

# **Compliance Certification Electronic Submittal Guidebook**

---

## **Air Pollution Control Operation Permits**

Air Management Program

**Publication Number: AM-536-2021**



For more information on the electronic submittal process, contact the facility-assigned compliance engineer.

## Table of Contents

<b>Background / Set-Up Options.....</b>	<b>3</b>
Compliance Certification Report.....	3
Confidential Submissions.....	3
Facility Reporting Guidance.....	3
Requesting DNR Switchboard Access to Use Electronic Submittal System .....	4
<b>Electronic Submittal Process .....</b>	<b>7</b>
Login Options.....	7
Locate the Facility .....	7
Compliance Certification Review and Selection.....	8
Deviation Reporting .....	8
Attaching Documents .....	10
E-mail Receipt.....	11
Signature Requirements .....	11
Electronic Signature (e-Sign) .....	11
<b>Review .....</b>	<b>14</b>
Review Submissions.....	14
Completed Submissions .....	14
<b>More Information .....</b>	<b>15</b>
Resources.....	15

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

### **Compliance Certification Report**

The Compliance Certification Report is a requirement under Part II section N of all Air Pollution Control Operation Permits and s. NR 439.03(1)(c), Wisconsin Administrative Code. The annual report must include certification of compliance status for each and every condition in the permit. This can be accomplished by developing a table with each permit term or condition of the permit, the compliance status with respect to each permit term or condition, and the method used to determine the status of each term or condition. Another option for this report is to use Form 4530-184 that the Wisconsin Department of Natural Resources (DNR) developed for permittee's use. Note that the code requires the permittee to identify all deviations and violations from applicable requirements in the permit if any occurred. The optional form can be found at: <https://dnr.wisconsin.gov/topic/AirPermits/Forms.html>, on the Compliance tab.

The U.S. Environmental Protection Agency (EPA) no longer requires a separate submittal for sources operating under a Title V permit (see below).

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

### **Confidential Submissions**

If any part of the facility's Compliance Certification has been approved as confidential information via the confidentiality request approval process, ***DO NOT SUBMIT THE CONFIDENTIAL VERSION OF THE DOCUMENT VIA THE ELECTRONIC UPLOAD SYSTEM.*** Submit the confidential copy via hard copy in the mail, and submit the public version via the electronic system.

### **Facility Reporting Guidance**

Permittees may submit the report electronically through the Compliance Certification Submittal system. This is the DNR preferred method for submittal, though paper copies are still accepted. Note all document uploads must be in PDF form and may not exceed 100 megabytes in size.

The Compliance Certification Report must be signed by the facility's Responsible Corporate Official. If the electronic system is used for submittal, a hard copy wet

ink signature or an electronic signature page **MUST** be submitted to DNR. If

submitting a hard copy with wet ink signature, include the FID/Company Name on the signature page for identification.

## Requesting DNR Switchboard Access to Use Electronic Submittal System

The Switchboard is used for an individual to securely login and access forms and reporting systems which are related to a specific company or municipality. The Switchboard can be located by typing “switchboard” into the search button on the DNR home page (<https://dnr.wisconsin.gov>), or by navigating to it by selecting “Environment” in the menu, then scrolling to and clicking on the **DNR Switchboard** tile.



A Web Access Management System (WAMS) user ID is required to log into the Switchboard system. If a WAMS User ID is needed, follow the process to create one by clicking the **Create User ID** tile on the Switchboard landing page (<https://dnr.wisconsin.gov/topic/Switchboard>).

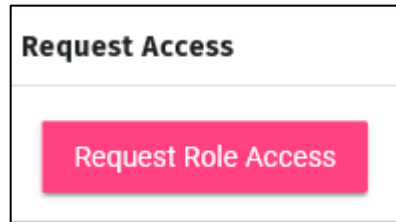
If the individual has a user ID, click on the **Log In** tile on the Switchboard landing page to begin. If a WAMS ID is already associated with an individual for other DNR reporting such as Water, Wastewater, or Air Emissions, the individual will need to **request access for the new Air Compliance Submittal** role to be able to submit Compliance Certifications electronically. If the individual already has access to the Air Compliance Submittal role, skip to page 6 of this guide.



