

Page 1 of 3

EXECUTIVE SUMMARY - ENFORCEMENT MATTER
DOCKET NO.: 2010-0633-AIR-E **TCEQ ID:** RN100242577 **CASE NO.:** 39542
RESPONDENT NAME: Alcoa World Alumina LLC

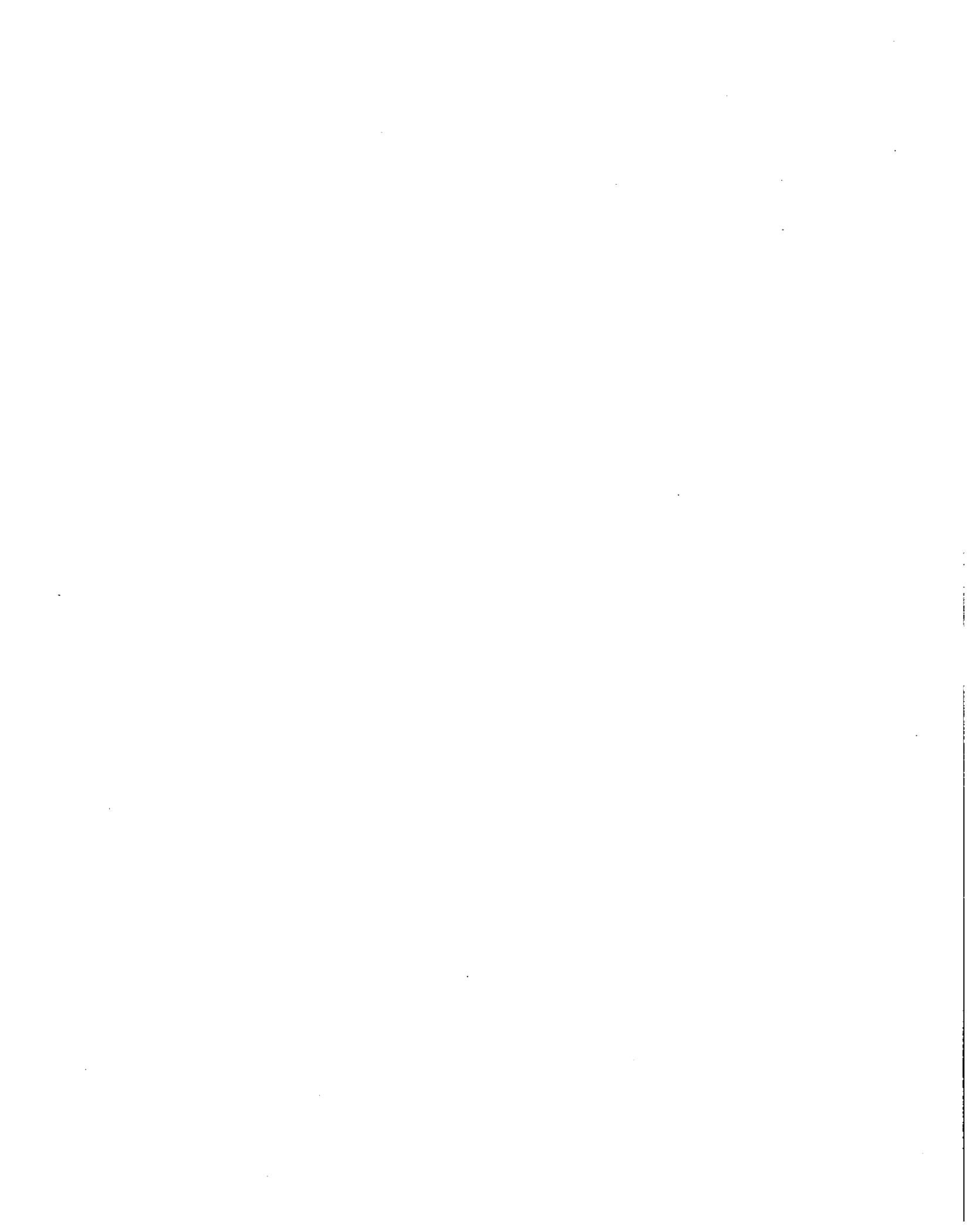
ORDER TYPE:		
<input checked="" type="checkbox"/> 1660 AGREED ORDER	<input type="checkbox"/> FINDINGS AGREED ORDER	<input type="checkbox"/> FINDINGS ORDER FOLLOWING SOAH HEARING
<input type="checkbox"/> FINDINGS DEFAULT ORDER	<input type="checkbox"/> SHUTDOWN ORDER	<input type="checkbox"/> IMMINENT AND SUBSTANTIAL ENDANGERMENT ORDER
<input type="checkbox"/> AMENDED ORDER	<input type="checkbox"/> EMERGENCY ORDER	
CASE TYPE:		
<input checked="" type="checkbox"/> AIR	<input type="checkbox"/> MULTI-MEDIA (check all that apply)	<input type="checkbox"/> INDUSTRIAL AND HAZARDOUS WASTE
<input type="checkbox"/> PUBLIC WATER SUPPLY	<input type="checkbox"/> PETROLEUM STORAGE TANKS	<input type="checkbox"/> OCCUPATIONAL CERTIFICATION
<input type="checkbox"/> WATER QUALITY	<input type="checkbox"/> SEWAGE SLUDGE	<input type="checkbox"/> UNDERGROUND INJECTION CONTROL
<input type="checkbox"/> MUNICIPAL SOLID WASTE	<input type="checkbox"/> RADIOACTIVE WASTE	<input type="checkbox"/> DRY CLEANER REGISTRATION
<p>SITE WHERE VIOLATION(S) OCCURRED: Alcoa-Lavaca Bay, 1472 Farm-to-Market Road 1593 South, Point Comfort, Calhoun County</p> <p>TYPE OF OPERATION: Chemical manufacturing plant</p> <p>SMALL BUSINESS: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>OTHER SIGNIFICANT MATTERS: There are no complaints. There is no record of additional pending enforcement actions regarding this facility location.</p> <p>INTERESTED PARTIES: No one other than the ED and the Respondent has expressed an interest in this matter.</p> <p>COMMENTS RECEIVED: The <i>Texas Register</i> comment period expired on October 11, 2010. No comments were received.</p> <p>CONTACTS AND MAILING LIST: TCEQ Attorney/SEP Coordinator: None TCEQ Enforcement Coordinator: Ms. Rebecca Johnson, Enforcement Division, Enforcement Team 5, MC R-14, (361) 825-3420; Ms. Laurie Eaves, Enforcement Division, MC 219, (512) 239-4495 Respondent: Mr. Allen R. Ness, Operations Manager, Alcoa World Alumina LLC, Post Office Box 101, Point Comfort, Texas 77978 Respondent's Attorney: Not represented by counsel on this enforcement matter</p>		

VIOLATION SUMMARY CHART:

VIOLATION INFORMATION	PENALTY CONSIDERATIONS	CORRECTIVE ACTIONS TAKEN/REQUIRED
<p>Type of Investigation: <input type="checkbox"/> Complaint <input type="checkbox"/> Routine <input type="checkbox"/> Enforcement Follow-up <input checked="" type="checkbox"/> Records Review</p> <p>Date(s) of Complaints Relating to this Case: None</p> <p>Date of Investigation Relating to this Case: March 1, 2010 and March 11, 2010</p> <p>Date of NOV/NOE Relating to this Case: April 13, 2010 and April 30, 2010 (NOE)</p> <p>Background Facts: This was a records review.</p> <p>AIR</p> <p>1) Failed to prevent unauthorized emissions and excess opacity during Incident No. 134175. Specifically, during the January 8, 2010 emissions event, 37.04 pounds ("lbs") of unauthorized alumina hydrate dust, with visible emissions of 100% averaged over a six-minute period, were released from the R-55-2 Flash Calciner for a duration of one hour and 51 minutes when an improperly operating level control transmitter caused the unit to shut down. Since the emissions event could have been avoided through better operational practices, the demonstration criteria for an affirmative defense in 30 TEX. ADMIN. CODE § 101.222 were not met [Air Permit No. 8166, Special Condition No. 1, 30 TEX. ADMIN. CODE §§ 116.115(c) and 111.111(a)(1)(C), and TEX. HEALTH & SAFETY CODE § 382.085(b)].</p> <p>2) Failed to prevent unauthorized emissions and excess opacity during Incident No. 134566. Specifically, during the January 18, 2010 emissions event, 17.65 lbs of unauthorized alumina hydrate dust, with visible emissions of 100% averaged over a six-minute period, were released from the R-55-2 Flash Calciner over a period of 24 minutes when the unit shut down</p>	<p>Total Assessed: \$20,700</p> <p>Total Deferred: \$4,140 <input checked="" type="checkbox"/> Expedited Settlement <input type="checkbox"/> Financial Inability to Pay</p> <p>SEP Conditional Offset: \$0</p> <p>Total Paid to General Revenue: \$16,560</p> <p>Site Compliance History Classification <input type="checkbox"/> High <input checked="" type="checkbox"/> Average <input type="checkbox"/> Poor</p> <p>Person Compliance History Classification <input type="checkbox"/> High <input checked="" type="checkbox"/> Average <input type="checkbox"/> Poor</p> <p>Major Source: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Applicable Penalty Policy: September 2002</p>	<p>Ordering Provisions:</p> <p>The Order will require the Respondent to:</p> <p>a. Within 30 days after the effective date of this Agreed Order:</p> <p>i. Implement measures designed to prevent the recurrence of emissions events due to the same cause as Incident No. 134175;</p> <p>ii. Implement measures designed to prevent the recurrence of emissions events due to the same cause as Incident No. 134566; and</p> <p>iii. Implement measures designed to prevent the recurrence of emissions events due to the same cause as Incident No. 135007.</p> <p>b. Within 45 days after the effective date of this Agreed Order, submit written certification as described below, and include detailed supporting documentation including photographs, receipts, and/or other records to demonstrate compliance with Ordering Provision a.</p>

<p>due to a loose wire causing the No. 8 Nash Seal Vacuum Pump to fail and the related alarm did not activate. Since the emissions event could have been avoided through better operational and maintenance practices, the demonstration criteria for an affirmative defense in 30 TEX. ADMIN. CODE § 101.222 were not met [Air Permit No. 8166, Special Condition No. 1, 30 TEX. ADMIN. CODE §§ 116.115(c) and 111.111(a)(1)(C), and TEX. HEALTH & SAFETY CODE § 382.085(b)].</p> <p>3) Failed to prevent unauthorized emissions and excess opacity during Incident No. 135007. Specifically, during the January 26, 2010 emissions event, 40.34 lbs of unauthorized alumina hydrate dust, with visible emissions of 100% averaged over a six-minute period, were released from the R-55-3 Flash Calciner over a period of 55 minutes when a fuse to the Programmable Logic Control failed during maintenance activities causing the unit to shut down. Since the emissions event could have been avoided through better maintenance practices, the criteria for an affirmative defense in 30 TEX. ADMIN. CODE § 101.222 were not met [Air Permit No. 8166, Special Condition No. 1, 30 TEX. ADMIN. CODE §§ 116.115(c) and 111.111(a)(1)(C), and TEX. HEALTH & SAFETY CODE § 382.085(b)].</p>		
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Additional ID No(s): Air Account No. CB0003M





Penalty Calculation Worksheet (PCW)

Policy Revision 2 (September 2002)

PCW Revision October 30, 2008

TCEQ

DATES	Assigned	3-May-2010	PCW	10-May-2010	Screening	10-May-2010	EPA Due	8-Jan-2011
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RESPONDENT/FACILITY INFORMATION	
Respondent	Alcoa World Alumina LLC
Reg. Ent. Ref. No.	RN100242577
Facility/Site Region	14-Corpus Christi
Major/Minor Source	Major

CASE INFORMATION			
Enf./Case ID No.	39542	No. of Violations	3
Docket No.	2010-0633-AIR-E	Order Type	1680
Media Program(s)	Air	Government/Non-Profit	No
Multi-Media		Enf. Coordinator	Rebecca Johnson
Admin. Penalty \$ Limit Minimum	\$0	EC's Team	Enforcement Team 5
Maximum	\$10,000		

Penalty Calculation Section

TOTAL BASE PENALTY (Sum of violation base penalties)	Subtotal 1	\$7,500
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ADJUSTMENTS (+/-) TO SUBTOTAL 1

Subtotals 2-7 are obtained by multiplying the Total Base Penalty (Subtotal 1) by the indicated percentage.

