



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
RESEARCH TRIANGLE PARK, NC 27711

FEB 10 2020

OFFICE OF
AIR QUALITY PLANNING
AND STANDARDS

MEMORANDUM

SUBJECT: DRAFT Guidance for Ozone and Fine Particulate Matter Permit Modeling

FROM: Richard A. Wayland, Division Director
Air Quality Assessment Division

A handwritten signature in black ink, reading "Richard A. Wayland", is placed to the right of the "FROM:" line.

TO: Regional Air Division Directors, Regions 1 – 10

The Environmental Protection Agency (EPA) is providing the attached *DRAFT Guidance for Ozone and Fine Particulate Matter Permit Modeling* to the state, local, and tribal air agencies, as well as the public, for consideration, review and comment. This guidance document reflects the EPA's recommendations for how a stationary source seeking a Prevention of Significant Deterioration (PSD) permit may demonstrate that it will not cause or contribute to a violation of the National Ambient Air Quality Standards (NAAQS) for ozone (O₃) and fine particulate matter (PM_{2.5}) and PSD increments for PM_{2.5}, as required under Section 165(a)(3) of the Clean Air Act (CAA) and 40 CFR sections 51.166(k) and 52.21(k).

This document does not substitute for provisions or regulations of the CAA, nor is it a regulation itself. As the term "guidance" suggests, it provides recommendations on how to implement the modeling requirements of a PSD compliance demonstration. Thus, it does not impose binding, enforceable requirements on any party, nor does it assure that the EPA will approve all instances of its application, as the guidance may not apply to a particular situation based upon the circumstances. Final decisions by the EPA regarding a particular PSD compliance demonstration will only be made based on the statute and applicable regulations, and will only be made following a final submission by air agencies and after notice and opportunity for public review and comment.

BACKGROUND

The EPA is providing this *DRAFT Guidance for Ozone and Fine Particulate Matter Permit Modeling* to fulfill an outstanding need for additional guidance on demonstrating compliance with the NAAQS for O₃ and PM_{2.5} and PSD increments for PM_{2.5}. Because of the complex chemistry of secondary formation of O₃ and PM_{2.5}, the EPA's judgment in the past was that it was not technically sound to specify with "reasonable particularity" air quality models that must be used to assess the impacts of a single source on O₃ and secondary PM_{2.5} concentrations. Instead, the EPA employed a case-by-case process for determining analytical techniques that

should be used for these secondary pollutants. However, as discussed in the preamble of the 2017 revisions to the EPA's *Guideline on Air Quality Models*¹:

“...the EPA has determined that advances in chemical transport modeling science indicate it is now reasonable to provide more specific, generally-applicable guidance that identifies particular models or analytical techniques that may be used under specific circumstances for assessing the impacts of an individual or single source on ozone and secondary PM_{2.5}. For assessing secondary pollutant impacts from single sources, the degree of complexity required to appropriately assess potential impacts varies depending on the nature of the source, its emissions, and the background environment. In order to provide the user community flexibility in estimating single-source secondary pollutant impacts that allows for different approaches to credibly address these different areas, the EPA proposed a two-tiered demonstration approach for addressing single-source impacts on ozone and secondary PM_{2.5}.”

This recommended two-tiered demonstration approach was promulgated as part of the 2017 *Guideline* revisions.

This draft guidance provides an update to the previous *Guidance for PM_{2.5} Permit Modeling*² to reflect the 2017 revisions to the *Guideline* and incorporate appropriate sections for O₃. As experience is gained with these types of PSD compliance demonstrations, the EPA expects to update this and related guidance and provide further specificity on procedures for assessing the impacts of a single source on O₃ and secondary PM_{2.5} concentrations.

REVIEW AND COMMENT

The EPA is requesting that comments on the draft guidance be provided by **Friday, March 27, 2020**. This allows at least 45 days for consideration, review, and comment on the material presented in the draft guidance. Comments should be electronically submitted to Mr. George Bridgers of the EPA's Air Quality Modeling Group at bridgers.george@epa.gov.

Following the close of the comment period, the EPA will take into consideration all the feedback and comments submitted and will further engage with the regulatory air quality modeling community at the 2020 Regional, State, and Local Modelers' Workshop currently scheduled for May 5-7, 2020, at the Minneapolis Central Library in Minneapolis, MN. This workshop will allow for an open dialogue on further clarifications, potential amendments, and considerations for additions to the final guidance documentation to be released later this year.

¹ *Guideline on Air Quality Models*. 40 CFR part 51, Appendix W (82 FR 5182, Jan. 17, 2017). https://www3.epa.gov/ttn/scram/guidance/guide/appw_17.pdf. Also known as the “2017 *Guideline*.”

² *Guidance for PM_{2.5} Modeling*. May 20, 2014. Publication No. EPA-454/B-14-001. Office of Air Quality Planning and Standards, Research Triangle Park, NC. https://www3.epa.gov/ttn/scram/guidance/guide/Guidance_for_PM25_Permit_Modeling.pdf.

The EPA will also conduct a webinar providing an overview of the *DRAFT Guidance for Ozone and Fine Particulate Matter Permit Modeling* allowing for an open exchange on the guidance documentation on Thursday, March 12th at 3pm EDT. Additional information on how to connect to the webinar is posted on the EPA's SCRAM website, <https://www.epa.gov/scram>, under the Recent Additions section and will be shared with the regulatory air quality modeling community through typical email distributions.

For convenience, the draft guidance document is available electronically on the EPA's SCRAM website at:

https://www3.epa.gov/ttn/scram/guidance/guide/Draft_Guidance_for_O3_PM25_Permit_Modeling.pdf.

If there are any questions regarding the draft guidance, please contact George Bridgers of EPA's Air Quality Modeling Group at (919) 541-5563 or bridgers.george@epa.gov.

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DRAFT Guidance for Ozone and Fine Particulate Matter Permit Modeling

DRAFT

DRAFT Guidance for Ozone and Fine Particulate Matter Permit Modeling

U.S. Environmental Protection Agency
Office of Air Quality Planning and Standards
Air Quality Policy Division
Research Triangle Park, NC

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I. Introduction

The U.S. Environmental Protection Agency (EPA) is providing this “Guidance for Ozone and Fine Particulate Matter Permit Modeling” to fulfill a need for additional guidance on demonstrating compliance with the ozone (O₃) and fine particulate matter (PM_{2.5}) National Ambient Air Quality Standards (NAAQS) and the Prevention of Significant Deterioration (PSD) increments for PM_{2.5}. Because of the complex chemistry of secondary formation of O₃ and PM_{2.5}, the EPA's judgment in the past was that it was not technically sound to specify with “reasonable particularity” air quality models that must be used to assess the impacts of a single source on O₃ and secondary PM_{2.5} concentrations. Instead, the EPA employed a case-by-case process for determining analytical techniques that should be used for these secondary pollutants. Under the former process, EPA recommended that the “[c]hoice of methods used to assess the impact of an individual source depends on the nature of the source and its emissions. Thus, model users should consult with the Regional Office to determine the most suitable approach on a case-by-case basis” (2005 *Guideline on Air Quality Models*, U.S. EPA, 2005; hereafter referred to as 2005 *Guideline*; sections 5.2.1.c and 5.2.2.1.c). As such, under the 2005 *Guideline*, the appropriate methods for assessing O₃ and secondary PM_{2.5} impacts were determined as part of the normal consultation process with the appropriate permitting authority.

On January 4, 2012, the EPA granted a petition submitted on behalf of the Sierra Club on July 28, 2010 (U.S. EPA, 2012), which requested that the EPA initiate rulemaking regarding the establishment of air quality models for O₃ and PM_{2.5} for use by all major sources applying for a PSD permit. In granting that petition, the EPA committed to engage in rulemaking to evaluate whether updates to the 2005 *Guideline* were warranted and, as appropriate, incorporate new analytical techniques or models for O₃ and secondarily formed PM_{2.5}. As discussed in the

preamble of the 2017 revisions to the EPA's *Guideline on Air Quality Models* (U.S. EPA, 2017a; hereafter referred to as 2017 *Guideline*), "the EPA has determined that advances in chemical transport modeling science indicate it is now reasonable to provide more specific, generally-applicable guidance that identifies particular models or analytical techniques that may be used under specific circumstances for assessing the impacts of an individual or single source on ozone and secondary PM_{2.5}. For assessing secondary pollutant impacts from single sources, the degree of complexity required to appropriately assess potential impacts varies depending on the nature of the source, its emissions, and the background environment. In order to provide the user community flexibility in estimating single-source secondary pollutant impacts that allows for different approaches to credibly address these different areas, the EPA proposed a two-tiered demonstration approach for addressing single-source impacts on ozone and secondary PM_{2.5}." This recommended two-tiered demonstration approach was promulgated as part of the 2017 *Guideline* revisions.

As presented in section 5.2 of the 2017 *Guideline*, the first tier involves use of technically credible relationships between precursor emissions and a source's impacts. Such information may be published in the peer-reviewed literature; developed from modeling that was previously conducted for an area by a source, a governmental agency, or some other entity that is deemed sufficient; or generated by a peer-reviewed reduced form model. To assist permitting authorities, the EPA released the "Guidance on the Development of Modeled Emission Rates for Precursors (MERPs) as a Tier 1 Demonstration Tool for Ozone and PM_{2.5} under the PSD Permitting Program" (U.S. EPA, 2019a; hereafter referred to as MERPs Guidance) that provides a framework to develop MERPs for consideration and use as a Tier 1 demonstration tool, as described in the preamble of the 2017 *Guideline*.

The second tier, also presented in section 5.2 of the 2017 *Guideline*, involves application of more sophisticated case-specific chemical transport models (CTMs), *e.g.*, photochemical grid models, to be determined in consultation with the EPA Regional Offices. The EPA provided guidance to permitting authorities on procedures for applying CTMs in the “Guidance on the Use of Models for Assessing the Impacts of Emissions from Single Sources on the Secondarily Formed Pollutants: Ozone and PM_{2.5}” (U.S. EPA, 2016a; hereafter Single-source Modeling Guidance). The Single-source Modeling Guidance is intended to inform that second tier approach by providing appropriate technical methods to assess O₃ and secondary PM_{2.5} impacts associated with the precursor emissions from the new or modifying source. The appropriate tier for a given application should be selected in consultation with the appropriate permitting authority and be consistent with EPA guidance.

This guidance provides an update to the previous “Guidance for PM_{2.5} Permit Modeling” (U.S. EPA, 2014a) to reflect the 2017 revisions to the *Guideline* and incorporate appropriate sections for O₃. As experience is gained with these types of PSD compliance demonstrations, the EPA expects to update this and related guidance and provide further specificity on procedures for assessing the impacts of a single source on O₃ and secondary PM_{2.5} concentrations.

This guidance document is organized in three primary areas:

1. Guidance Overview – Section II provides a general overview of the steps that a permit applicant would take under the PSD program for demonstrating compliance with the O₃ NAAQS and/or the PM_{2.5} NAAQS and PSD increments.
2. PSD Compliance Demonstrations for the O₃ and PM_{2.5} NAAQS – Sections III and IV provide a detailed framework for conducting a source impact analysis and

a cumulative impact analysis, respectively, to appropriately address O₃ and PM_{2.5} impacts from the proposed source¹ in determining whether it may cause or contribute to a NAAQS violation.

3. PSD Compliance Demonstrations for PM_{2.5} Increments – Section V provides a detailed discussion of the assessment of primary and secondary PM_{2.5} impacts of a new or modifying source with respect to the PM_{2.5} increments.

This document recommends procedures for permit applicants and permitting authorities to follow to show that they have satisfied some of the criteria for obtaining or issuing a permit under applicable PSD regulations. This document is not a rule or regulation, and the guidance it contains may not apply to a particular situation based upon the individual facts and circumstances. This guidance does not change or substitute for any law, regulation, or any other legally binding requirement, may refer to regulatory provisions without repeating them in their entirety, and is not legally enforceable. The use of non-mandatory language such as “guidance,” “recommend,” “may,” “should,” and “can,” is intended to describe EPA policies and recommendations. Mandatory terminology such as “must” and “required” are intended to describe requirements under the terms of the CAA and EPA regulations, but this document does not establish or alter any legally binding requirements in and of itself.

This guidance does not create any rights or obligations enforceable by any party or impose binding, enforceable requirements on any PSD permit applicant, PSD permitting authority, EPA, or any other person. Since each permitting action will be considered on a case-by-case basis, this document does not limit or restrict any particular justifiable approach that

¹ The term “proposed source” is used throughout this guidance document and should be taken to mean the “proposed source or modification” to which the compliance demonstration is being assessed.

permit applicants and permitting authorities may take to conduct the required compliance demonstrations. Each individual decision to issue a PSD permit must be supported by a record sufficient to demonstrate that the proposed construction and operation of a stationary source will not cause or contribute to a violation of the applicable NAAQS and PSD increments. While this document illustrates a particular approach that the EPA considers appropriate and acceptable as a general matter, permit applicants and permitting authorities should examine all relevant information regarding air quality in the area that may be affected by a proposed new or modified source and evaluate whether alternative or additional analysis may be necessary in a given case to demonstrate that the regulatory criteria for a PSD air quality analysis are satisfied. This document does not represent a conclusion or judgment by EPA that the technical approaches recommended in this document will be sufficient to make a successful compliance demonstration in every permit application or circumstance.

Permitting authorities retain the discretion to address particular issues discussed in this document in a different manner than the EPA recommends so long as the approach is adequately justified, supported by the permitting record and relevant technical literature, and consistent with the applicable requirements in the CAA and implementing regulations, including the terms of an approved State Implementation Plan (SIP). Furthermore, this guidance is not a final agency action and does not determine applicable legal requirements or the approvability of any particular permit application. To improve the quality of this guidance, the EPA is soliciting public comment and will consider the comments received.

The EPA Regional Offices may seek clarification from the EPA's Office of Air Quality Planning and Standards (OAQPS) on issues and areas of concern in a modeling protocol or PSD compliance demonstration. Through these interactions and subsequent resolutions of specific

issues, clarifications of preferred modeling procedures can become additional EPA guidance.

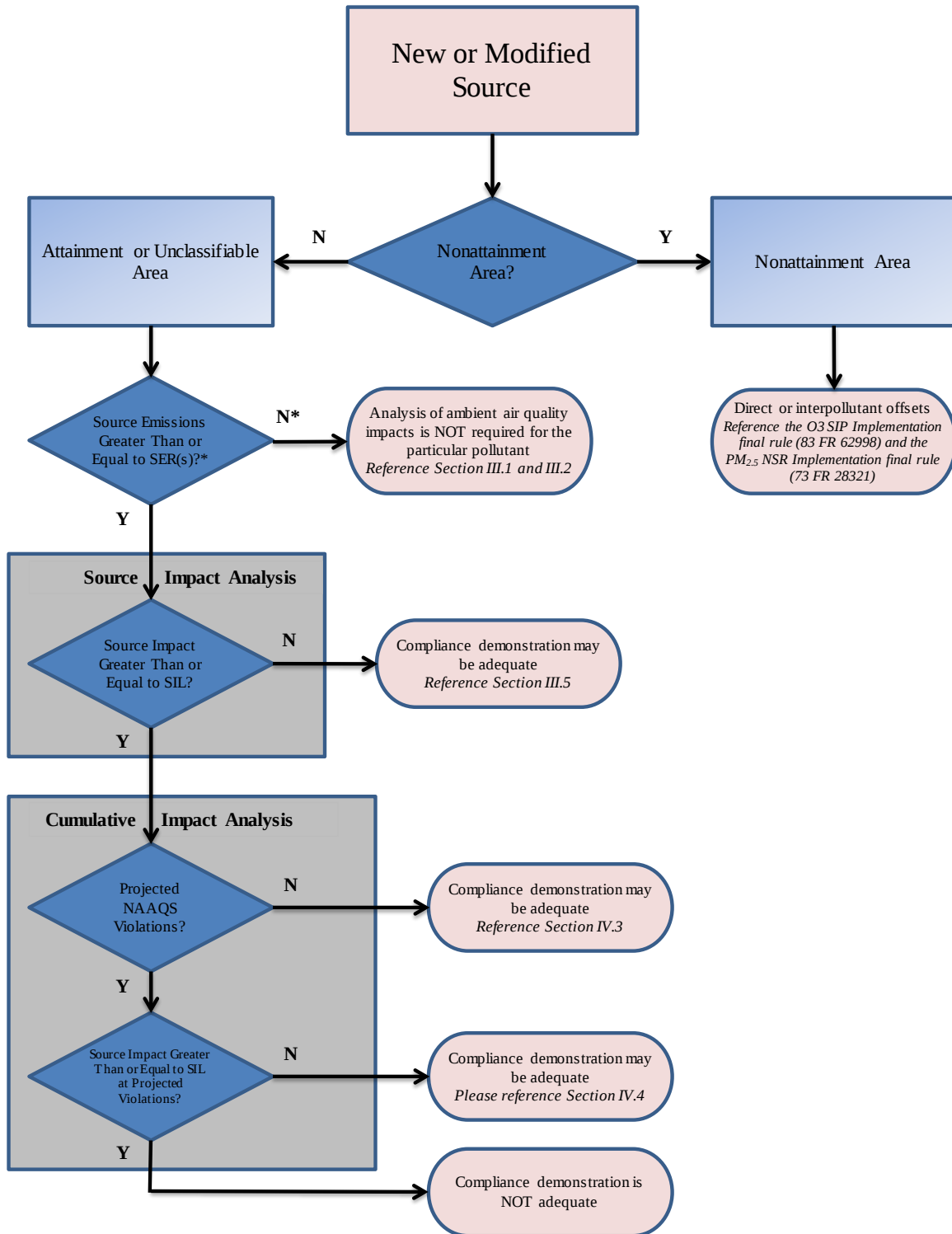
This can happen in several ways: 1) the preferred procedures are published as regulations or guidelines; 2) the preferred procedures are formally transmitted as guidance to the Air Division Directors in the EPA Regional Offices; 3) the preferred procedures are formally transmitted as guidance to the EPA Regional Office modeling contacts; or 4) the preferred procedures are relied upon in decisions by the EPA's Model Clearinghouse that establish national precedent that the approach is technically sound. The Model Clearinghouse is the EPA focal point for the review of the technical adequacy of pollutant modeling to satisfy regulatory criteria and other NAAQS compliance demonstration techniques. Model Clearinghouse memoranda involving interpretation of modeling guidance for specific applications, as well as other clarification memoranda addressing modeling more generally, are available at the Support Center for Regulatory Atmospheric Modeling (SCRAM) website at: <https://www.epa.gov/scram/air-quality-model-clearinghouse>.

II. Guidance Overview

This guidance is appropriate for proposed new or modifying sources locating or located in an area classified as attainment or unclassifiable for O₃ and/or PM_{2.5}. It is intended to provide recommendations on how to conduct compliance demonstrations for the O₃ NAAQS and the PM_{2.5} NAAQS and PSD increments under the PSD program following the progressive steps shown in Figure II-1 (for O₃ and PM_{2.5} NAAQS) and Figure II-2 (for PM_{2.5} increments). Since each permitting action is considered on a case-by-case basis, this guidance does not limit or restrict any particular justifiable approach that permit applicants and permitting authorities may take to conduct the required compliance demonstrations. Prospective permit applicants should recognize the importance of the consultation process with the appropriate permitting authority. This process will help identify the most appropriate analytical techniques to be used for conducting a compliance demonstration for the O₃ NAAQS and the PM_{2.5} NAAQS and PSD increments.

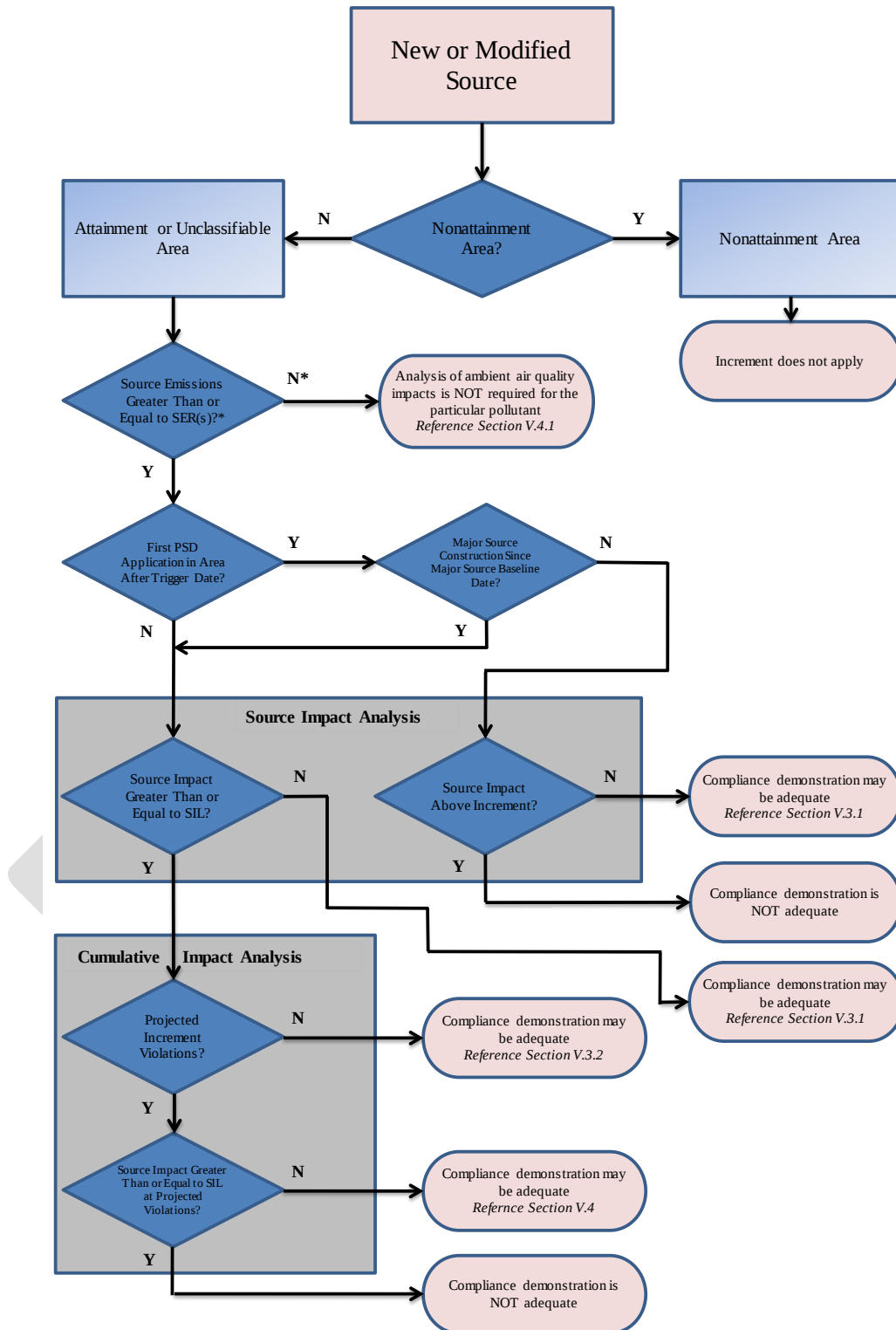
The EPA has historically supported the use of screening tools to help facilitate the implementation of the PSD program and streamline the permitting process in circumstances where proposed construction is projected to have an insignificant impact on air quality. These screening tools include significant emission rates (SERs) and significant impact levels (SILs). The use of these screening tools at each progressive step on the left side (attainment or unclassifiable areas) of Figure II-1 and Figure II-2 are described in more detail throughout Section II.

Figure II-1. Overview of O₃ and PM_{2.5} NAAQS Compliance Demonstration for New or Modifying Sources under NSR/PSD Programs



* Any emissions rate or any net emissions increase associated with a major stationary source or major modification, which would construct within 10 kilometers of a Class I area, and have an impact on such area equal to or greater than 1 µg/m³, (24-hour average) is considered significant and should proceed with an appropriate air quality assessment. See 40 CFR 52.21(b)(23)(iii).

Figure II-2. Overview of PM_{2.5} PSD Increments Compliance Demonstration for New or Modifying Sources under NSR/PSD Programs



* Any emissions rate or any net emissions increase associated with a major stationary source or major modification, which would construct within 10 kilometers of a Class I area, and have an impact on such area equal to or greater than 1 µg/m³, (24-hour average) is considered significant and should proceed with an appropriate air quality assessment. See 40 CFR 52.21(b)(23)(iii).

II.1 Significant Emissions Rates for O₃ and PM_{2.5}

O₃ and PM_{2.5} are “regulated NSR pollutant[s]” as that term is defined in the PSD regulations.² Pursuant to that definition, ambient concentrations of O₃ are generally addressed through the regulation of its two precursors, nitrogen oxides (NO_x) and volatile organic compounds (VOC), while ambient concentrations of PM_{2.5} are generally addressed through the regulation of direct PM_{2.5} and its precursors NO_x and sulfur dioxide (SO₂).³ “Significant,” with respect to O₃ and PM_{2.5}, is defined in EPA regulations at 40 CFR 52.21(b)(23) in reference to a source’s potential to emit (or in the case of a modification, the emissions increase⁴ and net emissions increase) either direct emissions of the pollutant or emissions of a precursor pollutant. The regulations state that an increase in emissions of either O₃ precursor (NO_x or VOC) is significant if the increase of the particular precursor equals or exceeds 40 tons per year (tpy). For direct emissions of PM_{2.5}, the significance level is 10 tpy; for PM_{2.5} precursor emissions, the significance level is 40 tpy for SO₂ and 40 tpy for NO_x.⁵

² 40 CFR 52.21(b)(50).

³ See 73 FR at 28333. The EPA’s PSD regulations do not presumptively require VOC to be treated as precursors to PM_{2.5} in the PSD program. However, a state or the EPA may demonstrate that VOC emissions in a specific area are a significant contributor to that area’s ambient PM_{2.5} concentrations and, thus, should be treated as a regulated NSR pollutant subject to the PSD permitting requirements. 40 CFR 52.21(b)(50)(i)(b)(4).

⁴ While section 52.21(b)(23) explicitly defines “significant” for purposes of a net emissions increase or potential to emit, section 52.21(b)(40) defines “significant emissions increase” by reference to the definition of “significant” found in paragraph (b)(23).

⁵ A significance rate for VOC as a PM_{2.5} precursor is not defined in the PSD regulations. However, the EPA’s final rulemaking action promulgating regulations for implementing the PSD permitting requirements for PM_{2.5} and its precursors indicated that any state required to regulate VOC emissions as a PM_{2.5} precursor “would be required to adopt the 40-tpy significant emissions rate unless it demonstrates that a more stringent significant emissions rate (lower rate) is more appropriate.” 73 FR at 28333.

II.2 PSD Pollutant Applicability for O₃ and PM_{2.5}

The EPA's PSD regulations apply specific permitting requirements (*e.g.*, Best Available Control Technology (BACT) and air quality analysis) to regulated New Source Review (NSR) pollutants that would be emitted in a significant amount by a proposed new or modified major stationary source.⁶ For a new major stationary source, PSD permitting requirements apply to any regulated NSR pollutant for which the source would have the potential to emit a significant amount. For a modification at an existing major stationary source, PSD permitting requirements apply to any regulated NSR pollutant for which the modification would result in a significant emissions increase *and* a significant net emissions increase (*i.e.*, a "major modification") of that pollutant.

The provisions at 40 CFR 52.21(m)(1) and (k)(1) comprise the preconstruction air quality analysis requirements of the PSD program and apply to each regulated NSR pollutant that the source or modification would emit in a significant amount. Paragraph (m)(1) provides that any PSD permit application shall contain an analysis of ambient air quality for each such pollutant, and paragraph (k)(1) provides that the owner or operator "shall demonstrate that allowable emission increases from the proposed source or modification . . . would not cause or contribute to air pollution in violation of [any NAAQS or PSD increment]."⁷ EPA interprets the term "allowable emission increases" as it is used in paragraph (k)(1) to mean those emission increases authorized by the PSD permit, so that, consistent with paragraph (m)(1), the requirement applies to regulated NSR pollutants that would be emitted in a significant amount.

⁶ See 40 CFR 52.21(a)(2) for applicability procedures for new or modified major stationary sources.

⁷ In accordance with CAA § 165(e)(2), one purpose of the monitoring requirements contained in 40 CFR 52.21(m) is to provide information relevant to the determination of whether emissions from a proposed source or modification will exceed a NAAQS or PSD increment. Therefore, EPA reads paragraphs (m) and (k) of 40 CFR 52.21 together.

With respect to the unique nature of the criteria pollutants O₃ and PM_{2.5} emissions of individual O₃ and PM_{2.5} precursors (*i.e.*, NO_x, VOC, SO₂, and direct PM_{2.5} are not summed when determining a significant emissions increase for either criteria pollutant.⁸ Only precursors of O₃ or PM_{2.5} that would by themselves be emitted by the source in a significant amount are included in the air quality analysis.

II.3 Significant Impact Levels for O₃ and PM_{2.5}

The EPA has issued guidance recommending that permitting authorities consider the use of appropriate pollutant-specific concentration levels known as “significant impact levels” (earlier referred to as SILs) as a compliance demonstration tool for O₃ and PM_{2.5} air quality assessments on case-by-case basis in PSD permitting actions (U.S. EPA 2018a). The “SILs Guidance” identified recommended SIL values for the O₃ and PM_{2.5} NAAQS and the PM_{2.5} PSD increments and included a policy document, as well as supporting technical and legal analyses, that EPA and other permitting authorities may use in case-by-case PSD permitting actions. As explained in the guidance, if a permitting authority chooses to use a recommended SIL value to support a PSD permitting decision, it should justify the values and their use in the administrative record for the permitting action and may choose to adopt EPA’s SILs Guidance, including the supporting technical and legal documents, in doing so.

The EPA’s recommended SIL values from the SILs Guidance for the O₃ and PM_{2.5} NAAQS are presented in Table II-1 and for the PM_{2.5} PSD increments in Table II-2. It is important to note that the PM_{2.5} NAAQS has two averaging periods: 24-hour and annual. There

⁸ See 57 FR 55620, 55624 (Nov. 25, 1992); 80 FR 65292, 65441 (Oct. 26, 2015); see also 73 FR 28321, 28331 (May 16, 2008).

are no PSD increments established for O₃ and, thus, no O₃ increments SIL values. For a full discussion of the basis and purpose of the recommended O₃ and PM_{2.5} SIL values, see the SILs Guidance and supporting documents (U.S. EPA 2018a).

Table II-1. EPA Recommended SIL Values for O₃ and PM_{2.5} NAAQS

Criteria Pollutant (NAAQS Level)	NAAQS SIL Concentration
Ozone 8-hour (70 ppb)	1.0 ppb
PM _{2.5} 24-hour (35 µg/m ³)	1.2 µg/m ³
PM _{2.5} Annual (12 µg/m ³ or 15 µg/m ³)	0.2 µg/m ³

Table II-2. EPA Recommended SIL Values for PM_{2.5} PSD Increments

Criteria Pollutant	PSD Increment SIL Concentration		
	Class I	Class II	Class III
PM _{2.5} 24-hour	0.27 µg/m ³	1.2 µg/m ³	1.2 µg/m ³
PM _{2.5} Annual	0.05 µg/m ³	0.2 µg/m ³	0.2 µg/m ³

As explained in the SILs Guidance, SILs are designed to have a role throughout the PSD air quality compliance demonstration. A permitting authority that chooses to use SILs would initially compare the modeled concentrations resulting from the proposed source's emissions increase to the appropriate SIL. This initial comparison is the "Source Impact Analysis." Where the proposed source's projected impacts on air quality concentrations are found at this first stage to be greater than or equal to the level of the applicable SIL, the analysis should then proceed to a second stage, which involves a cumulative assessment of the air quality in the affected area. The "Cumulative Impact Analysis" considers the combined impact of the proposed source or modification and other relevant sources in determining whether there would be a violation of any NAAQS or PSD increment in the affected area and, if so, whether the proposed source or modification would cause or contribute to such violation based on the applicable SIL.

II.4 Source Impact Analysis

As described in section 9.2.3 of the 2017 *Guideline*, the EPA's recommended procedure for conducting a PSD air quality assessment is a multi-stage approach. The first step is a source impact analysis that quantifies the air quality concentration increase expected to result from a new or modifying source's significant emissions increase as proposed in the PSD permit application.⁹ The source impact analysis is used to assess the potential of a proposed new or modifying source to cause or contribute to a NAAQS or PSD increment violation.

In a source impact analysis, as illustrated in Figure II-1 and Figure II-2 and further explained in this guidance, a permitting authority compares the modeled concentrations resulting from the proposed source's emissions increase to an appropriate O₃ or PM_{2.5} SIL. If the proposed source's maximum modeled impacts are found to be below the level of the O₃ or PM_{2.5} SIL at every modeled receptor, the findings of the source impact analysis may be sufficient to demonstrate that the source will not cause or contribute to a violation of the O₃ NAAQS, PM_{2.5} NAAQS, or the PM_{2.5} PSD increment, as necessary to receive a PSD permit. On the other hand, where the proposed source's projected impacts on air quality concentrations are estimated to be greater than or equal to the level of an appropriate O₃ or PM_{2.5} SIL at any modeled receptor, the demonstration should proceed to the next step of conducting a cumulative impact analysis.

⁹ This is consistent with EPA's overall approach for the use of screening techniques in air quality modeling. See 40 CFR part 51, Appendix W, sections 2.2 ("Levels of Sophistication of Air Quality Analyses and Models") and 4.2.1 ("Screening Models and Techniques"). In section 2.2.a, the *Guideline* observes that "[it] is desirable to begin an air quality analysis by using simplified and conservative methods followed, as appropriate, by more complex and refined methods. The purpose of this approach is to streamline the process and sufficiently address regulatory requirements by eliminating the need of more detailed modeling when it is not necessary in a specific regulatory application. For example, in the context of a PSD permit application, a simplified and conservative analysis may be sufficient where it shows the proposed construction clearly will not cause or contribute to ambient concentrations in excess of either the NAAQS or the PSD increments."

II.5 Cumulative Impact Analysis

This section provides an overview of cumulative impact analyses for O₃ and PM_{2.5} NAAQS, as well as, PSD increments compliance. The cumulative impact analysis is illustrated in Figure II-1 and Figure II-2 and further explained in this guidance.

