

How to Submit Exceptional Events Processes and Mitigation Plans

The Plan Collection Interface (PCI) is a platform for state and local air agencies to submit exceptional events processes and mitigation plans to EPA for review. Through the PCI, users can create draft and final submission forms and upload any accompanying files with the submission. After a submission is signed, it is delivered to EPA for further action. This job aide explains how to create, prepare, and submit exceptional events process and mitigation plan forms to EPA.

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Key Terms

Initial Notification – Formal and/or informal conversations/communications between an air agency and the EPA regarding an air agency's intent to request exclusion of specific, measured exceedances of an applicable NAAQS that were potentially caused by an exceptional event, and whether these data are ripe for inclusion and submission in an exceptional events demonstration.

Draft Demonstration – Preliminary documentation supporting data exclusion submitted by an air agency to the EPA that addresses the exceptional events demonstration criteria and the schedule and procedural requirements in the 2016 Exceptional Events Rule. This may be an iterative document(s) shared with EPA with the intent of seeking feedback.

Final Demonstration – Final documentation supporting data exclusion submitted by an air agency to the EPA that addresses the exceptional events demonstration criteria and the schedule and procedural requirements in the 2016 Exceptional Events Rule.

Processes – Submitted documentation that supports exceptional events demonstrations through submission to EPA via the Exceptional Events Submission and Tracking System—this includes initial notifications and draft and final demonstrations.

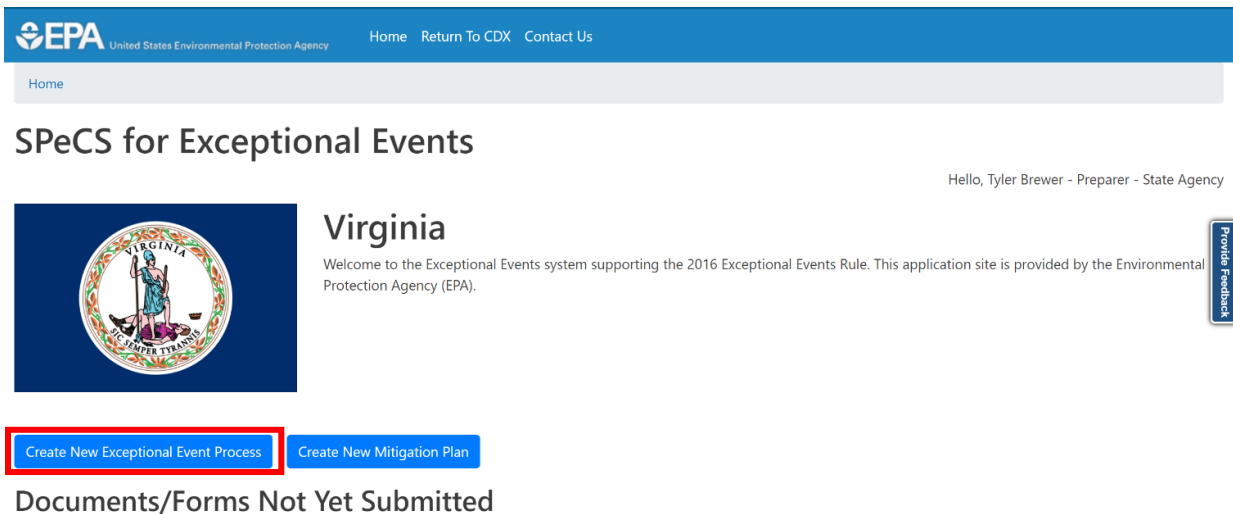
Exceptional Events Process

Follow the steps below to create a new initial notification, draft demonstration, or final demonstration submission form

Creating and Preparing the Form

1. On the Exceptional Events Submission and Tracking state landing page, click on the 'Create New Exceptional Event Process' button above the Documents/Forms Not Yet Submitted table (see Figure 1).