Compliance History	176.0% Enhancement	Subtotals 2, 3, & 7	\$13,200
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Notes
Penalty enhancement due to nine NOVs for same or similar violations, 24 NOVs for dissimilar violations, three agreed orders with a denial of liability, and one agreed order without a denial of liability. Penalty reduction due to two Notices of Intended Audits submitted.

Culpability	No	0.0% Enhancement	Subtotal 4	\$0
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Notes
The Respondent does not meet the culpability criteria.

Good Faith Effort to Comply Total Adjustments	Subtotal 5	\$0
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Economic Benefit	0.0% Enhancement*	Subtotal 6	\$0
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Total EB Amounts \$468
Approx. Cost of Compliance \$10,000
*Capped at the Total EB \$ Amount

SUM OF SUBTOTALS 1-7	Final Subtotal	\$20,700
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OTHER FACTORS AS JUSTICE MAY REQUIRE	0.0%	Adjustment	\$0
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Reduces or enhances the Final Subtotal by the indicated percentage.

Notes

Final Penalty Amount	\$20,700
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STATUTORY LIMIT ADJUSTMENT	Final Assessed Penalty	\$20,700
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DEFERRAL	20.0% Reduction	Adjustment	-\$4,140
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Reduces the Final Assessed Penalty by the indicated percentage. (Enter number only; e.g. 20 for 20% reduction.)

Notes
Deferral offered for expedited settlement.

PAYABLE PENALTY	\$16,560
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Screening Date 10-May-2010

Docket No. 2010-0633-AIR-E

PCW

Respondent Alcoa World Alumina LLC

Policy Revision 2 (September 2002)

Case ID No. 39542

PCW Revision October 30, 2008

Reg. Ent. Reference No. RN100242577

Media [Statute] Air

Ent. Coordinator Rebecca Johnson

Compliance History Worksheet

>> Compliance History Site Enhancement (Subtotal 2)

Component	Number of...	Enter Number Here	Adjust.
NOVs	Written NOVs with same or similar violations as those in the current enforcement action (number of NOVs meeting criteria)	9	45%
	Other written NOVs	24	48%
Orders	Any agreed final enforcement orders containing a denial of liability (number of orders meeting criteria)	3	60%
	Any adjudicated final enforcement orders, agreed final enforcement orders without a denial of liability, or default orders of this state or the federal government, or any final prohibitory emergency orders issued by the commission	1	25%
Judgments and Consent Decrees	Any non-adjudicated final court judgments or consent decrees containing a denial of liability of this state or the federal government (number of judgements or consent decrees meeting criteria)	0	0%
	Any adjudicated final court judgments and default judgments, or non-adjudicated final court judgments or consent decrees without a denial of liability, of this state or the federal government	0	0%
Convictions	Any criminal convictions of this state or the federal government (number of counts)	0	0%
Emissions	Chronic excessive emissions events (number of events)	0	0%
Audits	Letters notifying the executive director of an intended audit conducted under the Texas Environmental, Health, and Safety Audit Privilege Act, 74th Legislature, 1995 (number of audits for which notices were submitted)	2	-2%
	Disclosures of violations under the Texas Environmental, Health, and Safety Audit Privilege Act, 74th Legislature, 1995 (number of audits for which violations were disclosed)	0	0%
<i>Please Enter Yes or No</i>			
Other	Environmental management systems in place for one year or more	No	0%
	Voluntary on-site compliance assessments conducted by the executive director under a special assistance program	No	0%
	Participation in a voluntary pollution reduction program	No	0%
	Early compliance with, or offer of a product that meets future state or federal government environmental requirements	No	0%

Adjustment Percentage (Subtotal 2) 176%

>> Repeat Violator (Subtotal 3)

No

Adjustment Percentage (Subtotal 3) 0%

>> Compliance History Person Classification (Subtotal 7)

Average Performer

Adjustment Percentage (Subtotal 7) 0%

>> Compliance History Summary

Compliance History Notes

Penalty enhancement due to nine NOVs for same or similar violations, 24 NOVs for dissimilar violations, three agreed orders with a denial of liability, and one agreed order without a denial of liability. Penalty reduction due to two Notices of Intended Audits submitted.

Total Adjustment Percentage (Subtotals 2, 3, & 7) 176%

Screening Date: 10-May-2010

Docket No.: 2010-0633-AIR-E

PCW

Respondent: Alcoa World Alumina LLC

Policy Revision 2 (September 2002)

Case ID No.: 39542

PCW Revision October 30, 2008

Reg. Ent. Reference No.: RN100242577

Media [Statute]: Air

Enf. Coordinator: Rebecca Johnson

Violation Number: 1

Rule Cite(s): Air Permit No. 8166, Special Condition No. 1, 30 Tex. Admin. Code §§ 116.115(c) and 111.111(a)(1)(C), and Tex. Health & Safety Code § 382.085(b)

Violation Description

Failed to prevent unauthorized emissions and excess opacity during Incident No. 134175. Specifically, during the January 8, 2010 emissions event, 37.04 pounds ("lbs") of unauthorized alumina hydrate dust, with visible emissions of 100% averaged over a six-minute period, were released from the R-55-2 Flash Calciner for a duration of one hour and 51 minutes when an improperly operating level control transmitter caused the unit to shut down. Since the emissions event could have been avoided through better operational practices, the demonstration criteria for an affirmative defense in 30 Tex. Admin. Code § 101.222 were not met.

Base Penalty: \$10,000

>> Environmental, Property and Human Health Matrix

OR

Release	Harm		
	Major	Moderate	Minor
Actual			X
Potential			

Percent: 25%

>> Programmatic Matrix

Falsification	Major	Moderate	Minor

Percent: 0%

Matrix Notes

Human health or the environment have been exposed to an insignificant amount of pollutants that did not exceed levels protective of human health or environmental receptors.

Adjustment: \$7,500

\$2,500

Violation Events

Number of Violation Events: 1

Number of violation days: 1

daily	
weekly	
monthly	
quarterly	X
semiannual	
annual	
single event	

mark only one with an x

Violation Base Penalty: \$2,500

One quarterly event is recommended.

Good Faith Efforts to Comply

0.0% Reduction

\$0

	Before NOV	NOV to EDPRP/Settlement
Extraordinary		
Ordinary		
N/A	X	(mark with x)

Notes: The Respondent does not meet the good faith criteria for this violation.

Violation Subtotal: \$2,500

Economic Benefit (EB) for this violation

Statutory Limit Test

Estimated EB Amount: \$150

Violation Final Penalty Total: \$8,900

This violation Final Assessed Penalty (adjusted for limits): \$8,900

Economic Benefit Worksheet

Respondent Alcoa World Alumina LLC
Case ID No. 39542
Reg. Ent. Reference No. RN100242577
Media Air
Violation No. 1

Percent Interest	Years of Depreciation
5.0	15

Item Description	Item Cost	Date Required	Final Date	Yrs	Interest Saved	Onetime Costs	EB Amount
<small>No commas or \$</small>							

Delayed Costs

Equipment				0.00	\$0	\$0	\$0
Buildings				0.00	\$0	\$0	\$0
Other (as needed)				0.00	\$0	\$0	\$0
Engineering/construction				0.00	\$0	\$0	\$0
Land				0.00	\$0	n/a	\$0
Record Keeping System				0.00	\$0	n/a	\$0
Training/Sampling				0.00	\$0	n/a	\$0
Remediation/Disposal				0.00	\$0	n/a	\$0
Permit Costs				0.00	\$0	n/a	\$0
Other (as needed)	\$3,000	8-Jan-2010	8-Jan-2011	1.00	\$150	n/a	\$150

Notes for DELAYED costs

Estimated cost to implement measures designed to ensure that the level control transmitter on the product cooling vessel is properly installed and operated. The date required is the date of the emissions event. The final date is the projected date corrective actions will be completed.

Avoided Costs

ANNUALIZE [1] avoided costs before entering item (except for one-time avoided costs)

Disposal				0.00	\$0	\$0	\$0
Personnel				0.00	\$0	\$0	\$0
Inspection/Reporting/Sampling				0.00	\$0	\$0	\$0
Supplies/equipment				0.00	\$0	\$0	\$0
Financial Assurance [2]				0.00	\$0	\$0	\$0
ONE-TIME avoided costs [3]				0.00	\$0	\$0	\$0
Other (as needed)				0.00	\$0	\$0	\$0

Notes for AVOIDED costs

Approx. Cost of Compliance

\$3,000

TOTAL

\$150

Screening Date: 10-May-2010	Docket No.: 2010-0633-AIR-E	PCW														
Respondent: Alcoa World Alumina LLC	<small>Policy Revision 2 (September 2002)</small>															
Case ID No.: 39542	<small>PCW Revision October 30, 2008</small>															
Reg. Ent. Reference No.: RN100242577																
Media [Statute]: Air																
Enf. Coordinator: Rebecca Johnson																
Violation Number: 2																
Rule Cite(s):	Air Permit No. 8166, Special Condition No. 1, 30 Tex. Admin. Code §§ 116.115(c) and 111.111(a)(1)(C), and Tex. Health & Safety Code § 382.085(b)															
Violation Description:	Failed to prevent unauthorized emissions and excess opacity during Incident No. 134566. Specifically, during the January 18, 2010 emissions event, 17.65 lbs of unauthorized alumina hydrate dust, with visible emissions of 100% averaged over a six-minute period, were released from the R-55-2 Flash Calciner over a period of 24 minutes when the unit shut down due to a loose wire causing the No. 8 Nash Seal Vacuum Pump to fail and the related alarm did not activate. Since the emissions event could have been avoided through better operational and maintenance practices, the demonstration criteria for an affirmative defense in 30 Tex. Admin. Code § 101.222 were not met.															
Base Penalty:	\$10,000															
>> Environmental, Property and Human Health Matrix																
OR	Harm															
	Release Major Moderate Minor															
Actual	<input type="checkbox"/>	<input checked="" type="checkbox"/>														
Potential	<input type="checkbox"/>	<input type="checkbox"/>														
	Percent	25%														
>> Programmatic Matrix																
	Falsification	Major Moderate Minor														
	<input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>														
	Percent	0%														
Matrix Notes:	Human health or the environment have been exposed to an insignificant amount of pollutants that did not exceed levels protective of human health or environmental receptors.															
Adjustment:	\$7,500															
	\$2,500															
Violation Events																
Number of Violation Events:	1	Number of violation days: 1														
<small>mark only one with an x</small>	<table border="1" style="width:100%; border-collapse: collapse;"> <tr><td>daily</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td>weekly</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td>monthly</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td>quarterly</td><td style="text-align: center;"><input checked="" type="checkbox"/></td></tr> <tr><td>semiannual</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td>annual</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td>single event</td><td style="text-align: center;"><input type="checkbox"/></td></tr> </table>	daily	<input type="checkbox"/>	weekly	<input type="checkbox"/>	monthly	<input type="checkbox"/>	quarterly	<input checked="" type="checkbox"/>	semiannual	<input type="checkbox"/>	annual	<input type="checkbox"/>	single event	<input type="checkbox"/>	Violation Base Penalty: \$2,500
daily	<input type="checkbox"/>															
weekly	<input type="checkbox"/>															
monthly	<input type="checkbox"/>															
quarterly	<input checked="" type="checkbox"/>															
semiannual	<input type="checkbox"/>															
annual	<input type="checkbox"/>															
single event	<input type="checkbox"/>															
	One quarterly event is recommended.															
Good Faith Efforts to Comply																
	0.0% Reduction	\$0														
	Before NOV NOV to EDRP/Settlement Offer															
Extraordinary	<input type="checkbox"/>	<input type="checkbox"/>														
Ordinary	<input type="checkbox"/>	<input type="checkbox"/>														
N/A	<input checked="" type="checkbox"/>	(mark with x)														
Notes:	The Respondent does not meet the good faith criteria for this violation.															
Violation Subtotal:	\$2,500															
Economic Benefit (EB) for this violation																
Estimated EB Amount:	\$243	Statutory Limit Test														
	Violation Final Penalty Total:	\$6,900														
	This violation Final Assessed Penalty (adjusted for limits): \$6,900															