II.5.1 O₃ and PM_{2.5} NAAQS Compliance

For either O₃ or PM_{2.5}, where the source impact analysis described in Section II.4 is insufficient to show that a proposed PSD source will not cause or contribute to a violation of the respective NAAQS, a cumulative impact analysis is then necessary to make the required NAAQS demonstration, as described in section 9.2.3 of the 2017 *Guideline*. A cumulative impact analysis should account for the combined impacts of the following:

1. Direct and/or precursor emissions that the new or modifying source would emit in significant amounts;¹⁰
2. Direct emissions from nearby sources (for primary PM_{2.5} only), as appropriate; and
3. Monitored background levels that account for secondary impacts from regional background sources, secondary impacts from precursor emissions from nearby sources, and, in the case of primary PM_{2.5}, PM_{2.5} impacts from direct emissions from background sources, nearby sources not explicitly modeled.¹¹

¹⁰ For a new major stationary source, this includes any direct/precursor pollutant with the potential to emit greater than or equal to the SER and for a modification to an existing major stationary source any direct/precursor pollutant for which the modification results in a significant emissions increase and a significant net emissions increase.

¹¹ The emissions impact of any nearby source that has received a permit but is not yet operational should be included in the air quality assessment. In such cases, consultation with the appropriate permitting authority on the appropriate assessment approach is recommended.

Once all of these appropriate direct and/or precursor emissions impacts are taken into account, the estimated cumulative impact is then compared to the NAAQS to determine if there is a modeled violation. If not, then the NAAQS compliance demonstration is sufficient. If there are projected NAAQS violations, then the impacts of the emissions increase from the new or modifying source at those locations are compared to the appropriate SIL to determine whether that increase will cause or contribute to a violation of the NAAQS. Several aspects of the cumulative impact analysis for O₃ and PM_{2.5} will be comparable to analyses conducted for other criteria pollutants, while other aspects will differ due to the issues identified earlier.

II.5.2 PM_{2.5} PSD Increments Compliance

For PM_{2.5}, where the source impact analysis described in Section II.4 is insufficient to show that a source will not cause or contribute to a violation of any PM_{2.5} PSD increment, a cumulative impact analysis is necessary to make the PSD increment demonstration, as described in section 9.2.3 of the 2017 *Guideline*. A cumulative impact analysis for an increment differs from the NAAQS cumulative impact analysis in that the increment assessment only accounts for the combined impact of the new or modifying source's emissions increase and certain previous emissions changes from sources (including the modifying source) that affect the PSD increment under the EPA's PSD regulations. A more complete description of the types of emissions that affect increment consumption and other aspects of the PSD increment system is contained in Section V.1 of this guidance document. The cumulative impacts are then compared to the appropriate PM_{2.5} PSD increments to determine whether the new or modifying source emissions will cause or contribute to a violation of any PM_{2.5} PSD increment.

For PM_{2.5} PSD increments, since the requirement for calculating the amount of increment consumed was established relatively recently in comparison to the increments for other pollutants, a new or modified source being evaluated for PM_{2.5} PSD increments compliance may still find that it is the first source, or one of only a few sources, with increment-consuming emissions in a particular attainment or unclassifiable area. As shown in Figure II-2, for such situations, a permitting authority may have sufficient reason (based on the approach for conducting source impact analysis described below) to conclude that the impacts of the new or modified source may be compared directly to the allowable increments, without the need for a cumulative modeling analysis. This would be the case where it can be shown that any other increment-consuming sources in the same baseline area, if any, do not have much or any overlapping impact with the proposed new or modified source.¹²

Another important consideration for PM_{2.5} PSD increments is the differences in the EPA recommended SIL values for Class I and Class II / III areas, as presented in Table II-2. Given substantially smaller recommended SIL values for Class I areas, there is a greater likelihood that a proposed new or modifying source would cause or contribute to a PSD increment violation in a Class I area, even at distances beyond the nominal 50 km near-field application distance. Section 4.2 of the 2017 *Guideline* provides screening and compliance assessment approaches for near-field (50 km or less) and long-range transport (beyond 50 km) situations. The MERPs Guidance (*i.e.*, Tier 1 Assessment Approach) and the Single-source Modeling Guidance (*i.e.*, Tier 2 Assessment Approach) should be referenced for assessing secondary PM_{2.5} impacts. There is also distance-weighted empirical relationship information (*i.e.*, precursor contributions to

¹² The term “increment-consuming source,” as used in this guidance, is intended to refer to any type of source whose emissions changes (increases or decreases) affects the amount of increment consumed or expanded.

secondary impacts by distance from source) provided within the MERPs Guidance that may be particularly useful for assessing secondary PM_{2.5} impacts in long-range transport situations.

Consultation with the appropriate permitting authority and the appropriate EPA Regional Office is highly recommended for any permit applicants demonstrating long-range Class I area increment compliance per the requirements of section 4.2.c.ii of the 2017 *Guideline*.

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III. PSD Compliance Demonstrations for the O₃ and PM_{2.5} NAAQS: Source Impact Analysis

This section provides details regarding the EPA's recommended approaches for conducting the source impact analysis as part of a PSD compliance demonstration for the O₃ and/or PM_{2.5} NAAQS.

III.1 O₃ NAAQS

This section provides details regarding the EPA's recommended approaches for conducting the source impact analysis for the O₃ NAAQS associated with each of the two assessment cases presented in Table III-1. In each of the assessment cases, the analysis should begin by evaluating the impacts of each O₃ precursor (VOC and/or NO_x) that would be emitted in a significant amount, *i.e.*, equal to or greater than the respective SER (40 tpy).

Table III-1. EPA Recommended Approaches for Assessing O₃ Impacts by Assessment Case

Assessment Case	Description of Assessment Case	Secondary Impacts Approach*
Case 1: No Air Quality Analysis	NO _x emissions and VOC emissions < 40 tpy SER	N/A
Case 2*: Secondary Air Quality Impacts	NO _x emissions and/or VOC emissions ≥ 40 tpy SER	Include each precursor of O₃ emitted in a significant amount, see Section II.2. • Tier 1 Approach (e.g., MERPs) • Tier 2 Approach (e.g., Chemical Transport Modeling)
* In unique situations (e.g., in parts of Alaska where photochemistry is not possible for portions of the year), it may be acceptable for the applicant to rely upon a qualitative approach to assess the secondary impacts. Any qualitative assessments should be justified on a case-by-case basis in consultation with the appropriate permitting authority and the appropriate EPA Regional Office.		

For Case 1, a modeled O₃ NAAQS compliance demonstration is not required since neither O₃ precursor (NO_x or VOC) is proposed to be emitted in an amount equal to or greater than the applicable SER. For Case 2, where NO_x and/or VOC precursor emissions are greater than the applicable SER, the permit applicant would need to conduct a compliance demonstration for secondary O₃ impacts for the precursor(s) with emissions equal to or greater than the SER based on the two-tiered demonstration approach in EPA's 2017 *Guideline*.

III.2 PM_{2.5} NAAQS

This section provides details regarding the EPA's recommended approaches for conducting the source impact analysis for the PM_{2.5} NAAQS associated with each of the four assessment cases presented in Table III-2. In each of the assessment cases, the analysis should begin by evaluating the primary PM_{2.5} impacts of direct emissions that would be emitted in a significant amount, *i.e.*, equal to or greater than the SER (10 tpy), and each precursor NO_x and/or SO₂ that would be emitted in a significant amount, *i.e.*, equal to or greater than the respective SER (40 tpy).

Table III-2. EPA Recommended Approaches for Assessing Primary and Secondary PM_{2.5} Impacts by Assessment Case

Assessment Case	Description of Assessment Case	Primary Impacts Approach	Secondary Impacts Approach*
Case 1: No Air Quality Analysis	Direct PM _{2.5} emissions < 10 tpy SER NO _x emissions and SO ₂ emissions < 40 tpy SER	N/A	N/A
Case 2: Primary Air Quality Impacts Only	Direct PM _{2.5} emissions ≥ 10 tpy SER NO _x emissions and SO ₂ emissions < 40 tpy SER	Appendix W preferred or approved alternative dispersion model	N/A
Case 3*: Primary and Secondary Air Quality Impacts	Direct PM _{2.5} emissions ≥ 10 tpy SER NO _x emissions and/or SO ₂ emissions ≥ 40 tpy SER	Appendix W preferred or approved alternative dispersion model	Include each precursor of PM _{2.5} emitted in a significant amount, see Section II.2. • Tier 1 Approach (e.g., MERPs) • Tier 2 Approach (e.g., Chemical Transport Modeling)
Case 4*: Secondary Air Quality Impacts Only	Direct PM _{2.5} emissions < 10 tpy SER NO _x emissions and/or SO ₂ emissions ≥ 40 tpy SER	N/A	Include each precursor of PM _{2.5} emitted in a significant amount, see Section II.2. • Tier 1 Approach (e.g., MERPs) • Tier 2 Approach (e.g., Chemical Transport Modeling)
* In unique situations (e.g., in parts of Alaska where photochemistry is not possible for portions of the year), it may be acceptable for the applicant to rely upon a qualitative approach to assess the secondary impacts. Any qualitative assessments should be justified on a case-by-case basis in consultation with the appropriate EPA Regional Office or other applicable permitting authority.			

A PM_{2.5} NAAQS compliance demonstration is not required for Case 1 since neither direct PM_{2.5} emissions nor any PM_{2.5} precursor (NO_x or SO₂) emissions is proposed to be emitted in a significant amount. Case 1 is the only assessment case that does not require a NAAQS compliance demonstration. Each of the remaining three assessment cases would include

conducting a source impact analysis.

Case 2, where only direct PM_{2.5} emissions are greater than or equal to the applicable SER: In this case, the permit applicant may be able to demonstrate that primary PM_{2.5} impacts from the proposed increase in direct PM_{2.5} emissions are below an appropriate SIL based on dispersion modeling using AERMOD or another appropriate preferred model listed in Appendix A of the 2017 *Guideline*, or an alternative model subject to the provisions of section 3.2 of the 2017 *Guideline*.

Case 3, where direct PM_{2.5} emissions and NO_x and/or SO₂ precursor emissions are greater than or equal to the applicable SER: In this case, consistent with Case 2, the primary PM_{2.5} impacts from direct PM_{2.5} emissions can be estimated based on application of AERMOD or an approved alternative model. However, AERMOD does not account for secondary formation of PM_{2.5} associated with the source's precursor emissions. Since the source also proposes to emit quantities of one or both PM_{2.5} precursors in significant amounts, an assessment of their potential impact on secondary PM_{2.5} is necessary. The assessment of NO_x and/or SO₂ precursor emission impacts on secondary PM_{2.5} formation should be conducted based on the two-tiered demonstration approach in EPA's 2017 *Guideline*.

Case 4, where only NO_x and/or SO₂ precursor emissions are greater than or equal to the applicable SER: In this case, since direct PM_{2.5} emissions are insignificant, *i.e.*, below the applicable SER, the analysis would only address the secondary PM_{2.5} impacts from NO_x and/or SO₂ precursor emissions. Similar to Case 3, the assessment of the precursor emission impacts on secondary PM_{2.5} formation for Case 4 would be conducted based on the two-tiered demonstration approach in EPA's 2017 *Guideline*.

III.3 Assessing Primary PM_{2.5} Impacts

The assessment of primary PM_{2.5} impacts from the proposed new or modifying source is generally the same for the PM_{2.5} NAAQS and PSD increments. Section 4.2.3.5 of the 2017 *Guideline* identifies the AERMOD modeling system as the preferred model for addressing direct PM_{2.5} emissions unless another preferred model listed in the *Guideline* is more appropriate, such as the Offshore and Coastal Dispersion Model (OCD), or the use of an alternative model is justified consistent with section 3.2 of the 2017 *Guideline*.

The AERMOD modeling system includes the following regulatory components:

- AERMOD: the dispersion model (U.S. EPA, 2019b);
- AERMAP: the terrain processor for AERMOD (U.S. EPA, 2018b); and
- AERMET: the meteorological data processor for AERMOD (U.S. EPA, 2019c).

Other components that may be used, depending on the application, are:

- BPIPPRIME: the building input processor (U.S. EPA, 2004);
- AERSURFACE: the surface characteristics processor for AERMET (U.S. EPA, 2008);
- AERSCREEN: a screening version of AERMOD (U.S. EPA, 2016b; U.S. EPA, 2011a);
and
- AERMINUTE: a pre-processor to calculate hourly average winds from ASOS 2-minute observations (U.S. EPA, 2015).

Before applying AERMOD, the applicant should become familiar with the user's guides associated with the modeling components listed above and the most recent version of the AERMOD Implementation Guide (U.S. EPA, 2019d). In addition to these documents, detailed guidance on the use of the AERMOD modeling system for estimating primary PM_{2.5} impacts is

provided in Appendix B. Because AERMOD is limited to modeling direct PM_{2.5} emissions, additional or alternative approaches are used to provide an assessment of secondary PM_{2.5} impacts from the proposed new or modifying source, as discussed in more detail in the following sections.

III.4 Assessing O₃ and Secondary PM_{2.5} Impacts

This section provides more detail on the EPA's recommended approaches for assessing the impacts of precursor emissions on O₃ and/or secondary PM_{2.5} formation.

III.4.1 Conceptual Model

Each NAAQS compliance demonstration is unique and may require multiple factors to be considered and assumptions to be thoroughly justified as a part of the technical assessment. A well-developed modeling protocol that includes a detailed conceptual description of the current air pollutant concentrations in the area (see Appendix A for examples of elements of a conceptual description) and of the nature of the emissions sources within proximity of the new or modifying emissions source is essential for determining the necessary components of an acceptable assessment of the impact from O₃ and/or secondary PM_{2.5} formation.¹³ With timely

¹³ For more detailed information on the development of such conceptual descriptions for an area, please refer to the following:

Chapter 10 of "Particulate Matter Assessment for Policy Makers: A NARSTO Assessment." P. McMurry, M. Shepherd, and J. Vickery, eds. Cambridge University Press, Cambridge, England (NARSTO, 2004).

Section 11, "How Do I Get Started? 'A Conceptual Description'" of "Guidance on the Use of Models and Other Analyses for Demonstrating Attainment of Air Quality Goals for Ozone, PM_{2.5}, and Regional Haze." U.S. Environmental Protection Agency, Research Triangle Park, North Carolina (U.S. EPA, 2007a).

In addition, relevant regional examples include: "Conceptual Model of PM_{2.5} Episodes in the Midwest," January 2009, Lake Michigan Air Directors Consortium; and "Conceptual Model of Particulate Matter Pollution in the California San Joaquin Valley," Document Number CP045-1-98, September 8, 1998.

and appropriate consultation between the applicant and the appropriate permitting authority, along with the submittal and subsequent approval, if required, of the modeling protocol by the appropriate permitting authority, many potential problems and unintended oversights in the technical assessment can be resolved early in the process or avoided all together.

In the development of an appropriate conceptual description to support an assessment, it is important to fully characterize the current O_3 and/or $PM_{2.5}$ concentrations in the region where the new or modifying source is to be located and not just the most current design values, which historically has been used as background concentrations in a cumulative modeling demonstration. For O_3 , this characterization should take into consideration episodic high O_3 concentrations and any trends in the area. For $PM_{2.5}$, this characterization should take into consideration the seasonality and speciated composition of the current $PM_{2.5}$ concentrations and any long-term trends that may be occurring. It may also be important to describe the typical background concentrations of certain chemical species that participate in the photochemical reactions that form O_3 and secondary $PM_{2.5}$. It is possible that there are mitigating factors for secondary $PM_{2.5}$ formation given limitations of other chemical species important in the photochemical reactions, *e.g.*, minimal NH_3 in the ambient environment that could limit any precursor pollutant from readily reacting to form secondary $PM_{2.5}$. This understanding of the atmospheric environment will provide important insights on the potential for secondary formation and highlight aspects that will need to be accounted for in the source impact and/or cumulative impact assessment.

A good conceptual description will also characterize the meteorological conditions that are representative of the region and are associated with periods and/or seasons of higher and lower ambient O_3 and/or 24-hour $PM_{2.5}$ concentrations. For example, identification of

meteorological phenomena that typically occur during periods of high daily 8-hour O₃ or 24-hour PM_{2.5} concentrations, such as low-level temperature inversions, stagnant high pressure systems, low-level jets, etc., can be extremely important in understanding the importance, or lack thereof, of photochemistry and secondary PM_{2.5} formation for the higher ambient O₃ and PM_{2.5} concentrations. The analysis and understanding of meteorological conditions will also inform the assessment of high O₃ episodes and seasonal 24-hour PM_{2.5} concentrations in the region.

III.4.2 Tier 1 Assessment Approach

As discussed in the section 5.2 of the 2017 *Guideline*, the EPA has determined that advances in chemical transport modeling science make it reasonable to provide more specific, generally-applicable guidance that identifies particular models or analytical techniques that may be appropriate for use under specific circumstances for assessing the impacts of an individual proposed source on O₃ and secondary PM_{2.5} concentrations. There is not a preferred model or technique for estimating O₃ or secondary PM_{2.5} for specific source impacts. Instead, for assessing secondary pollutant impacts from individual proposed sources, the degree of complexity required to appropriately assess potential single-source impacts varies depending on the nature of the source, its proposed emissions, and the background environment. In order to provide the user community flexibility in estimating single-source secondary pollutant impacts, which allows for different approaches to credibly address these different areas, the 2017 *Guideline* recommends a two-tiered demonstration approach for addressing single-source impacts on ambient concentrations of O₃ and secondary PM_{2.5}.

To inform a Tier 1 assessment,¹⁴ the existing air quality model-based information that is used should be appropriate in terms of representing the type of source, its precursor emissions, and its geographic location, in addition to those elements of the conceptual description discussed above. The air quality modeling information may be available from past or current SIP attainment demonstration modeling, published modeling studies, or peer-reviewed literature with estimates of model responsiveness to precursor emissions in contexts that are relevant to the new or modifying source. The estimates of model responsiveness, such as impact on O₃ concentrations per ton of NO_x or impact on PM_{2.5} concentrations per ton of SO₂ emissions, could then be used in conjunction with the precursor emissions estimates for the proposed new or modifying source to provide a quantitative estimate of the impact of such precursor emissions on the formation of O₃ and/or secondary PM_{2.5} concentrations. The estimates of responsiveness should be technically credible in representing such impacts and it may be advisable for the estimate to reflect an upper bound of potential impacts.

To assist in the development of appropriate Tier 1 demonstration tools, the EPA developed the MERPs Guidance to provide a framework for permitting authorities to develop area-specific MERPs. The MERPs Guidance illustrates how permitting authorities may appropriately develop MERPs for specific areas and use them as a Tier 1 compliance demonstration tool for O₃ and secondary PM_{2.5} under the PSD permitting program. The MERPs guidance also addresses the appropriate use of MERPs to reflect the combined ambient impacts

¹⁴ A Tier 1 assessment involves the use of technically credible relationships between precursor emissions and a source's secondary impacts, *e.g.*, as demonstrated in modeling for a source impact analysis, that may be published in the peer-reviewed literature, developed from modeling that was previously conducted for an area by a source, a governmental agency, or some other entity and that is deemed sufficient for evaluating a proposed source's impacts, or generated by a peer-reviewed reduced form model. In such cases, the EPA expects that existing air quality model-based information regarding the potential for NO_x and VOC precursor emissions to form O₃ and for SO₂ and NO_x precursor emissions to form secondary PM_{2.5} concentrations may be used to establish an appropriate estimate of O₃ and/or secondary PM_{2.5} impacts from the proposed new or modifying source.

across O₃ or PM_{2.5} precursors and, in the case of PM_{2.5}, the combined primary and secondary ambient impacts. Such an approach includes flexibility with respect to the use of Tier 1 demonstration tools to generate information relevant for specific regions or areas and representative of secondary formation in a particular region or area.

Specifically, the MERPs Guidance provides information about how to use CTMs to estimate single-source impacts on O₃ and secondary PM_{2.5} and how such model simulation results for specific areas can be used to develop empirical relationships between a source's O₃ and PM_{2.5} precursor emissions and its secondary impacts that may be appropriate for use as a Tier 1 demonstration tool. It also provides results from EPA photochemical modeling of a set of more than 100 hypothetical sources across geographic areas and source types that may be used in developing MERPs as discussed in the guidance. This flexible and scientifically credible approach allows for the development of area-specific Tier 1 demonstration tools that better represent the chemical and physical characteristics and secondary pollutant formation within that region or area.

As discussed in the MERPs Guidance, the EPA's Single-source Modeling Guidance provides information to stakeholders about how to appropriately address the variety of chemical and physical characteristics regarding a project scenario and key receptor areas in conducting photochemical modeling to inform development of MERPs. The development of MERPs for O₃ and secondary PM_{2.5} precursors is just one example of a suitable Tier 1 demonstration tool. The EPA will continue to engage with the modeling community to identify credible alternative approaches for estimating single-source secondary pollutant impacts, which provide flexibility and are less resource intensive for PSD permit demonstrations.

As an example, a Tier 1 assessment of secondary O₃ and PM_{2.5} impacts was developed by

a permit applicant, the Tennessee Valley Authority (TVA), for a major modification at their Gleason facility in Tennessee in 2018. The TVA and the Tennessee Department of Environment and Conservation (TDEC) worked closely with EPA Region 4 to ensure that the ambient impacts analysis was technically sound and consistent with applicable PSD regulations and EPA guidance. The PSD air quality modeling analysis was submitted to TDEC in late 2018 using an approach that was consistent with the EPA's MERPs Guidance to relate facility emissions to potential downwind impacts of secondary O₃ and PM_{2.5}. A more detailed discussion of the TVA's technical assessment is provided in Appendix C.

The National Association of Clean Air Agencies (NACAA) Workgroup final report (NACAA, 2011) provides details on potential approaches to quantify the secondary PM_{2.5} impacts from a proposed new or modifying source that may be appropriate to inform a Tier 1 assessment of PM_{2.5} impacts (see Appendix C and D of NACAA, 2011). One suggested method in the final report is to convert emissions of precursors into equivalent amounts of direct PM_{2.5} emissions using "pollutant offset ratios" and then use a dispersion model to assess the impacts of the combination of direct PM_{2.5} emissions and the equivalent direct PM_{2.5} emissions. The "pollutant offset ratios" referenced in that final report were those put forth by the EPA in the 2008 "Implementation of the New Source Review (NSR) Program for Particulate Matter Less Than 2.5 Micrometers (PM_{2.5})" final rule (73 Fed. Reg. 28321) concerning the development and adoption of interpollutant trading (offset) provisions for PM_{2.5} under state nonattainment area NSR programs for PM_{2.5}.¹⁵ The EPA's July 23, 2007, technical analysis titled "Details on

¹⁵ In the preamble to the 2008 final rule (73 FR 28321), the EPA included preferred or presumptive offset ratios, applicable to specific PM_{2.5} precursors that state/local air agencies may adopt in conjunction with the new interpollutant offset provisions for PM_{2.5}, and for which the state could rely on the EPA's technical work to demonstrate the adequacy of the ratios for use in any PM_{2.5} nonattainment area. In a July 21, 2011 memorandum, EPA changed its policy and stated that it no longer supported the ratios provided in the preamble to the 2008 final

Technical Assessment to Develop Interpollutant Trading Ratios for PM_{2.5} Offsets,” describes the method used to establish the original "preferred" precursor offset ratios (U.S. EPA, 2007b).

We do not support using the specific results from the EPA's 2007 technical assessment in this context without additional technical demonstration specific to the source(s) and area(s) for which the ratios would be applied. As described in the EPA's July 21, 2011 memorandum addressing reconsideration of the “preferred” interpollutant offset trading ratios included in the preamble to the 2008 final rule, the EPA acknowledged that existing models and techniques are adequate to “conduct local demonstrations leading to the development of area-specific ratios for PM_{2.5} nonattainment areas” and provided a general framework for efforts that may be relevant in developing appropriate “pollutant offset ratios” for use in hybrid qualitative/quantitative assessment of secondary PM_{2.5} impacts (U.S. EPA, 2011b). In the context of PSD compliance demonstrations, a similar general framework is embodied in the MERPs Guidance in which the EPA addresses how to conduct modeling to inform the development of a MERP for a particular area.

The EPA also notes that the NACAA Workgroup “considered, but rejected, other methods for assessing secondary PM_{2.5} impacts, including use of a simple emissions divided by distance (Q/D) metric and use of AERMOD with 100 percent conversion of SO₂ and NO_x concentrations to (NH₄)₂SO₄ and (NH₄)NO₃.” The EPA has reviewed the detailed discussion provided in Appendix E of the NACAA Workgroup final report and agrees with these conclusions.

rule as presumptively approvable ratios for adoption in SIPs containing nonattainment NSR programs for PM_{2.5}. Memorandum from Gina McCarthy, Assistant Administrator, to Regional Air Division Directors, “Revised Policy to Address Reconsideration of Interpollutant Trading Provisions for Fine Particles (PM_{2.5})” (U.S. EPA, 2011b).

III.4.3 Tier 2 Assessment Approach

As discussed in the 2017 *Guideline*, a Tier 2 assessment involves application of more sophisticated, case-specific CTMs in consultation with the appropriate permitting authority and conducted consistent with the recommendations in the most current version of the Single-source Modeling Guidance. Where it is necessary to estimate O₃ and/or secondary PM_{2.5} impacts with case-specific air quality modeling, a candidate model should be selected for estimating single-source impacts on O₃ and/or secondarily formed PM_{2.5} that meets the general criteria for an “alternative model” where there is no preferred model as outlined in section 3.2.2.e of the 2017 *Guideline*. The general criteria include:

- i. The model has received a scientific peer review;
- ii. The model can be demonstrated to be applicable to the problem on a theoretical basis;
- iii. The databases that are necessary to perform the analysis are available and adequate;
- iv. Appropriate performance evaluations of the model have shown that the model is not biased toward underestimates; and
- iv. A protocol on methods and procedures to be followed has been established.

Section 3.2.2 further provides that the appropriate EPA Regional Office, in consultation with the EPA Model Clearinghouse, is authorized to approve a particular model and approach as an alternative model application.

Both Lagrangian puff models and photochemical grid models may be appropriate for this purpose where those models satisfy alternative model criteria in section 3.2.2 of the 2017 *Guideline*. That said, the EPA believes photochemical grid models are generally most

appropriate for addressing O₃ and secondary PM_{2.5} impacts because they provide a spatially and temporally dynamic realistic chemical and physical environment for plume growth and chemical transformation. Publicly available and documented Eulerian photochemical grid models such as the Comprehensive Air Quality Model with Extensions (CAMx) (Ramboll Environ, 2018) and the Community Multiscale Air Quality (CMAQ) (Byun and Schere, 2006) model treat emissions, chemical transformation, transport, and deposition using time and space variant meteorology. These modeling systems include primarily emitted species and secondarily formed pollutants such as O₃ and PM_{2.5} (Chen et al., 2014; Civerolo et al., 2010; Russell, 2008; Tesche et al., 2006). In addition, these models have been used extensively to support O₃ and PM_{2.5} SIPs and to explore relationships between inputs and air quality impacts in the United States and elsewhere (Cai et al., 2011; Civerolo et al., 2010; Hogrefe et al., 2011).

On August 4, 2017, the EPA released a memorandum (U.S. EPA, 2017b) providing information specific to how the CAMx and the CMAQ model systems were relevant for each of these elements. This memorandum provides an alternative model demonstration for the CAMx and CMAQ photochemical transports models establishing their fit for purpose in PSD compliance demonstrations for O₃ and PM_{2.5} and in NAAQS attainment demonstrations for O₃, PM_{2.5} and Regional Haze. The memorandum also provides for their general applicability for use in PSD compliance demonstrations; however, it does not replace the need for such demonstrations to provide model protocols describing model application choices or the evaluation of model inputs and baseline predictions against measurements relevant for their specific use by permit applicants and state, local, and tribal air agencies.

For those situations where a refined Tier 2 demonstration is necessary, the EPA has also provided the Single-source Modeling Guidance that provides recommended, credible procedures

to estimate single-source secondary impacts from sources for permit related assessments.

Extensive peer-reviewed literature demonstrates/documents that photochemical grid models have been applied for single-source impacts and that the models adequately represent secondary pollutant impacts from a specific facility, in comparison to near-source downwind in-plume measurements. The literature shows that these models can clearly differentiate impacts of a specific facility from those of other sources (Baker and Kelly, 2014; Zhou et al., 2012). Other peer-reviewed research has clearly shown that photochemical grid models are able to simulate impacts from single sources on secondarily-formed pollutants (Baker et al., 2015; Bergin et al., 2008; Kelly et al., 2015). Further, single-source secondary impacts have been provided in technical reports that further support the utility of these tools for single-source scientific and regulatory assessments (ENVIRON 2012a; ENVIRON 2012b; Yarwood et al., 2011). The EPA firmly believes that the peer-reviewed science clearly demonstrates that photochemical grid models can adequately assess single-source impacts. The EPA recognizes that ongoing evaluations in this area will lead to continual improvements in science and associated predictive capabilities of these models.

For the purposes of conducting a Tier 2 assessment, the application of a CTM will involve case-specific factors that should be part of the consultation process with the appropriate permitting authority and reflected in the agreed-upon modeling protocol. Consistent with the Single-source Modeling Guidance and section 9.2.1 of the 2017 *Guideline*, EPA recommends that the modeling protocols for this purpose should include the following elements:

1. Overview of Modeling/Analysis Project

- Participating organizations
- Schedule for completion of the project
- Description of the conceptual model for the project source/receptor area
- Identify how modeling and other analyses will be archived and documented
- Identify specific deliverables to the appropriate permitting authority

2. Model and Modeling Inputs

- Rationale for the selection of air quality, meteorological, and emissions models
- Modeling domain
- Horizontal and vertical resolution
- Specification of initial and boundary conditions
- Episode selection and rationale for episode selection
- Rationale for and description of meteorological model setup
- Basis for and development of emissions inputs
- Methods used to quality assure emissions, meteorological, and other model inputs

3. Model Performance Evaluation

- Describe ambient database(s)
- Describe evaluation procedures and performance metrics

As stated previously, we expect that the EPA Regional Offices, with assistance from the OAQPS, may assist reviewing authorities, as necessary, to structure appropriate technical demonstrations leading to the development of appropriate chemical transport modeling applications for the purposes of estimating potential O₃ and/or secondary PM_{2.5} impacts.

III.5 Comparison to the SIL

This section provides recommendations for source impact analyses where a permit applicant compares the proposed source's ambient O₃ or PM_{2.5} impacts to an appropriate SIL as part of the required demonstration that a proposed source or modification will not cause or contribute to a violation of the O₃ or PM_{2.5} NAAQS. These recommendations are also generally applicable for demonstrations that a proposed source or modification will not cause or contribute to a violation of the PM_{2.5} PSD increments, see Section V.4. The EPA's recommended SIL values for O₃ and PM_{2.5} NAAQS and PM_{2.5} PSD increments are listed in Table II-1 and Table II-2. (U.S. EPA 2018a).

III.5.1 SIL Comparison for O₃

For Assessment Case 2, an analysis of secondary O₃ impacts would be conducted where the proposed source's precursor emissions of NO_x and/or VOC are equal to or greater than the respective SERs. The EPA recommends that the assessment of the precursor emission impacts on O₃ formation should be conducted based on the two-tiered demonstration approach as provided for specific to O₃ in section 5.3 of the 2017 *Guideline*. Under the Tier 1 approach, for source impact analyses, the highest of the multi-season (or episode) averages of the maximum modeled daily 8-hour O₃ concentrations predicted each season (or episode) should be compared to the appropriate O₃ SIL, since this metric represents the maximum potential daily 8-hour O₃ impact from the proposed source or modification. Under the Tier 2 approach, where a CTM is directly applied to estimate the source impacts, the comparison should be done at each receptor, *i.e.*, each modeled grid cell. If the source impact is less than the SIL, then the analysis is generally sufficient to support a finding that the source will not cause or contribute to a NAAQS violation.

However, if the source impact is equal to or greater than the SIL, then the analysis is insufficient to show that a source will not cause or contribute to a violation of the NAAQS and a cumulative impact assessment would be necessary.

III.5.2 SIL Comparison for PM_{2.5}

For Assessment Case 2, an analysis of primary PM_{2.5} impacts would be conducted where the proposed source's direct PM_{2.5} emissions are equal to or greater than the applicable SER (10 tpy). In such situations, the modeled estimates of ambient primary PM_{2.5} concentrations due to direct emissions using the EPA preferred AERMOD dispersion model (or other acceptable preferred or approved alternative model) should be compared to an appropriate PM_{2.5} SIL in the source impact analysis. The dispersion modeling methods here are similar to the methods used for other primary pollutants, including the use of maximum allowable emissions, following Table 8-2 of the 2017 *Guideline*. However, due to the form of the PM_{2.5} NAAQS, we recommend that one of the following be compared to the SIL, depending on the meteorological data used in the analysis:

- The highest of the 5-year averages of the maximum modeled annual 24-hour PM_{2.5} concentrations (for the 24-hour PM_{2.5} NAAQS) or highest of the 5-year averages of the annual average PM_{2.5} concentrations (for the annual PM_{2.5} NAAQS) predicted each year at each receptor, based on 5 years of representative National Weather Service (NWS) data;
- The highest modeled 24-hour PM_{2.5} concentration (for the 24-hour PM_{2.5} NAAQS) or the highest modeled average PM_{2.5} concentration (for the annual PM_{2.5} NAAQS) predicted at each receptor based on 1 year of site-specific meteorological data; or the

- highest of the multi-year averages of the maximum modeled annual 24-hour $PM_{2.5}$ concentration (for the 24-hour $PM_{2.5}$ NAAQS) or the highest of the multi-year averages of the maximum modeled annual average $PM_{2.5}$ concentrations (for the annual $PM_{2.5}$ NAAQS) predicted each year at each receptor, based on 2 or more years, up to 5 complete years, of available site-specific meteorological data; or
- The highest of the 3-year averages of the maximum modeled annual 24-hour $PM_{2.5}$ concentrations (for the 24-hour $PM_{2.5}$ NAAQS) or highest of the 3-year averages of the annual average $PM_{2.5}$ concentrations (for the annual $PM_{2.5}$ NAAQS) predicted each year at each receptor, based on 3 years of prognostic meteorological data.

