentration to dry basis.)

3.9.2 Alternative locations for installing continuous monitoring systems or monitoring devices when the owner or operator can demonstrate that installation at alternative locations will enable accurate and representative measurements.

3.9.3 Alternative procedures for performing calibration checks (e.g., some instruments may demonstrate superior drift characteristics that require checking at less frequent intervals).

3.9.4 Alternative monitoring requirements when the effluent from one affected facility or the combined effluent from two or more identical affected facilities is released to the atmosphere through more than one point (e.g., an extractive, gaseous monitoring system used at several points may be approved if the procedures recommended are suitable for generating accurate emission averages).

3.9.5 Alternative continuous monitoring systems that do not meet the spectral response requirements in Performance Specification 1, Appendix B of Part 60, but adequately demonstrate a definite and consistent relationship between their measurements and the opacity measurements of a system complying with the requirements in Performance Specification 1. The State may require that such demonstration be performed for each affected facility.

4.0 Minimum data requirements.

The following paragraphs set forth the minimum data reporting requirements necessary to comply with § 61.19(e) (3) and (4).

4.1 The State plan shall require owners or operators of facilities required to install continuous monitoring systems to submit a written report of excess emissions for each calendar quarter and the nature and cause of the excess emissions, if known. The averaging period used for data reporting should be established by the State to correspond to the averaging period specified in the emission test method used to determine compliance with an emission standard for the pollutant/source category in question. The required report shall include, as a minimum, the data stipulated in this Appendix.

4.2 For opacity measurements, the summary shall consist of the magnitude in actual percent opacity of all one-minute (or such other time period deemed appropriate by the State) averages of opacity greater than the opacity standard in the applicable plan for each hour of operation of the facility. Average values may be obtained by integration over the averaging period or by arithmetically averaging a minimum of four equally spaced, instantaneous opacity measurements per minute. Any time period exempted shall be considered before determining the excess averages of opacity (e.g., whenever a regulation allows two minutes of opacity measurements in excess of the standard, the State shall require the source to report all opacity averages, in any one hour, in excess of the standard, minus the two-minute exemption). If more than one opacity standard applies, excess emissions data must be submitted in relation to all such standards.

4.3 For gaseous measurements the summary shall consist of emission averages, in the units of the applicable standard, for each averaging period during which the applicable standard was exceeded.

4.4 The date and time identifying each period during which the continuous monitoring system was inoperative, except for zero and span checks, and the nature of system repairs or adjustments shall be reported. The State may require proof of continuous monitoring system performance whenever system repairs or adjustments have been made.

4.5 When no excess emissions have occurred and the continuous monitoring system(s) have not been inoperative, repaired, or adjusted, such information shall be included in the report.

4.6 The State plan shall require owners or operators of affected facilities to maintain a file of all information reported in the quarterly summaries, and all other data collected either by the continuous monitoring system or as necessary to convert monitoring data to the units of the applicable standard for a minimum of two years from the date of collection of such data or submission of such summaries.

5.0 Data Reduction.

The State plan shall require owners or operators of affected facilities to use the following procedures for converting monitoring data to units of the standard where necessary.

5.1 For fossil fuel-fired steam generators the following procedures shall be used to convert gaseous emission monitoring data in parts per million to g/million cal (lb/million BTU) where necessary:

5.1.1 When the owner or operator of a fossil fuel-fired steam generator elects under subparagraph 2.1.4 of this Appendix to measure oxygen in the flue gases, the measurements of the pollutant concentration and oxygen concentration shall each be on a dry basis and the following conversion procedure used:

$$E = CF \left(\frac{20.9}{20.9 - \%O_2} \right)$$

5.1.2 When the owner or operator elects under subparagraph 2.1.4 of this Appendix to measure carbon dioxide in the flue gases, the measurement of the pollutant concentration and the carbon dioxide concentration shall each be on a consistent basis (wet or dry) and the following conversion procedure used:

$$E = CF \left(\frac{100}{\%CO_2} \right)$$

5.1.3 The values used in the equations under paragraph 5.1 are derived as follows:

E=pollutant emission, g/million cal (lb/million BTU).

C=pollutant concentration, g/dscm (lb/dscf), determined by multiplying the average concentration (ppm) for each hourly period by 4.16×10^{-6} M g/dscm per ppm (2.64×10^{-6} M lb/dscf per ppm) where M = pollutant molecular weight, g/g-mole (lb/lb-mole). M = 64 for sulfur dioxide and 44 for oxides of nitrogen.

%O₂, %CO₂=Oxygen or carbon dioxide volume (expressed as percent) determined with equipment specified under paragraph 4.1.4 of this appendix.

F, F_r=a factor representing a ratio of the volume of dry flue gases generated to the calorific value of the fuel combusted (F), and a factor representing a ratio of the volume of carbon dioxide generated to the calorific value of the fuel combusted (F_r) respectively. Values of F and F_r are given in § 60.45(f) of Part 60, as applicable.

5.2 For sulfuric acid plants the owner or operator shall:

5.2.1 establish a conversion factor three times daily according to the procedures to § 60.84(b) of this chapter;

5.2.2 multiply the conversion factor by the average sulfur dioxide concentration in the

flue gases to obtain average sulfur dioxide emissions in Kg/metric ton (lb/short ton); and

5.2.3 report the average sulfur dioxide emission for each averaging period in excess of the applicable emission standard in the quarterly summary.

5.3 For nitric acid plants the owner or operator shall:

5.3.1 establish a conversion factor according to the procedures of § 60.73(b) of this chapter.

5.3.2 multiply the conversion factor by the average nitrogen oxides concentration in the flue gases to obtain the nitrogen oxides emissions in the units of the applicable standard;

5.3.3 report the average nitrogen oxides emission for each averaging period in excess of the applicable emission standard, in the quarterly summary.

5.4 Any State may allow data reporting or reduction procedures varying from those set forth in this Appendix if the owner or operator of a source shows to the satisfaction of the State that his procedures are at least as accurate as those in this Appendix. Such procedures may include but are not limited to, the following:

5.4.1 Alternative procedures for computing emission averages that do not require integration of data (e.g., some facilities may demonstrate that the variability of their emissions is sufficiently small to allow accurate reduction of data based upon computing averages from equally spaced data points over the averaging period).

5.4.2 Alternative methods of converting pollutant concentration measurements to the units of the emission standards.

6.0 Special Consideration.

The State plan may provide for approval, on a case-by-case basis, of alternative monitoring requirements different from the provisions of Parts 1 through 5 of this Appendix if the provisions of this Appendix (i.e., the installation of a continuous emission monitoring system) cannot be implemented by a source due to physical plant limitations or extreme economic reasons. To make use of this provision, States must include in their plan specific criteria for determining those physical limitations or extreme economic situations to be considered by the State. In such cases, when the State exempts any source subject to this Appendix by use of this provision from installing continuous emission monitoring systems, the State shall set forth alternative emission monitoring and reporting requirements (e.g., periodic manual stack tests) to satisfy the intent of these regulations. Examples of such special cases include, but are not limited to, the following:

6.1 Alternative monitoring requirements may be prescribed when installation of a continuous monitoring system or monitoring device specified by this Appendix would not provide accurate determinations of emissions (e.g., condensed, uncombined water vapor may prevent an accurate determination of opacity using commercially available continuous monitoring systems).

6.2 Alternative monitoring requirements may be prescribed when the affected facility is infrequently operated (e.g., some affected facilities may operate less than one month per year).

6.3 Alternative monitoring requirements may be prescribed when the State determines that the requirements of this Appendix would impose an extreme economic burden on the source owner or operator.

6.4 Alternative monitoring requirements may be prescribed when the State determines that monitoring systems prescribed by this Appendix cannot be installed due to physical limitations at the facility.

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[FRL 423-7]

PART 60—STANDARDS OF PERFORMANCE FOR NEW STATIONARY SOURCES**Emission Monitoring Requirements and Revisions to Performance Testing Methods**

On September 11, 1974 (39 FR 32852), the Environmental Protection Agency (EPA) proposed revisions to 40 CFR Part 60, Standards of Performance for New Stationary Sources, to establish specific requirements pertaining to continuous emission monitoring system performance specifications, operating procedures, data. These requirements would apply to new and modified facilities covered under Part 60, but would not apply to existing facilities.

Simultaneously (39 FR 32871), the Agency proposed revisions to 40 CFR Part 51, Requirements for the Preparation, Adoption, and Submittal of Implementation Plans, which would require States to revise their State Implementation Plans (SIP's) to include legal enforceable procedures requiring certain specified stationary sources to monitor emissions on a continuous basis. These requirements would apply to existing facilities, which are not covered under Part 60.

Interested parties participated in the rulemaking by sending comments to EPA. A total of 105 comment letters were received on the proposed revisions to Part 60 from monitoring equipment manufacturers, data processing equipment manufacturers, industrial users of monitoring equipment, air pollution control agencies including State, local, and EPA regional offices, other Federal agencies, and consultants. Copies of the comment letters received and a summary of the issues and EPA's responses are available for inspection and copying at the U.S. Environmental Protection Agency, Public Information Reference Unit, Room 2922 (EPA Library), 401 M Street, S.W., Washington, D.C. In addition, copies of the issue summary and EPA responses may be obtained upon written request from the EPA Public Information Center (PM-215), 401 M Street, S.W., Washington, D.C. 20460 (specify Public Comment Summary: Emission Monitoring Requirements). The comments have been carefully considered, additional information has been collected and assessed, and where determined by the Administrator to be appropriate, changes have been made to the proposed regulations. These changes are incorporated in the regulations promulgated herein.

BACKGROUND

At the time the regulations were proposed (September 11, 1974), EPA had promulgated 12 standards of performance for new stationary sources under section 111 of the Clean Air Act, as amended, four of which required the affected facilities to install and operate systems which continuously monitor the levels of pollutant emissions, where the technical feasibility exists using currently available continuous monitoring technology, and where the cost of the

systems is reasonable. When the four standards that require monitoring systems were promulgated, EPA had limited knowledge about the operation of such systems because only a few systems had been installed; thus, the requirements were specified in general terms. EPA initiated a program to develop performance specifications and obtain information on the operation of continuous monitoring systems. The program was designed to assess the systems' accuracy, reliability, costs, and problems related to installation, operation, maintenance, and data handling. The proposed regulations (39 FR 32852) were based on the results of this program.

The purpose of regulations promulgated herein is to establish minimum performance specifications for continuous monitoring systems, minimum data reduction requirements, operating procedures, and reporting requirements for those affected facilities required to install continuous monitoring systems. The specifications and procedures are designed to assure that the data obtained from continuous monitoring systems will be accurate and reliable and provide the necessary information for determining whether an owner or operator is following proper operation and maintenance procedures.

SIGNIFICANT COMMENTS AND CHANGES MADE TO PROPOSED REGULATIONS

Many of the comment letters received by EPA contained multiple comments. The most significant comments and the differences between the proposed and final regulations are discussed below.

(1) Subpart A—General Provisions. The greatest number of comments received pertained to the methodology and expense of obtaining and reporting continuous monitoring system emission data. Both air pollution control agencies and affected users of monitoring equipment presented the view that the proposed regulations requiring that all emission data be reported were excessive, and that reports of only excess emissions and retention of all the data for two years on the affected facility's premises is sufficient. Twenty-five commenters suggested that the effectiveness of the operation and maintenance of an affected facility and its air pollution control system could be determined by reporting only excess emissions. Fifteen others recommended deleting the reporting requirements entirely.

EPA has reviewed these comments and has contacted vendors of monitoring and data acquisition equipment for additional information to more fully assess the impact of the proposed reporting requirements. Consideration was also given to the resources that would be required of EPA to enforce the proposed requirement, the costs that would be incurred by an affected source, and the effectiveness of the proposed requirement in comparison with a requirement to report only excess emissions. EPA concluded that reporting only excess emissions would assure proper operation and maintenance of the air pollution

control equipment and would result in lower costs to the source and allow more effective use of EPA resources by eliminating the need for handling and storing large amounts of data. Therefore, the regulation promulgated herein requires owners or operators to report only excess emissions and to maintain a permanent record of all emission data for a period of two years.

In addition, the proposed specification of minimum data reduction procedures has been changed. Rather than requiring integrated averages as proposed, the regulations promulgated herein also specify a method by which a minimum number of data points may be used to compute average emission rates. For example, average opacity emissions over a six-minute period may be calculated from a minimum of 24 data points equally spaced over each six-minute period. Any number of equally spaced data points in excess of 24 or continuously integrated data may also be used to compute six-minute averages. This specification of minimum computation requirements combined with the requirement to report only excess emissions provides source owners and operators with maximum flexibility to select from a wide choice of optional data reduction procedures. Sources which monitor only opacity and which infrequently experience excess emissions may choose to utilize strip chart recorders, with or without continuous six-minute integrators; whereas sources monitoring two or more pollutants plus other parameters necessary to convert to units of the emission standard may choose to utilize existing computers or electronic data processes incorporated with the monitoring system. All data must be retained for two years, but only excess emissions need be reduced to units of the standard. However, in order to report excess emissions, adequate procedures must be utilized to insure that excess emissions are identified. Here again, certain sources with minimal excess emissions can determine excess emissions by review of strip charts, while sources with varying emission and excess air rates will most likely need to reduce all data to units of the standard to identify any excess emissions. The regulations promulgated herein allow the use of extractive, gaseous monitoring systems on a time sharing basis by installing sampling probes at several locations, provided the minimum number of data points (four per hour) are obtained.

Several commentators stated that the averaging periods for reduction of monitoring data, especially opacity, were too short and would result in an excessive amount of data that must be reduced and recorded. EPA evaluated these comments and concluded that to be useful to source owners and operators as well as enforcement agencies, the averaging time for the continuous monitoring data should be reasonably consistent with the averaging time for the reference methods used during performance tests. The data reduction requirements for opacity have been substantially reduced because the averaging period was changed from one

minute, which was proposed, to six minutes to be consistent with revisions made to Method 9 (39 FR 39872).

Numerous comments were received on proposed § 60.13 which resulted in several changes. The proposed section has been reorganized and revised in several respects to accommodate the comments and provide clarity, to more specifically delineate the equipment subject to Performance Specifications in Appendix B, and to more specifically define requirements for equipment purchased prior to September 11, 1974. The provisions in § 60.13 are not intended to prevent the use of any equipment that can be demonstrated to be reliable and accurate; therefore, the performance of monitoring systems is specified in general terms with minimal references to specific equipment types. The provisions in § 60.13(i) are included to allow owners or operators and equipment vendors to apply to the Administrator for approval to use alternative equipment or procedures when equipment capable of producing accurate results may not be commercially available (e.g. condensed water vapor interferes with measurement of opacity), when unusual circumstances may justify less costly procedures, or when the owner or operator or equipment vendor may simply prefer to use other equipment or procedures that are consistent with his current practices.

Several paragraphs in § 60.13 have been changed on the basis of the comments received. In response to comments that the monitor operating frequency requirements did not consider periods when the monitor is inoperative or undergoing maintenance, calibration, and adjustment, the operating frequency requirements have been changed. Also the frequency of cycling requirement for opacity monitors has been changed to be consistent with the response time requirement in Performance Specification 1, which reflects the capability of commercially available equipment.

A second area that received comment concerns maintenance performed upon continuous monitoring systems. Six commentators noted that the proposed regulation requiring extensive retesting of continuous monitoring systems for all minor failures would discourage proper maintenance of the systems. Two other commentators noted the difficulty of determining a general list of critical components, the replacement of which would automatically require a retest of the system. Nevertheless, it is EPA's opinion that some control must be exercised to insure that a suitable monitoring system is not rendered unsuitable by substantial alteration or a lack of needed maintenance. Accordingly, the regulations promulgated herein require that owners or operators submit with the quarterly report information on any repairs or modifications made to the system during the reporting period. Based upon this information, the Administrator may review the status of the monitoring system with the owner or operator and, if determined to be necessary, require retesting of the continuous monitoring system(s).

Several commentators noted that the proposed reporting requirements are unnecessary for affected facilities not required to install continuous monitoring systems. Consequently, the regulations promulgated herein do not contain the requirements.

Numerous comments were received which indicated that some monitoring systems may not be compatible with the proposed test procedures and requirements. The comments were evaluated and, where appropriate, the proposed test procedures and requirements were changed. The procedures and requirements promulgated herein are applicable to the majority of acceptable systems; however, EPA recognizes that there may be some acceptable systems available now or in the future which could not meet the requirements. Because of this, the regulations promulgated herein include a provision which allows the Administrator to approve alternative testing procedures. Eleven commentators noted that adjustment of the monitoring instruments may not be necessary as a result of daily zero and span checks. Accordingly, the regulations promulgated herein require adjustments only when applicable 24-hour drift limits are exceeded. Four commentators stated that it is not necessary to introduce calibration gases near the probe tips. EPA has demonstrated in field evaluations that this requirement is necessary in order to assure accurate results; therefore, the requirement has been retained. The requirement enables detection of any dilution or absorption of pollutant gas by the plumbing and conditioning systems prior to the pollutant gas entering the gas analyzer.

Provisions have been added to these regulations to require that the gas mixtures used for the daily calibration check of extractive continuous monitoring systems be traceable to National Bureau of Standards (NBS) reference gases. Calibration gases used to conduct system evaluations under Appendix B must either be analyzed prior to use or shown to be traceable to NBS materials. This traceability requirement will assure the accuracy of the calibration gas mixtures and the comparability of data from systems at all locations. These traceability requirements will not be applied whenever the NBS materials are not available. A list of available NBS Standard Reference Materials may be obtained from the Office of Standard Reference Materials, Room B311, Chemistry Building, National Bureau of Standards, Washington, D.C. 20234.

Recertification of the continued accuracy of the calibration gas mixtures is also necessary and should be performed at intervals recommended by the calibration gas mixture manufacturer. The NBS materials and calibration gas mixtures traceable to these materials should not be used after expiration of their stated shelf-life. Manufacturers of calibration gas mixtures generally use NBS materials for traceability purposes, therefore, these amendments to the reg-

ulations will not impose additional requirements upon most manufacturers.