Figure 1: Exceptional Events Landing Page



2. Click 'OK' to confirm that the Exceptional Events Process is a **new** submission and has not already been created (see Figure 2).
 - a. **IMPORTANT: Verify that there is not an existing process before creating a new process.** If a draft process is already in progress, click "Cancel" and select the process from the "Document/Forms Not Yet Submitted" table. See the [Updating an Existing Process or Plan section](#) for further details.

Figure 2: Confirm New Exceptional Events Process or Mitigation Plan

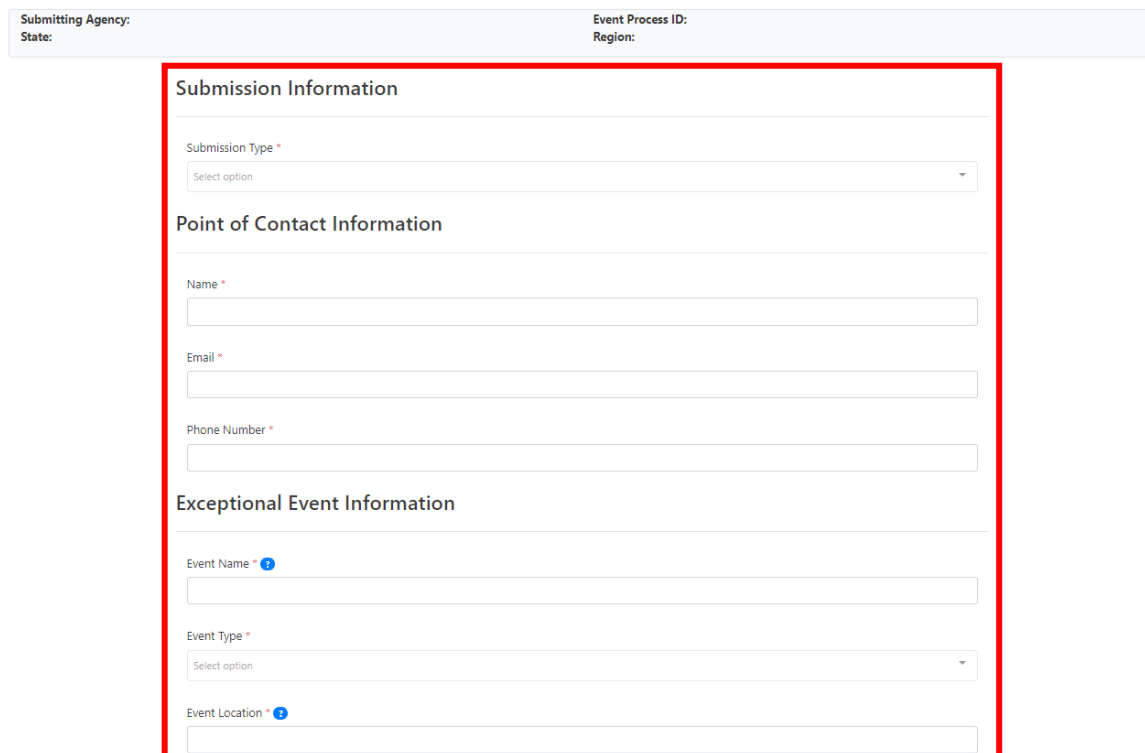
Please Note: By clicking OK, you will be creating a new Exceptional Event Process or Mitigation Plan. If it is an Exceptional Event Process ID or Mitigation Plan ID has already been created/submitted, please click Cancel and select the Add New Document/Form button associated with the Exceptional Event Process or Mitigation Plan in the Created/Submitted Processes table shown below.

Cancel

OK

3. On the Exceptional Events Form page, begin by selecting the submission type (Initial Notification, Draft Demonstration, or Final Demonstration) from the dropdown menu (see Figure 3).
 - a. Note: Fields marked with a red asterisk(*) are required.
4. Fill out point of contact information including name, email, and phone number.
5. In the “Exceptional Events Information” section, enter the event name, type, and location.
 - a. Note: Click on the blue question mark(?) for helpful tips.