These metrics represent the maximum potential 24-hour or annual $PM_{2.5}$ impacts from the proposed source or modification at any receptor, given the form of the NAAQS, and, therefore, provide an appropriate part of the basis for determining whether a cumulative modeling analysis would be needed. If the source impact is less than the SIL, then the analysis is generally sufficient to support a finding that the source will not cause or contribute to a NAAQS violation. However, if the source impact is equal to or greater than the SIL, then the analysis is insufficient to show that a source will not cause or contribute to a violation of the NAAQS and a cumulative impact assessment would be necessary to make the NAAQS compliance demonstration.

For Assessment Case 3, analyses of both primary and secondary $PM_{2.5}$ impacts are necessary because the proposed source's direct $PM_{2.5}$ emissions and emissions of at least one $PM_{2.5}$ precursor are equal to or greater than the respective SERs. In this case, both the primary and secondary $PM_{2.5}$ impacts from the proposed source or modification would be included in the comparison to the appropriate $PM_{2.5}$ SIL in the source impact analysis. As with Case 2, the ambient impacts due to direct $PM_{2.5}$ emissions would be estimated using the EPA preferred

AERMOD dispersion model (or other acceptable preferred or approved alternative model). For the assessment of the precursor emission impacts on PM_{2.5} formation, the EPA recommends that this part of the assessment should be conducted based on the two-tiered demonstration approach as provided for specific to PM_{2.5} in section 5.4 of the 2017 *Guideline*. However, the comparison to the SIL will depend on the type of assessment conducted for the secondary PM_{2.5} impacts from the source.

In the SIL comparison for Case 3, the primary and secondary PM_{2.5} impacts may be combined in various ways that may entail greater or lesser degrees of conservatism. For example, combining the peak estimated primary PM_{2.5} impact with the peak estimated secondary PM_{2.5} impact, unpaired in time and space, would tend to be a conservative estimate of combined impacts since, as noted above, peak impacts associated with a source's direct PM_{2.5} and precursor emissions are not likely well-correlated in time or space. The conservatism associated with combining peak estimated primary and secondary impacts for comparison to a SIL makes this an appropriate initial approach to combining estimated primary and secondary PM_{2.5} impacts.

Other approaches for combining primary and secondary PM_{2.5} impacts for comparison to a SIL for Case 3 will vary based on the degree of temporal and spatial pairing of estimated primary and secondary PM_{2.5} impacts. Full temporal and spatial pairing may not be feasible in many cases, given that the dispersion modeling and chemical transport modeling may be based on different data periods. Furthermore, full temporal and spatial pairing of primary and secondary PM_{2.5} impacts may not be appropriate in many cases because photochemical grid modeling represents gridded concentration estimates whereas dispersion modeling produces estimates at discrete receptor locations and because of the limitations in the skill of both the

dispersion model and the photochemical grid model to accurately predict impacts on a paired in time and space basis. As a result, consideration of some degree of temporal pairing of primary and secondary PM_{2.5} impacts is most appropriate on a seasonal or monthly basis with considerations of spatial pairing that reflects the general lack of correlation between primary and secondary impacts, *i.e.*, primary impacts being higher near the source while secondary impacts being higher at some distance away from the source.

The permitting authority and the permit applicant should thoroughly discuss the details regarding combining modeled primary and secondary PM_{2.5} impacts for Case 3 situations and should reach agreement during the initial review of the modeling protocol. The permitting authority should ensure that any approach for combining estimated primary and secondary PM_{2.5} impacts for comparison to a SIL for Case 3 conforms to the recommendations described above for Case 2 regarding the form of the modeled estimate. Accordingly, the approach should be based on the highest of the multi-year averages of the maximum modeled 24-hour or annual PM_{2.5} concentrations predicted each year at each receptor, which represents the maximum potential impact from the proposed source or modification.

For Assessment Case 4, an analysis of secondary PM_{2.5} impacts would be conducted for the proposed source's precursor emissions that are equal to or greater than the respective SERs. For this source impact analysis, under the Tier 1 approach, the highest of the multi-year averages of the maximum predicted modeled 24-hour or annual PM_{2.5} concentrations should be compared to the appropriate PM_{2.5} SIL since these metrics represent the maximum potential impact from the proposed source or modification. Under the Tier 2 approach, where a CTM is directly applied to estimate the source impacts, the comparison should be done at each receptor, *i.e.*, each modeled grid cell.

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IV. PSD Compliance Demonstrations for the O₃ and PM_{2.5} NAAQS: Cumulative Impact Analysis

Where the source impact analysis described in Section III is insufficient to show that a source will not cause or contribute to a violation of the O₃ or PM_{2.5} NAAQS, a cumulative impact assessment will then be necessary to determine whether the source complies with the NAAQS. A cumulative assessment accounts for the combined impacts of the proposed new or modifying source's emissions, emissions from other nearby sources, and representative background levels of O₃ or PM_{2.5} within the modeling domain. The cumulative impacts are then compared to the O₃ or PM_{2.5} NAAQS to determine whether there is a modeled NAAQS violation. If not, then the NAAQS compliance demonstration is sufficient. If there are modeled violations, then the source impact at the location of these violations is compared to the appropriate SIL to determine if the proposed new or modifying source emissions will cause or contribute to a violation of the NAAQS. This section provides details on conducting an appropriate cumulative impact assessment for the O₃ and PM_{2.5} NAAQS.

O₃

The cumulative impact assessment should include the following components of O₃ impacts, as appropriate, for comparison to the NAAQS:

- Proposed new or modifying source
 - Impacts on O₃ from each precursor (NO_x and/or VOC) that is proposed to be emitted in a significant amount, *i.e.*, equal to or greater than the respective SER (40 tpy)
- Nearby sources
 - Impacts on O₃ from precursors (NO_x and/or VOC) are typically accounted for through representative monitored background

- Monitored background level of O₃ that accounts for O₃ impacts from regional transport and from nearby sources¹⁶

PM_{2.5}

The cumulative impact assessment should include the following components of PM_{2.5} impacts, as appropriate, for comparison to the NAAQS:

- Proposed new or modifying source
 - Primary impacts on PM_{2.5}, *i.e.*, from direct PM_{2.5} emissions that are proposed to be emitted in a significant amount, *i.e.*, equal to or greater than the SER (10 tpy)
 - Secondary impacts on PM_{2.5} from each precursor (NO_x and/or SO₂) that is proposed to be emitted in a significant amount, *i.e.*, equal to or greater than the respective SER (40 tpy)
- Nearby sources
 - Primary impacts on PM_{2.5}
 - Impacts on PM_{2.5} from precursors (NO_x and/or SO₂) are typically accounted for through representative monitored background
- Monitored background level of PM_{2.5} that accounts for secondary PM_{2.5} impacts from regional transport and from nearby sources, and primary PM_{2.5} impacts from background sources not included in the modeled inventory, *e.g.*, minor sources¹⁷

¹⁶ The emissions impact of any nearby source that has received a permit but is not yet operational should be included in the air quality assessment. In such cases, consultation with the appropriate permitting authority on the appropriate assessment approach is recommended.

¹⁷ The emissions impact of any nearby source that has received a permit but is not yet operational should be included in the air quality assessment. In such cases, consultation with the appropriate permitting authority on the appropriate assessment approach is recommended

As with the source impact analysis, the primary impacts of direct PM_{2.5} emissions from the proposed new or modifying source and nearby sources in a cumulative impact analysis should be estimated based on the AERMOD dispersion model (or other acceptable preferred or approved alternative model). In addition, EPA recommends that the estimate of secondary PM_{2.5} impacts from the proposed new or modifying source should be conducted based on the two-tiered demonstration approach described in section 5.2 of the 2017 *Guideline*. As noted above, secondary impacts on PM_{2.5} from regional transport, precursor emissions from nearby sources, and primary PM_{2.5} impacts from background sources not included in the modeled inventory should be accounted for through representative monitored background concentrations.

IV.1 Modeling Inventory

Section 8 of the 2017 *Guideline* provides the current required and recommended approaches for characterizing source emissions and developing the O₃ and/or PM_{2.5} modeling inventory for purposes of NAAQS compliance modeling in PSD air quality demonstrations. Section 8.2 and Table 8-2 of the 2017 *Guideline* address the appropriate emissions limit, operating level, and operating factor to be modeled, which is the maximum allowable emissions rate for the proposed new or modifying source in most cases and an allowable emissions rate adjusted for actual operations for any nearby sources. For applications that require the assessment of secondarily formed O₃ or PM_{2.5} through case-specific chemical transport modeling, information regarding the development of the appropriate modeling inventory can be found in the Single-source Modeling Guidance.

Section 8.3.3 of the 2017 *Guideline* emphasizes the importance of professional judgment in the identification of nearby and other sources “that are not adequately represented by ambient

monitoring data” that should be included in the modeled emission inventory and identifies “a significant concentration gradient in the vicinity of the [proposed] source” as a primary criterion for this selection. Additionally, the 2017 *Guideline* suggests that “the number of nearby sources to be explicitly modeled in the air quality analysis is expected to be few except in unusual situations” and that “[i]n most cases, the few nearby sources will be located within the first 10 to 20 km from the [proposed] source.” The EPA also provided modeling guidance in March 2011 (U.S. EPA, 2011c) that includes a detailed discussion of the significant concentration gradient criterion. However, several application-specific factors should be considered when determining the appropriate inventory of nearby sources to include in the cumulative modeling analysis, including the potential influence of terrain characteristics on concentration gradients and the availability and adequacy of ambient monitoring data to account for impacts from nearby sources as well as other background sources.

Consistent with the 2017 revisions to the *Guideline*, the EPA cautions against the application of very prescriptive procedures for identifying which nearby sources should be included in the modeled emission inventory for NAAQS compliance demonstrations, such as the procedures described in Chapter C, Section IV.C.1 of the draft “New Source Review Workshop Manual” (U.S. EPA, 1990). Our main concern is that following such procedures in a literal and uncritical manner may, in many cases, increase the likelihood of double-counting modeled and monitored concentrations, resulting in cumulative impact assessments that are overly conservative and would unnecessarily complicate the permitting process. The identification of which sources to include in the modeled emissions inventory should be addressed in the modeling protocol and, as necessary, discussed in advance with the permitting authority.

Since modeling of direct PM_{2.5} emissions has been limited and infrequent, the availability

of an adequate direct PM_{2.5} emission inventory for nearby sources may not exist in all cases. Recommendations for developing PM_{2.5} emission inventories for use in PSD applications will be addressed separately, but existing SIP inventories for PM_{2.5} or statewide PSD inventories of sources for refined modeling are expected to provide a useful starting point for this effort.

IV.2 Monitored Background

Section 8.3 of the 2017 *Guideline* provides recommendations for determination of monitored background concentrations to include in cumulative impact assessments for NAAQS compliance, which should account for impacts from existing sources that are not explicitly included in the modeled inventory and natural sources. From newly-acquired pre-construction monitoring data and/or existing representative air quality data gathered for purposes of a permitting analysis, permit applicants should assess and document what the background monitoring data represent to the extent possible, including any information that may be available from the state or other agency responsible for siting and maintaining the monitor.¹⁸

Determining the monitored background concentrations of O₃ and/or PM_{2.5} to include in the cumulative impact assessment may entail different considerations from those for other criteria pollutants lacking secondary formation. An important aspect of the monitored background concentration for O₃ or PM_{2.5} is that the ambient monitoring data should in most cases account for the impact of secondary formation of either pollutant from precursor emissions of existing sources impacting the modeling domain. Additionally, for PM_{2.5}, ambient monitoring

¹⁸ Please note in the case of an existing source seeking a permit for a modification, there is potential overlap across secondary impacts from monitored background and from precursor emission from the existing source. In such cases, recommendations for excluding monitored values when the source in question is impacting the monitor in section 8.3.2.b of the 2017 *Guideline* may need to be modified to avoid overcompensating in cases where the monitored concentrations are also intended to account for the existing source's impacts on secondary PM_{2.5}.

data should account for the component of the background levels of primary PM_{2.5} from emissions of nearby sources that are not included in the modeled inventory. As with other criteria pollutants, consideration should also be given to the potential for some double-counting of the impacts from modeled emissions that may be also included in the background monitored concentrations. This should generally be of less importance than the representativeness of the monitor for secondary formation of O₃ and PM_{2.5}, unless the monitor is located relatively close to nearby sources of primary PM_{2.5} that could be impacting the monitor. Also, due to the nature of O₃ and secondary PM_{2.5}, monitored background concentrations of O₃ and PM_{2.5} are more likely to be homogeneous across the modeling domain in most cases compared to most other pollutants.

Depending on the nature of local PM_{2.5} levels within the modeling domain, it may be appropriate to account for seasonal variations in monitored background PM_{2.5} levels, which may not be correlated with seasonal patterns of the modeled primary PM_{2.5} levels. For example, maximum modeled primary PM_{2.5} impacts associated with low-level emission sources are likely to occur during winter months due to longer periods of stable atmospheric conditions, whereas maximum ambient levels of secondary PM_{2.5} typically occur during spring and summer months due to high levels of sulfates (particularly in the eastern United States). The use of temporally-varying monitored background concentrations in a cumulative impact analysis is discussed in more detail in Section IV.3.

IV.3 Comparison to the NAAQS

As indicated in Figure II-1, the first step of a cumulative impact analysis consists of a comparison of the combined modeled and monitored concentrations, as discussed above, with

the applicable NAAQS to determine if there are any projected violations of the O₃ and/or PM_{2.5} NAAQS.

O₃

Ozone differs from other criteria pollutants because it is secondarily formed by NO_x and VOC precursor emissions and there are not direct O₃ emissions to be considered in the NAAQS compliance demonstration. The O₃ design value that is representative for the area, rather than the overall maximum monitored background concentration, should generally be used as the monitored component of the cumulative analysis. The O₃ design value is based on the 3-year average of the annual fourth-highest daily maximum 8-hour average O₃ concentrations (80 FR 65292).

The EPA recommends that the modeled O₃ impacts should be added to the monitor-based design value for comparison to the NAAQS, as appropriate. The monitoring data should be representative in that it accounts for O₃ formation associated with existing sources both within and outside of the modeling domain. The EPA recommends that modeled O₃ impacts should be based on a Tier 1 or 2 assessment that accounts for the source's precursor emissions of NO_x and/or VOC that are proposed to be emitted in a significant amount. The resulting cumulative O₃ concentrations would then be compared to the O₃ NAAQS (0.070 ppm).

PM_{2.5}

Combining the modeled and monitored concentrations of PM_{2.5} for comparison to the 24-hour or annual PM_{2.5} NAAQS entails considerations that differ from those for other criteria pollutants due to the issues identified at the end of Section IV.2. Based on assessment cases shown in Table III-2, the discussion below addresses comparisons to the NAAQS in the context of dispersion modeling of direct PM_{2.5} emissions only (*i.e.*, Case 2) and for applications

involving assessments of secondary PM_{2.5} impacts (*i.e.*, Cases 3 and 4).

Given the importance of secondary formation of PM_{2.5} and the potentially high background levels relative to the PM_{2.5} NAAQS, greater emphasis is generally placed on the monitored background levels relative to the modeled inventory for PM_{2.5} than for other pollutants. This is true for both PM_{2.5} NAAQS and PSD increments assessments. Also, given the probabilistic form of the PM_{2.5} NAAQS, careful consideration should be given to how the monitored and modeled concentrations are combined to estimate the cumulative impact levels.

The PM_{2.5} design value that is representative for the area, rather than the overall maximum monitored background concentration, should generally be used as the monitored component of the cumulative analysis. The PM_{2.5} design value for the annual averaging period is based on the 3-year average of the annual average PM_{2.5} concentrations, while the PM_{2.5} design value for the 24-hour averaging period is based on the 3-year average of the annual 98th percentile 24-hour average PM_{2.5} concentrations (78 FR 3086). Details regarding the determination of the annual 98th percentile monitored 24-hour value based on the number of days sampled during the year are provided in the data interpretation procedures for the PM_{2.5} NAAQS in Appendix N to 40 CFR part 50.

It should be noted here that although the monitored design values for the PM_{2.5} standards are defined in terms of 3-year averages, this definition does not preempt or alter the 2017 *Guideline*'s requirement for use of 5 years of representative NWS meteorological data, at least 1 year of site-specific data, or at least 3 years of prognostic meteorological data for purposes of modeling primary emissions of PM_{2.5}.¹⁹ The 5-year average based on use of representative NWS meteorological data, the average across one or more (up to 5) complete years of available site-

¹⁹ See 40 CFR part 51, Appendix W, section 8.4.2.e.

specific data, or the average across 3 years of prognostic meteorological data serves as an unbiased estimate of the 3-year average for purposes of modeling demonstrations of compliance with the NAAQS. Modeling of “rolling 3-year averages,” using years 1 through 3, years 2 through 4, and years 3 through 5 as recommended in the EPA’s SIP Modeling Guidance, is not required.

For each case, the EPA recommends that the modeled design concentrations of primary PM_{2.5} and/or the modeled secondary PM_{2.5} impacts should be added to the monitor-based design value for comparison to the NAAQS, as appropriate. The primary PM_{2.5} modeled design concentration should be based on:

- The 5-year average of the modeled annual 98th percentile 24-hour PM_{2.5} concentrations (for the 24-hour PM_{2.5} NAAQS) or 5-year average of the modeled annual average PM_{2.5} concentration (for the annual PM_{2.5} NAAQS) predicted each year at each receptor, based on 5 years of representative NWS data;
- The modeled 98th percentile 24-hour PM_{2.5} concentrations (for the 24-hour PM_{2.5} NAAQS) or modeled average PM_{2.5} concentration (for the annual PM_{2.5} NAAQS) predicted at each receptor based on 1 year of site-specific meteorological data, or the multi-year average of the modeled annual 98th percentile 24-hour PM_{2.5} concentrations (for the 24-hour PM_{2.5} NAAQS) or modeled annual average PM_{2.5} concentration (for the annual PM_{2.5} NAAQS) predicted each year at each receptor, based on 2 or more years, up to 5 complete years, of available site-specific meteorological data; or
- The 3-year average of the modeled annual 98th percentile 24-hour PM_{2.5} concentrations (for the 24-hour PM_{2.5} NAAQS) or 3-year average of the modeled

annual average PM_{2.5} concentration (for the annual PM_{2.5} NAAQS) predicted each year at each receptor, based on 3 years of prognostic meteorological data.

The EPA recommends that secondary PM_{2.5} modeled impacts should be based on either a Tier 1 or 2 assessment accounting for the source's PM_{2.5} precursor emissions of NO_x and/or SO₂ that are proposed to be emitted in a significant amount. The resulting cumulative PM_{2.5} concentrations would then be compared to the 24-hour PM_{2.5} NAAQS (35 µg/m³) and/or the annual PM_{2.5} NAAQS (12 µg/m³).

Specifically, for Case 2, where the source's direct PM_{2.5} emissions are equal to or greater than the SER, the modeled design concentration should be based on AERMOD (or other acceptable preferred or approved alternative model) estimates of the proposed source's and other nearby sources' direct PM_{2.5} emissions combined with the monitor-based design value. The monitor should be representative in that it accounts for secondary PM_{2.5} formation associated with existing sources both within and outside of the modeling domain, in addition to the background levels of primary PM_{2.5} associated with nearby and background sources that are not included in the modeled inventory.

For Case 3, where the source's direct PM_{2.5} emissions and NO_x and/or SO₂ precursor emissions are proposed to be emitted in amounts equal to or greater than the respective SERs, the cumulative impact for comparison to the NAAQS should be based on the sum of the modeled design concentration for primary PM_{2.5} impacts (from dispersion model estimates based on the proposed source's and other nearby source's direct PM_{2.5} emissions), the modeled secondary PM_{2.5} impacts (based on a Tier 1 or 2 assessment accounting for the proposed source's PM_{2.5} precursor emissions), and the monitored design value (see Case 2 discussion above on monitor representativeness).

For Case 4, where the source's NO_x and/or SO₂ precursor emissions are proposed to be emitted in amounts equal to or greater than the respective SERs, the cumulative impact for comparison to the NAAQS should be based on the sum of the modeled secondary PM_{2.5} impacts (based on a Tier 1 or 2 assessment accounting for the proposed source's PM_{2.5} precursor emissions) and the monitor-based design value (see Case 2 discussion above on monitor representativeness).

The recommendations provided above constitute a First Level analysis for PM_{2.5} NAAQS compliance demonstrations. For applications where impacts from primary PM_{2.5} emissions are not temporally correlated with background PM_{2.5} levels, combining the modeled and monitored levels as described above may be overly conservative in some situations. For example, there are areas of the country where background PM_{2.5} levels are substantially higher on average during the summer months as compared to the winter months; however, the projected modeled impacts from the new or modified source may be substantially greater in the winter rather than in the summer. In such cases, a Second Level modeling analysis may be advisable to account for these temporal relationships. Such an analysis would involve combining the monitored and modeled PM_{2.5} concentrations on a seasonal (or quarterly) basis, as appropriate. The use of a seasonally-varying monitored background component is likely to be a more important factor for the 24-hour PM_{2.5} NAAQS analysis than for the annual PM_{2.5} NAAQS. Careful evaluation of when model projections of PM_{2.5} impacts and background PM_{2.5} levels peak throughout the year is recommended before embarking on a Second Level modeling analysis. This is because the First Level approach may already adequately capture the temporal correlation. As a part of this process to determine the appropriate level of analysis, the permit applicant should consult with the appropriate permitting authority and then reflect the appropriate approach in their modeling

protocol.

The AERMOD model provides several options for specifying the monitored background concentration for inclusion in the cumulative impact assessment. The options that are most relevant to PM_{2.5} analyses include:

- For First Level 24-hour or annual PM_{2.5} NAAQS analyses, an option to specify a single annual background concentration that is applied to each hour of the year, and
- For Second Level 24-hour PM_{2.5} NAAQS analyses, an option to specify four seasonal background values that are combined with modeled concentrations on a seasonal basis.

The AERMOD model also allows the user to track the effect of background concentrations on the cumulative modeled design concentration.

For Second Level 24-hour PM_{2.5} NAAQS modeling analyses, EPA recommends that the distribution of monitored data equal to and less than the annual 98th percentile be appropriately divided into seasons (or quarters) for each of the three years that are used to develop the monitored design value. This will result in data for each year of the multi-year data, which contains one season (or quarter) with the 98th percentile value and three seasons (quarters) with maximum values which are less than or equal to the 98th percentile value. The maximum concentration from each of the seasonal (or quarterly) subsets should then be averaged across these three years of monitoring data. The resulting average of seasonal (or quarterly) maximums should then be included as the four seasonal background values within the AERMOD model. Therefore, the monitored concentrations greater than the 98th percentile in each of the three years would not be included in the seasonal (or quarterly) subsets. These excluded monitored

concentrations are the same values that are excluded when determining the monitored design value. An example of the calculations for a Second Level 24-hour PM_{2.5} NAAQS modeling analysis is provided in Appendix D.

For a monitor with a daily (1-in-1 day monitor) sampling frequency and 100% data completeness, the highest seven monitored concentrations for each year would be excluded from the seasonal (or quarterly) subdivided datasets. Similarly, for a monitor with every third day (1-in-3 day monitor) sampling frequency and 100% data completeness, the highest two monitored concentrations for each year would be excluded from the seasonal (or quarterly) subdivided datasets. The monitored concentrations excluded from the subdivided datasets could primarily come from one or two seasons (or quarters) each year or could be evenly distributed across all four seasons (or quarters) each year. Additionally, the monitored concentrations not included in the subdivided datasets could shift seasonally (or quarterly) from one year to the next. Given the reason for considering a Second Level 24-hour analysis (*i.e.*, lack of temporal correlation between modeled and monitored concentrations), it is likely that the monitored data greater than the 98th percentile would be concentrated in one or two seasons as opposed to evenly distributed throughout the year. As mentioned earlier, see Appendix N of 40 CFR part 50 in determining the appropriate 98th percentile rank of the monitored data based on the monitor sampling frequency and valid number of days sampled during each year.

The EPA does not recommend a "paired sums" approach on an hour-by-hour basis because of the spatial and temporal variability throughout a typical modeling domain on an hourly basis and the complexities and limitations of hourly observations from the current PM_{2.5} ambient monitoring network. The implicit assumption underlying this "paired sums" approach is that the background monitored levels for each hour are spatially uniform and that the monitored

values are fully representative of background levels at each receptor for each hour. Such an assumption does not account for the many factors that contribute to the temporal and spatial variability of ambient PM_{2.5} concentrations across a typical modeling domain on an hourly basis.²⁰ Furthermore, the pairing of daily monitored background and 24-hour average modeled concentrations is not recommended except in rare cases of relatively isolated sources where the available 1-in-1 day monitor can be shown to be representative of the ambient concentration levels in the areas of maximum impact from the proposed new source. In most cases, the seasonal (or quarterly) pairing of monitored and modeled concentrations previously described in the Second Level approach should sufficiently address situations in which the impacts from primary PM_{2.5} emissions are not temporally correlated with background PM_{2.5} levels. Any monitor-model pairing approach aside from the First or Second Level methods should be justified on a case-by-case basis in consultation with the appropriate permitting authority and the appropriate EPA Regional Office.

IV.4 Determining Whether Proposed Source Causes or Contributes to Modeled Violations

If the cumulative impact assessment following these recommendations results in predicted modeled violations of the O₃ and/or PM_{2.5} NAAQS, then the permit applicant will need

²⁰ The complexity of the PM_{2.5} ambient monitoring network presents special challenges with a "paired sum" approach that are not present with other NAAQS pollutants. The Federal Reference Method (FRM) PM_{2.5} monitoring network is based on 24-hour samples that are taken on average every third day at the 1-in-3 day monitors. The frequency of daily or 1-in-1 day PM_{2.5} monitors is steadily increasing but is relatively limited to the largest cities and metropolitan regions of the U.S. Various methods to "data fill" the 1-in-3 day monitoring database to create a pseudo-daily dataset have been explored in a few situations, but none of these data filling methods have been demonstrated to create a representative daily PM_{2.5} dataset that the EPA would consider acceptable for inclusion in a PM_{2.5} NAAQS compliance demonstration. The use of continuous PM_{2.5} monitors, which are more limited in number compared to the FRM monitors and may require careful quality assurance of individual hourly measurements, may be an option but should be discussed in advance with the appropriate permitting authority.

to demonstrate that the proposed source's emissions do not cause or contribute to the modeled NAAQS violations. In the SILs Guidance, the EPA explained that the permitting authority may further evaluate whether the proposed source or modification will cause or contribute to predicted violations by comparing the proposed source's modeled impacts, paired in time and space with the predicted violations, to an appropriate SIL. The proposed source or modification would not be considered to cause or contribute to predicted violations of the O₃ or PM_{2.5} NAAQS where the modeled impacts of the proposed source or modification at those particular times and locations are less than the appropriate O₃ or PM_{2.5} NAAQS SIL. As explained in the SILs Guidance, a permitting authority that chooses to use an O₃ or PM_{2.5} SIL value to support a PSD permitting decision should justify the value and its use in the administrative record for the permitting action.

A demonstration that a proposed source or modification does not cause or contribute to a predicted violation should be based on a comparison of the modeled concentrations (primary and secondary impacts) at the receptor location(s) showing the violation(s) of the O₃ or PM_{2.5} NAAQS to the appropriate O₃ or PM_{2.5} NAAQS SIL, *i.e.*,

- For a predicted violation of the O₃ NAAQS, the average of the predicted annual (or episodic) 98th percentile daily maximum 8-hour averaged O₃ concentrations at the affected receptor(s) should be compared to an appropriate O₃ NAAQS SIL, *e.g.*, SIL values recommended by EPA in the SILs Guidance (Table II-1).
- For a predicted violation of the annual PM_{2.5} NAAQS, the average of the predicted annual concentrations at the affected receptor(s) should be compared to an appropriate PM_{2.5} annual NAAQS SIL, *e.g.*, SIL values recommended by EPA in the SILs Guidance (Table II.1).

- For a predicted violation of the 24-hour $PM_{2.5}$ NAAQS, the average of the predicted annual 98th percentile 24-hour average concentrations at the affected receptor(s) should be compared to an appropriate $PM_{2.5}$ 24-hour NAAQS SIL, *e.g.*, SIL values recommended by EPA in the SILs Guidance (Table II-1).

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V. PSD Compliance Demonstration for the PM_{2.5} Increments

As summarized in Section II of this guidance, CAA section 165(a)(3) requires that proposed new and modified major stationary sources seeking a PSD permit must demonstrate that their proposed emissions increases will not cause or contribute to a violation of any NAAQS or PSD increments. Based on the flow diagram presented in Figure II-2, this section describes the EPA's recommendations for completing the required compliance demonstration for the PSD increments for PM_{2.5}.

V.1 Overview of the PSD Increment System

This section provides an overview of the PSD increment system by defining basic terms, such as increment, baseline concentration, baseline area, trigger date, minor source baseline date, and major source baseline date. This section also introduces and discusses the concepts of increment consumption and expansion.

V.1.1 PSD Increments and Baseline Concentration

The term "increment" generally refers to what the CAA calls the "maximum allowable increase over baseline concentrations" with respect to a criteria pollutant. The CAA section 169(4) defines "baseline concentration," generally, as "the ambient concentration levels which exist at the time of the first application for a [PSD] permit for an area subject to this part..."²¹

Accordingly, an increment analysis is generally concerned with the emissions increases affecting

²¹ EPA's regulations at 40 CFR 52.21(b)(14)(ii) (and 51.166(b)(14)(ii)) provide that the triggering application is to be a complete PSD application. Hence, the term "complete application" will be used throughout this section with regard to the minor source baseline date and increment consumption.

air quality in a particular PSD area after the date that the first complete PSD application is submitted to the permitting authority.²² When comparing the ambient impact of such total emissions increases against the increment value for a particular pollutant, a cumulative increase in the ambient concentration of that pollutant that is greater than the increment generally is considered “significant deterioration.” When the cumulative impact analysis identifies significant deterioration in this way, the permitting authority should determine whether the emissions increase from the proposed new source or modification will cause or contribute to the projected violation of the PSD increment.

Based on the statutory definition of baseline concentration, as described above, it is conceptually possible to measure whether there will be significant deterioration in at least two separate ways. The first way involves comparing a direct modeled projection of the change in air quality caused by all increment-consuming and expanding emissions to the increment in the area of concern (known as the baseline area, discussed below in Section V.1.2). The second approach is to make a determination of whether the current monitored ambient air quality concentration in the applicable baseline area, supplemented by the modeled impact of the proposed source, will exceed an allowable ambient air quality ceiling. This latter approach requires comparing such monitored concentration(s) to the sum of the increment and the baseline concentration for the baseline area.

Historically, because of the lack of monitoring data to adequately represent the baseline concentration combined with various other limitations associated with the use of ambient air

²² The EPA also considers emissions decreases occurring after the date of the first PSD application to affect increment consumption to the extent that such decreases cause an improvement of air quality in the area of concern. Thus, the concept of increment “expansion” is also discussed in this section.

quality monitoring data for measuring increment consumption,²³ the EPA has recommended that the required increment analysis be based exclusively on the first approach, which models the increment-related emissions increases or decreases to determine the resulting ambient air quality change and compares this value with the increments for a particular pollutant.

V.1.2 PSD Baseline Area and Key Baseline Dates

In order to determine whether a PSD increment would be violated as part of a PSD permit review, it is necessary to identify (1) the affected geographic area in which the increment will be tracked and (2) the key baseline dates after which emissions changes affect increment in that area. The relevant geographic area for determining the amount of increment consumed is known as the “baseline area.” The baseline area is established primarily on the basis of the location of the first major source to submit a complete PSD application after an established “trigger date” (see discussion of key dates below) and may be comprised of one or more areas that are designated as “attainment” or “unclassifiable” pursuant to CAA section 107(d) for a particular pollutant within a state. In accordance with the regulatory definition of baseline area at 40 CFR 52.21(b)(15), the area is an “intrastate area” and does not include any area in another state.²⁴ At a minimum, the baseline area is the attainment or unclassifiable area in which the first PSD applicant after the trigger date proposes to locate, but additional attainment or unclassifiable areas could be included in a particular baseline area when the proposed source’s modeled impact

²³ The EPA described certain limitations associated with the use of ambient air quality monitoring data for measuring increment consumption in the preamble to its proposed PSD regulations in 1979. For example, the CAA provides that certain emissions changes should not be considered increment consuming. These limitations generally continue to apply to the extent that certain emissions changes detected by an ambient monitor are not considered to consume increment. See 44 Fed. Reg. 51924, 51944 (September 5, 1979).

²⁴ While baseline dates are established on an intrastate basis, once a baseline area is established, emissions changes from other states may contribute to the amount of increment consumed.

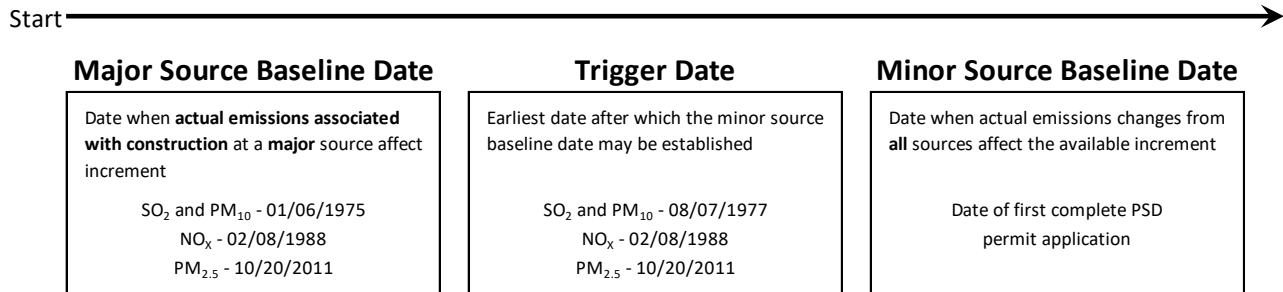
in any such additional areas exceeds certain concentrations specified in the regulatory definition of baseline area. Once a baseline area has been established, subsequent PSD applicants proposing to locate, or which could have a significant impact, in that area should rely on the associated baseline dates, discussed below, to determine whether the new or modified source's proposed emissions would cause or contribute to an increment violation.

