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xml version="1.0" encodi
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            <xsd:schema</p>
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                xmlns:nei="http://w
mon_v3_0.xsd"
                <xsd:include schemaL</p>
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onmental Protection input format<
ncoding="UTF-8"?
                    user</xsd:docur
                  <xsd:documentation
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p://www.epa.gov/ea
fault="qualified" attrit espace="http:/
                      "http://www.
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ntation>Current Version
http://www.epa.gov/excha.tion>Sch
ntation > Description: The NEI >>n > Cur
nat</xsd:documentation>
ntation > Application: Varies by
:documentation>
ntation > Developed By: Environmed: do
ng="UTF-8" ?>
ttp://www.epa.gov/exchangenetw
www.w3.org/2001/XMLSchema
www.epa.gov/exchangenetwork"
"qualified" attributeFormDefault="ung
_ocation="EN_NEI_Common_v3_0.xsc
n>Schema Name: NEI XML 3.0
n>Current Version
//www.epa.gov/exchangenetwork<
 >Description: The NEI XML 3.0 Poin
  Application: Varies by
```

Integrated Compliance Information System – Air (ICIS-Air) Electronic Data Transfer User Guide

Version 5.3

Issuance Date: April 24, 2015

Prepared by:

United States Environmental Protection Agency Office of Enforcement and Compliance Assurance 1200 Pennsylvania Avenue, NW Washington, DC 20460



Version 5.3

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Version Number	Date	Description
5.0	September 29, 2014	For ICIS-Air Production Release on 10/27/2014.
5.1	December 19, 2014	Addition of this Document Change History table to support the next ICIS-Air Production release on 12/19/2014. Revised error messages to reflect changes in EDT technical specifications for CMS, Case File, DA Compliance Monitoring, Formal EA, Informal EA, Air Facility and Batch (Federal) Compliance Monitoring data families.
5.2	Not released	No changes have been made to the existing text from the previous version 5.1 of this document.
5.3	April 24, 2015	Added InspectionCommentText as repeatable tag to Table 3-5; Revised mapping section to show AirProgramDescriptionText, OtherAirProgramDescriptionText, OtherProgramDescriptionText and AirViolationprogramDescriptionText tags only allow up to 100 characters; Revised mapping to show TVACC Lead Agency tag uses REF_LEAD_AGENCY table code values; Revised error messages to reflect changes in EDT technical specifications; Added new instructions for the Virtual Node plug-in.

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1 INTRODUCTION

The Integrated Compliance Information System – Air (ICIS–Air) is being developed to support an integrated data flow to process electronic submissions using eXtensible Markup Language (XML) technology. Authorized states, tribes, and EPA regional users will need to be able to submit air compliance and enforcement data electronically to ICIS–Air. In order to do this, they must extract their air data, compose their transactions into predefined XML formatted files contained in a zipped archive file, and electronically submit them to CDX through a Node on the Exchange Network (EN) or manually upload them using the Central Data Exchange (CDX) EN Services Center site. The files are then submitted to ICIS–AIR by CDX for processing.

Upon receipt of the zipped archive submission file, CDX performs functions such as validating the submitted data against approved XML schemas, scanning for viruses, archiving all XML files, and authenticating the submitters prior to making the XML files available for processing.

A Web service is deployed in the ICIS-Air environment to retrieve XML files from CDX. ICIS-Air is responsible for retrieving and extracting data out of the XML files or "parsing" the data, sequencing the transactions, and processing the transactions against the ICIS-AIR service tier. For any transactions that are not successfully processed, detailed business-rule based errors will be generated. Finally, ICIS-AIR records the batch processing results and sends the processing status back to CDX along with the results in XML and PDF formats.

This document describes procedures for State, tribe and EPA regional users to provide air compliance and enforcement data to ICIS-Air in XML format, check the results, and correct common errors that may occur to their submissions.

1.1 OVERVIEW OF DOCUMENT

This document is divided into nine sections:

Section 1 (Introduction) \Box defines the intended audience for this Guide and describes the general purpose and outline of this document.

Section 2 (ICIS-Air Electronic Data Transfer Processing Overview) \Box describes the roles and responsibilities of participants and the lifecycle for submitting data to ICIS-Air.

<u>Section 3 (Preparing for ICIS-Air Electronic Data Transfer)</u> □ provides detailed information on mapping state data into ICIS-Air schema, formatting XML submission files, file naming conventions, field data types, and types of edits used for each ICIS-Air data submission.

<u>Section 4 (Working with ICIS-Air Schema Files)</u> □ describes schema XML validation tools how to validate XML submission files with the ICIS-Air schema.

<u>Section 5 (Establishing Access to CDX and ICIS-Air)</u> \square explains the types of access needed and how to register for CDX and ICIS-Air.

<u>Section 6 (Submitting Files to ICIS-Air Electronic Data Transfer)</u> □discusses the method of submitting an XML file to ICIS-Air Electronic Data Transfer using EPA's Central Data Exchange (CDX).

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<u>Section 7 (Viewing ICIS-Air Electronic Data Transfer Submission Results)</u> – walks through the steps in viewing the results of submissions to ICIS-Air Electronic Data Transfer.

<u>Section 8 (Data Mapping and Rules)</u> – lists XML submission file tags and how they are used and stored by ICIS-Air Electronic Data Transfer.

<u>Section 9 (Error Messages)</u> – lists typical error messages that occur during the processing of XML files, why they occur and how they should be handled.

1.2 INTENDED AUDIENCE

The intended audience for this Guide is any state, tribe or EPA region using its own software and procedures to extract air compliance and enforcement data, and submit it to EPA Headquarters (HQ) for inclusion in the ICIS-Air system. These users are called "submitters" and are referred to as such throughout this document.

This document was written assuming the reader is familiar with the ICIS-Air system, understands basic computer concepts and terminology, is experienced in XML and Schema technology, and is familiar with CDX.

1.3 DATA FILES

Submitters provide ICIS-Air data to EPA HQ via a series of files called "XML instance documents". The structure and relationships of these files are detailed in this Guide. Other formats for data transfer, such as Oracle to Oracle, ASCII comma delimited and ASCII flat fixed-format data transfer, are not supported by ICIS-Air Electronic Data Transfer.

The remainder of this Guide describes in detail the steps necessary to ensure a successful data submission, the format and rules files that must be followed for each submission and technical aspects of the file creation process.

1.4 OTHER USEFUL ICIS-AIR DOCUMENTS

In addition to this Guide, users may find the following other documents useful in understanding how to use ICIS-Air and prepare their DMR data for submission:

- > ICIS Flow Configuration Document
- ➤ ICIS-Air XML Data Exchange Template
- > ICIS-Air Example XML Instance Document
- > ICIS-Air Technical Specification (one for each ICIS-Air data family)
- > ICIS-Air XML Schema Documentation

1.5 QUESTIONS/COMMENTS

Readers with questions or comments about any aspect of ICIS-Air Electronic Data Transfer processing should direct them to either the Node Help Desk or ICIS User Support depending upon the topic, as shown in Table 1-1.

Node Help Desk	Help Desk Support
ICIS-Air access questions or problems	ICIS User Support
CDX EN Services Center access requests	ICIS User Support
CDX EN Services Center questions or problems	Node Help Desk

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Issues with Submissions having "Pending" or	ICIS User Support
"Completed" Status	
Issues with Submissions having "Received" or	Node Help Desk
"Failed" Status	
Schema Validation questions or errors	ICIS User Support
ICIS Rejected and Accepted Report result	ICIS User Support
questions	

Table 1-1. Contact Assistance for ICIS-Air Electronic Data Transfer

Contact the Node Help Desk using one of these two methods:

- ➤ <u>By Telephone</u>: Person-to-person telephone support is available weekdays from 8:00 am to 6:00 pm (EST). Call toll-free at 888-890-1995, option #2
- ➤ <u>By E-mail</u>: Send e-mail to <u>nodehelpdesk@epacdx.net</u> with "ICIS-Air Tech Support" in the Subject line

Contact ICIS User Support using one of these two methods:

- ➤ <u>By Telephone</u>: Person-to-person telephone support is available weekdays from 8:00 am to 5:30 pm (EST). Call 202-564-7756
- ➤ <u>By E-mail</u>: Send e-mail to <u>ICIS@epa.gov</u>

1.6 ACRONYMS

Acronyms used within this document are listed in Table 1-2.

Acronym	Representation
ASCII	American Standard Code for Information
	Interchange
CDX	Central Data Exchange
COTS	Commercial Off the Shelf
EPA	Environmental Protection Agency
HQ	Headquarters
ICIS	Integrated Compliance Information System
ICIS-Air	Integrated Compliance Information System – Air
IOR	Implementer of Record
IT	Information Technology
SIC	Standard Industrial Classification
SOAP	Simple Object Access Protocol
W3C	World Wide Web Consortium
XML	eXtensible Markup Language

Table 1-2. List of Acronyms

1.7 GLOSSARY

A glossary of terms used within this document is defined in Table 1-3.

Term	Definition
CDX Node	EPA's point on the Exchange Network that hosts web services
	used for requesting and publishing data between other Nodes.

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Term	Definition
CDX EN Services Center	An interactive web page hosted on CDX that allows a state, tribe
	or EPA staff member to manually upload a zipped file containing
	one or more XML Submission File(s) to ICIS-Air.
Child Block	A series of common elements or tags with data sandwiched
	between them that are clustered under a parent block.
Element	Formally, a unique start and end tag within an XML Submission
	File that has data sandwiched in between. Also informally called
	a Tag.
Exchange Network	EPA's hardware and software mechanism for exchanging data
	between states, tribes, EPA regions and EPA offices via Nodes.
Header Block	The second-level parent block within ICIS-Air XML Submission
	Files that provides information about the submitter and contents
	of the file.
Implementer of Record	State, tribe or EPA Region responsible for data entry and
	management of ICIS-Air data.
Node	A point on the Exchange Network where data is requested or
	published from. Typically, it is hosted at a state, tribe or EPA
Nada Administrativa	region.
Node Administrator	State, tribe or EPA Region staff member responsible for a Node.
Parent Block	A high level element or tag that has child elements or tags below
Parser	it instead of data sandwiched in between.
Parser	The part of the ICIS-Air Electronic Data Transfer software that
	extracts data out of an XML Submission File and attempts to save it into ICIS-Air.
Parsing	The process of extracting data out of an XML file for processing.
Payload Block	A repeatable parent block of transactions for one data family.
Record Block	A repeatable parent block of transactions under the Payload
Noora Brook	Block.
Root Element	The single top-level element or tag within an XML file. The root
	element for ICIS-Air XML Submission Files is <document>.</document>
Schema	A series of master XML files that dictate the placement and
	characteristics of data and their elements or tags within an XML
	Submission File.
Schema Validation	The process of comparing the layout and content of an XML
	Submission File against the ICIS-Air Electronic Data Transfer
	schema using a special software package designed to check
	perform valid (tag location and data characteristics) and well-
	formed (start and end tags not missing) checks.
SOAP Messages	Type of electronic messages sent and received by a Full Node.
Tag	Informally, a unique start and end tag within an XML Submission
	File that has data sandwiched in between. Also formally called
Transaction ID	an Element.
Transaction ID	The ID assigned by CDX to a zipped file submitted to ICIS-Air
Web Methods	Electronic Data Transfer. Java-based CDX functions invoked by a Node through SOAP
AACD MICHIONS	messages. The CDX web methods used for ICIS-Air
	Electronic Data Transfer are Authenticate, Submit, getStatus
	and Download
Well-formed	An XML Submission File that has all of its start and end tags
	present with no misspellings.
<u> </u>	1 1

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Term	Definition
World Wide Web	Group of industry who developed XML, schema, SOAP and
Consortium	other web service technologies.
XML File	An ASCII text file that contains a list of elements or tags with
	data sandwiched between the tags.
XML Submission File,	An XML file generated by a state, tribe or EPA region that is to
XML Instance Document	be submitted to ICIS-Air Electronic Data Transfer for processing.

Table 1-3. Glossary of Terms

2 ICIS-AIR ELECTRONIC DATA TRANSFER PROCESSING OVERVIEW

2.1 ICIS-AIR ELECTRONIC DATA TRANSFER PROCESSING

The ICIS-Air Electronic Data Transfer processing lifecycle consists of a state or Region submitter generating and submitting XML file(s) to ICIS-Air via their node or CDX EN Services Center Web Form, CDX extracting and performing file validation on submitted files before sending them to ICIS-Air Electronic Data Transfer, ICIS-Air Electronic Data Transfer processing the transactions within the submission files, then the state or Region submitter viewing the results of their submission. Figure 2-1 illustrates this lifecycle.

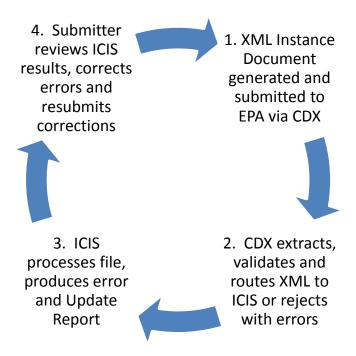


Figure 2-1. Lifecycle for ICIS-Air Electronic Data Transfer Processing

Figure 2-2 illustrates the flow of events for ICIS-Air Electronic Data Transfer Processing that state and EPA region submitters experience. ICIS-Air Electronic Data Transfer participant roles and

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responsibilities are described in the following subsection, and a discussion of each step in the ICIS-Air Electronic Data Transfer lifecycle will be discussed in more detail starting with Section 3.

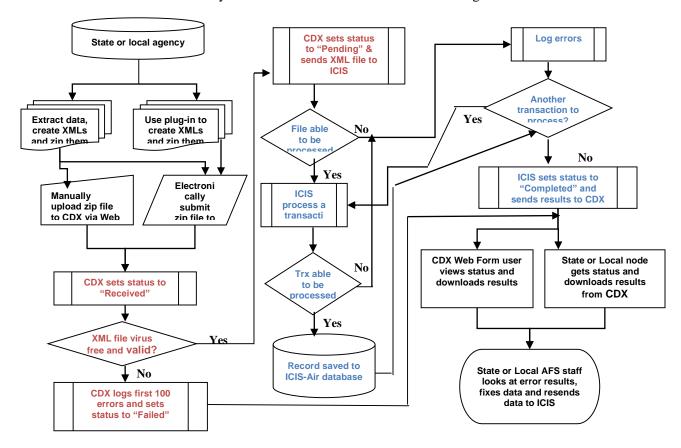


Figure 2-2. Flow of Events for ICI S-Air Electronic Data Transfer Processing

2.2 ROLES AND RESPONSIBILITIES

The following section details the roles and responsibilities needed to ensure successful processing of electronic data by CDX and ICIS-Air Electronic Data Transfer.

2.2.1 State, Tribe and Local Agency Roles and Responsibilities

The ICIS-Air batch process contains several steps that must all be successfully implemented to complete the process. These steps include:

- 1) producing the XML instance documents
- 2) submitting the XML instance documents to EPA through CDX
- 3) monitoring the load process
- 4) retrieving processing errors
- 5) fixing rejected data
- 6) resubmitting XML instance documents with corrected data through CDX

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It is very important to assign responsibilities for each of these steps to ensure successful processing and to avoid miscommunications that could lead to the loading of erroneous data into the ICIS-Air Production system.

2.2.2 Implementer of Record

Implementer of Record (IOR) is the term used to describe the agency (state, tribe or EPA region) responsible for data entry and management of ICIS-Air data. Data entry and management responsibility does not equate to programmatic responsibility. States, tribes, locals and EPA regions are responsible for determining data ownership areas and accurately reflecting these agreements in ICIS-Air.

Although National data in ICIS-Air resides in the same physical database, each authorized state, tribe or EPA region owns and controls access to its data. Security functions implemented at both the database and application levels prevent unauthorized users from changing data.

The IOR is implemented in ICIS-Air for data in which a state, tribe or EPA region is wholly responsible for their data within a given state. The ICIS-Air XML parsing software checks the first 2 characters of a Permit Identifier against internal mapping of ICIS User IDs and their allowable states. Data not owned by an IOR submitting batch files will not be processed.

2.2.3 Electronic Data Transfer Submitter Roles and Responsibilities

The XML data must provide an accurate representation of air compliance and enforcement activity for a given state, tribe or EPA region as an XML instance document in a format acceptable to the ICIS-Air Electronic Data Transfer XML parser. For example inspections and enforcement actions must be accurately identified to a particular facility.

Each ICIS-Air submitter is responsible for:

- by obtaining an ID for the ICIS Web upload form hosted on CDX
- obtaining access to the ICIS Electronic Data Transfer Node through their own Node on the Exchange Network and invoking the Web Methods supported by ICIS Electronic Data Transfer submissions
- obtaining an ICIS-Air system ID
- creating and maintaining code to produce XML instance documents from their data in a format acceptable to the ICIS-Air Electronic Data Transfer parser and the ICIS-Air Production system
- > validating XML instance documents against the ICIS-Air schema before submission
- uploading XML instance documents to CDX or routing them through their Network Node to the ICIS-Air Node
- > monitoring the movement of their data through CDX and ICIS-Air
- > correcting errors that cause their data to be rejected by CDX, the ICIS-Air Electronic Data Transfer parser, or the ICIS-Air Production system
- > notifying the CDX Help Desk or ICIS User Support of problems related to the movement of their data through CDX and into the ICIS-Air system

2.2.4 EPA Headquarters Roles and Responsibilities

CDX is responsible for:

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- providing software and instructions on implementing Nodes on the Exchange Network
- assigning unique CDX IDs and mapping IDs into the ICIS-Air Electronic Data Transfer Web upload form and Node
- resetting passwords for CDX IDs
- accepting and validating XML instance documents from submitters
- ➤ file movement and communication with ICIS-Air Electronic Data Transfer
- > operation and maintenance of CDX security, access and web methods
- > operation and maintenance of the Exchange Network software and hardware
- > archiving files submitted to ICIS-Air Electronic Data Transfer
- performing virus scans and schema validation on incoming XML files
- providing e-mail status and CDX errors to submitters
- responding to problems in a timely manner
- hosting the ICIS-Air schema

ICIS-Air Electronic Data Transfer is responsible for:

- providing the ICIS-Air schemas containing the XML specifications
- > assigning unique IDs for the ICIS-Air system
- > resetting passwords for ICIS IDs
- accepting and validating XML instance documents from CDX
- processing XML instance documents provided by CDX
- electronically notifying CDX of the success or rejection of files during ICIS-Air Electronic Data Transfer processing
- > operation and maintenance of the ICIS-Air parser and the ICIS-Air system
- properly storing acceptable data into ICIS-Air
- responding to problems in a timely manner
- > notifying submitters of schema updates as changes occur

2.2.5 EPA Region Roles and Responsibilities

Regardless of how the roles and responsibilities for the step-by-step batch submittal process are assigned between the state or tribe and EPA region, it is the region's responsibility to ensure that regular updates of the data are successfully loaded into ICIS-Air and coordinate among state and tribal submitters and Headquarters EPA as necessary. Electronic Data Transfer updates are recommended at a minimum frequency of once a month (or more frequently if desired by the EPA region).

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3 PREPARING FOR ICIS-AIR ELECTRONIC DATA TRANSFER

In order to be able to submit files to the ICIS-Air Production system, submitters must first map and extract their data into the ICIS-Air schema, then develop and use their own software to generate XML files in a format acceptable to ICIS-Air Electronic Data Transfer, obtain IDs to access CDX and the ICIS-Air system, and establish their own Node on the Exchange Network. Submitters then either submit their files manually via the ICIS-Air Electronic Data Transfer Web upload form hosted on CDX, or electronically through their Node on the Exchange Network using CDX web services.

Submitters who use the ICIS-Air Production system to enter all data can view the results of their batch submissions in ICIS by generating Electronic Data Transfer Audit Reports. Submitters who do not enter data directly into the ICIS-Air Production system can provide a name/value pair in the Header section of their XML submission files to receive the results of their submissions electronically.



Submitters should identify and correct any submissions that are rejected by CDX or ICIS-Air Electronic Data Transfer and resubmit the corrections before submitting any new files to ICIS-Air Electronic Data Transfer!

3.1 ELECTRONIC DATA TRANSFER GENERATION SOFTWARE

States, tribes and EPA regions must develop their own software that extracts air compliance and enforcment data out of their system, reformats the data into an XML file or "XML instance document" that is fully compatible with the ICIS-Air schema and the ICIS-Air Production system fields, use an XML Schema Validation software tool to validate the schema against the ICIS-Air Schema files, and compress the file before submitting it to ICIS-Air Electronic Data Transfer.

Typical steps that a state, tribe or EPA region will follow to develop their generation software:

- 1. Air staff utilize mapping from Section 8 of this document and identify the screen and fields from their own air compliance and enforcement system that relate to each ICIS-Air Electronic Data Transfer tag as shown in the first yellow column in the example in Step 2.
- 2. Computer or Information Technology (IT) staff use the screens and fields mapped by Air staff and identify the tables and columns from their own air compliance and enforcement database as shown in the second yellow column in the example below:

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XML Tag Name	AFS Counterpart	ICIS Code Table	Comments	State, Tribe, or Region System Screen and Field	State, Tribe, or Region System Table and Column
FacilityTypeOfOwnership Code	Governmental Facility Code	Ref_facility_typ e	Do not map to an inactive ICIS code.		

- 3. IT staff look at the examples in the <u>ICIS-Air Example XML Instance Document</u> (Figure 3-1) to learn how to structure their XML files for New, Change, Replace, Delete and Mass Delete transactions by data family.
 - > Tags in bold must exist in the XML file, tags in blue must exist in the XML file only if their parent tag is present, and tags in green can be repeated more than once
 - Pay attention to guidelines provided above each example for Replace and Mass Delete XML