Economic Benefit Worksheet

Respondent: Alcoa World Alumina LLC

Case ID No.: 39542

Reg. Ent. Reference No.: RN100242577

Media: Air

Violation No.: 2

Percent Interest	Years of Depreciation
5.0	15

Item Description	Item Cost	Date Required	Final Date	Yrs	Interest Saved	Onetime Costs	EB Amount
No commas or \$							

Delayed Costs

Equipment				0.00	\$0	\$0	\$0
Buildings				0.00	\$0	\$0	\$0
Other (as needed)				0.00	\$0	\$0	\$0
Engineering/construction				0.00	\$0	\$0	\$0
Land				0.00	\$0	n/a	\$0
Record Keeping System				0.00	\$0	n/a	\$0
Training/Sampling				0.00	\$0	n/a	\$0
Remediation/Disposal				0.00	\$0	n/a	\$0
Permit Costs				0.00	\$0	n/a	\$0
Other (as needed)	\$5,000	18-Jan-2010	8-Jan-2011	0.97	\$243	n/a	\$243

Notes for DELAYED costs

Estimated cost to implement measures designed to ensure proper wire connections on the No. 8 Nash Seal Vacuum Pump and to ensure that the pump failure alarm is properly installed and operated. The date required is the date of the emissions event. The final date is the projected date corrective actions will be completed.

Avoided Costs

ANNUALIZE [1] avoided costs before entering item (except for one-time avoided costs)

Disposal				0.00	\$0	\$0	\$0
Personnel				0.00	\$0	\$0	\$0
Inspection/Reporting/Sampling				0.00	\$0	\$0	\$0
Supplies/equipment				0.00	\$0	\$0	\$0
Financial Assurance [2]				0.00	\$0	\$0	\$0
ONE-TIME avoided costs [3]				0.00	\$0	\$0	\$0
Other (as needed)				0.00	\$0	\$0	\$0

Notes for AVOIDED costs

Approx. Cost of Compliance

\$5,000

TOTAL

\$243

Screening Date: 10-May-2010

Docket No.: 2010-0633-AIR-E

PCW

Respondent: Alcoa World Alumina LLC

Policy Revision 2 (September 2002)

Case ID No.: 39542

PCW Revision October 30, 2008

Reg. Ent. Reference No.: RN100242577

Media [Statute]: Air

Enf. Coordinator: Rebecca Johnson

Violation Number: 3

Rule Cite(s)

Air Permit No. 8166, Special Condition No. 1, 30 Tex. Admin. Code §§ 116.115(c) and 111.111(a)(1)(C), and Tex. Health & Safety Code § 382.085(b)

Violation Description

Failed to prevent unauthorized emissions and excess opacity during Incident No. 135007. Specifically, during the January 26, 2010 emissions event, 40.34 lbs of unauthorized alumina hydrate dust, with visible emissions of 100% averaged over a six-minute period, were released from the R-55-3 Flash Calciner over a period of 55 minutes when a fuse to the Programmable Logic Control failed during maintenance activities causing the unit to shut down. Since the emissions event could have been avoided through better maintenance practices, the demonstration criteria for an affirmative defense in 30 Tex. Admin. Code § 101.222 were not met.

Base Penalty: \$10,000

>> Environmental, Property and Human Health Matrix

OR

Release	Harm		
	Major	Moderate	Minor
Actual			X
Potential			

Percent: 25%

>> Programmatic Matrix

Falsification	Major	Moderate	Minor

Percent: 0%

Matrix Notes

Human health or the environment have been exposed to an insignificant amount of pollutants that did not exceed levels protective of human health or environmental receptors.

Adjustment: \$7,500

\$2,500

Violation Events

Number of Violation Events: 1

Number of violation days: 1

daily	
weekly	
monthly	
quarterly	X
semianual	
annual	
single event	

mark only one with an x

Violation Base Penalty: \$2,500

One quarterly event is recommended.

Good Faith Efforts to Comply

0.0% Reduction

\$0

	Before NOV	NOV to EDPRP/Settlement Offer
Extraordinary		
Ordinary		
N/A	X	(mark with x)

Notes

The Respondent does not meet the good faith criteria for this violation.

Violation Subtotal: \$2,500

Economic Benefit (EB) for this violation

Statutory Limit Test

Estimated EB Amount: \$95

Violation Final Penalty Total: \$6,900

This violation Final Assessed Penalty (adjusted for limits): \$6,900

Economic Benefit Worksheet

Respondent: Alcoa World Alumina LLC

Case ID No.: 39542

Reg. Ent. Reference No.: RN100242577

Media: Air

Violation No.: 3

Percent Interest	Years of Depreciation
5.0	15

Item Description	Item Cost	Date Required	Final Date	Yrs	Interest Saved	Onetime Costs	EB Amount
No commas or \$							

Delayed Costs

Equipment				0.00	\$0	\$0	\$0
Buildings				0.00	\$0	\$0	\$0
Other (as needed)				0.00	\$0	\$0	\$0
Engineering/construction				0.00	\$0	\$0	\$0
Land				0.00	\$0	n/a	\$0
Record Keeping System				0.00	\$0	n/a	\$0
Training/Sampling				0.00	\$0	n/a	\$0
Remediation/Disposal				0.00	\$0	n/a	\$0
Permit Costs				0.00	\$0	n/a	\$0
Other (as needed)	\$2,000	26-Jan-2010	8-Jan-2011	0.95	\$95	n/a	\$95

Notes for DELAYED costs

Estimated cost to implement measures designed to ensure that proper maintenance procedures are followed when maintenance is being performed on common fuses for the R-55-3 Flash Calciner. The date required is the date of the emissions event. The final date is the projected date corrective actions will be completed.

Avoided Costs

ANNUALIZE [1] avoided costs before entering item (except for one-time avoided costs)

Disposal				0.00	\$0	\$0	\$0
Personnel				0.00	\$0	\$0	\$0
Inspection/Reporting/Sampling				0.00	\$0	\$0	\$0
Supplies/equipment				0.00	\$0	\$0	\$0
Financial Assurance [2]				0.00	\$0	\$0	\$0
ONE-TIME avoided costs [3]				0.00	\$0	\$0	\$0
Other (as needed)				0.00	\$0	\$0	\$0

Notes for AVOIDED costs

Approx. Cost of Compliance

\$2,000

TOTAL

\$95

Compliance History Report

Customer/Respondent/Owner-Operator:

CN601452329 Alcoa World Alumina LLC

Classification: AVERAGE

Rating: 3.74

Regulated Entity:

RN100242577 ALCOA - LAVACA BAY

Classification: AVERAGE

Site Rating: 6.66

ID Number(s):

AIR OPERATING PERMITS	ACCOUNT NUMBER	CB0003M
AIR OPERATING PERMITS	PERMIT	1344
USED OIL	REGISTRATION	COU0020
PETROLEUM STORAGE TANK REGISTRATION	REGISTRATION	32781
AIR NEW SOURCE PERMITS	PERMIT	1451
AIR NEW SOURCE PERMITS	PERMIT	1475
AIR NEW SOURCE PERMITS	PERMIT	1674
AIR NEW SOURCE PERMITS	PERMIT	1907
AIR NEW SOURCE PERMITS	PERMIT	2009
AIR NEW SOURCE PERMITS	PERMIT	4891
AIR NEW SOURCE PERMITS	PERMIT	7143
AIR NEW SOURCE PERMITS	PERMIT	8166
AIR NEW SOURCE PERMITS	REGISTRATION	10126
AIR NEW SOURCE PERMITS	REGISTRATION	10127
AIR NEW SOURCE PERMITS	PERMIT	20565
AIR NEW SOURCE PERMITS	REGISTRATION	26370
AIR NEW SOURCE PERMITS	REGISTRATION	27067
AIR NEW SOURCE PERMITS	REGISTRATION	30561
AIR NEW SOURCE PERMITS	REGISTRATION	38410
AIR NEW SOURCE PERMITS	REGISTRATION	43647
AIR NEW SOURCE PERMITS	REGISTRATION	43812
AIR NEW SOURCE PERMITS	REGISTRATION	43839
AIR NEW SOURCE PERMITS	REGISTRATION	44167
AIR NEW SOURCE PERMITS	REGISTRATION	44814
AIR NEW SOURCE PERMITS	REGISTRATION	45484
AIR NEW SOURCE PERMITS	REGISTRATION	45787
AIR NEW SOURCE PERMITS	REGISTRATION	46861
AIR NEW SOURCE PERMITS	REGISTRATION	47111
AIR NEW SOURCE PERMITS	REGISTRATION	47298
AIR NEW SOURCE PERMITS	REGISTRATION	47485
AIR NEW SOURCE PERMITS	REGISTRATION	49088
AIR NEW SOURCE PERMITS	REGISTRATION	49501
AIR NEW SOURCE PERMITS	REGISTRATION	42534
AIR NEW SOURCE PERMITS	ACCOUNT NUMBER	CB0003M
AIR NEW SOURCE PERMITS	REGISTRATION	52338

AIR NEW SOURCE PERMITS	REGISTRATION	53498
AIR NEW SOURCE PERMITS	REGISTRATION	55933
AIR NEW SOURCE PERMITS	REGISTRATION	75403
AIR NEW SOURCE PERMITS	AFS NUM	4805700002
AIR NEW SOURCE PERMITS	REGISTRATION	70769
AIR NEW SOURCE PERMITS	REGISTRATION	70728
AIR NEW SOURCE PERMITS	REGISTRATION	71538
AIR NEW SOURCE PERMITS	REGISTRATION	54168
AIR NEW SOURCE PERMITS	REGISTRATION	71733
AIR NEW SOURCE PERMITS	REGISTRATION	72382
AIR NEW SOURCE PERMITS	REGISTRATION	55938
AIR NEW SOURCE PERMITS	REGISTRATION	50522
AIR NEW SOURCE PERMITS	REGISTRATION	50587
AIR NEW SOURCE PERMITS	REGISTRATION	72502
AIR NEW SOURCE PERMITS	REGISTRATION	73125
AIR NEW SOURCE PERMITS	REGISTRATION	74166
AIR NEW SOURCE PERMITS	REGISTRATION	74170
AIR NEW SOURCE PERMITS	REGISTRATION	73692
AIR NEW SOURCE PERMITS	REGISTRATION	73783
AIR NEW SOURCE PERMITS	REGISTRATION	74646
AIR NEW SOURCE PERMITS	REGISTRATION	74783
AIR NEW SOURCE PERMITS	REGISTRATION	77666
AIR NEW SOURCE PERMITS	REGISTRATION	77745
AIR NEW SOURCE PERMITS	REGISTRATION	78729
AIR NEW SOURCE PERMITS	REGISTRATION	80187
AIR NEW SOURCE PERMITS	REGISTRATION	80085
AIR NEW SOURCE PERMITS	REGISTRATION	86473
AIR NEW SOURCE PERMITS	REGISTRATION	91421
AIR NEW SOURCE PERMITS	REGISTRATION	85874
AIR NEW SOURCE PERMITS	REGISTRATION	82491
AIR NEW SOURCE PERMITS	REGISTRATION	82666
AIR NEW SOURCE PERMITS	REGISTRATION	86949
AIR NEW SOURCE PERMITS	REGISTRATION	92169
INDUSTRIAL AND HAZARDOUS WASTE GENERATION	EPA ID	TXD008123168
INDUSTRIAL AND HAZARDOUS WASTE GENERATION	SOLID WASTE REGISTRATION # (SWR)	30035
WASTEWATER	PERMIT	WQ0000394000
WASTEWATER	PERMIT	TX0004715000
WASTEWATER	PERMIT	TX0004715