Within any baseline area, three key dates will apply in order to conduct the required increment analysis: (1) trigger date; (2) minor source baseline date; and (3) major source baseline date. The trigger date is a date fixed by regulation for each pollutant at 40 C.F.R. 52.21(b)(14)(ii), which is the earliest date after which proposed new or modified major sources submitting a complete PSD application establishes the "minor source baseline date" in a newly established baseline area. Accordingly, the minor source baseline date is the date on which PSD permit applicants must actually begin tracking increment tracking. Depending upon the number of separate attainment and unclassifiable areas that exist for a particular pollutant in a state and the timing of major source construction within the state, there may be a number of minor source baseline dates that apply to different baseline areas established in that state. Beginning with the PSD source whose complete application has established the minor source baseline date in a particular area, any increase or decrease in actual emissions occurring after the minor source baseline date at any source that will affect air quality in the baseline area will affect the amount of PSD increment consumed in that baseline area (in the case of an emissions decrease, see discussion on increment expansion in Section V.1.3 of this guidance, below).

Finally, the "major source baseline date" is a date fixed by regulation for each pollutant at 52.21(b)(14)(i) and *precedes* the trigger date. As further explained below, changes in emissions resulting from construction at major stationary sources only that occur after the major source

baseline date but before the minor source baseline date will also affect increment. The relationship of these three key dates with each other is further illustrated in Figure V-1.

Figure V-1. Determining Baseline Date(s) and When Increment Consumption Starts



Emissions changes occurring before the minor source baseline date generally do not affect increment in an area (*i.e.*, are not increment-consuming) but are considered to affect the baseline concentration, which, as explained above, represents the ambient pollutant concentration levels that exist at the time of the minor source baseline date, or the date of the first complete application for a PSD permit in a an area after the trigger date. However, as noted above, the CAA provides an exception for certain emissions changes that occur specifically at major stationary sources as a result of construction²⁵ that commences after the major source baseline date. Specifically, for projects at major stationary sources on which construction commenced on a date prior to the major source baseline date, the changes in emissions from such projects affect the baseline concentration (not the amount of increment consumed) even if the emissions change may not actually occur until after the major or minor source baseline dates. Alternately, for projects at major stationary sources on which construction commenced after the

²⁵ The CAA section 169(2)(C) indicates that the term “construction,” when used in connection with any source or facility, includes modifications defined in CAA section 111(a)(4). “Modification” is defined at section 111(a)(4) to mean any physical change or change in the method of operation at a stationary source which increases the amount of any air pollutant emitted by the source or which results in the emission of any air pollutant not previously emitted.

major source baseline date, the project emissions will be considered to affect increment, even if the new or modified source actually begins operation before the minor source baseline date.

V.1.3 PSD Increment Expansion

The “increment consumption” analysis allows permit applicants and permitting authorities to take into account emissions reductions that occur in the baseline area of concern. Such emissions reductions are generally said to result in the *expansion* of increment in the area; however, not all emissions reductions truly result in an expansion of the increment. Some emissions reductions, instead, result in a *freeing up* of increment that had previously been consumed.

In the case of true “increment expansion,” emissions in the area are allowed to increase by the amount allowed by the original increment plus the amount of air quality improvement (relative to the baseline concentration) achieved by the reduction of emissions that were not considered to consume increment because of their relationship to the established baseline dates for the area.²⁶ In such cases, it is appropriate to model the emissions decrease as a negative amount to account for the resulting lowering of the baseline concentration and simulate the expansion of the increment.

On the other hand, in cases where a source’s emissions contribute to the amount of increment consumed, a reduction in such increment-consuming emissions at some later date

²⁶ The concept of increment expansion is derived from CAA section 163(a), which provides that a PSD applicant must assure “that maximum allowable increases *over baseline concentrations* ... shall not be exceeded.” [Emphasis added.] The target for determining significant deterioration thus becomes the ambient concentration resulting from the sum of the increment and the baseline concentration. When a decrease in emissions that contribute to the baseline concentration occurs, an emissions increase that simply “restores” the air quality to the original baseline concentration in a particular baseline area can be allowed, regardless of the amount of increment otherwise being consumed.

results in some amount of the consumed increment being freed up. That is, the resulting air quality improvement is now available for a source to increase its emissions within the limits of the original increment level. A subsequent reduction in increment-consuming emissions should not be modeled as a negative value to determine the amount of increment that has been freed up; instead, such emissions reductions are simply no longer counted in the increment consumption equation.

V.2 PSD PM_{2.5} Increments

In 2010, the EPA established the PM_{2.5} increments at the levels shown in Table V-1 through the “Prevention of Significant Deterioration (PSD) for Particulate Matter Less Than 2.5 Micrometers (PM_{2.5}) – Increments, Significant Impact Levels (SILs) and Significant Monitoring Concentration (SMC)” final rule.²⁷ This 2010 rule established October 20, 2011, as the trigger date and October 20, 2010, as the major source baseline date for PM_{2.5} increments. The EPA developed the increment system for PM_{2.5} generally following the same concepts that were previously applied for development of the increments for PM₁₀, SO₂, and nitrogen dioxide (NO₂). As explained above, the framework reflects the statutory concepts set forth in the statutory definition of baseline concentration that was explained in Section V.1 of this guidance.

Table V-1. PM_{2.5} Increments

	Class I	Class II	Class III
Increments, µg/m³			
Annual arithmetic mean.....	1	4	8
24-hour maximum.....	2	9	18

Source: Prevention of Significant Deterioration (PSD) for Particulate Matter Less Than 2.5 Micrometers (PM_{2.5}) - Increments, Significant Impact Levels (SILs) and Significant Monitoring Concentration (SMC) final rule (75 FR 64864)

²⁷ See 75 FR 64864.

The obvious difference between an increment analysis and the NAAQS analysis for PM_{2.5} is that the increment analysis is concerned with the degree of change in air quality caused by a new or modified PSD source rather than the impact of that source on overall air quality (as defined by the applicable NAAQS) in the area of concern (baseline area). With this in mind, it should be noted here that an increment analysis is relevant only to the extent that NAAQS compliance has been ensured. That is, an adequate air quality analysis demonstrating compliance with the statutory requirements must ensure that the proposed PSD source's emissions will not cause or contribute to either the NAAQS or PSD increments.²⁸

Another key difference involves the modeling inventory from which the necessary emissions data is derived. That is, only sources that have PM_{2.5} emissions (direct and precursor) that affect the amount of increment consumed in the area of concern should be included in the modeling inventory for the increment analysis. Moreover, from such sources only those specific emissions changes that affect increment should be included in the actual modeling analysis.

The cumulative impact analysis for PM_{2.5} increments is also different and based on the actual emission changes occurring at existing sources in the baseline area after the pertinent baseline dates (*i.e.*, major and minor source baseline dates), whereas NAAQS analyses are generally based on the cumulative impact associated with the maximum allowable emissions from the new or modifying source and other nearby sources (with specific provisions for operating levels of nearby sources). Furthermore, ambient monitoring data, while useful for establishing background concentration for the NAAQS analysis, may not be particularly useful for the typical increment analysis. The limitations associated with using monitoring data for an

²⁸ The CAA section 163(b)(4) provides that the maximum allowable concentration of any air pollutant allowed in an area shall not exceed the concentration allowed by the primary or secondary NAAQS.

increment analysis are discussed in greater detail in Sections V.1 and V.3 of this guidance.

It is also important to note that the PM_{2.5} NAAQS and increments for the 24-hour averaging period are defined in different forms and therefore must be analyzed differently.²⁹ The 24-hour PM_{2.5} NAAQS is defined based on the 3-year average of the annual 98th percentile of the 24-hour average concentrations, while the 24-hour PM_{2.5} increments are based on the second highest maximum 24-hour concentration.

V.3 PSD Compliance Demonstration for the PM_{2.5} Increments

The initial steps for the PM_{2.5} increment analysis, which include the determination of the significant emissions increases to include in the source impact analysis and comparison of the modeled impacts against the PM_{2.5} SILs will rely upon the results derived from the PM_{2.5} NAAQS analysis described in Sections III and IV of this guidance. Moreover, the technical approach involving the options and alternatives agreed upon for estimating secondary PM_{2.5} impacts and combining primary and secondary PM_{2.5} impacts for the NAAQS analysis will also be relevant for completing the PM_{2.5} increment analysis to determine whether the emissions increase from the proposed source or modification will cause or contribute to any PM_{2.5} increment violation.

V.3.1 PM_{2.5} Increments: Source Impact Analysis

The EPA's recommendations on completing the required compliance demonstration for the PM_{2.5} PSD increments is based upon the same four assessment cases detailed in Section II.4 for PM_{2.5} NAAQS. As shown in Table V-2, a modeled compliance demonstration is not required

²⁹ The annual NAAQS and increments for PM_{2.5} are both measured as annual arithmetic mean values.

for Case 1 since neither direct $\text{PM}_{2.5}$ emissions nor $\text{PM}_{2.5}$ precursor (NO_x and/or SO_2) emissions are equal to or greater than the respective SERs. Case 1 is the only assessment case that does not require a modeled compliance demonstration for $\text{PM}_{2.5}$, whereas each of the remaining three assessment cases would necessitate a source impact analysis that should be conducted following the detailed recommendations provided in previous sections for a NAAQS analysis.

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Table V-2. EPA Recommended Approaches for Assessing Primary and Secondary PM_{2.5} Impacts by Assessment Case

Assessment Case	Description of Assessment Case		Primary Impacts Approach	Secondary Impacts Approach*
Case 1: No Air Quality Analysis	Direct PM _{2.5} emissions < 10 tpy SER NO _x emissions and SO ₂ emissions < 40 tpy SER		N/A	N/A
Case 2: Primary Air Quality Impacts Only	Direct PM _{2.5} emissions ≥ 10 tpy SER NO _x emissions and SO ₂ emissions < 40 tpy SER		Appendix W preferred or approved alternative dispersion model	N/A
Case 3: Primary and Secondary Air Quality Impacts	Direct PM _{2.5} emissions ≥ 10 tpy SER NO _x emissions and/or SO ₂ emissions ≥ 40 tpy SER		Appendix W preferred or approved alternative dispersion model	Include each precursor of PM _{2.5} emitted in a significant amount, see Section II.2. • Tier 1 Approach (e.g., MERPs) • Tier 2 Approach (e.g., Chemical Transport Modeling)
Case 4: Secondary Air Quality Impacts Only	Direct PM _{2.5} emissions < 10 tpy SER NO _x emissions and/or SO ₂ emissions ≥ 40 tpy SER		N/A	Include each precursor of PM _{2.5} emitted in a significant amounts, see Section II.2. • Tier 1 Approach (e.g., MERPs) • Tier 2 Approach (e.g., Chemical Transport Modeling)
* In unique situations (e.g., in parts of Alaska where photochemistry is not possible for portions of the year), it may be acceptable for the applicant to rely upon a qualitative approach to assess the secondary impacts. Any qualitative assessments should be justified on a case-by-case basis in consultation with the appropriate EPA Regional Office or other applicable permitting authority.				

A modeling analysis based solely on the PSD applicant's proposed emissions increase (i.e., source impact analysis) that does not predict *anywhere* an ambient impact equal to or greater than the applicable PM_{2.5} SIL generally will satisfy the requirement for a demonstration that the source will not cause or contribute to a violation of the PM_{2.5} increments. When the PSD

applicant relies on such analysis to make the required compliance demonstration, the EPA recommends that the applicant should include: (1) a comparison of the predicted impacts of the proposed new or modified source and the allowable increment values, (2) information on the extent, if any, to which increment has already been consumed since the major source baseline date (by major source construction occurring prior to the minor source baseline date) or since the minor source baseline date by nearby emissions changes occurring prior to the proposed source, and (3) information on increment consumption or expansion by more distant emissions changes.

In light of the relatively recent establishment of the fixed dates (*i.e.*, major source baseline date and trigger date) associated with the PM_{2.5} increments (compared to comparable fixed dates for other PSD increments), and the possibility that the minor source baseline date for a particular area has not yet been set, a proposed new or modified source being evaluated for compliance with the PM_{2.5} increments in a particular area may be the first source in the area with increment-consuming emissions. As indicated in Figure II-2, under this situation, a permitting authority may have a sufficient basis to conclude that the PM_{2.5} impacts of the new or modified PSD source, although greater than the applicable PM_{2.5} SILs, may be compared directly to the allowable PM_{2.5} increments without the need for a cumulative analysis (described in Section V.3.2 of this guidance below). Reliance on this initial source impact analysis (rather than a source or cumulative impact analysis that is compared to the applicable PM_{2.5} SILs) likely would be appropriate to assess the amount of increment consumed when the proposed new or modified source represents the first complete PSD application since the trigger date, thus establishing the baseline concentration in the area, and there has been no other major source construction since the major source baseline date.

V.3.2 PM_{2.5} Increments: Cumulative Analysis

Where the source impact analysis described above is insufficient to show that a proposed PSD source will not cause or contribute to a violation of the PM_{2.5} PSD increments, a cumulative impact assessment would be necessary to complete the required increment analysis. A cumulative assessment of increment consumption accounts for the combined impacts of the following:

1. Direct and/or precursor *allowable* emissions that the proposed new or modifying source would emit in significant amounts;
2. Direct and/or precursor *actual* emissions changes that have occurred at existing sources (including the existing source at which a major modification is being proposed, where applicable) since the minor source baseline date for the proposed source's baseline area;
3. Direct and/or precursor *actual* emissions from any major stationary source on which construction commenced after October 20, 2010 (major source baseline date for PM_{2.5}); and
4. Direct and/or precursor *allowable* emissions of permitted sources that are not yet fully operative.³⁰

Unlike the guidance provided for the cumulative NAAQS analysis for PM_{2.5}, it is not typically practical to utilize ambient monitoring data to represent any portion of the impacts that affect the PM_{2.5} increments. Therefore, it is usually necessary to model the applicable emissions from any existing source that will be considered to consume a portion of the PM_{2.5} increments in

³⁰ Regarding the use of allowable emissions, see 40 CFR 52.21(b)(21)(iv).

the baseline area of concern. It is highly recommended that the PSD applicant work closely with the permitting authority to determine the existing sources (including newly permitted sources) of direct PM_{2.5} and precursor emissions that should be included in the modeling inventory for the increment analysis. Sources whose emissions have not changed substantially since the applicable baseline date may not need to be included for purposes of increment consumption. If there is reason to believe that an existing source's actual emissions have decreased since the applicable baseline date, the PSD applicant may want to check with the permitting authority to ascertain whether the authority allows for increment expansion to be considered.

Once the modeling inventory for the increment analysis has been developed and approved, and the increment-consuming emissions have been determined, the modeled cumulative impacts resulting from the increases and decreases in emissions are then compared to the PM_{2.5} increments to determine whether any increment violations will result. This section provides recommendations on conducting an appropriate cumulative impact assessment for PM_{2.5} increments.

V.3.2.1 Assessing Primary PM_{2.5} Impacts

As explained in Section III.3 of this guidance, the assessment of primary PM_{2.5} impacts from the proposed new or modifying PSD source is essentially the same for the PM_{2.5} NAAQS and increments. In both cases, the permit applicant must account for the impacts from the proposed new or modifying source's *allowable* emissions increase of direct PM_{2.5}.

To assess the impact of direct PM_{2.5} emissions from existing increment-consuming sources, *actual* emissions increases that have occurred since the applicable minor source baseline date should generally be modeled. Alternatively, existing source impacts from direct PM_{2.5}

emissions may be conservatively modeled using an existing source's *allowable* emissions where the PSD applicant determines that such emissions are more readily available and especially when such allowable emissions are not expected to contribute substantially to the amount of increment consumed. In the event that an applicant chooses to conduct the cumulative analysis using *allowable* emissions and identifies potential problems concerning increment consumption, the PSD applicant may then rely on more refined data that better represent a particular source's *actual* emissions.

The PM_{2.5} increments analysis would follow the traditional approach involving modeling only direct PM_{2.5} emissions changes that affect the increment and should be based on application of AERMOD (or other acceptable preferred or approved alternative model), using actual emission changes associated with any increment-consuming or increment-expanding sources. The AERMOD model allows for inclusion of these emissions (represented as negative emissions for the sources expanding increment)³¹ in the same model run that includes the allowable increase in emissions from the proposed source and will, therefore, output the net cumulative concentrations at each receptor established for the modeling domain.³²

V.3.2.2 Assessing Secondary PM_{2.5} Impacts

To assess the impacts from changes in secondary PM_{2.5} precursor emissions from the new or modified source, as well as from other increment-consuming sources, the EPA recommends the analysis for each applicable precursor of PM_{2.5} be conducted collectively based on the two-tiered demonstration approach outlined in EPA's 2017 *Guideline*.

³¹ See discussion about increment expansion in Section V.1.3 of this guidance.

³² The "maximum" cumulative impacts will be output as zero if the cumulative impacts computed in the model are less than zero).

In recent years, several rules promulgated by the EPA have resulted in control requirements that have significantly reduced NO_x and SO₂ precursor emissions affecting ambient PM_{2.5} concentrations in many areas.³³ This is particularly true in the eastern U.S. As a result, in some cases, the impacts of secondary PM_{2.5} emissions may be addressed by a demonstration that provides ambient monitoring data that generally confirms a downward trend in contributions of precursor emissions occurring after the applicable PM_{2.5} minor source baseline date (or the major source baseline date). If it can be confirmed that such secondary emissions reductions have occurred in a particular baseline area, it may be possible to complete the PM_{2.5} increments modeling analysis simply by focusing on potential increment consumption associated with direct PM_{2.5} emissions. For areas where PM_{2.5} precursor emission increases from other increment-consuming sources have occurred since the major or minor source baseline dates, and are, thus, likely to have added to PM_{2.5} concentration increases within the baseline area (and, thus, consume PM_{2.5} increment), the chemical transport modeling methods (using the emissions input data applicable to increment analyses) discussed in Section III of this guidance may be appropriate for estimating the portion of PM_{2.5} increment consumed due to secondary PM_{2.5} impacts associated with those increases in precursor emissions.

V.4. Determining Whether a Proposed Source Will Cause or Contribute to an Increment Violation

When a proposed PSD source predicts, through a cumulative impact analysis, that a

³³ Such rules include the Finding of Significant Contribution and Rulemaking for Certain States in the Ozone Transport Assessment Group Region for Purposes of Reducing Regional Transport of Ozone (also known as the NO_x SIP Call), 63 FR 57356 (October 27, 1998); the Clean Air Interstate Rule (CAIR) Final Rule, 70 FR 25162 (May 12, 2005); CSAPR Final Rule, 76 FR 48208 (August 8, 2011); CSAPR Update for the 2008 Ozone NAAQS (CSAPR Update) Final Rule, 81 FR 74504 (October 26, 2016); and the Mercury and Air Toxics Standards Rule (MATS), 77 FR 9304 (February 16, 2012).

modeled violation of any PM_{2.5} increment will occur within the baseline area of concern, a closer examination of the proposed source's individual impact(s) at the violating receptor(s) and the time(s) of violation become important considerations. The EPA's longstanding policy is that a proposed PSD source will be considered to cause or contribute to an increment violation if its impact (primary and secondary) is significant (equal to or greater than the applicable PM_{2.5} SIL) at the location and time of the modeled violation.³⁴ Accordingly, a proposed source or modification generally will not be considered to cause or contribute to an increment violation, even if its modeled impacts equal or exceed the applicable PM_{2.5} SILs, if it can demonstrate to the satisfaction of the permitting authority that such significant impacts do *not* occur at the location and time of any modeled violation.³⁵ In cases where a proposed PSD source models impacts that equal or exceed the applicable PM_{2.5} SIL *and* would cause a new violation of any PM_{2.5} increment, it is the EPA's longstanding policy to allow the PSD applicant to obtain sufficient offsets, in the form of emissions reductions internally or from another existing source, to avoid causing the violation at each affected receptor where (and when) a violation is modeled. In an area where a proposed PSD source would cause or contribute to an existing increment violation(s), the PSD source cannot be approved for construction unless such existing violation(s) is entirely corrected at each affected receptor prior to the operation of the proposed

³⁴ See, e.g., 43 FR 26380 at 26401, June 19, 1978; EPA memo titled "Interpretation of 'Significant Contribution,'" December 16, 1980; EPA memo titled "Air Quality Analysis for Prevention of Significant Deterioration," July 5, 1988; and more recently, EPA memo titled "Guidance on Significant Impact Levels for Ozone and Fine Particles in the Prevention of Significant Deterioration Permitting Program," April 17, 2018, Attachment at page 18 ("If the modeled impact is below the recommended SIL value *at the violating receptor during the violation*, the EPA believes this will be sufficient...to conclude that the source does not cause or contribute to...the predicted violation.") (Emphasis added).

³⁵ The difficulties associated with combining primary and secondary impacts spatially and temporally were described in Sections III and IV of this guidance. In the case of a PM_{2.5} increment analysis, as with the PM_{2.5} NAAQS analysis, the applicant and permitting authority will need to agree upon an approach that best satisfies the required compliance demonstration.

source.³⁶

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³⁶ See, e.g., 43 FR 26380 at 26401, June 19, 1978; 45 FR 52676 at 52678, August 7, 1980; and EPA memo titled “Air Quality Analysis for Prevention of Significant Deterioration,” July 5, 1988. (“...for any increment violation (new or existing) for which the proposed source has a significant impact, the permit should not be approved unless the increment violation is corrected prior to operation of the proposed source.) Note that this policy for the PSD increments differs from the policy for sources that contribute to an existing NAAQS violation, for which the proposed sources needs only compensate for its own adverse impact on the NAAQS violation in accordance with 40 CFR 51.165(b)(3).

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Appendix A: Draft Conceptual Description of O₃ and PM_{2.5} Concentrations in the U.S.

This appendix provides a brief summary of the current O₃ and PM_{2.5} monitoring networks. It also characterizes O₃ and PM air quality in terms of their precursor emissions and chemical composition, concentration levels, and spatial and temporal patterns across the nation based on the ambient data and analyses contained in the EPA's "Integrated Science Assessment for Ozone and Related Photochemical Oxidants,"³⁷ "The Particle Pollution Report,"³⁸ and "Particulate Matter Staff Paper."³⁹ Such information may be useful for permit applicants in preparing conceptual descriptions, as discussed in this guidance. Permit applicants also encouraged to reference the EPA's "Air Quality Trends" website at <https://www.epa.gov/air-trends> for the current O₃ and PM_{2.5} trends and design values.

Conceptual Descriptions of O₃

1. O₃ Monitoring Networks

To monitor compliance with the NAAQS, state, local, and tribal environmental agencies operate O₃ monitoring sites at various locations, depending on the population of the area and typical peak O₃ concentrations. In 2015, there were over 1,300 O₃ monitors reporting O₃ concentration data to EPA. All monitors that currently report O₃ concentration data to the EPA use ultraviolet Federal Equivalent Methods (FEMs). Since the highest O₃ concentrations tend to be associated with particular seasons for various locations, EPA requires O₃ monitoring during specific monitoring seasons which vary by state. The O₃ monitoring seasons for each state are listed in Appendix D to 40 CFR part 58.

Figure A-1 shows the locations of all U.S. ambient O₃ monitoring sites reporting data to EPA during the 2013-2015 period. The gray dots represent State and Local Ambient Monitoring Stations (SLAMS) which are operated by state and local governments to meet regulatory requirements and provide air quality information to public health agencies. SLAMS monitors make up about 80 percent of the ambient O₃ monitoring network in the U.S. The minimum monitoring requirements to meet the SLAMS O₃ network design criteria are specified in Appendix D to 40 CFR part 58. The requirements are based on both population and ambient concentration levels for each Metropolitan Statistical Area (MSA). At least one site for each MSA must be designed to record the maximum concentration for that particular area. The blue dots highlight two important subsets of monitoring sites within the SLAMS network: the "National Core" (NCore) network, which consists of about 80 monitoring sites that collect multi-pollutant measurements on a year-round basis, and the "Photochemical Assessment Monitoring

³⁷ U.S. Environmental Protection Agency (2013). Integrated Science Assessment for Ozone and Related Photochemical Oxidants. U.S. Environmental Protection Agency, Research Triangle Park, NC. EPA/600/R-10/076 (2013 ISA), section 3.2.2 found at <https://cfpub.epa.gov/ncea/isa/recordisplay.cfm?deid=247492>.

³⁸ The Particle Pollution Report: Current Understanding of Air Quality and Emissions through 2003. http://www.epa.gov/airtrends/aqtrnd04/pmreport03/pmcover_2405.pdf#page=1.

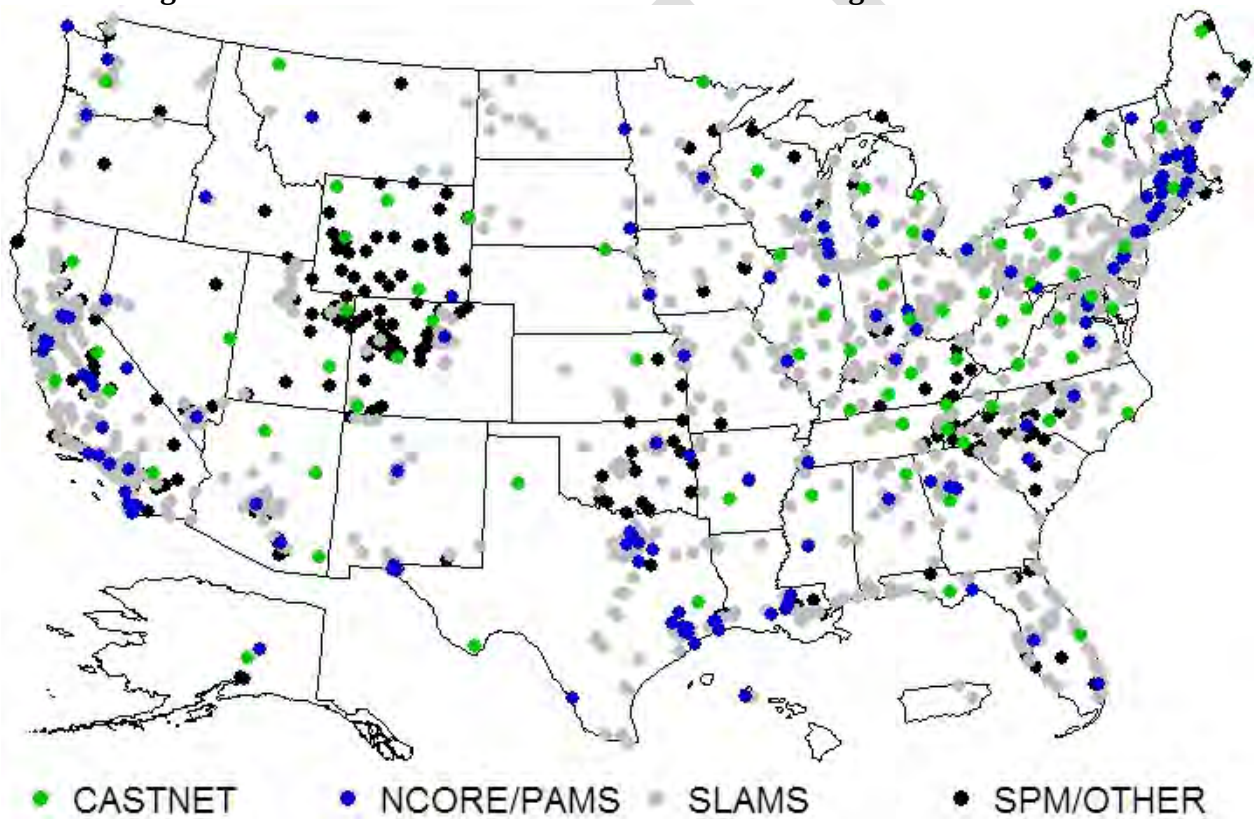
³⁹ Particulate Matter Staff Paper: Review completed in 2012. http://www.epa.gov/ttn/naaqs/standards/pm/s_pm_cr_sp.html.

Stations” (PAMS) network, which consists of about 75 monitoring sites that collect summertime measurements of various precursor gases involved O₃ formation.

The green dots in Figure A-1 represent O₃ monitoring sites in the Clean Air Status and Trends Network (CASTNet) which are mostly located in rural areas. There were about 80 CASTNet sites reporting data to EPA in 2015, with sites in the eastern U.S. generally being operated by the EPA, and sites in the western U.S. generally being operated by the National Park Service (NPS).

Finally, the black dots in Figure A-1 represent “Special Purpose” (SPM) monitoring sites, which generally collect data for research studies, public health reporting, or other non-regulatory purposes, and all other O₃ monitoring sites which includes monitors operated by tribes, industry, and other federal agencies such as the U.S. Forest Service (USFS).

Figure A-1. Locations of U.S. Ambient O₃ Monitoring Sites in 2013-2015



2. O₃ Precursor Emissions and Atmospheric Chemistry

O₃ is formed by photochemical reactions of precursor gases and is not directly emitted from specific sources. In the stratosphere, O₃ occurs naturally and provides protection against harmful solar ultraviolet radiation. In the troposphere, near ground level, O₃ forms through atmospheric reactions involving two main classes of precursor pollutants: volatile organic

compounds (VOCs) and nitrogen oxides (NO_x). Carbon monoxide (CO) and methane (CH₄) are also important for O₃ formation over longer time periods.⁴⁰

Emissions of O₃ precursor compounds can be divided into anthropogenic and natural source categories, with natural sources further divided into biogenic emissions (from vegetation, microbes, and animals) and abiotic emissions (from biomass burning, lightning, and geogenic sources). Anthropogenic sources, including mobile sources and power plants, account for the majority of NO_x and CO emissions. Anthropogenic sources are also important for VOC emissions, though in some locations and at certain times of the year (*e.g.*, southern states during summer), the majority of VOC emissions come from vegetation.⁴¹ In practice, the distinction between natural and anthropogenic sources is often unclear, as human activities directly or indirectly affect emissions from what would have been considered natural sources during the preindustrial era. Thus, emissions from plants, animals, and wildfires could be considered either natural or anthropogenic, depending on whether emissions result from agricultural practices, forest management practices, lightning strikes, or other types of events.⁴²

Rather than varying directly with emissions of its precursors, O₃ changes in a nonlinear fashion with the concentrations of its precursors. NO_x emissions lead to both the formation and destruction of O₃, depending on the local quantities of NO_x, VOC, radicals, and sunlight. In areas dominated by fresh emissions of NO_x, radicals are removed, which lowers the O₃ formation rate. In addition, the scavenging of O₃ by reaction with NO is called “titration” and is often found in downtown metropolitan areas, especially near busy streets and roads, as well as in power plant plumes. This short-lived titration results in localized areas in which O₃ concentrations are suppressed compared to surrounding areas, but which contain NO₂ that adds to subsequent O₃ formation further downwind. Consequently, O₃ response to reductions in NO_x emissions is complex and may include O₃ decreases at some times and locations and increases of O₃ at other times and locations. In areas with relatively low NO_x concentrations, such as those found in remote continental areas and rural and suburban areas downwind of urban centers, O₃ production typically varies directly with NO_x concentrations (*e.g.*, decreases with decreasing NO_x emissions). The NO_x titration effect is most pronounced in urban core areas which have higher volume of mobile source NO_x emissions from vehicles than do the surrounding areas. It should be noted that such locations, which are heavily NO_x saturated (or radical limited), tend to have much lower observed O₃ concentrations than downwind areas. As a general rule, as NO_x emissions reductions occur, one can expect lower O₃ values to increase while the higher O₃ values would be expected to decrease. NO_x reductions are expected to result in a compressed O₃ distribution, relative to current conditions.

The formation of O₃ from precursor emissions is also affected by meteorological parameters such as the intensity of sunlight and atmospheric mixing. Major episodes of high ground-level O₃ concentrations in the eastern United States are associated with slow-moving high pressure systems. High pressure systems during the warmer seasons are associated with the sinking of air, resulting in warm, generally cloudless skies, with light winds. The sinking of air

⁴⁰ 2013 ISA, section 3.2.2.

⁴¹ 2013 ISA, section 3.2.1.

⁴² 2013 ISA, sections 3.2 and 3.7.1.

results in the development of stable conditions near the surface which inhibit or reduce the vertical mixing of O₃ precursors. The combination of inhibited vertical mixing and light winds minimizes the dispersal of pollutants, allowing their concentrations to build up. In addition, in some parts of the United States (*e.g.*, in Los Angeles), mountain barriers limit mixing and result in a higher frequency and duration of days with elevated O₃ concentrations. Photochemical activity involving precursors is enhanced during warmer seasons because of the greater availability of sunlight and higher temperatures.⁴³

3. Spatial and Temporal Patterns in Ambient O₃ Concentrations

3.1. Diurnal and Seasonal Patterns

Since O₃ formation is a photochemical process, it is not surprising that concentration levels have strong diurnal and seasonal patterns. Concentration levels tend to be highest at times when sunlight reaches its highest intensity, namely during the afternoon hours of the late spring and summer months. However, there are other factors at work, such as the influence of biogenic VOC emissions and stratospheric intrusions during the spring months, long-range transport, and traffic patterns which often cause peak NO_x emissions to occur during the morning and evening rush hours.

Figure A-2 shows the diurnal pattern in the hourly O₃ concentrations based on ambient monitoring data from 2000 to 2015. For each monitoring site, the median (top panel) and 95th percentile (bottom panel) values for each hour of the day were calculated, and each boxplot shows the range of those values for that particular hour across all monitoring sites. The whiskers of each boxplot extend to the 5th and 95th percentiles, the box represents the inter-quartile range, and the centerline represents the median value. The median and 95th percentile values show a consistent pattern in that O₃ levels tend to be lowest during the early AM hours, increasing rapidly after sunrise. Concentrations typically reach their peak during the afternoon hours, then decrease at a fairly constant rate throughout the evening and nighttime hours.