(2) Subpart D—Fossil-Fuel Fired Steam Generators. Eighteen commentators had questions or remarks concerning the proposed revisions dealing with fuel analysis. The evaluation of these comments and discussions with coal suppliers and electric utility companies led the Agency to conclude that the proposed provisions for fuel analysis are not adequate or consistent with the current fuel situation. An attempt was made to revise the proposed provisions; however, it became apparent that an in-depth study would be necessary before meaningful provisions could be developed. The Agency has decided to promulgate all of the regulations except those dealing with fuel analysis. The fuel analysis provisions of Subpart D have been reserved in the regulations promulgated herein. The Agency has initiated a study to obtain the necessary information on the variability of sulfur content in fuels, and the capability of fossil fuel fired steam generators to use fuel analysis and blending to prevent excess sulfur dioxide emissions. The results of this study will be used to determine whether fuel analysis should be allowed as a means of measuring excess emissions, and if allowed, what procedure should be required. It should be pointed out that this action does not affect facilities which use flue gas desulfurization as a means of complying with the sulfur dioxide standard; these facilities are still required to install continuous emission monitoring systems for sulfur dioxide. Facilities which use low sulfur fuel as a means of complying with the sulfur dioxide standard may use a continuous sulfur dioxide monitor or fuel analysis. For facilities that elect to use fuel analysis procedures, fuels are not required to be sampled or analyzed for preparation of reports of excess emissions until the Agency finalizes the procedures and requirements.

Three commentators recommended that carbon dioxide continuous monitoring systems be allowed as an alternative for oxygen monitoring for measurement of the amount of diluents in flue gases from steam generators. The Agency agrees with this recommendation and has included a provision which allows the use of carbon dioxide monitors. This provision allows the use of pollutant monitors that produce data on a wet basis without requiring additional equipment or procedures for correction of data to a dry basis. Where CO₂ or O₂ data are not collected on a consistent basis (wet or dry) with the pollutant data, or where oxygen is measured on a wet basis, alternative procedures to provide corrections for stack moisture and excess air must be approved by the Administrator. Similarly, use of a carbon dioxide continuous monitoring system downstream of a flue gas desulfurization system is not permitted without the Administrator's prior approval due to the potential for absorption of CO₂ within the control device. It should be noted that when any fuel is fired directly in the stack gases

for reheating, the F and F_c factors promulgated herein must be prorated based upon the total heat input of the fuels fired within the facility regardless of the locations of fuel firing. Therefore, any facility using a flue gas desulfurization system may be limited to dry basis monitoring instrumentation due to the restrictions on use of a CO_2 diluent monitor unless water vapor is also measured subject to the Administrator's approval.

Two commentators requested that an additional factor (F_w) be developed for use with oxygen continuous monitoring systems that measure flue gas diluents on a wet basis. A factor of this type was evaluated by EPA, but is not being promulgated with the regulations herein. The error in the accuracy of the factor may exceed ± 5 percent without additional measurements to correct for variations in flue gas moisture content due to fluctuations in ambient humidity or fuel moisture content. However, EPA will approve installation of wet basis oxygen systems on a case-by-case basis if the owner or operator will proposed use of additional measurements and procedures to control the accuracy of the F_w factor within acceptable limits. Applications for approval of such systems should include the frequency and type of additional measurements proposed and the resulting accuracy of the F_w factor under the extremes of operating conditions anticipated.

One commentator stated that the proposed requirements for recording heat input are superfluous because this information is not needed to convert monitoring data to units of the applicable standard. EPA has reevaluated this requirement and has determined that the conversion of excess emissions into units of the standards will be based upon the F factors and that measurement of the rates of fuel firing will not be needed except when combinations of fuels are fired. Accordingly, the regulations promulgated herein require such measurements only when multiple fuels are fired.

Thirteen commentators questioned the rationale for the proposed increased operating temperature of the Method 5 sampling train for fossil-fuel-fired steam generator particulate testing and the basis for raising rather than lowering the temperature. A brief discussion of the rationale behind this revision was provided in the preamble to the proposed regulations, and a more detailed discussion is provided here. Several factors are of primary importance in developing the data base for a standard of performance and in specifying the reference method for use in conducting a performance test, including:

a. The method used for data gathering to establish a standard must be the same as, or must have a known relationship to, the method subsequently established as the reference method.

b. The method should measure pollutant emissions indicative of the performance of the best systems of emission reduction. A method meeting this criterion will not necessarily measure emissions as they would exist after dilution and

cooling to ambient temperature and pressure, as would occur upon release to the atmosphere. As such, an emission factor obtained through use of such a method would, for example, not necessarily be of use in an ambient dispersion model. This seeming inconsistency results from the fact that standards of performance are intended to result in installation of systems of emission reduction which are consistent with best demonstrated technology, considering cost. The Administrator, in establishing such standards, is required to identify best demonstrated technology and to develop standards which reflect such technology. In order for these standards to be meaningful, and for the required control technology to be predictable, the compliance methods must measure emissions which are indicative of the performance of such systems.

c. The method should include sufficient detail as needed to produce consistent and reliable test results.

EPA relies primarily upon Method 5 for gathering a consistent data base for particulate matter standards. Method 5 meets the above criteria by providing detailed sampling methodology and includes an out-of-stack filter to facilitate temperature control. The latter is needed to define particulate matter on a common basis since it is a function of temperature and is not an absolute quantity. If temperature is not controlled, and/or if the effect of temperature upon particulate formation is unknown, the effect on an emission control limitation for particulate matter may be variable and unpredictable.

Although selection of temperature can be varied from industry to industry, EPA specifies a nominal sampling temperature of $120^\circ C$ for most source categories subject to standards of performance. Reasons for selection of $120^\circ C$ include the following:

a. Filter temperature must be held above $100^\circ C$ at sources where moist gas streams are present. Below $100^\circ C$, condensation can occur with resultant plugging of filters and possible gas/liquid reactions. A temperature of $120^\circ C$ allows for expected temperature variation within the train, without dropping below $100^\circ C$.

b. Matter existing in particulate form at $120^\circ C$ is indicative of the performance of the best particulate emission reduction systems for most industrial processes. These include systems of emission reduction that may involve not only the final control device, but also the process and stack gas conditioning systems.

c. Adherence to one established temperature (even though some variation may be needed for some source categories) allows comparison of emissions from source category to source category. This limited standardization used in the development of standards of performance is a benefit to equipment vendors and to source owners by providing a consistent basis for comparing test results and predicting control system performance. In comparison, in-stack filtration takes place at stack temperature, which usually

is not constant from one source to the next. Since the temperature varies, in-stack filtration does not necessarily provide a consistent definition of particulate matter and does not allow for comparison of various systems of control. On these bases, Method 5 with a sampling filter temperature controlled at approximately $120^\circ C$ was promulgated as the applicable test method for new fossil-fuel fired steam generators.

Subsequent to the promulgation of the standards of performance for steam generators, data became available indicating that certain combustion products which do not exist as particulate matter at the elevated temperatures existing in steam generator stacks may be collected by Method 5 at lower temperatures (below $160^\circ C$). Such material, existing in gaseous form at stack temperature, would not be controllable by emission reduction systems involving electrostatic precipitators (ESP). Consequently, measurement of such condensable matter would not be indicative of the control system performance. Studies conducted in the past two years have confirmed that such condensation can occur. At sources where fuels containing 0.3 to 0.85 percent sulfur were burned, the incremental increase in particulate matter concentration resulting from sampling at $120^\circ C$ as compared to about $150^\circ C$ was found to be variable, ranging from 0.001 to 0.008 gr/scf. The variability is not necessarily predictable, since total sulfur oxide concentration, boiler design and operation, and fuel additives each appear to have a potential effect. Based upon these data, it is concluded that the potential increase in particulate concentration at sources meeting the standard of performance for sulfur oxides is not a serious problem in comparison with the particulate standard which is approximately 0.07 gr/scf. Nevertheless, to insure that an unusual case will not occur where a high concentration of condensable matter, not controllable with an ESP, would prevent attainment of the particulate standard, the sampling temperature allowed at fossil-fuel fired steam boilers is being raised to $160^\circ C$. Since this temperature is attainable at new steam generator stacks, sampling at temperatures above $160^\circ C$ would not yield results necessarily representative of the capabilities of the best systems of emission reduction.

In evaluating particulate sampling techniques and the effect of sampling temperature, particular attention has also been given to the possibility that SO_2 may react in the front half of the Method 5 train to form particulate matter. Based upon a series of comprehensive tests involving both source and controlled environments, EPA has developed data that show such reactions do not occur to a significant degree.

Several control agencies commented on the increase in sampling temperature and suggested that the need is for sampling at lower, not higher, temperatures. This is a relevant comment and is one which must be considered in terms of the basis upon which standards are established.

For existing boilers which are not subject to this standard, the existence of higher stack temperatures and/or the use of higher sulfur fuels may result in significant condensation and resultant high indicated particulate concentrations when sampling is conducted at 120° C. At one coal fired steam generator burning coal containing approximately three percent sulfur, EPA measurements at 120° C showed an increase of 0.05 gr/dscf over an average of seven runs compared to samples collected at approximately 150° C. It is believed that this increase resulted, in large part, if not totally, from SO₂ condensation which would occur also when the stack emissions are released into the atmosphere. Therefore, where standards are based upon emission reduction to achieve ambient air quality standards rather than on control technology (as is the case with the standards promulgated herein), a lower sampling temperature may be appropriate.

Seven commentators questioned the need for traversing for oxygen at 12 points within a duct during performance tests. This requirement, which is being revised to apply only when particulate sampling is performed (no more than 12 points are required) is included to insure that potential stratification resulting from air in-leakage will not adversely affect the accuracy of the particulate test.

Eight commentators stated that the requirement for continuous monitoring of nitrogen oxides should be deleted because only two air quality control regions have ambient levels of nitrogen dioxide that exceed the national ambient air quality standard for nitrogen dioxide. Standards of performance issued under section 111 of the Act are designed to require affected facilities to design and install the best systems of emission reduction (taking into account the cost of such reduction). Continuous emission monitoring systems are required to insure that the emission control systems are operated and maintained properly. Because of this, the Agency does not feel that it is appropriate to delete the continuous emission monitoring system requirements for nitrogen oxides; however, in evaluating these comments the Agency found that some situations may exist where the nitrogen oxides monitor is not necessary to insure proper operation and maintenance. The quantity of nitrogen oxides emitted from certain types of furnaces is considerably below the nitrogen oxides emission limitation. The low emission level is achieved through the design of the furnace and does not require specific operating procedures or maintenance on a continuous basis to keep the nitrogen oxides emissions below the applicable standard. Therefore, in this situation, a continuous emission monitoring system for nitrogen oxides is unnecessary. The regulations promulgated herein do not require continuous emission monitoring systems for nitrogen oxides on facilities whose emissions are 30 percent or more below the applicable standard.

Three commentators requested that owners or operators of steam generators be permitted to use NO_x continuous monitoring systems capable of measuring only nitric oxide (NO) since the amount of nitrogen dioxide (NO₂) in the flue gases is comparatively small. The regulations proposed and those promulgated herein allow use of such systems or any system meeting all of the requirements of Performance Specification 2 of Appendix B. A system that measures only nitric oxide (NO) may meet these specifications including the relative accuracy requirement (relative to the reference method tests which measure NO + NO₂) without modification. However, in the interests of maximizing the accuracy of the system and creating conditions favorable to acceptance of such systems (the cost of systems measuring only NO is less), the owner or operator may determine the proportion of NO₂ relative to NO in the flue gases and use a factor to adjust the continuous monitoring system emission data (e.g. $1.03 \times \text{NO} = \text{NO}_x$) provided that the factor is applied not only to the performance evaluation data, but also applied consistently to all data generated by the continuous monitoring system thereafter. This procedure is limited to facilities that have less than 10 percent NO₂ (greater than 90 percent NO) in order to not seriously impair the accuracy of the system due to NO₂ to NO proportion fluctuations.

Section 60.45(g) (1) has been reserved for the future specification of the excess emissions for opacity that must be reported. On November 12, 1974 (39 FR 39872), the Administrator promulgated revisions to Subpart A, General Provisions, pertaining to the opacity provisions and to Reference Method 9, Visual Determination of the Opacity of Emissions from Stationary Sources. On April 22, 1975 (40 FR 17778), the Agency issued a notice soliciting comments on the opacity provisions and Reference Method 9. The Agency intends to evaluate the comments received and make any appropriate revision to the opacity provisions and Reference Method 9. In addition, the Agency is evaluating the opacity standards for fossil-fuel fired steam generators under § 60.42(a) (2) to determine if changes are needed because of the new Reference Method 9. The provisions on excess emissions for opacity will be issued after the Agency completes its evaluation of the opacity standard.

(3) Subpart G—Nitric Acid Plants. Two commentators questioned the long-term validity of the proposed conversion procedures for reducing data to units of the standard. They suggested that the conversion could be accomplished by monitoring the flue gas volumetric rate. EPA reevaluated the proposed procedures and found that monitoring the flue gas volume would be the most direct method and would also be an accurate method of converting monitoring data, but would require the installation of an additional continuous monitoring system. Although this option is available and would be acceptable subject to the Administrator's approval, EPA does not believe that the

additional expense this method (monitoring volumetric rate) would entail is warranted. Since nitric acid plants, for economic and technical reasons, typically operate within a fairly narrow range of conversion efficiencies (90-96 percent) and tail gas diluents (2-5 percent oxygen), the flue gas volumetric rates are reasonably proportional to the acid production rate. The error that would be introduced into the data from the maximum variation of these parameters is approximately 15 percent and would usually be much less. It is expected that the tail gas oxygen concentration (an indication of the degree of tail gas dilution) will be rigidly controlled at facilities using catalytic converter control equipment. Accordingly, the proposed procedures for data conversion have been retained due to the small benefit that would result from requiring additional monitoring equipment. Other procedures may be approved by the Administrator under § 60.13(d).

(4) Subpart H—Sulfuric Acid Plants. Two commentators stated that the proposed procedure for conversion of monitoring data to units of the standard would result in large data reduction errors. EPA has evaluated more closely the operations of sulfuric acid plants and agrees that the proposed procedure is inadequate. The proposed conversion procedure assumes that the operating conditions of the affected facility will remain approximately the same as during the continuous monitoring system evaluation tests. For sulfuric acid plants this assumption is invalid. A sulfuric acid plant is typically designed to operate at a constant volumetric throughput (scfm). Acid production rates are altered by by-passing portions of the process air around the furnace or combustor to vary the concentration of the gas entering the converter. This procedure produces widely varying amounts of tail gas dilution relative to the production rate. Accordingly, EPA has developed new conversion procedures whereby the appropriate conversion factor is computed from an analysis of the SO₂ concentration entering the converter. Air injection plants must make additional corrections for the diluent air added. Measurement of the inlet SO₂ is a normal quality control procedure used by most sulfuric acid plants and does not represent an additional cost burden. The Reich test or other suitable procedures may be used.

(5) Subpart J—Petroleum Refineries. One commentator stated that the requirements for installation of continuous monitoring systems for oxygen and firebox temperature are unnecessary and that installation of a flame detection device would be superior for process control purposes. Also, EPA has obtained data which show no identifiable relationship between furnace temperature, percent oxygen in the flue gas, and carbon monoxide emissions when the facility is operated in compliance with the applicable standard. Since firebox temperature and oxygen measurements may not be preferred by source owners and operators for process control, and no

known method is available for translation of these measurements into quantitative reports of excess carbon monoxide emissions, this requirement appears to be of little use to the affected facilities or to EPA. Accordingly, requirements for installation of continuous monitoring systems for measurements of firebox temperature and oxygen are deleted from the regulations.

Since EPA has not yet developed performance specifications for carbon monoxide or hydrogen sulfide continuous monitoring systems, the type of equipment that may be installed by an owner or operator in compliance with EPA requirements is undefined. Without conducting performance evaluations of such equipment, little reliance can be placed upon the value of any data such systems would generate. Therefore, the sections of the regulation requiring these systems are being reserved until EPA proposes performance specifications applicable to H₂S and CO monitoring systems. The provisions of § 60.105(a)(3) do not apply to an owner or operator electing to monitor H₂S. In that case, an H₂S monitor should not be installed until specific H₂S monitoring requirements are promulgated. At the time specifications are proposed, all owners or operators who have not entered into binding contractual obligations to purchase continuous monitoring equipment by [date of publication] will be required to install a carbon monoxide continuous monitoring system and a hydrogen sulfide continuous monitoring system (unless a sulfur dioxide continuous monitoring system has been installed) as applicable.

Section 60.105(a)(2), which specifies the excess emissions for capacity that must be reported, has been reserved for the same reasons discussed under fossil fuel-fired steam generators.

(6) Appendix B—Performance Specifications. A large number of comments were received in reference to specific technical and editorial changes needed in the specifications. Each of these comments has been reviewed and several changes in format and procedures have been made. These include adding alignment procedures for opacity monitors and more specific instructions for selecting a location for installing the monitoring equipment. Span requirements have been specified so that commercially produced equipment may be standardized where possible. The format of the specifications was simplified by redefining the requirements in terms of percent opacity, or oxygen, or carbon dioxide, or percent of span. The proposed requirements were in terms of percent of the emission standard which is less convenient or too vague since reference to the emission standards would have represented a range of pollutant concentrations depending upon the amount of diluents (i.e. excess air and water vapor) that are present in the effluent. In order to calibrate gaseous monitors in terms of a specific concentration, the requirements were revised to delete reference to the emission standards.

Four commentators noted that the reference methods used to evaluate con-

tinuous monitoring system performance may be less accurate than the systems themselves. Five other commentators questioned the need for 27 nitrogen oxides reference method tests. The accuracy specification for gaseous monitoring systems was specified at 20 percent, a value in excess of the actual accuracy of monitoring systems that provides tolerance for reference method inaccuracy. Commercially available monitoring equipment has been evaluated using these procedures and the combined errors (i.e. relative accuracy) in the reference methods and the monitoring systems have been shown not to exceed 20 percent after the data are averaged by the specified procedures.

Twenty commentators noted that the cost estimates contained in the proposal did not fully reflect installation costs, data reduction and recording costs, and the costs of evaluating the continuous monitoring systems. As a result, EPA reevaluated the cost analysis. For opacity monitoring alone, investment costs including data reduction equipment and performance tests are approximately \$20,000, and annual operating costs are approximately \$8,500. The same location on the stack used for conducting performance tests with Reference Method 5 (particulate) may be used by installing a separate set of ports for the monitoring system so that no additional expense for access is required. For power plants that are required to install opacity, nitrogen oxides, sulfur dioxide, and diluent (O₂ or CO₂) monitoring systems, the investment cost is approximately \$55,000, and the operating cost is approximately \$30,000. These are significant costs but are not unreasonable in comparison to the approximately seven million dollar investment cost for the smallest steam generation facility affected by these regulations.