PUBLIC WATER SYSTEM/SUPPLY	REGISTRATION	0290014
WASTEWATER LICENSING	LICENSE	WQ0000394000
WATER LICENSING	LICENSE	0290014
IHW CORRECTIVE ACTION	SOLID WASTE REGISTRATION # (SWR)	30035
SUPERFUND	ID NUMBER	SUP095
WASTE WATER GENERAL PERMIT	PERMIT	2E0000112
AIR EMISSIONS INVENTORY	ACCOUNT NUMBER	CB0003M

Location: 1472 FM 1593 S, POINT COMFORT, TX, 77978

TCEQ Region: REGION 14 - CORPUS CHRISTI

Date Compliance History Prepared: May 10, 2010

Agency Decision Requiring Compliance History: Enforcement

Compliance Period: May 10, 2005 to May 10, 2010

TCEQ Staff Member to Contact for Additional Information Regarding this Compliance History

Name: Rebecca Johnson Phone: (361) 825-3420

Site Compliance History Components

1. Has the site been in existence and/or operation for the full five year compliance period? Yes
2. Has there been a (known) change in ownership/operator of the site during the compliance period? No
3. If Yes, who is the current owner/operator? N/A
4. If Yes, who was/were the prior owner(s)/operator(s) ? N/A
5. When did the change(s) in owner or operator occur? N/A
6. Rating Date: 9/1/2009 Repeat Violator: NO

Components (Multimedia) for the Site :

- A. Final Enforcement Orders, court judgements, and consent decrees of the state of Texas and the federal government.

Effective Date: 07/13/2007

ADMINORDER 2005-0350-AIR-E

Classification: Moderate

Citation: 30 TAC Chapter 111, SubChapter A 111.111(a)(1)
30 TAC Chapter 116, SubChapter B 116.115(c)
5C THC Chapter 382, SubChapter D 382.085(b)

Rqmt Prov: Special Condition 1 PERMIT

Description: failed to prevent seven unauthorized emission events which occurred on October 30, 2004, November 5, 2004, November 6, 2004, and February 22, 2005
Classification: Moderate

Citation: 30 TAC Chapter 101, SubChapter F 101.201(a)(1)(B)
5C THC Chapter 382, SubChapter D 382.085(b)

Description: failed to meet the minimum reporting requirements for four reportable emissions events which occurred on November 5, 2004 and November 6, 2004.
Classification: Minor

Citation: 30 TAC Chapter 101, SubChapter F 101.201(a)(1)(B)
5C THC Chapter 382, SubChapter D 382.085(b)

Description: Failure to submit to the Region 14 office an initial notification for TCEQ Incident Nos. 49149 and 49150 within 24 hours after discovery of a reportable emissions event. NOTE: TCEQ Incident Nos. 48687 and 49084 were submitted in a timely manner.
Classification: Moderate

Citation: 30 TAC Chapter 111, SubChapter A 111.111(a)(1)(B)

30 TAC Chapter 116, SubChapter B 116.115(c)
5C THC Chapter 382, SubChapter D 382.085(b)

Rqmt Prov: Special Conditions (SC) 1 & 6 PERMIT

Description: Failed to prevent unauthorized emissions events from EPN 12 which occurred on April 23, 2004. Data results from the emissions event show that the Plant emitted 60 lbs of PM and opacity was at 65.4% during the 2 hour 58 minute event. The emission limits are 8.04 lbs/hr for PM and 10% for opacity.

Classification: Moderate

Citation: 30 TAC Chapter 116, SubChapter B 116.115(c)
5C THC Chapter 382, SubChapter D 382.085(b)

Rqmt Prov: Special Condition 1 PA
Special Condition 3 PA

Description: Failure to maintain particulate emissions at or below the 33.94 lb/hr and 0.088 gr/dscf permitted limits. Specifically, emission test results of Calciner R55-1 (EPN R55-1/FC11) conducted on January 31, 2003 reported particulate emissions of 135.95 lb/hr and 0.38 gr/dscf.

Classification: Moderate

Citation: 30 TAC Chapter 116, SubChapter B 116.115(c)
40 CFR Chapter 60, SubChapter C, PT 60, SubPT LL 60.382(a)(1)
5C THC Chapter 382, SubChapter D 382.085(b)

Rqmt Prov: Special Condition 1 PA
Special Condition 5 PA
Special Condition 6 PA

Description: Failed to maintain compliance with the emission limits of Permit No. 8166. Specifically, Alcoa failed to maintain the particulate matter ("PM") emission limit for EPN R56/AHC231, as evidenced by stack tests conducted on June 28, 2002 and July 31, 2003. The 2002 testing results indicated PM emissions of 0.376 lb/hr and 0.0244 gr/dscf and the 2003 testing results indicated PM emissions of 0.42 lb/hr and 0.0317 gr/dscf, with permit limits of 0.15 lb/hr, 0.01 gr/dscf, and 0.02 gr/dscm, respectively.

Classification: Moderate

Citation: 30 TAC Chapter 111, SubChapter A 111.111(a)(1)(A)
30 TAC Chapter 116, SubChapter B 116.115(c)
5C THC Chapter 382, SubChapter D 382.085(b)

Rqmt Prov: Special Condition 1 PERMIT
Special Condition 6 PERMIT

Description: Failure to gain an affirmative defense or obtain regulatory authority for the emissions released from two emission events (TCEQ incidents 56832 and 56834).

Classification: Minor

Citation: 30 TAC Chapter 101, SubChapter F 101.201(a)(1)(B)
30 TAC Chapter 101, SubChapter F 101.201(b)(8)
30 TAC Chapter 101, SubChapter F 101.201(c)
5C THC Chapter 382, SubChapter D 382.085(b)

Description: Failure to correctly submit the estimated total quantity of particulate matter emitted, for incidents 56832 and 56834. Specifically, Alcoa reported emission rates (pounds per hour), as opposed to the total emissions released during these events in pounds.

Effective Date: 10/04/2007

ADMINORDER 2007-0138-AIR-E

Classification: Moderate

Citation: 30 TAC Chapter 101, SubChapter A 101.20(1)
30 TAC Chapter 116, SubChapter B 116.115(c)
40 CFR Chapter 60, SubChapter C, PT 60, SubPT LL 60.382(a)
5C THC Chapter 382, SubChapter D 382.085(b)

Rqmt Prov: 8166/Special Condition 1 PERMIT
8166/Special Condition 5 PERMIT
8166/Special Condition 6 PERMIT

Description: Violation of allowable emission limits

Effective Date: 02/08/2009

ADMINORDER 2008-0409-AIR-E

Classification: Moderate

Citation: 30 TAC Chapter 116, SubChapter B 116.115(c)
5C THSC Chapter 382 382.085(b)

Rqmt Prov: Permit No. 8166, Special Condition 4. OP

Description: Failed to comply with a maximum allowable emission rate of 0.126 pounds per million British thermal units ("lb/MMBTU") for nitrogen oxide ("NOx"). Specifically, during a performance test conducted on November 29, 2007, it was determined that NOx emissions from HP3 Boiler (EPN No. RR110/HP301) were 0.1506 lb/MMBTU

Classification: Moderate

Citation: 30 TAC Chapter 116, SubChapter B 116.115(c)
5C THSC Chapter 382 382.085(b)

Rqmt Prov: Special Condition 16D OP

Description: Failed to submit results for the performance test conducted on November 29, 2007 within the established time frame. Specifically, the report was due 30 days after the test date. The Corpus Christi

Regional Office granted 30 additional days for the submittal of the results due to the volume of testing being conducted, establishing a due date of January 28, 2008. However, the report was not submitted until February 7, 2008.

Classification: Moderate

Citation: 30 TAC Chapter 101, SubChapter F 101.201(a)(1)
30 TAC Chapter 116, SubChapter B 116.115(b)(2)(G)
5C THSC Chapter 382 382.085(b)

Rqmt Prov: General Conditions PERMIT

Description: Failed to report the December 24, 2007 emissions event (Incident No. 101760) within 24 hours of discovery. Specifically, the report was due December 25, 2007 and was not submitted until December 27, 2007.

Classification: Moderate

Citation: 30 TAC Chapter 111, SubChapter A 111.111(a)(1)(B)
30 TAC Chapter 116, SubChapter B 116.115(c)
40 CFR Chapter 60, SubChapter C, PT 60, SubPT UUU 60.732(b)
5C THSC Chapter 382 382.085(b)

Rqmt Prov: Special Condition 1 PERMIT
Special Condition 6 PERMIT

Description: Failed to prevent unauthorized emissions. Specifically, the Respondent released 4.45 pounds ("lbs") of alumina hydrate dust from the R56-4 Calciner Electrostatic Precipitator ("ESP") (EPN No. R56-4FC11) during an avoidable emissions event (Incident No. 101760) that began December 24, 2007 and lasted one hour and 42 minutes. Furthermore, as a result of the event, opacity emissions exceeded 10% averaged over a six minute period.

Classification: Moderate

Citation: 30 TAC Chapter 111, SubChapter A 111.111(a)(1)(C)
30 TAC Chapter 116, SubChapter B 116.115(c)
5C THSC Chapter 382 382.085(b)

Rqmt Prov: Special Condition 1 PERMIT

Description: Failed to prevent unauthorized emissions. Specifically, the Respondent released 53.61 lbs of alumina hydrate dust from the R55-1 Calciner ESP (EPN No. R55-1FC11) during an avoidable emissions event (Incident No. 102610) that began January 18, 2008 and lasted 44 minutes. Furthermore, as a result of the event, opacity emissions exceeded 15% averaged over a six minute period.

Classification: Moderate

Citation: 30 TAC Chapter 116, SubChapter B 116.115(c)
5C THSC Chapter 382 382.085(b)

Rqmt Prov: Special Condition 1 PERMIT

Description: Failed to prevent unauthorized emissions. Specifically, the Respondent released 17.81 lbs of hydrogen fluoride from the R84-HF No. 3 Kiln during an avoidable emissions event (Incident No. 103414) that began February 5, 2008 and lasted ten minutes.

Classification: Moderate

Citation: 30 TAC Chapter 101, SubChapter F 101.201(b)(1)(H)
30 TAC Chapter 116, SubChapter B 116.115(b)(2)(G)
5C THSC Chapter 382 382.085(b)

Rqmt Prov: General Conditions PERMIT

Description: Failed to include the percent of opacity in the final report for the January 18, 2008 emissions event (Incident No. 102610).

Classification: Moderate

Citation: 30 TAC Chapter 111, SubChapter A 111.111(a)(1)(B)
30 TAC Chapter 116, SubChapter B 116.115(c)
40 CFR Chapter 60, SubChapter C, PT 60, SubPT UUU 60.732(b)
5C THSC Chapter 382 382.085(b)

Rqmt Prov: 8166, Spec Cond Nos. 1 and 6 OP

Description: Failed to prevent unauthorized emissions. Specifically, the Respondent released 5.21 lbs of alumina hydrate dust from the R56-4 Calciner ESP (EPN No. R56-4FC11) during an avoidable emissions event (Incident No. 103532) that began February 9, 2008 and lasted 32 minutes. Furthermore, as a result of the event, opacity emissions exceeded 10% averaged over a six minute period.

Classification: Moderate

Citation: 30 TAC Chapter 111, SubChapter A 111.111(a)(1)(B)
30 TAC Chapter 116, SubChapter B 116.115(c)
40 CFR Chapter 60, SubChapter C, PT 60, SubPT UUU 60.732(b)
5C THSC Chapter 382 382.085(b)

Rqmt Prov: 8166, Spec Cond Nos. 1 and 6 OP

Description: Failed to prevent unauthorized emissions. Specifically, the Respondent released 5.76 lbs of alumina hydrate dust from the R56-4 Calciner ESP (EPN No. R56-4FC11) during an avoidable emissions event (Incident No. 104165) that began February 25, 2008 and lasted 17 minutes. Furthermore, as a result of the event, opacity emissions exceeded 10% averaged over a six minute period.