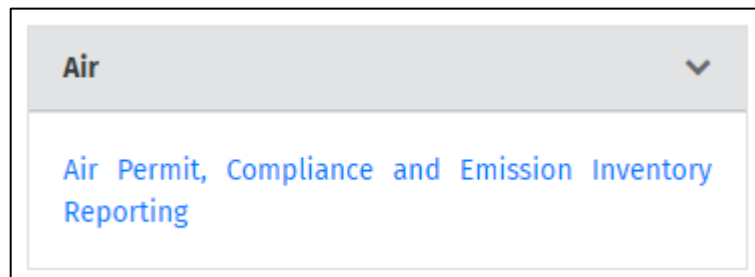
To request access, select the **Log In** tile on the Switchboard landing page. Log in to WAMS and select **Request Access**.



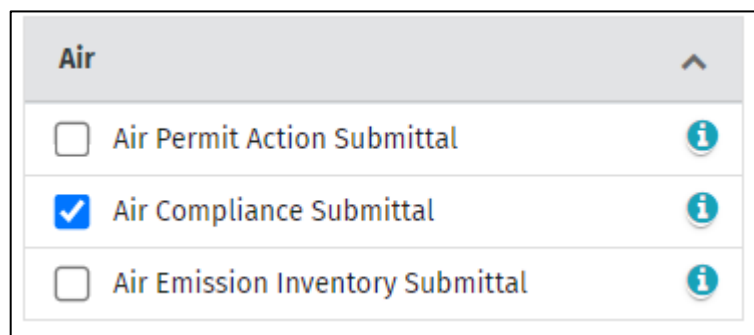
Next select **Request Role Access**.



Next, click **Air Permit, Compliance and Emission Inventory Reporting**.



Next, check the **Air Compliance Submittal** check box.



Next, search for the facility the individual would like to access. This can be searched by FID or facility name. Select the facility using the check box and click **Next**.

**Search Facilities** Create new Facility

Identifier i  Site Name  Search My Facilities Clear Results

Site	FID	Location Address	City	State	Zip
<input checked="" type="checkbox"/> Dnr Air Reporting Test Facility (Prod)	55555550	555 Anywhere Dr	Madison	WI	53707

Items per page: 5 1 - 1 of 1 < >

**Selected Facilities**

Site	FID	Location Address	City	State	Zip
Dnr Air Reporting Test Facility (Prod)	55555550	555 Anywhere Dr	Madison	WI	53707

« Back Next »

Next, read and accept the electronic signature and trading partner agreement and click **Submit**.

Facility	Role(s)	Additional Information
<b>Dnr Air Reporting Test Facility (Prod)</b> (FID: #55555550) 555 Anywhere Dr, Madison, WI - 53707	• Air Compliance Submittal	Not Applicable

☐ I have read and accept the electronic signature and trading partner agreement [Terms & Conditions \[pdf\]](#) \*

« Back Submit

If an individual is new to Switchboard, a hard copy with signature of the Wisconsin Department of Natural Resources Electronic Signature Agreement is required to be on file. Sign and date the Electronic Signature Agreement and mail the original signed version to DNR at:

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

The individual will receive an email notification that access has been granted within two to three business days. Access to a new role for those with existing Switchboard access should be granted within five days. Contact DNR if access is not granted within five days.

Note: If access is requested for Asbestos Notification, the user will need to submit an original, signed, and notarized document.

## Electronic Submittal Process

### Login Options

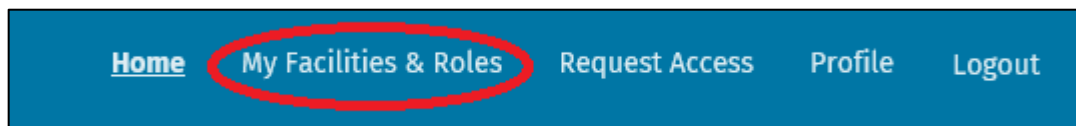
Once the individual completes Switchboard setup, including obtaining a WAMS ID and access to the Air Compliance Submittal option for a facility, the individual can begin electronically submitting Air Compliance documents.

Log in to the Switchboard:

- Click the Log In tile on the Switchboard landing page (<https://dnr.wisconsin.gov/topic/Switchboard>).