Figure A-3 shows the seasonal pattern in the daily maximum 8-hour O₃ concentrations based on ambient monitoring data from 2000 to 2015. For each monitoring site, the median (top panel) and 95th percentile (bottom panel) values for each month of the year were calculated, and each boxplot shows the range of those values for that particular month across all monitoring sites. The whiskers of each boxplot extend to the 5th and 95th percentiles, the box represents the inter-quartile range, and the centerline represents the median value. Again, the median and 95th percentile values show a consistent pattern in that O₃ levels tend to be highest during the spring and summer months (April to September), and lower during the fall and winter months (October to March).

⁴³ 2013 ISA, section 3.2.

Figure A-2. Distribution of Median and 95th Percentile Hourly O₃ Concentrations by Hour of the Day based on 2000-2015 Monitoring Data

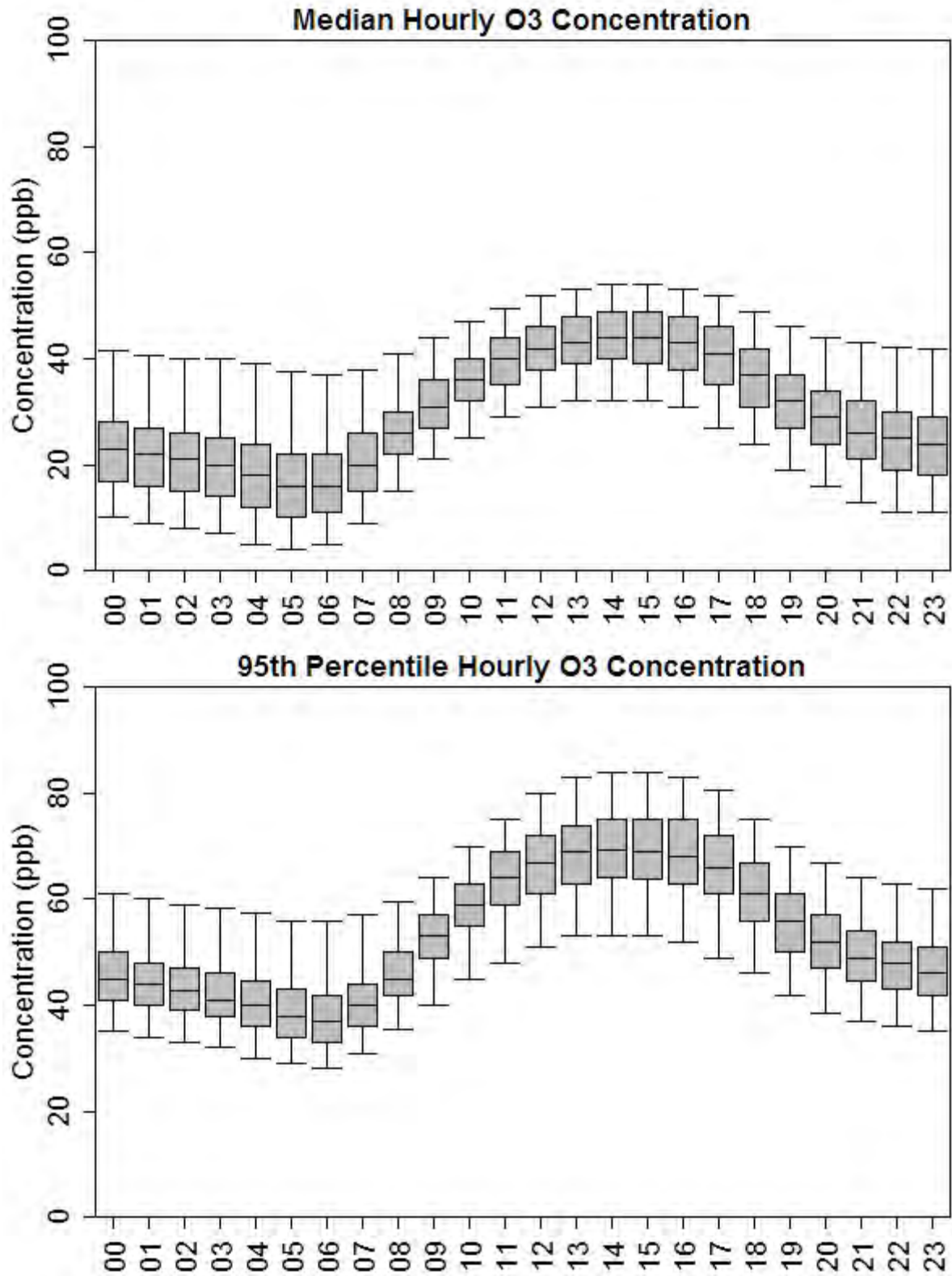
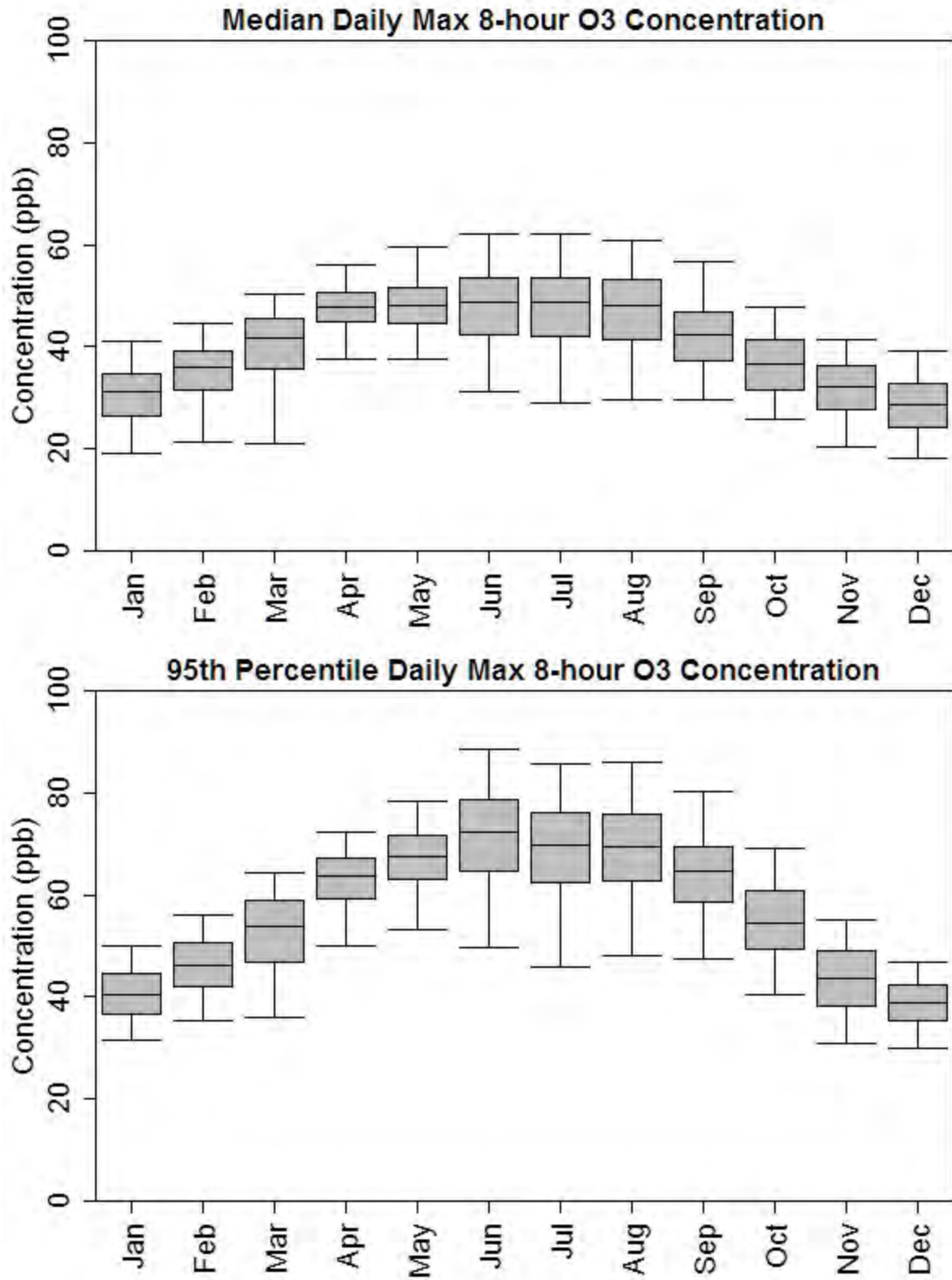


Figure A-3. Distribution of Median and 95th Percentile Daily Maximum 8-hour O₃ Concentrations by Month of the Year based on 2000-2015 Monitoring Data

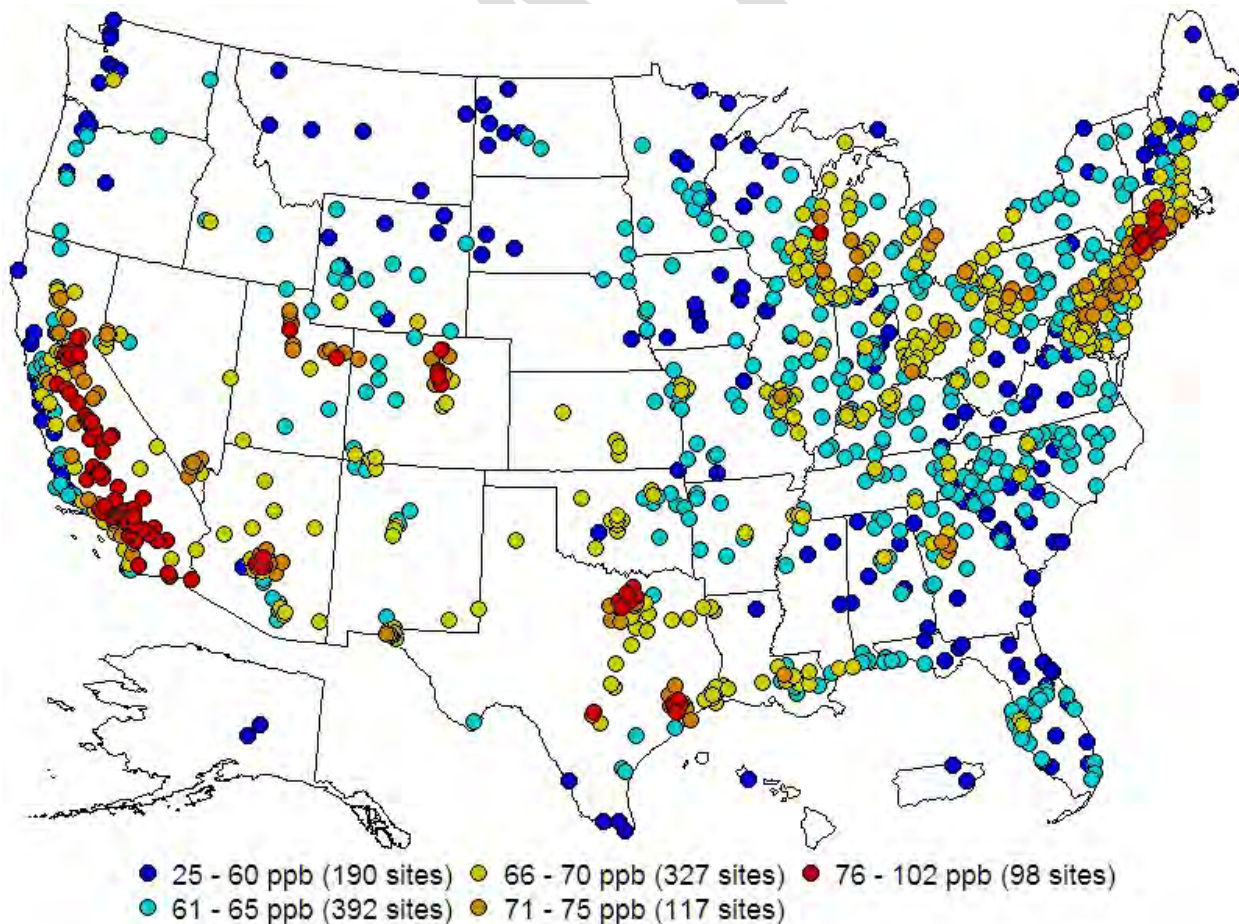


3.2. Spatial Patterns

To determine whether or not the O₃ NAAQS has been met at an ambient monitoring site, a statistic commonly referred to as a “design value” must be calculated based on three consecutive years of data collected from that site. The form of the O₃ NAAQS design value statistic is the 3-year average of the annual 4th highest daily maximum 8-hour O₃ concentration in parts per million (ppm). The O₃ NAAQS is met at an ambient monitoring site when the design value is less than or equal to 0.070 ppm. In counties or other geographic areas with multiple monitors, the area-wide design value is defined as the design value at the highest individual monitoring site, and the area is said to have met the NAAQS if all monitors in the area are meeting the NAAQS.

Figure A-4 shows a map of the O₃ design values in the U.S. based on data collected during the 2013-2015 period. The highest design values occur in California and near large metropolitan areas such as Dallas, Denver, Houston, New York City, and Phoenix. The lowest design values occur in the Pacific Northwest, the Northern Rockies, the Upper Midwest, and parts of New England and the Southeast. In general, sparsely populated areas tend to have lower design values than more urbanized areas.

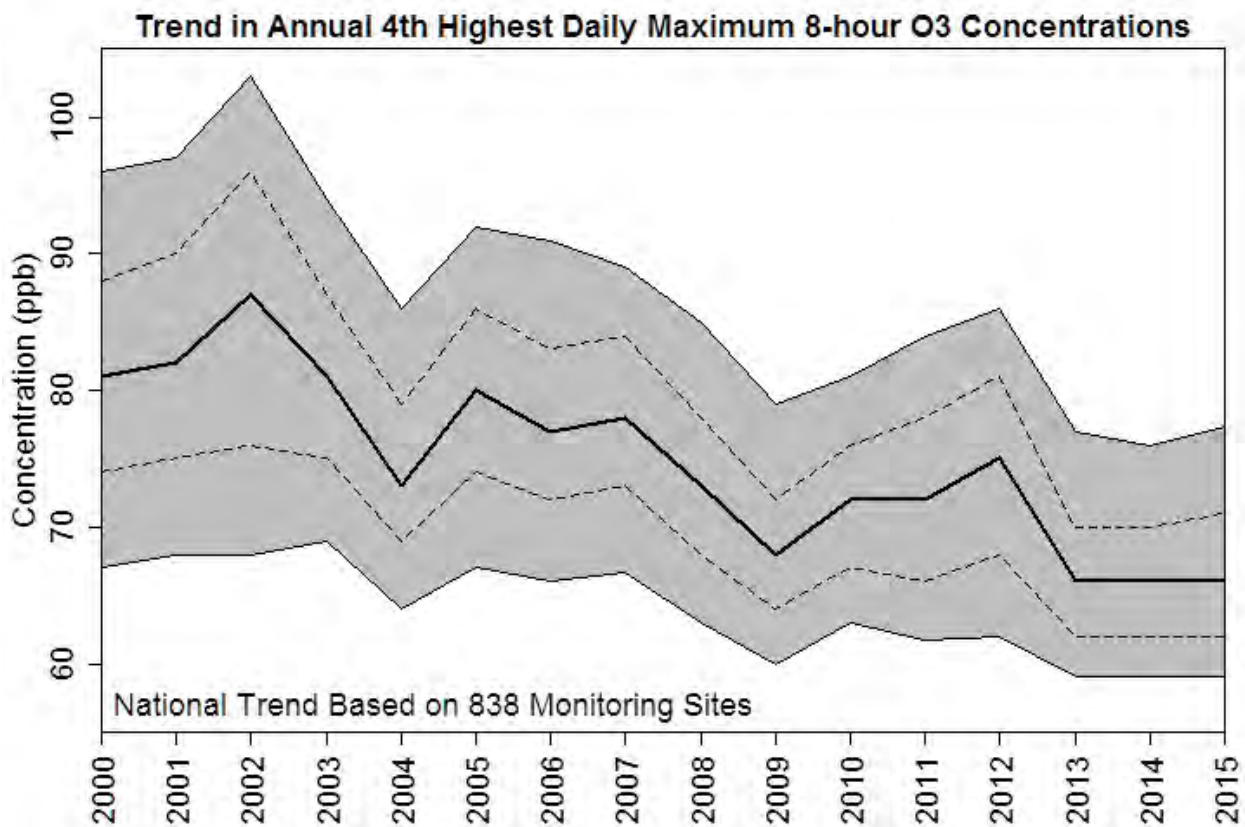
Figure A-4. Map of 2013-2015 O₃ Design Values in parts per billion (ppb)



3.3. Interannual Variability and Trends

Figure A-5 shows the national trend in the annual 4th highest daily maximum 8-hour O₃ concentration from 2000 to 2015. The solid black line represents the median value for each year based on 838 “trends” sites with complete monitoring records, the dashed lines represent the 25th and 75th percentile values for each year, and the shaded gray area covers the 10th percentile value up to the 90th percentile value for each year. While there is considerable year-to-year variability, overall the trend shows an improvement in O₃ air quality over the 15-year period. In fact, the median annual 4th highest value has decreased by 18% since the beginning of the century, and by 24% since 2002.

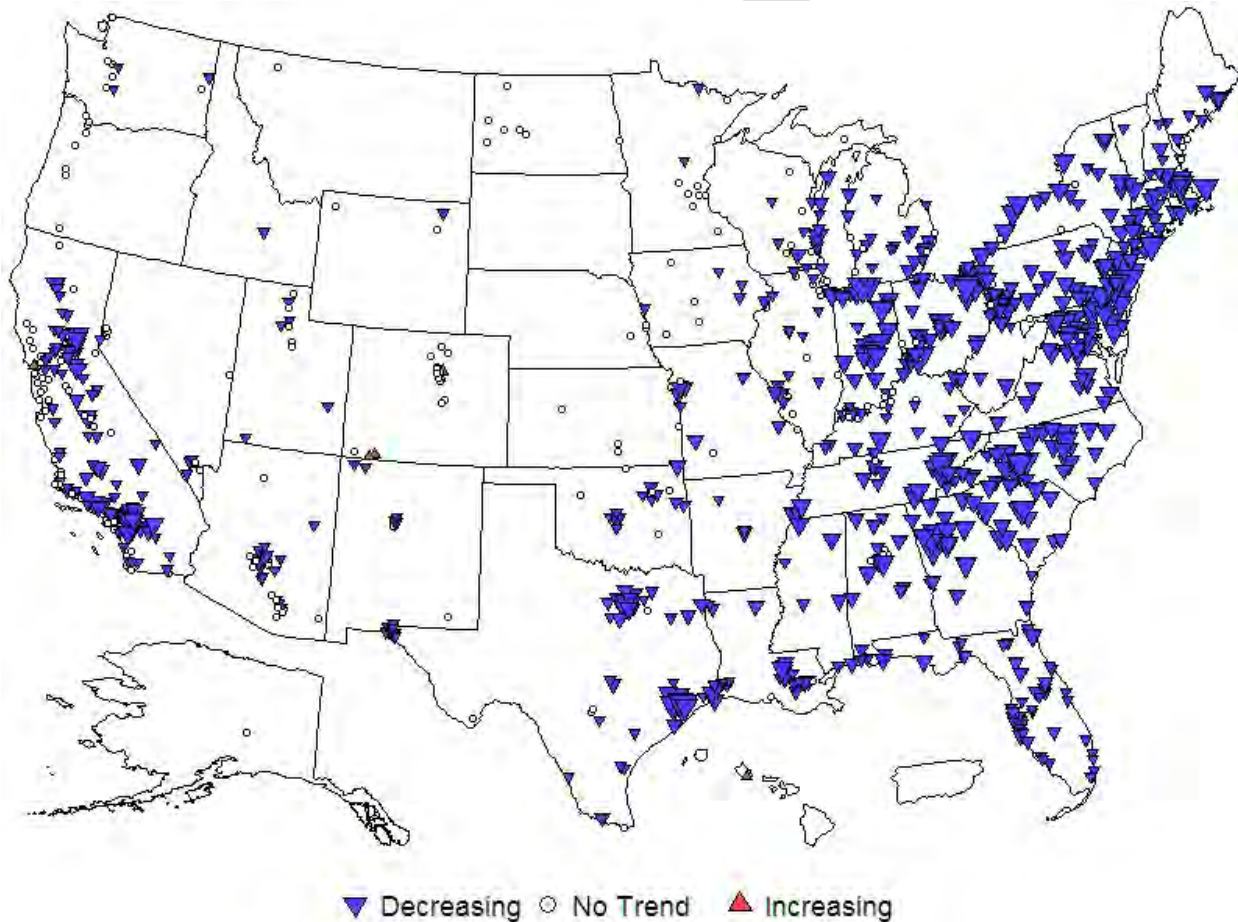
Figure A-5. National Trend in the Annual 4th Highest Daily Maximum 8-hour O₃ Concentration



Since the national trend is a simple aggregate of the site-level trends, it is also important to look at how these trends vary spatially. Figure A-6 shows a map of the trends at each monitoring site with at least 12 complete years of data from 2000-2015. The magnitude of the trend at each site is computed using the Theil-Sen slope estimator, and the Mann-Kendall statistic is calculated in order to test for statistical significance using a threshold of 0.05. The trend at each monitoring site is classified as Decreasing (p-value < 0.05, slope < 0; blue triangles), No Trend (p-value ≥ 0.05, white circles), or Increasing (p-value < 0.05, slope > 0; red triangles). The size of each triangle is proportional to the magnitude of the trend at each monitoring site.

Figure A-6 shows that O₃ levels have decreased across much of the eastern U.S. as a result of regional control programs such as the NO_x SIP Call and the Clean Air Interstate Rule (CAIR). Large reductions have occurred near many urban areas where local control programs have been implemented in addition to the regional controls. In the western U.S., where control programs have been more localized, the reductions have occurred mostly in California and near large urban areas. In other areas most sites have not shown a significant trend, and there are only a handful of sites have shown an increasing trend.

Figure A-6. Map of site-level O₃ trends across the U.S. from 2000 to 2015



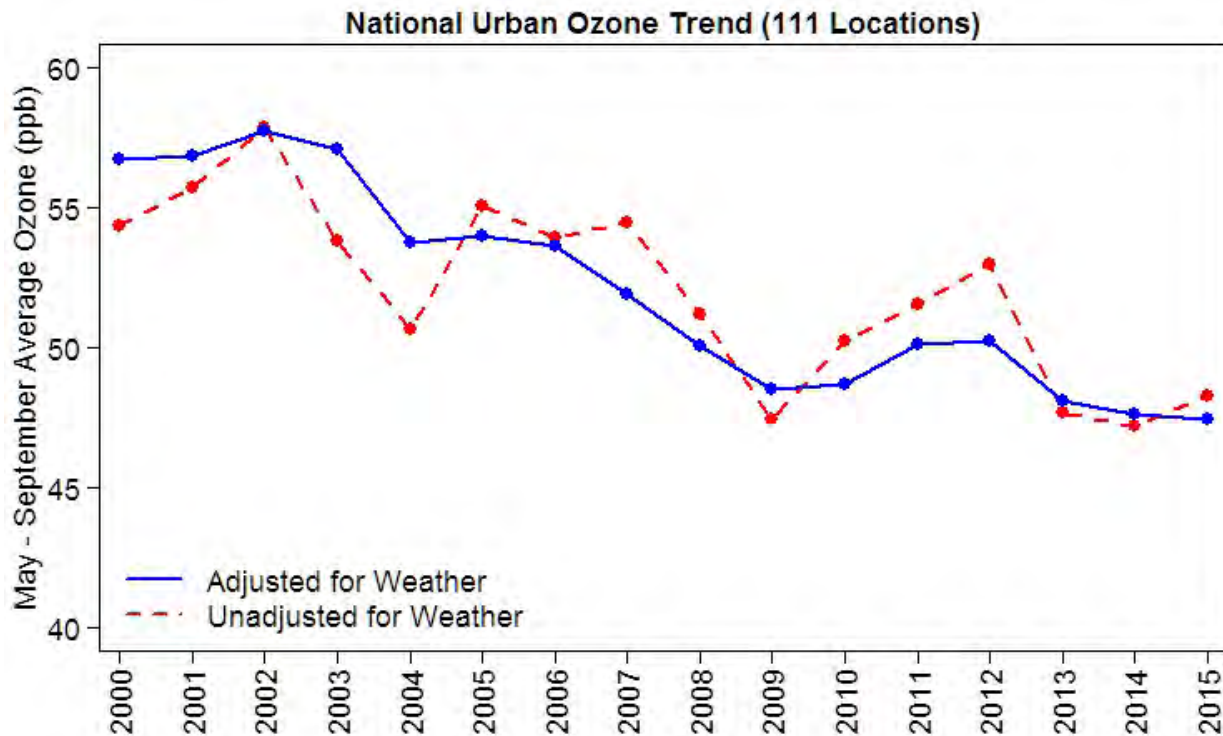
Variations in meteorological conditions play an important role in determining O₃ concentrations. Ozone is more readily formed on warm, sunny days when the air is stagnant. Conversely, O₃ generation is more limited when it is cool, rainy, cloudy, or windy. EPA uses a statistical model to adjust for the variability in seasonal average O₃ concentrations due to weather conditions to provide a more accurate assessment of the underlying trend in O₃ caused by emissions.⁴⁴ Figure A-7 shows the national trend in the May to September mean of the daily

⁴⁴ Louise Camalier, William Cox, and Pat Dolwick (2007). The Effects of Meteorology on Ozone in Urban Areas and their use in Assessing Ozone Trends. *Atmospheric Environment*, Volume 41, Issue 33, October 2007, pages 7127-7137.

maximum 8-hour O₃ concentrations from 2000 to 2015 in 111 urban locations. The dotted red line shows the trend in observed O₃ concentrations at selected monitoring sites, while the solid blue line shows the underlying O₃ trend at those sites after removing the effects of weather. The solid blue lines represent O₃ levels anticipated under “typical” weather conditions and serve as a more accurate assessment of the trend in O₃ due to changes in precursor emissions.

Figure A-7 shows that after adjusting for the year-to-year variability in meteorology, the overall trend in seasonal average O₃ concentrations is much smoother. The adjusted trend clearly shows that the NO_x SIP Call program resulted in a sharp decrease in summertime O₃ concentrations starting in 2004. The adjusted trend also indicates that O₃ levels decreased between 2004 and 2009, followed by a small increase from 2009 to 2012, then continued to decrease after 2012.

Figure A-7. Trend in the May to September mean of the daily maximum 8-hour O₃ concentration before (dotted red line) and after (solid blue line) adjusting for year-to-year variability in meteorology.



Conceptual Description of PM_{2.5}

1. PM_{2.5} Monitoring Networks

1.1. PM Mass Networks

The 1997 promulgation of a fine particulate NAAQS led to deployment of over 1,500 PM_{2.5} sites (about 1,000 currently in operation) used to determine whether an area complies with the standard. These sites use a Federal Reference Method (FRM) or Federal Equivalent Method (FEM), daily sampling over 24-hours, or every third or sixth day. Nearly 200 additional measurements not meeting FRM or FEM specifications are provided by the chemical speciation sites (Figure A-1). Approximately 450 stations provide indirect measurements of continuous FEM (hourly resolution) PM_{2.5} mass.

1.2. Interagency Monitoring of Protected Visual Environments (IMPROVE) Program

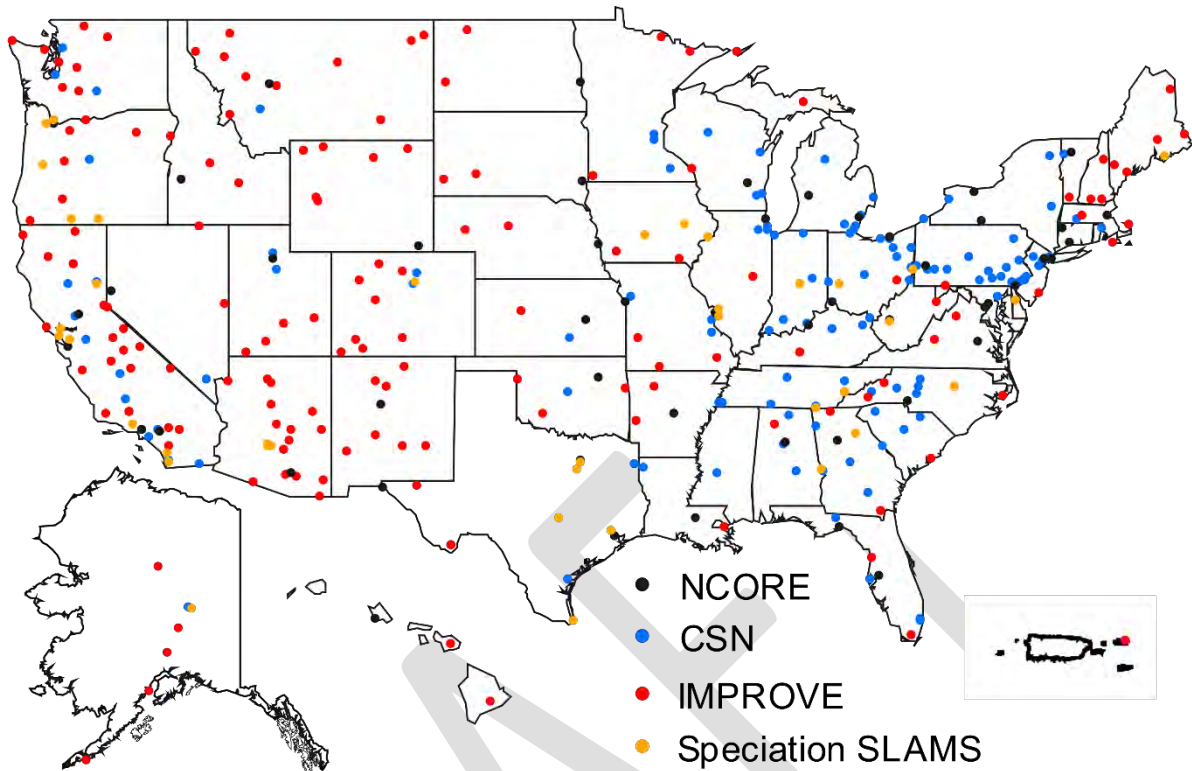
The IMPROVE network, with over 150 sites, has provided nearly a 20+ year record of major components of PM_{2.5} (sulfate, nitrate, organic and elemental carbon fractions, and trace metals) in pristine areas of the United States (Figure A-8). IMPROVE is led by the National Park Service; various federal and state agencies support its operations. The primary focus of the network is to track visibility and trends in visibility.

1.3. PM_{2.5} Chemical Speciation Monitoring

In addition to the IMPROVE network, approximately 200 EPA speciation sites operate in urban areas of the United States to assist PM_{2.5} assessment efforts. No FRM exists for particulate speciation, which is not directly required to determine attainment, and there are slight differences between monitors and methods used in the Chemical Speciation Network (CSN). However, the network's coverage (Figure A-8) across urban and rural areas has proved essential for a wide range of research and analysis. The speciation networks typically collect a 24-hour sample every three, and sometimes six, days.

Only a handful of sites provide near continuous speciation data, usually limited to some combination of sulfate, carbon (organic and elemental splits) and nitrate. This enables insight to diurnal patterns for diagnosing various cause-effect phenomena related to emissions characterization, source attribution analysis and model evaluation.

Figure A-8. Locations of chemical speciation sites delineated by program type



2. Composition of PM_{2.5}

Particulate matter (PM) is a highly complex mixture of solid particles and liquid droplets distributed among numerous atmospheric gases which interact with solid and liquid phases. Particles range in size from those smaller than 1 nanometer (10^{-9} meter) to over 100 microns (1 micron is 10^{-6} meter) in diameter (for reference, a typical strand of human hair is 70 microns and particles less than about 20 microns generally are not detectable by the human eye). Particles are classified as PM_{2.5} and PM_{10-2.5}, corresponding to their size (diameter) range in microns and referring to total particle mass under 2.5 and between 2.5 and 10 microns, respectively.

Particles span many sizes and shapes and consist of hundreds of different chemicals. Particles are emitted directly from sources and also are formed through atmospheric chemical reactions and often are referred to as primary and secondary particles, respectively. Particle pollution also varies by time of year and location and is affected by several aspects of weather such as temperature, clouds, humidity, and wind. Further complicating particles is the shifting between solid/liquid and gaseous phases influenced by concentration and meteorology, especially temperature.

Particles are made up of different chemical components. The major components, or species, are carbon, sulfate and nitrate compounds, and crustal materials such as soil and ash (Figure A-9). The different components that make up particle pollution come from specific sources and are often formed in the atmosphere. Particulate matter includes both “primary” PM, which is directly emitted into the air, and “secondary” PM, which forms indirectly from fuel

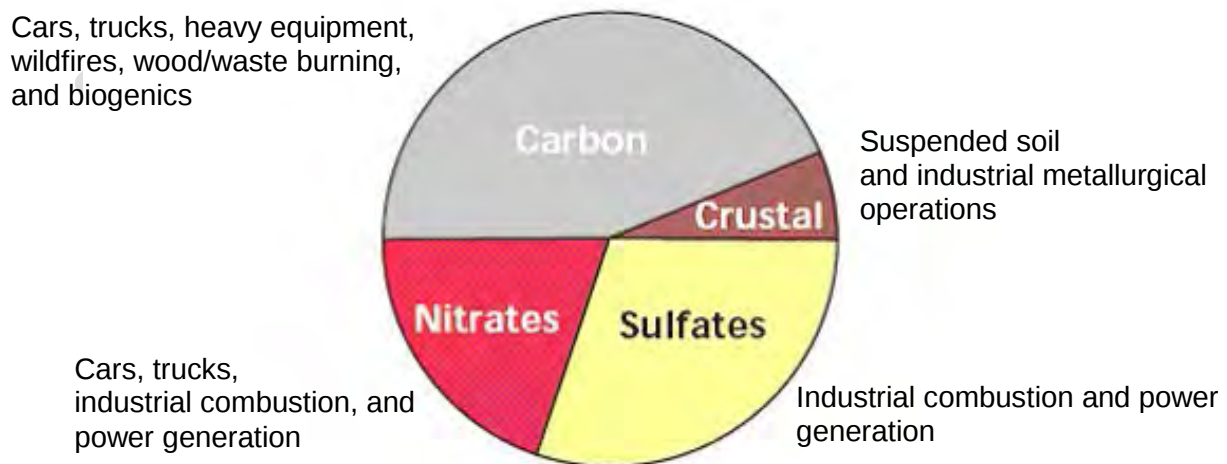
combustion and other sources. Primary PM consists of carbon (soot) emitted from cars, trucks, heavy equipment, forest fires, and burning waste and crustal material from unpaved roads, stone crushing, construction sites, and metallurgical operations. Secondary PM forms in the atmosphere from gases. Some of these reactions require sunlight and/or water vapor. Secondary PM includes:

- Sulfates formed from sulfur dioxide emissions from power plants and industrial facilities;
- Nitrates formed from nitrogen oxide emissions from cars, trucks, industrial facilities, and power plants; and
- Carbon formed from reactive organic gas emissions from cars, trucks, industrial facilities, forest fires, and biogenic sources such as trees.