```
<?xml version="1.0" encoding="UTF-8"?>
< Document\ xmlns="http://www.exchangenetwork.net/schema/icis/5"\ xmlns:xsi="http://www.w3.org/2001/XMLSchema-icis/5" xm
instance">
      <Header>
           <Id>UUStaffer1</Id>
            <Author>Jane Doe</Author>
            <Organization>UU Department of Environmental Protection</Organization>
            <Title>Air Facility Submission</Title>
            <CreationTime>2001-12-17T09:30:47.0Z</CreationTime>
            <Comment>2nd resubmittal of rejected transactions from May submission</Comment>
            <DataService>ICIS-AIR</DataService>
            <ContactInfo>123 Main Street, Anytown UU, 00555, (888) 555-1212, jane.doe@uudeq.state.us</ContactInfo>
            <Property>
                  <name>Source</name>
                  <value>FullBatch</value>
             </Property>
            <Property>
                  <name>e-mail</name>
                  <value>doe.john@state.us</value>
            </Property>
      </Header>
      <Payload Operation="AirFacilitySubmission">
             <AirFacilityData>
                  <TransactionHeader>
                        <TransactionType>R</TransactionType>
                        <TransactionTimestamp>2001-12-17T09:30:47.0Z</TransactionTimestamp>
                  </TransactionHeader>
                  <AirFacility>
                        <a href="mailto:</a> <a href="mailto:AirFacilityIdentifier">AirFacilityIdentifier</a> <a href="m
                        <FacilitySiteName>Test</FacilitySiteName>
                        <LocationAddressText>Address1</LocationAddressText>
                        <SupplementalLocationText>SuppleAddress1</SupplementalLocationText>
                        <GNISCityCode>945560</GNISCityCode>
                        <LocationStateCode>NY</LocationStateCode>
                        <LocationZipCode>22103</LocationZipCode>
                        <LCONCode>001</LCONCode>
                        <TribalLandCode>T027</TribalLandCode>
                        <FacilityDescription>FacDescription/FacilityDescription>
                        <FacilityTypeOfOwnershipCode>MWD</FacilityTypeOfOwnershipCode>
```

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```
<RegistrationNumber>123456789</RegistrationNumber>
<SmallBusinessIndicator>Y</SmallBusinessIndicator>
<FederallyReportableIndicator>Y</FederallyReportableIndicator>
<SourceUniformResourceLocatorURL>https://icistest3.epa.gov/icis/jsp/common</SourceUniformResourceLocatorURL>
<EnvironmentalJusticeCode>EJB</EnvironmentalJusticeCode>
<FacilityCongressionalDistrictNumber>01
<FacilityUserDefinedField1>Special use 1</FacilityUserDefinedField1>
<FacilityUserDefinedField2>Special use 2</FacilityUserDefinedField2>
<FacilityUserDefinedField3>Special use 3</FacilityUserDefinedField3>
<FacilityUserDefinedField4>Special use 4</FacilityUserDefinedField4>
<FacilityUserDefinedField5>Special use 5</FacilityUserDefinedField5>
<FacilityComments>Test Facility Comment 123456789 !@#$%^</FacilityComments>
<UniverseIndicatorCode>SSOS</UniverseIndicatorCode>
<SICCodeDetails>
 <SICCode>3315</SICCode>
 <SICPrimaryIndicatorCode>Y</SICPrimaryIndicatorCode>
</SICCodeDetails>
<NAICSCodeDetails>
 <NAICSCode>114119</NAICSCode>
 <NAICSPrimaryIndicatorCode>Y</NAICSPrimaryIndicatorCode>
</NAICSCodeDetails>
<AirGeographicCoordinateData>
 <LatitudeMeasure>33.4833334</LatitudeMeasure>
 <LongitudeMeasure>112.0666667</LongitudeMeasure>
 <HorizontalAccuracyMeasure>5379</HorizontalAccuracyMeasure>
 <GeometricTypeCode>003</GeometricTypeCode>
 <HorizontalCollectionMethodCode>008
 <HorizontalReferenceDatumCode>002</HorizontalReferenceDatumCode>
 <ReferencePointCode>104</ReferencePointCode>
 <SourceMapScaleNumber>12400</SourceMapScaleNumber>
 <UTMCoordinate1>Coordinate1</UTMCoordinate1>
 <UTMCoordinate2>Coordinate2</UTMCoordinate2>
 <UTMCoordinate3>Coordinate3</UTMCoordinate3>
</AirGeographicCoordinateData>
<PortableSourceData>
 <PortableSourceIndicator>Y</PortableSourceIndicator>
 <PortableSource>
   <PortableSourceSiteName>Portable Site 1
   <PortableSourceStartDate>2012-01-01/PortableSourceStartDate>
   <PortableSourceEndDate>2012-01-02</PortableSourceEndDate>
 </PortableSource>
</PortableSourceData>
<FacilityContact>
 <Contact>
   <AffiliationTypeText>PCT</AffiliationTypeText>
   <FirstName>John</FirstName>
   <MiddleName>Jane</MiddleName>
   <LastName>Doe</LastName>
   <IndividualTitleText>Chief Executive Officer</IndividualTitleText>
   <OrganizationFormalName>Acme Products Inc.</OrganizationFormalName>
   <StateCode>AL</StateCode>
   <RegionCode>04</RegionCode>
   <Telephone>
    <TelephoneNumberTypeCode>OFF</TelephoneNumberTypeCode>
    <TelephoneNumber>2025641000</TelephoneNumber>
    <TelephoneExtensionNumber>123</TelephoneExtensionNumber>
   </Telephone>
   <ElectronicAddressText>jdoe@acmeindustries.com</ElectronicAddressText>
   <StartDateOfContactAssociation>2005-12-31</StartDateOfContactAssociation>
   <EndDateOfContactAssociation>2010-12-31</EndDateOfContactAssociation>
 </Contact>
</FacilityContact>
<FacilityAddress>
 <Address>
   <AffiliationTypeText>MAD</AffiliationTypeText>
   <OrganizationFormalName>Acme Products Inc.</OrganizationFormalName>
   <OrganizationDUNSNumber>001147495</OrganizationDUNSNumber>
   <MailingAddressText>1200 Pennsylvania Avenue NE
   <SupplementalAddressText>Mail Code 2222A</SupplementalAddressText>
```