Effective date. These regulations are promulgated under the authority of sections 111, 114 and 301(a) of the Clean Air Act as amended [42 U.S.C. 1857c-6, 1857c-9, and 1857g(a)] and become effective October 6, 1975.

Dated: September 23, 1975.

JOHN QUARLES,
Acting Administrator.

40 CFR Part 60 is amended by revising Subparts A, D, F, G, H, I, J, L, M, and O, and adding Appendix B as follows:

1. The table of sections is amended by revising Subpart A and adding Appendix B as follows:

Subpart A—General Provisions

60.13 Monitoring requirements.

APPENDIX B—PERFORMANCE SPECIFICATIONS

Performance Specification 1—Performance specifications and specification test procedures for transmissometer systems for continuous measurement of the opacity of stack emissions.

Performance Specification 2—Performance specifications and specification test procedures for monitors of SO₂ and NO_x from stationary sources.

Performance Specification 3—Performance specifications and specification test proce-

dures for monitors of CO₂ and O₂ from stationary sources.

Subpart A—General Provisions

Section 60.2 is amended by revising paragraph (r) and by adding paragraphs (x), (y), and (z) as follows:

§ 60.2 Definitions.

(r) "One-hour period" means any 60 minute period commencing on the hour.

(x) "Six-minute period" means any one of the 10 equal parts of a one-hour period.

(y) "Continuous monitoring system" means the total equipment, required under the emission monitoring sections in applicable subparts, used to sample and condition (if applicable), to analyze, and to provide a permanent record of emissions or process parameters.

(z) "Monitoring device" means the total equipment, required under the monitoring of operations sections in applicable subparts, used to measure and record (if applicable) process parameters.

3. In § 60.7, paragraph (a)(5) is added and paragraphs (b), (c), and (d) are revised. The added and revised provisions read as follows:

§ 60.7 Notification and record keeping.

(a) * * *

(5) A notification of the date upon which demonstration of the continuous monitoring system performance commences in accordance with § 60.13(c). Notification shall be postmarked not less than 30 days prior to such date.

(b) Any owner or operator subject to the provisions of this part shall maintain records of the occurrence and duration of any startup, shutdown, or malfunction in the operation of an affected facility; any malfunction of the air pollution control equipment; or any periods during which a continuous monitoring system or monitoring device is inoperative.

(c) Each owner or operator required to install a continuous monitoring system shall submit a written report of excess emissions (as defined in applicable subparts) to the Administrator for every calendar quarter. All quarterly reports shall be postmarked by the 30th day following the end of each calendar quarter and shall include the following information:

(1) The magnitude of excess emissions computed in accordance with § 60.13(h), any conversion factor(s) used, and the date and time of commencement and completion of each time period of excess emissions.

(2) Specific identification of each period of excess emissions that occurs during startups, shutdowns, and malfunctions of the affected facility. The nature and cause of any malfunction (if known), the corrective action taken or preventative measures adopted.

(3) The date and time identifying each period during which the continuous monitoring system was inoperative except for zero and span checks and the nature of the system repairs or adjustments.

(4) When no excess emissions have occurred or the continuous monitoring system(s) have not been inoperative, repaired, or adjusted, such information shall be stated in the report.

(d) Any owner or operator subject to the provisions of this part shall maintain a file of all measurements, including continuous monitoring system, monitoring device, and performance testing measurements; all continuous monitoring system performance evaluations; all continuous monitoring system or monitoring device calibration checks; adjustments and maintenance performed on these systems or devices; and all other information required by this part recorded in a permanent form suitable for inspection. The file shall be retained for at least two years following the date of such measurements, maintenance, reports, and records.

4. A new § 60.13 is added as follows:

§ 60.13 Monitoring requirements.

(a) Unless otherwise approved by the Administrator or specified in applicable subparts, the requirements of this section shall apply to all continuous monitoring systems required under applicable subparts.

(b) All continuous monitoring systems and monitoring devices shall be installed and operational prior to conducting performance tests under § 60.8. Verification of operational status shall, as a minimum, consist of the following:

(1) For continuous monitoring systems referenced in paragraph (c) (1) of this section, completion of the conditioning period specified by applicable requirements in Appendix B.

(2) For continuous monitoring systems referenced in paragraph (c) (2) of this section, completion of seven days of operation.

(3) For monitoring devices referenced in applicable subparts, completion of the manufacturer's written requirements or recommendations for checking the operation or calibration of the device.

(c) During any performance tests required under § 60.8 or within 30 days thereafter and at such other times as may be required by the Administrator under section 114 of the Act, the owner or operator of any affected facility shall conduct continuous monitoring system performance evaluations and furnish the Administrator within 60 days thereof two or, upon request, more copies of a written report of the results of such tests. These continuous monitoring system performance evaluations shall be conducted in accordance with the following specifications and procedures:

(1) Continuous monitoring systems listed within this paragraph except as provided in paragraph (c) (2) of this section shall be evaluated in accordance with the requirements and procedures contained in the applicable performance

specification of Appendix B as follows:

(i) Continuous monitoring systems for measuring opacity of emissions shall comply with Performance Specification 1.

(ii) Continuous monitoring systems for measuring nitrogen oxides emissions shall comply with Performance Specification 2.

(iii) Continuous monitoring systems for measuring sulfur dioxide emissions shall comply with Performance Specification 2.

(iv) Continuous monitoring systems for measuring the oxygen content or carbon dioxide content of effluent gases shall comply with Performance Specification 3.

(2) An owner or operator who, prior to September 11, 1974, entered into a binding contractual obligation to purchase specific continuous monitoring system components except as referenced by paragraph (c) (2) (iii) of this section shall comply with the following requirements:

(i) Continuous monitoring systems for measuring opacity of emissions shall be capable of measuring emission levels within ± 20 percent with a confidence level of 95 percent. The Calibration Error Test and associated calculation procedures set forth in Performance Specification 1 of Appendix B shall be used for demonstrating compliance with this specification.

(ii) Continuous monitoring systems for measurement of nitrogen oxides or sulfur dioxide shall be capable of measuring emission levels within ± 20 percent with a confidence level of 95 percent. The Calibration Error Test, the Field Test for Accuracy (Relative), and associated operating and calculation procedures set forth in Performance Specification 2 of Appendix B shall be used for demonstrating compliance with this specification.

(iii) Owners or operators of all continuous monitoring systems installed on an affected facility prior to [date of promulgation] are not required to conduct tests under paragraphs (c) (2) (i) and/or (ii) of this section unless requested by the Administrator.

(3) All continuous monitoring systems referenced by paragraph (c) (2) of this section shall be upgraded or replaced (if necessary) with new continuous monitoring systems, and such improved systems shall be demonstrated to comply with applicable performance specifications under paragraph (c) (1) of this section by September 11, 1979.

(d) Owners or operators of all continuous monitoring systems installed in accordance with the provisions of this part shall check the zero and span drift at least once daily in accordance with the method prescribed by the manufacturer of such systems unless the manufacturer recommends adjustments at shorter intervals, in which case such recommendations shall be followed. The zero and span shall, as a minimum, be adjusted whenever the 24-hour zero drift or 24-hour calibration drift limits of the applicable performance specifications in Appendix B are exceeded. For continuous

monitoring systems measuring opacity of emissions, the optical surfaces exposed to the effluent gases shall be cleaned prior to performing the zero or span drift adjustments except that for systems using automatic zero adjustments, the optical surfaces shall be cleaned when the cumulative automatic zero compensation exceeds four percent opacity. Unless otherwise approved by the Administrator, the following procedures, as applicable, shall be followed:

(1) For extractive continuous monitoring systems measuring gases, minimum procedures shall include introducing applicable zero and span gas mixtures into the measurement system as near the probe as is practical. Span and zero gases certified by their manufacturer to be traceable to National Bureau of Standards reference gases shall be used whenever these reference gases are available. The span and zero gas mixtures shall be the same composition as specified in Appendix B of this part. Every six months from date of manufacture, span and zero gases shall be reanalyzed by conducting triplicate analyses with Reference Methods 6 for SO₂, 7 for NO_x, and 3 for O₂ and CO₂, respectively. The gases may be analyzed at less frequent intervals if longer shelf lives are guaranteed by the manufacturer.

(2) For non-extractive continuous monitoring systems measuring gases, minimum procedures shall include upscale check(s) using a certified calibration gas cell or test cell which is functionally equivalent to a known gas concentration. The zero check may be performed by computing the zero value from upscale measurements or by mechanically producing a zero condition.

(3) For continuous monitoring systems measuring opacity of emissions, minimum procedures shall include a method for producing a simulated zero opacity condition and an upscale (span) opacity condition using a certified neutral density filter or other related technique to produce a known obscuration of the light beam. Such procedures shall provide a system check of the analyzer internal optical surfaces and all electronic circuitry including the lamp and photodetector assembly.

(e) Except for system breakdowns, repairs, calibration checks, and zero and span adjustments required under paragraph (d) of this section, all continuous monitoring systems shall be in continuous operation and shall meet minimum frequency of operation requirements as follows:

(1) All continuous monitoring systems referenced by paragraphs (c) (1) and (2) of this section for measuring opacity of emissions shall complete a minimum of one cycle of operation (sampling, analyzing, and data recording) for each successive 10-second period.

(2) All continuous monitoring systems referenced by paragraph (c) (1) of this section for measuring oxides of nitrogen, sulfur dioxide, carbon dioxide, or oxygen shall complete a minimum of one cycle of operation (sampling, analyzing, and data recording) for each successive 15-minute period.

(3) All continuous monitoring systems referenced by paragraph (c) (2) of this section, except opacity, shall complete a minimum of one cycle of operation (sampling, analyzing, and data recording) for each successive one-hour period.

(f) All continuous monitoring systems or monitoring devices shall be installed such that representative measurements of emissions or process parameters from the affected facility are obtained. Additional procedures for location of continuous monitoring systems contained in the applicable Performance Specifications of Appendix B of this part shall be used.

(g) When the effluents from a single affected facility or two or more affected facilities subject to the same emission standards are combined before being released to the atmosphere, the owner or operator may install applicable continuous monitoring systems on each effluent or on the combined effluent. When the affected facilities are not subject to the same emission standards, separate continuous monitoring systems shall be installed on each effluent. When the effluent from one affected facility is released to the atmosphere through more than one point, the owner or operator shall install applicable continuous monitoring systems on each separate effluent unless the installation of fewer systems is approved by the Administrator.

(h) Owners or operators of all continuous monitoring systems for measurement of opacity shall reduce all data to six-minute averages and for systems other than opacity to one-hour averages for time periods under § 60.2 (x) and (r) respectively. Six-minute opacity averages shall be calculated from 24 or more data points equally spaced over each six-minute period. For systems other than opacity, one-hour averages shall be computed from four or more data points equally spaced over each one-hour period. Data recorded during periods of system breakdowns, repairs, calibration checks, and zero and span adjustments shall not be included in the data averages computed under this paragraph. An arithmetic or integrated average of all data may be used. The data output of all continuous monitoring systems may be recorded in reduced or nonreduced form (e.g., ppm pollutant and percent O₂ or lb/million Btu of pollutant). All excess emissions shall be converted into units of the standard using the applicable conversion procedures specified in subparts. After conversion into units of the standard, the data may be rounded to the same number of significant digits used in subparts to specify the applicable standard (e.g., rounded to the nearest one percent opacity).

(1) Upon written application by an owner or operator, the Administrator may approve alternatives to any monitoring procedures or requirements of this part including, but not limited to the following:

(i) Alternative monitoring requirements when installation of a continuous monitoring system or monitoring device specified by this part would not provide

accurate measurements due to liquid water or other interferences caused by substances with the effluent gases.

(ii) Alternative monitoring requirements when the affected facility is infrequently operated.

(iii) Alternative monitoring requirements to accommodate continuous monitoring systems that require additional measurements to correct for stack moisture conditions.

(iv) Alternative locations for installing continuous monitoring systems or monitoring devices when the owner or operator can demonstrate that installation at alternate locations will enable accurate and representative measurements.

(v) Alternative methods of converting pollutant concentration measurements to units of the standards.

(vi) Alternative procedures for performing daily checks of zero and span drift that do not involve use of span gases or test cells.

(vii) Alternatives to the A.S.T.M. test methods or sampling procedures specified by any subpart.

(viii) Alternative continuous monitoring systems that do not meet the design or performance requirements in Performance Specification 1, Appendix B, but adequately demonstrate a definite and consistent relationship between its measurements and the measurements of opacity by a system complying with the requirements in Performance Specification 1. The Administrator may require that such demonstration be performed for each affected facility.

(ix) Alternative monitoring requirements when the effluent from a single affected facility or the combined effluent from two or more affected facilities are released to the atmosphere through more than one point.

Subpart D—Standards of Performance for Fossil Fuel-Fired Steam Generators

§ 60.42 [Amended]

5. Paragraph (a) (2) of § 60.42 is amended by deleting the second sentence.

6. Section 60.45 is amended by revising paragraphs (a), (b), (c), (d), (e), (f), and (g) as follows:

§ 60.45 Emission and fuel monitoring.

(a) A continuous monitoring system for measuring the opacity of emissions, except where gaseous fuel is the only fuel burned, shall be installed, calibrated, maintained, and operated by the owner or operator. The continuous monitoring system shall be spanned at 80 or 90 or 100 percent opacity.

(b) A continuous monitoring system for measuring sulfur dioxide emissions, shall be installed, calibrated, maintained and operated by the owner or operator except where gaseous fuel is the only fuel burned or where low sulfur fuels are used to achieve compliance with the standard under § 60.43 and fuel analyses under paragraph (b) (2) of this section are conducted. The following procedures shall be used for monitoring sulfur dioxide emissions:

(1) For affected facilities which use continuous monitoring systems, Reference Method 6 shall be used for conducting monitoring system performance evaluations under § 60.13(c). The pollutant gas used to prepare calibration gas mixtures under paragraph 2.1, Performance Specification 2 and for calibration checks under § 60.13(d) to this part, shall be sulfur dioxide (SO₂). The span value for the continuous monitoring system shall be determined as follows:

(i) For affected facilities firing liquid fossil fuel the span value shall be 1000 ppm sulfur dioxide.

(ii) For affected facilities firing solid fossil fuel the span value shall be 1500 ppm sulfur dioxide.

(iii) For affected facilities firing fossil fuels in any combination, the span value shall be determined by computation in accordance with the following formula and rounding to the nearest 500 ppm sulfur dioxide:

$$1000y + 1500z$$

where:

y = the fraction of total heat input derived from liquid fossil fuel, and

z = the fraction of total heat input derived from solid fossil fuel.

(iv) For affected facilities which fire both fossil fuels and nonfossil fuels, the span value shall be subject to the Administrator's approval.

(2) [Reserved]

(3) For affected facilities using flue gas desulfurization systems to achieve compliance with sulfur dioxide standards under § 60.43, the continuous monitoring system for measuring sulfur dioxide emissions shall be located downstream of the desulfurization system and in accordance with requirements in Performance Specification 2 of Appendix B and the following:

(i) Owners or operators shall install CO₂ continuous monitoring systems, if selected under paragraph (d) of this section, at a location upstream of the desulfurization system. This option may be used only if the owner or operator can demonstrate that air is not added to the flue gas between the CO₂ continuous monitoring system and the SO₂ continuous monitoring system and each system measures the CO₂ and SO₂ on a dry basis.

(ii) Owners or operators who install O₂ continuous monitoring systems under paragraph (d) of this section shall select a location downstream of the desulfurization system and all measurements shall be made on a dry basis.

(iii) If fuel of a different type than is used in the boiler is fired directly into the flue gas for any purpose (e.g., reheating) the F or Fc factors used shall be prorated under paragraph (f) (6) of this section with consideration given to the fraction of total heat input supplied by the additional fuel. The pollutant, opacity, CO₂, or O₂ continuous monitoring system(s) shall be installed downstream of any location at which fuel is fired directly into the flue gas.

(c) A continuous monitoring system for the measurement of nitrogen oxides emissions shall be installed, calibrated, maintained, and operated by the owner

or operator except for any affected facility demonstrated during performance tests under § 60.8 to emit nitrogen oxides pollutants at levels 30 percent or more below applicable standards under § 60.44 of this part. The following procedures shall be used for determining the span and for calibrating nitrogen oxides continuous monitoring systems:

(1) The span value shall be determined as follows:

(i) For affected facilities firing gaseous fossil fuel the span value shall be 500 ppm nitrogen oxides.

(ii) For affected facilities firing liquid fossil fuel the span value shall be 500 ppm nitrogen oxides.

(iii) For affected facilities firing solid fossil fuel the span value shall be 1000 ppm nitrogen oxides.

(iv) For affected facilities firing fossil fuels in any combination, the span value shall be determined by computation in accordance with the following formula and rounding to the nearest 500 ppm nitrogen oxides:

$$500(x+y)+1000z$$

where:

x = the fraction of total heat input derived from gaseous fossil fuel,

y = the fraction of total heat input derived from liquid fossil fuel, and

z = the fraction of total heat input derived from solid fossil fuel.

(v) For affected facilities which fire both fossil fuels and nonfossil fuels, the span value shall be subject to the Administrator's approval.

(2) The pollutant gas used to prepare calibration gas mixtures under paragraph 2.1, Performance Specification 2 and for calibration checks under § 60.13 (d) to this part, shall be nitric oxide (NO). Reference Method 7 shall be used for conducting monitoring system performance evaluations under § 60.13(c).

(d) A continuous monitoring system for measuring either oxygen or carbon dioxide in the flue gases shall be installed, calibrated, maintained, and operated by the owner or operator.

(e) An owner or operator required to install continuous monitoring systems under paragraphs (b) and (c) of this section shall for each pollutant monitored use the applicable conversion procedure for the purpose of converting continuous monitoring data into units of the applicable standards (g/million cal, lb/million Btu) as follows:

(1) When the owner or operator elects under paragraph (d) of this section to measure oxygen in the flue gases, the measurement of the pollutant concentration and oxygen concentration shall each be on a dry basis and the following conversion procedure shall be used:

$$E = CF \left(\frac{20.9}{20.9 - \%O_2} \right)$$

where:

E, C, F and $\%O_2$ are determined under paragraph (f) of this section.