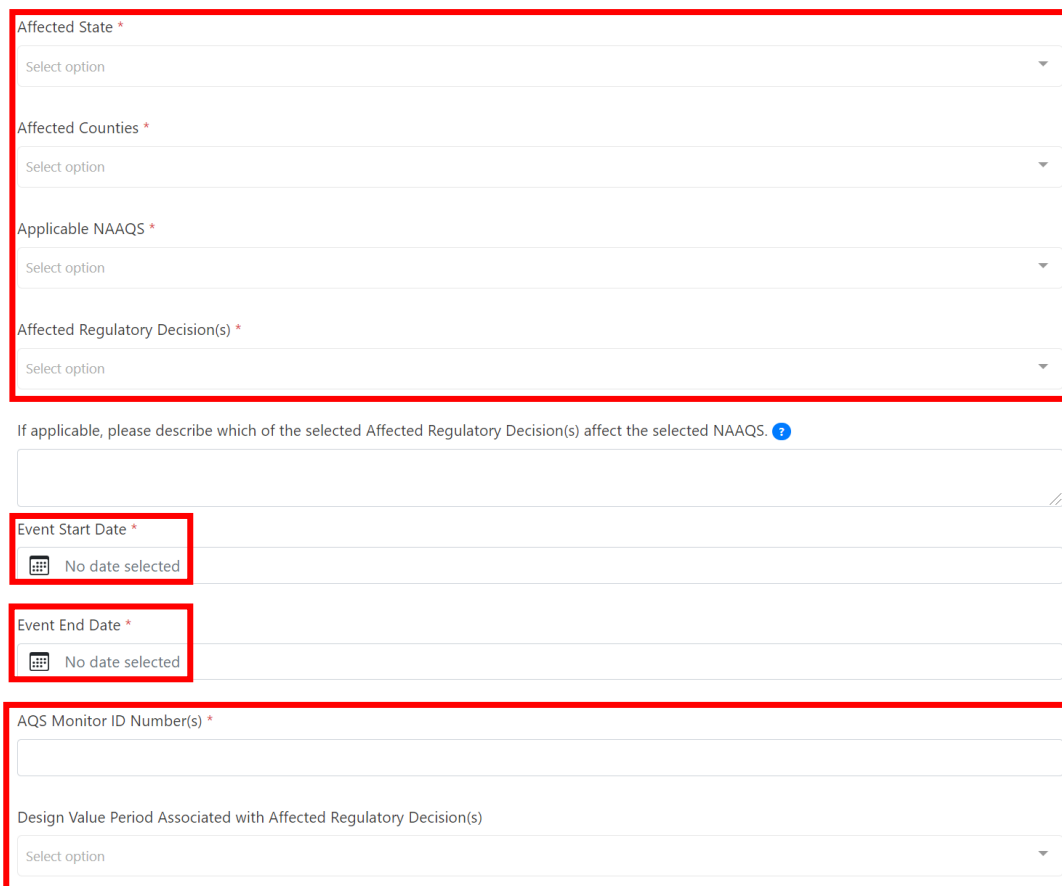
Figure 3: Exceptional Events Form



The screenshot shows the top portion of a web form. At the top, there are two labels: "Submitting Agency: State:" and "Event Process ID: Region:". Below these is a large red rectangular box containing the main form sections. The first section is "Submission Information" with a dropdown menu for "Submission Type *". The second section is "Point of Contact Information" with text input fields for "Name *", "Email *", and "Phone Number *". The third section is "Exceptional Event Information" with text input fields for "Event Name *", "Event Type *" (with a dropdown menu), and "Event Location *". Each field in the red box has a red asterisk indicating it is required. Blue question mark icons are present next to the "Event Name" and "Event Location" labels.

6. Next, select the affected state, counties, applicable NAAQS, and any regulatory decision(s) from the dropdown menus (see Figure 4).
7. If applicable, describe which of the selected regulatory decision(s) affect the NAAQS by typing in the textbox.
8. Select a start and end date for the exceptional event by using the calendar picker feature.
9. Type in the AQS monitor ID number and select the design value period associated with the regulatory decision(s).

