

Guidelines for Characterizing Air Violations

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Introduction

Department of Environmental Protection (DEP) Directive 923 is the Department's controlling enforcement document. These guidelines are intended to complement Directive 923 to determine the appropriate civil and administrative penalties to seek when settling enforcement actions. These guidelines are intended to provide a rational, fair, and consistent method to determine the appropriate enforcement response for air violations.

Administrative Penalties (ELRA)

Under the Environmental Litigation and Reform Act (ELRA), the Department can issue an administrative penalty for certain violations through a Notice of Violation (NOV). Administrative penalty amounts are set by statute. For additional details, see DEP Directive 923 and Section 403.121 of the Florida Statutes (F.S.).

Air emission permit exceedance, or unpermitted/unauthorized air emission	\$1,000	403.121(3)(f)
<i>Add-On 1</i> – if the emission results in an air quality violation, add \$1000	+ \$1,000	
<i>Add-On 2</i> – If the emission was from a major source and the source was major for the pollutant in violation, add \$3000	+ \$3,000	
<i>Add-On 3</i> – If the emission was more than 150% of the allowable level, add \$1000	+ \$1,000	
Failure to install, maintain, or use a required pollution control system or device	\$4,000	403.121(4)(b)
Failure to obtain a required permit before construction or modification	\$3,000	403.121(4)(c)
Failure to conduct required monitoring or testing	\$2,000	403.121(4)(d)
Failure to construct in compliance with a permit	\$2,000	403.121(4)(d)
Failure to maintain required staff to respond to emergencies	\$1,000	403.121(4)(e)
Failure to conduct required training	\$1,000	403.121(4)(e)
Failure to prepare, maintain, or update required contingency plans	\$1,000	403.121(4)(e)
Failure to adequately respond to emergencies to bring an emergency situation under control	\$1,000	403.121(4)(e)

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Violation (statutory language)	Base Penalty	Cite (F.S.)
Failure to submit required notification to the Department	\$1,000	403.121(4)(e)
Failure to prepare, submit, maintain, or use required reports or other required documentation	\$500	403.121(4)(f)
Failure to comply with any other Departmental regulatory statute or rule requirement	\$500	403.121(5)

Multi-Day Penalties and Adjustment Factors

DEP Directive 923 discusses when and how to assess multi-day penalties. The directive also sets out various adjustment factors to be used when calculating a penalty based on the matrix. These factors include:

- Knowing, deliberate, or chronic violations.
- Good faith efforts to comply (or lack of good faith efforts to comply) either prior to or after Department discovery of the violation.
- History of noncompliance.
- Economic benefit of noncompliance.
- Ability to pay.
- Other unique factors.

In-Kind Penalties and Pollution Prevention Projects

In-Kind Penalties and Pollution Prevention Projects should be considered as provided in Directive 923.

Penalty Calculation Matrix for Air Violations

Matrix Factor Considerations

The Department's Penalty Matrix for cases other than Potable Water, Hazardous Substances, or Hazardous Waste, found in Directive 923, is reproduced below. Below the matrix are tables identifying what types of violations fall into what range of the matrix. It is important to remember when placing a violation in the 'Major' category for Environmental Harm, the violation must have actually resulted in pollution in a manner that represents a substantial threat to human health or the environment. Moderate violations are those violations that actually or are reasonably expected to result in pollution in a manner that represents a significant threat to human health or the environment. Minor violations are those violations that actually or are reasonably expected to result in a minimal threat to human health or the environment.

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E N V I R O N M E N T A L H A R M	EXTENT OF DEVIATION FROM REQUIREMENT			
		MAJOR	MODERATE	MINOR
	MAJOR	\$10,000 to \$8,000	\$7,999 to \$6,000	\$5,999 to \$4,600
	MODERATE	\$4,599 to \$3,200	\$3,199 to \$2,000	\$1,999 to \$1,200
MINOR	\$1,199 to \$500	\$500*	\$500*	

* Environmental Education may be an acceptable substitute

Matrix Factors—Emission Standard Exceedances

Matrix Factor	Environmental Harm	Extent of Deviation from Requirement
Major	1. Major or synthetic minor source exceedances of emissions standards that actually result in pollution in a manner that represents a substantial threat to human health or the environment.	1. Emissions greater than or equal to 200 percent of allowable.
Moderate	1. Major, synthetic minor, or minor source exceedances of emissions standards that actually or are reasonably expected to result in pollution in a manner that represents a significant threat to human health or the environment.	1. Emissions greater than or equal to 150 percent of allowable, but less than 200 percent of allowable.
Minor	1. Major, synthetic minor, or minor source exceedances of emissions standards that actually or are reasonably expected to result in pollution in a manner that represents a minimal threat to human health or the environment. 2. Emission standard exceedances at facilities operating under an air general permit .	1. Emissions greater than 100 percent of allowable, but less than 150 percent of allowable.