Classification: Moderate

Citation: 30 TAC Chapter 111, SubChapter A 111.111(a)(1)(B)
30 TAC Chapter 116, SubChapter B 116.115(c)
40 CFR Chapter 60, SubChapter C, PT 60, SubPT UUU 60.732(b)
5C THSC Chapter 382 382.085(b)

Rqmt Prov: 8166, Spec Cond Nos. 1 and 6 OP

Description: Failed to prevent unauthorized emissions. Specifically, the Respondent released 20.53 lbs of alumina hydrate dust from the R56-4 Calciner ESP (EPN No. R56-4FC11) during an avoidable emissions event (Incident No. 105596) that began March 30, 2008 and lasted one hour and 49 minutes. Furthermore, as a result of the event, opacity emissions exceeded 10% averaged over a six minute period.

Classification: Moderate

Citation: 30 TAC Chapter 111, SubChapter A 111.111(a)(1)(B)
30 TAC Chapter 116, SubChapter B 116.115(c)
40 CFR Chapter 60, SubChapter C, PT 60, SubPT UUU 60.732(b)
5C THSC Chapter 382 382.085(b)

Rqmt Prov: 8166, Spec Cond Nos. 1 and 6 OP

Description: Failed to prevent unauthorized emissions. Specifically, the Respondent released 3.02 lbs of alumina hydrate dust from the R56-4 Calciner ESP (EPN No. R56-4FC11) during an avoidable emissions event (Incident No. 105702) that began April 1, 2008 and lasted 23 minutes. Furthermore, as a result of the event, opacity emissions exceeded 10% averaged over a six minute period.

Classification: Moderate

Citation: 30 TAC Chapter 111, SubChapter A 111.111(a)(1)(B)
30 TAC Chapter 116, SubChapter B 116.115(c)
40 CFR Chapter 60, SubChapter C, PT 60, SubPT UUU 60.732(b)
5C THSC Chapter 382 382.085(b)

Rqmt Prov: 8166, Spec Cond Nos. 1 and 6 OP

Description: Failed to prevent unauthorized emissions. Specifically, the Respondent released 6.15 lbs of alumina hydrate dust from the R56-4 Calciner ESP (EPN No. R56-4FC11) during an avoidable emissions event (Incident No. 105708) that began April 1, 2008 and lasted 19 minutes. Furthermore, as a result of the event, opacity emissions exceeded 10% averaged over a six minute period.

Classification: Moderate

Citation: 30 TAC Chapter 111, SubChapter A 111.111(a)(1)(B)
30 TAC Chapter 116, SubChapter B 116.115(c)
40 CFR Chapter 60, SubChapter C, PT 60, SubPT UUU 60.732(b)
5C THSC Chapter 382 382.085(b)

Rqmt Prov: 8166, Spec Cond Nos. 1 and 6 OP

Description: Failed to prevent unauthorized emissions. Specifically, the Respondent released 11.37 lbs of alumina hydrate dust from the R56-4 Calciner ESP (EPN No. R56-4FC11) during an avoidable emissions event (Incident No. 105784) that began April 3, 2008 and lasted 39 minutes. Furthermore, as a result of the event, opacity emissions exceeded 10% averaged over a six minute period.

Classification: Moderate

Citation: 30 TAC Chapter 111, SubChapter A 111.111(a)(1)(B)
30 TAC Chapter 116, SubChapter B 116.115(c)
40 CFR Chapter 60, SubChapter C, PT 60, SubPT UUU 60.732(b)
5C THSC Chapter 382 382.085(b)

Rqmt Prov: 8166, Spec Cond Nos. 1 and 6 OP

Description: Failed to prevent unauthorized emissions. Specifically, the Respondent released 2.92 lbs of alumina hydrate dust from the R56-4 Calciner ESP (EPN No. R56-4FC11) during an avoidable emissions event (Incident No. 105786) that began April 3, 2008 and lasted 20 minutes. Furthermore, as a result of the event, opacity emissions exceeded 10% averaged over a six minute period.

Classification: Moderate

Citation: 30 TAC Chapter 111, SubChapter A 111.111(a)(1)(B)
30 TAC Chapter 116, SubChapter B 116.115(c)
40 CFR Chapter 60, SubChapter C, PT 60, SubPT UUU 60.732(b)
5C THSC Chapter 382 382.085(b)

Rqmt Prov: 8166, Spec Cond No.s 1 and 6 OP

Description: Failed to prevent unauthorized emissions. Specifically, the Respondent released 3.35 lbs of alumina hydrate dust from the R56-4 Calciner ESP (EPN No. R56-4FC11) during an avoidable emissions event (Incident No. 105704) that began April 1, 2008 and lasted 19 minutes. Furthermore, as a result of the event, opacity emissions exceeded 10% averaged over a six minute period.

Classification: Moderate

Citation: 30 TAC Chapter 111, SubChapter A 111.111(a)(1)(C)
30 TAC Chapter 116, SubChapter B 116.115(c)

5C THSC Chapter 382 382.085(b)

Rqmt Prov: 8166, Spec Cond No. 1 OP

Description: Failed to prevent unauthorized emissions. Specifically, the Respondent released 29.42 lbs of alumina hydrate dust from the R55-1 Calciner ESP (EPN No. R55-1FC11) during an avoidable emissions event (Incident No. 103228) that began February 3, 2008 and lasted 24 minutes. Furthermore, as a result of the event, opacity emissions exceeded 15% averaged over a six minute period.

Classification: Minor

Citation: 30 TAC Chapter 101, SubChapter F 101.201(a)(1)

30 TAC Chapter 116, SubChapter B 116.115(b)(2)(G)

5C THSC Chapter 382 382.085(b)

Rqmt Prov: 8166, Gen. Cond. OP

Description: Failed to report the February 3, 2008 emissions event (Incident No. 103228) within 24 hours of discovery. Specifically, the report was due February 4, 2008 at 4:44 a.m. and was not submitted until February 4, 2008 at 8:17 a.m.

Effective Date: 10/31/2009

ADMINORDER 2009-1012-AIR-E

Classification: Moderate

Citation: 30 TAC Chapter 116, SubChapter B 116.115(c)

5C THSC Chapter 382 382.085(b)

Rqmt Prov: Permit No. 8166 Special Cond. No. 1 PERMIT

SC 3 PERMIT

Description: Failed to demonstrate compliance with VOC emission limits of 0.07 pounds per million British Thermal Units ("lbs/MMBTU") and 29.40 pounds per hour ("lbs/hr") from the Fluid Flash Calciner, as documented during a record review conducted on March 16, 2009. Specifically, a performance test conducted on May 8, 2008 yielded results of 0.141 lbs/MMBTU and 52.61 lbs/hr for VOC emissions.

B. Any criminal convictions of the state of Texas and the federal government.

N/A

C. Chronic excessive emissions events.

N/A

D. The approval dates of investigations. (CCEDS Inv. Track. No.)

1	05/19/2005	(378521)
2	05/23/2005	(419617)
3	06/16/2005	(396309)
4	06/20/2005	(396724)
5	06/23/2005	(419618)
6	06/27/2005	(379389)
7	06/27/2005	(397252)
8	06/29/2005	(381178)
9	07/01/2005	(398436)
10	07/09/2005	(398576)
11	07/09/2005	(399268)
12	07/11/2005	(429992)
13	07/14/2005	(394809)
14	07/21/2005	(440755)
15	08/13/2005	(404584)
16	08/13/2005	(405017)
17	08/19/2005	(406104)
18	08/19/2005	(406356)
19	08/23/2005	(405936)
20	08/24/2005	(440756)
21	08/31/2005	(406818)
22	09/22/2005	(440757)
23	10/13/2005	(434077)
24	10/14/2005	(433215)
25	10/26/2005	(468304)
26	10/31/2005	(433483)
27	11/18/2005	(435773)
28	11/28/2005	(468306)

29	12/01/2005	(438283)
30	12/22/2005	(468307)
31	12/30/2005	(439410)
32	01/06/2006	(439481)
33	01/11/2006	(450635)
34	01/24/2006	(468308)
35	02/08/2006	(453375)
36	02/21/2006	(468302)
37	02/28/2006	(452438)
38	03/21/2006	(459711)
39	03/21/2006	(468303)
40	03/27/2006	(459586)
41	04/17/2006	(455377)
42	04/20/2006	(498106)
43	05/05/2006	(462889)
44	05/24/2006	(498107)
45	06/06/2006	(467582)
46	06/06/2006	(480164)
47	06/16/2006	(480873)
48	06/22/2006	(498108)
49	07/05/2006	(508614)
50	07/07/2006	(484844)
51	07/17/2006	(483872)
52	07/20/2006	(498109)
53	07/26/2006	(480603)
54	08/03/2006	(489125)
55	08/21/2006	(520122)
56	08/25/2006	(497481)
57	08/31/2006	(489215)
58	09/05/2006	(510893)
59	09/05/2006	(511009)
60	09/25/2006	(544385)
61	10/26/2006	(544386)
62	11/09/2006	(512154)
63	11/16/2006	(512163)
64	11/27/2006	(544387)
65	12/15/2006	(544388)
66	12/22/2006	(553663)
67	12/28/2006	(534594)
68	01/10/2007	(514016)
69	01/24/2007	(544389)
70	02/01/2007	(538918)
71	02/20/2007	(575132)
72	03/01/2007	(538236)
73	03/01/2007	(541903)
74	03/20/2007	(575133)
75	04/05/2007	(556129)
76	04/19/2007	(557498)
77	04/24/2007	(575134)
78	04/26/2007	(554886)
79	04/26/2007	(557955)
80	05/23/2007	(575135)
81	05/23/2007	(575137)
82	05/23/2007	(575138)
83	05/23/2007	(575139)
84	06/05/2007	(559117)
85	06/22/2007	(563150)
86	06/22/2007	(575136)
87	07/02/2007	(563329)

88	07/03/2007	(560978)
89	07/09/2007	(564910)
90	08/16/2007	(572400)
91	08/22/2007	(607521)
92	08/22/2007	(607522)
93	08/29/2007	(573036)
94	08/30/2007	(571861)
95	08/30/2007	(573521)
96	10/01/2007	(594159)
97	10/01/2007	(595391)
98	10/09/2007	(595183)
99	10/09/2007	(595960)
100	10/19/2007	(597600)
101	10/19/2007	(619467)
102	11/02/2007	(598201)
103	11/06/2007	(594149)
104	11/26/2007	(619466)
105	11/26/2007	(619468)
106	11/28/2007	(608819)
107	12/27/2007	(619469)
108	01/25/2008	(614417)
109	02/15/2008	(613848)
110	02/19/2008	(619206)
111	02/21/2008	(636310)
112	02/22/2008	(617008)
113	02/22/2008	(636142)
114	02/22/2008	(636291)
115	02/27/2008	(636899)
116	03/20/2008	(638510)
117	03/25/2008	(639144)
118	03/31/2008	(637030)
119	03/31/2008	(639584)
120	04/01/2008	(636797)
121	04/04/2008	(671977)
122	04/15/2008	(617407)
123	04/15/2008	(646194)
124	04/23/2008	(689891)
125	04/23/2008	(689894)
126	04/23/2008	(689895)
127	05/20/2008	(689892)
128	05/27/2008	(671431)
129	05/30/2008	(639927)
130	06/02/2008	(671516)
131	06/10/2008	(682516)
132	06/11/2008	(670919)
133	06/13/2008	(680487)
134	06/23/2008	(689893)
135	06/26/2008	(641514)
136	07/16/2008	(685644)
137	07/22/2008	(710675)
138	07/25/2008	(686606)
139	07/31/2008	(687125)
140	08/25/2008	(710676)
141	09/16/2008	(702191)
142	10/02/2008	(704356)
143	10/20/2008	(727436)
144	10/20/2008	(727437)
145	10/27/2008	(702470)
146	10/28/2008	(641510)