<MailingAddressCityName>Washington</MailingAddressCityName>

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```
<MailingAddressStateCode>AL</MailingAddressStateCode>
         <MailingAddressZipCode>20240</MailingAddressZipCode>
         <CountyName>Howell</CountyName>
         <MailingAddressCountryCode>US</MailingAddressCountryCode>
         <DivisionName>Water Division</DivisionName>
         <Telephone>
           <TelephoneNumberTypeCode>OFF</TelephoneNumberTypeCode>
           <TelephoneNumber>2025641000</TelephoneNumber>
           <TelephoneExtensionNumber>123</TelephoneExtensionNumber>
         </Telephone>
         <ElectronicAddressText>jdoe@acmeindustries.com</ElectronicAddressText>
         <StartDateOfAddressAssociation>2005-12-31</StartDateOfAddressAssociation>
         <EndDateOfAddressAssociation>2005-12-31</EndDateOfAddressAssociation>
        </Address>
      </FacilityAddress>
    </AirFacility>
   </AirFacilityData>
 </Payload>
</Document>
```

Figure 3-1. ICIS-Air Example XML Instance Document Example

- 4. IT staff look at the <u>ICIS-Air XML Data Exchange Template</u> (Figure 3-2) to compare state fields against ICIS fields and adjust data as necessary:
 - > Truncate fields (state may be storing first and last names with 50 characters but ICIS only stores 30 characters)
 - Convert fields (state may be storing N/A for quantity or concentration values but ICIS only stores a number)
 - ➤ Reformat fields (state may be storing dates as 31-DEC-2007 but ICIS stores dates as 2007-12-31)

ICIS Data Exchange Template - Example December	Cample	Sequent	(Improtable	Eleopotytion	1941 Date		Subset
	71(0)(1)	- 200200	LEGITA	(1000000)	Type	Plan	Fierrin
Accept accentrated Domestin Valves	Accept and Heiler Domestic Human Medical Acceptance of Federal Domestic Human	No	Ho	Indicated It hashed not - energy states of capters are comprecing the Publishy Denset Treatment Works (PGTV).	setring	1.	1
Acopsed-toethal sate	chospresorkase tourisates its Wycospresorkase double sines	190	No.	Sodinates if hazardous master is completely the Publish over Treatment Violos (POTV) sporant, reflor definition	intring	37	,
And regressed found facility to supply the supply of the s	ckcognaceAbotHasebouthdumiaVane V.iAcognaceBotHasebouthdumiaVane	Ho	No	Solicated if non-hazar documents is accepted by the Problem Connect Treatment Works (POTM) statement, sall or dedicated plan.	ntros	+	,
AcceptedReport	choospelflagoti Changle/Espetz	- No	Yes	The papers of latermation code, latermation type code, and extormation description supp.			
Admin Dan	College Car SW C Scholar MCate	No	Horo	The untuil days for certainse of taulity situated to compileros.	und dane	10	- 4
Asses	-Address	Van 8 Addesy parent lag in protein	Vet	The papers of address stampers			

Figure 3-2. ICIS-Air XML Data Exchange Template Example

- 5. IT staff build a link between state codes and ICIS codes by using the ICIS table named in the Business Rules column of the ICIS-Air Data Exchange Template (Figure 3-3):
 - > States using codes from EPA's AFS can use a spreadsheet provided by ICIS staff that maps AFS codes into ICIS codes

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Names of the ICIS code tables are provided in the <u>ICIS-Air XML Data Exchange</u>
<u>Template</u>

ICIS Data Exchange Template - Example								
Urmon Name	Piegowakie	Description	Type	Man	Habers His Resistati	Bushese Flides	Sohoma File Mane	2005, Includes Characters
AcceptaceHealt-Currentic Varter	Piet	todourse if healed non-preage cornectio watter are accepted by the Publish Owned Trivatalest Works (POTV).	nemid	1	(i.	N	Руктирани	Prote varmond Ped varmance Grames ang Salamianian, Compliance Moles as inglistotismics, Firefer all Compliance Managering Salamianian
Acceptation of the addition of fairle	Für	Indiverse Floar estate a ecopart by the Politick Owned Treatment (notati POT+) by took, railor dedouted size.	mering	7.0	0.7	10	Provenum	Prohostove/Petis mance/SammarySalmission, Compliance/dostoring/solmispice, FederalCompliance/domination
Percept secret food focus to outrobe Aut Nati Visite	Pers	Indicates if non-tracel direct wasters, according to the Problem Council Teachtray's funds: (PCFTs) by topol, called deflicated pon.	atong	(3)	ju!	N .	Petrone	Particular and the comment of the supplementation of the complementation of the complementa
Ausgredispon	794	The parett of information code, information tige-code, and excountion decognism tags:					RF Salmisson Assepted	Accepted Transaction Preside
Activo-4Date	Fed	The untual does the president or facility examed to compliance	es ét don-	10	0	ospine-sc	Intermel Endotrement Action	biom @nkonerentition@dmassos
Pddmie	Yes	The guestral address obviocate					Attition	Basic Premethalementon, Responde Premethalementon, CAP CP reveal four expense. Experient Full and Explorations. For white Plants Submission. SAC on Submission. SAC on Submission. SAC on Submission. SAC on Submission.

Figure 3-3. ICIS-Air XML Data Exchange Template with Example

- 6. IT staff read the <u>ICIS-Air Electronic Data Transfer Technical Specifications</u> for each data family to understand the business rules on how to extract the data for their XML files
- 7. IT staff create module to generate XML files in the format required by ICIS Electronic Data Transfer
- 8. IT staff incorporate a way to validate the XML files against the schema and zip them before sending them through CDX
- 9. Program staff upload zipped XML file(s) using the CDX web form for ICIS, or IT staff (Node Administrator) set up automated submissions using their state Node on the Exchange Network
- 10. Program staff review the ICIS-Air Electronic Data Transfer Audit Report results and fixes any rejections

The following subsections explain in detail how to generate the XML file in a format that is wholly compatible with ICIS-Air Electronic Data Transfer.



Be sure to use the detailed information in the:

- * ICIS-Air Data Exchange Template,
- * ICIS-Air Example XML Instance Document, and
- * ICIS-Air Electronic Data Transfer Technical Specifications to generate your XML submission files for ICIS-Air Electronic Data Transfer!

3.2 TRANSACTIONAL PROCESSING

ICIS-Air Electronic Data Transfer processes incoming XML instance documents by performing one of two activities on each record it encounters depending upon the data family:

- 1) Replace transactions (R)
- 2) Mass Delete transaction (X).

These transactions are described in the next subsections.

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3.2.1 Replace Transactions

The Replace transaction uses the key fields provided to add a record if it does not exist in ICIS or change non-key field data in ICIS-Air if the record exists in ICIS. Data for the key fields must be provided along with all fields in ICIS-Air that need to be added or changed when using this transaction type. Any fields missing from the XML or present in the XML with an asterisk will be blanked out in ICIS-Air. The Replace transaction type is being implemented for all data families. Refer to Section 3.5.4.1 for how multi-value items will be handled with a Replace transaction.



Any tags that are missing from a Replace transaction will blank out the corresponding fields in ICIS, so be sure to submit all of your record's data when using a replace transaction!

3.2.2 Mass Delete Transactions

The Mass Delete transaction deletes a record from ICIS-Air irregardless of whether other records are associated with or linked to it. When using a Mess Delete transaction, data for the key fields must be provided but data in any non-key fields are optional and will be ignored. The Mass Delete transaction type is available for some data families.



Refer to the ICIS-Air Example XML Instance Document to see the XML transaction formats for each data family!

3.2.3 Processing Order of Transactions

There are 13 data families that can be electronically submitted to ICIS-Air. The ICIS-Air Electronic Data Transfer module will not allow submitters to add, change or delete data (either by full replacement or change method) for their state or region only. A submitter's XML submission file may include a combination of new, change, replace, delete and mass delete transactions. For example, the change transaction for enforcement action "A" can be submitted at the same time as the new transaction for enforcement action "A" because ICIS-Air will process the limit transaction first. Note that parent records must exist in ICIS-Air before a child record can be added or changed. This parent can exist as a new transaction record in the same XML file as the child if it does not already exist in ICIS-NDPES. For example, a new transaction for Facility "B" can be in the same XML submission file as three new transactions for Facility "B" senforcement actions because the facility will be added to ICIS-Air first.

Transactions are processed in an order ensuring parent records, are deleted, added, then changed before children records are deleted, added or changed. Table 3-1 lists each submission type for the ICIS-Air data families.

Submission Type	Valid Transaction Types
Air Facility	R, X
Air Program	R, X

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Submission Type	Valid Transaction Types
Air Pollutant	R, X
Compliance Monitoring – Delegated Agencies	R, X
Title V Annual Compliance Certification	R,X
Compliane Monitoring - Federal	R, X
Compliance Monitoring Strategy	R, X
Formal Enforcement Action – Delegated Agencies	R, X
Enforcement Action Milestone – Delegated Agencies	R
Informal Enforcement Action – Delegated Agencies	R, X
Case File	R, X
Case File Linkage	R, X
Compliance Monitoring Linkage	R, X
Enforcement Action Linkage – Delegated Agencies	R, X

Table 3-1. ICIS-Air Data Families with Available Transaction Types

Table 3-2 lists the order in which the data families are processed by ICIS-Air.

Sort Order	Submission Type	Transaction Type
1	Air DA Enforcement Action Linkage	Х
2	Case File Linkage	Х
3	Compliance Monitoring Linkage	Х
4	Air DA Case File	Х
5	Air TVACC	Х
6	Air DA Compliance Monitoring	Х
7	Federal Compliance Monitoring	Х
8	Air Compliance Monitoring Strategy	Х
9	Air Pollutants	Х
10	Air Programs	Х
11	Air DA Informal Enforcement Action	Х
12	Air DA Formal Enforcement Action	Х
13	Air Facility	Х
14	Air Facility	R
15	Air Programs	R
16	Air Pollutants	R
17	Air DA Formal Enforcement Action	R
18	Air DA Informal Enforcement Action	R
19	Air DA Enforcement Action Milestone	R
20	Air Compliance Monitoring Strategy	R
21	Federal Compliance Monitoring	R

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Sort Order	Submission Type	Transaction Type
22	Air DA Compliance Monitoring	R
23	Air TVACC	R
24	Air DA Case File	R
25	Compliance Monitoring Linkage	R
26	Case File Linkage	R
27	Air DA Enforcement Action Linkage	R

Table 3-2. Transaction Types and Processing Order for ICIS-Air Data Families

3.3 NAMING CONVENTIONS AND FIELD LEVEL RULES FOR XML INSTANCE DOCUMENTS

The ICIS-Air Electronic Data Transfer XML instance documents within the same zipped file need to have a unique name. It is suggested to use a naming convention of ICISAIRSSLLLCCYYMMDDaaaa.xxx where:

ICISAIR	=	Abbreviation for ICIS-Air
ss	=	State Postal Code or Region Code (R1 through R0 for Region 1 through Region 10) of the source of the data being submitted
LLL	=	Local Control Agency code of the source of the data being submitted, or all zeroes ("000") if state agency, EPA Region or EPA HQ
CC	=	Two digit century
YY	=	Two digit year
ММ	=	Two digit month
DD	=	Two digit day
aaaa	=	Any length of optional characters to be selected by the submitter to provide further identification and uniqueness
.xxx	=	File extension of .ZIP or .XML

XML data files must be developed using the W3C XML standards and be well-formed and valid according to the ICIS-Air schema posted on the Exchange Network site. Submitters must perform well-formedness and validation checks on the XMLs before submitting them to CDX. If rejected, CDX will identify the first 100 schema validation errors encountered and report this information back to the users within a file called submission-metadata.xml.

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If one or more files combined exceed 80 megabytes when zipped, the file or files must be split into two or more zip compressed files. Zip compressed files must conform to PKWARE's (de facto) compression, which are available for download at http://www.winzip.com or http://www.pkware.com. A java utility for zipping compressed files before submitting them to CDX can be downloaded at http://java.sun.com/j2se/1.4.2/docs/api/java/util/zip/package-summary.html.

CDX requires the compression of all XML instance documents into one zipped file before submitting them to ICIS-Air. XML and zip compressed submission files should be named using the convention specified above. If a submission file is not zipped, contains a file other than an XML file, is not valid according to the ICIS-Air Electronic Data Transfer schema or is infected with a virus, the CDX interface will return a (Simple Object Access Protocol) SOAP error message or an XML file describing the first 100 errors encountered.



Be sure to zip XML files before submitting them to ICIS-Air Electronic Data Transfer via your CDX Node or the CDX EN Services Center Web Form!

3.4 DATA TYPE FORMATS

The next five subsections detail the data type formats that are allowable for tags or elements within the XML files.

3.4.1 Character Data Type

Elements in the ICIS-Air XML Data Exchange Template having the character data type contain alphanumeric data. The length of the data is specified for each element. This data should have leading and trailing spaces removed.

Valid characters for alphanumeric fields are limited to:

Invalid characters for alphanumeric fields include:

{} | >&" (curly brackets, pipe or concatenation character, less than, greater than, ampersand, apostrophe, quotation mark)

The symbols for less than, greater than, ampersand, apostrophe and quotation mark must be substituted as:

Invalid Character	Valid Substitution
>	>
<	<
&	&
•	'

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Examples of character elements with alphanumeric data are:

<Address>123 Main Street, #5</Address>

<Comment>The corner of Main & amp; Franklin streets

3.4.2 Integer Data Type

Elements in the ICIS Tag Element Dictionary having the integer data type contain numbers 0-9 and numeric operation characters such as < >-+ . (decimal point). The length and format of the data is specified for each element. Common formats are whole numbers, numbers with floating decimals and number within a range such as 01 to 60. Leading and trailing spaces should be removed from integer the data. Leading and trailing zeroes are acceptable but an operation character must be located to the immediate left of the number.

Examples of an integer element with correct and incorrect numeric data are shown below:

Value	Incorrect	Correct	Correct
-456	456-	-456	-00456.0
789	789+	+789.0	+0789

3.4.3 Fixed Decimal Fields

Elements in the ICIS Tag Element Dictionary having the fixed decimal data type contain numbers 0-9 and numeric operation characters such as <>-+. (decimal point) beginning with an optional operation character followed by a string of numbers in varying length, then a decimal point followed by a string of numbers as specified.

Dictionary specifications indicate the total number of digits and the number of digits after the decimal that the data element is allowed. For example, "D11,6" indicates that the number may have up to 11 digits total: 6 digits after the decimal and the remaining 5 digits before the decimal (99999.99999). The period (.) character, representing the decimal, must be included for fixed decimal fields. The field length includes the decimal character. For D11,6 the field length would be 12 (the 11 digits plus the decimal).

Leading and trailing spaces should be removed from integer data. Leading and trailing zeroes are acceptable, but an operation character must be located to the immediate left of the number.

Examples of integer elements with a correct and incorrect data with fixed decimal of 6,2 is shown below:

Value	Incorrect	Correct	Correct
\$25	25	25.00	+000025.00
467.358	467.358	467.36	467.00

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3.4.4 Date Fields

Elements in the ICIS Tag Element Dictionary having the date data type must be provided in CCYY-MM-DD format where CC is the century, YY is the year, MM is the month and DD is the day. Leading zeros must be provided where appropriate.

Examples of date field elements with correct and incorrect data are shown below:

Date	Incorrect	Incorrect	Correct
January 31, 1999	990131	Jan. 3, 1999	1999-01-31
January 31, 2001	20010131	01-31-01	2001-01-31

3.4.5 Empty or Null Fields

All mandatory tags must be present in an XML instance document submitted to ICIS-Air so a record can be created or found for editing or deleting. Non-mandatory tags have constraints placed upon them by ICIS-Air batch schema to avoid data quality issues. If a non-mandatory tag is present in the XML file it must contain data \square empty tags such as:

<FirstName></FirstName>

and null tags that are missing data like:

</FirstName>

are not allowed and will cause rejections. To blank out existing data, either submit a Change transaction using an asterisk for each tag to be blanked out, like this:

<FirstName>*</FirstName>

or submit a Replace transaction that is missing the tags that need to be blanked out.



Do not use empty or null tags within your XML files!

3.5 FILE FORMAT CONVENTIONS FOR XML INSTANCE DOCUMENTS

ICIS-Air Electronic Data Transfer is currently designed to process information for 13 different data families. Data for these families can be submitted combined into one large XML instance document with all data families, or separately as one XML instance document for each data family. To avoid having difficulties finding errors in large files, users may want to submit each data family in its own XML file.

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3.5.1 Root Element and Header Block

All incoming XML instance documents must have the "Document" tag as the root element followed by a group of mandatory header elements or a "Header block". The Document tag provides the location of the ICIS-Air schema and the name of the main schema to validate against.

The Header block elements provide information on the submitter and the XML instance document being submitted. Figure 3-4 shows an excerpt of a valid XML instance document with the correct placement and use of the document root element and the header block. Details on the characteristics of the elements for this header block are included in ICIS-Air XML Tag Dictionary. Lines in bold typeface must always be in the XML file and lines in blue must be in the XML file only if the parent tag is present.