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Matrix Factors—Visible Emission Violations

Matrix Factor	Environmental Harm	Extent of Deviation from Requirement
Major	[Reserved]	<ol style="list-style-type: none"> 1. Percent opacity greater than or equal to 200 percent of allowable. 2. Percent opacity greater than or equal to 150 percent of allowable, but less than 200 percent of allowable, for more than 3 hours during an operating day.
Moderate	<ol style="list-style-type: none"> 1. Major, synthetic minor, or minor source violations that actually or are reasonably expected to result in pollution in a manner that represents a significant threat to human health or the environment. 	<ol style="list-style-type: none"> 1. Percent opacity greater than or equal to 150 percent of allowable, but less than 200 percent of allowable, for 3 hours or less during an operating day. 2. Percent opacity greater than 100 percent of allowable, but less than 150 percent of allowable, for more than 3 hours during an operating day.
Minor	<ol style="list-style-type: none"> 1. Major, synthetic minor, or minor source violations that actually or are reasonably expected to result in pollution in a manner that represents a minimal threat to human health or the environment. 2. Facilities operating under an air general permit. 	<ol style="list-style-type: none"> 1. Percent opacity greater than 100 percent of allowable, but less than 150 percent of allowable, for 3 hours or less during an operating day.

Matrix Factors—Testing Violations

Matrix Factor	Environmental Harm	Extent of Deviation from Requirement
Major	[Reserved]	<ol style="list-style-type: none"> 1. Tests not conducted or conducted 60 days or more after the due date.
Moderate	<ol style="list-style-type: none"> 1. Testing requirement violations at a major, synthetic minor, or minor source that are reasonably expected to result in pollution in a manner that represents a significant threat to human health or the environment. 	<ol style="list-style-type: none"> 1. Tests conducted 30 days or more after, but less than 60 days after the due date.
Minor	<ol style="list-style-type: none"> 1. Testing requirement violations at a major, synthetic minor, or minor source that are reasonably expected to result in pollution in a manner that represents a minimal threat to human health or the environment. 2. Testing requirement violations at an air general permit facility. 	<ol style="list-style-type: none"> 1. Test conducted less than 30 days after the due date.

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Matrix Factors—Construction or Operation without a Permit

Matrix Factor	Environmental Harm	Extent of Deviation from Requirement
Major	1. Major or synthetic minor source <i>operating</i> without a permit in a manner that actually results in pollution that represents a substantial threat to human health or the environment.	1. Construction or operation of a source prior to obtaining required permit.
Moderate	1. Major, synthetic minor, or minor source <i>operating</i> without a permit in a manner that actually or is reasonably expected to result in pollution that represents a significant threat to human health or the environment.	1. Continued construction or operation of a source following permit expiration. 2. Constructing with unauthorized variations from a permit, and the variance directly impacts emissions.
Minor	1. Major, synthetic minor, or minor source <i>operating</i> without a permit in a manner that actually or is reasonably expected to result in pollution that represents a minimal threat to human health or the environment. 2. Major, synthetic minor, or minor source <i>constructing</i> without a permit or registration. 3. Air general permit facility operating or <i>constructing</i> without registration.	1. Constructing with unauthorized variations from a permit, and the variance does not directly impact emissions.

Matrix Factors—Monitoring Performance Violations

Matrix Factor	Environmental Harm	Extent of Deviation from Requirement
Major	[Reserved]	1. Monitors not installed, calibrated, or certified. 2. Monitors installed, but not operated (i.e., no attempt to operate monitor).
Moderate	1. Monitoring violations at a major or synthetic minor source that are reasonably expected to result in pollution in a manner that represents a significant threat to human health or the environment.	1. Failure to meet minimum monitor availability requirements, and no other estimate or testing of emissions is performed. 2. Monitors not properly maintained.
Minor	1. Monitoring violations at a major, synthetic minor, or minor source that are reasonably expected to result in pollution in a manner that represents a minimal threat to human health or the environment. 2. Monitoring violations at an air general permit facility.	1. Failure to meet minimum monitor availability requirements, but emissions are estimated or testing is performed.