147	10/28/2008	(704749)
148	10/29/2008	(705677)
149	10/30/2008	(705921)
150	11/13/2008	(707288)
151	11/19/2008	(708009)
152	11/24/2008	(727438)
153	11/26/2008	(708846)
154	12/03/2008	(708916)
155	12/04/2008	(709084)
156	12/29/2008	(727439)
157	01/13/2009	(707977)
158	02/02/2009	(721672)
159	02/02/2009	(723697)
160	02/02/2009	(724136)
161	02/16/2009	(726432)
162	02/18/2009	(726946)
163	02/23/2009	(768302)
164	02/24/2009	(724311)
165	02/25/2009	(727022)
166	02/25/2009	(736327)
167	02/25/2009	(736521)
168	02/26/2009	(726730)
169	03/09/2009	(737503)
170	03/09/2009	(737901)
171	03/17/2009	(724957)
172	04/08/2009	(741233)
173	04/22/2009	(768303)
174	04/22/2009	(768305)
175	04/30/2009	(741911)
176	05/13/2009	(681961)
177	05/22/2009	(768304)
178	05/26/2009	(768306)
179	05/26/2009	(768307)
180	06/26/2009	(742549)
181	08/02/2009	(763947)
182	08/24/2009	(764758)
183	08/24/2009	(765487)
184	08/27/2009	(767523)
185	08/27/2009	(767546)
186	10/13/2009	(778253)
187	10/29/2009	(780327)
188	11/25/2009	(779746)
189	11/30/2009	(783297)
190	12/02/2009	(781580)
191	12/16/2009	(785910)
192	12/17/2009	(785965)
193	12/23/2009	(785819)
194	01/12/2010	(786326)
195	01/15/2010	(787509)
196	01/15/2010	(787535)
197	01/20/2010	(788700)
198	01/29/2010	(787357)
199	01/29/2010	(789818)
200	02/01/2010	(789850)
201	02/03/2010	(790689)
202	02/05/2010	(790848)
203	02/05/2010	(791066)
204	02/16/2010	(792153)
205	02/26/2010	(793737)

206 03/16/2010 (794367)
207 03/30/2010 (796267)
208 03/30/2010 (796529)
209 04/13/2010 (794157)
210 04/30/2010 (792882)

E. Written notices of violations (NOV), (CCEDS Inv. Track. No.)

Date: 06/28/2005 (379389)

Self Report? NO

Classification: Minor

Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
WQ Permit No. 0000394 - 000 PERMIT

Description: Failure to continuously monitor and record flow at Outfall 004 on 12/25/04 through 1/31/05 and 11/10/2004 through 12/5/2004.

Self Report? NO

Classification: Moderate

Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
WQ Permit No. 0000394 - 000 PERMIT

Description: Failure to maintain the pH greater than 6 standard units and less than 9.0 standard units.

Self Report? NO

Classification: Minor

Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
WQ Permit No. 0000394 - 000 PERMIT

Description: Failure to collect a composite sample at Outfall 002 and 004 on 10/28/04 and 7/22/04.

Self Report? NO

Classification: Minor

Citation: 30 TAC Chapter 319, SubChapter A 319.4
WQ Permit No. 0000394 - 000 PERMIT

Description: Failure to meet minimum self-monitoring requirements for sample collection and laboratory analysis.

Self Report? NO

Classification: Moderate

Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
WQ Permit No. 0000394 - 000 PERMIT

Description: Failure to divert dry weather flow from Outfall 005 up to installed pump capacity (5.2 MGD) and pump it to the holding and settling lagoon in front of Outfall 006. This incident occurred on 10/10/04.

Self Report? NO

Classification: Moderate

Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
WQ Permit No. 0000394 - 000 PERMIT

Description: Failure to maintain the temperature at Outfall 004 below 122 degrees Fahrenheit and below a 30 minute duration. The violation occurred on 6/19/2005.

Date: 07/11/2005 (429992)

Self Report? NO

Classification: Moderate

Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
30 TAC Chapter 305, SubChapter F 305.125(17)

Description: NON-RPT VIOS FOR MONIT PER OR PIPE

Date: 09/30/2005 (468304)

Self Report? YES

Classification: Moderate

Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
TWC Chapter 26 26.121(a)

Description: Failure to meet the limit for one or more permit parameter

Date: 10/31/2005 (468306)

Self Report? YES

Classification: Moderate

Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
TWC Chapter 26 26.121(a)

Description: Failure to meet the limit for one or more permit parameter

Date: 11/30/2005 (468307)

Self Report? YES

Classification: Moderate

Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
TWC Chapter 26 26.121(a)

Description: Failure to meet the limit for one or more permit parameter

Date: 12/31/2005 (468308)

Self Report? YES Classification: Moderate
Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
TWC Chapter 26 26.121(a)
Description: Failure to meet the limit for one or more permit parameter

Date: 01/27/2006 (452438)

Self Report? NO Classification: Minor
Citation: 30 TAC Chapter 335, SubChapter F 335.152(a)(1)
40 CFR Chapter 264, SubChapter I, PT 264, SubPT B 264.15(d)
Description: Failure to document date and nature of repairs or remedial actions in the inspection record.

Self Report? NO Classification: Minor
Citation: 30 TAC Chapter 335, SubChapter H 335.261(a)
40 CFR Chapter 273, SubChapter I, PT 273, SubPT C 273.34(a)
Description: Failure to label or mark containers of universal waste clearly with the words "Universal Waste - Batteries."

Date: 05/31/2006 (498108)

Self Report? YES Classification: Moderate
Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
TWC Chapter 26 26.121(a)
Description: Failure to meet the limit for one or more permit parameter

Date: 07/05/2006 (508614)

Self Report? NO Classification: Moderate
Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
30 TAC Chapter 305, SubChapter F 305.125(17)
Description: NON-RPT VIOS FOR MONIT PER OR PIPE

Date: 07/24/2006 (480603)

Self Report? NO Classification: Moderate
Citation: 30 TAC Chapter 101, SubChapter A 101.20(1)
30 TAC Chapter 111, SubChapter A 111.111(a)(1)(C)
30 TAC Chapter 116, SubChapter B 116.115(c)
40 CFR Chapter 60, SubChapter C, PT 60, SubPT UUU 60.732(b)
TCEQ Air Permit No. 8166 OP
Description: Failure to prevent the occurrence of visible emissions with an opacity of greater than 10% averaged over a six-minute period for emissions released from the R56-4 calciner stack (EPN: R56-4FC11) during emissions event number 72106, which occurred on February 21, 2006.

Date: 07/31/2006 (520122)

Self Report? YES Classification: Moderate
Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
TWC Chapter 26 26.121(a)
Description: Failure to meet the limit for one or more permit parameter

Date: 08/25/2006 (497481)

Self Report? NO Classification: Moderate
Citation: 30 TAC Chapter 122, SubChapter B 122.143(4)
FOP O-01344 OP
Description: Failure to conduct quarterly opacity monitoring as specified in the Federal Operating Permit Terms and Conditions.

Self Report? NO Classification: Moderate
Citation: 30 TAC Chapter 122, SubChapter B 122.143(4)
FOP No. O-01344 OP
Description: Failure to monitor weekly opacity observations as required by Federal Operating Permit Special Terms and Conditions.

Date: 08/31/2006 (544385)

Self Report? YES Classification: Moderate
Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
TWC Chapter 26 26.121(a)
Description: Failure to meet the limit for one or more permit parameter

Date: 08/31/2006 (489215)

Self Report? NO **Classification:** Major
Citation: 30 TAC Chapter 116, SubChapter B 116.115(c)
Special Condition 1 PERMIT
Description: Failure to gain an affirmative defense for alumina hydrate dust released in the
Calcination Process Unit R-56-4/FC11 during an emissions event.

Self Report? NO **Classification:** Moderate
Citation: 30 TAC Chapter 101, SubChapter A 101.20(1)
30 TAC Chapter 111, SubChapter A 111.111(a)(1)(B)
30 TAC Chapter 116, SubChapter B 116.115(c)
40 CFR Chapter 60, SubChapter C, PT 60, SubPT UUU 60.732
Special Condition 5 PERMIT
Special Condition 6 PERMIT
Description: Failure to prevent the occurrence of visible emissions released with an opacity of
greater than 20 percent averaged over a six-minute period and greater than 10
percent.

Date: 09/30/2006 (544386)

Self Report? YES **Classification:** Moderate
Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
TWC Chapter 26 26.121(a)
Description: Failure to meet the limit for one or more permit parameter

Date: 10/31/2006 (544387)

Self Report? YES **Classification:** Moderate
Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
TWC Chapter 26 26.121(a)
Description: Failure to meet the limit for one or more permit parameter

Date: 11/30/2006 (544388)

Self Report? YES **Classification:** Moderate
Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
TWC Chapter 26 26.121(a)
Description: Failure to meet the limit for one or more permit parameter

Date: 12/22/2006 (553663)

Self Report? NO **Classification:** Moderate
Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
30 TAC Chapter 305, SubChapter F 305.125(17)
Description: NON-RPT VIOS FOR MONIT PER OR PIPE

Date: 05/07/2007 (554886)

Self Report? NO **Classification:** Moderate
Citation: 30 TAC Chapter 116, SubChapter B 116.115(c)
Special Condition 1 PERMIT
Description: Failure to gain an affirmative defense for alumina hydrate dust released in the
Calcination Process Unit R-56-4/FC11 during an emissions event.

Self Report? NO **Classification:** Moderate
Citation: 30 TAC Chapter 101, SubChapter A 101.20(1)
30 TAC Chapter 111, SubChapter A 111.111(a)(1)(B)
30 TAC Chapter 116, SubChapter B 116.115(c)
40 CFR Chapter 60, SubChapter C, PT 60, SubPT UUU 60.732
Special Condition 5 PERMIT
Special Condition 6 PERMIT
Description: Failure to prevent the occurrence of visible emissions released with opacity of
greater than 20 percent averaged over a six-minute period and greater than 10
percent from the R56-4 Calciner Stack (EPN R56-4/FC11).

Date: 07/31/2007 (607522)

Self Report? YES **Classification:** Moderate
Citation: 2D TWC Chapter 26, SubChapter A 26.121(a)
30 TAC Chapter 305, SubChapter F 305.125(1)
Description: Failure to meet the limit for one or more permit parameter

Date: 08/30/2007 (571861)

Self Report? NO **Classification:** Minor
Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)

Description: WQ Permit No. 0000394 - 107 PERMIT
Failure to comply with the daily maximum and average loading permit limit for Total Aluminum and Benzo (a) pyrene for the month of 09/2005 at Outfall 107.

Self Report? NO **Classification:** Minor

Citation: 30 TAC Chapter 319, SubChapter A 319.4
WQ Permit No. 0000394 - 006 PERMIT

Description: Failure to analyze samples collected on 03/15/2007 through 03/16/2007 for Chemical Oxygen Demand (COD) at Outfall 006.

Self Report? NO **Classification:** Minor

Citation: 30 TAC Chapter 319, SubChapter A 319.5(b)
WQ Permit No. 0000394 - 002, 007 PERMIT

Description: Failure to continuously monitor pH at Outfall 002 and 007. On 03/21/2007 through 03/23/2007 the pH at Outfall 002 was not continuously recorded. On 05/08/2005 and 07/26/2006 the pH at Outfall 007 was also not continuously recorded.

Self Report? NO **Classification:** Minor

Citation: 30 TAC Chapter 319, SubChapter A 319.11(b)
WQ Permit No. 0000394 - 004 & 006 PERMIT

Description: Failure to analyze samples within the required holding times. Samples collected on 6/28/2007 for total suspended solids (TSS) and Inorganic Solids at Outfall 004 and 006 were not analyzed within the required holding times. Samples collected on 10/13/2006 for Benzo (a) pyrene at Outfall 107 were also not analyzed within the required holding times.