Figure 4: Exceptional Events Form (Part 2)



The form contains the following fields and sections:

- Affected State ***: A dropdown menu with "Select option" as the placeholder.
- Affected Counties ***: A dropdown menu with "Select option" as the placeholder.
- Applicable NAAQS ***: A dropdown menu with "Select option" as the placeholder.
- Affected Regulatory Decision(s) ***: A dropdown menu with "Select option" as the placeholder.
- Description of Affected Regulatory Decision(s)**: A text area with the prompt "If applicable, please describe which of the selected Affected Regulatory Decision(s) affect the selected NAAQS." and a help icon.
- Event Start Date ***: A date picker field showing "No date selected".
- Event End Date ***: A date picker field showing "No date selected".
- AQS Monitor ID Number(s) ***: A text input field.
- Design Value Period Associated with Affected Regulatory Decision(s)**: A dropdown menu with "Select option" as the placeholder.

10. While filling out the form, click on the “Save” button to save your progress or “Save and Exit” to continue the form at another time (see Figure 5).
11. Once the form is completed, click the green “Save and Continue” button to proceed to the file upload page.

Figure 5: Navigation Buttons



The navigation buttons are: Previous, Cancel and Exit, Save, Save and Continue, and Save and Exit. The last three buttons are highlighted with a red box.

12. On the file upload page, click on the blue “Select” button to browse for files or drag them into the gray box labeled “Drop files anywhere to upload” (see Figure 6).
13. Provide a description of the file once it has been selected.
14. Click the red “Remove” button to remove any unwanted files before clicking the green “Start Upload” button to add all files.

Figure 6: File Upload Page

Confidential Business Information (CBI) cannot be submitted through this application. Please contact your EPA Regional Point of Contact if you would like to submit CBI.

Name	Status	Action
Annotation 2019-11-07 104603.png Description		Remove

[Select](#)
[Start Upload](#)

Allowed file extensions: gif, jpg, png, txt, rft, html, doc, docx, odf, pdf, ppt, pptx, xls, xlsx, xml, csv, zip
Maximum upload size (per file): 200MB

[Previous](#)
[Cancel and Exit](#)
[Save](#)
[Save for Signature](#)
[Save and Exit](#)

Submitting the Exceptional Events Documents

15. Once the files have been uploaded:

- Preparers:** Click the green “Save for Signature” button to save the form. The form is now ready for signature by the certifier.
- Certifiers:** Click the green “Save for Signature” button to save the form **OR** click the green “Sign” button if the plan is ready for submission. This will pull up a window with the eSignature Widget. Fill out the “Authentication” and “Verification” steps before clicking the green “Sign” button to complete the signing process and submit the event form to EPA (see Figure 7).

Figure 7: eSignature Widget

eSignature Widget

1. Authentication

Log into CDX

User:

TYBREWER

Password:

Show Password ☐

Welcome Tyler Brewer

2. Verification

Question:

What is your favorite song?

Answer:

Show Answer ☐

Correct Answer

3. Sign File

[Sign](#)

- Verify that the plan is now visible under the “Created/Submitted Processes” table on the PCI landing page with a status of “Submission Received.” A notification email should be received shortly after submitting the plan (see Figure 8).

Figure 8: Created/Submitted Processes Table

Documents/Forms Not Yet Submitted

Action	Submission Type	Event Process ID / Mitigation Plan ID	Event Type	Applicable NAAQS / Pollutant(s)	Last Modified
Delete	Draft Demonstration	EEPID610	rc - Chem. Spills & Indust. Accidents	8-Hour Ozone (2008 Standard)	07-09-2020

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Created/Submitted Processes

Action	Event Process ID / Mitigation Plan ID	Event Type	Applicable NAAQS / Pollutant(s)	Latest Submission Type	Latest Submission Status	Latest Submission Date
Add New Document/Form	EEPID690	rd - Cleanup After a Major Disaster	PM-2.5 (2006 Standard)	Draft Demonstration	Submission Received	07-10-2020

Per page: 10

Mitigation Plan

Creating and Preparing the Form

1. On the Exceptional Events Submission and Tracking state landing page, click on the 'Create New Mitigation Plan' button above the Documents/Forms Not Yet Submitted table (see Figure 9).