### Locate the Facility

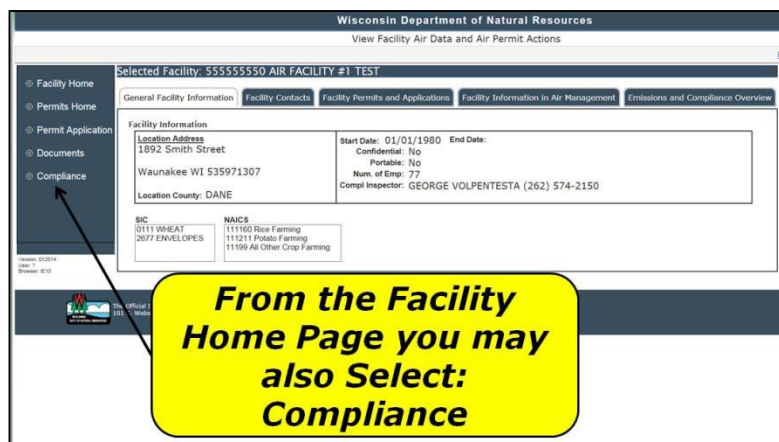
The WAMS log in screen will prompt the user to enter their user ID and password. Upon entering this information, the individual will see the welcome page. Click on **My Facilities and Roles**.



Select the facility and click **Air Compliance Actions**.



Or, check the Compliance button when on one of the other facility air pages in WAMS.



- If “no records found” is listed under the facility Compliance Certifications,

Compliance Certification Electronic Submittal Guidebook  
and the permit requires Compliance Certifications, contact the facility-  
assigned compliance engineer.

Selected Facility: 555555550 AIR FACILITY #1 TEST

Compliance Certifications | Monitoring Reports | Stack Tests

**NO RECORDS FOUND**

Status Codes:

- NEW: Awaiting Submittal
- SNR: Submitted, but Not Reviewed by DNR
- SR: Submitted and Reviewed by DNR
- DQ: Delinquent (Past Due; Not Submitted)

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

Version: 012814  
User: 7  
Browser: IE10

## Compliance Certification Review and Selection

Select the **Compliance Certification** tab. Note: all required Compliance Certification submittal ID's, due dates, status, and previous submittals are shown. If there is inaccurate or missing information, contact the facility-assigned compliance engineer. A red due date indicates the certification was received late or is currently delinquent.

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

Comp Cert ID	Due Date	Status
<u>PORT-CC-21-269707</u>	03/01/2021	DQ

Status Codes:

- NEW: Awaiting Submittal
- SNR: Submitted, but Not Reviewed by DNR
- SR: Submitted and Reviewed by DNR
- DQ: Delinquent (Past Due; Not Submitted)

- \* All fields labeled with red asterisks (\*) are required fields.
- \* Ensure the Reporting Period and Due Date are correct. Contact the facility-assigned compliance engineer if there is an error.

## Deviation Reporting

Deviations at any time during the reporting period must be reported. A deviation is defined as any time an owner or operator cannot claim complete conformance



Compliance Certification Electronic Submittal Guidebook  
with every term and condition of applicable permits and regulation. Use the dropdown menu to select if a deviation will be reported.

Comp Cert Detail:

Reporting Period: 01/01/2020 to 12/31/2020

Due Date: 03/01/2021

Received Date:

Deviation Reported?: **Please Select:** \*

Reported Status: Yes No \*

Ext Comments:

Comment will be saved when uploading document, below.

If Yes is selected, all deviations must be listed in the Compliance Certification.

The DNR Form 4530-184, pages 3-4 (Air Operation Permit Compliance Certification & Deviation Summary Report) (<https://dnr.wisconsin.gov/topic/AirPermits/Forms.html>) or an equivalent method may be used to report deviations.

Next select the **Facility Compliance Status** during the reporting period.

Comp Cert Detail:

Reporting Period: 01/01/2020 to 12/31/2020

Due Date: 03/01/2021

Received Date:

Deviation Reported?: Please Select: \*

Reported Status: **Please Select:** \*

Ext Comments: Facility Was in Continuous Compliance Facility Was in Intermittent Compliance

Comment will be saved when uploading document, below.

Facility Compliance Status	Description
Compliance	<b>Facility was in continuous compliance. This means zero deviations occurred during the reporting period.</b> (During the entire reporting period identified in this compliance certification, this facility was in <b>continuous</b> compliance with <b>all</b> conditions specified in the permit identified in this compliance certification. The method used to determine compliance for each condition is the method specified in the permit identified in this compliance certification.)