In addition, ammonia from sources such as fertilizer and animal feed operations is part of the formation of sulfates and nitrates that exist in the atmosphere as ammonium sulfate and ammonium nitrate. Note that fine particles can be transported long distances by wind and weather and can be found in the air thousands of miles from where they were formed.

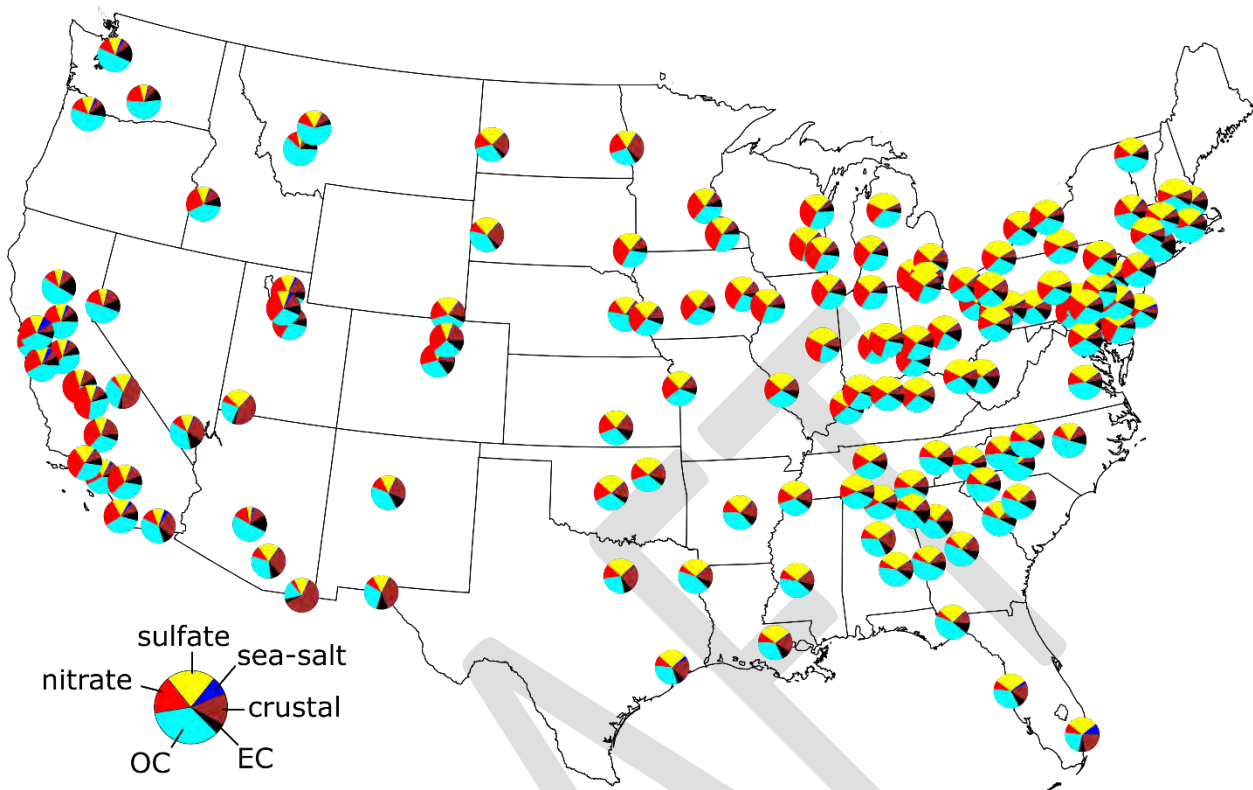
The chemical makeup of particles varies across the United States (as shown in Figure A-10). For example, fine particles in the eastern half of the United States contain more sulfates than those in the West, while fine particles in southern California contain more nitrates than other areas of the country. Organic carbon is a substantial component of fine particle mass everywhere.

Figure A-9. National Average of Source Impacts on Fine Particle Levels



Source: The Particulate Matter Report, EPA-454-R-04-002, Fall 2004. Carbon reflects both organic carbon and elemental carbon. Organic carbon accounts for automobiles, biogenics, gas-powered off-road, and wildfires. Elemental carbon is mainly from diesel powered sources.

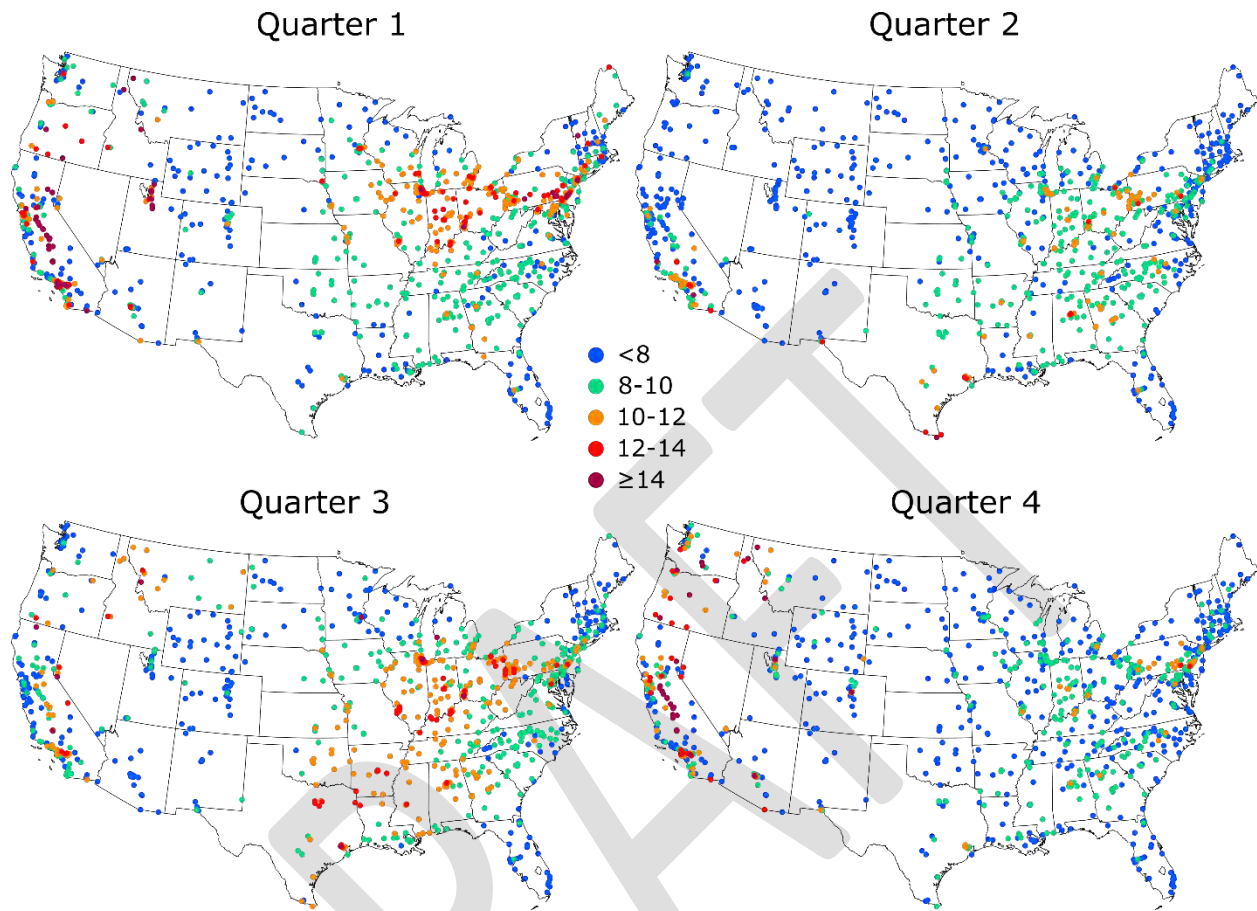
Figure A-10. Annual Average PM_{2.5} Composition grouped by CBSA: 2013-2015



3. Seasonal and Daily Patterns of PM_{2.5}

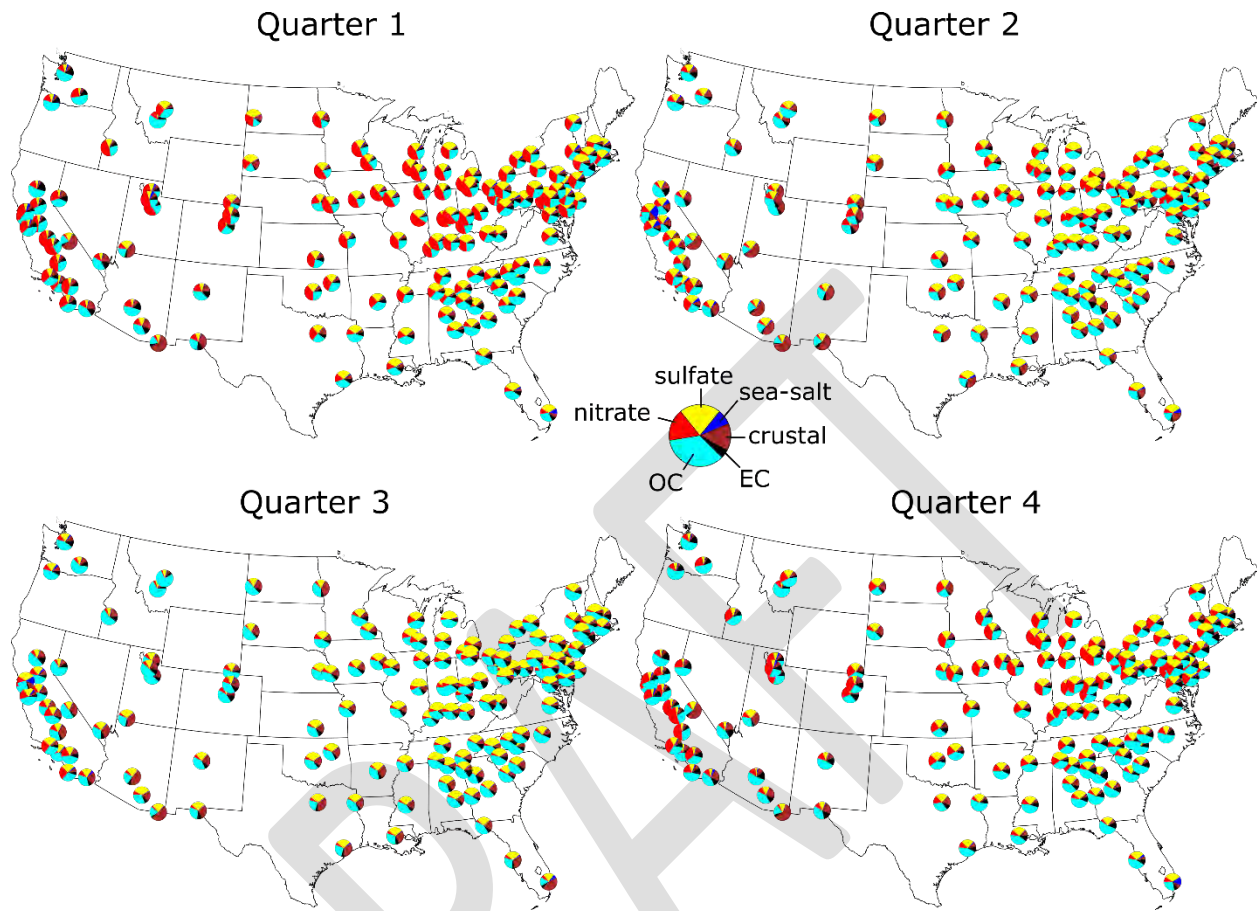
Fine particles often have a seasonal pattern. Both daily values and quarterly average of PM_{2.5} also reveal patterns based on the time of year. Unlike daily O₃ levels, which are usually elevated in the summer, daily PM_{2.5} values at some locations can be high at any time of the year. As shown in Figure A-11, PM_{2.5} values in the eastern half of the United States are typically higher in the third calendar quarter (July-September) when sulfates are more readily formed from sulfur dioxide (SO₂) emissions from power plants in that region and when secondary organic aerosol is more readily formed in the atmosphere. Fine particle concentrations tend to be higher in the first calendar quarter (January through March) in the Midwest in part because fine particle nitrates are more readily formed in cooler weather. PM_{2.5} values are high during the first (January through March) and fourth calendar quarter (October through December) in many areas of the West, in part because of fine particle nitrates and also due to carbonaceous particles which are directly emitted from wood stove and fireplace use. Average concentration from all locations reporting PM_{2.5} with valid design values is shown.

Figure A-11. Quarterly Averages of PM_{2.5} Concentration ($\mu\text{g m}^{-3}$): 2013-2015



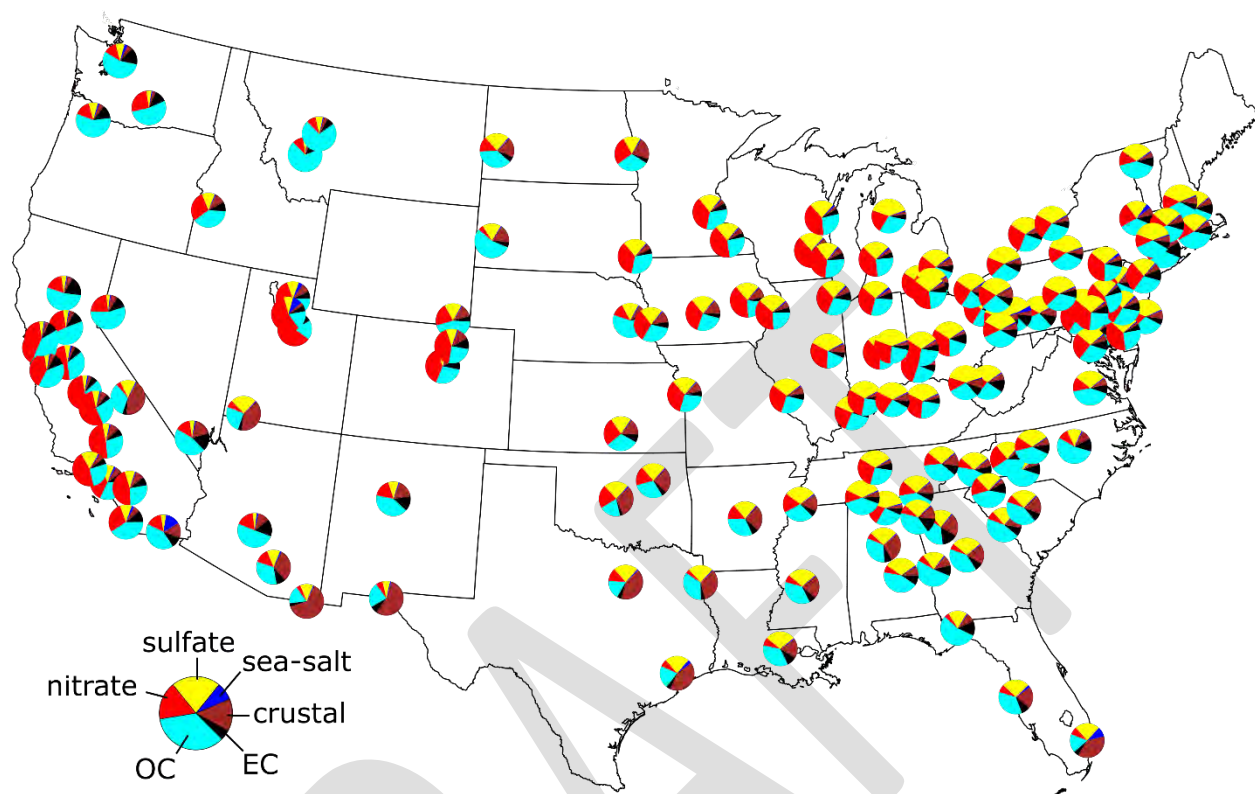
The composition of PM_{2.5} also varies by season and helps explain why mass varies by season. Figure A-12 shows the average composition by season (spring, summer, fall and winter) for PM_{2.5} data collected during 2013-2015. In the eastern United States, sulfate are high in the spring (March-May) and summer (July-September). Nitrates are most evident in the midwest and western cities where its percentage is moderately high in the winter and fall. Organic carbon (OC) is high throughout the year.

Figure A-12. Quarterly Average PM_{2.5} Composition grouped by CBSA: 2013-2015



The composition of the highest daily PM_{2.5} values may be different than that for the annual average. Figure A-13 provides 2013-2015 data PM_{2.5} composition on high mass days across the United States. Mass is proportioned into six components: sulfates, nitrates, OC, elemental carbon (EC), crustal material, and sea-salt. Except for the southeast (where there is little nitrate in PM_{2.5}), nitrates are slightly higher in the top 10 percent of the PM_{2.5} days. For the 2013-2015 measurements, the percent of sulfates is currently similar or slightly less on the top 10 percent of the days as compared to the annual averages. The portion of OC appears to be similar on the high days compared to the annual averages, except for the Northern Rockies and Upper Midwest where the high days are influenced by OC from wood stoves/fireplaces and wildfires.

Figure A-13. PM_{2.5} Composition on 10% highest mass concentration days grouped by CBSA: 2013-2015



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Appendix B: General Guidance on Use of Dispersion Models for Estimating Primary PM_{2.5} Concentrations

This appendix provides general guidance on the application of dispersion models for estimating ambient concentrations of PM_{2.5} associated with direct emissions of primary PM_{2.5}. This guidance is based on and is consistent with the EPA's *Guideline on Air Quality Models*, published as Appendix W of 40 CFR part 51, and focuses primarily on the application of AERMOD, the EPA's preferred dispersion model for most situations. Appendix W is the primary source of information on the regulatory application of air quality models for State Implementation Plan (SIP) revisions for existing sources and for New Source Review (NSR) and Prevention of Significant Deterioration (PSD) programs. There will be applications of dispersion models unique to specific areas, (*i.e.*, there may be areas of the country where it is necessary to model unique specific sources or types of sources). In such cases, there should be consultation with the state or appropriate permitting authority with the appropriate EPA Regional Office modeling contact to discuss how best to model a particular source.

Recently issued EPA guidance of relevance for consideration in modeling for PM_{2.5} includes:

- "Model Clearinghouse Review of Modeling Procedures for Demonstrating Compliance with PM_{2.5} NAAQS" February 26, 2010 (U.S. EPA, 2010a);
- "Modeling Procedures for Demonstrating Compliance with PM_{2.5} NAAQS" March 23, 2010 (U.S. EPA, 2010b); and
- "Transportation Conformity Guidance for Quantitative Hot-spot Analyses in PM_{2.5} and PM₁₀ Nonattainment and Maintenance Areas" November 2013 (U.S.EPA, 2013a).

The guidance listed above, in addition to other relevant support documents can be found on the SCRAM website at: <https://www.epa.gov/scram>.

The following sections will refer to the relevant sections of Appendix W and other existing guidance with summaries as necessary. Please refer to those original guidance documents for full discussion and consult with the appropriate EPA Regional Office modeling contact if questions arise about interpretation on modeling techniques and procedures.⁴⁵

1. Model selection

Preferred air quality models for use in regulatory applications are addressed in Appendix A of the EPA's *Guideline on Air Quality Models*. If a model is to be used for a particular application, the user should follow the guidance on the preferred model for that application. These models may be used without an area specific formal demonstration of applicability as long as they are used as indicated in each model summary of Appendix A. Further recommendations for the application of these models to specific source problems are found in Appendix W. In

⁴⁵ A list of EPA Regional Office modeling contacts is available on the SCRAM website at: <https://www.epa.gov/scram/air-modeling-regional-contacts>.

2005, the EPA promulgated the American Meteorological Society/Environmental Protection Agency Regulatory Model (AERMOD) as the Agency's preferred near-field dispersion model for a wide range of regulatory applications in all types of terrain based on extensive developmental and performance evaluation. For PSD/NSR modeling under the PM_{2.5} NAAQS, AERMOD should be used to model primary PM_{2.5} emissions unless use of an alternative model can be justified (section 3.2, Appendix W).

The AERMOD modeling system includes the following components:

- AERMOD: the dispersion model (U.S. EPA, 2019a);
- AERMAP: the terrain processor for AERMOD (U.S. EPA, 2018,); and
- AERMET: the meteorological data processor for AERMOD (U.S. EPA, 2019b,).

Other components that may be used, depending on the application, are:

- BPIPPRIME: the building input processor (U.S. EPA, 2004);
- AERSURFACE: the surface characteristics processor for AERMET (U.S. EPA, 2008);
- AERSCREEN: a screening version of AERMOD (U.S. EPA, 2016a; U.S. EPA, 2011); and
- AERMINUTE: a pre-processor to calculate hourly average winds from ASOS 2-minute observations (U.S. EPA, 2015).

Before running AERMOD, the user should become familiar with the user's guides associated with the modeling components listed above and the AERMOD Implementation Guide (AIG) (U.S. EPA, 2019c). The AIG lists several recommendations for applications of AERMOD that would be applicable for SIP and PSD permit modeling.

1.2. Receptor grid

The model receptor grid is unique to the particular situation and depends on the size of the modeling domain, the number of modeled sources, and complexity of the terrain. Receptors should be placed in areas that are considered ambient air (*i.e.*, outside of buildings and where the public generally has access) and placed out to a distance such that areas of violation can be detected from the model output to help determine the size of nonattainment areas. Receptor placement should be of sufficient density to provide resolution needed to detect significant gradients in the concentrations with receptors placed closer together near the source to detect local gradients and placed farther apart away from the source. In addition, the user may want to place receptors at key locations such as around facility "fence lines"⁴⁶ (which define the ambient air boundary for a particular source) or monitor locations (for comparison to monitored

⁴⁶ It should be noted that the term "fence line" for modeling purposes generally makes reference to a source's property boundary and may not refer literally to the existence of a fence at such boundary. The EPA's "ambient air" policy does not mandate that public access to a source's property be precluded by a fence; other measures that effectively preclude public access may be approved for establishing an ambient air exclusion for PSD modeling purposes.

concentrations for model evaluation purposes). The receptor network should cover the modeling domain. States may already have existing receptor placement strategies in place for regulatory dispersion modeling under NSR/PSD permit programs.

If modeling indicates elevated levels of PM_{2.5} (near the standard) near the edge of the receptor grid, consideration should be given to expanding the grid or conducting an additional modeling run centered on the area of concern. As noted above, terrain complexity should also be considered when setting up the receptor grid. If complex terrain is included in the model calculations, AERMOD requires that receptor elevations be included in the model inputs. In those cases, the AERMAP terrain processor (U.S. EPA, 2018) should be used to generate the receptor elevations and hill heights. The latest version of AERMAP (version 09040 or later) can process either Digitized Elevation Model (DEM) or National Elevation Data (NED) data files. The AIG recommends the use of NED data since it is more up to date than DEM data, which is no longer updated (Section 4.3 of the AIG).

2. Source inputs

This section provides guidance on source characterization to develop appropriate inputs for dispersion modeling with the AERMOD modeling system. Section 2.1 provides guidance on use of emission, Section 2.2 covers guidance on Good Engineering Practice (GEP) stack heights, Section 2.3 provides details on source configuration and source types, Section 2.4 provides details on urban/rural determination of the sources, and Section 2.5 provides general guidance on source grouping, which may be important for design value calculations.

2.1. Emissions

Consistent with Appendix W, dispersion modeling for the purposes of PSD permitting should be based on the use of continuous operation at maximum allowable emissions or federally enforceable permit limits (see Table 8-2 of Appendix W) for the project source for all applicable averaging periods. Also consistent with past and current guidance, in the absence of maximum allowable emissions or federally enforceable permit limits, potential to emit emissions (*i.e.*, design capacity) should be used. Maximum allowable emissions and continuous operation should also be assumed for nearby sources included in the modeled inventory for the 24-hr PM_{2.5} NAAQS, while maximum allowable emissions and the actual operating factor averaged over the most recent 2 years should be used for modeled nearby sources for the annual PM_{2.5} NAAQS.

2.2. Good Engineering Practice (GEP) stack height

Consistent with previous modeling guidance and section 7.2.2.1 of Appendix W, for stacks with heights that are within the limits of Good Engineering Practice (GEP), actual heights should be used in modeling. Under the EPA's regulations at 40 CFR 51.100, GEP height, H_g, is determined to be the greater of:

- 65 m, measured from the ground-level elevation at the base of the stack;
- for stacks in existence on January 12, 1979, and for which the owner or operator had obtained all applicable permits or approvals required under 40 CFR parts 51 and 52

$$H_g = 2.5H$$

provided the owner or operator produces evidence that this equation was actually relied on in designing the stack or establishing an emission limitation to ensure protection against downwash;

- for all other stacks,

$$H_g = H + 1.5L,$$

where H is the height of the nearby structure(s) measured from the ground-level elevation at the base of the stack and L is the lesser dimension of height or projected width of nearby structure(s); or

- the height demonstrated by a fluid model or a field study approved by the EPA or the state/local permitting agency which ensures that the emissions from a stack do not result in excessive concentrations of any air pollutant as a result of atmospheric downwash, wakes, eddy effects created by the source itself, nearby structures or nearby terrain features.

For more details about GEP, see the Guideline for Determination of Good Engineering Practice Stack Height Technical Support Document (U.S. EPA, 1985).

If stack heights exceed GEP, then GEP heights should be used with the individual stack's other parameters (temperature, diameter, exit velocity). For stacks modeled with actual heights below GEP that may be subject to building downwash influences, building downwash should be considered as this can impact concentrations near the source (section 7.2.2.1(b), Appendix W). If building downwash is being considered, the BPIPPIRIME program (U.S. EPA, 2004) should be used to input building parameters for AERMOD.

2.3. Source configurations and source types

An accurate characterization of the modeled facilities is critical for refined dispersion modeling, including accurate stack parameters and physical plant layout. Accurate stack parameters should be determined for the emissions being modeled. Since modeling would be done with maximum allowable or potential emissions levels at each stack, the stack's parameters such as exit temperature, diameter, and exit velocity should reflect those emissions levels. Accurate locations (*i.e.*, latitude and longitude or Universal Transverse Mercator (UTM) coordinates and datum)⁴⁷ of the modeled emission sources are also important, as this can affect the impact of an emission source on receptors, determination of stack base elevation, and relative location to any nearby building structures. Not only are accurate stack locations needed, but accurate information for any nearby buildings is important. This information would include

⁴⁷ Latitudes and longitudes to four decimal places position a stack within 30 feet of its actual location and five decimal places position a stack within three feet of its actual location. Users should use the greatest precision available.

location and orientation relative to stacks and building size parameters (height, and corner coordinates of tiers) as these parameters are input into BPIPPRIME to calculate building parameters for AERMOD. If stack locations and or building information are not accurate, downwash will not be accurately accounted for in AERMOD.

Emission source type characterization within the modeling environment is also important. As stated in the AERMOD User's Guide (U.S. EPA, 2019a), emissions sources can be characterized as several different source types: POINT sources, capped stacks (POINTCAP), horizontal stacks (POINTHOR), VOLUME sources, OPENPIT sources, LINE sources, buoyant lines sources (BUOYLINE), rectangular AREA sources, circular area sources (AREACIRC), and irregularly shaped area sources (AREAPOLY). While most sources can be characterized as POINT sources, some sources, such as fugitive releases or nonpoint sources (emissions from ports/ships, airports, or smaller point sources with no accurate locations), may be best characterized as VOLUME or AREA type sources. Sources such as flares can be modeled in AERMOD using the parameter input methodology described in Section 2.1.2 of the AERSCREEN User's Guide (U. S. EPA, 2016a). If questions arise about proper source characterization or typing, users should consult the appropriate EPA Regional Office modeling contact.

2.4. Urban/rural determination

For any dispersion modeling exercise, the urban or rural determination of a source is important in determining the boundary layer characteristics that affect the model's prediction of downwind concentrations. Figure B-1 gives example maximum 24-hour concentration profiles for a 10 meter stack (Figure B-1a) and a 100 m stack (Figure B-1b) based on urban vs. rural designation. The urban population used for the examples is 100,000. In Figure B-1a, the urban concentration is much higher than the rural concentration for distances less than 750 m from the stack but then drops below the rural concentration beyond 750 m. For the taller stack in Figure B-1b, the urban concentration is much higher than the rural concentration even as distances increase from the source. These profiles show that the urban or rural designation of a source can be quite important.

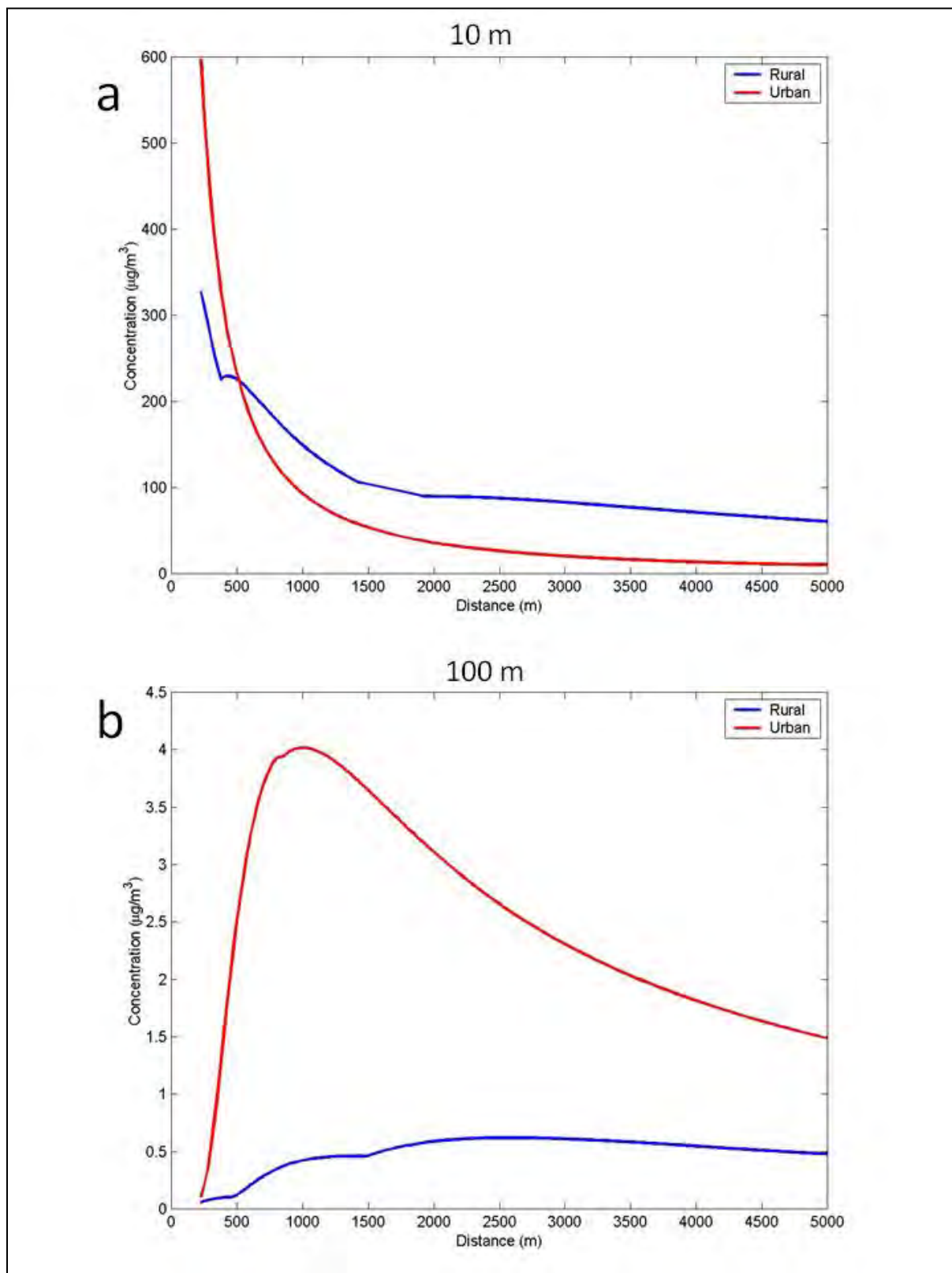
Determining whether a source is urban or rural can be done using the methodology outlined in section 7.2.1.1 of Appendix W and recommendations outlined in Sections 5.1 through 5.3 in the AIG (U.S. EPA, 2019c). In summary, there are two methods of urban/rural classification described in section 7.2.3 of Appendix W.

The first method of urban determination is a land use method (Appendix W, section 7.2.2.1.1(b)(i)). In the land use method, the user analyzes the land use within a 3 km radius of the source using the meteorological land use scheme described by Auer (1978). Using this methodology, a source is considered urban if the land use types I1 (heavy industrial), I2 (light-moderate industrial), C1 (commercial), R2 (common residential), and R3 (compact residential) are 50 percent or more of the area within the 3 km radius circle. Otherwise, the source is considered a rural source. The second method uses population density and is described in section 7.2.2.1.1(b)(ii) of Appendix W. As with the land use method, a circle of 3 km radius is used. If the population density within the circle is greater than 750 people/km², then the source is

considered urban. Otherwise, the source is modeled as a rural source. Of the two methods, the land use method is considered more definitive (section 7.2.1.1.b, Appendix W).