(2) When the owner or operator elects under paragraph (d) of this section to measure carbon dioxide in the flue gases, the measurement of the pollutant concentration and the carbon dioxide concentration shall be on a consistent basis

(wet or dry) and the following conversion procedure shall be used:

$$E = CF_e \left[\frac{100}{\%CO_2} \right]$$

where:

E, C, F_e , and $\%CO_2$ are determined under paragraph (f) of this section.

(f) The values used in the equations under paragraphs (e) (1) and (2) of this section are derived as follows:

(1) E = pollutant emission, g/million cal (lb/million Btu).

(2) C = pollutant concentration, g/dscm (lb/dscf), determined by multiplying the average concentration (ppm) for each one-hour period by 4.15×10^{-4} M g/dscm per ppm (2.59×10^{-4} M lb/dscf per ppm) where M = pollutant molecular weight, g/g-mole (lb/lb-mole). M = 64.07 for sulfur dioxide and 46.01 for nitrogen oxides.

(3) $\%O_2$, $\%CO_2$ = oxygen or carbon dioxide volume (expressed as percent), determined with equipment specified under paragraph (d) of this section.

(4) F, F_e = a factor representing a ratio of the volume of dry flue gases generated to the calorific value of the fuel combusted (F), and a factor representing a ratio of the volume of carbon dioxide generated to the calorific value of the fuel combusted (F_e), respectively. Values of F and F_e are given as follows:

$$F = \left[\frac{227.0\%H + 95.7\%C + 35.4\%S + 8.6\%N - 28.5\%O}{GCV} \right] \text{ (metric units)}$$

$$F_e = \frac{10^6 [6.34\%H + 1.53\%C + 0.57\%S + 0.14\%N - 0.46\%O]}{GCV} \text{ (English units)}$$

$$F_e = \frac{20.0\%C}{GCV} \text{ (metric units)}$$

$$F_e = \frac{321 \times 10^6 \%C}{GCV} \text{ (English units)}$$

(i) H, C, S, N, and O are content by weight of hydrogen, carbon, sulfur, nitrogen, and oxygen (expressed as percent), respectively, as determined on the same basis as GCV by ultimate analysis of the fuel fired, using A.S.T.M. method D3178-74 or D3176 (solid fuels), or computed from results using A.S.T.M. methods D1137-53(70), D1945-64(73), or D1946-67(72) (gaseous fuels) as applicable.

(ii) GCV is the gross calorific value (cal/g, Btu/lb) of the fuel combusted, determined by the A.S.T.M. test methods D2015-66(72) for solid fuels and D1826-64(70) for gaseous fuels as applicable.

(6) For affected facilities firing combinations of fossil fuels, the F or F_e factors determined by paragraphs (f) (4) or (5) of this section shall be prorated in accordance with the applicable formula as follows:

$$(1) F = xF_1 + yF_2 + zF_3$$

where:

x, y, z = the fraction of total heat input derived from gaseous, liquid, and solid fuel, respectively.

F_1, F_2, F_3 = the value of F for gaseous, liquid, and solid fossil fuels respectively under paragraphs (f) (4) or (5) of this section.

(i) For anthracite coal as classified according to A.S.T.M. D388-66, $F = 1.139$ dscm/million cal (10140 dscf/million Btu) and $F_e = 0.222$ scm CO_2 /million cal (1980 scf CO_2 /million Btu).

(ii) For sub-bituminous and bituminous coal as classified according to ASTM D388-66, $F = 1.103$ dscm/million cal (9820 dscf/million Btu) and $F_e = 0.203$ scm CO_2 /million cal (1810 scf CO_2 /million Btu).

(iii) For liquid fossil fuels including crude, residual, and distillate oils, $F = 1.036$ dscm/million cal (9220 dscf/million Btu) and $F_e = 0.161$ scm CO_2 /million cal (1430 scf CO_2 /million Btu).

(iv) For gaseous fossil fuels, $F = 0.982$ dscm/million cal (8740 dscf/million Btu). For natural gas, propane, and butane fuels, $F_e = 0.117$ scm CO_2 /million cal (1040 scf CO_2 /million Btu) for natural gas, 0.135 scm CO_2 /million cal (1200 scf CO_2 /million Btu) for propane, and 0.142 scm CO_2 /million cal (1260 scf CO_2 /million Btu) for butane.

(5) The owner or operator may use the following equation to determine an F factor (dscm/million cal, or dscf/million Btu) on a dry basis (if it is desired to calculate F on a wet basis, consult with the Administrator) or F_e factor (scm CO_2 /million cal, or scf CO_2 /million Btu) on either basis in lieu of the F or F_e factors specified in paragraph (f) (4) of this section:

$$F = \left[\frac{227.0\%H + 95.7\%C + 35.4\%S + 8.6\%N - 28.5\%O}{GCV} \right] \text{ (metric units)}$$

$$F_e = \frac{10^6 [6.34\%H + 1.53\%C + 0.57\%S + 0.14\%N - 0.46\%O]}{GCV} \text{ (English units)}$$

$$F_e = \frac{20.0\%C}{GCV} \text{ (metric units)}$$

$$F_e = \frac{321 \times 10^6 \%C}{GCV} \text{ (English units)}$$

$$(ii) F_e = \sum_{i=1}^n X_i (F_{e_i})$$

where:

X_i = the fraction of total heat input derived from each type fuel (e.g., natural gas, butane, crude, bituminous coal, etc.).

(F_{e_i}) = the applicable F_e factor for each fuel type determined in accordance with paragraphs (f) (4) and (5) of this section.

(iii) For affected facilities which fire both fossil fuels and nonfossil fuels, the F or F_e value shall be subject to the Administrator's approval.

(g) For the purpose of reports required under § 60.7(c), periods of excess emissions that shall be reported are defined as follows:

(1) [Reserved]

(2) Sulfur dioxide. Excess emissions for affected facilities are defined as:

(i) Any three-hour period during which the average emissions (arithmetic average of three contiguous one-hour periods) of sulfur dioxide as measured by a continuous monitoring system exceed the applicable standard under § 60.43.

(ii) [Reserved]

(3) Nitrogen oxides. Excess emissions for affected facilities using a continuous monitoring system for measuring nitro-

gen oxides are defined as any three-hour period during which the average emissions (arithmetic average of three contiguous one-hour periods) exceed the applicable standards under § 60.44.

7. Section 60.46 is revised to read as follows:

§ 60.46 Test methods and procedures.

(a) The reference methods in Appendix A of this part, except as provided in § 60.8(b), shall be used to determine compliance with the standards as prescribed in §§ 60.42, 60.43, and 60.44 as follows:

(1) Method 1 for selection of sampling site and sample traverses.

(2) Method 3 for gas analysis to be used when applying Reference Methods 5, 6 and 7.

(3) Method 5 for concentration of particulate matter and the associated moisture content.

(4) Method 6 for concentration of SO₂ and

(5) Method 7 for concentration of NO_x.

(b) For Method 5, Method 1 shall be used to select the sampling site and the number of traverse sampling points. The sampling time for each run shall be at least 60 minutes and the minimum sampling volume shall be 0.85 dscm (30 dscf) except that smaller sampling times or volumes, when necessitated by process variables or other factors, may be approved by the Administrator. The probe and filter holder heating systems in the sampling train shall be set to provide a gas temperature no greater than 160° C (320° F).

(c) For Methods 6 and 7, the sampling site shall be the same as that selected for Method 5. The sampling point in the duct shall be at the centroid of the cross section or at a point no closer to the walls than 1 m (3.28 ft). For Method 6, the sample shall be extracted at a rate proportional to the gas velocity at the sampling point.

(d) For Method 6, the minimum sampling time shall be 20 minutes and the minimum sampling volume 0.02 dscm (0.71 dscf) for each sample. The arithmetic mean of two samples shall constitute one run. Samples shall be taken at approximately 30-minute intervals.

(e) For Method 7, each run shall consist of at least four grab samples taken at approximately 15-minute intervals. The arithmetic mean of the samples shall constitute the run value.

(f) For each run using the methods specified by paragraphs (a) (3), (4), and (5) of this section, the emissions expressed in g/million cal (lb/million Btu) shall be determined by the following procedure:

$$E = CF \left(\frac{20.9}{20.9 - \%O_2} \right)$$

where:

(1) E = pollutant emission g/million cal (lb/million Btu).

(2) C = pollutant concentration, g/dscm (lb/dscf), determined by Methods 5, 6, or 7.

(3) %O₂ = oxygen content by volume (expressed as percent), dry basis. Percent

oxygen shall be determined by using the integrated or grab sampling and analysis procedures of Method 3 as applicable. The sample shall be obtained as follows:

(i) For determination of sulfur dioxide and nitrogen oxides emissions, the oxygen sample shall be obtained simultaneously at the same point in the duct as used to obtain the samples for Methods 6 and 7 determinations, respectively [§ 60.46(c) 1]. For Method 7, the oxygen sample shall be obtained using the grab sampling and analysis procedures of Method 3.

(ii) For determination of particulate emissions, the oxygen sample shall be obtained simultaneously by traversing the duct at the same sampling location used for each run of Method 5 under paragraph (b) of this section. Method 1 shall be used for selection of the number of traverse points except that no more than 12 sample points are required.

(4) F = a factor as determined in paragraphs (f) (4), (5) or (6) of § 60.45.

(g) When combinations of fossil fuels are fired, the heat input, expressed in cal/hr (Btu/hr), shall be determined during each testing period by multiplying the gross calorific value of each fuel fired by the rate of each fuel burned. Gross calorific value shall be determined in accordance with A.S.T.M. methods D2015-66(72) (solid fuels), D240-64(73) (liquid fuels), or D1826-64(70) (gaseous fuels) as applicable. The rate of fuels burned during each testing period shall be determined by suitable methods and shall be confirmed by a material balance over the steam generation system.

Subpart F—Standards of Performance for Portland Cement Plants

§ 60.62 [Amended]

8. Section 60.62 is amended by deleting paragraph (d).

Subpart G—Standards of Performance for Nitric Acid Plants

§ 60.72 [Amended]

9. Paragraph (a) (2) of § 60.72 is amended by deleting the second sentence.

10. Section 60.73 is amended by revising paragraphs (a), (b), (c), and (e) to read as follows:

§ 60.73 Emission monitoring.

(a) A continuous monitoring system for the measurement of nitrogen oxides shall be installed, calibrated, maintained, and operated by the owner or operator. The pollutant gas used to prepare calibration gas mixtures under paragraph 2.1, Performance Specification 2 and for calibration checks under § 60.13(d) to this part, shall be nitrogen dioxide (NO₂). The span shall be set at 500 ppm of nitrogen dioxide. Reference Method 7 shall be used for conducting monitoring system performance evaluations under § 60.13(c).

(b) The owner or operator shall establish a conversion factor for the purpose of converting monitoring data into units of the applicable standard (kg/metric ton, lb/short ton). The conversion factor shall be established by measuring emis-

sions with the continuous monitoring system concurrent with measuring emissions with the applicable reference method tests. Using only that portion of the continuous monitoring emission data that represents emission measurements concurrent with the reference method test periods, the conversion factor shall be determined by dividing the reference method test data averages by the monitoring data averages to obtain a ratio expressed in units of the applicable standard to units of the monitoring data, i.e., kg/metric ton per ppm (lb/short ton per ppm). The conversion factor shall be re-established during any performance test under § 60.8 or any continuous monitoring system performance evaluation under § 60.13(c).

(c) The owner or operator shall record the daily production rate and hours of operation.

(e) For the purpose of reports required under § 60.7(c), periods of excess emissions that shall be reported are defined as any three-hour period during which the average nitrogen oxides emissions (arithmetic average of three contiguous one-hour periods) as measured by a continuous monitoring system exceed the standard under § 60.72(a).

Subpart H—Standards of Performance for Sulfuric Acid Plants

§ 60.83 [Amended]

11. Paragraph (a) (2) of § 60.83 is amended by deleting the second sentence.

12. Section 60.84 is amended by revising paragraphs (a), (b), (c), and (e) to read as follows:

§ 60.84 Emission monitoring.

(a) A continuous monitoring system for the measurement of sulfur dioxide shall be installed, calibrated, maintained, and operated by the owner or operator. The pollutant gas used to prepare calibration gas mixtures under paragraph 2.1, Performance Specification 2 and for calibration checks under § 60.13(d) to this part, shall be sulfur dioxide (SO₂). Reference Method 8 shall be used for conducting monitoring system performance evaluations under § 60.13(c) except that only the sulfur dioxide portion of the Method 8 results shall be used. The span shall be set at 1000 ppm of sulfur dioxide.

(b) The owner or operator shall establish a conversion factor for the purpose of converting monitoring data into units of the applicable standard (kg/metric ton, lb/short ton). The conversion factor shall be determined, as a minimum, three times daily by measuring the concentration of sulfur dioxide entering the converter using suitable methods (e.g., the Reich test, National Air Pollution Control Administration Publication No. 999-AP-13 and calculating the appropriate conversion factor for each eight-hour period as follows:

$$CF = k \left[\frac{1.000 - 0.015r}{r - s} \right]$$

where:

CF = conversion factor (kg/metric ton per ppm, lb/short ton per ppm).

k = constant derived from material balance. For determining CF in metric units, $k=0.0653$. For determining CF in English units, $k=0.1306$.

r = percentage of sulfur dioxide by volume entering the gas converter. Appropriate corrections must be made for air injection plants subject to the Administrator's approval.

s = percentage of sulfur dioxide by volume in the emissions to the atmosphere determined by the continuous monitoring system required under paragraph (a) of this section.

(c) The owner or operator shall record all conversion factors and values under paragraph (b) of this section from which they were computed (i.e., CF, r, and s).

(e) For the purpose of reports under § 60.7(c), periods of excess emissions shall be all three-hour periods (or the arithmetic average of three consecutive one-hour periods) during which the integrated average sulfur dioxide emissions exceed the applicable standards under § 60.82.

Subpart I—Standards of Performance for Asphalt Concrete Plants

§ 60.92 [Amended]

13. Paragraph (a)(2) of § 60.92 is amended by deleting the second sentence.

Subpart J—Standards of Performance for Petroleum Refineries

§ 60.102 [Amended]

14. Paragraph (a)(2) of § 60.102 is amended by deleting the second sentence.

15. Section 60.105 is amended by revising paragraphs (a), (b), and (c) to read as follows:

§ 60.105 Emission monitoring.

(a) Continuous monitoring systems shall be installed, calibrated, maintained, and operated by the owner or operator as follows:

(1) A continuous monitoring system for the measurement of the opacity of emissions discharged into the atmosphere from the fluid catalytic cracking unit catalyst regenerator. The continuous monitoring system shall be spanned at 60, 70, or 80 percent opacity.

(2) [Reserved]

(3) A continuous monitoring system for the measurement of sulfur dioxide in the gases discharged into the atmosphere from the combustion of fuel gases (except where a continuous monitoring system for the measurement of hydrogen sulfide is installed under paragraph (a) (4) of this section). The pollutant gas used to prepare calibration gas mixtures under paragraph 2.1, Performance Specification 2 and for calibration checks under § 60.13(d) to this part, shall be sulfur dioxide (SO₂). The span shall be set at 100 ppm. For conducting monitoring system performance evaluations under § 60.13(c), Reference Method 6 shall be used.

(4) [Reserved]

(b) [Reserved]

(e) For the purpose of reports under § 60.7(c), periods of excess emissions that shall be reported are defined as follows:

(1) [Reserved]

(2) [Reserved]

(3) [Reserved]

(4) Any six-hour period during which the average emissions (arithmetic average of six contiguous one-hour periods) of sulfur dioxide as measured by a continuous monitoring system exceed the standard under § 60.104.

Subpart L—Standards of Performance for Secondary Lead Smelters

§ 60.122 [Amended]

16. Section 60.122 is amended by deleting paragraph (c).

Subpart M—Standards of Performance for Secondary Brass and Bronze Ingot Production Plants

§ 60.132 [Amended]

17. Section 60.132 is amended by deleting paragraph (c).

Subpart O—Standards of Performance for Sewage Treatment Plants

§ 60.152 [Amended]

18. Paragraph (a)(2) of § 60.152 is amended by deleting the second sentence.

19. Part 60 is amended by adding Appendix B as follows:

APPENDIX B—PERFORMANCE SPECIFICATIONS

Performance Specification 1—Performance specifications and specification test procedures for transmissometer systems for continuous monitoring system exceed the emissions.

1. Principle and Applicability.

1.1 Principle. The opacity of particulate matter in stack emissions is measured by a continuously operating emission measurement system. These systems are based upon the principle of transmissometry which is a direct measurement of the attenuation of visible radiation (opacity) by particulate matter in a stack effluent. Light having specific spectral characteristics is projected from a lamp across the stack of a pollutant source to a light sensor. The light is attenuated due to absorption and scatter by the particulate matter in the effluent. The percentage of visible light attenuated is defined as the opacity of the emission. Transparent stack emissions that do not attenuate light will have a transmittance of 100 or an opacity of 0. Opaque stack emissions that attenuate all of the visible light will have a transmittance of 0 or an opacity of 100 percent. The transmissometer is evaluated by use of neutral density filters to determine the precision of the continuous monitoring system. Tests of the system are performed to determine zero drift, calibration drift, and response time characteristics of the system.

1.2 Applicability. This performance specification is applicable to the continuous monitoring systems specified in the subparts for measuring opacity of emissions. Specifications for continuous measurement of visible emissions are given in terms of design,

performance, and installation parameters. These specifications contain test procedures, installation requirements, and data computation procedures for evaluating the acceptability of the continuous monitoring systems subject to approval by the Administrator.

2. Apparatus.

2.1 Calibrated Filters. Optical filters with neutral spectral characteristics and known optical densities to visible light or screens known to produce specified optical densities. Calibrated filters with accuracies certified by the manufacturer to within ± 3 percent opacity shall be used. Filters required are low, mid, and high-range filters with nominal optical densities as follows when the transmissometer is spanned at opacity levels specified by applicable subparts:

Span value (percent opacity)	Calibrated filter optical densities with equivalent opacity in parenthesis		
	Low- range	Mid- range	High- range
50.....	0.1 (20)	0.2 (37)	0.3 (50)
60.....	0.1 (20)	0.2 (37)	0.3 (50)
70.....	0.1 (20)	0.3 (50)	0.4 (60)
80.....	0.1 (20)	0.3 (50)	0.6 (75)
90.....	0.1 (20)	0.4 (60)	0.7 (80)
100.....	0.1 (20)	0.4 (60)	0.9 (87.5)

It is recommended that filter calibrations be checked with a well-collimated photopic transmissometer of known linearity prior to use. The filters shall be of sufficient size to attenuate the entire light beam of the transmissometer.