```
<?xml version="1.0" encoding="UTF-8"?>
<Document xmlns="http://www.exchangenetwork.net/schema/icis/5" xmlns:xsi="http://www.w3.org/2001/XMLSchema-</p>
instance">
                   <Id>UUStaffer1</Id>
                   <Author>Jane Doe</Author>
                   <Organization>UU Department of Environmental Protection</Organization>
                   <Title>Basic Permit Submission</Title>
                   <CreationTime>2001-12-17T09:30:47.0Z
                   <Comment>2nd resubmittal of rejected transactions from May submission</Comment>
                   <DataService>ICIS-Air</DataService>
                   <ContactInfo>123 Main Street, Anytown UU, 00555, (888) 555-1212, jane.doe@uudeq.state.us</ContactInfo>
                   <Property>
                             <name>e-mail</name>
                             <value>doe.john@state.gov</value>
                   </Property>
                   <Property>
                             <name>Source</name>
                             <value>FullBatch</value>
                   </Property>
          </Header>
</Document>
```

Figure 3-4. Document Root Element and Header Block of an ICIS XML Instance
Document



Each XML file must contain only one Header Block.

3.5.2 Payload Block

Below the Header block is the "Payload block". The Payload tag starting this block acts as the parent tag for the start of submission for one or more of the 13 data family submission types by using an Operation attribute to identify which submission type follows. The Operation attribute format is: Operation="xxx", where xxx is the name of one of the submission types recognized by the ICIS-Air schema.

At least one Payload block must be present in an XML instance document in order for it to be processed. A state may submit more than one data family in their own XML file with the appropriate payload tag, or within the same XML file containing multiple payload block. Multiple

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payload blocks can exist as long as there is only one for each data family submission type. Figure 3-5 is an excerpt of a valid XML instance document with the correct placement and use of only one record block with its Payload tag and its Operation attribute set to "AirFacilitySubmission". Lines in bold typeface must always be in the XML file and lines in blue must be in the XML file only if the parent tag is present.

```
<?xml version="1.0" encoding="UTF-8"?>
<Document xmlns="http://www.exchangenetwork.net/schema/icis/5" xmlns:xsi="http://www.w3.org/2001/XMLSchema-</p>
instance">
                   <Id>UUStaffer1</Id>
                    <Author>Jane Doe</Author>
                   <Organization>UU Department of Environmental Protection</Organization>
                   <Title>Basic Permit Submission</Title>
                   <CreationTime>2001-12-17T09:30:47.0Z</CreationTime>
                   <Comment>2nd resubmittal of rejected transactions from May submission</Comment>
                   <DataService>ICIS-Air</DataService>
                   <ContactInfo>123 Main Street, Anytown UU, 00555, (888) 555-1212, jane.doe@uudeq.state.us</ContactInfo>
                   <Property>
                              <name>e-mail</name>
                              <value>doe.john@state.gov</value>
                   </Property>
                   <Property>
                              <name>Source</name>
                             <value>FullBatch</value>
                   </Property>
          </Header>
          <Payload Operation="AirFacilitySubmission">
          </Payload>
</Document>
```

Figure 3-5. Single Payload Block of an ICIS-Air XML Instance Document

Figure 3-6 is an excerpt of a valid XML instance document with the correct placement and use of multiple payload blocks, one with an Operation attribute of "FacilitySubmission" followed by another with an Operation attribute of "TVACCSubmission". Note that "FacilitySubmission" and "TVACCSubmission" can only be used as Operation attributes once within the same XML submission file. Lines in bold typeface must always be in the XML file and lines in blue must be in the XML file only if the parent tag is present.

```
<?xml version="1.0" encoding="UTF-8"?>
<Document xmlns="http://www.exchangenetwork.net/schema/icis/5" xmlns:xsi="http://www.w3.org/2001/XMLSchema-</p>
instance">
          <Header>
                   <Id>UUStaffer1</Id>
                   <Author>Jane Doe</Author>
                   <Organization>UU Department of Environmental Protection
                   <Title>Basic Permit Submission</Title>
                   <CreationTime>2001-12-17T09:30:47.0Z</CreationTime>
                   <Comment>2nd resubmittal of rejected transactions from May submission</Comment>
                   <DataService>ICIS-Air</DataService>
                   <ContactInfo>123 Main Street, Anytown UU, 00555, (888) 555-1212, jane.doe@uudeq.state.us</ContactInfo>
                   <Property>
                             <name>e-mail</name>
                             <value>doe.john@state.gov</value>
                   </Property>
                   <Property>
                             <name>Source</name>
                             <value>FullBatch</value>
                   </Property>
```

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Figure 3-6. Consecutive Repeating Payload Blocks of an ICIS-Air XML Instance Document



Data families may be submitted in their own XML or combined into one XML file with Multiple Payload Blocks. Multiple Payload Blocks can exist in the same XML file as long as there is only one Operation Attribute for each submission type.

3.5.3 Record Block

The next block in the XML instance document is the "Record block". This block represents one parent data family record to be added, changed, replaced, deleted or mass deleted by ICIS-Air Electronic Data Transfer. The tag name is identical to the name used as the Operation attribute except the "Submission" suffix is replaced with a "Data" suffix.

Each record block contains a "transaction type block" followed by a "data block". The transaction block tells the ICIS-Air parser whether to add, change, replace, delete or mass delete the parent data family record whose key and optional data are in the data block. Refer to Section 3.2 (Transactional Processing) for an explanation of each transaction type for the various data families.

One or more parent data family record blocks must be present in an XML instance document in order for the data to be processed. Multiple record blocks should be repeated consecutively within the same Payload block. Figure 3-7 shows an excerpt of an XML instance document with repeating AirFacilityData record blocks, each containing only one transaction block and one AirDAComplianceMonitoringData record block.

Lines in bold typeface must always be in the XML file and lines in blue must be in the XML file only if the parent tag is present.

```
<?xml version="1.0" encoding="UTF-8"?>
<Document xmlns="http://www.exchangenetwork.net/schema/icis/5" xmlns:xsi="http://www.w3.org/2001/XMLSchema-</p>
instance">
         <Header>
                   <Id>UUStaffer1</Id>
                   <Author>Jane Doe</Author>
                   <Organization>UU Department of Environmental Protection
                   <Title>Basic Permit Submission</Title>
                   <CreationTime>2001-12-17T09:30:47.0Z</CreationTime>
                   <Comment>2nd resubmittal of rejected transactions from May submission</Comment>
                   <DataService>ICIS-Air</DataService>
                   <ContactInfo>123 Main Street, Anytown UU, 00555, (888) 555-1212, jane.doe@uudeq.state.us</ContactInfo>
                             <name>e-mail</name>
                             <value>doe.john@state.gov</value>
                   </Property>
                   <Property>
```

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```
<name>Source</name>
                              <value>FullBatch</value>
          </Header>
          <Payload Operation="AirDAComplianceMonitoringSubmission">
          </Payload>
          <Payload Operation="AirFacilitySubmission">
                   <AirFacilityData>
                              <TransactionHeader>
                                        <TransactionType>R</TransactionType>
                                        <TransactionTimestamp>2001-12-17T09:30:47.0Z</TransactionTimestamp>
                              </TransactionHeader>
                              <AirFacility>
                                        ... (data for the 1st air facility record to be replaced or mass deleted)
                              </Air Facility>
                   </AirFacilityData>
                   <AirFacilityData>
                              <TransactionHeader>
                                        <TransactionType>R</TransactionType>
                                       <TransactionTimestamp>2001-12-17T09:30:47.0Z</TransactionTimestamp>
                              </TransactionHeader>
                              <AirFacility>
                                        ... (data for the 2nd air facility record to be replaced or mass deleted)
                             </Air Facility>
                   </AirFacilityData>
                   <AirFacilityData>
                              <TransactionHeader>
                                       <TransactionType>X</TransactionType>
                                        <TransactionTimestamp>2001-12-17T09:30:47.0Z</TransactionTimestamp>
                              </TransactionHeader>
                              <AirFacility>
                                        ... (data for the 3rd air facility record to be replaced or mass deleted)
                              </Air Facility>
                   </AirFacilityData>
          </Payload>
         <Payload Operation="AirPollutantsSubmission">
          </Payload>
</Document>
```

Figure 3-7. Air Facility Record Blocks of an ICIS XML Instance Document



Each record block must contain data for an entire parent data family record, such as a particular facility, inspection, enforcement action or TV ACC.

Table 3-4 provides a listing of each submission type with its Payload Operation attribute value to use, along with the record block tag name and data block tag name.

Submission Type	Payload Operation Attribute	Record Block	Data Block
Air Facility	"AirFacilitySubmission"	AirFacilityData	AirFacility
Air Pollutants	"AirPollutantsSubmission"	AirPollutantsData	AirPollutants
Air Programs	"AirProgramsSubmission"	AirProgramsData	AirPrograms

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Submission Type	Payload Operation Attribute	Record Block	Data Block
Compliance	"AirDAComplianceMonitoringSubm	AirDAComplianceM	AirDAComplianceMon
Monitoring –	ission"	onitoringData	itoring
Delegated Agency			
Title V Annual	"AirTVACCSubmission"	AirTVACCData	AirTVACC
Compliance			
Certification			
Compliance	"FederalComplianceMonitoringSub	FederalCompliance	FederalComplianceM
Monitoring - Federal	mission"	MonitoringData	onitoring
Compliance	"AirComplianceMonitoringStrategy	AirComplianceMoni	AirComplianceMonitor
Monitoring Strategy	Submission"	toringStrategyData	ingStrategy
DA Formal	"AirDAFormalEnforcementActionS	AirDAFormalEnforc	AirDAFormalEnforce
Enforcement Action	ubmission"	ementActionData	mentAction
DA Enforcement	"AirDAEnforcementActionMileston	AirDAEnforcement	AirDAEnforcementAct
Action Milestone	eSubmission"	ActionMilestoneDat	ionMilestone
		а	
DA Informal	"AirDAInformalEnforcementAction	AirDAInformalEnfor	AirDAInformalEnforce
Enforcement Action	Submission"	cementActionData	mentAction
DA Case File	"AirDACaseFileSubmission"	AirDACaseFileData	AirDACaseFile
DA Enforcement	"AirDAEnforcementActionLinkage	AirDAEnforcement	AirDAEnforcementAct
Action Linkage	Submission"	ActionLinkageData	ionLinkage
Case File Linkage	"CaseFileLinkageSubmission"	CaseFileLinkageDa	CaseFileLinkage
		ta	
Compliance	"ComplianceMonitoringLinkageSu	ComplianceMonitor	ComplianceMonitorin
Monitoring Linkage	bmission"	ingLinkageData	gLinkage

Table 3-4. Operation Attribute, Record Block and Data Block for each Submission Type

3.5.4 Data Blocks

Data blocks contain key field tags at the top to identify the record followed by other mandatory and optional tags. Only key field tags need to be provided when delete and mass deleting a parent data family record. If non-key parent data family tags are present the ICIS-Air parser will ignore them.

3.5.4.1 Multi-Value Tags

Data fields or parent/child for which multiple values can be entered are referred to in ICIS Electronic Data Transfer as multi-value items. These values represent one or more child records for a parent record, such as multiple child SIC codes for a permit. Whenever tags for one of these multi-value items are included in a Data Block, ICIS will replace all existing values for that item with the values submitted in the tag(s) regardless of the transaction type submitted. There are two categories of multi-value items:

1) Individual Data Tag — The simplest kind of multi-value item consists of one data tag that can be repeated multiple times within a transaction. Below is an example of an Air Facility Individual Data Tag multi-value item (NationalPrioritiesCode) repeated three times:

<NationalPrioritiesCode>1000</NationalPrioritiesCode>

<NationalPrioritiesCode>1002</NationalPrioritiesCode>

<NationalPrioritiesCode>1005</NationalPrioritiesCode>

<NationalPrioritiesCode>1006</NationalPrioritiesCode>

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2) Multiple Data Tags – Some multi-value items contain multiple data tags which can be repeated as a group multiple times within a transaction. Below is an example of a Basic Permit Multiple Data Tag multi-value parent/child block called OtherPermits repeated two times:

If data already exist for one of these multi-value items for the Facility in ICIS and the user wishes to add new values while keeping the existing values, they would include all of the values that they wish to have for the field (i.e., all existing values, plus the new values) in their XML submission. The table below provides an example.

Adding to a Multi-Value Item List

NationalPrioritiesCode in ICIS DB	NationalPrioritiesCode in XML Submission	Result in ICIS DB After Processing
1000	1000	1000
1002	1002	1002
	1005	1005

If data already exist for one of these multi-value items and the user wishes to change one of the values, they would include all of the values that they wish to have for the field (i.e., existing values they wish to keep, plus new values) in their XML submission. The table below provides an example.

Changing to a Multi-Value Item List

NationalPrioritiesCode in ICIS DB	NationalPrioritiesCode in XML Submission	Result in ICIS DB After Processing
1000	1000	1000
1002		
	1005	1005

If data already exist for one of these multi-value items and the user wishes to remove one of the values, they would include all of the values that they wish to have for the field (i.e., existing values they wish to keep) in their XML submission. The table below provides an example.

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Deleting from a Multi-Value Item List

NationalPrioritiesCode in ICIS DB	NationalPrioritiesCode in XML Submission	Result in ICIS DB After Processing
1000	1000	1000
1002		
1005		

3.5.4.2 Asterisks

Users must also have the ability to blank out all values for these multi-value items. This is accomplished by submitting one row of the multi-value item with an asterisk as the value. The rules for doing this are described below.

3.5.4.2.1.1 Individual Data Tag

If an asterisk is submitted in an individual data tag, ICIS will blank out all existing values for the corresponding field. For example, to remove all codes for the single multi-value tag UniverseIndicatorCode from a facility, the affected facility's XML data block must contain:

<UniverseIndicatorCode>*</UniverseIndicatorCode>

3.5.4.2.1.2 Multiple Data Tags

The rules for processing Multiple Data Tags are:

- If asterisks are submitted in all required tags and the optional tags are not included, ICIS-Air will blank out all existing values for the corresponding multi-value item.
- > If asterisks are submitted in all required tags and values are submitted in one or more optional tags, ICIS-Air will blank out all existing values for the corresponding multivalue item (ignoring the data in the optional tags).
- > If asterisks are submitted in some required tags and values are submitted in other required tags, ICIS-Air will reject the transaction. This is addressed through business rules, with error messages, detailed in the business rules table.
- > If there are no required tags for a multi-value item and asterisks are entered in one or more of the optional tags:
 - If only asterisks are submitted, ICIS-Air will blank out all existing values for the corresponding multi-value item.
 - If a combination of asterisks and values are submitted, ICIS-Air will reject the transaction. This is addressed through business rules, with error messages, detailed in the business rules table.