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Matrix Factors—Recordkeeping Violations

Matrix Factor	Environmental Harm	Extent of Deviation from Requirement
Major	[Reserved]	1. Records not maintained or incompletely maintained for 50 percent or greater of the time in any calendar quarter.
Moderate	1. Recordkeeping violations at a major or synthetic minor source that are reasonably expected to result in pollution in a manner that represents a significant threat to human health or the environment.	1. Records not maintained or incompletely maintained for 25 percent or greater of the time, but less than 50 percent of the time, in any calendar quarter.
Minor	1. Recordkeeping violations at a major or synthetic minor source that are reasonably expected to result in pollution in a manner that represents a minimal threat to human health or the environment. 2. Recordkeeping violations at a minor source or an air general permit facility.	1. Records not maintained or incompletely maintained for less than 25 percent of the time in any calendar quarter. 2. Complete records maintained, but maintained in the wrong format.

Matrix Factors—Reporting and Notification Violations

Matrix Factor	Environmental Harm	Extent of Deviation from Requirement
Major	[Reserved]	1. Report or notification not submitted, or submitted 60 days or more after the due date. 2. Incomplete or inaccurate annual statement of compliance.
Moderate	1. Reporting or notification violations at a major or synthetic minor source that are reasonably expected to result in pollution in a manner that represents a significant threat to human health or the environment.	1. Report or notification submitted 30 days or more after, but less than 60 days after the due date.
Minor	1. Reporting or notification violations at a major or synthetic minor source that are reasonably expected to result in pollution in a manner that represents a minimal threat to human health or the environment. 2. Reporting or notification violations at a minor source or an air general permit facility.	1. Report or notification submitted less than 30 days after the due date.

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Matrix Factors—Permit Conditions Limiting Capacity

Matrix Factor	Environmental Harm	Extent of Deviation from Requirement
Major	1. Major or synthetic minor source limiting capacity violations that actually result in pollution in a manner that represents a substantial threat to human health or the environment.	1. Operation greater than or equal to 150 percent of allowable.
Moderate	1. Major, synthetic minor, or minor source limiting capacity violations that actually or are reasonably expected to result in pollution in a manner that represents a significant threat to human health or the environment.	1. Operation greater than or equal to 115 percent of allowable, but less than 150 percent of allowable.
Minor	1. Major, synthetic minor, or minor source limiting capacity violations that actually or are reasonably expected to result in pollution in a manner that represents a minimal threat to human health or the environment. 2. Limiting capacity violations at an air general permit facility.	1. Operation greater than 100 percent of allowable, but less than 115 percent of allowable.

Matrix Factors—Improper Operation or Maintenance

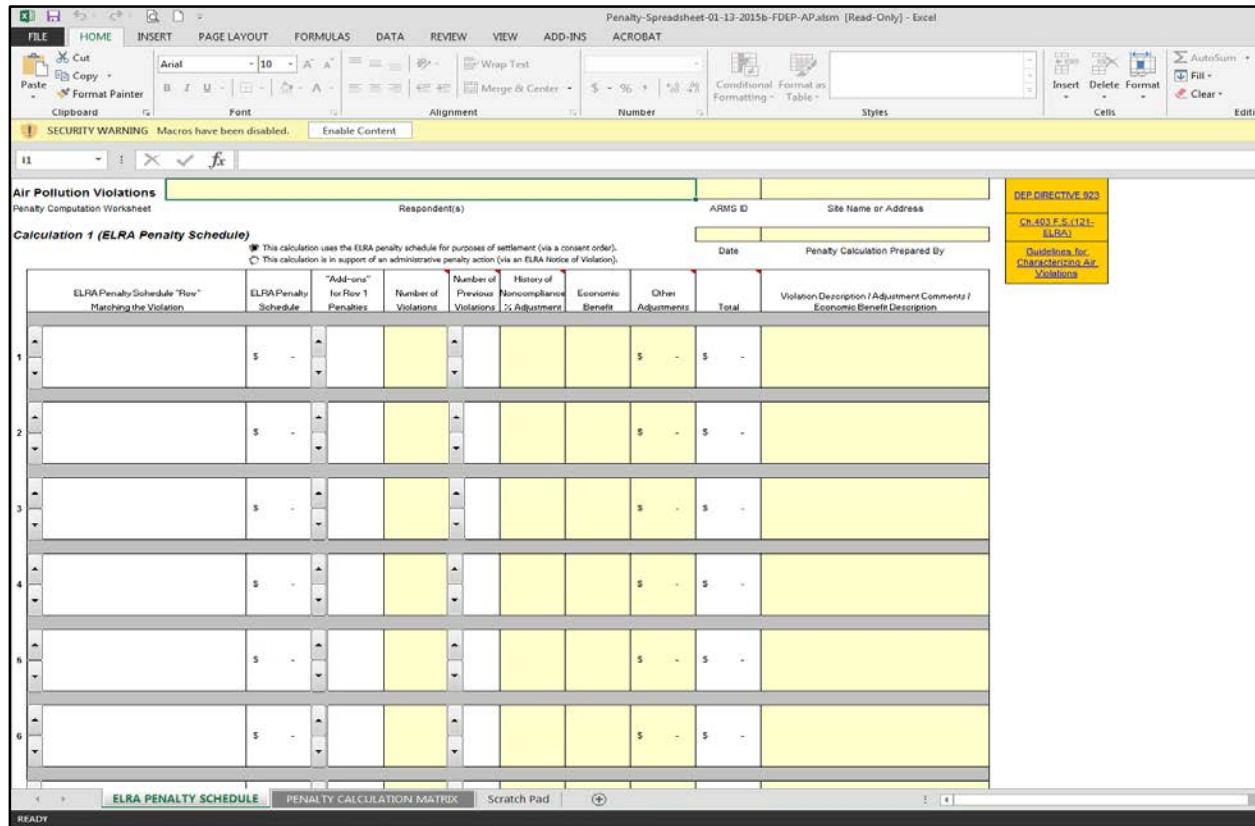
Matrix Factor	Environmental Harm	Extent of Deviation from Requirement
Major	1. Major or synthetic minor source violations that actually result in pollution in a manner that represents a substantial threat to human health or the environment.	1. Equipment installed but totally inoperative. 2. Very poor operation or maintenance such that control device is considered to be completely bypassed. 3. Operation, maintenance, or work practice measures not implemented.
Moderate	1. Major or synthetic minor source violations that actually or are reasonably expected to result in pollution in a manner that represents a significant threat to human health or the environment.	1. Equipment installed but operating at reduced efficiency as evidenced by data collected from inspections or tests. 2. Poor operation or maintenance such that the control device is considered to be partially bypassed. 3. Operation, maintenance, or work practice measures partially implemented as evidenced by records showing performance of some but not all required activities.
Minor	1. Major or synthetic minor source violations that actually or are reasonably expected to result in pollution in a manner that represents a minimal threat to human health or the environment. 2. Violations at a minor source or an air general permit facility.	1. Operation, maintenance, or work practice measures are implemented that are effective and equivalent to – but different from – the required measures.