2.2 Data Recorder. Analog chart recorder or other suitable device with input voltage range compatible with the analyzer system output. The resolution of the recorder's data output shall be sufficient to allow completion of the test procedures within this specification.

2.3 Opacity measurement System. An in-stack transmissometer (folded or single path) with the optical design specifications designated below, associated control units and apparatus to keep optical surfaces clean.

3. Definitions.

3.1 Continuous Monitoring System. The total equipment required for the determination of pollutant opacity in a source effluent. Continuous monitoring systems consist of major subsystems as follows:

3.1.1 Sampling Interface. The portion of a continuous monitoring system for opacity that protects the analyzer from the effluent.

3.1.2 Analyzer. That portion of the continuous monitoring system which senses the pollutant and generates a signal output that is a function of the pollutant opacity.

3.1.3 Data Recorder. That portion of the continuous monitoring system that processes the analyzer output and provides a permanent record of the output signal in terms of pollutant opacity.

3.2 Transmissometer. The portions of a continuous monitoring system for opacity that include the sampling interface and the analyzer.

3.3 Span. The value of opacity at which the continuous monitoring system is set to produce the maximum data display output. The span shall be set at an opacity specified in each applicable subpart.

3.4 Calibration Error. The difference between the opacity reading indicated by the continuous monitoring system and the known values of a series of test standards. For this method the test standards are a series of calibrated optical filters or screens.

3.5 Zero Drift. The change in continuous monitoring system output over a stated period of time of normal continuous operation

when the pollutant concentration at the time of the measurements is zero.

3.6 Calibration Drift. The change in the continuous monitoring system output over a stated period of time of normal continuous operation when the pollutant concentration at the time of the measurements is the same known upscale value.

3.7 System Response. The time interval from a step change in opacity in the stack at the input to the continuous monitoring system to the time at which 95 percent of the corresponding final value is reached as displayed on the continuous monitoring system data recorder.

3.8 Operational Test Period. A minimum period of time over which a continuous monitoring system is expected to operate within certain performance specifications without unscheduled maintenance, repair, or adjustment.

3.9 Transmittance. The fraction of incident light that is transmitted through an optical medium of interest.

3.10 Opacity. The fraction of incident light that is attenuated by an optical medium of interest. Opacity (O) and transmittance (T) are related as follows:

$$O = 1 - T$$

3.11 Optical Density. A logarithmic measure of the amount of light that is attenuated by an optical medium of interest. Optical density (D) is related to the transmittance and opacity as follows:

$$D = -\log_{10} T$$

$$D = -\log_{10} (1 - O)$$

3.12 Peak Optical Response. The wavelength of maximum sensitivity of the instrument.

3.13 Mean Spectral Response. The wavelength which bisects the total area under the curve obtained pursuant to paragraph 9.2.1.

3.14 Angle of View. The maximum (total) angle of radiation detection by the photodetector assembly of the analyzer.

3.15 Angle of Projection. The maximum (total) angle that contains 95 percent of the radiation projected from the lamp assembly of the analyzer.

3.16 Pathlength. The depth of effluent in the light beam between the receiver and the transmitter of the single-pass transmissometer, or the depth of effluent between the transceiver and reflector of a double-pass transmissometer. Two pathlengths are referenced by this specification:

3.16.1 Monitor Pathlength. The depth of effluent at the installed location of the continuous monitoring system.

3.16.2 Emission Outlet Pathlength. The depth of effluent at the location emissions are released to the atmosphere.

4. Installation Specification.

4.1 Location. The transmissometer must be located across a section of duct or stack that will provide a particulate matter flow through the optical volume of the transmissometer that is representative of the particulate matter flow through the duct or stack. It is recommended that the monitor pathlength or depth of effluent for the transmissometer include the entire diameter of the duct or stack. In installations using a shorter pathlength, extra caution must be used in determining the measurement location representative of the particulate matter flow through the duct or stack.

4.1.1 The transmissometer location shall be downstream from all particulate control equipment.

4.1.2 The transmissometer shall be located as far from bends and obstructions as practical.

4.1.3 A transmissometer that is located in the duct or stack following a bend shall be installed in the plane defined by the bend where possible.

4.1.4 The transmissometer should be installed in an accessible location.

4.1.5 When required by the Administrator, the owner or operator of a source must demonstrate that the transmissometer is located in a section of duct or stack where a representative particulate matter distribution exists. The determination shall be accomplished by examining the opacity profile of the effluent at a series of positions across the duct or stack while the plant is in operation at maximum or reduced operating rates or by other tests acceptable to the Administrator.

4.2 Slotted Tube. Installations that require the use of a slotted tube shall use a slotted tube of sufficient size and blackness so as not to interfere with the free flow of effluent through the entire optical volume of the transmissometer or reflect light into the transmissometer photodetector. Light reflections may be prevented by using blackened baffles within the slotted tube to prevent the lamp radiation from impinging upon the tube walls, by restricting the angle of projection of the light and the angle of view of the photodetector assembly to less than the cross-sectional area of the slotted tube, or by other methods. The owner or operator must show that the manufacturer of the monitoring system has used appropriate methods to minimize light reflections for systems using slotted tubes.

4.3 Data Recorder Output. The continuous monitoring system output shall permit expanded display of the span opacity on a standard 0 to 100 percent scale. Since all opacity standards are based on the opacity of the effluent exhausted to the atmosphere, the system output shall be based upon the emission outlet pathlength and permanently recorded. For affected facilities whose monitor pathlength is different from the facility's emission outlet pathlength, a graph shall be provided with the installation to show the relationships between the continuous monitoring system recorded opacity based upon the emission outlet pathlength and the opacity of the effluent at the analyzer location (monitor pathlength). Tests for measurement of opacity that are required by this performance specification are based upon the monitor pathlength. The graph necessary to convert the data recorder output to the monitor pathlength basis shall be established as follows:

$$\log (1 - O_2) = (l_1/l_2) \log (1 - O_1)$$

where:

O_1 = the opacity of the effluent based upon l_1 .

O_2 = the opacity of the effluent based upon l_2 .

l_1 = the emission outlet pathlength.

l_2 = the monitor pathlength.

5. Optical Design Specifications.

The optical design specifications set forth in Section 6.1 shall be met in order for a measurement system to comply with the requirements of this method.

6. Determination of Conformance with Design Specifications.

6.1 The continuous monitoring system for measurement of opacity shall be demonstrated to conform to the design specifications set forth as follows:

6.1.1 Peak Spectral Response. The peak spectral response of the continuous monitoring systems shall occur between 500 nm and 600 nm. Response at any wavelength below 400 nm or above 700 nm shall be less than 10 percent of the peak response of the continuous monitoring system.

6.1.2 Mean Spectral Response. The mean spectral response of the continuous monitoring system shall occur between 500 nm and 600 nm.

6.1.3 Angle of View. The total angle of view shall be no greater than 5 degrees.

6.1.4 Angle of Projection. The total angle of projection shall be no greater than 5 degrees.

6.2 Conformance with requirements under Section 6.1 of this specification may be demonstrated by the owner or operator of the affected facility or by the manufacturer of the opacity measurement system. Where conformance is demonstrated by the manufacturer, certification that the tests were performed, a description of the test procedures, and the test results shall be provided by the manufacturer. If the source owner or operator demonstrates conformance, the procedures used and results obtained shall be reported.

6.3 The general test procedures to be followed to demonstrate conformance with Section 6 requirements are given as follows: (These procedures will not be applicable to all designs and will require modification in some cases. Where analyzer and optical design is certified by the manufacturer to conform with the angle of view or angle of projection specifications, the respective procedures may be omitted.)

6.3.1 Spectral Response. Obtain spectral data for detector, lamp, and filter components used in the measurement system from their respective manufacturers.

6.3.2 Angle of View. Set the received up as specified by the manufacturer. Draw an arc with radius of 3 meters. Measure the receiver response to a small (less than 3 centimeters) non-directional light source at 5-centimeter intervals on the arc for 20 centimeters on either side of the detector centerline. Repeat the test in the vertical direction.

6.3.3 Angle of Projection. Set the projector up as specified by the manufacturer. Draw an arc with radius of 3 meters. Using a small photoelectric light detector (less than 3 centimeters), measure the light intensity at 5-centimeter intervals on the arc for 20 centimeters on either side of the light source centerline of projection. Repeat the test in the vertical direction.

7. Continuous Monitoring System Performance Specifications.

The continuous monitoring system shall meet the performance specifications in Table 1-1 to be considered acceptable under this method.

TABLE 1-1.—Performance specifications

Parameter	Specifications
a. Calibration error.....	<3 pct opacity. ¹
b. Zero drift (24 h).....	<2 pct opacity. ¹
c. Calibration drift (24 h).....	<2 pct opacity. ¹
d. Response time.....	10 s (maximum).
e. Operational test period.....	168 h.

¹ Expressed as sum of absolute mean value and the 95 pct confidence interval of a series of tests.

8. Performance Specification Test Procedures. The following test procedures shall be used to determine conformance with the requirements of paragraph 7:

8.1 Calibration Error and Response Time Test. These tests are to be performed prior to installation of the system on the stack and may be performed at the affected facility or at other locations provided that proper notification is given. Set up and calibrate the measurement system as specified by the manufacturer's written instructions for the monitor pathlength to be used in the installation. Span the analyzer as specified in applicable subparts.

8.1.1 Calibration Error Test. Insert a series of calibration filters in the transmissometer path at the midpoint. A minimum of three calibration filters (low, mid, and high-range) selected in accordance with the table under paragraph 2.1 and calibrated within 3 percent must be used. Make a total of five nonconsecutive readings for each filter.

Record the measurement system output readings in percent opacity. (See Figure 1-1.)

8.1.2 System Response Test. Insert the high-range filter in the transmissometer path five times and record the time required for the system to respond to 95 percent of final zero and high-range filter values. (See Figure 1-2.)

8.2 Field Test for Zero Drift and Calibration Drift. Install the continuous monitoring system on the affected facility and perform the following alignments:

8.2.1 Preliminary Alignments. As soon as possible after installation and once a year thereafter when the facility is not in operation, perform the following optical and zero alignments:

8.2.1.1 Optical Alignment. Align the light beam from the transmissometer upon the optical surfaces located across the effluent (i.e., the retroreflector or photodetector as applicable) in accordance with the manufacturer's instructions.

8.2.1.2 Zero Alignment. After the transmissometer has been optically aligned and the transmissometer mounting is mechanically stable (i.e., no movement of the mounting due to thermal contraction of the stack, duct, etc.) and a clean stack condition has been determined by a steady zero opacity condition, perform the zero alignment. This alignment is performed by balancing the continuous monitor system response so that any simulated zero check coincides with an actual zero check performed across the monitor pathlength of the clean stack.

8.2.1.3 Span. Span the continuous monitoring system at the opacity specified in subparts and offset the zero setting at least 10 percent of span so that negative drift can be quantified.

8.2.2 Final Alignments. After the preliminary alignments have been completed and the affected facility has been started up and reaches normal operating temperature, recheck the optical alignment in accordance with 8.2.1.1 of this specification. If the alignment has shifted, realign the optics, record any detectable shift in the opacity measured by the system that can be attributed to the optical realignment, and notify the Administrator. This condition may not be objectionable if the affected facility operates within a fairly constant and adequately narrow range of operating temperatures that does not produce significant shifts in optical alignment during normal operation of the facility. Under circumstances where the facility operations produce fluctuations in the effluent gas temperature that result in significant misalignments, the Administrator may require improved mounting structures or another location for installation of the transmissometer.

8.2.3 Conditioning Period. After completing the post-startup alignments, operate the system for an initial 168-hour conditioning period in a normal operational manner.

8.2.4 Operational Test Period. After completing the conditioning period, operate the system for an additional 168-hour period retaining the zero offset. The system shall monitor the source effluent at all times except when being zeroed or calibrated. At 24-hour intervals the zero and span shall be checked according to the manufacturer's instructions. Minimum procedures used shall provide a system check of the analyzer internal mirrors and all electronic circuitry including the lamp and photodetector assembly and shall include a procedure for producing a simulated zero opacity condition and a simulated upscale (span) opacity condition as viewed by the receiver. The manufacturer's written instructions may be used providing that they equal or exceed these minimum procedures. Zero and span the transmissometer, clean all optical surfaces exposed to the effluent, re-

align optics, and make any necessary adjustments to the calibration of the system daily. These zero and calibration adjustments and optical realignments are allowed only at 24-hour intervals or at such shorter intervals as the manufacturer's written instructions specify. Automatic corrections made by the measurement system without operator intervention are allowable at any time. The magnitude of any zero or span drift adjustments shall be recorded. During this 168-hour operational test period, record the following at 24-hour intervals: (a) the zero reading and span readings after the system is calibrated (these readings should be set at the same value at the beginning of each 24-hour period); (b) the zero reading after each 24 hours of operation, but before cleaning and adjustment; and (c) the span reading after cleaning and zero adjustment, but before span adjustment. (See Figure 1-3.)

9. Calculation, Data Analysis, and Reporting.

9.1 Procedure for Determination of Mean Values and Confidence Intervals.

9.1.1 The mean value of the data set is calculated according to equation 1-1.

$$\bar{x} = \frac{1}{n} \sum_{i=1}^n x_i \quad \text{Equation 1-1}$$

where x_i = absolute value of the individual measurements,

Σ = sum of the individual values,

$\bar{x}$ = mean value, and

n = number of data points.

9.1.2 The 95 percent confidence interval (two-sided) is calculated according to equation 1-2:

$$C.I._{95} = \frac{t_{95}}{n\sqrt{n-1}} \sqrt{n(\Sigma x_i^2) - (\Sigma x_i)^2} \quad \text{Equation 1-2}$$

where

Σx_i = sum of all data points,

$t_{95} = t_{1-\alpha/2}$, and

$C.I._{95}$ = 95 percent confidence interval estimate of the average mean value.

Values for t_{95}

n	t_{95}	n	t_{95}
2	12.706	10	2.262
3	4.303	11	2.228
4	3.182	12	2.201
5	2.776	13	2.179
6	2.571	14	2.160
7	2.447	15	2.145
8	2.365	16	2.131
9	2.306		

The values in this table are already corrected for $n-1$ degrees of freedom. Use n equal to the number of samples as data points.

9.2 Data Analysis and Reporting.

9.2.1 Spectral Response. Combine the spectral data obtained in accordance with paragraph 6.3.1 to develop the effective spectral response curve of the transmissometer. Report the wavelength at which the peak response occurs, the wavelength at which the mean response occurs, and the maximum response at any wavelength below 400 nm and above 700 nm expressed as a percentage of the peak response as required under paragraph 6.2.

9.2.2 Angle of View. Using the data obtained in accordance with paragraph 6.3.2, calculate the response of the receiver as a function of viewing angle in the horizontal and vertical directions (26 centimeters of arc with a radius of 3 meters equal 5 degrees). Report relative angle of view curves as required under paragraph 6.2.

9.2.3 Angle of Projection. Using the data obtained in accordance with paragraph 6.3.3, calculate the response of the photoelectric detector as a function of projection angle in the horizontal and vertical directions. Report relative angle of projection curves as required under paragraph 6.2.

9.2.4 Calibration Error. Using the data from paragraph 8.1 (Figure 1-1), subtract the known filter opacity value from the value shown by the measurement system for each of the 15 readings. Calculate the mean and 95 percent confidence interval of the five different values at each test filter value according to equations 1-1 and 1-2. Report the sum of the absolute mean difference and the 95 percent confidence interval for each of the three test filters.

9.2.5 Zero Drift. Using the zero opacity values measured every 24 hours during the field test (paragraph 8.2), calculate the differences between the zero point after cleaning, aligning, and adjustment, and the zero value 24 hours later just prior to cleaning, aligning, and adjustment. Calculate the mean value of these points and the confidence interval using equations 1-1 and 1-2. Report the sum of the absolute mean value and the 95 percent confidence interval.

9.2.6 Calibration Drift. Using the span value measured every 24 hours during the field test, calculate the differences between the span value after cleaning, aligning, and adjustment of zero and span, and the span value 24 hours later just after cleaning, aligning, and adjustment of zero and before adjustment of span. Calculate the mean value of these points and the confidence interval using equations 1-1 and 1-2. Report the sum of the absolute mean value and the confidence interval.

9.2.7 Response Time. Using the data from paragraph 8.1, calculate the time interval from filter insertion to 95 percent of the final stable value for all upscale and downscale traverses. Report the mean of the 10 upscale and downscale test times.

9.2.8 Operational Test Period. During the 168-hour operational test period, the continuous monitoring system shall not require any corrective maintenance, repair, replacement, or adjustment other than that clearly specified as required in the manufacturer's operation and maintenance manuals as routine and expected during a one-week period. If the continuous monitoring system is operated within the specified performance parameters and does not require corrective maintenance, repair, replacement, or adjustment other than as specified above during the 168-hour test period, the operational test period shall have been successfully concluded. Failure of the continuous monitoring system to meet these requirements shall call for a repetition of the 168-hour test period. Portions of the tests which were satisfactorily completed need not be repeated. Failure to meet any performance specification(s) shall call for a repetition of the one-week operational test period and that specific portion of the tests required by paragraph 8 related to demonstrating compliance with the failed specification. All maintenance and adjustments required shall be recorded. Output readings shall be recorded before and after all adjustments.

10. References.

10.1 "Experimental Statistics," Department of Commerce, National Bureau of Standards Handbook 91, 1963, pp. 3-31, paragraphs 3-3.1.4.

10.2 "Performance Specifications for Stationary-Source Monitoring Systems for Gases and Visible Emissions," Environmental Protection Agency, Research Triangle Park, N.C., EPA-650/2-74-013, January 1974.