Intermittent	<p><b>Facility was in intermittent compliance. This means one or more deviations occurred during the reporting period.</b> (During the entire reporting period identified in this compliance certification, this facility was in continuous compliance with all conditions specified in the permit identified in this compliance certification, EXCEPT for the deviations identified in the deviation summary report. The method used to determine compliance for each condition is the method specified in the permit identified in this compliance certification, unless otherwise indicated and described in the deviation summary report.)</p>
--------------	--

The last box allows the permittee to add any additional comments to DNR (i.e., Deviations are listed on page three of attached report.)

## Attaching Documents

Complete the form fields with a red asterisk. Click the **Attach Documents** and **Save Form** button.

Compliance Certifications | Monitoring Reports | Stack Tests | Other Reports, Plans, and Notifications

Comp Cert ID	Due Date	Status
NOTWI-CC-18-96261	03/01/2018	NEW

Status Codes:

- NEW: Awaiting Submittal
- SNR: Submitted, but Not Reviewed by DNR
- SR: Submitted and Reviewed by DNR
- DQ: Delinquent (Past Due; Not Submitted)

Comp Cert ID: NOTWI-CC-18-96261

Comp Cert Detail:

Reporting Period: 01/01/2017 to 12/31/2017  
Due Date: 03/01/2018

Received Date:

Deviation Reported?:

Reported Status:

Ext Comments:

Comment will be saved when uploading document, below.

[Attach Document and Save Form \\*](#)

Select: Attach document and save form

The Browse button may be used to locate the compliance certification on the individual's computer or network. Find and select the document for upload and click **Open**. Remember, only PDF files of less than 100 megabytes in size can be uploaded.

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

## Compliance Certification Electronic Submittal Guidebook

Compliance Certifications | Monitoring Reports | Stack Tests | Other Reports, Plans, and Notifications

Comp Cert ID	Due Date	Status
NOTWI-CC-18-96261	03/01/2018	NEW

Status Codes:

- NEW: Awaiting Submittal
- SNR: Submitted, but Not Reviewed by DNR
- SR: Submitted and Reviewed by DNR
- DQ: Delinquent (Past Due; Not Submitted)

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

Compl Cert ID: NOTWI-CC-18-96261

Comp Cert Detail:

Reporting Period: 01/01/2017 to 12/31/2017  
Due Date: 03/01/2018  
Received Date:  
Deviation Reported?: No  
Reported Status: C - In Compliance  
Ext Comments:

Select: Upload Document and Save Form

Comment will be saved when uploading document, below.

**Upload Compliance Certification**

**Required Signature:**  
To complete this submittal, the Responsible Corporate Official (RCO) can either mail a hard copy of the document with the RCO's original ink signature or complete the e-signature process. For ink signature, mail the signed document to the Compliance Inspector assigned to the facility. For e-signature, upload the document and follow the instructions for electronically signing the document.

**Confidential Data?**  
If part of your Compliance Certification has been approved to be considered confidential via the confidentiality request approval process, DO NOT SUBMIT THE CONFIDENTIAL VERSION OF THE DOCUMENT VIA THE ELECTRONIC UPLOAD SYSTEM. Submit the Confidential copy via hard copy in the mail, and then submit the public version via the electronic system.

C:\Users\baad\Desktop\2018 non availability slip.pdf. Browse...  
Maximum Upload File Size: 100MB

Upload Document and Save Form Cancel

### E-mail Receipt

After uploading the Compliance Certification document, an e-mail receipt is sent to the individual.

NOTE: There will be a reminder in the message to either mail a paper copy of the RCO's original ink signature on the Compliance Certification to the assigned compliance inspector or submit and sign the form using the DNR's digital signature service, e-Signature.

Compliance Certification Report Receipt

DA DNRAMCOMPLIANCEEXTERNALSUBMISSION@Wisconsin.gov

To: Gray, Ashley P - DNR  
Cc: Kahl, Jeremy K - DNR

The Department of Natural Resources received the Compliance Certification upload for FID 999999990 Production Test Facility.

The Air program database assigned the name Compliance\_Certification\_010120\_123120\_999999990.pdf to the file. To complete this submittal, it is necessary to either:

~ mail a hard copy of the signature page with the Responsible Official's ink signature to the department, OR  
~ have the Responsible Official complete the e-Signature process: <https://dnr.wisconsin.gov/topic/AirPermits/ComplianceReports.html> (Open Instruction book and Quick instructions using the Edge browser)

If completing the process by hard copy, only the page with the ink signature (not entire attachment) is required for submittal. Mail the signature page to:

Wisconsin Department of Natural Resources  
Air Program, AM/7, Attn: Compliance Submittals  
PO Box 7921  
Madison WI 53707-7921

\*\* DO NOT REPLY TO THIS EMAIL, contact the facility-assigned compliance engineer with questions \*\*

### Signature Requirements

To complete the submittal, a signature (either hard copy wet ink or electronic signature) must be submitted. For a hard copy wet ink signature, mail the signature page to the facility-assigned compliance engineer. For electronic signature, see the next section.