Figure 9: Exceptional Events Landing Page

[Home](#)
[Return To CDX](#)
[Contact Us](#)

[Home](#)

SPeCS for Exceptional Events

Hello, Tyler Brewer - Preparer - State Agency

Virginia

Welcome to the Exceptional Events system supporting the 2016 Exceptional Events Rule. This application site is provided by the Environmental Protection Agency (EPA).

[Create New Exceptional Event Process](#)
[Create New Mitigation Plan](#)

Documents/Forms Not Yet Submitted

2. Click 'OK' to confirm that the Mitigation Plan is a **new** submission and has not already been created (see Figure 10).
 - a. **IMPORTANT: Verify that there is not an existing plan before creating a new plan.** If a draft plan is already in progress, click "Cancel" and select the plan from the "Document/Forms Not Yet Submitted" table. See the [Updating an Existing Process or Plan section](#) for further details.

Figure 10: Confirm New Exceptional Events Process or Mitigation Plan

×

Please Note: By clicking OK, you will be creating a new Exceptional Event Process or Mitigation Plan. If an Exceptional Event Process ID or Mitigation Plan ID has already been created/submitted, please click Cancel and select the Add New Document/Form button associated with the Exceptional Event Process or Mitigation Plan in the Created/Submitted Processes table shown below.

Cancel

OK

- On the Mitigation Plan Form page, begin by selecting the submission type (Draft or Final Mitigation Plan) from the dropdown menu (see Figure 11).
 - Note: Fields marked with a **red asterisk** are required.
- Fill out point of contact information including name, email, and phone number.

Figure 11: Mitigation Plan Form

Submitting Agency: State:	Event Process ID: Region:
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Submission Information

Submission Type *

Select option

Point of Contact Information

Name *

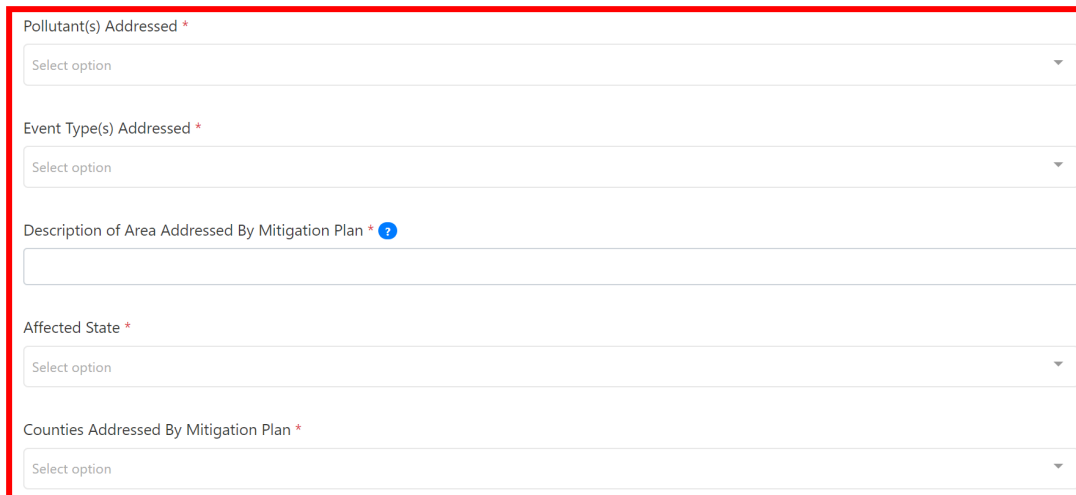
Email *

Phone Number *

- In the “Mitigation Plan Information” section, select the pollutant(s) and event type(s) addressed from the dropdown menu (see Figure 12).
- Provide a description of the area addressed by the mitigation plan.
 - Note: Click on the **blue question mark** for helpful tips.
- Next, selected the affected states and counties from the dropdown menus.