For example, to remove all contacts for a permit, the parent multi-value tag FacilityContact in the permit's data block in the XML file must contain:

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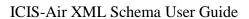
As noted above, asterisks should only be used as an indication to blank out all values for a field, and that should be the only row of data that is submitted for that field. However, it is possible that a transaction will contain multiple rows of a multi-value item, some with asterisks and some without. In that situation, ICIS-Air will evaluate each row for validity. If any rows are invalid, ICIS-Air will reject the transaction. If all rows are valid, ICIS-Air will save only the values submitted, ignoring the "blanked out" rows.

Table 3-5 contains a list of all single and parent multi-value tags. The list is grouped by Schema Name. Tags listed in this table can have all values removed using asterisks except:

- ➤ NAICSCodeDetails
- ComplianceInspectionTypeCode
- ➤ ComplianceMonitoringActionReasonCode
- ComplianceMonitoringAgencyTypeCode
- ProgramCode
- ➤ EnforcementActionTypeCode
- ProgramsViolatedCode

Schema Name	Schema Data	Mandatory Tags/Child Tags for Deleting All Values
AirFacilityData	1. SICCodeDetails 2 NAICSCodeDetails 3. UniverseIndicatorCode 4. PortableSource 5. FacilityContact 6. FacilityAddress 7. PermitContact 8. PermitAddress 9. Telephone	1.SICCode, SICPrimaryIndicatorCode 2. Cannot delete all; must have at least one NAICS code 3. UniverseIndicatorCode 4. PortableSourceSiteName, PortableSourceStartDate 5. AffiliationTypeText, FirstName, LastName, IndividualTitleText 6. AffiliationTypeText, OrganizationFormalName, MailingAddressText, MailingAddressCityName, MailingAddressStateCode, MailingAddressZipCode 7. AffiliationTypeText, FirstName, LastName, IndividualTitleText 8. AffiliationTypeText, OrganizationFormalName, MialingAddressText, MailingAddressCityName, MailingAddressStateCode, MailingAddressStateCode, MailingAddressStateCode 9. TelephoneNumberTypeCode
AirProgramsData	AirProgramSubpartData	AirProgramSubpartCode

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Schema Name	Schema Data	Mandatory Tags/Child Tags for Deleting All
		Values
AirDAComplianceMonitoringData	1. ComplianceInspectionTypeCode 2 NationalPrioritiesCode 3. RegionalPriorityCode 4. ProgramCode 5. AirPollutantCode 6. InspectionContact 7. Telephone 8. InspectionGovernmentContact 9. InspectionCommentText 10. SensitiveComments AIR STACK TEST DATA 1. StackTestPurposeCode 2. StackTestObservedAgencyTypeCod	1. Cannot delete all; must have at least one code 2. NationalPrioritiesCode 3. RegionalPriorityCode 4. ProgramCode 5. AirPollutantCode 6. AffiliationTypeText, FirstName, LastName, IndividualTitleText 7. TelephoneNumberTypeCode 8. AffiliationTypeText, ElectronicAddressText 9. InspectionCommentText 10. SensitiveComments AIR STACK TEST DATA 1. StackTestPurposeCode
	e 3. TestResultsData 4. MethodCode	StackTestObservedAgencyTypeCode AirTestedPollutantCode MethodCode
AirTVACCData	NationalPrioritiesCode RegionalPriorityCode ProgramCode AirPollutantCode InspectionContact InspectionGovernmentContact InspectionCommentText SensitiveComments TestResultsData	1. NationalPrioritiesCode 2. RegionalPriorityCode 3. ProgramCode 4. AirPollutantCode 5. AffiliationTypeText, FirstName, LastName, IndividualTitleText 6. TelephoneNumberTypeCode 7. AffiliationTypeText, ElectronicAddressText 8. InspectionCommentText 9. SensitiveComments 10. AirTestedPollutantCode
FederalComplianceMonitoringData	1. ComplianceInspectionTypeCode 2. ComplianceMonitoringActionReason Code 3. ComplianceMonitoringAgencyTypeCode 4. ProgramCode 5. NationalPrioritiesCode 6. InspectonContact 7. InspectionGovernmentContact 8. LawSectionCode 9. RegionalPriorityCode 10. SICCode 11. NAICSCode 12. DeficiencyObservedCode 13. CorrectiveActionCode 14. AirPollutantCode 15. WaterPollutantCode 16. Subactivity 17. Citation 18. InspectionCommentText AIR STACK TEST DATA 1. StackTestPurposeCode 2. StackTestObservedAgencyTypeCod e 3. TestResultsData 4. MethodCode	1. Cannot delete all; must have at least one code 2. Cannot delete all; must have at least one code 3. Cannot delete all; must have at least one code 4. Cannot delete all; must have at least one code 5. NationalPrioritiesCode 6. AffiliationTypeText, FirstName, LastName, IndividualTitleText 7. AffiliationTypeText, ElectronicAddressText 8. LawSectionCode 9. RegionalPriorityCode 10. SICCode 11. NAICSCode 12. DeficiencyObservedCode 13. CorrectiveActionCode 14. AirPollutantCode 15. WaterPollutantCode 16. SubactivityTypeCode 17. CitationTitle, CitationPart 18. InspectionCommentText AIR STACK TEST DATA 1. StackTestPurposeCode 2. StackTestObservedAgencyTypeCode 3. AirTestedPollutantCode 4. MethodCode

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Schema Name	Schema Data	Mandatory Tags/Child Tags for Deleting All Values
AirDAFormalEnforcementActionData	1. AirFacilityIdentifier 2. EnforcementActionTypeCode 3. ProgramsViolatedCode 4. AirDAFinalOrder 5. FinalOrderAirFacilityIdentifier 6. EnforcementAgencyTypeCode 7. EnforcementActionGovernmentContact 8. AirPollutantCode 9. EnforcementActionCommentText 10. SensitiveComments	1. Cannot delete all; must have at least one identifier 2. Cannot delete all; must have at least one code 3. Cannot delete all; must have at least one code 4. FinalOrderIdentifier 5. FinalOrderAirFacilityIdentifier 6. EnforcementAgencyTypeCode 7. AffiliationTypeText, ElectronicAddressText 8. AirPollutantCode 9. EnforcementActionCommentText 10. SensitiveComments
AirDAInformalEnforcementActionDat a	AirFacilityIdentifier EnforcementActionTypeCode ProgramsViolatedCode InformalEACommentText EnforcementAgencyTypeCode EnforcementActionGovernmentContact AirPollutantCode SensitiveComments	1. Cannot delete all; must have at least one identifier 2. Cannot delete all; must have at least one code 3. Cannot delete all; must have at least one code 4. InformalEACommentText 5. EnforcementAgencyTypeCode 6. AffiliationTypeText, ElectronicAddressText 7. AirPollutantCode 8. SensitiveComments
AirDACaseFileData	ProgramCode AirPollutantCode OtherPathwayActivityData AirViolationData CaseFileCommentText SensitiveComments	1. Cannot delete all; must have at least one identifier 2. AirPollutantCode 3. OtherPathwayCategoryCode, OtherPathwayTypeCode, OtherPathwayDate 4. AirViolationTypeCode, AirViolationProgramCode 5. CaseFileCommentText 6. SensitiveComments

Table 3-5. List of Multi-Value Tags



Use an asterisk to remove data from ICIS-Air for a single field or multi-value fields.

3.6 GENERIC EDITS

When a file is submitted, CDX and ICIS-Air Electronic Data Transfer perform various generic edits as explained below.

3.6.1 CDX Edit Checks

The data provided in the file submission must meet data quality standards. CDX will reject XML instance documents and report the first 100 errors that occur when:

> XML instance document has an extension other than .xml or .zip, or has a filename that is

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- unrecognizable or invalid,
- > zip compressed file is empty,
- XML instance document has empty or null tags, is incomplete, corrupt, not valid, and/or not well formed,
- > submitter ID and/or password not valid for CDX,
- > a data flow indicator code mismatch from state nodes (must be "ICIS-AIR")
- > a file infected with a virus

3.6.2 ICIS-Air Pre-Parser Edit Checks

ICIS-Air may encounter file-level problems such as retrieving a submission file from CDX, or processing an XML in the submission file from CDX due to it containing an ID not recognized in ICIS, communication, database access, or file corruption problems. When any of these situations are encountered, ICIS-Air logs the error with a generic message of "Unable to parse file <filename> because <java method>; <error message>" and sends CDX a PDF and XML file containing the error.

3.6.3 ICIS-Air Parser Edit Checks

The ICIS-Air parser will reject XML instance documents if it cannot extract and process data for the following reasons:

- > mandatory data missing,
- > one or more header block elements missing,
- prohibited character found in alphanumeric field,
- invalid character found or incorrect format in numeric field,
- invalid character found in date field,
- invalid date found in date field,
- the a primary key has a space or invalid alphanumeric,
- ransaction code is not allowed for the submission type according to Table 3-1,
- > submitter ID does not exist in ICIS-Air,

3.6.4 ICIS-Air System Edit Checks

Other errors may be discovered at the time ICIS-Air system receives and processes the data. These errors include:

- > parent record not found for child record to be added,
- record already exists for record to be added,
- record non existent for change, delete transactions,
- > data not valid for database field edit checks,
- > prohibited character(s) found in the XML submission record,
- > submitter ID does not have rights to add/change/delete data for ICIS-Air, or
- submitter ID is not allowed to add/change/delete data belonging to another state, tribe or EPA region,
- > mandatory data is missing, or
- > an invalid reference table code is provided.

4 WORKING WITH ICIS-AIR XML SCHEMA FILES

The ICIS-Air XML schema files are an extension of the ICIS-NPDES XML schema files and adhere to version 1 of the XML Design Rules and Convention and the names of applicable schema elements match EPA data element standards and XML tag data standards approved as of June 2006.

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The ICIS-NPDES schema files for were approved in phases starting with DMRs in Spring 2008 and ending with all enforcement data files in Winter 2012. ICIS-Air XML schema files will be submitted for approval in Summer 2014.

It is important that submitters review all ICIS-Air code tables and build a cross-reference table or other mechanism for converting their existing codes into the ICIS-Air codes. These codes can be retrieved from the ICIS-Air Ad Hoc Reports module or by contacting ICIS User Support.



ICIS-Air Electronic Data Transfer does not use or support Schematron files!

4.1 ICIS-AIR ELECTRONIC DATA TRANSFER PROCESSING AND AFS

Data specifications for ICIS-Air Electronic Data Transfer differ significantly from the legacy AFS schema. Current AFS electronic submitters will need to create or modify their software to generate XML instance documents that are valid and well-formed according to the ICIS-Air schema. In addition, submitters must validate their XML submittal files against the ICIS xsd schema file with an XML validation tool before submitting the XML to CDX.

4.2 ICIS-AIR ELECTRONIC DATA TRANSFER PROCESSING AND EXCHANGE NETWORK NODE PLUG-INS

ICIS-Air Plug-ins for EN contractor nodes may be developed by states under Exchange Network grants, and a virtual ICIS-Air plug-in is being planned for development by CDX. Submitters who decide to use these plug-ins will need to map their data into the staging tables of these plug-ins with ICIS reference table codes present and data in the format expected by ICIS-Air. For more information on Node Plug-ins, visit http://www.exchangenetwork.net/exchange-network-products/



Visit http://www.exchangenetwork.net/exchange-network-products/
for more information on free plug-ins designed to format and send data to ICIS-Air!

4.3 ICIS-AIR SCHEMA, EXAMPLES AND DATA DICTIONARY

The ICIS-Air XML schema test files and associated flow documentation are located in the ICIS electronic library along with the technical specifications for all data families, ICIS-Air Example XML Instance Document, ICIS-Air XML Data Exchange Template document and ICIS Flow Configuration Document.

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The ICIS-Air XML schema production files will be located at http://www.exchangenetwork.net/schema/icis/5 and the corresponding materials will be posted on the Exchange Network web site.



To get the most current version of ICIS schema files visit the ICIS-Air electronic library or contact Alison Kittle at kittle.alison@epa.gov

4.4 WORKING WITH ICIS-AIR SCHEMA

Agencies creating modules to generate their own XML instance documents will find it easier to work from submission examples rather than translate the ICIS-Air XML schema files. It is best to use the examples from the ICIS-Air Example XML Instance Document as templates for developing your XML submission files because this document provides mandatory and optional tags for the different transaction types and explanations of how to tweak your XML file.

However, if you need to create sample XML submission files, they can be generated from the ICIS-Air schema files using a commercial off-the-shelf (COTS) XML validating software package. To do this:

- 1) Load ICIS_V_xx.xsd into the COTS XML validating software (where xxx is the version such as "1"),
- 2) Comment out the names of all submission types except the one desired among the PayLoadData elements and the OperationType enumerations, then
- 3) Select the Document tag to generate the examples from the list of available root elements.

Figure 4-1 shows how to generate an example XML file for Facilities only by commenting out elements and enumerations (in gray) and leaving only the lines pertaining to Facilities active (in blue).

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```
<xsd:element name=" DischargeMonitoringReportData"</pre>
      <xsd:element name="DMRViolationData" type="icis:DMRViolationData"</pre>
        <xsd:element name="EffluentTradePartnerData"</pre>
type="icis:EnforcementActionViolationLinkageData" maxOccurs="unbounded"/-->
        <xsd:element name="AirFacilityData" type="icis:AirFacilityData"</pre>
maxOccurs="unbounded"/>
       <!--xsd:element name="FederalComplianceMonitoringData"
```

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```
maxOccurs="unbounded"/-->
   </xsd:choice>
   <xsd:attribute name="Operation" type="icis:OperationType" use="required"/>
</xsd:complexType>
<xsd:simpleType name="OperationType">
   <xsd:restriction base="xsd:string">
      <!--xsd:enumeration value="BasicPermitSubmission"/>
               <xsd:enumeration value="CSOPermitSubmission"/>
               <xsd:enumeration value=" DischargeMonitoringReportSubmission"/>
               <xsd:enumeration value="DMRProgramReportLinkageSubmission"/>
               <xsd:enumeration value="EnforcementActionViolationLinkageSubmission"/-->
               <xsd:enumeration value="AirFacilitySubmission"/>
               <!--xsd:enumeration value="FederalComplianceMonitoringSubmission"/>
               <xsd:enumeration value="UnpermittedFacilitySubmission"/-->
       </xsd:restriction>
   </xsd:simpleType>
```

Figure 4-1. Excerpt of ICIS_v4.0a.xsd with Elements and Enumerations Commented Out to Generate Sample XML Instance Document of an Air Facility XML Example.

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This is not the recommended approach for generating templates because data provided through this method may not be in the correct format, tags may be missing and mandatory fields are not obvious. Use the example XML templates provided in the ICIS-Air Example XML Instance Document instead!

4.5 VALIDATING XML FILES WITH ICIS-AIR SCHEMA

State, tribe and EPA region batch generation software must validate the XML files they generate against the ICIS schema before submitting them to ICIS Electronic Data Transfer through CDX. This is done using a COTS schema validation software package.

XML submission files must have a root element called "Document" that contains a namespace called "http://www.exchangenetwork.net/schema/icis/5" pointing to where the ICIS-Air Electronic Data Transfer schema files reside. This namespace is used to point CDX to the correct version of ICIS-Air Electronic Data Transfer schema for validation purposes during testing and in the ICIS-Air production environments. Submission XMLs with an incorrect or missing namespace will be rejected by CDX.