Caution should be exercised with either classification method. As stated in Section 5.1 of the AIG (U.S. EPA, 2009), when using the land use method, a source may be in an urban area but located close enough to a body of water or other non-urban land use category to result in an erroneous rural classification for the source. The AIG in Section 5.1 cautions users against using the land use scheme on a source by source basis, but advises considering the potential for urban heat island influences across the full modeling domain. When using the population density method, section 7.2.2.1.1(b)(ii) of Appendix W states, “Population density should be used with caution and should not be applied to highly industrialized areas where the population density may be low and thus a rural classification would be indicated, but the area is sufficiently built-up so that the urban land use criteria would be satisfied...” With either method, section 7.2.1.1(f) of Appendix W recommends modeling all sources within an urban complex as urban, even if some sources within the complex would be considered rural using either the land use or population density method.

Figure B-1. Urban (red) and rural (blue) concentration profiles for (a) 10 m buoyant stack release, and (b) 100 m buoyant stack release



Another consideration that may need attention by the user, and is discussed in Section 5.1 of the AIG, relates to tall stacks located within or adjacent to small to moderate size urban areas. In such cases, the stack height or effective plume height for very buoyant sources may extend above the urban boundary layer height. The application of the urban option in AERMOD for these types of sources may artificially limit the plume height. The use of the urban option may not be appropriate for these sources, since the actual plume is likely to be transported over the urban boundary layer. Section 5.1 of the AIG gives details on determining if a tall stack should be modeled as urban or rural based on comparing the stack or effective plume height to the urban boundary layer height. The 100 m stack illustrated in Figure B-1b, may be such an example as the urban boundary layer height for this stack would be 189 m (based on a population of 100,000) and equation 104 of the AERMOD formulation document (Cimorelli, et al., 2004). This equation is:

$$z_{iuc} = z_{iuo} \left(\frac{P}{P_o} \right)^{1/4} \quad (B-1)$$

where z_{iuo} is a reference height of 400 m corresponding to a reference population P_o of 2,000,000 people.

Given that the stack is a buoyant release, the plume may extend above the urban boundary layer and may be best characterized as a rural source, even if it were near an urban complex. However, beginning with version 15181 of AERMOD, a formulation bug fix was incorporated that modified the treatment of plume rise for urban sources, especially for tall stacks in urban areas. See Section 5.1 of the AIG for more information. Even with the bug fix in AERMOD 15181, exclusion of these elevated sources from application of the urban option would need to be justified on a case-by-case basis in consultation with the appropriate permitting authority.

AERMOD requires the input of urban population when utilizing the urban option. Population can be entered to one or two significant digits (*i.e.*, an urban population of 1,674,365 can be entered as 1,700,000). Users can enter multiple urban areas and populations using the URBANOPT keyword in the runstream file (U.S. EPA, 2019a). If multiple urban areas are entered, AERMOD requires that each urban source be associated with a particular urban area or AERMOD model calculations will abort. Urban populations can be determined by using a method described in Section 5.2 of the AIG (U.S. EPA, 2019c).

2.5. Source groups

In AERMOD, individual emission sources' concentration results can be combined into groups using the SRCGROUP keyword (Section 3.3.11 of the AERMOD User's Guide (U.S. EPA, 2019a)). The user can automatically calculate a total concentration (from all sources) using the SRCGROUP ALL keyword. For the purposes of design value calculations, source group ALL should be used, especially if all sources in the modeling domain are modeled in one AERMOD run. Design values should be calculated from the total concentrations (all sources and background). Individual source impacts on the total concentration may be necessary to determine the culpability to any NAAQS violations.

3. Meteorological data

This section gives guidance on the selection of meteorological data for input into AERMOD. Much of the guidance from section 8.4 of Appendix W is applicable to SIP and PSD permit modeling and is summarized here. In Section 3.2.1, the use of the tool, AERMINUTE (U.S. EPA, 2015), is introduced. AERMINUTE is an AERMET pre-processor that calculates hourly averaged winds from ASOS (Automated Surface Observing System) 1-minute winds. Section 3.2.4 discusses the use of prognostic meteorological data.

3.1. Surface characteristics and representativeness

The selection of meteorological data that are input into a dispersion model should be considered carefully. The selection of data should be based on spatial and climatological (temporal) representativeness (Appendix W, section 8.4). The representativeness of the data is based on: 1) the proximity of the meteorological monitoring site to the area under consideration, 2) the complexity of terrain, 3) the exposure of the meteorological site, and 4) the period of time during which data are collected. Sources of meteorological data are: National Weather Service (NWS) stations, site-specific or onsite data, and other sources such as universities, Federal Aviation Administration (FAA), military stations, and others. In specific cases, prognostic meteorological data may be appropriate for use and obtained from similar sources. Appendix W addresses spatial representativeness issues in sections 8.4.1.a and 8.4.2.b.

Spatial representativeness of the meteorological data can be adversely affected by large distances between the source and receptors of interest and the complex topographic characteristics of the area (Appendix W, sections 8.4.1.a and 8.4.2.b). If the modeling domain is large enough such that conditions vary drastically across the domain, then the selection of a single station to represent the domain should be carefully considered. Also, care should be taken when selecting a station if the area has complex terrain. While a source and meteorological station may be in close proximity, there may be complex terrain between them such that conditions at the meteorological station may not be representative of the source. An example would be a source located on the windward side of a mountain chain with a meteorological station a few kilometers away on the leeward side of the mountain. Spatial representativeness for off-site data should also be assessed by comparing the surface characteristics (albedo, Bowen ratio, and surface roughness) of the meteorological monitoring site and the analysis area. When processing meteorological data in AERMET (U.S. EPA, 2016c), the surface characteristics of the meteorological site or the prognostic meteorological model output grid cell should be used (section 8.4.2.b of Appendix W and the AERSURFACE User's Guide (U.S. EPA 2008)). Spatial representativeness should also be addressed for each meteorological variable separately. For example, temperature data from a meteorological station several kilometers from the analysis area may be considered adequately representative, while it may be necessary to collect wind data near the plume height (section 8.4.2.b of Appendix W).

Surface characteristics can be calculated in several ways. For details, see Section 3.1.2 of the AIG (U.S. EPA, 2019c). The EPA has developed a tool, AERSURFACE (U.S. EPA, 2008) to aid in the determination of surface characteristics for observed meteorological data. The current version of AERSURFACE uses the 1992 National Land Cover Data. Note that the use of

AERSURFACE is not a regulatory requirement, but the methodology outlined in Section 3.1.2 of the AIG should be followed unless an alternative method can be justified. For prognostic meteorological output, the surface characteristics of the representative grid cell should be used.

3.2. Meteorological inputs

Appendix W states in section 8.4.2.e that the user should acquire enough meteorological data to ensure that worst-case conditions are adequately represented in the model results. Appendix W states that 5 years of NWS meteorological data, at least 1 year of site-specific data, or at least 3 years of prognostic data should be used and should be adequately representative of the study area. If 1 or more years of site-specific data are available, those data are preferred. While the form of the PM_{2.5} NAAQS contemplates obtaining 3 years of monitoring data, this does not preempt the use of 5 years of NWS data or at least 1 year of site-specific data in the modeling. The 5-year average based on the use of NWS data, an average across 3 or more years of prognostic data, or an average across 1 or more years of available site specific data, serves as an unbiased estimate of the 3-year average for purposes of modeling demonstrations of compliance with the NAAQS.

3.2.1. NWS data

NWS data are available from the National Climatic Data Center (NCDC) in many formats, with the most common one in recent years being the Integrated Surface Hourly data (ISH). Most available formats can be processed by AERMET. As stated in Section 3.1, when using data from an NWS station alone or in conjunction with site-specific data, the data should be spatially and temporally representative of conditions at the modeled sources. Key points regarding the use of NWS data can be found in the EPA's March 8, 2013 clarification memo "Use of ASOS meteorological data in AERMOD dispersion modeling" (U.S. EPA, 2013b). The key points are:

- The EPA has previously analyzed the effects of ASOS implementation on dispersion modeling and found that generally AERMOD was less sensitive than ISCST3 to the implementation of ASOS.
- The implementation of the ASOS system over the conventional observation system should not preclude the consideration of NWS stations in dispersion modeling.
- The EPA has implemented an adjustment factor (0.5 knots) in AERMET to adjust for wind speed truncation in ASOS winds
- The EPA has developed the AERMINUTE processor (U.S. EPA, 2015) to process 2-minute ASOS winds and calculate an hourly average for input into AERMET. The use of hourly averaged winds better reflect actual conditions over the hour as opposed to a single 2-minute observation.

3.2.2. Site-specific data

The use of site-specific meteorological data is the best way to achieve spatial

representativeness. AERMET can process a variety of formats and variables for site-specific data. The use of site-specific data for regulatory applications is discussed in detail in section 8.4.4 of Appendix W. Due to the range of data that can be collected onsite and the range of formats of data input to AERMET, the user should consult Appendix W, the AERMET User's Guide (U.S. EPA, 2016c), and Meteorological Monitoring Guidance for Regulatory Modeling Applications (U.S. EPA, 2000). Also, when processing site-specific data for an urban application, Section 3.3 of the AERMOD Implementation Guide offers recommendations for data processing. In summary, the guide recommends that site-specific turbulence measurements should not be used when applying AERMOD's urban option in order to avoid double counting the effects of enhanced turbulence due to the urban heat island.

3.2.3. Upper air data

AERMET requires full upper air soundings to calculate the convective mixing height. For AERMOD applications in the U.S., the early morning sounding, usually the 1200 UTC (Universal Time Coordinate) sounding, is typically used for this purpose. Upper air soundings can be obtained from the Radiosonde Data of North America CD for the period 1946-1997. Upper air soundings for 1994 through the present are also available for free download from the Radiosonde Database Access website. Users should choose all levels or mandatory and significant pressure levels⁴⁸ when selecting upper air data. Selecting mandatory levels only would not be adequate for input into AERMET as the use of just mandatory levels would not provide an adequate characterization of the potential temperature profile.

3.2.3. Prognostic data

In specific situations where it is infeasible or cost prohibitive to collect adequately representative site-specific data or there is not a representative NWS or comparable meteorological station available, it may be appropriate to use prognostic meteorological data, if deemed adequately representative. However, if prognostic data are not representative of the transport and dispersion conditions in the area of concern, the collection of site-specific data is necessary (section 8.4.5.1 of Appendix W). To facilitate the use of prognostic meteorological data, EPA has developed a processor, Mesoscale Model Interface Program, MMIF (Environ, 2015), to process MM5 (Mesoscale Model 5) or WRF (Weather Research Forecast) model data for input to various models including AERMOD. MMIF can process data for input to AERMET or AERMOD for a single grid cell or multiple grid cells. For regulatory applications, MMIF should be run to create inputs for AERMET input as described in section 8.4.5.1.b of Appendix W and MMIF guidance (U.S. EPA, 2016b). Specific guidance on running MMIF for AERMOD applications can be found in U.S. EPA, 2016b.

4. Running AERMOD and implications for design value calculations

Recent enhancements to AERMOD include options to aid in the calculation of design

⁴⁸ By international convention, mandatory levels are in millibars: 1,000, 850, 700, 500, 400, 300, 200, 150, 100, 50, 30, 20, 10, 7.5, 3, 2, and 1. Significant levels may vary depending on the meteorological conditions at the upper-air station.

values for comparison with the PM_{2.5} NAAQS and to aid in determining whether emissions from the project source caused or contributed to any modeled violations. These enhancements include:

- The MAXDCONT option, which shows the impact of each user-specified source group to the high ranked values for a specified target source group paired in time and space. The user can specify a range of ranks to analyze or specify an upper bound rank, *i.e.*, 8th highest, corresponding to the 98th percentile for the 24-hour PM_{2.5} NAAQS, and a lower threshold concentration value, such as the NAAQS for the target source group. The model will process each rank within the range specified, but will stop after the first rank (in descending order of concentration) that is below the threshold value if specified by the user. A warning message will be generated if the threshold is not reached within the range of ranks analyzed (based on the range of ranks specified on the RECTABLE keyword). This option may be needed to aid in determining which sources should be considered for controls.

For more details about the enhancements, see the AERMOD User's Guide (U. S. EPA, 2019a).

Ideally, all explicitly modeled sources, receptors, and background should be modeled in one AERMOD run for all modeled years. In this case, one of the above output options can be used in AERMOD to calculate design values for comparison to the NAAQS and determine the area's attainment status and/or inform attainment/nonattainment boundaries. The use of these options in AERMOD allows AERMOD to internally calculate concentration metrics that can be used to calculate design values and, therefore, lessen the need for large output files, *i.e.*, hourly POSTFILES.

However, there may be situations where a single AERMOD run with all explicitly modeled sources is not possible. These situations often arise due to runtime or storage space considerations during the AERMOD modeling. Sometimes separate AERMOD runs are done for each facility or group of facilities, or by year, or the receptor network is divided into separate sub-networks. In some types of these situations, the MAXDCONT output option may not be an option for design value calculations, especially if all sources are not included in a single run. If the user wishes to utilize one of the three output options, then care should be taken in developing the model inputs to ensure accurate design value calculations.

Situations that would effectively preclude the use of the MAXDCONT option to calculate meaningful AERMOD design value calculations include the following examples:

- Separate AERMOD runs for each source or groups of sources.
 - SIP modeling includes 10 facilities for 5 years of NWS data and each facility is modeled for 5 years in a separate AERMOD run, resulting in ten separate AERMOD runs.
- Separate AERMOD runs for each source and each modeled year.
 - 10 facilities are modeled for 5 years of NWS data. Each facility is modeled separately for each year, resulting in fifty individual AERMOD runs.

In the two situations listed above, the MAXDCONT option would not be useful as the

different AERMOD runs do not include a total concentration with impacts from all facilities. In these situations, the use of 24-hour POSTFILES, which can be quite large, and external post-processing would be needed to calculate design values.

Situations in which the MAXDCONT options may be used but may necessitate some external post-processing afterwards to calculate a design value include:

- The receptor network is divided into sections and an AERMOD run, with all sources and years, is made for each sub-network.
 - A receptor network of 1,000 receptors is divided into four 250 receptor sub-networks. 10 facilities are modeled with 5 years of NWS data in one AERMOD run for each receptor network, resulting in four AERMOD runs. After the AERMOD runs are complete, the MAXDCONT results for each network can be re-combined into the larger network.
- All sources and receptors are modeled in an AERMOD run for each year.
- Ten facilities are modeled with 5 years of NWS data. All facilities are modeled with all receptors for each year individually, resulting in five AERMOD runs. MAXDCONT output can be used and post-processed to generate the necessary design value concentrations. The receptor network is divided and each year is modeled separately for each sub-network with all sources.
- Ten facilities are modeled with 5 years of NWS data for 1,000 receptors. The receptor network is divided into four 250 receptor networks. For each sub-network, all ten facilities are modeled for each year separately, resulting in twenty AERMOD runs. MAXDCONT output can be used and post-processed to generate the necessary design value concentrations.

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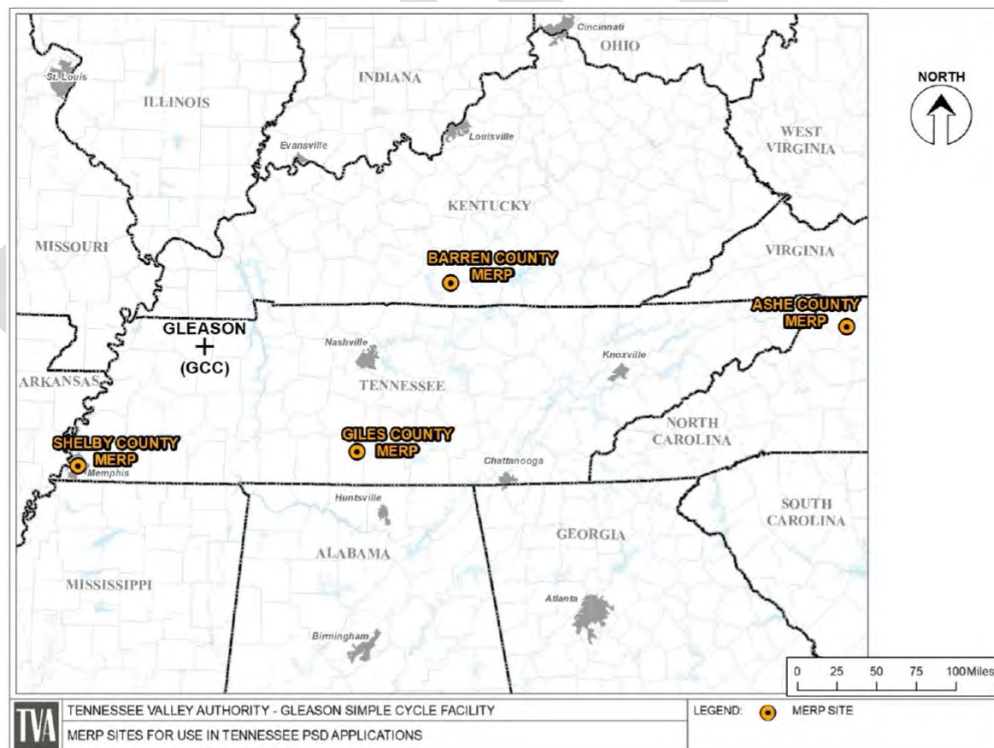
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Appendix C: Example of a Tier 1 Demonstration of the Potential for O₃ and Secondary PM_{2.5} Formation

In 2018, a permit applicant, the Tennessee Valley Authority (TVA) Gleason Combustion Turbine Plant, worked closely with the Tennessee Department of Environment and Conservation (TDEC) and EPA Region 4 to develop a compliance demonstration for a major facility modification, including the use of a Tier 1 assessment of O₃ and secondary PM_{2.5} impacts. This Tier 1 assessment was based on the application of Modeled Emission Rates for Precursors (MERPs) and related modeling guidance released by the EPA. In April 2018, the TDEC published state modeling guidance that can be used by PSD applicants in Tennessee that largely restated the technical aspects of the guidance presented in the EPA's 2016 Draft MERPs Guidance.⁴⁹ In support of the 2016 Draft MERPs Guidance, the EPA performed photochemical modeling for four hypothetical sources from within Tennessee or in close proximity to Tennessee (Shelby County, TN, Giles County, TN, Barren County, KY and Ashe County, NC), that can be used to represent the O₃ and secondary PM_{2.5} pollutant formation from other large sources in Tennessee (Figure 1).

FIGURE 1



⁴⁹ The EPA released a draft version of the “Guidance on the Development of Modeled Emission Rates for Precursors (MERPs) as a Tier 1 Demonstration Tool for Ozone and PM_{2.5} under the PSD Permitting Program” on December 2, 2016, for public review and comment. Based on the feedback gained from this draft, the EPA released a non-draft or final version of the “MERPs Guidance” on April 30, 2019. The information in the 2016 draft MERPs Guidance from which the TDEC based their April 2018 modeling guidance did not substantively change and is representative of information contained in the current 2019 final version of the MERPs Guidance. The 2019 final MERPs Guidance is available at: https://www3.epa.gov/ttn/scram/guidance/guide/EPA-454_R-19-003.pdf.

Assessment of PM_{2.5}

Based on information in the EPA's 2016 Draft MERPs Guidance, the lowest, most conservative MERPs from these four hypothetical source locations were established in the TDEC state modeling guidance as the default MERPs that can be used throughout Tennessee without the need for further justification (Table 1). The TVA used these default MERPs to assess secondary PM_{2.5} impacts for the proposed modification at the Gleason facility.

TABLE 1
Default MERPs for Use in TN PSD Applications ^[1,2]

Precursor	MERPs for 8-hr O ₃ (tons/yr)	MERPs for Daily PM _{2.5} (tons/yr)	MERPs for Annual PM _{2.5} (tons/yr)
NO _x	156	4,000	7,407
SO ₂	-	667	6,061
VOC	1,339	-	-

Notes:

1. EPA, 2016
2. TDEC, 2018.

The combined primary and secondary impacts of PM_{2.5} for the source impact analysis were assessed using the highest (AERMOD) modeled primary PM_{2.5} concentration (HMC), the Class II SIL, precursor emissions, and the default MERPs. If the sum of the ratios in Equation 4.1 below is less than 1, then the combined PM_{2.5} impacts are below the PM_{2.5} SIL, an adequate compliance demonstration has been performed, and no additional analyses are necessary.

The following equation was used for this assessment:

$$\frac{HMC}{SIL} + \left(\frac{NOx_Em}{NOx_MERP} \right) + \left(\frac{SO2_Em}{SO2_MERP} \right) < 1 \quad [4.1]$$

Where:

HMC = Highest modeled primary PM_{2.5} impact using AERMOD and project related PM_{2.5} emissions (µg/m³)

SIL = Significant Impact Level (µg/m³)

NO_x_Em = Project related NO_x Emissions (tons per year – tpy)

NO_x MERP = From Table 1 (tpy)

SO₂_Em = Project related SO₂ Emissions (tpy)

SO₂_MERP = From Table 1 (tpy)

TVA's 24-hour and annual PM_{2.5} inputs to Equation 4.1 are provided in Table 2 below, and the resulting impacts are calculated in Equation 4-2 and Equation 4-3 below, respectively.

TABLE 2
Secondary PM_{2.5} Inputs for the SILs in Class II Areas ^[1,2]

Secondary PM_{2.5} Impacts	24-hr Average	Annual Average
Highest Modeled Primary PM _{2.5} Concentration (µg/m ³) ^[3]	0.49	0.053
SILs for the NAAQS and PSD Increments in Class II areas (µg/m ³) ^[4]	1.2	0.2
GCC NO _x Emissions (tons/yr) ^[5]	2,270	2,270
Default NO _x MERPs ^[1]	4,000	7,407
GCC SO ₂ Emissions (tons/yr) ^[5]	14.2	14.2
Default SO ₂ MERPs ^[1]	667	6,061

Notes:

1. EPA, 2016 and TDEC, 2018.
2. Calculations taken from “GCC_SecPM25_O3_calcs_20180912.xlsx” provided on optical disc.
3. PM_{2.5} modeling results (Table 4-9).
4. SILs for the NAAQS in Class I and Class II areas and for PSD increments in Class II areas. Based on the April 17, 2018 EPA memo, *Guidance on Significant Impact Levels for Ozone and Fine Particles in the Prevention of Significant Deterioration Permitting Program*.
5. Emissions taken from Table 3 in “Gleasn PSD Modemssn SA 20180831.xlsx” (provided by TVA to TDEC on optical disc).

Combined Impacts for 24-hour PM_{2.5} for the SIL in Class II Areas:

$$\frac{0.49}{1.2} + \left(\frac{2,270}{4,000} \right) + \left(\frac{14.2}{667} \right) = 0.997 \quad [4.2]$$

Combined Impacts for Annual PM_{2.5} for the SIL in Class II Areas:

$$\frac{0.053}{0.2} + \left(\frac{2,270}{7,407} \right) + \left(\frac{14.2}{6,061} \right) = 0.58 \quad [4.3]$$

Both 24-hour and annual PM_{2.5} impacts were less than 1, which indicated that PM_{2.5} impacts were expected to be below the Class II SILs for the NAAQS and PSD increments. This indicated that emissions from TVA Gleason would not cause or contribute to a violation of the PM_{2.5} NAAQS in Class II areas.

Assessment of O₃

A somewhat more refined analysis was performed to assess the impacts of the proposed project on O₃ concentrations in the area around the facility. Application of the TDEC default NO_x and VOC MERPs for O₃ shown in Table 1 above indicated that O₃ impacts would be greater than the 8-hour O₃ SIL of 1 ppb and that a cumulative O₃ assessment would be necessary to demonstrate whether the facility modification would cause or contribute to a violation of a the O₃ NAAQS.

The O₃ assessment first examined ambient O₃ concentrations in the region surrounding TVA Gleason (GCC). There are no ambient O₃ monitors in the immediate vicinity of GCC, but there are six monitors within 150 km of the facility (Figure 2 and Tables 3 and 4). The Cadiz, KY, monitor was selected as the most representative background site due to its proximity to GCC, its comparable levels of precursor emissions in the county, and it has the largest measurement scale indicating it is representative of regional air quality. The three-year average (2015- 2017) of the fourth-highest 8-hour O₃ concentration was 61 ppb, well below the 70 ppb NAAQS.

FIGURE 2

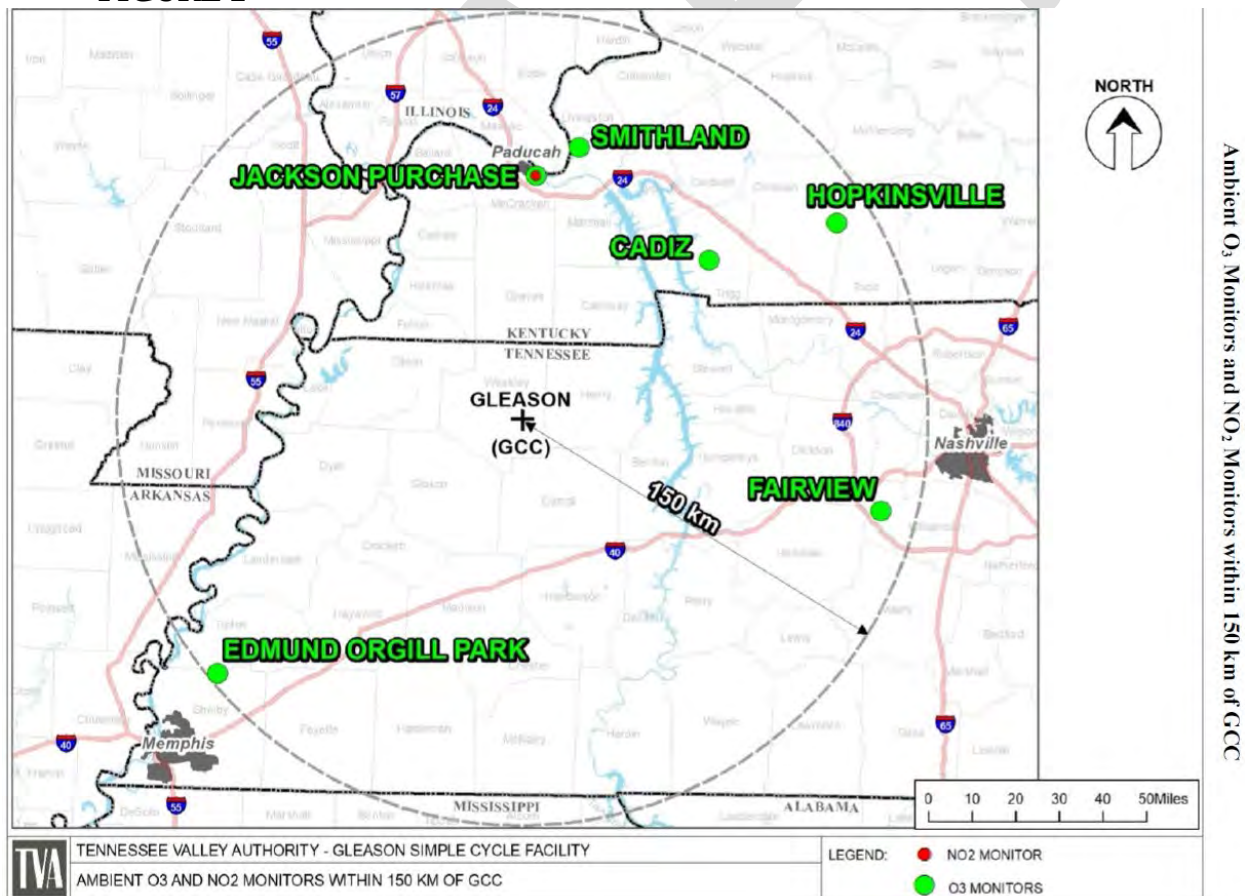


TABLE 3
Ambient O₃ Monitors within 150 km of GCC ^[1]

Site Name	Site ID	Distance to GCC (km)	Measurement Scale (km)	County NO_x emissions (tons/year) ^[2]	County VOC Emissions (tons/year) ^[2]
Weakley County	NA	0	NA	1,216	9,061
Jackson Purchase	21-145-1024	90	0.5 to 4	15,395	6,542
Cadiz	21-221-9991	91	50 to 100	1,424	14,173
Smithland	21-139-0003	103	4 to 50	1,441	5,933
Fairview	47-187-0106	137	4 to 50	5,721	13,557
Hopkinsville	21-047-0006	138	50 to 100	3,589	11,806
Edmund Orgill Park	47-157-1004	147	4 to 50	32,260	38,104

Notes:

1. EPA Air Quality System (AQS) Data Mart: <http://www3.epa.gov/airquality/airdata/>
2. EPA's National Emission Inventory, 2014 v.2.
3. Data measured during 2015-2017.

TABLE 4

Site Name	Site ID	3 Year Avg. 4th High 8-Hr Ozone Conc. (ppb)
Jackson Purchase	21-145-1024	62
Cadiz	21-221-9991	61
Smithland	21-139-0003	64
Fairview	47-187-0106	60
Hopkinsville	21-047-0006	61
Edmund Orgill Park	47-157-1004	65

As previously discussed, in April 2018, TDEC published modeling guidance on the use of EPA's MERPs in Tennessee (TDEC, 2018) that identified four hypothetical sites, located in Shelby County, TN, Giles County, TN, Barren County, KY and Ashe County, NC, to represent Tennessee sources (Figure 1). Precursor emissions in these four counties were compared to Weakley County, where GCC is located. Weakley County precursor emissions are comparable to emissions in the three rural counties (Giles, Barren and Ashe) and are much lower than Shelby County which is urban (Table 5). Ashe County is much further from GCC and is located in mountainous terrain, unlike the relatively flat terrain around GCC. Both Giles County and Barren County have similar terrain features to Weakley County. NO_x MERPs at these two sites are also lower than in Shelby County and Ashe County, which makes the analysis more conservative as ozone impacts from GCC are dominated by NO_x emissions.

TABLE 5
Comparison of Weakley County to O₃ MERPs Sites for Use in TN ^[1,2,3]

County	Distance to GCC (km)	Urban / Rural	Elevation (m)	County NO _x Emissions (tons/yr) ^[1]	County VOC Emissions (tons/yr) ^[1]	NO _x MERP (tons/yr) ^[2,3,4]	VOC MERP (tons/yr) ^[2,3,4]
Weakley, TN	--	Rural	110	1,216	9,061	NA	NA
Shelby, TN	177	Urban	94	32,260	38,104	714	1,339
Giles, TN	188	Rural	240	1,913	11,298	156	4,000
Barren, KY	257	Rural	256	2,122	7,580	169	3,333
Ashe, NC	650	Rural	926	730	6,507	267	8,333

Notes:

1. EPA's National Emissions Inventory, 2014 v.2.
2. EPA, 2016 and TDEC, 2018.
3. Calculations in "GCC_SecPM25_O3_calcs_20180912.xlsx" (provided on optical disc).
4. Lowest, most conservative MERP at each site.

For the two most representative hypothetical sources selected, as part of EPA's MERPs Guidance, the EPA performed photochemical modeling for two hypothetical source heights (low and high stack releases) and three hypothetical emission rates (500, 1000, and 3000 tons per year). As can be seen in Table 6 below, predicted O₃ impacts are nonlinear with respect to precursor emissions. At these hypothetical sources, the amount of O₃ formed from 3,000 tons of NO_x is substantially less than six times the amount formed from 500 tons of NO_x on a per ton basis, so using a MERP based on 500 tons of NO_x would significantly over-estimate the O₃ impacts from GCC. Therefore, this analysis used the most conservative MERPs based on emission rates most similar to emissions from GCC (hypothetical source emissions of 3,000 tons per year for NO_x and 500 tons per year for VOCs) at the two most representative sites (Giles County and Barren County) (Table 7).

TABLE 6

PRECURSOR	POLL	State	County	FIPS	TPY	Stack Ht	CONC	MERP
NO _x	OZONE	Kentucky	Barren	21009	500	10	2.908	172
NO _x	OZONE	Kentucky	Barren	21009	500	90	2.946	170
NO _x	OZONE	Kentucky	Barren	21009	1000	90	5.026	199
NO _x	OZONE	Kentucky	Barren	21009	3000	90	10.687	281
NO _x	OZONE	Tennessee	Giles	47055	500	10	2.616	191
NO _x	OZONE	Tennessee	Giles	47055	500	90	3.208	156
NO _x	OZONE	Tennessee	Giles	47055	1000	90	5.387	186
NO _x	OZONE	Tennessee	Giles	47055	3000	90	10.356	290

GCC Project Emissions are 2,270 for NO_x and 158 tpy for VOC.

TABLE 7
O₃ MERPs for Various Emission Rates in Giles County and Barren County ^[1,2]

County	Stack	NO_x Emissions (tons/yr)	NO_x MERP (tons/yr)^[1,2]	VOC Emissions (tons/yr)	VOC MERP (tons/yr)^[1,2]
Giles, TN	Low	500	163	500	12,500
Giles, TN	High	500	156	500	NA
Giles, TN	Low	1,000	NA	1,000	11,111
Giles, TN	High	1,000	186	1,000	10,000
Giles, TN	High	3,000	290	3,000	4,000
Barren, KY	Low	500	172	500	8,333
Barren, KY	High	500	169	500	8,333
Barren, KY	High	1,000	199	1,000	7,692
Barren, KY	High	3,000	281	3,000	3,333
Most Conservative for Emissions Similar to GCC ^[3]	-	-	281	-	8,333

Notes:

1. EPA, 2016 and TDEC, 2018.
2. Calculations in “GCC_SecPM25_O3_calcs_20180912.xlsx” (provided on optical disc).
3. Hypothetical sources with NO_x emissions of 3,000 tons per year and VOC emissions of 500 tons per year.

The O₃ impacts for the source impact assessment were calculated as the sum of the ratio of precursor emissions to the MERPs. If the sum of the ratios is less than 1, then O₃ impacts are below the O₃ SIL and no cumulative analysis is necessary.

$$\left(\frac{NOx_Em}{NOx_MERP} \right) + \left(\frac{VOC_Em}{VOC_MERP} \right) < 1 \quad [4.4]$$

Where:

NO_x_Em = Project related NO_x Emissions (tons per year – tpy)

NO_x MERP = From Table 7 (tpy)

VOC_Em = Project related VOC Emissions (tpy)

VOC_MERP = From Table 7 (tpy)

GCC’s ozone inputs to Equation 4.4 are provided in Table 8, and the resulting impacts are shown in Equation 4.5.