Figure 12: Mitigation Plan Form (Part 2)

Mitigation Plan Information



The screenshot shows a web form titled "Mitigation Plan Information". It contains five fields, all of which are highlighted with a red border. The fields are: "Pollutant(s) Addressed *" with a dropdown menu showing "Select option"; "Event Type(s) Addressed *" with a dropdown menu showing "Select option"; "Description of Area Addressed By Mitigation Plan *" with a text input field and a help icon; "Affected State *" with a dropdown menu showing "Select option"; and "Counties Addressed By Mitigation Plan *" with a dropdown menu showing "Select option".

8. While filling out the form, click on the "Save" button to save your progress or "Save and Exit" to continue the form at another time (see Figure 13).
9. Once the form is completed, click the green "Save and Continue" button to proceed to the file upload page.

Figure 13: Navigation Buttons



The screenshot shows a row of five buttons: "Previous", "Cancel and Exit", "Save", "Save and Continue", and "Save and Exit". The "Save", "Save and Continue", and "Save and Exit" buttons are grouped together and highlighted with a red border. The "Save and Continue" button is green, while the others are white with gray borders.

10. On the file upload page, click on the blue "Select" button to browse for files or drag them into the gray box labeled "Drop files anywhere to upload" (see Figure 14).
11. Provide a description of the file and select an associated category from the dropdown menu.
12. Click the red "Remove" button to remove any unwanted files before clicking the green "Start Upload" button to add all files.

Figure 14: File Upload Page

Confidential Business Information (CBI) cannot be submitted through this application. Please contact your EPA Regional Point of Contact if you would like to submit CBI.

Name	Status	Action
Annotation 2019-11-07 104603.png <div> <input type="text" value="Description"/> <div> Please select a Category </div> </div>		<div>Remove</div>

Select

Start Upload

Allowed file extensions: gif, jpg, png, txt, rft, html, doc, docx, odf, pdf, ppt, pptx, xls,xlsx, xml, csv, zip
 Maximum upload size (per file): 200MB

Previous

Cancel and Exit

Save

Save for Signature

Save and Exit

Submitting the Mitigation Plan

13. Once the files have been uploaded:

- Preparers:** Click the green “Save for Signature” button to save the form. The form is now ready for signature by the certifier.
- Certifiers:** Click the green “Save for Signature” button to save the form OR click the green “Sign” button if the plan is ready for submission. This will pull up a window with the eSignature Widget. Fill out the “Authentication” and “Verification” steps before clicking the green “Sign” button to complete the signing process and submit the plan to EPA (see Figure 14).

Figure 15: eSignature Widget

eSignature Widget

1. Authentication
 Log into CDX
 User:
 TYBREWER
 Password:

 Show Password ☐
 Welcome Tyler Brewer

2. Verification
 Question:
 What is your favorite song?
 Answer:

 Show Answer ☐
 Correct Answer

3. Sign File

Sign

14. Verify that the plan is now visible under the “Created/Submitted Processes” table on the PCI landing page with a status of “Submission Received.” A notification email should be received shortly after submitting the plan (see Figure 16).

Figure 16: Created/Submitted Processes Table

Documents/Forms Not Yet Submitted

Action	Submission Type	Event Process ID / Mitigation Plan ID	Event Type	Applicable NAAQS / Pollutant(s)	Last Modified
Delete	Draft Demonstration	EEPID610	rc - Chem. Spills & Indust. Accidents	8-Hour Ozone (2008 Standard)	07-09-2020

Per page: 10

Created/Submitted Processes

Action	Event Process ID / Mitigation Plan ID	Event Type	Applicable NAAQS / Pollutant(s)	Latest Submission Type	Latest Submission Status	Latest Submission Date
Add New Document/Form	EEPID690	rd - Cleanup After a Major Disaster	PM-2.5 (2006 Standard)	Draft Demonstration	Submission Received	07-10-2020

Per page: 10

Updating an Existing Process or Plan Form

Once an exceptional events process or mitigation plan has been submitted, users can add supplemental documentation or revise information, if needed.

1. In the “Created/Submitted Processes” table, click the blue “Add New Document/Form” button next to the submission that you would like to edit or supplement (Figure 17).