Section 4.4.1 lists various COTS schema validation software and instructions for validating the example XML files in this document or any XML file a state generates for ICIS during their electronic data transfer development using the Stylus Studio schema validation package are presented in section 4.4.2 below. Be sure to follow these steps in the order given.

4.5.1 Schema Validation Software

Web-Based XML Validators:

- > CDX = https://tools.epacdxnode.net/soapclient.html
- > XSV= http://www.ltg.ed.ac.uk/~ht/xsv-status.html

Free Standalone XML Validators:

- > XML Starlet = http://xmlstar.sourceforge.net
- ➤ Microsoft = http://www.softlookup.com/display.asp?id=23260

Trial XML Validators:

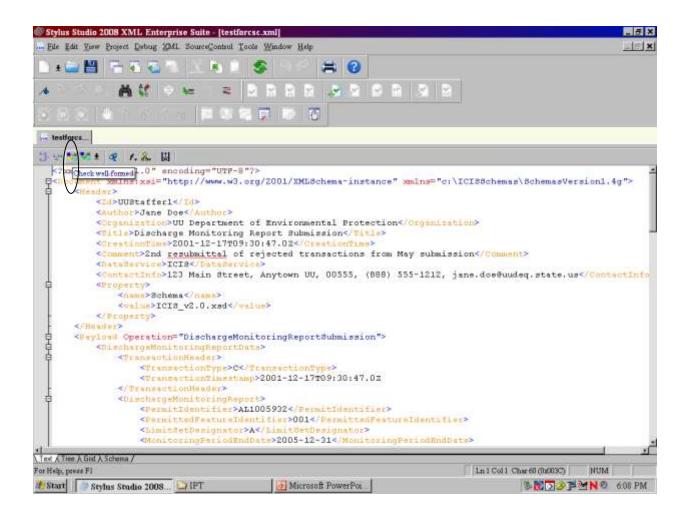
- > XML Spy = http://www.altova.com/support_freexmlspyhome.asp
- <oXygen/> XML Editor = http://www.oxygenxml.com/
- > Stylus Studio = http://www.stylusstudio.com/xml_download.html

4.5.2 Schema Validation with Stylus Studio

- 1. Start Stylus Studio.
- 2. Click on File/Open and double-click on the XML file to be validated.
- 3. Click on the "Check well-formed" icon in the small toolbar

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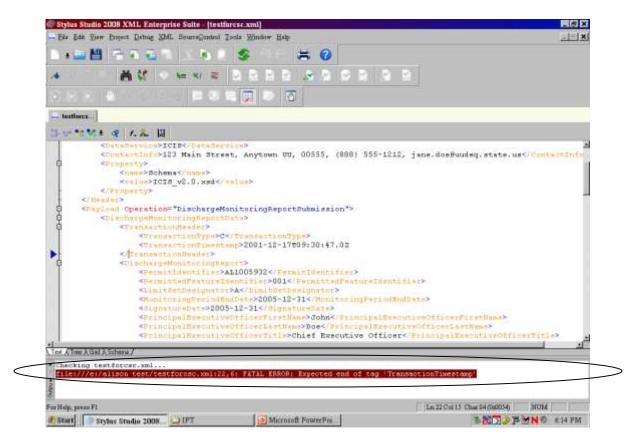




- 4. Check the results in the window at the bottom of the page.
- 5. If the window shows the XML document is "well-formed" your XML is ready for its "valid" check starting at Step 7.
- 6. If the window shows "FATAL ERROR" note the error at or above the cursor and fix it, then perform step 3 again until the window shows the XML is "well-formed"

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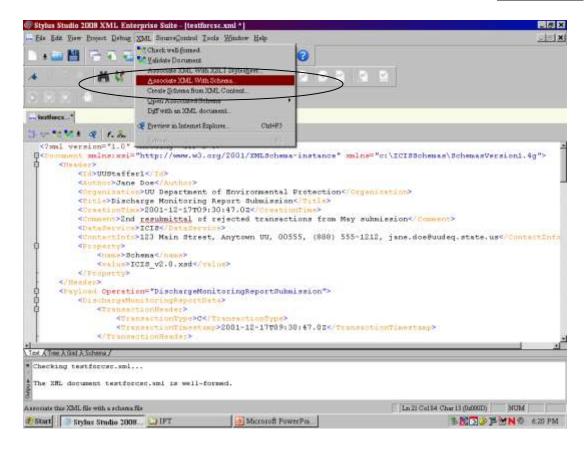




7. Click on "XML" then "Associate XML With Schema" on the main menu.

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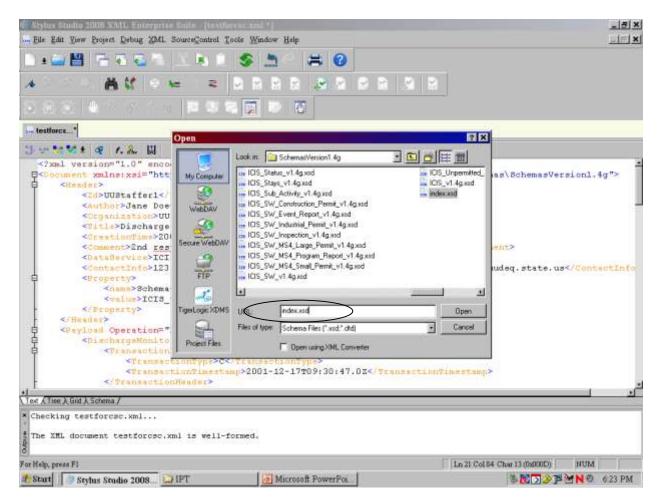




8. Double-click on "index.xsd" from the ICIS schema directory to select it

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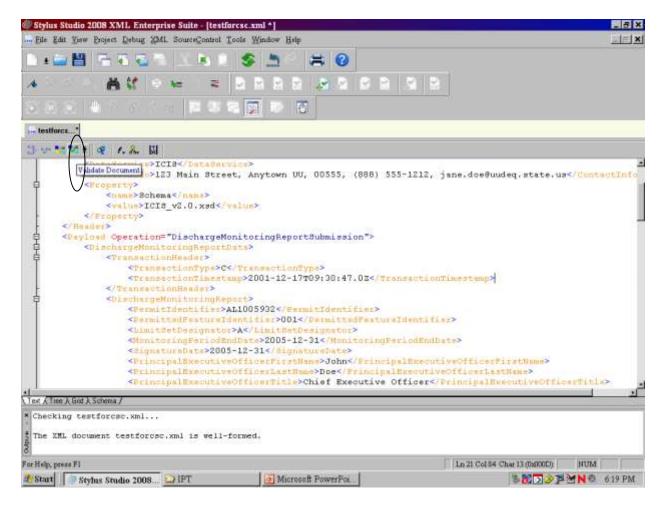




9. Click on the "Validate Document" icon in the small toolbar

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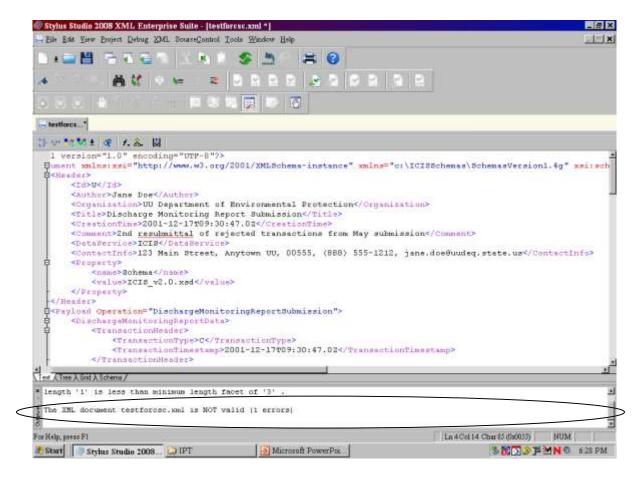




- 10. Check the results in the window at the bottom of the page.
- 11. If the window shows the XML document is "valid" your XML is ready to submit to ICIS Electronic Data Transfer.
- 12. If the window shows "NOT valid" double-click the error message and fix the error, then perform step 9 again until the window shows the XML is "valid"

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If an error occurs during the "well-formed" check, use the corresponding template in the ICIS-Air XML Example Instance Document to find the tag showing up with the error and compare the tag order to find the missing start tag, missing end tag, or misspelled tag. If an error occurs during the "valid" check, refer to Section 9.2 for the listing of common errors, what caused them and how to fix them.

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5 ESTABLISHING ACCESS TO CDX AND ICIS-AIR

States, tribes and EPA regions can either electronically send their XML files to ICIS-Air Electronic Data Transfer through CDX using a Node or upload their XML files using the CDX EN Services Center web site for ICIS-Air Electronic Data Transfer. Each ICIS-Air Electronic Data Transfer submitter must have one NAAS ID and one ICIS ID. The Node on the Exchange Network they will be using must also have a NAAS ID that is mapped into the ICIS-Air Electronic Data Transfer node.

5.1 ICIS-AIR ACCESS

Contact your ICIS-Air Regional Administrator listed at https://icis.zendesk.com/entries/43264316-ICIS-System-Contacts .

5.2 CDX EN SERVICES CENTER ACCESS

Staff must request a new NAAS ID or map an existing NAAS ID into the ICIS-Air data flow of the CDX EN Services Center web site by sending a request to the Node Help Desk at nodehelpdesk@epacdx.net.



Contact the Node Help Desk if you encounter any problems or have questions using a NAAS ID or the CDX EN Services Center web site!

5.3 ESTABLISHING AND CONFIGURING A NODE ON THE EXCHANGE NETWORK

If a state, tribe or region's Node is submitting to ICIS-Air Electronic Data Transfer for the first time, that Node's Administrator must contact the Node Help Desk for assistance with mapping its existing NAAS ID into the ICIS-Air Electronic Data Transfer data flow at CDX.



States, tribes or EPA regions wanting to use their Node on the Exchange Network to transfer data to ICIS-Air should have their Node Administrator talk to the Node Help Desk for details on how to configure their node properly!

Figure 5-1 illustrates how a State can set up an existing full node on the Exchange Network to flow data to ICIS-Air Electronic Data Transfer.

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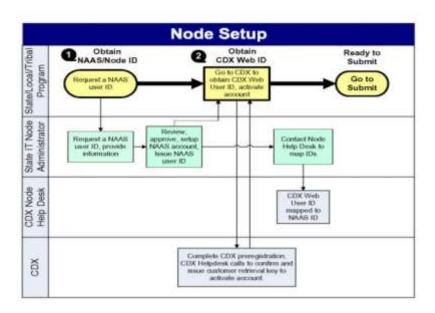


Figure 5-1. Setting up a Full Node on the Exchange Network.

All Nodes on the Exchange Network must be configured with a specific data flow name and an endpoint using a URL that matches the version of their node. As of the date of this publication, the endpoints for State Nodes to use for submitting data to ICIS-Air are:

Test Environment:

- Data Flow Name = ICIS-AIR
- <u>Endpoint URL</u> (Node 2.1 Test) = <u>https://testngn.epacdxnode.net/ngn-enws20/services/NetworkNode2ServiceConditionalMTOM</u>

Production Environment:

- <u>Data Flow Name</u> = ICIS-NPDES
- <u>Endpoint URL</u> (Node 2.1 Production) = <u>https://cdxnodengn.epa.gov/ngn-enws20/services/NetworkNode2ServiceConditionalMTOM</u>

If these endpoints are not working, the newest endpoints can be found at http://www.exchangenetwork.net/epa-node-endpoints/ under the "ICIS-NPDES" heading.

Any State, Tribe or Local agency that needs help establishing a full node on the Exchange Network and the Data Flow Name for ICIS-Air should contact the Node Help Desk for assistance.

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6 SUBMITTING FILES TO ICIS-AIR ELECTRONIC DATA TRANSFER

After mapping a NAAS ID to the ICIS-Air Electronic Data Transfer data flow, submitters can use a Node to automatically submit large files or use the CDX EN Services Center to manually files to ICIS-Air. Status messages and errors for files submitted through the CDX EN Services Center are displayed on the screen, but if a Node is used the status and error messages are returned to Node Administrators, so submitters must be sure to retrieve their errors from their node administrator. The procedures for submitting files to ICIS-Air are described below.



If a node is used to submit files to ICIS-Air the results can only be retrieved by the node, and if the CDX EN Services Center site is used to submit files to ICIS-Air the results can only be retrieved from the CDX EN Services Center!

6.1.1 SUBMITTING FILES AUTOMATICALLY USING A STATE NODE AND THE ICIS-AIR PLUG-IN

Each State agency has a Node on the Exchange Network that is used to transfer state data to one or more EPA systems. The Node submitting to ICIS-Air Electronic Data Transfer invokes the Exchange Network's Authenticate, Submit, GetStatus and Download web methods to authenticate at CDX, upload submission files, check submission file status, and download submission results.

States can choose to independently develop customized code for ICIS-Air EDT submissions from scratch, or use an ICIS-Air plug-in developed by one of several vendors. Currently, there are Java and .NET versions of an ICIS-Air plug-in posted on the Exchange Network that can be downloaded for free by any State using the OpenNode2 software. Either of these options is perfectly acceptable and it is up to each individual state to decide which path best fits their organization's needs.

A pre-developed solution will allow states to take advantage of others' development work and lessons learned, so they are often more cost-effective than independently developing customized code for ICIS-Air EDT submissions from scratch. However, states should also be aware that even these solutions typically require some customization to work within an individual organization's technology environment and infrastructure. Funding to support this work has been made available through the U.S. EPA's Exchange Network Grant Program.

States wanting to use the OpenNode2 Java or .NET ICIS-Air plug-in should refer to that product's documentation for instructions on how to configure the authentication, submission, status and download features. This information is posted at http://www.exchangenetwork.net/exchange-network-products/.

States developing their own Node product should refer to the Exchange Network website at http://www.exchangenetwork.net/node/index.htm for guidance on how to construct the SOAP messages necessary for the ICIS-Air Full Electronic Data Transfer data flow.





The ICIS-Air Full Electronic Data Transfer Node supports Node 2.0 specifications.

6.2 SUBMITTING FILES AUTOMATICALLY USING THE VIRTUAL NODE'S PLUG-IN FOR ICIS-AIR

State, Tribal and Local agencies who do not have a Node on the Exchange Network due to cost and infrastructure reasons can set up their own "Virtual Node" and use its ICIS-Air plugin to transfer their data for free. Information on using the Virtual ICIS-Air plugin is posted at http://www.exchangenetwork.net/virtual-exchange-service/. Please contact the CDX Node Help Desk for assistance.

6.3 SUBMITTING FILES MANUALLY USING THE CDX EN SERVICES CENTER

After a submitter has manually uploaded a file using the CDX EN Services Center, CDX will determine if it is a zip compressed file containing one or more XML instance documents, extract the zipped file, perform virus scans on the extracted file(s), then check them against the ICIS-Air schema for well-formedness and validity before routing them to ICIS-Air Electronic Data Transfer. If one or more XML instance documents within the same zipped file fails the virus scan or schema validation, none of the XML instance documents will not be sent to ICIS-Air Electronic Data Transfer but will be rejected by CDX with up to 100 errors documented for each failed XML instance document in a downloadable file called "submission-metadata.xml".