TABLE 8
O₃ Inputs for the SIL in Class II Areas ^[1,2]

O₃ Precursor	GCC Emissions (tons/yr) ^[3]	MERP ^[4,5]
NO _x	2,270	281 ^[4]
VOC	158	8,333 ^[5]

Notes:

1. EPA, 2016 and TDEC, 2018.
2. Calculations in "GCC_SecPM25_O3_calcs_20180912.xlsx" (provided on optical disc).
3. Emissions taken from Table 5 in "Gleasn PSD Mod emssn SA 20180831.xlsx" (provided on optical disc).
4. Most conservative MERP for NO_x emissions of 3,000 tons per year at Giles County or Barren County.
5. Most conservative MERP for VOC emissions of 500 tons per year at Giles County or Barren County.

According to Equation 4.5, the sum of the ratios was greater than 1, and O₃ impacts are above the SIL. Therefore, a cumulative O₃ analysis was necessary and performed, which added background O₃ and compared the combined impacts to the NAAQS as shown in Equation 4.6.

$$\left(\frac{2,270}{281}\right) + \left(\frac{158}{8,333}\right) = 8.10 \quad [4.5]$$

$$\text{Background Ozone} + \left[\left(\left(\frac{NOx_{Em}}{NOx_{MERP}} \right) + \left(\frac{VOC_{Em}}{VOC_{MERP}} \right) \right) * SIL \right] \leq NAAQS \quad [4.6]$$

Where:

Background Ozone = 2015-2017 8-hour ozone design value (ppb) for Cadiz monitor

NO_x_Em = Project related NO_x Emissions (tons per year – tpy)

NO_x MERP = From Table 7 (tpy)

VOC_Em = Project related VOC Emissions (tpy)

VOC_MERP = From Table 7 (tpy)

SIL = 1 ppb ozone

NAAQS = 8-hour ozone NAAQS (70 ppb)

Cumulative O₃ impacts from GCC are shown below. Using the 3-year 8-hour ozone design value of 61 ppb from Cadiz, KY, the ratios defined in Equation 4.5, and the O₃ SIL of 1 ppb, the cumulative O₃ impacts did not exceed the NAAQS. This indicated that emissions from GCC would not cause or contribute to a violation of the O₃ NAAQS.

$$61 + [(2,270 \div 281) + (158 \div 8,333)] * 1 \text{ ppb} = 69.1 \text{ ppb}$$

$$61 + [8.08 + .02] * 1 = 69.1 \text{ ppb}$$

$$61 + 8.1 = 69.1 \text{ ppb}$$

Appendix D: Example of the background monitoring data calculations for a Second Level 24-hour modeling analysis

This appendix provides an illustrative example of the calculations and data sorting recommendations for the background monitoring data to be used in a Second Level 24-hour PM_{2.5} modeling analysis. In this example, it was determined through discussion and coordination with the appropriate permitting authority that the impacts from the project source's primary PM_{2.5} emissions were most prominent during the cool season and were not temporally correlated with background PM_{2.5} levels that were typical highest during the warm season. So, combining the modeled and monitored levels through a First Level 24-hour PM_{2.5} modeling analysis was determined to be potentially overly conservative. Extending the compliance demonstration to a Second Level analysis allows for a more refined and appropriate assessment of the cumulative impacts on the primary PM_{2.5} emissions in this particular situation.

The example provided is from an idealized Federal Reference Method (FRM) PM_{2.5} monitoring site that operates on a daily (1-in-1 day) frequency with 100% data completeness. In this case, the annual 98th percentile concentration is the 8th highest concentration of the year. In most cases, the FRM monitoring site will likely operate on a 1-and-3 day frequency and will also likely have missing data due to monitor maintenance or collected data not meeting all of the quality assurance criteria. Please reference Appendix N to 40 CFR part 50 to determine the appropriate 98th percentile rank of the monitored data based on the monitor sampling frequency and valid number of days sampled during each year.

The appropriate seasonal (or quarterly) background concentrations to be included as inputs to the AERMOD model per a Second Level 24-hour PM_{2.5} modeling analysis are as follows:

- Step 1 – Start with the most recent 3-years of representative background PM_{2.5} ambient monitoring data that are being used to develop the monitored background PM_{2.5} design value. In this example, the 3-years of 2008 to 2010 are being used to determine the monitored design value.
- Step 2 – For each year, determine the appropriate rank for the daily 98th percentile PM_{2.5} concentration. Again, this idealized example is from a 1-in-1 day monitor with 100% data completeness. So, the 8th highest concentration of each year is the 98th percentile PM_{2.5} concentration. The 98th percentile PM_{2.5} concentration for 2008 is highlighted in Table E-1. The full concentration data from 2009 and 2010 are not shown across the steps in this Appendix for simplicity but would be similar to that of 2008.
- Step 3 – Remove from further consideration in this analysis the PM_{2.5} concentrations from each year that are greater than the 98th percentile PM_{2.5} concentration. In the case presented for a 1-in-1 day monitor, the top 7 concentrations are removed. If the monitor were a 1-in-3 day monitor, only the top 2 concentrations would be removed. The resultant dataset after the top 7 concentrations have been removed from further consideration in this analysis for 2008 is presented in Table E-2.

- Step 4 – For each year, divide the resultant annual dataset of the monitored data equal to or less than the 98th percentile PM_{2.5} concentration into each season (or quarter). For 2008, the seasonal subsets are presented in Table E-3.
- Step 5 – Determine the maximum PM_{2.5} concentration from each of the seasonal (or quarterly) subsets created in Step 4 for each year. The maximum PM_{2.5} concentration from each season for 2008 is highlighted in Table E-3.
- Step 6 – Average the seasonal (or quarterly) maximums from Step 5 across the three years of monitoring data to create the four seasonal background PM_{2.5} concentrations to be included as inputs to the AERMOD model. These averages for the 2008 to 2010 dataset used in this example are presented in Table E-4. As noted above, the full concentration data from 2009 and 2010 are not shown across the steps in this Appendix for simplicity, but the seasonal maximums from 2009 and 2010 presented in Table E-4 were determined by following the previous five steps similar to that of 2008.

Table E-1. 2008 Daily PM_{2.5} Concentrations

Date	Conc.	Date	Conc.	Date	Conc.	Date	Conc.	Date	Conc.	Date	Conc.	Date	Conc.	Date	Conc.
1-Jan	10.4	16-Feb	15.1	2-Apr	10.5	18-May	11.1	3-Jul	17.1	18-Aug	18.7	3-Oct	12.3	18-Nov	4.4
2-Jan	5.4	17-Feb	11.8	3-Apr	8.2	19-May	7.7	4-Jul	19.8	19-Aug	21.5	4-Oct	19.5	19-Nov	8.2
3-Jan	10.0	18-Feb	3.4	4-Apr	9.7	20-May	13.6	5-Jul	14.3	20-Aug	20.1	5-Oct	23.7	20-Nov	11.1
4-Jan	16.4	19-Feb	4.5	5-Apr	6.9	21-May	12.1	6-Jul	11.5	21-Aug	18.4	6-Oct	19.8	21-Nov	5.3
5-Jan	11.2	20-Feb	4.8	6-Apr	6.3	22-May	10.0	7-Jul	14.3	22-Aug	16.7	7-Oct	21.7	22-Nov	8.9
6-Jan	11.1	21-Feb	11.9	7-Apr	7.9	23-May	13.3	8-Jul	12.2	23-Aug	13.8	8-Oct	12.2	23-Nov	14.0
7-Jan	10.2	22-Feb	20.1	8-Apr	9.8	24-May	11.2	9-Jul	11.1	24-Aug	19.0	9-Oct	5.1	24-Nov	12.7
8-Jan	11.4	23-Feb	11.4	9-Apr	16.5	25-May	17.7	10-Jul	9.7	25-Aug	17.6	10-Oct	10.2	25-Nov	9.7
9-Jan	8.1	24-Feb	19.3	10-Apr	13.3	26-May	14.2	11-Jul	16.4	26-Aug	15.4	11-Oct	10.7	26-Nov	12.8
10-Jan	9.4	25-Feb	18.2	11-Apr	11.0	27-May	15.4	12-Jul	21.5	27-Aug	12.6	12-Oct	5.6	27-Nov	16.6
11-Jan	5.7	26-Feb	12.8	12-Apr	8.8	28-May	13.9	13-Jul	25.1	28-Aug	12.1	13-Oct	5.9	28-Nov	17.2
12-Jan	8.9	27-Feb	5.5	13-Apr	6.3	29-May	9.3	14-Jul	11.7	29-Aug	10.1	14-Oct	9.7	29-Nov	16.6
13-Jan	18.1	28-Feb	9.7	14-Apr	5.1	30-May	14.5	15-Jul	18.9	30-Aug	17.2	15-Oct	12.8	30-Nov	4.5
14-Jan	11.0	29-Feb	12.1	15-Apr	7.9	31-May	20.5	16-Jul	28.9	31-Aug	19.9	16-Oct	16.4	1-Dec	7.5
15-Jan	11.8	1-Mar	9.6	16-Apr	8.2	1-Jun	15.3	17-Jul	27.6	1-Sep	19.4	17-Oct	12.0	2-Dec	10.6
16-Jan	10.7	2-Mar	5.6	17-Apr	14.7	2-Jun	11.5	18-Jul	12.8	2-Sep	18.2	18-Oct	7.9	3-Dec	16.7
17-Jan	10.0	3-Mar	12.5	18-Apr	22.5	3-Jun	17.9	19-Jul	6.2	3-Sep	24.0	19-Oct	6.6	4-Dec	12.5
18-Jan	15.6	4-Mar	7.1	19-Apr	12.8	4-Jun	21.1	20-Jul	20.1	4-Sep	15.4	20-Oct	8.1	5-Dec	7.3
19-Jan	18.0	5-Mar	4.9	20-Apr	6.9	5-Jun	17.9	21-Jul	26.5	5-Sep	12.4	21-Oct	12.2	6-Dec	10.4
20-Jan	6.6	6-Mar	9.9	21-Apr	7.5	6-Jun	17.6	22-Jul	16.9	6-Sep	12.5	22-Oct	4.6	7-Dec	13.4
21-Jan	7.4	7-Mar	11.2	22-Apr	6.0	7-Jun	15.0	23-Jul	12.8	7-Sep	15.8	23-Oct	6.1	8-Dec	10.5
22-Jan	13.5	8-Mar	5.5	23-Apr	9.1	8-Jun	22.3	24-Jul	7.9	8-Sep	23.4	24-Oct	4.6	9-Dec	9.3
23-Jan	16.0	9-Mar	8.8	24-Apr	10.3	9-Jun	27.9	25-Jul	15.7	9-Sep	11.5	25-Oct	4.5	10-Dec	6.5
24-Jan	9.4	10-Mar	11.0	25-Apr	12.0	10-Jun	21.6	26-Jul	24.9	10-Sep	6.0	26-Oct	10.5	11-Dec	3.0
25-Jan	12.6	11-Mar	12.1	26-Apr	12.5	11-Jun	19.4	27-Jul	22.2	11-Sep	11.8	27-Oct	6.4	12-Dec	3.5
26-Jan	13.6	12-Mar	9.7	27-Apr	11.3	12-Jun	21.2	28-Jul	17.5	12-Sep	10.7	28-Oct	4.6	13-Dec	10.2
27-Jan	16.1	13-Mar	15.1	28-Apr	7.6	13-Jun	29.1	29-Jul	19.1	13-Sep	7.6	29-Oct	5.6	14-Dec	17.6
28-Jan	10.0	14-Mar	21.6	29-Apr	7.4	14-Jun	15.6	30-Jul	21.1	14-Sep	7.5	30-Oct	7.6	15-Dec	12.4
29-Jan	10.4	15-Mar	16.6	30-Apr	11.4	15-Jun	14.8	31-Jul	18.0	15-Sep	7.1	31-Oct	11.2	16-Dec	9.7
30-Jan	6.9	16-Mar	7.9	1-May	12.6	16-Jun	17.8	1-Aug	16.3	16-Sep	7.7	1-Nov	16.2	17-Dec	7.0
31-Jan	4.9	17-Mar	9.6	2-May	10.0	17-Jun	12.6	2-Aug	19.3	17-Sep	11.3	2-Nov	17.3	18-Dec	7.9
1-Feb	5.4	18-Mar	10.3	3-May	11.2	18-Jun	10.5	3-Aug	17.9	18-Sep	16.8	3-Nov	18.3	19-Dec	6.9
2-Feb	7.1	19-Mar	8.4	4-May	10.4	19-Jun	15.0	4-Aug	25.1	19-Sep	14.8	4-Nov	8.9	20-Dec	8.1
3-Feb	10.9	20-Mar	4.9	5-May	15.7	20-Jun	22.7	5-Aug	29.3	20-Sep	8.0	5-Nov	5.8	21-Dec	4.9
4-Feb	12.1	21-Mar	8.7	6-May	16.1	21-Jun	18.7	6-Aug	19.1	21-Sep	10.8	6-Nov	8.6	22-Dec	7.7
5-Feb	17.1	22-Mar	13.3	7-May	16.8	22-Jun	15.2	7-Aug	14.0	22-Sep	14.5	7-Nov	15.0	23-Dec	7.7
6-Feb	10.3	23-Mar	12.2	8-May	14.5	23-Jun	16.8	8-Aug	10.8	23-Sep	21.2	8-Nov	8.3	24-Dec	10.5
7-Feb	4.0	24-Mar	10.3	9-May	11.7	24-Jun	15.1	9-Aug	15.0	24-Sep	8.6	9-Nov	10.0	25-Dec	6.5
8-Feb	9.7	25-Mar	11.9	10-May	9.0	25-Jun	20.7	10-Aug	21.7	25-Sep	1.2	10-Nov	12.8	26-Dec	7.6
9-Feb	11.5	26-Mar	20.1	11-May	6.7	26-Jun	23.0	11-Aug	14.3	26-Sep	16.0	11-Nov	11.8	27-Dec	13.3
10-Feb	3.0	27-Mar	22.5	12-May	7.9	27-Jun	17.8	12-Aug	14.7	27-Sep	12.1	12-Nov	14.8	28-Dec	6.4
11-Feb	5.5	28-Mar	18.2	13-May	8.3	28-Jun	12.4	13-Aug	13.0	28-Sep	18.0	13-Nov	14.5	29-Dec	3.7
12-Feb	18.9	29-Mar	10.8	14-May	12.2	29-Jun	12.7	14-Aug	13.5	29-Sep	17.8	14-Nov	7.7	30-Dec	4.7
13-Feb	17.6	30-Mar	6.4	15-May	13.1	30-Jun	8.9	15-Aug	17.5	30-Sep	16.4	15-Nov	3.6	31-Dec	4.4
14-Feb	11.2	31-Mar	3.3	16-May	8.8	1-Jul	7.1	16-Aug	23.9	1-Oct	12.3	16-Nov	4.6		
15-Feb	14.4	1-Apr	7.8	17-May	8.2	2-Jul	13.8	17-Aug	18.4	2-Oct	8.2	17-Nov	7.8		

Annual 98th Percentile Concentration = 25.1 µg/m³

Table E-2. 2008 Daily PM_{2.5} Concentrations Less Than or Equal to the 98th Percentile

Date	Conc.	Date	Conc.	Date	Conc.	Date	Conc.	Date	Conc.	Date	Conc.	Date	Conc.	Date	Conc.
1-Jan	10.4	16-Feb	15.1	2-Apr	10.5	18-May	11.1	3-Jul	17.1	18-Aug	18.7	3-Oct	12.3	18-Nov	4.4
2-Jan	5.4	17-Feb	11.8	3-Apr	8.2	19-May	7.7	4-Jul	19.8	19-Aug	21.5	4-Oct	19.5	19-Nov	8.2
3-Jan	10.0	18-Feb	3.4	4-Apr	9.7	20-May	13.6	5-Jul	14.3	20-Aug	20.1	5-Oct	23.7	20-Nov	11.1
4-Jan	16.4	19-Feb	4.5	5-Apr	6.9	21-May	12.1	6-Jul	11.5	21-Aug	18.4	6-Oct	19.8	21-Nov	5.3
5-Jan	11.2	20-Feb	4.8	6-Apr	6.3	22-May	10.0	7-Jul	14.3	22-Aug	16.7	7-Oct	21.7	22-Nov	8.9
6-Jan	11.1	21-Feb	11.9	7-Apr	7.9	23-May	13.3	8-Jul	12.2	23-Aug	13.8	8-Oct	12.2	23-Nov	14.0
7-Jan	10.2	22-Feb	20.1	8-Apr	9.8	24-May	11.2	9-Jul	11.1	24-Aug	19.0	9-Oct	5.1	24-Nov	12.7
8-Jan	11.4	23-Feb	11.4	9-Apr	16.5	25-May	17.7	10-Jul	9.7	25-Aug	17.6	10-Oct	10.2	25-Nov	9.7
9-Jan	8.1	24-Feb	19.3	10-Apr	13.3	26-May	14.2	11-Jul	16.4	26-Aug	15.4	11-Oct	10.7	26-Nov	12.8
10-Jan	9.4	25-Feb	18.2	11-Apr	11.0	27-May	15.4	12-Jul	21.5	27-Aug	12.6	12-Oct	5.6	27-Nov	16.6
11-Jan	5.7	26-Feb	12.8	12-Apr	8.8	28-May	13.9	13-Jul	RC	28-Aug	12.1	13-Oct	5.9	28-Nov	17.2
12-Jan	8.9	27-Feb	5.5	13-Apr	6.3	29-May	9.3	14-Jul	11.7	29-Aug	10.1	14-Oct	9.7	29-Nov	16.6
13-Jan	18.1	28-Feb	9.7	14-Apr	5.1	30-May	14.5	15-Jul	18.9	30-Aug	17.2	15-Oct	12.8	30-Nov	4.5
14-Jan	11.0	29-Feb	12.1	15-Apr	7.9	31-May	20.5	16-Jul	RC	31-Aug	19.9	16-Oct	16.4	1-Dec	7.5
15-Jan	11.8	1-Mar	9.6	16-Apr	8.2	1-Jun	15.3	17-Jul	RC	1-Sep	19.4	17-Oct	12.0	2-Dec	10.6
16-Jan	10.7	2-Mar	5.6	17-Apr	14.7	2-Jun	11.5	18-Jul	12.8	2-Sep	18.2	18-Oct	7.9	3-Dec	16.7
17-Jan	10.0	3-Mar	12.5	18-Apr	22.5	3-Jun	17.9	19-Jul	6.2	3-Sep	24.0	19-Oct	6.6	4-Dec	12.5
18-Jan	15.6	4-Mar	7.1	19-Apr	12.8	4-Jun	21.1	20-Jul	20.1	4-Sep	15.4	20-Oct	8.1	5-Dec	7.3
19-Jan	18.0	5-Mar	4.9	20-Apr	6.9	5-Jun	17.9	21-Jul	RC	5-Sep	12.4	21-Oct	12.2	6-Dec	10.4
20-Jan	6.6	6-Mar	9.9	21-Apr	7.5	6-Jun	17.6	22-Jul	16.9	6-Sep	12.5	22-Oct	4.6	7-Dec	13.4
21-Jan	7.4	7-Mar	11.2	22-Apr	6.0	7-Jun	15.0	23-Jul	12.8	7-Sep	15.8	23-Oct	6.1	8-Dec	10.5
22-Jan	13.5	8-Mar	5.5	23-Apr	9.1	8-Jun	22.3	24-Jul	7.9	8-Sep	23.4	24-Oct	4.6	9-Dec	9.3
23-Jan	16.0	9-Mar	8.8	24-Apr	10.3	9-Jun	RC	25-Jul	15.7	9-Sep	11.5	25-Oct	4.5	10-Dec	6.5
24-Jan	9.4	10-Mar	11.0	25-Apr	12.0	10-Jun	21.6	26-Jul	24.9	10-Sep	6.0	26-Oct	10.5	11-Dec	3.0
25-Jan	12.6	11-Mar	12.1	26-Apr	12.5	11-Jun	19.4	27-Jul	22.2	11-Sep	11.8	27-Oct	6.4	12-Dec	3.5
26-Jan	13.6	12-Mar	9.7	27-Apr	11.3	12-Jun	21.2	28-Jul	17.5	12-Sep	10.7	28-Oct	4.6	13-Dec	10.2
27-Jan	16.1	13-Mar	15.1	28-Apr	7.6	13-Jun	RC	29-Jul	19.1	13-Sep	7.6	29-Oct	5.6	14-Dec	17.6
28-Jan	10.0	14-Mar	21.6	29-Apr	7.4	14-Jun	15.6	30-Jul	21.1	14-Sep	7.5	30-Oct	7.6	15-Dec	12.4
29-Jan	10.4	15-Mar	16.6	30-Apr	11.4	15-Jun	14.8	31-Jul	18.0	15-Sep	7.1	31-Oct	11.2	16-Dec	9.7
30-Jan	6.9	16-Mar	7.9	1-May	12.6	16-Jun	17.8	1-Aug	16.3	16-Sep	7.7	1-Nov	16.2	17-Dec	7.0
31-Jan	4.9	17-Mar	9.6	2-May	10.0	17-Jun	12.6	2-Aug	19.3	17-Sep	11.3	2-Nov	17.3	18-Dec	7.9
1-Feb	5.4	18-Mar	10.3	3-May	11.2	18-Jun	10.5	3-Aug	17.9	18-Sep	16.8	3-Nov	18.3	19-Dec	6.9
2-Feb	7.1	19-Mar	8.4	4-May	10.4	19-Jun	15.0	4-Aug	25.1	19-Sep	14.8	4-Nov	8.9	20-Dec	8.1
3-Feb	10.9	20-Mar	4.9	5-May	15.7	20-Jun	22.7	5-Aug	RC	20-Sep	8.0	5-Nov	5.8	21-Dec	4.9
4-Feb	12.1	21-Mar	8.7	6-May	16.1	21-Jun	18.7	6-Aug	19.1	21-Sep	10.8	6-Nov	8.6	22-Dec	7.7
5-Feb	17.1	22-Mar	13.3	7-May	16.8	22-Jun	15.2	7-Aug	14.0	22-Sep	14.5	7-Nov	15.0	23-Dec	7.7
6-Feb	10.3	23-Mar	12.2	8-May	14.5	23-Jun	16.8	8-Aug	10.8	23-Sep	21.2	8-Nov	8.3	24-Dec	10.5
7-Feb	4.0	24-Mar	10.3	9-May	11.7	24-Jun	15.1	9-Aug	15.0	24-Sep	8.6	9-Nov	10.0	25-Dec	6.5
8-Feb	9.7	25-Mar	11.9	10-May	9.0	25-Jun	20.7	10-Aug	21.7	25-Sep	1.2	10-Nov	12.8	26-Dec	7.6
9-Feb	11.5	26-Mar	20.1	11-May	6.7	26-Jun	23.0	11-Aug	14.3	26-Sep	16.0	11-Nov	11.8	27-Dec	13.3
10-Feb	3.0	27-Mar	22.5	12-May	7.9	27-Jun	17.8	12-Aug	14.7	27-Sep	12.1	12-Nov	14.8	28-Dec	6.4
11-Feb	5.5	28-Mar	18.2	13-May	8.3	28-Jun	12.4	13-Aug	13.0	28-Sep	18.0	13-Nov	14.5	29-Dec	3.7
12-Feb	18.9	29-Mar	10.8	14-May	12.2	29-Jun	12.7	14-Aug	13.5	29-Sep	17.8	14-Nov	7.7	30-Dec	4.7
13-Feb	17.6	30-Mar	6.4	15-May	13.1	30-Jun	8.9	15-Aug	17.5	30-Sep	16.4	15-Nov	3.6	31-Dec	4.4
14-Feb	11.2	31-Mar	3.3	16-May	8.8	1-Jul	7.1	16-Aug	23.9	1-Oct	12.3	16-Nov	4.6		
15-Feb	14.4	1-Apr	7.8	17-May	8.2	2-Jul	13.8	17-Aug	18.4	2-Oct	8.2	17-Nov	7.8		

Annual 98th Percentile Concentration = 25.1 µg/m³
 RC = Above 98th Percentile and Removed from Consideration

Table E-3. 2008 Daily PM_{2.5} Concentrations Less Than or Equal to the 98th Percentile by Quarter

Season / Quarter 1				Season / Quarter 2				Season / Quarter 3				Season / Quarter 4			
Date	Conc.	Date	Conc.	Date	Conc.	Date	Conc.	Date	Conc.	Date	Conc.	Date	Conc.	Date	Conc.
1-Jan	10.4	16-Feb	15.1	1-Apr	7.8	17-May	8.2	1-Jul	7.1	16-Aug	23.9	1-Oct	12.3	16-Nov	4.6
2-Jan	5.4	17-Feb	11.8	2-Apr	10.5	18-May	11.1	2-Jul	13.8	17-Aug	18.4	2-Oct	8.2	17-Nov	7.8
3-Jan	10.0	18-Feb	3.4	3-Apr	8.2	19-May	7.7	3-Jul	17.1	18-Aug	18.7	3-Oct	12.3	18-Nov	4.4
4-Jan	16.4	19-Feb	4.5	4-Apr	9.7	20-May	13.6	4-Jul	19.8	19-Aug	21.5	4-Oct	19.5	19-Nov	8.2
5-Jan	11.2	20-Feb	4.8	5-Apr	6.9	21-May	12.1	5-Jul	14.3	20-Aug	20.1	5-Oct	23.7	20-Nov	11.1
6-Jan	11.1	21-Feb	11.9	6-Apr	6.3	22-May	10.0	6-Jul	11.5	21-Aug	18.4	6-Oct	19.8	21-Nov	5.3
7-Jan	10.2	22-Feb	20.1	7-Apr	7.9	23-May	13.3	7-Jul	14.3	22-Aug	16.7	7-Oct	21.7	22-Nov	8.9
8-Jan	11.4	23-Feb	11.4	8-Apr	9.8	24-May	11.2	8-Jul	12.2	23-Aug	13.8	8-Oct	12.2	23-Nov	14.0
9-Jan	8.1	24-Feb	19.3	9-Apr	16.5	25-May	17.7	9-Jul	11.1	24-Aug	19.0	9-Oct	5.1	24-Nov	12.7
10-Jan	9.4	25-Feb	18.2	10-Apr	13.3	26-May	14.2	10-Jul	9.7	25-Aug	17.6	10-Oct	10.2	25-Nov	9.7
11-Jan	5.7	26-Feb	12.8	11-Apr	11.0	27-May	15.4	11-Jul	16.4	26-Aug	15.4	11-Oct	10.7	26-Nov	12.8
12-Jan	8.9	27-Feb	5.5	12-Apr	8.8	28-May	13.9	12-Jul	21.5	27-Aug	12.6	12-Oct	5.6	27-Nov	16.6
13-Jan	18.1	28-Feb	9.7	13-Apr	6.3	29-May	9.3	13-Jul	RC	28-Aug	12.1	13-Oct	5.9	28-Nov	17.2
14-Jan	11.0	29-Feb	12.1	14-Apr	5.1	30-May	14.5	14-Jul	11.7	29-Aug	10.1	14-Oct	9.7	29-Nov	16.6
15-Jan	11.8	1-Mar	9.6	15-Apr	7.9	31-May	20.5	15-Jul	18.9	30-Aug	17.2	15-Oct	12.8	30-Nov	4.5
16-Jan	10.7	2-Mar	5.6	16-Apr	8.2	1-Jun	15.3	16-Jul	RC	31-Aug	19.9	16-Oct	16.4	1-Dec	7.5
17-Jan	10.0	3-Mar	12.5	17-Apr	14.7	2-Jun	11.5	17-Jul	RC	1-Sep	19.4	17-Oct	12.0	2-Dec	10.6
18-Jan	15.6	4-Mar	7.1	18-Apr	22.5	3-Jun	17.9	18-Jul	12.8	2-Sep	18.2	18-Oct	7.9	3-Dec	16.7
19-Jan	18.0	5-Mar	4.9	19-Apr	12.8	4-Jun	21.1	19-Jul	6.2	3-Sep	24.0	19-Oct	6.6	4-Dec	12.5
20-Jan	6.6	6-Mar	9.9	20-Apr	6.9	5-Jun	17.9	20-Jul	20.1	4-Sep	15.4	20-Oct	8.1	5-Dec	7.3
21-Jan	7.4	7-Mar	11.2	21-Apr	7.5	6-Jun	17.6	21-Jul	RC	5-Sep	12.4	21-Oct	12.2	6-Dec	10.4
22-Jan	13.5	8-Mar	5.5	22-Apr	6.0	7-Jun	15.0	22-Jul	16.9	6-Sep	12.5	22-Oct	4.6	7-Dec	13.4
23-Jan	16.0	9-Mar	8.8	23-Apr	9.1	8-Jun	22.3	23-Jul	12.8	7-Sep	15.8	23-Oct	6.1	8-Dec	10.5
24-Jan	9.4	10-Mar	11.0	24-Apr	10.3	9-Jun	RC	24-Jul	7.9	8-Sep	23.4	24-Oct	4.6	9-Dec	9.3
25-Jan	12.6	11-Mar	12.1	25-Apr	12.0	10-Jun	21.6	25-Jul	15.7	9-Sep	11.5	25-Oct	4.5	10-Dec	6.5
26-Jan	13.6	12-Mar	9.7	26-Apr	12.5	11-Jun	19.4	26-Jul	24.9	10-Sep	6.0	26-Oct	10.5	11-Dec	3.0
27-Jan	16.1	13-Mar	15.1	27-Apr	11.3	12-Jun	21.2	27-Jul	22.2	11-Sep	11.8	27-Oct	6.4	12-Dec	3.5
28-Jan	10.0	14-Mar	21.6	28-Apr	7.6	13-Jun	RC	28-Jul	17.5	12-Sep	10.7	28-Oct	4.6	13-Dec	10.2
29-Jan	10.4	15-Mar	16.6	29-Apr	7.4	14-Jun	15.6	29-Jul	19.1	13-Sep	7.6	29-Oct	5.6	14-Dec	17.6
30-Jan	6.9	16-Mar	7.9	30-Apr	11.4	15-Jun	14.8	30-Jul	21.1	14-Sep	7.5	30-Oct	7.6	15-Dec	12.4
31-Jan	4.9	17-Mar	9.6	1-May	12.6	16-Jun	17.8	31-Jul	18.0	15-Sep	7.1	31-Oct	11.2	16-Dec	9.7
1-Feb	5.4	18-Mar	10.3	2-May	10.0	17-Jun	12.6	1-Aug	16.3	16-Sep	7.7	1-Nov	16.2	17-Dec	7.0
2-Feb	7.1	19-Mar	8.4	3-May	11.2	18-Jun	10.5	2-Aug	19.3	17-Sep	11.3	2-Nov	17.3	18-Dec	7.9
3-Feb	10.9	20-Mar	4.9	4-May	10.4	19-Jun	15.0	3-Aug	17.9	18-Sep	16.8	3-Nov	18.3	19-Dec	6.9
4-Feb	12.1	21-Mar	8.7	5-May	15.7	20-Jun	22.7	4-Aug	25.1	19-Sep	14.8	4-Nov	8.9	20-Dec	8.1
5-Feb	17.1	22-Mar	13.3	6-May	16.1	21-Jun	18.7	5-Aug	RC	20-Sep	8.0	5-Nov	5.8	21-Dec	4.9
6-Feb	10.3	23-Mar	12.2	7-May	16.8	22-Jun	15.2	6-Aug	19.1	21-Sep	10.8	6-Nov	8.6	22-Dec	7.7
7-Feb	4.0	24-Mar	10.3	8-May	14.5	23-Jun	16.8	7-Aug	14.0	22-Sep	14.5	7-Nov	15.0	23-Dec	7.7
8-Feb	9.7	25-Mar	11.9	9-May	11.7	24-Jun	15.1	8-Aug	10.8	23-Sep	21.2	8-Nov	8.3	24-Dec	10.5
9-Feb	11.5	26-Mar	20.1	10-May	9.0	25-Jun	20.7	9-Aug	15.0	24-Sep	8.6	9-Nov	10.0	25-Dec	6.5
10-Feb	3.0	27-Mar	22.5	11-May	6.7	26-Jun	23.0	10-Aug	21.7	25-Sep	1.2	10-Nov	12.8	26-Dec	7.6
11-Feb	5.5	28-Mar	18.2	12-May	7.9	27-Jun	17.8	11-Aug	14.3	26-Sep	16.0	11-Nov	11.8	27-Dec	13.3
12-Feb	18.9	29-Mar	10.8	13-May	8.3	28-Jun	12.4	12-Aug	14.7	27-Sep	12.1	12-Nov	14.8	28-Dec	6.4
13-Feb	17.6	30-Mar	6.4	14-May	12.2	29-Jun	12.7	13-Aug	13.0	28-Sep	18.0	13-Nov	14.5	29-Dec	3.7
14-Feb	11.2	31-Mar	3.3	15-May	13.1	30-Jun	8.9	14-Aug	13.5	29-Sep	17.8	14-Nov	7.7	30-Dec	4.7
15-Feb	14.4			16-May	8.8			15-Aug	17.5	30-Sep	16.4	15-Nov	3.6	31-Dec	4.4
Seasonal / Quarterly Maximum			22.5	Seasonal / Quarterly Maximum			23.0	Seasonal / Quarterly Maximum			25.1	Seasonal / Quarterly Maximum			23.7

Seasonal / Quarterly Maximum Concentration
RC = Above 98th Percentile and Removed from Consideration

Table E-4. Resulting Average of Seasonal (or Quarterly) Maximums for Inclusion into AERMOD

Seasonal / Quarterly Average Highest Monitored Concentration

(From Annual Datasets Equal To and Less Than the 98th Percentile)

	Q1	Q2	Q3	Q4
2008	22.5	23.0	25.1	23.7
2009	21.1	20.7	21.2	19.8
2010	20.7	22.6	23.5	20.7
Average	21.433	22.100	23.267	21.400

(Note, the complete datasets for 2009 and 2010 are not shown in Appendix D but would follow the same steps as for 2008)

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