Calibrated Neutral Density Filter Data
(See paragraph 8.1.1)

Low Range ____ % opacity Span Value ____ % opacity	Mid Range ____ % opacity	High Range ____ % opacity
Date of Test _____ Location of Test _____		
Calibrated Filter ¹	Analyzer Reading % Opacity	Differences ² % Opacity
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		
11		
12		
13		
14		
15		
Mean difference	Low _____ Mid _____ High _____	
Confidence interval	Low _____ Mid _____ High _____	
Calibration error = Mean Difference ³ + C.I.	Low _____ Mid _____ High _____	
¹ Low, mid or high range ² Calibration filter opacity - analyzer reading ³ Absolute value		

Figure 1-1. Calibration Error Test

Date of Test _____	Location of Test _____
Span Filter _____	% Opacity _____
Analyzer Span Setting _____	% Opacity _____
Upscale	1 _____ seconds
	2 _____ seconds
	3 _____ seconds
	4 _____ seconds
	5 _____ seconds
Downscale	1 _____ seconds
	2 _____ seconds
	3 _____ seconds
	4 _____ seconds
	5 _____ seconds
Average response	_____ seconds

Figure 1-2. Response Time Test

mitted to demonstrate that the emissions sampled or viewed are consistently representative for several typical facility process operating conditions.

4.3 The owner or operator may perform a traverse to characterize any stratification of effluent gases that might exist in a stack or duct. If no stratification is present, sampling procedures under paragraph 4.1 may be applied even though the eight diameter criteria is not met.

4.4 When single point sampling probes for extractive systems are installed within the

stack or duct under paragraphs 4.1 and 4.2.1, the sample may not be extracted at any point less than 1.0 meter from the stack or duct wall. Multipoint sampling probes installed under paragraph 4.2.2 may be located at any points necessary to obtain consistently representative samples.

5. Continuous Monitoring System Performance Specifications.

The continuous monitoring system shall meet the performance specifications in Table 2-1 to be considered acceptable under this method.

TABLE 2-1.—Performance specifications

Parameter	Specification
1. Accuracy ¹	≤20 pct of the mean value of the reference method test data.
2. Calibration error ¹	≤5 pct of each (50 pct, 90 pct) calibration gas mixture value.
3. Zero drift (2 h) ¹	2 pct of span
4. Zero drift (24 h) ¹	Do.
5. Calibration drift (2 h) ¹	Do.
6. Calibration drift (24 h) ¹	2.5 pct of span
7. Response time	15 min maximum.
8. Operational period	168 h minimum.

¹ Expressed as sum of absolute mean value plus 95 pct confidence interval of a series of tests.

6. Performance Specification Test Procedures. The following test procedures shall be used to determine conformance with the requirements of paragraph 5. For NO_x analyzers that oxidize nitric oxide (NO) to nitrogen dioxide (NO₂), the response time test under paragraph 6.3 of this method shall be performed using nitric oxide (NO) span gas. Other tests for NO_x continuous monitoring systems under paragraphs 6.1 and 6.2 and all tests for sulfur dioxide systems shall be performed using the pollutant span gas specified by each subpart.

6.1 Calibration Error Test Procedure. Set up and calibrate the complete continuous monitoring system according to the manufacturer's written instructions. This may be accomplished either in the laboratory or in the field.

6.1.1 Calibration Gas Analyses. Triplicate analyses of the gas mixtures shall be performed within two weeks prior to use using Reference Methods 6 for SO₂ and 7 for NO_x. Analyze each calibration gas mixture (50%, 90%) and record the results on the example sheet shown in Figure 2-1. Each sample test result must be within 20 percent of the averaged result or the tests shall be repeated. This step may be omitted for non-extractive monitors where dynamic calibration gas mixtures are not used (6.1.2).

6.1.2 Calibration Error Test Procedure. Make a total of 15 nonconsecutive measurements by alternately using zero gas and each calibration gas mixture concentration (e.g., 0%, 50%, 0%, 90%, 50%, 90%, 0%, etc.). For nonextractive continuous monitoring systems, this test procedure may be performed by using two or more calibration gas cells whose concentrations are certified by the manufacturer to be functionally equivalent to these gas concentrations. Convert the continuous monitoring system output readings to ppm and record the results on the example sheet shown in Figure 2-2.

6.2 Field Test for Accuracy (Relative), Zero Drift, and Calibration Drift. Install and operate the continuous monitoring system in accordance with the manufacturer's written instructions and drawings as follows:

6.2.1 Conditioning Period. Offset the zero setting at least 10 percent of the span so that negative zero drift can be quantified. Operate the system for an initial 168-hour conditioning period in normal operating manner.

6.2.2 Operational Test Period. Operate the continuous monitoring system for an addi-

tional 168-hour period retaining the zero offset. The system shall monitor the source effluent at all times except when being zeroed, calibrated, or backpurged.

6.2.2.1 Field Test for Accuracy (Relative). For continuous monitoring systems employing extractive sampling, the probe tip for the continuous monitoring system and the probe tip for the Reference Method sampling train should be placed at adjacent locations in the duct. For NO_x continuous monitoring systems, make 27 NO_x concentration measurements, divided into nine sets, using the applicable reference method. No more than one set of tests, consisting of three individual measurements, shall be performed in any one hour. All individual measurements of each set shall be performed concurrently, or within a three-minute interval and the results averaged. For SO₂ continuous monitoring systems, make nine SO₂ concentration measurements using the applicable reference method. No more than one measurement shall be performed in any one hour. Record the reference method test data and the continuous monitoring system concentrations on the example data sheet shown in Figure 2-3.

6.2.2.2 Field Test for Zero Drift and Calibration Drift. For extractive systems, determine the values given by zero and span gas pollutant concentrations at two-hour intervals until 15 sets of data are obtained. For nonextractive measurement systems, the zero value may be determined by mechanically producing a zero condition that provides a system check of the analyzer internal mirrors and all electronic circuitry including the radiation source and detector assembly or by inserting three or more calibration gas cells and computing the zero point from the upscale measurements. If this latter technique is used, a graph(s) must be retained by the owner or operator for each measurement system that shows the relationship between the upscale measurements and the zero point. The span of the system shall be checked by using a calibration gas cell certified by the manufacturer to be functionally equivalent to 50 percent of span concentration. Record the zero and span measurements (or the computed zero drift) on the example data sheet shown in Figure 2-4. The two-hour periods over which measurements are conducted need not be consecutive but may not overlap. All measurements required under this paragraph may be conducted concurrent with tests under paragraph 6.2.2.1.

6.2.2.3 Adjustments. Zero and calibration corrections and adjustments are allowed only at 24-hour intervals or at such shorter intervals as the manufacturer's written instructions specify. Automatic corrections made by the measurement system without operator intervention or initiation are allowable at any time. During the entire 168-hour operational test period, record on the example sheet shown in Figure 2-5 the values given by zero and span gas pollutant concentrations before and after adjustment at 24-hour intervals.

6.3 Field Test for Response Time.

6.3.1 Scope of Test. Use the entire continuous monitoring system as installed, including sample transport lines if used. Flow rates, line diameters, pumping rates, pressures (do not allow the pressurized calibration gas to change the normal operating pressure in the sample line), etc., shall be at the nominal values for normal operation as specified in the manufacturer's written instructions. If the analyzer is used to sample more than one pollutant source (stack), repeat this test for each sampling point.

6.3.2 Response Time Test Procedure. Introduce zero gas into the continuous monitoring system sampling interface or as close to the sampling interface as possible. When the system output reading has stabilized, switch quickly to a known concentration of pollutant gas. Record the time from concentration switching to 95 percent of final stable response. For non-extractive monitors, the highest available calibration gas concentration shall be switched into and out of the sample path and response times recorded. Perform this test sequence three (3) times. Record the results of each test on the example sheet shown in Figure 2-6.

7. Calculations, Data Analysis and Reporting.

7.1 Procedure for determination of mean values and confidence intervals.

7.1.1 The mean value of a data set is calculated according to equation 2-1.

$$\bar{x} = \frac{1}{n} \sum_{i=1}^n x_i \quad \text{Equation 2-1}$$

where:

x_i = absolute value of the measurements,
 Σ = sum of the individual values,
 $\bar{x}$ = mean value, and
 n = number of data points.

7.1.2 The 95 percent confidence interval (two-sided) is calculated according to equation 2-2:

$$C.I._{95} = \frac{t_{.975}}{n\sqrt{n-1}} \sqrt{n(\Sigma x_i^2) - (\Sigma x_i)^2} \quad \text{Equation 2-2}$$

where:

Σx_i = sum of all data points,
 $t_{.975} = t_{1-\alpha/2}$, and
 $C.I._{95}$ = 95 percent confidence interval estimate of the average mean value.

Values for $t_{.975}$

	$t_{.975}$
1	12.706
2	4.303
3	3.182
4	2.776
5	2.571
6	2.447
7	2.365
8	2.306
9	2.262
10	2.228
12	2.201
15	2.179
20	2.160
25	2.145
30	2.131

The values in this table are already corrected for $n-1$ degrees of freedom. Use n

equal to the number of samples as data points.

7.2 Data Analysis and Reporting.

7.2.1 Accuracy (Relative). For each of the nine reference method test points, determine the average pollutant concentration reported by the continuous monitoring system. These average concentrations shall be determined from the continuous monitoring system data recorded under 7.2.2 by integrating or averaging the pollutant concentrations over each of the time intervals concurrent with each reference method testing period. Before proceeding to the next step, determine the basis (wet or dry) of the continuous monitoring system data and reference method test data concentrations. If the bases are not consistent, apply a moisture correction to either reference method concentrations or the continuous monitoring system concentrations as appropriate. Determine the correction factor by moisture tests concurrent with the reference method testing periods. Report the moisture test method and the correction procedure employed. For each of the nine test runs determine the difference for each test run by subtracting the respective reference method test concentrations (use average of each set of three measurements for NO_x) from the continuous monitoring system integrated or averaged concentrations. Using these data, compute the mean difference and the 95 percent confidence interval of the differences (equations 2-1 and 2-2). Accuracy is reported as the sum of the absolute value of the mean difference and the 95 percent confidence interval of the differences expressed as a percentage of the mean reference method value. Use the example sheet shown in Figure 2-3.

7.2.2 Calibration Error. Using the data from paragraph 6.1, subtract the measured pollutant concentration determined under paragraph 6.1.1 (Figure 2-1) from the value shown by the continuous monitoring system for each of the five readings at each concentration measured under 6.1.2 (Figure 2-2). Calculate the mean of these difference values and the 95 percent confidence intervals according to equations 2-1 and 2-2. Report the calibration error (the sum of the absolute value of the mean difference and the 95 percent confidence interval) as a percentage of each respective calibration gas concentration. Use example sheet shown in Figure 2-2.

7.2.3 Zero Drift (2-hour). Using the zero concentration values measured each two hours during the field test, calculate the differences between consecutive two-hour readings expressed in ppm. Calculate the mean difference and the confidence interval using

equations 2-1 and 2-2. Report the zero drift as the sum of the absolute mean value and the confidence interval as a percentage of span. Use example sheet shown in Figure 2-4.

7.2.4 Zero Drift (24-hour). Using the zero concentration values measured every 24 hours during the field test, calculate the differences between the zero point after zero adjustment and the zero value 24 hours later just prior to zero adjustment. Calculate the mean value of these points and the confidence interval using equations 2-1 and 2-2. Report the zero drift (the sum of the absolute mean and confidence interval) as a percentage of span. Use example sheet shown in Figure 2-5.

7.2.5 Calibration Drift (2-hour). Using the calibration values obtained at two-hour intervals during the field test, calculate the differences between consecutive two-hour readings expressed as ppm. These values should be corrected for the corresponding zero drift during that two-hour period. Calculate the mean and confidence interval of these corrected difference values using equations 2-1 and 2-2. Do not use the differences between non-consecutive readings. Report the calibration drift as the sum of the absolute mean and confidence interval as a percentage of span. Use the example sheet shown in Figure 2-4.

7.2.6 Calibration Drift (24-hour). Using the calibration values measured every 24 hours during the field test, calculate the differences between the calibration concentration reading after zero and calibration adjustment, and the calibration concentration reading 24 hours later after zero adjustment but before calibration adjustment. Calculate the mean value of these differences and the confidence interval using equations 2-1 and 2-2. Report the calibration drift (the sum of the absolute mean and confidence interval) as a percentage of span. Use the example sheet shown in Figure 2-5.

7.2.7 Response Time. Using the charts from paragraph 6.3, calculate the time interval from concentration switching to 95 percent to the final stable value for all upscale and downscale tests. Report the mean of the three upscale test times and the mean of the three downscale test times. The two average times should not differ by more than 15 percent of the slower time. Report the slower time as the system response time. Use the example sheet shown in Figure 2-6.

7.2.8 Operational Test Period. During the 168-hour performance and operational test period, the continuous monitoring system shall not require any corrective maintenance, repair, replacement, or adjustment other than

that clearly specified as required in the operation and maintenance manuals as routine and expected during a one-week period. If the continuous monitoring system operates within the specified performance parameters and does not require corrective maintenance, repair, replacement or adjustment other than as specified above during the 168-hour test period, the operational period will be successfully concluded. Failure of the continuous monitoring system to meet this requirement shall call for a repetition of the 168-hour test period. Portions of the test which were satisfactorily completed need not be repeated. Failure to meet any performance specifications shall call for a repetition of the one-week performance test period and that portion of the testing which is related to the failed specification. All maintenance and adjustments required shall be recorded. Output readings shall be recorded before and after all adjustments.

8. References.

8.1 "Monitoring Instrumentation for the Measurement of Sulfur Dioxide in Stationary Source Emissions," Environmental Protection Agency, Research Triangle Park, N.C., February 1973.

8.2 "Instrumentation for the Determination of Nitrogen Oxides Content of Stationary Source Emissions," Environmental Protection Agency, Research Triangle Park, N.C., Volume 1, APTD-0847, October 1971; Volume 2, APTD-0942, January 1972.

8.3 "Experimental Statistics," Department of Commerce, Handbook 91, 1963, pp. 3-31, paragraphs 3-3.1.4.

8.4 "Performance Specifications for Stationary-Source Monitoring Systems for Gases and Visible Emissions," Environmental Protection Agency, Research Triangle Park, N.C., EPA-650/2-74-013, January 1974.

Date _____	Reference Method Used _____
Mid-Range Calibration Gas Mixture	
Sample 1 _____ ppm	
Sample 2 _____ ppm	
Sample 3 _____ ppm	
Average _____ ppm	
High-Range (span) Calibration Gas Mixture	
Sample 1 _____ ppm	
Sample 2 _____ ppm	
Sample 3 _____ ppm	
Average _____ ppm	

Figure 2-1. Analysis of Calibration Gas Mixtures

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Calibration Gas Mixture Data (From Figure 2-1)			
Mid (50%) _____ ppm		High (90%) _____ ppm	
Run #	Calibration Gas Concentration, ppm	Measurement System Reading, ppm	Differences, ¹ ppm
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			
		Mid	High
Mean difference		_____	_____
Confidence interval		+ _____	+ _____
Calibration error =		$\frac{\text{Mean Difference}^2 + \text{C.I.}}{\text{Average Calibration Gas Concentration}} \times 100$	
		_____ %	_____ %

¹ Calibration gas concentration - measurement system reading

² Absolute value

Figure 2-2. Calibration Error Determination

Test No.	Date and Time	Reference Method Samples					Analyzer 1-Hour Average (ppm)*	Difference (ppm)
		SO ₂ Sample 1 (ppm)	NO Sample 1 (ppm)	NO Sample 2 (ppm)	NO Sample 3 (ppm)	NO Sample Average (ppm)		
1								
2								
3								
4								
5								
6								
7								
8								
9								

Mean reference method test value (SO₂) _____ Mean reference method test value (NO_x) _____ Average of the differences _____

Mean differences** = _____ ppm (SO₂), = _____ ppm (NO_x).

95% Confidence Intervals = ± _____ ppm (SO₂), = ± _____ ppm (NO_x).

Accuracies = $\frac{\text{Mean difference (absolute value)} + 95\% \text{ confidence interval}}{\text{Mean reference method value}} \times 100 =$ _____ % (SO₂), = _____ % (NO_x).

* Explain and report method used to determine integrated averages.

** Mean differences = the average of the differences minus the mean reference method test value.

Figure 2-3. Accuracy Determination (SO₂ and NO_x)

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Data Set No.	Time Begin	Time End	Date	Zero Reading	Zero Drift (Δ Zero)	Span Reading	Span Drift (Δ Span)	Calibration Drift (Δ Span - Zero)
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								

Zero Drift = [Mean Zero Drift* _____ + C.I. (Zero) _____] + [Span] x 100 = _____
 Calibration Drift = [Mean Span Drift* _____ + C.I. (Span) _____] + [Span] x 100 = _____
 *Absolute Value.

Figure 2-4. Zero and Calibration Drift (2 Hour)

Date and Time	Zero Reading	Zero Drift (Δ Zero)	Span Reading (After zero adjustment)	Calibration Drift (Δ Span)

Zero Drift = [Mean Zero Drift* _____ + C.I. (Zero) _____]
 + [Instrument Span] x 100 = _____
 Calibration Drift = [Mean Span Drift* _____ + C.I. (Span) _____]
 + [Instrument Span] x 100 = _____
 * Absolute value

Figure 2-5. Zero and Calibration Drift (24-hour)

Date of Test	_____
Span Gas Concentration	_____ ppm
Analyzer Span Setting	_____ ppm
Upscale	1 _____ seconds
	2 _____ seconds
	3 _____ seconds
Average upscale response	_____ seconds
Downscale	1 _____ seconds
	2 _____ seconds
	3 _____ seconds
Average downscale response	_____ seconds
System average response time (slower time) =	_____ seconds.
Deviation from slower system average response	$= \left[\frac{\text{average upscale minus average downscale}}{\text{slower time}} \right] \times 100\% = \underline{\hspace{2cm}}$

Figure 2-6. Response Time

Performance Specification 3—Performance specifications and specification test procedures for monitors of CO₂ and O₂ from stationary sources.

1. Principle and Applicability.

1.1 Principle. Effluent gases are continuously sampled and are analyzed for carbon dioxide or oxygen by a continuous monitoring system. Tests of the system are performed during a minimum operating period to determine zero drift, calibration drift, and response time characteristics.

1.2 Applicability. This performance specification is applicable to evaluation of continuous monitoring systems for measurement of carbon dioxide or oxygen. These specifications contain test procedures, installation requirements, and data computation procedures for evaluating the acceptability of the continuous monitoring systems subject to approval by the Administrator. Sampling may include either extractive or non-extractive (in-situ) procedures.