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Matrix Factors—Circumvention

Matrix Factor	Environmental Harm	Extent of Deviation from Requirement
Major	1. Major or synthetic minor source violations that actually result in pollution in a manner that represents a substantial threat to human health or the environment.	1. Deliberate, willful, or wanton.
Moderate	1. Major, synthetic minor source, or minor source violations that actually or are reasonably expected to result in pollution in a manner that represents a significant threat to human health or the environment.	1. Negligent.
Minor	1. Major, synthetic minor, or minor source violations that actually or are reasonably expected to result in pollution in a manner that represents a minimal threat to human health or the environment. 2. Violations at an air general permit facility.	[Not applicable]

The Department’s Division of Air Resource Management has created a penalty calculation spreadsheet to aid in the assessment of appropriate penalties for air violations. The spreadsheet includes a tab for ELRA penalties and one for Matrix penalties (shown below), as well as a signature tab.



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Microsoft Excel interface showing the "Air Pollution Violations" worksheet. The ribbon includes options for Cut, Copy, Paste, Format Painter, Font, Alignment, Number, Styles, and Cells. A security warning banner is visible at the top.

Air Pollution Violations
Penalty Computation Worksheet

Respondent(s) ARMS ID Site Name or Address

Calculation 2 (Penalty Calculation Matrix)

This calculation is for purposes of settlement, and the ELRA penalty schedule calculation exceeds \$10,000.

Date Penalty Calculation Prepared By

Environmental Harm	Extent of Deviation from Requirement	Baseline Penalty Amount	Number of Violations at Baseline	Multi-day Penalty / Day (select % to calc. \$amt/day or enter \$amt/day to apply)	Number of Violations at Multi-day	Number of Previous Noncompliance Violations	History of Noncompliance % Adjustment	Economic Benefit	Other Adjustments	Total	Violation Description / Adjustment Comments / Economic Benefit Description
1		\$ -							\$ -	\$ -	
2		\$ -							\$ -	\$ -	
3		\$ -							\$ -	\$ -	
4		\$ -							\$ -	\$ -	
5		\$ -							\$ -	\$ -	
6		\$ -							\$ -	\$ -	
7		\$ -							\$ -	\$ -	
8		\$ -							\$ -	\$ -	

DEP DEFECTIVE 323
Ch. 403 F.S. (21-ELRA)
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ELRA PENALTY SCHEDULE PENALTY CALCULATION MATRIX Scratch Pad