Figure 17: Add New Document to Existing Process

Action	Event Process ID / Mitigation Plan ID	Event Type	Applicable NAAQS / Pollutant(s)	Latest Submission Type	Latest Submission Status	Latest Submission Date
Add New Document/Form	EEPID690	rd - Cleanup After a Major Disaster	PM-2.5 (2006 Standard)	Draft Demonstration	Submission Received	07-10-2020

Per page: 10

2. *If the submission type has changed since the form was first submitted, select the new submission type from the dropdown menu at the top of the page (see Figure 18).*
 - a. For example, an existing event process submitted as an “Initial Notification” can be updated to a “Draft Demonstration” or “Final Demonstration.”

Figure 18: Changing Submission Type

Submission Information

Submission Type *

Select option

Initial Notification Press enter to remove

Draft Demonstration

Final Demonstration

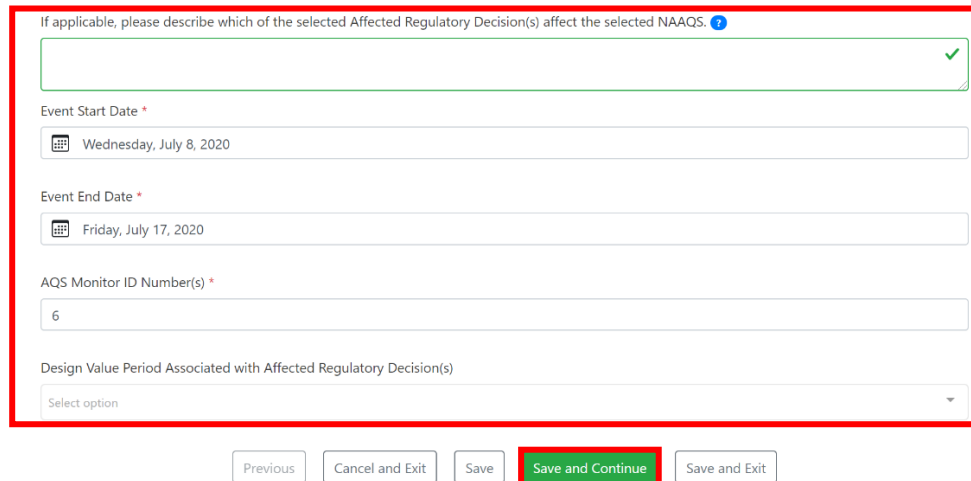
Name *

Tyler Brewer

Email *

- Make any additional edits on the form itself before clicking the green “Save and Continue” button at the bottom of the page (see Figure 19).

Figure 19: Edit and Update Form Information



- On the file upload page, click on the blue “Select” button to browse for supplemental files. Provide a description of the file once it has been selected (see Figure 20).
- Click the red “Remove” button to remove any unwanted files before clicking the green “Start Upload” button to add all files.

Figure 20: File Upload Page

Confidential Business Information (CBI) cannot be submitted through this application. Please contact your EPA Regional Point of Contact if you would like to submit CBI.

Name	Status	Action
submissionHTML-693.html <div style="background-color: #007bff; color: white; text-align: center; width: 100%;">100%</div> <div style="border: 1px solid #ccc; padding: 2px;">Description</div>	success	<div style="border: 2px solid red; padding: 2px; display: inline-block;">Remove</div>

Select

Start Upload

Allowed file extensions: gif, jpg, png, txt, rft, html, doc, docx, odf, pdf, ppt, pptx, xls, xlsx, xml, csv, zip
Maximum upload size (per file): 200MB

Previous

Cancel and Exit

Save

Save for Signature

Save and Exit

- Once all necessary updates have been made, click the green “Save for Signature” button to submit. See the [Submitting the Exceptional Events Documents](#) or [Submitting the Mitigation Plan](#) sections for more detailed instructions.

Support

If you have any questions related to preparing and submitting Exceptional Event plans, please contact Denise Scott at scott.denise@epa.gov. Questions related to the CDX platform and its functionality should be directed to the CDX Help Desk at helpdesk@epadesk.net.