2. Apparatus.

2.1 Continuous Monitoring System for Carbon Dioxide or Oxygen.

2.2 Calibration Gas Mixtures. Mixture of known concentrations of carbon dioxide or oxygen in nitrogen or air. Midrange and 90 percent of span carbon dioxide or oxygen concentrations are required. The 90 percent of span gas mixture is to be used to set and check the analyzer span and is referred to as span gas. For oxygen analyzers, if the span is higher than 21 percent O₂, ambient air may be used in place of the 90 percent of span calibration gas mixture. Triplicate analyses of the gas mixture (except ambient air) shall be performed within two weeks prior to use using Reference Method 3 of this part.

2.3 Zero Gas. A gas containing less than 100 ppm of carbon dioxide or oxygen.

2.4 Data Recorder. Analog chart recorder or other suitable device with input voltage range compatible with analyzer system output. The resolution of the recorder's data output shall be sufficient to allow completion of the test procedures within this specification.

3. Definitions.

3.1 Continuous Monitoring System. The total equipment required for the determination of carbon dioxide or oxygen in a given

source effluent. The system consists of three major subsystems:

3.1.1 Sampling Interface. That portion of the continuous monitoring system that performs one or more of the following operations: delineation, acquisition, transportation, and conditioning of a sample of the source effluent or protection of the analyzer from the hostile aspects of the sample or source environment.

3.1.2 Analyzer. That portion of the continuous monitoring system which senses the pollutant gas and generates a signal output that is a function of the pollutant concentration.

3.1.3 Data Recorder. That portion of the continuous monitoring system that provides a permanent record of the output signal in terms of concentration units.

3.2 Span. The value of oxygen or carbon dioxide concentration at which the continuous monitoring system is set that produces the maximum data display output. For the purposes of this method, the span shall be set no less than 1.5 to 2.5 times the normal carbon dioxide or normal oxygen concentration in the stack gas of the affected facility.

3.3 Midrange. The value of oxygen or carbon dioxide concentration that is representative of the normal conditions in the stack gas of the affected facility at typical operating rates.

3.4 Zero Drift. The change in the continuous monitoring system output over a stated period of time of normal continuous operation when the carbon dioxide or oxygen concentration at the time for the measurements is zero.

3.5 Calibration Drift. The change in the continuous monitoring system output over a stated time period of normal continuous operation when the carbon dioxide or oxygen continuous monitoring system is measuring the concentration of span gas.

3.6 Operational Test Period. A minimum period of time over which the continuous monitoring system is expected to operate within certain performance specifications without unscheduled maintenance, repair, or adjustment.

3.7 Response time. The time interval from a step change in concentration at the input to the continuous monitoring system to the time at which 95 percent of the correspond-

ing final value is displayed on the continuous monitoring system data recorder.

4. Installation Specification.

Oxygen or carbon dioxide continuous monitoring systems shall be installed at a location where measurements are directly representative of the total effluent from the affected facility or representative of the same effluent sampled by a SO₂ or NO_x continuous monitoring system. This requirement shall be complied with by use of applicable requirements in Performance Specification 2 of this appendix as follows:

4.1 Installation of Oxygen or Carbon Dioxide Continuous Monitoring Systems Not Used to Convert Pollutant Data. A sampling location shall be selected in accordance with the procedures under paragraphs 4.2.1 or 4.2.2, or Performance Specification 2 of this appendix.

4.2 Installation of Oxygen or Carbon Dioxide Continuous Monitoring Systems Used to Convert Pollutant Continuous Monitoring System Data to Units of Applicable Standards. The diluent continuous monitoring system (oxygen or carbon dioxide) shall be installed at a sampling location where measurements that can be made are representative of the effluent gases sampled by the pollutant continuous monitoring system(s). Conformance with this requirement may be accomplished in any of the following ways:

4.2.1 The sampling location for the diluent system shall be near the sampling location for the pollutant continuous monitoring system such that the same approximate point(s) (extractive systems) or path (in-situ systems) in the cross section is sampled or viewed.

4.2.2 The diluent and pollutant continuous monitoring systems may be installed at different locations if the effluent gases at both sampling locations are nonstratified as determined under paragraphs 4.1 or 4.3, Performance Specification 2 of this appendix and there is no in-leakage occurring between the two sampling locations. If the effluent gases are stratified at either location, the procedures under paragraph 4.2.2, Performance Specification 2 of this appendix shall be used for installing continuous monitoring systems at that location.

5. Continuous Monitoring System Performance Specifications.

The continuous monitoring system shall meet the performance specifications in Table 3-1 to be considered acceptable under this method.

6. Performance Specification Test Procedures.

The following test procedures shall be used to determine conformance with the requirements of paragraph 4. Due to the wide variation existing in analyzer designs and principles of operation, these procedures are not applicable to all analyzers. Where this occurs, alternative procedures, subject to the approval of the Administrator, may be employed. Any such alternative procedures must fulfill the same purposes (verify response, drift, and accuracy) as the following procedures, and must clearly demonstrate conformance with specifications in Table 3-1.

6.1 Calibration Check. Establish a calibration curve for the continuous monitoring system using zero, midrange, and span concentration gas mixtures. Verify that the resultant curve of analyzer reading compared with the calibration gas value is consistent with the expected response curve as described by the analyzer manufacturer. If the expected response curve is not produced, additional calibration gas measurements shall be made, or additional steps undertaken to verify

the accuracy of the response curve of the analyzer.

6.2 Field Test for Zero Drift and Calibration Drift. Install and operate the continuous monitoring system in accordance with the manufacturer's written instructions and drawings as follows:

TABLE 3-1.—Performance specifications

Parameter	Specification
1. Zero drift (2 h) ¹	≤0.4 pct O ₂ or CO ₂
2. Zero drift (24 h) ¹	≤0.5 pct O ₂ or CO ₂
3. Calibration drift (2 h) ¹	≤0.4 pct O ₂ or CO ₂
4. Calibration drift (24 h) ¹	≤0.5 pct O ₂ or CO ₂
5. Operational period.....	168 h minimum
6. Response time.....	10 min.

¹ Expressed as sum of absolute mean value plus 95 pct confidence interval of a series of tests.

6.2.1 Conditioning Period. Offset the zero setting at least 10 percent of span so that negative zero drift may be quantified. Operate the continuous monitoring system for an initial 168-hour conditioning period in a normal operational manner.

6.2.2 Operational Test Period. Operate the continuous monitoring system for an additional 168-hour period maintaining the zero offset. The system shall monitor the source effluent at all times except when being zeroed, calibrated, or backpurged.

6.2.3 Field Test for Zero Drift and Calibration Drift. Determine the values given by zero and midrange gas concentrations at two-hour intervals until 15 sets of data are obtained. For non-extractive continuous monitoring systems, determine the zero value given by a mechanically produced zero condition or by computing the zero value from upscale measurements using calibrated gas cells certified by the manufacturer. The midrange checks shall be performed by using certified calibration gas cells functionally equivalent to less than 50 percent of span. Record these readings on the example sheet shown in Figure 3-1. These two-hour periods need not be consecutive but may not overlap. In-situ CO₂ or O₂ analyzers which cannot be fitted with a calibration gas cell may be calibrated by alternative procedures acceptable to the Administrator. Zero and calibration corrections and adjustments are allowed only at 24-hour intervals or at such shorter intervals as the manufacturer's written instructions specify. Automatic corrections made by the continuous monitoring system without operator intervention or initiation are allowable at any time. During the entire 168-hour test period, record the values given by zero and span gas concentrations before and after adjustment at 24-hour intervals in the example sheet shown in Figure 3-2.

6.3 Field Test for Response Time.

6.3.1 Scope of Test.

This test shall be accomplished using the continuous monitoring system as installed, including sample transport lines if used. Flow rates, line diameters, pumping rates, pressures (do not allow the pressurized calibration gas to change the normal operating pressure in the sample line), etc., shall be at the nominal values for normal operation as specified in the manufacturer's written instructions. If the analyzer is used to sample more than one source (stack), this test shall be repeated for each sampling point.

6.3.2 Response Time Test Procedure.

Introduce zero gas into the continuous monitoring system sampling interface or as close to the sampling interface as possible. When the system output reading has stabilized,

switch quickly to a known concentration of gas at 90 percent of span. Record the time from concentration switching to 95 percent of final stable response. After the system response has stabilized at the upper level, switch quickly to a zero gas. Record the time from concentration switching to 95 percent of final stable response. Alternatively, for nonextractive continuous monitoring systems, the highest available calibration gas concentration shall be switched into and out of the sample path and response times recorded. Perform this test sequence three (3) times. For each test, record the results on the data sheet shown in Figure 3-3.

7. Calculations, Data Analysis, and Reporting.

7.1 Procedure for determination of mean values and confidence intervals.

7.1.1 The mean value of a data set is calculated according to equation 3-1.

$$\bar{x} = \frac{1}{n} \sum_{i=1}^n x_i \quad \text{Equation 3-1}$$

where:

x_i = absolute value of the measurements,
 Σ = sum of the individual values,
 $\bar{x}$ = mean value, and
 n = number of data points.

7.2.1 The 95 percent confidence interval (two-sided) is calculated according to equation 3-2:

$$C.I._{95} = \frac{t_{.975}}{n\sqrt{n-1}} \sqrt{n(\Sigma x_i^2) - (\Sigma x_i)^2} \quad \text{Equation 3-2}$$

where:

ΣX = sum of all data points,
 $t_{.975} = t_{\alpha/2}$, and
 $C.I._{95}$ = 95 percent confidence interval estimated of the average mean value, value.

Values for $t_{.975}$

n	$t_{.975}$
2	12.706
3	4.303
4	3.182
5	2.776
6	2.571
7	2.447
8	2.365
9	2.306
10	2.262
11	2.228
12	2.201
13	2.179
14	2.160
15	2.145
16	2.131

The values in this table are already corrected for $n-1$ degrees of freedom. Use n equal to the number of samples as data points.

7.2 Data Analysis and Reporting.

7.2.1 Zero Drift (2-hour). Using the zero concentration values measured each two hours during the field test, calculate the differences between the consecutive two-hour readings expressed in ppm. Calculate the mean difference and the confidence interval using equations 3-1 and 3-2. Record the sum of the absolute mean value and the confidence interval on the data sheet shown in Figure 3-1.

7.2.2 Zero Drift (24-hour). Using the zero concentration values measured every 24 hours during the field test, calculate the differences between the zero point after zero adjustment and the zero value 24 hours later just prior to zero adjustment. Calculate the mean value of these points and the confidence interval using equations 3-1 and 3-2.

Record the zero drift (the sum of the absolute mean and confidence interval) on the data sheet shown in Figure 3-2.

7.2.3 Calibration Drift (2-hour). Using the calibration values obtained at two-hour intervals during the field test, calculate the differences between consecutive two-hour readings expressed as ppm. These values should be corrected for the corresponding zero drift during that two-hour period. Calculate the mean and confidence interval of these corrected difference values using equations 3-1 and 3-2. Do not use the differences between non-consecutive readings. Record the sum of the absolute mean and confidence interval upon the data sheet shown in Figure 3-1.

7.2.4 Calibration Drift (24-hour). Using the calibration values measured every 24 hours during the field test, calculate the differences between the calibration concentration reading after zero and calibration adjustment and the calibration concentration reading 24 hours later after zero adjustment but before calibration adjustment. Calculate the mean value of these differences and the confidence interval using equations 3-1 and 3-2. Record the sum of the absolute mean and confidence interval on the data sheet shown in Figure 3-2.

7.2.5 Operational Test Period. During the 168-hour performance and operational test period, the continuous monitoring system shall not receive any corrective maintenance, repair, replacement, or adjustment other than that clearly specified as required in the manufacturer's written operation and maintenance manuals as routine and expected during a one-week period. If the continuous monitoring system operates within the specified performance parameters and does not require corrective maintenance, repair, replacement or adjustment other than as specified above during the 168-hour test period, the operational period will be successfully concluded. Failure of the continuous monitoring system to meet this requirement shall call for a repetition of the 168 hour test period. Portions of the test which were satisfactorily completed need not be repeated. Failure to meet any performance specifications shall call for a repetition of the one-week performance test period and that portion of the testing which is related to the failed specification. All maintenance and adjustments required shall be recorded. Output readings shall be recorded before and after all adjustments.

7.2.6 Response Time. Using the data developed under paragraph 5.3, calculate the time interval from concentration switching to 95 percent to the final stable value for all upscale and downscale tests. Report the mean of the three upscale test times and the mean of the three downscale test times. The two average times should not differ by more than 15 percent of the slower time. Report the slower time as the system response time. Record the results on Figure 3-3.

8. References.

8.1 "Performance Specifications for Stationary Source Monitoring Systems for Gases and Visible Emissions," Environmental Protection Agency, Research Triangle Park, N.C., EPA-650/2-74-013, January 1974.

8.2 "Experimental Statistics," Department of Commerce, National Bureau of Standards Handbook 91, 1963, pp. 3-31, paragraphs 3-3.1.4.

(Secs. 111 and 114 of the Clean Air Act, as amended by sec. 4(a) of Pub. L. 91-604, 84 Stat. 1678 (42 U.S.C. 1857c-6, by sec. 15(c) (2) of Pub. L. 91-604, 85 Stat. 1713 (42 U.S.C. 1857g)).

RULES AND REGULATIONS

Data Set No.	Time Begin	Time End	Date	Zero Reading	Zero Drift (ΔZero)	Span Reading	Span Drift (ΔSpan)	Calibration Drift (ΔSpan-ΔZero)
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								

Zero Drift = [Mean Zero Drift] + CI (Zero) _____
 Calibration Drift = [Mean Span Drift] + CI (Span) _____
 *Absolute Value.

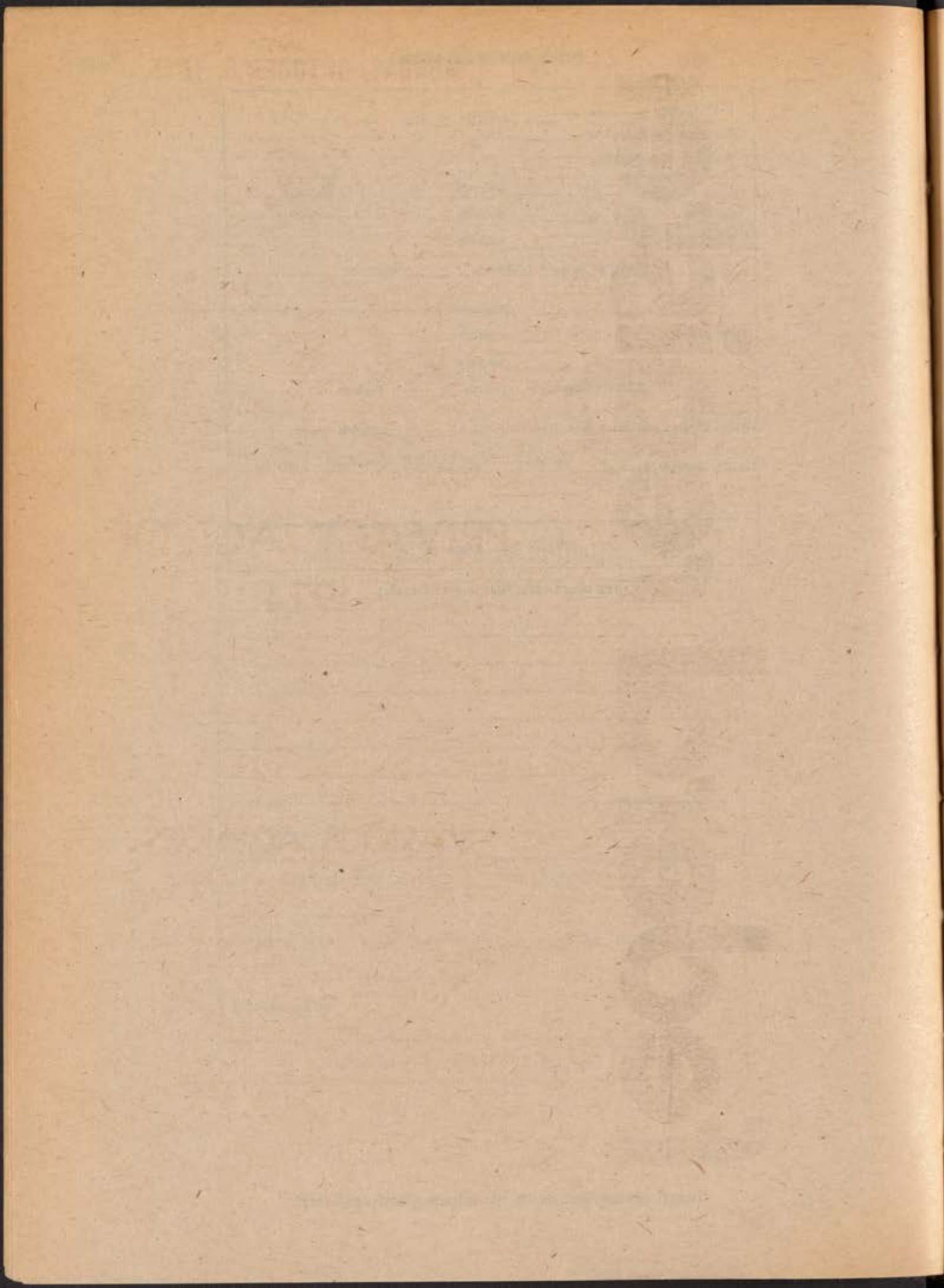
Figure 3-1. Zero and Calibration Drift (2 Hour).

[illegible]

Date of Test _____	
Span Gas Concentration _____ ppm	
Analyzer Span Setting _____ ppm	
Upscale	1. _____ seconds
	2. _____ seconds
	3. _____ seconds
Average upscale response _____ seconds	
Downscale	1. _____ seconds
	2. _____ seconds
	3. _____ seconds
Average downscale response _____ seconds	
System average response time (slower time) = _____ seconds	
$\% \text{ deviation from slower} = \frac{\text{average upscale minus average downscale}}{\text{slower time}} \times 100\%$	
$\text{system average response} = \frac{\text{average upscale minus average downscale}}{\text{slower time}} \times 100\%$	

Figure 3-3. Response	

[FR Doc.75-26565 Filed 10-3-75;8:45 am]



federal register

MONDAY, OCTOBER 6, 1975



PART VI:

PRIVACY ACT OF 1974



VARIOUS AGENCIES

Title 12—Banks and Banking

CHAPTER III—FEDERAL DEPOSIT
INSURANCE CORPORATIONSUBCHAPTER A—PROCEDURE AND RULES OF
PRACTICEPART 310—SAFEGUARDING PERSONAL
INFORMATION IN FEDERAL DEPOSIT
INSURANCE CORPORATION RECORDS

Privacy Act Regulations

On page 39426 of the FEDERAL REGISTER of August 27, 1975, the Federal Deposit Insurance Corporation published a Notice of Proposed Privacy Act Regulations setting forth proposed regulations to implement the Privacy Act of 1974, 5 U.S.C. 552a, 88 Stat. 1896. Interested persons were given 30 days in which to submit comments, suggestions, or objections regarding the proposed regulations.