### Electronic Signature (e-Sign)

Once a submittal is uploaded, the e-Sign option button will appear ONLY if the

Responsible Official (RO) is logged in to the switchboard. Only the RO can complete the e-Signature process using their login information.

The screenshot shows the 'Compliance Certifications' tab selected. On the left, a table lists certifications with columns for ID, Due Date, and Status. Below this are status codes: NEW (Awaiting Submittal), SNR (Submitted, but Not Reviewed by DNR), SR (Submitted and Reviewed by DNR), and DQ (Delinquent (Past Due; Not Submitted)). A note states: 'Red Due Date indicates the Certification was received late or is currently delinquent.'

The main area displays details for Cert ID NOTWI-CC-18-96261. It includes a 'Comp Cert Detail' section with fields for Reporting Period (01/01/2017 to 12/31/2017), Due Date (03/01/2018), Received Date (02/12/2018), Deviation Reported? (N), and Reported Status (C - In Compliance). Below this is a 'DNR Review Section' with fields for Review Date, Reviewed By, and Signature Received. A 'Document Information' section contains a 'View Document' link. At the bottom, the 'Digital Signature Service' section shows the status 'E-Signature not yet initiated' and an 'E-Sign Document' button. A yellow callout box with the text 'Select: e-Sign document' points to this button. A note at the bottom states: 'Only the facility Responsible Corporate Official (RCO) may electronically sign this document. To complete the e-signature process, click "E-Sign Document" above, which will initiate the process.'

If the uploader is not the RO, they will see the message in the red box below and will need to notify the RO that the document is ready to be signed.

The screenshot shows the 'Compliance Certifications' tab selected. On the left, a table lists certifications with columns for ID, Due Date, and Status. Below this are status codes: NEW (Awaiting Submittal), SNR (Submitted, but Not Reviewed by DNR), SR (Submitted and Reviewed by DNR), and DQ (Delinquent (Past Due; Not Submitted)). A note states: 'Red Due Date indicates the Certification was received late or is currently delinquent.'

The main area displays details for Cert ID NOTWI-CC-18-96284. It includes a 'Comp Cert Detail' section with fields for Reporting Period (01/01/2017 to 12/31/2017), Due Date (04/01/2018), Received Date (03/20/2018), Deviation Reported? (N), and Reported Status (C - In Compliance). Below this is a 'DNR Review Section' with fields for Review Date, Reviewed By, and Signature Received. A 'Document Information' section contains a 'View Document' link. At the bottom, the 'Digital Signature Service' section is highlighted with a red box. It contains the message: 'Only the facility Responsible Corporate Official (RCO) may electronically sign this document. Please notify the RCO that the document is ready to be signed.'

If the uploader is not the RO, and there is no RO currently assigned in the system, the user will see the message below in the red box. The RO will need to obtain a WAMS ID and complete the login setup process before they are able to sign the document.

Comp Cert ID Due Date Status		
NOTWI-CC-18-96281	04/01/2018	SNR

Status Codes:

- NEW: Awaiting Submittal
- SNR: Submitted, but Not Reviewed by DNR
- SR: Submitted and Reviewed by DNR
- DQ: Delinquent (Past Due; Not Submitted)

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

Compl Cert ID: **NOTWI-CC-18-96281**

---

Comp Cert Details:

Reporting Period: 01/01/2017 to 12/31/2017

Due Date: 04/01/2018

Received Date: 02/13/2018

Deviation Reported?: N

Reported Status: C - In Compliance

Ext Comments:

---

DNR Review Section:

Review Date:

Reviewed By:

Signature Received:

---

Document Information:

[View Document](#)

**Digital Signature Service**

The RCO for this facility does not have a WAMS ID or does not have a completed Electronic Signature Agreement on file and cannot complete the e-signature process at this time. The RCO can register for a WAMS ID [here](#), and follow the steps to complete the e-signature process.