The ICIS-Air Electronic Data Transfer Node retrieves all incoming XML instance documents from CDX during the day. The ICIS-Air Electronic Data Transfer parser begins to process these files in the order received. The ICIS-Air parser logs any errors keeping data from being saved into ICIS that occur during processing. Upon completion, ICIS-Air stores the results, then generates a PDF and optional XML files of results before notifying CDX that processing of a submission file has been completed. CDX stores the status and sends the results from ICIS when a submitter issues a status and download request. The hours ICIS-Air processes incoming submissions in Eastern Time Zone are:

• Mon. - Fri.: 7 am-8:30 pm, 12:00 am-3:45 pm

• Sat.: 11 am-8:30 pm, 12:00 am-3:45 pm

• Sun.: 8 am-8:30 pm, 12:00 am-3:45 pm

Submitters run the risk of having their files process out of order if more than one XML file is submitted before the other on the same day. For example, State "A" compiles all of the data entry changes for their system twice a day and sends changes from the morning at Noon and changes from the afternoon at 6 pm. If the Noon submission contains a new zip code for Facility "B" but ICIS-Air rejects the XML because it contains an invalid ICIS ID. If a 6 pm submission contains a valid ICIS ID with a correction to the zip code to Facility "B" and ICIS-Air is able to process the submission, ICIS-Air will save this most recent zip code. The next day, the Node Administrator resubmitted the previous morning's submission with a valid ICIS ID then ICIS-Air will process it and overwrite the most recent zip code with the older incorrect zip code.

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ICIS-Air XML Schema User Guide



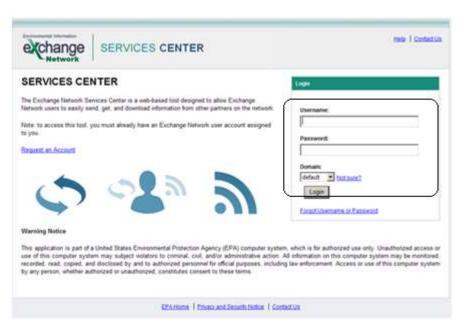
To avoid having later edits overwrite earlier edits, or have edits get rejected because their adds were rejected, submitters should to a process in place to wait until receiving notification from CDX that all outstanding submissions have been processed and any rejections corrected before submitting the next submission.



Submitters should identify and correct any submissions that are rejected by CDX or ICIS-Air and resubmit the corrections before submitting any more files to ICIS-Air!

The steps for submitting using the CDX Exchange Network Services Center are:

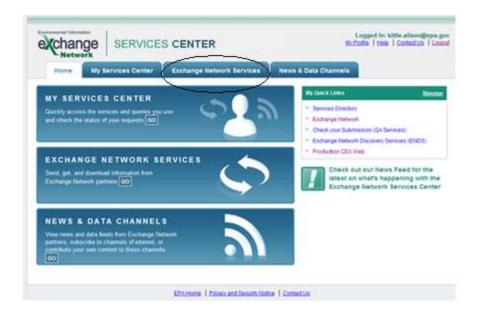
Open a web browser. To perform submissions in the CDX Test environment, navigate to the CDX Login Screen at https://enservicestest.epacdxnode.net/login.aspx or to perform submissions in the CDX Production environment, navigate to the CDX Login Screen at https://enservices.epa.gov/Login.aspx then enter your NAAS account and CDX password, then click on the **Login** button:



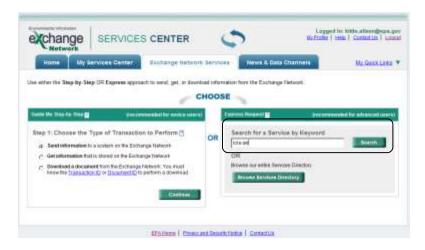
➤ If you are able to successfully log in, the Home page will be displayed. Click on the **Exchange Network Services** tab:

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Enter ICIS-Air in the Express Request box and click on the Search button:



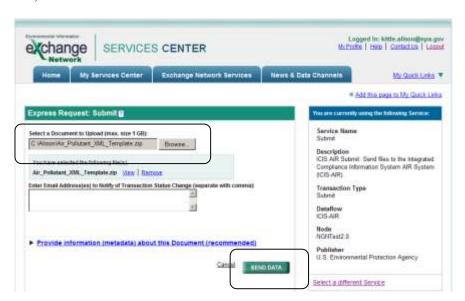
➤ Click on the **Send Info** hyperlink of the ICIS-Air NGNTest2.0 Node to submit test files to the ICIS Electronic Data Transfer Test environment, or click on the **Send Info** hyperlink of the ICIS-Air NGNProd2.0 Production Node to submit production files to the ICIS Electronic Data Transfer Production environment:

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Click on the Browse button to search for and select the zipped file containing XML(s) to submit, then click on the Send Data button:

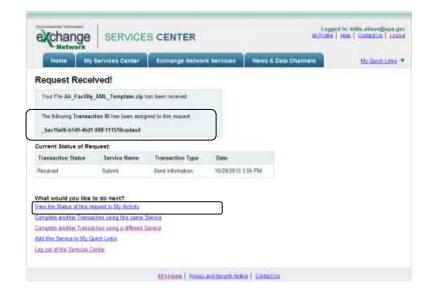


- ➤ The CDX Web Form will display the Request Received page when a submission is accepted. Write down the:
 - ✓ Date
 - ✓ Time and
 - ✓ Transaction ID

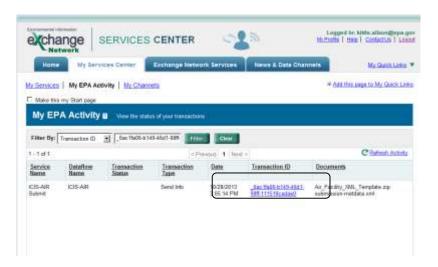
on this screen to use for tracking your submission, then click on the **View the Status of this request in My Activity** hyperlink at nearthe bottom of the screen:

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The Transaction History screen will be displayed and the Transaction ID from the Confirmation Screen will be listed on this screen under the "Transaction ID" column.





Write down the **Node Transaction ID** so you can use it to retrieve your ICIS Electronic Data Transfer Audit Reports and give it to ICIS User Support when reporting errors or problems!

Look at the **Transaction Status** column for the status of your submission's Transaction ID and do the action appropriate for the status per the table below:

Submission	Cause	Action to Perform
Status		

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Received	CDX received the file and is running it through validation checks.	Click on the Refresh Activity button every few minutes until one of the other Statuses is shown. If the status is still "Received" or anything other than "Pending", "Completed" or "Failed" after an hour, contact the Node Help Desk for assistance.
Pending	CDX ran the file through validation checks successfully and passed the file to ICIS-Air for processing	Click on the Refresh Activity button every five minutes until "Completed" or "Failed" is shown. If the status is still "Pending" after an hour contact ICIS User Support for assistance.
Failed	CDX ran the file through validation checks unsuccessfully and errors need to be fixed.	Click on "submission-metadata.xml" hyperlink under the Transaction ID column and open it. If there are schema validation error messages, fix the XML schema validation errors and resubmit (contact ICIS User Support for assistance). If there are any other error messages contact the Node Help Desk for assistance.
Completed	ICIS-Air finished processing the file. There may or may not be errors.	Click on the " <nodetransaction_idresponse.zip" accepted,="" also="" and="" as="" audit="" batch="" be="" business="" by="" can="" criteria.<="" date="" generating="" going="" hyperlink="" icis-air="" id="" in="" into="" it="" objects="" open="" rejected="" report="" results="" results.="" submission="" summary="" th="" the="" to="" transaction="" using="" view="" viewed=""></nodetransaction_idresponse.zip">



If your file is not listed on the Transaction History screen or the status has not changed to "Completed" or "Failed", click on the **Refresh Activity** button until it the file is listed or its status changes.



If the file is still not listed or its status has not changed to "Completed" or "Failed" an hour after the submission, contact the Node Help Desk for assistance!

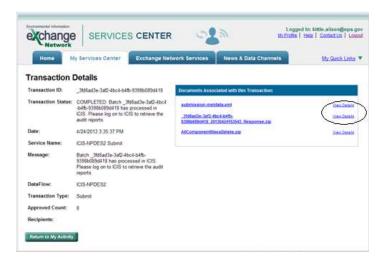
6.3.1 Retrieving the ICIS-Air Processing Results

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➤ Go into the EN Services Center and navigate to "My Services Center" and click on the "My EPA Activity" tab to display your submissions. Scroll the list for the desired submission, then click on the hyperlink for the desired row under the "Transaction ID" column.



- ➤ To see the results of the submission, click on the **View Details** hyperlink next to the zipped file that has the same name as the submission's Transaction Id. This zipped file contains XML files of accepted, rejected and summary transaction data along with a PDF file of accepted, rejected and summary transaction reports.
 - ➤ If there is no zipped file that has the same name as the transaction ID for the submission then the submission had errors keeping it from going to ICIS-Air, such as schema validation errors. If this is the case, click on the **View Details** hyperlink next to the XML file named "submission-metadata" to retrieve those errors.

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- A dialog box will appear asking whether to open or save the results. Click on the **Open** button to view the contents, or click on the **Save** button to save it to a location on your computer. An example of the contents of "submissions-metadata.xml" for a successful submission to ICIS-Air is provided below.
- Refer to Section 6.4 of this document to view the contents of the zipped and .xml files



➤ To exit CDX EN Services Center, click on the Logout hyperlink in the upper right corner of the screen:





Contact the Node Help Desk if you encounter any problems or have questions logging into the CDX EN Services site or navigating around the site. Contact ICIS User Support for assistance with interpreting submission-metadata.xml or any of the response file contents.

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6.4 SUBMITTING ICIS-AIR ELECTRONIC DATA TRANSFER FILES ELECTRONICALLY THROUGH A NODE ON THE EXCHANGE NETWORK



States, tribes or EPA regions wanting to use their Node on the Exchange Network to transfer data to ICIS should have their Node Administrator talk to the Node Help Desk for details on how to configure it properly!

Figure 6-1 illustrates the typical scenario for a state, tribe or EPA region submitting files to ICIS-Air Electronic Data Transfer through their own Exchange Network node.

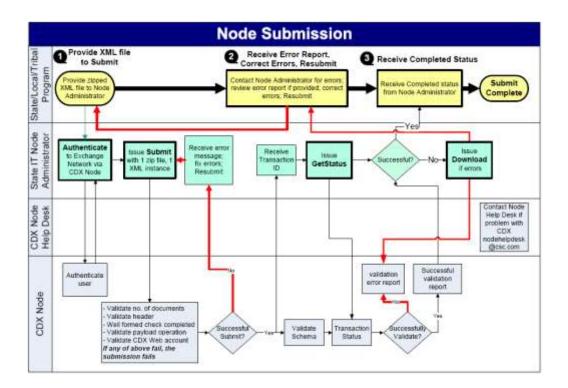


Figure 6-1. The Standard Flow of Data through CDX Using one's own Exchange Network Node.

CDX will immediately reject a submission file infected with virus, in an incorrect format or unzipped and return a SOAP error message to the submitting node. CDX will validate accepted file uploads against the ICIS-Air schema before forwarding them to the ICIS-Air system. If schema validation errors are found in one or more XML submission files within the same zipped file, all XML submission files for that zipped file will be rejected, and CDX will set the status of the submission to "Failed" then report up to 100 schema validation errors for each XML submission files that failed in a SOAP message back to the submitting node.

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If no schema validation errors are found, CDX forwards the submission file to ICIS-Air Electronic Data Transfer. ICIS-Air Electronic Data Transfer will extract data from the file and process it, then return a status of "Completed" to CDX when finished and return either a PDF file or a zipped file of results to CDX if the submitter was a hybrid batch user. See Section 7.2 for details on retrieving the zipped file of results in XML format.

The submitting node will query CDX for the status of a submission until CDX returns a status of "Completed" or "Failed". If the status is "Failed", the submitting node downloads a file called "submission-metadata.xml" from CDX to view the errors. If the status is "Completed" the submitting node either downloads a file called downloads a file containing errors called "<cdxtransactionID>_Response.zip" or a file reporting on the results called <cdxtransactionID>_Response.pdf (where <cdxtransactionID> is the same string as the External Transaction ID assigned to the submission by CDX). Hybrid submitters will view their errors by logging into the ICIS-Air system and generating Electronic Data Transfer Audit Reports.

Security tokens issued by CDX during authentication are in effect for only 10 minutes. Submitters must re-authenticate each time they request a response or download files from CDX if more than 10 minutes have lapsed between CDX interactions.

6.5 E-MAIL SUBMISSION NOTIFICATIONS

Submitters can receive e-mail notifications of submission status by inserting a "name/value" pair into the property tag within the header of their XML submission file containing their e-mail address. Figure 6-2 provides examples of e-mail name/value pairs for one or more multiple e-mail addresses.

Figure 6-2. Examples of Single and Multiple e-Mail Name/Value Pairs

Figures 6-3 through 6-5 are examples of e-mails from CDX acknowledging receipt of a submission, completion of a submission by ICIS and rejection of a submission due to CDX errors.

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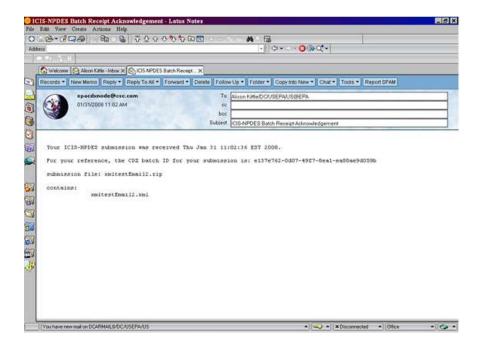


Figure 6-3. Example of Submission Receipt Notification e-mail from CDX

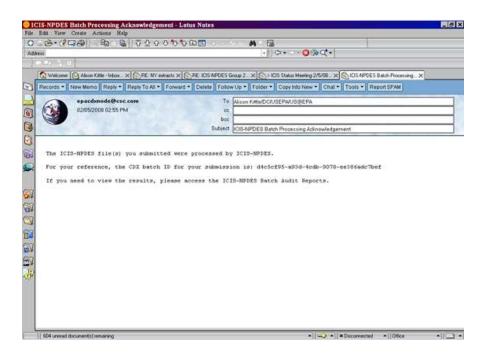


Figure 6-4. Example of ICIS-Air Electronic Data Transfer Processing Completion Notification e-mail from CDX

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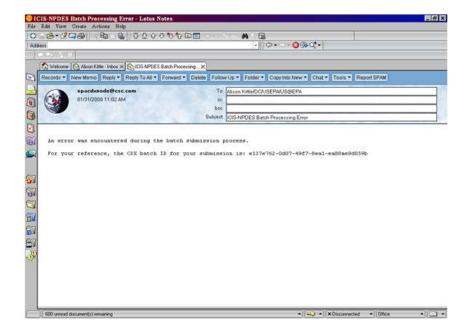


Figure 6-5. Example of Submission Failure Notification e-mail from CDX



Regions may submit XML files containing data for all their states either within one XML or in one separate XML file for each state!