Self Report? NO **Classification:** Minor

Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
WQ Permit No. 0000394 - 000 PERMIT

Description: Failure to maintain the pH not to be less than 6 standard units nor greater than 9.0 standard units.

Self Report? NO **Classification:** Minor

Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
WQ Permit No. 0000394 - 012 PERMIT

Description: Failure to continuously monitor flow and collect a grab sample within 60 minutes from the initial discharge at Outfall 012. On 09/24/2006, the flow recording and sampling equipment were disconnected by the local electric power provider.

Date: 11/06/2007 (594149)

Self Report? NO **Classification:** Moderate

Citation: 30 TAC Chapter 335, SubChapter C 335.69(a)
40 CFR Chapter 262, SubChapter I, PT 262, SubPT C 262.34(a)

Description: Alcoa failed to comply with accumulation time requirements.

Self Report? NO **Classification:** Moderate

Citation: 30 TAC Chapter 335, SubChapter H 335.261(a)
30 TAC Chapter 335, SubChapter H 335.261(b)(31)
40 CFR Chapter 273, SubChapter I, PT 273, SubPT C 273.33(d)

Description: Alcoa failed to maintain containers managing universal waste lamps in good condition.

Date: 02/15/2008 (613848)

Self Report? NO **Classification:** Major

Citation: 30 TAC Chapter 101, SubChapter A 101.20(1)
30 TAC Chapter 111, SubChapter A 111.111(a)(1)(B)
30 TAC Chapter 116, SubChapter B 116.115(c)
40 CFR Chapter 60, SubChapter C, PT 60, SubPT UUU 60.732(b)
5C THSC Chapter 382 382.085(b)
TCEQ Air Permit Number 8166 PERMIT

Description: Alcoa World Alumina LLC, failed to meet the special conditions of TCEQ Permit Number 8166. Specifically, Alcoa World Alumina LLC failed to meet the affirmative defense of 30 TAC §101.222(b)(2) and (b)(3) by failing to prevent the occurrence of unauthorized emissions and of visible emissions with an opacity of greater than 10% averaged over a six-minute period released from the R56-4 calciner stack (EPN: R56-4FC11) during the emissions event number 98260.

Date: 07/28/2008 (686606)

Self Report? NO **Classification:** Moderate

Citation: 30 TAC Chapter 101, SubChapter A 101.20(1)
30 TAC Chapter 111, SubChapter A 111.111(a)(1)(B)
30 TAC Chapter 116, SubChapter B 116.115(c)
40 CFR Part 60, Subpart UUU 60.732
S.C. 5 and 6 PERMIT

Description: Failure to prevent the occurrence of visible emissions released with opacity of greater than 20 percent averaged over a six-minute period and greater than 10 percent from the R56-4 Calciner Stack (EPN R56-4/FC11). Specifically, visible

emissions with 89.7 percent opacity and 5.9 pounds of alumina hydrate dust were emitted for a period greater than six minutes during the 13-minute duration of an emissions event, Incident No. 106882, which occurred on April 25, 2008.

Date: 08/31/2008 (689894)

Self Report? YES Classification: Moderate
Citation: 2D TWC Chapter 26, SubChapter A 26.121(a)
30 TAC Chapter 305, SubChapter F 305.125(1)
Description: Failure to meet the limit for one or more permit parameter

Date: 12/31/2008 (689895)

Self Report? YES Classification: Moderate
Citation: 2D TWC Chapter 26, SubChapter A 26.121(a)
30 TAC Chapter 305, SubChapter F 305.125(1)
Description: Failure to meet the limit for one or more permit parameter

Date: 02/24/2009 (724311)

Self Report? NO Classification: Moderate
Citation: 30 TAC Chapter 101, SubChapter A 101.20(1)
30 TAC Chapter 111, SubChapter A 111.111(a)(1)(C)
30 TAC Chapter 116, SubChapter B 116.115(c)
30 TAC Chapter 122, SubChapter B 122.143(4)
40 CFR Chapter 60, SubChapter C, PT 60, SubPT UUU 60.732(b)
5C THSC Chapter 382 382.085(b)
Special Condition No. 1 PERMIT
Special Condition No. 5 PERMIT
Special Condition No. 6 PERMIT
Special Terms and Conditions No. 3 OP
Special Terms and Conditions No. 8 OP
Description: Failure to prevent unauthorized emissions to the atmosphere from an emissions event that occurred on June 16, 2008, TCEQ Incident No. 109440.

Self Report? NO Classification: Moderate
Citation: 30 TAC Chapter 101, SubChapter A 101.20(1)
30 TAC Chapter 111, SubChapter A 111.111(a)(1)(C)
30 TAC Chapter 116, SubChapter B 116.115(c)
30 TAC Chapter 122, SubChapter B 122.143(4)
40 CFR Chapter 60, SubChapter C, PT 60, SubPT UUU 60.732(b)
5C THSC Chapter 382 382.085(b)
Special Condition No. 1 PERMIT
Special Condition No. 5 PERMIT
Special Condition No. 6 PERMIT
Special Terms and Conditions No. 3 OP
Special Terms and Conditions No. 8 OP
Description: Failure to prevent unauthorized emissions to the atmosphere from an emissions event that occurred on June 14, 2008, TCEQ Incident Nos. 109379.

Date: 02/27/2009 (726730)

Self Report? NO Classification: Minor
Citation: 30 TAC Chapter 101, SubChapter F 101.211(b)(1)(I)
30 TAC Chapter 122, SubChapter B 122.143(4)
5C THSC Chapter 382 382.085(b)
O-01344, ST&C No. (2)(G) OP
Description: Failure to provide in the final report the total quantities of emissions and opacity associated with start-up activity, TCEQ Incident No. 118062. Specifically, Alcoa World Alumina LLC failed to provide in the final report 5.2 pounds of alumina hydrate dust and 58 percent opacity released during the December 23, 2008 start-up activity

Self Report? NO Classification: Moderate
Citation: 30 TAC Chapter 116, SubChapter B 116.115(c)
30 TAC Chapter 122, SubChapter B 122.143(4)
5C THSC Chapter 382 382.085(b)
Air Permit No. 8186, SC No. 1 PERMIT
FOP No. O-01344, SC No. 8 OP
Description: Failure to prevent visible and unauthorized emissions to the atmosphere during a start-up activity which occurred on December 23, 2008, TCEQ Incident No. 118062. Specifically, Alcoa World Alumina LLC released 5.2 pounds of alumina hydrate dust and had a highest six-minute average opacity of 58 percent.

Self Report? NO Classification: Moderate
Citation: 30 TAC Chapter 101, SubChapter A 101.20(1)
30 TAC Chapter 111, SubChapter A 111.111(a)(1)(A)
30 TAC Chapter 116, SubChapter B 116.115(c)

30 TAC Chapter 122, SubChapter B 122.143(4)
40 CFR Part 60, Subpart UUU 60.732
5C THSC Chapter 382 382.085(b)
Air Permit No. 8166, SC No. 6 PERMIT
O-01344, ST&C No. (3)(B)(i) & (8) OP

Description: Failure to prevent emissions of opacity greater than 20 percent averaged over a six-minute period. Specifically, Alcoa World Alumina LLC released alumina hydrate dust emissions with a highest six-minute average opacity of 58 percent during a start-up activity, TCEQ Incident No. 118062. Additionally, Alcoa World Alumina LLC failed to prevent emissions with opacity greater than 10 percent averaged over a six-minute period.

Date: 03/18/2009 (724957)

Self Report? NO Classification: Minor

Citation: 30 TAC Chapter 305, SubChapter F 305.125(1)
Effluent Limit., Outfall 006, 1., *6 PERMIT

Description: Failed to provide accurate data for ISS, TSS, and VSS analyses for the period December 1- 4, 2008, from Outfall 006.

Date: 03/31/2009 (768303)

Self Report? YES Classification: Moderate

Citation: 2D TWC Chapter 26, SubChapter A 26.121(a)
30 TAC Chapter 305, SubChapter F 305.125(1)

Description: Failure to meet the limit for one or more permit parameter

Date: 04/30/2009 (768304)

Self Report? YES Classification: Moderate

Citation: 2D TWC Chapter 26, SubChapter A 26.121(a)
30 TAC Chapter 305, SubChapter F 305.125(1)

Description: Failure to meet the limit for one or more permit parameter

Date: 12/02/2009 (781580)

Self Report? NO Classification: Minor

Citation: [FOP No. O-01344] STC 2F OP
30 TAC Chapter 101, SubChapter F 101.201(b)(1)(H)
30 TAC Chapter 122, SubChapter B 122.143(4)
5C THSC Chapter 382 382.085(b)

Description: Failure to provide in the final report the total quantity of particulate emissions and highest six-minute average of opacity associated with an emission event, TCEQ Incident No. 127450. Specifically, Alcoa failed to accurately report final emissions of 6.75 lbs of alumina hydrate dust and 51.4% opacity released during the July 29, 2009 event. In the final report submitted on July 30, 2009, incorrect final emission amounts were reported as 0.0001 lbs dust and 41.7% opacity.

Self Report? NO Classification: Moderate

Citation: (NSR No. 8166) SC 1 PERMIT
[FOP No. O-01344] STC 8 OP
30 TAC Chapter 116, SubChapter B 116.115(b)
30 TAC Chapter 116, SubChapter B 116.115(c)
30 TAC Chapter 122, SubChapter B 122.143(4)
5C THSC Chapter 382 382.085(b)

Description: Failure to prevent unauthorized emissions to the atmosphere during an emissions event which was discovered on July 29, 2009, TCEQ Incident No. 127450. Specifically, Alcoa released a total of 6.75 lbs of alumina hydrate dust from the R56-4 Calciner electrostatic precipitator (ESP) [EPN: R56-4FC11]. The incident is associated with operator error due to incorrect valve installation.

Self Report? NO Classification: Moderate

Citation: [FOP No. O-01344] STC 3 OP

[FOP No. O-01344] STC 8 OP
[NSR No. 8166] SC 5 PERMIT
[NSR No. 8166] SC 6 PERMIT
30 TAC Chapter 101, SubChapter A 101.20(1)
30 TAC Chapter 111, SubChapter A 111.111(a)(1)(C)
30 TAC Chapter 116, SubChapter B 116.115(c)
30 TAC Chapter 122, SubChapter B 122.143(4)
40 CFR Chapter 60, SubChapter C, PT 60, SubPT UUU 60.732(b)
5C THSC Chapter 382 382.085(b)

Description: Failure to prevent visible emissions of opacity greater than 15 percent averaged over a six-minute period. Specifically, Alcoa released dust emissions with a highest six-minute average opacity of 51.4% from the R56-4 Calciner ESP during

an emissions event, TCEQ Incident No. 127450 that was discovered on July 29, 2009. Additionally, Alcoa failed to prevent emissions with opacity greater than 10 percent averaged over a six-minute period. The incident is associated with operator error.

Date: 01/29/2010 (787357)

Self Report? NO

Classification: Moderate

Citation: 30 TAC Chapter 116, SubChapter B 116.115(b)
5C THSC Chapter 382 382.085(b)
NSR Permit No. 8166, SC No. 1 & MAERT PERMIT

Description: Failure to prevent unauthorized emissions to the atmosphere during an emissions event that occurred on November 12, 2009, TCEQ Incident No. 131921, and an unplanned start-up that occurred on November 13, 2009, Incident No. 131922. Specifically, Alcoa World Alumina LLC released 6.3 pounds of alumina hydrate dust on November 12, 2009 and 111.07 pounds of alumina hydrate dust on November 13, 2009, from the R55-3 Calciner (EPN: R55-3/FC11). The unauthorized emissions were the result of operator error

Self Report? NO

Classification: Moderate

Citation: 30 TAC Chapter 111, SubChapter A 111.111(a)(1)(C)
5C THSC Chapter 382 382.085(b)

Description: Failure to prevent emissions of opacity greater than 15 percent averaged over a six-minute period. Specifically, Alcoa World Alumina LLC released alumina hydrate dust emissions with a highest six-minute average opacity of 59 percent during an emissions event, TCEQ Incident No. 131921, which occurred on November 12, 2009, and 100 percent during an unplanned start-up, TCEQ Incident No. 131922, which occurred on November 13, 2009. The incidents were the result of operator error.