When the RO is logged in, clicking the e-Sign button will generate an email that is sent to the RO's email address on file. This email will contain a link to the Digital Signature Service, as well as a temporary PIN code for the service. Click the link and enter the RO's WAMS ID, password, and temporary PIN from the generated email.

Once the RO is logged in, click the **e-Sign** button to sign the document and complete the electronic signature process.

Document List 1

Document ID: 17EJ

File Name: [Compliance Certification 010117 123117 241011870.pdf](#)

Document Description: Compliance Certification ID NOTWI-CC-18-96261

Signer Name: Lindsay Haas

Signature Status: **Unsigned**

Select: e-Sign

I certify, under penalty of law, that the information provided in this document is, to the best of my knowledge and belief, true, accurate, and complete. I understand that there are significant civil and criminal penalties, including fines, imprisonment, or both, for submitting false, inaccurate, or incomplete information.

If you believe that the submitted documents contain errors, or have been submitted either in error or by fraud, you should contact the DNR e-signature help line at [DNRSignature@wisconsin.gov](mailto:DNRSignature@wisconsin.gov).

**e-Sign**

Your Session expires in 14:54 [Extend Session](#)

After clicking the button, the signature status changes to "signed" and an email

receipt is sent to the RO's email on file. This email is the signature confirmation for this document; retain this confirmation for the facility's records. Contact the facility-assigned compliance engineer with questions.

## Review

### Review Submissions

All past and present electronic submissions can be viewed by clicking the "Compliance Certification ID" and selecting **View Document**.

Selected Facility: 55555550 AIR FACILITY #1 TEST

Compliance Certifications Monitoring Reports Stack Tests

Comp Cert ID	Due Date	Status
SC-CC-15-109482	03/01/2017	SNR
SC-CC-15-116788	03/01/2016	NEW
SC-CC-15-109561	03/01/2015	DQ
SC-CC-14-99352	02/15/2015	SNR
SC-CC-14-99353	08/31/2014	SR
SC-CC-14-445904	08/31/2014	SR

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

Compl Cert ID: SC-CC-15-116921

[View Document](#)

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

Due Date: 03/01/2014

Received Date: 03/13/2015

Deviation Reported?: Y

Reported Status: I - Intermittent

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

DNR Review Section:

Review Date:

Reviewed By:

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

Example: Compliance\_Certification\_010114\_123114\_555555500  
(010114\_123114 (is equivalent to Jan 1, 2014 to Dec 31, 2014))

### Completed Submissions

The Compliance Certification is complete when ALL STEPS (including the signature process) are complete.

The individual can follow the DNR review process by locating the DNR Review Section under the Compliance Certification ID. Listed in this section are the review date and DNR staff reviewing the certification. Once DNR has completed its review, the status will be updated.

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

Selected Facility: 55555550 AIR FACILITY #1 TEST

Compliance Certifications Monitoring Reports Stack Tests

Comp Cert ID	Due Date	Status
SC-CC-15-109482	03/01/2017	SNR
SC-CC-15-116788	03/01/2016	NEW
SC-CC-15-109561	03/01/2015	DQ
SC-CC-14-99352	02/15/2015	SNR
SC-CC-14-99353	08/31/2014	SR
SC-CC-14-445904	08/31/2014	SR

Compl Cert ID: SC-CC-15-116921

[View Document](#)

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

Due Date: 03/01/2014

Received Date: 03/13/2015

Deviation Reported?: Y

Reported Status: I - Intermittent

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

DNR Review Section:

Review Date: 03/14/2015

Reviewed By: COREY LARSEN

**Following DNR review, the review section information will appear and certification status will change**



## **More Information**

### **Resources**

Visit the Air Compliance Submittal Actions Electronic Reporting webpage at <https://dnr.wisconsin.gov/topic/AirPermits/ComplianceReports.html> or contact the facility-assigned compliance engineer.

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

The Wisconsin Department of Natural Resources provides equal opportunity in employment, programs, services and functions under an Affirmative Action Plan. If you have any questions, please write to Equal Opportunity Office, Department of Interior, Washington, DC 20240. This publication is available in alternative format (large print, Braille, audio tape, etc.) upon request. Please contact the Bureau of Air Management, phone 608-266-7718, for more information.



Wisconsin Department of Natural Resources  
Air Program  
Box 7921- AM/7  
Madison, WI 53707  
PHONE 608-266-7718 • FAX 608-267-0560  
**Publication AM-536 2021**