No written objections have been received and the proposed regulations are hereby adopted with a few technical amendments, as set forth below.

Effective date: September 27, 1975.

By Order of the Board of Directors,
September 30, 1975.

FEDERAL DEPOSIT INSURANCE
CORPORATION,
[SEAL] ALAN R. MILLER,
Executive Secretary.

- Sec.
310.1 Purpose and scope.
310.2 Definitions.
310.3 Procedures for requests pertaining to individual records in a system of records.
310.4 Times, places, and requirements for identification of individuals making requests.
310.5 Disclosure of requested information to individuals.
310.6 Special procedures: medical records.
310.7 Request for amendment of record.
310.8 Agency review of request for amendment of record.
310.9 Appeal of initial adverse agency determination on amendment.
310.10 Disclosure of record to person other than the individual to whom it pertains.
310.11 Fees.
310.12 Penalties.
310.13 Exemptions.

§ 310.1 Purpose and scope.

This regulation sets forth the basic policies of the Corporation regarding the protection of the privacy of individuals on whom the Corporation maintains information which is retrieved by reference to an individual's name or an identifying particular assigned to the individual.

§ 310.2 Definitions.

For purposes of this Part:

(a) The term "Corporation" means the Federal Deposit Insurance Corporation;

(b) The term "individual" means a natural person who is either a citizen of the United States or an alien lawfully admitted for permanent residence;

(c) The term "maintain" includes maintain, collect, use, disseminate, or control;

(d) The term "record" means any item, collection or grouping of information about an individual that contains

his/her name, or the identifying number, symbol, or other identifying particular assigned to the individual;

(e) The term "system of records" means a group of any records under the control of the Corporation from which information is retrieved by the name of the individual or some identifying number, symbol or other identifying particular assigned to the individual;

(f) The term "designated system of records" means a system of records which has been listed and summarized in the FEDERAL REGISTER pursuant to the requirements of 5 U.S.C. 552a(e);

(g) The term "routine use" means, with respect to disclosure of a record, the use of such record for a purpose which is compatible with the purpose for which it was created; and

(h) The terms "amend" or "amendment" mean any correction, addition to or deletion from a record.

§ 310.3 Procedures for requests pertaining to individual records in a system of records.

(a) Any present or former employee of the Corporation seeking access to his/her official Civil Service records maintained by the Corporation shall submit his/her request in such manner as is prescribed by the Civil Service Commission in Part 297 of its rules and regulations (5 CFR 297).

(b) Requests by individuals for access to records pertaining to them and maintained within one of the Corporation's designated systems of records should be submitted in writing to the Office of the Executive Secretary, Records Unit, Federal Deposit Insurance Corporation, Washington, D.C. 20429. Each such request should contain a reasonable description of the records sought, the system or systems in which such record may be contained, and any additional identifying information, as specified in the Corporation's FEDERAL REGISTER "Notice of Systems of Records" for that particular system, copies of which are available upon request from the Records Unit, Office of the Executive Secretary. Except as provided in § 310.4, each such request should also include a notarized statement attesting to the identity of the individual making the request.

§ 310.4 Times, places, and requirements for identification of individuals making requests.

(a) Individuals may request access to records pertaining to themselves by submitting a written request as provided in § 310.3 of these regulations, or by appearing in person on weekdays, other than official holidays, at the Office of the Executive Secretary, Records Unit, Federal Deposit Insurance Corporation, 550 17th Street, N.W., Washington, D.C. 20429, between the hours of 8:30 a.m. 5 p.m.

(b) Individuals appearing in person at the Corporation seeking access to or amendment of their records shall present two form of reasonable identification, such as employment identification cards, driver's licenses, or credit cards.

(c) Except for records that are disclosable under the Freedom of Information Act, 12 U.S.C. 552, a written request seeking access to or amendment of a record will be honored only if it contains a certification of a duly commissioned notary public, of any state or territory, attesting to the requesting individual's identity.

§ 310.5 Disclosure of requested information to individuals.

(a) Except to the extent that Corporation records pertaining to an individual

(1) are exempt from disclosure under §§ 310.6 and 310.13 of this Part, or

(2) were compiled in reasonable anticipation of a civil action or proceeding, the Corporation will make such records available upon request for purposes of inspection and copying by the individual (after proper identity verification as provided in § 310.4) and, upon the individual's request and written authorization, by another person of the individual's own choosing.

(b) The Executive Secretary will, whenever practicable, notify the individual making a request, within ten business days following its receipt, whether any specified designated system of records maintained by the Corporation contains a record pertaining to the individual making the request, and, where such a record does exist, specify the procedures for verifying the individual's identity as set forth in § 310.4.

(c) Individuals will be granted access to records disclosable under this Part 310 as soon as is practicable. The Executive Secretary will give written notification of a reasonable period within which individuals may inspect disclosable records pertaining to themselves at the Office of the Executive Secretary during normal business hours. Alternatively, individuals granted access to records under this Part may request that copies of such records be forwarded to them. Fees for copying such records will be assessed as provided in § 310.11.

§ 310.6 Special procedures: medical records.

Medical records shall be disclosed on request to the individuals to whom they pertain, except, if in the judgment of the Corporation, the transmission of the medical information directly to the requesting individual could have an adverse effect upon such individual. In the event medical information is withheld from a requesting individual due to any possible adverse effect such information may have upon the individual, the Corporation shall transmit such information to a medical doctor named by the requesting individual.

§ 310.7 Request for amendment of record.

The Corporation will maintain all records it uses in making any determination about any individual with such accuracy, relevance, timeliness and completeness as is reasonably necessary to assure fairness to the individual in the determination. An individual may request that the Corporation amend any portion

of a record pertaining to that individual which the Corporation maintains in a designated system of records. Such a request should be submitted in writing to the Office of the Executive Secretary, Records Unit, Federal Deposit Insurance Corporation, Washington, D.C. 20429 and should contain the individual's reason for requesting the amendment and a description of the record (including the name of the appropriate designated system and category thereof) sufficient to enable the Corporation to identify the particular record or portion thereof with respect to which amendment is sought.

§ 310.8 Agency review of request for amendment of record.

(a) Requests by individuals for the amendment of records will be acknowledged by the Executive Secretary of the Corporation, and referred to the manager of the system of records in which the record is contained (as designated in the Corporation's FEDERAL REGISTER "Notice of Systems of Records") for determination, within ten business days following receipt of such requests. Promptly thereafter, the Executive Secretary will notify the individual of the system manager's decision to grant or deny the request to amend.

(b) If the system manager denies a request to amend a record, the notification of such denial shall contain the reason for the denial and a description of the individual's right to appeal the denial as more fully set forth in § 310.9.

§ 310.9 Appeal of initial adverse agency determination on amendment.

(a) A system manager's denial of an individual's request to amend a record pertaining to him/her may be appealed in writing to the Board of Directors of the Corporation within 30 business days following receipt of notification of the denial. Such an appeal should be forwarded to the Office of the Executive Secretary, Records Unit, and contain all the information specified for initial requests to amend in § 310.7, as well as any other additional information the individual deems relevant to the Board of Directors' consideration of the appeal.

(b) The Board of Directors will normally make a final determination with respect to an appeal made under this Part within 30 business days following receipt by the Office of the Executive Secretary of the appeal. The Board of Directors may, however, extend this 30 day time period for good cause. Where such an extension is required, the individual making the appeal will be notified of the reason for the extension and the expected date upon which a final decision will be given.

(c) If the Corporation's Board of Directors affirms the initial denial of a request to amend, it will inform the individual affected of the decision, the reasons therefor and the right of judicial review of the decision. In addition, the individual may at that point submit to the Corporation a concise statement setting forth his or her reasons for disagreeing with the Corporation's refusal to amend. If the individual so desires,

such statement may include the individual's record on appeal.

§ 310.10 Disclosure of record to person other than the individual to whom it pertains.

(a) Except as provided in paragraph (b) of this section, the Corporation will not disclose any record contained in a designated system of records to any person or agency except with the prior written consent of the individual to whom the record pertains.

(b) The restrictions on disclosure in paragraph (a) of this section do not apply to any of the following disclosures:

(1) To those officers and employees of the Corporation who have a need for the record in the performance of their duties;

(2) Which is required under the Freedom of Information Act (5 U.S.C. 552);

(3) For a routine use listed with respect to a designated system of records;

(4) To the Bureau of the Census for purposes of planning or carrying out a census or survey or related activity pursuant to the provisions of Title 13 of the United States Code;

(5) To a recipient who has provided the Corporation with advance adequate written assurance that the record will be used solely as a statistical research or reporting record, and the record is to be transferred in a form that is not individually identifiable;

(6) To the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, or for evaluation by the Administrator of General Services or his designee to determine whether the record has such value;

(7) To another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity if the activity is authorized by law, and if the head of the agency or instrumentality has made a written request to the Corporation specifying the particular portion desired and the law enforcement activity for which the record is sought;

(8) To a person pursuant to a showing of compelling circumstances affecting the health or safety of an individual if, upon such disclosure, notification is transmitted to the last known address of such individual;

(9) To either House of Congress, or to the extent of matter within its jurisdiction, any committee or subcommittee thereof, any joint committee of Congress or subcommittee of any such joint committee;

(10) To the Comptroller General, or any of his authorized representatives, in the course of the performance of the duties of the General Accounting Office; or

(11) Pursuant to the order of a court of competent jurisdiction.

(c) Any statement of disagreement with the Corporation's refusal to amend, filed with the Corporation by an individual pursuant to § 310.9(c), will be included in the disclosure of any records

under authority of paragraph (b) of this section. The Corporation may in its discretion also include a copy of a concise statement of its reasons for not making the requested amendment.

(d) The Corporation will adhere to the following procedures in the case of disclosure of any record pursuant to the authority of paragraphs (b)(3) through (b)(11) of this section.

(1) The Corporation will keep a record of the date, nature and purpose of each such disclosure, as well as the name and address of the person or agency to whom such disclosure is made; and

(2) The Corporation will retain and, with the exception of disclosures made pursuant to paragraph (b)(7) of this section, make available to the individual named in the record for the greater of five years or the life of the record all material compiled under paragraph (d)(1) of this section with respect to disclosure of such record.

(e) Whenever a record which has been disclosed by the Corporation under authority of paragraph (b) of this section is, within a reasonable amount of time after such disclosure, either amended by the Corporation or the subject of a statement of disagreement, the Corporation will transmit such additional information to any person or agency to whom the record was disclosed, if such disclosure was subject to the accounting requirements of paragraph (d)(1) of this section.

§ 310.11 Fees.

The Corporation, upon a request for records disclosable pursuant to the Privacy Act of 1974 (5 U.S.C. 552a), shall charge a fee of \$0.10 per page for duplicating, except as follows:

(a) If the Corporation determines that it can grant access to a record only by providing a copy of the record, no fee will be charged for providing the first copy of the record or any portion thereof;

(b) Whenever the aggregate fees computed under this section do not exceed \$2.00 for any one request, the fee will be deemed waived by the Corporation; or,

(c) Whenever the Corporation determines that a reduction or waiver is warranted, it may reduce or waive any fees imposed for furnishing requested information pursuant to this section.

§ 310.12 Penalties.

Subsection (l)(3) of the Privacy Act of 1974 (5 U.S.C. 552a(l)(3)) imposes criminal penalties for obtaining Corporation records on individuals under false pretenses. The subsection provides as follows: "Any person who knowingly and willfully requests or obtains any record concerning an individual from an agency under false pretenses shall be guilty of a misdemeanor and fined not more than \$5,000."

§ 310.13 Exemptions.

The following systems of records are exempt from §§ 310.3-310.9 and § 310.10 (d)(2) of these rules:

(a) Investigatory material compiled for law enforcement purposes; provided, however, that if any individual is denied

any right, privilege or benefit to which he/she would otherwise be entitled under Federal law, or for which he/she would otherwise be eligible, as a result of the maintenance of such material, such material shall be disclosed to such individual, except to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise that the identity of the source would be held in confidence, or, prior to September 27, 1975, under an implied promise that the identity of the source would be held in confidence;

(b) Investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Corporation employment, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Corporation under an express promise that the identity of the source would be held in confidence, or, prior to September 27, 1975, under an implied promise that the identity of the source would be held in confidence; and

(c) Testing or examination material used solely to determine or assess individual qualifications for appointment or promotion in the Corporation's service, the disclosure of which would compromise the objectivity or fairness of the testing, evaluation, or examination process.

[FR Doc. 75-26830 Filed 10-2-75; 11:12 am]

CHAPTER VII—NATIONAL CREDIT UNION ADMINISTRATION

PART 720—DISCLOSURE OF OFFICIAL RECORDS AND INFORMATION

On pages 33410-33414 of the August 7, 1975, edition of the *FEDERAL REGISTER* (40 FR 33410-33414) there was published a proposal to amend Part 720 (12 CFR 720) by designating existing sections thereunder as comprising Subpart A—Production or Disclosure Under 5 U.S.C. 552 and by adding a new Subpart B—Protection of Privacy of Individual Records Under 5 U.S.C. 552a. The purpose of adding a new Subpart B is to implement the provisions of the Privacy Act of 1974, Pub. L. 93-579, which adds a new section 552a to Title 5, United States Code, intended to provide certain safeguards for individuals against invasions of personal privacy. Interested persons were given until September 5, 1975, to submit written comments, suggestions and objections regarding the proposed revision. As a result of the comments and further review by the Administration, the following changes have been made:

Section 720.23(a) (2) is revised by deleting the word "on" and inserting the word "one" in its place.

Section 720.24(a) is revised by deleting the word "excess" and inserting the word "access" in its place.

Section 720.24(b) (2) is revised by deleting "; and" at the end thereof and inserting a period in its place. The following language is added following said

period: "Such required requisition or consultation shall be initiated within 10 working days after receipt of the request; and".

Section 720.24(b) (3) is revised by deleting the language "paragraph (b) (2) or (3)" and inserting the language "paragraph (b) (1) or (2)" in lieu thereof.

Section 720.27(a) is revised by inserting the word "working" between the number "30" and the word "days."

Section 720.27(a) is also revised by deleting the penultimate sentence thereof and inserting the following sentence in its place: "Appeals shall be addressed to the Administrator, National Credit Union Administration, 2025 M Street, N.W., Washington, DC 20456; attention, Assistant Administrator for Administration."

Section 720.27(b) is revised by deleting the word "of" as it appears after the words "provide for the record" and inserting the word "a" in its place.

Section 720.27(c) is revised by deleting the second sentence thereof and inserting the following sentence in lieu thereof: "They shall be addressed to the Administrator, National Credit Union Administration, 2025 M Street, N.W., Washington, DC 20456; attention, Assistant Administrator for Administration."

The section immediately following § 720.28 and designated by the heading "Accounting for Disclosures" has been erroneously identified as "§ 720.20." The number "720.20" as it appears in the heading for that section is deleted, and the number "720.29" is inserted in lieu thereof.

Section 720.32(c) is revised by deleting the misspelled word "accompany" and inserting the properly spelled word "company" in its place.

Finally, the words "by the National Archives and Records System, General Services Administration," the words "by the General Services Administration," and the words "by the National Archives and Records System" are deleted each time they appear in the proposed Part 720, Subpart B, and the words "in the Federal Register" are inserted in each such instance in lieu thereof.

Accordingly, with the above changes, the proposed Part 720, Subpart B, is adopted as set forth below, effective immediately.

HERMAN NICKERSON, Jr.,
Administrator.

SEPTEMBER 29, 1975.

Subpart A—Production or Disclosure Under 5 U.S.C. 552

Subpart B—Protection of Privacy of Individual Records Under 5 U.S.C. 552a

Sec.	
720.20	Purpose and scope.
720.21	Definitions.
720.22	Procedures for requests pertaining to individual records in a system of records.
720.23	Time, place, and requirements for identification of individuals making requests.
720.24	Notice of existence of records, access decisions and provision of access; time limits.
720.25	Special procedures; medical records.

Sec.	
720.26	Requests for correction or amendment to a record; administration review of requests.
720.27	Appeal of initial adverse determination on correction or amendment.
720.28	Disclosure of record to person other than the individual to whom it pertains.
720.29	Accounting for disclosures.
720.30	Requests for accounting of disclosures.
720.31	Emergency disclosures.
720.32	Collection of information from individuals; information forms.
720.33	Contracting for the operation of a system of records.
720.34	Fees.
720.35	Exemptions.
720.36	Security of systems of records.
720.37	Use and collection of Social Security numbers.
720.38	Employee standards of conduct with regard to privacy.

AUTHORITY: Sec. 120, 73 Stat. 635 (12 U.S.C. 1766) and Sec. 209, 84 Stat. 1014 (12 U.S.C. 1789).

§ 720.20 Purpose and scope.

(a) This subpart contains the regulations of the National Credit Union Administration implementing the Privacy Act of 1974, Pub. L. 93-579. The regulations apply to all records which are maintained by the Administration, contain information about an individual including some means of identifying the individual and are contained in a system of records, from which information is retrieved by use of an identifying particular. The regulations set forth procedures whereby individuals may seek and gain access to records concerning themselves and request amendments of those records. The regulations also set forth requirements applicable to Administration employees maintaining collecting, using or disseminating such records.

(b) The Assistant Administrator for Administration, with advice from the General Counsel, shall be responsible for training employees of the Administration in the obligations imposed by the Privacy Act of 1974 and these regulations.

§ 720.21 Definitions.

For purposes of this subpart: "Administration" means the National Credit Union Administration;

"Administrator" means the Administrator of the National Credit Union Administration;

"Individual" means a citizen of the United States or an alien lawfully admitted for permanent residence;

"Maintain" includes maintain, collect, use, or disseminate;

"Record" means any item, collection, or grouping of information about an individual that is maintained by the Administration, and that contains his name, or an identifying number, symbol, or other identifying particular assigned to the individual;

"System of records" means a group of any records under the control of the Administration from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual; and