F. Environmental audits.

Notice of Intent Date: 11/23/2005 (439921)

No DOV Associated

Notice of Intent Date: 09/11/2006 (514081)

No DOV Associated

G. Type of environmental management systems (EMSs).

N/A

H. Voluntary on-site compliance assessment dates.

N/A

I. Participation in a voluntary pollution reduction program.

N/A

J. Early compliance.

N/A

Sites Outside of Texas

N/A

TEXAS COMMISSION ON ENVIRONMENTAL QUALITY



IN THE MATTER OF AN
ENFORCEMENT ACTION
CONCERNING
ALCOA WORLD ALUMINA LLC
RN100242577

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BEFORE THE
TEXAS COMMISSION ON
ENVIRONMENTAL QUALITY

AGREED ORDER DOCKET NO. 2010-0633-AIR-E

I. JURISDICTION AND STIPULATIONS

At its _____ agenda, the Texas Commission on Environmental Quality ("the Commission" or "TCEQ") considered this agreement of the parties, resolving an enforcement action regarding Alcoa World Alumina LLC ("the Respondent") under the authority of TEX. HEALTH & SAFETY CODE ch. 382 and TEX. WATER CODE ch. 7. The Executive Director of the TCEQ, through the Enforcement Division, and the Respondent appear before the Commission and together stipulate that:

1. The Respondent owns and operates a chemical manufacturing plant at 1472 Farm-to-Market Road 1593 South in Point Comfort, Calhoun County, Texas (the "Plant").
2. The Plant consists of one or more sources as defined in TEX. HEALTH & SAFETY CODE § 382.003(12).
3. The Commission and the Respondent agree that the Commission has jurisdiction to enter this Agreed Order, and that the Respondent is subject to the Commission's jurisdiction.
4. The Respondent received notices of the violations alleged in Section II ("Allegations") on or about April 18, 2010 and May 5, 2010.
5. The occurrence of any violation is in dispute and the entry of this Agreed Order shall not constitute an admission by the Respondent of any violation alleged in Section II ("Allegations"), nor of any statute or rule.
6. An administrative penalty in the amount of Twenty Thousand Seven Hundred Dollars (\$20,700) is assessed by the Commission in settlement of the violations alleged in Section II ("Allegations"). The Respondent has paid Sixteen Thousand Five Hundred Sixty Dollars (\$16,560) of the administrative penalty and Four Thousand One Hundred Forty Dollars (\$4,140)

is deferred contingent upon the Respondent's timely and satisfactory compliance with all the terms of this Agreed Order. The deferred amount will be waived upon full compliance with the terms of this Agreed Order. If the Respondent fails to timely and satisfactorily comply with all requirements of this Agreed Order, the Executive Director may require the Respondent to pay all or part of the deferred penalty.

7. Any notice and procedures, which might otherwise be authorized or required in this action, are waived in the interest of a more timely resolution of the matter.
8. The Executive Director of the TCEQ and the Respondent have agreed on a settlement of the matters alleged in this enforcement action, subject to the approval of the Commission.
9. The Executive Director may, without further notice or hearing, refer this matter to the Office of the Attorney General of the State of Texas ("OAG") for further enforcement proceedings if the Executive Director determines that the Respondent has not complied with one or more of the terms or conditions in this Agreed Order.
10. This Agreed Order shall terminate five years from its effective date or upon compliance with all the terms and conditions set forth in this Agreed Order, whichever is later.
11. The provisions of this Agreed Order are deemed severable and, if a court of competent jurisdiction or other appropriate authority deems any provision of this Agreed Order unenforceable, the remaining provisions shall be valid and enforceable.

II. ALLEGATIONS

As owner and operator of the Plant, the Respondent is alleged to have:

1. Failed to prevent unauthorized emissions and excess opacity during Incident No. 134175, in violation of Air Permit No. 8166, Special Condition No. 1, 30 TEX. ADMIN. CODE §§ 116.115(c) and 111.111(a)(1)(C), and TEX. HEALTH & SAFETY CODE § 382.085(b), as documented during a record review conducted on March 1, 2010. Specifically, during the January 8, 2010 emissions event, 37.04 pounds ("lbs") of unauthorized alumina hydrate dust, with visible emissions of 100% averaged over a six-minute period, were released from the R-55-2 Flash Calciner for a duration of one hour and 51 minutes when an improperly operating level control transmitter caused the unit to shut down. Since the emissions event could have been avoided through better operational practices, the demonstration criteria for an affirmative defense in 30 TEX. ADMIN. CODE § 101.222 were not met.
2. Failed to prevent unauthorized emissions and excess opacity during Incident No. 134566, in violation of Air Permit No. 8166, Special Condition No. 1, 30 TEX. ADMIN. CODE §§ 116.115(c) and 111.111(a)(1)(C), and TEX. HEALTH & SAFETY CODE § 382.085(b), as documented during a record review conducted on March 1, 2010. Specifically, during the January 18, 2010 emissions event, 17.65 lbs of unauthorized alumina hydrate dust, with visible emissions of 100% averaged over a six-minute period, were released from the R-55-2 Flash Calciner over a period of 24 minutes when the unit shut down due to a loose wire causing the No. 8 Nash Seal Vacuum Pump to fail and the related alarm did not activate. Since the emissions event could have been avoided

through better operational and maintenance practices, the demonstration criteria for an affirmative defense in 30 TEX. ADMIN. CODE § 101.222 were not met.

3. Failed to prevent unauthorized emissions and excess opacity during Incident No. 135007, in violation of Air Permit No. 8166, Special Condition No. 1, 30 TEX. ADMIN. CODE §§ 116.115(c) and 111.111(a)(1)(C), and TEX. HEALTH & SAFETY CODE § 382.085(b), as documented during a record review conducted on March 11, 2010. Specifically, during the January 26, 2010 emissions event, 40.34 lbs of unauthorized alumina hydrate dust, with visible emissions of 100% averaged over a six-minute period, were released from the R-55-3 Flash Calciner over a period of 55 minutes when a fuse to the Programmable Logic Control failed during maintenance activities causing the unit to shut down. Since the emissions event could have been avoided through better maintenance practices, the criteria for an affirmative defense in 30 TEX. ADMIN. CODE § 101.222 were not met.

III. DENIALS

The Respondent generally denies each allegation in Section II ("Allegations").

IV. ORDERING PROVISIONS

1. It is, therefore, ordered by the TCEQ that the Respondent pay an administrative penalty as set forth in Section I, Paragraph 6 above. The payment of this administrative penalty and the Respondent's compliance with all the terms and conditions set forth in this Agreed Order resolve only the allegations in Section II. The Commission shall not be constrained in any manner from requiring corrective action or penalties for violations which are not raised here. Administrative penalty payments shall be made payable to "TCEQ" and shall be sent with the notation "Re: Alcoa World Alumina LLC, Docket No. 2010-0633-AIR-E" to:

Financial Administration Division, Revenues Section
Attention: Cashier's Office, MC 214
Texas Commission on Environmental Quality
P.O. Box 13088
Austin, Texas 78711-3088

2. It is further ordered that the Respondent shall undertake the following technical requirements:
 - a. Within 30 days after the effective date of this Agreed Order:
 - i. Implement measures designed to prevent the recurrence of emissions events due to the same cause as Incident No. 134175;
 - ii. Implement measures designed to prevent the recurrence of emissions events due to the same cause as Incident No. 134566; and
 - iii. Implement measures designed to prevent the recurrence of emissions events due to the same cause as Incident No. 135007.

- b. Within 45 days after the effective date of this Agreed Order, submit written certification as described below, and include detailed supporting documentation including photographs, receipts, and/or other records to demonstrate compliance with Ordering Provision No. 2.a. The certification shall be notarized by a State of Texas Notary Public and include the following certification language:

"I certify under penalty of law that I have personally examined and am familiar with the information submitted and all attached documents, and that based on my inquiry of those individuals immediately responsible for obtaining the information, I believe that the submitted information is true, accurate and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for knowing violations."

The certification shall be submitted to:

Order Compliance Team
Enforcement Division, MC 149A
Texas Commission on Environmental Quality
P.O. Box 13087
Austin, Texas 78711-3087

with a copy to:

Air Section, Manager
Corpus Christi Regional Office
Texas Commission on Environmental Quality
6300 Ocean Drive, Suite 1200
Corpus Christi, Texas 78412-5503

3. The provisions of this Agreed Order shall apply to and be binding upon the Respondent. The Respondent is ordered to give notice of the Agreed Order to personnel who maintain day-to-day control over the Plant operations referenced in this Agreed Order.
4. If the Respondent fails to comply with any of the Ordering Provisions in this Agreed Order within the prescribed schedules, and that failure is caused solely by an act of God, war, strike, riot, or other catastrophe, the Respondent's failure to comply is not a violation of this Agreed Order. The Respondent shall have the burden of establishing to the Executive Director's satisfaction that such an event has occurred. The Respondent shall notify the Executive Director within seven days after the Respondent becomes aware of a delaying event and shall take all reasonable measures to mitigate and minimize any delay.
5. The Executive Director may grant an extension of any deadline in this Agreed Order or in any plan, report, or other document submitted pursuant to this Agreed Order, upon a written and substantiated showing of good cause. All requests for extensions by the Respondent shall be made in writing to the Executive Director. Extensions are not effective until the Respondent receives written approval from the Executive Director. The determination of what constitutes good cause rests solely with the Executive Director.

6. This Agreed Order, issued by the Commission, shall not be admissible against the Respondent in a civil proceeding, unless the proceeding is brought by the OAG to: (1) enforce the terms of this Agreed Order; or (2) pursue violations of a statute within the Commission's jurisdiction, or of a rule adopted or an order or permit issued by the Commission under such a statute.
7. This Agreed Order may be executed in multiple counterparts, which together shall constitute a single original instrument. Any executed signature page to this Agreed Order may be transmitted by facsimile transmission to the other parties, which shall constitute an original signature for all purposes under this Agreed Order.
8. Under 30 TEX. ADMIN. CODE § 70.10(b), the effective date is the date of hand-delivery of the Order to the Respondent, or three days after the date on which the Commission mails notice of the Order to the Respondent, whichever is earlier. The Chief Clerk shall provide a copy of this Agreed Order to each of the parties.

SIGNATURE PAGE

TEXAS COMMISSION ON ENVIRONMENTAL QUALITY

For the Commission

John Szallien
For the Executive Director

9/13/2010
Date

I, the undersigned, have read and understand the attached Agreed Order. I am authorized to agree to the attached Agreed Order on behalf of the entity indicated below my signature, and I do agree to the terms and conditions specified therein. I further acknowledge that the TCEQ, in accepting payment for the penalty amount, is materially relying on such representation.

I also understand that failure to comply with the Ordering Provisions, if any, in this order and/or failure to timely pay the penalty amount, may result in:

- A negative impact on compliance history;
- Greater scrutiny of any permit applications submitted;
- Referral of this case to the Attorney General's Office for contempt, injunctive relief, additional penalties, and/or attorney fees, or to a collection agency;
- Increased penalties in any future enforcement actions;
- Automatic referral to the Attorney General's Office of any future enforcement actions; and
- TCEQ seeking other relief as authorized by law.

In addition, any falsification of any compliance documents may result in criminal prosecution.

Allen R. Ness
Signature

7/28/10
Date

ALLEN R. NESS
Name (Printed or typed)
Authorized Representative of
Alcoa World Alumina LLC

OPERATIONS MANAGER
Title

Instructions: Send the original, signed Agreed Order with penalty payment to the Financial Administration Division, Revenues Section at the address in Section IV, Paragraph 1 of this Agreed Order.