A state or local agency can only submit XML files for air data within their state. ICIS-Air Electronic Data Transfer will check the first two characters of a permit's ID against the ICIS ID contained within the <Id> tag and will reject any transactions with a state code that is not authorized to modify data for that state!



States, tribes and EPA regions may want to produce one set of Electronic Data Transfer Audit results per staff member responsible for their data only. To do this, simply place all replace and mass delete transactions for one staff member into their own XML file with their ICIS ID for that submitter in the <Id> tag Otherwise, data for all staff members is combined into one XML submission file containing one valid ICIS ID in the <Id> tag of that submission file!

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6.6 INTERPRETING THE ICIS-AIR PROCESSING RESULTS



All XML files in your zipped submission file must contain a Property tag with a name/value pair of "Source"/"FullBatch" in order to get results returned in XML format!

If the status of your submission is "Completed" or "Failed" and your own Exchange Network Node was used to submit the data to ICIS-Air, have your Node Administrator retrieve the results from CDX via the Node and view the files returned.

If the status of your submission is "Completed" or "Failed" and the CDX EN Services Center was used to submit the data to ICIS-Air, the person who submitted it needs to log into the CDX EN Services Center and download the results from CDX and view the files returned.

6.6.1 "Completed" Status

If the status of your submission is "Completed", open the zipped file that has a name starting with the same Transaction ID as the submission of interest and ending with "Response.zip".

If all the XML files within your XML submission were able to be processed by ICIS there will be <u>four</u> files listed within the zipped file as shown below. Double-click on the "<nodetransactionID_ Response.pdf>" file to view each of the three tabs for listings of the submission records that were accepted and rejected.



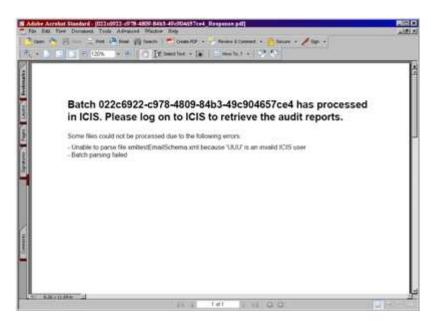
If one or more of the XML files within your submission was unable to be processed by ICIS due to an invalid ICIS ID or another reason, there will be <u>two</u> files listed within the zipped file named "<nodetransactionID_ File_Error_Response.pdf>" and "<nodetransactionID_ File_Error_Response.xml>" contain information on the file that could not be processed:

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Double-click on nodetransactionID_File_Error_Response.pdf>" to see the reason why a file could not be processed and fix the error and resubmit the XML or contact ICIS User Support for assistance with the error:



6.6.2 "Failed" Status

If the status of your transaction is "Failed" then one or more of the XML files in the zipped submission file could not be processed by CDX due to a virus in an XML file, an XML schema validation error, a NAAS user authentication error, or an unexpected error that occurred during the submission process.

Click on the **submission-metadata.xml** file to open and and view up to 100 errors that CDX found and do one of the following:

a. If the *<result>* tag has a message that starts with "**Congratulations** ..." the file passed schema validation but could not be sent to ICIS-Air for an unknown reason. Contact the Node Help Desk for help.

<?xml version="1.0" encoding="UTF-8"?>
<submission>

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```
<file>
    <name>xmltestschemaEmail.xml</name>
    <email>kittle.alison@epa.gov</email>
        <status>Valid</status>
        <result>Congratulations! The document,\\cdxprepnetapp1\\QA_Temp\\2668e6db-36f1-4ed4-859c-
0f097c3e47ef0.unzipped\txg330035change.xml, is valid according to the schema.</result>
        </file>
        </submission>
```

b. If the <*result*> tag message is similar to one or more of the schema validation errors listed in Section 9.2, find and fix the error(s) in your XML file and resubmit the file. Contact ICIS User Support if you need help with difficult schema validation errors.

```
<?xml version="1.0" encoding="UTF-8"?>
<submission>
<file>
 <name>xmltestschemaEmail.xml</name>
 <email>kittle.alison@epa.gov</email>
 <status>Valid</status>
 following error(s): Error at line 4 column 40: The 'c:\ICISSchemas\SchemasVersion2.0:Id' element is invalid - The
        'UUStaffer1123456789012345678901'
                                          is
                                                invalid
                                                          according
                                                                      to
                                                                            its
                                                                                   datatype
'c:\ICISSchemas\SchemasVersion2.0:StringMin3Max30Type' - The actual length is greater than the MaxLength
value.</result>
</file>
</submission>
```

c. If the *<result>* tag has a message that is similar to one or more of the SOAP validation errors listed in Section 9.4 an error other than schema validation occurred. Contact the Node Help Desk for assistance with these errors.



Refer to Section 9 of this document for a comprehensive list of XML schema validation errors, what caused them and how to fix them. Contact ICIS User Support if you need assistance with interpreting the contents of "submission-metadata.xml"!

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7 VIEWING ICIS-AIR BATCH AUDIT REPORT RESULTS

The Batch Audit reports in ICIS-Air provide information on what happened to transactions during the parsing and storing of each submittal file. One Business Objects report with three tabs is designed to provide this information to submitters:

- ➤ **Rejected Transactions Tab** list of key fields with messages or errors ICIS encountered while processing transactions
- ➤ Accepted Transactions Tab list of key fields of transactions ICIS was able to process successfully
- ➤ Batch Transactions Summary Tab counts of transactions accepted or rejected by transaction type

Submissions using the Property tag with a name/value pair of "Source"/"FullBatch" can retrieve these reports from CDX in PDF and XML format using the steps in Section 6.

Submitters can also log into ICIS-Air, go into Business Objects and run the Batch Audit report by doing the following:

1) Click on the "Documents" tab in the upper left corner of the page:



2) Click on the "Folders" option in the bottom left corner of the page:



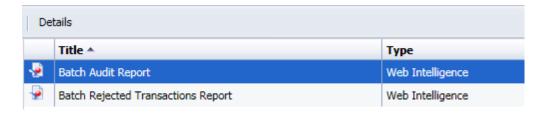
3) Double click on the "Batch Reports" folder in the middle of the page:



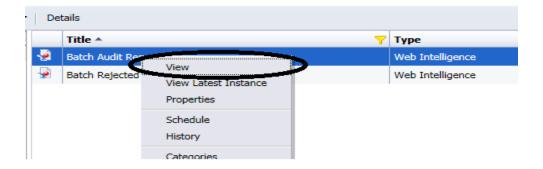
4) Right click on the "Batch Audit Report" (do NOT double click on it!):

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5) Click on "View" in the popup menu that appears:



6) A Prompts popup will appear, allowing you to specify criteria for running the Batch Audit Report for one or more of your submissions to ICIS-Air (Figure 7-1):

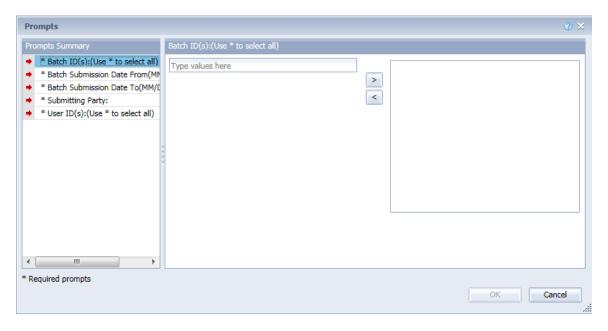


Figure 7-1. Example of Electronic Data Transfer Audits Report Selection Criteria Prompts for the Rejected Transactions Report

These prompts are listed in Table 7-1 below with the values and rules associated with them.

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Criteria	Required/Optional	Values and Rules
Electronic Data Transfer ID(s)	Optional	Values: Valid Electronic Data Transfer Ids (Node Transaction ID as provided by the CDX Web form, or External Transaction ID as provided by the CDX node) Rules: 1 or many values will be accepted Multiple values must be separated by a semicolon An '*' may be entered if the user does not want to select specific Electronic Data Transfer ID(s)
Submission Date From	Required	Values: Valid dates are any past dates and the current date in MM/DD/YYYY format Rules: 1 value will be accepted The value must be typed in
Submission Date To	Required	Values: Valid dates are any past dates and the current date in MM/DD/YYYY format Rules: 1 value will be accepted The value must be typed in
Submitting Party	Required	Values: • EPA Region Codes 01 through 10 • "HQ" for EPA Headquarters • Valid 2-character State, Territory and Canadian Province Postal Codes • "NN" for Navajo Nation Tribe • "SR" for St. Regis Tribe Rules: • 1 value will be accepted • The value can either be typed in or selected from a list of values generated from the ref_region and ref_state tables
User ID	Optional	Values: Valid ICIS User IDs Rules: 1 or many values will be accepted Multiple values must be separated by a semicolon An '*' may be entered if the user does not want to select specific User ID(s)

Table 7-1. Electronic Data Transfer Audit Report Selection Criteria Prompts

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Data must be entered into all Selection Criteria prompts or the report will not run!



When cutting and pasting Electronic Data Transfer Ids or other data into the criteria, be sure not to copy any spaces before and after the data!



Always specify either a User ID or a Electronic Data Transfer ID instead of an asterisk in both ID prompts to speed up the report!



The Electronic Data Transfer ID is the same as the Node Transaction ID provided by the CDX Web Form or the External Transaction ID provided by the CDX node!



Contact ICIS User Support if you encounter any problems or have questions during the ICIS login or Electronic Data Transfer Audit report generation process!

7.1.1 Rejected Transactions Tab

For each rejected transaction, key data are provided to identify the specific record that has an error and a detailed error message provides information to help the submitter correct the errors.

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Environmental Protection Agency Created Date: 12/12/2006 Integrated Compliance Information System Refresh Date: 03/21/2007 Created By: HQ Rejected Transactions Report Batch Submission Date From: 10/01/2006 To: 02/03/2007 Batch ID(s): " Submitting Party: 03 User ID(s): " Submitting Party: VA (Region 03) Batch ID User ID Run Date **Submission Date** 1/1/2007 abc Submission Transaction Key Value Error / Warning Message(s) Type Type VA1234222001A01/01/20070426211 DMR Replace For Numeric Report Code C2, Numeric Report Received Date 12/31/2008 entered must be less than or equal to the current date. For Numeric Report Code Q2, Numeric Condition Quantity -55 is negative so the Numeric Condition Qualifier can not be Less Than (<) DMR VA1234222001A01/01/20073223011 A Parameter does not exist that matches the data entered. DMR. VA1234222001A01/01/20075118611 A Parameter does not exist that matches the data entered. Replace DMR VA1234222001B12/31/2006 For Numeric Report Code C2, Numeric Report Received Date 12/31/2008 entered must be less than or Replace equal to the current date. For Numeric Report Code Q2, Numeric Condition Quantity -55 is negative so the Numeric Condition Qualifier can not be Less Than (<). VA1234500001A01/01/20073223011 Replace A Parameter does not exist that matches the data entered. Batch ID User ID Run Date Submission Date 1/1/2007 1/1/2007 Submission Transaction Key Value Error / Warning Message(s) Type Type Replace VA1234567001A01/01/20070426211 For Numeric Report Code C2, Numeric Report Received Date 12/31/2008 entered must be less than or equal to the current date. For Numeric Report Code Q2. Numeric Condition Quantity -SS is negative so the Numeric Condition Qualifier can not be Less Than (<) VA1234567001A01/01/20073223011 DMR. Replace For Numeric Report Code C2, Numeric Report Received Date 12/31/2008 entered must be less than or egual to the current date. For Numeric Report Code Q2, Numeric Condition Quantity -55 is negative so the Numeric Condition Qualifier can not be Less Than (<) Page 1 of 2 **Environmental Protection Agency**



Refer to Section 8 of this document for a comprehensive list of error messages, what caused them and how to fix them. Contact the CDX Help Desk if you need help interpreting error message in the Rejected Transactions Report!

7.1.2 Accepted Transactions Tab

For each accepted transaction, key data are provided to identify the specific record that was accepted.

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Environmental Protection Agency Integrated Compliance Information System Accepted Transactions Report

Created Date: 12/12/2006 Refresh Date: 03/20/2007 Created By: HQ

Batch Submission Date From: 01/01/2007 To: 02/01/2007

Batch ID(s): * Submitting Party: VA User ID(s): *

Submitting Party: VA (Region 03)

Batch ID	User ID	Run Date	Submission Date	
va001001	abc	01/01/2007	01/01/2007	
Submission Type	Transaction Type	Key Value		Error / Warning Message (s)
DMR	Replace	VA1234568001A01/01/20075118611		
DMR than 500%.	Replace	VA1234569	001A01/01/20070426211	For Numeric Report Code Q1, the Numeric Condition Quantity 60 has a Percent of Exceedence Greater
DMR	Replace	VA2234567	001A12/31/2006	

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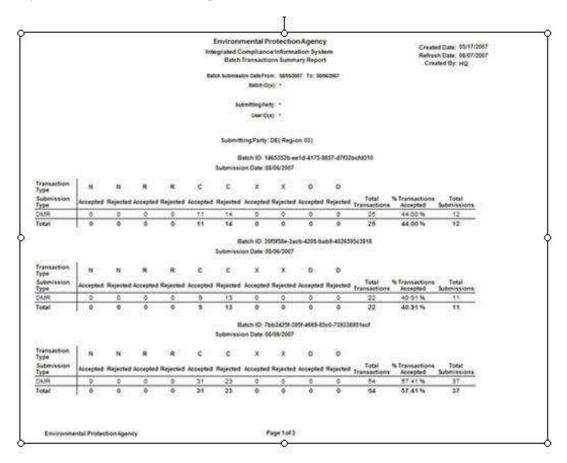
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7.1.3 Electronic Data Transfer Transactions Summary Tab

This tab displays summary information about the numbers of accepted and rejected batch transactions presented in a table. The tab contains a summary table for each batch as well as a summary table for all batches in the report.





If the EN Services Center was used for a submission then the status and results of that submission can only be retrieved by the user who submitted it!



If an Exchange Network Node was used for a submission then the status and results of that submission can only be retrieved by the Node's Administrator!

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Although the status of submission and results of a Failed submission can only be viewed or retrieved by the submitting user or administrator of a submitting Exchange Network Node, any ICIS-Air user can view the results of what records from a submission were accepted or rejected by logging into ICIS-Air and running a Business Objects Batch Audit Report!

7.2 ICIS-AIR FULL ELECTRONIC DATA TRANSFER RESULTS

With the addition of Full Electronic Data Transfer functionality to the ICIS system, ICIS will have the ability to return batch processing results to a submitting state electronically or allow a user to view the results within the ICIS application. For ICIS to detect how a submitting state wants to view their results, the presence or absence of the Property parent tag within the XML submission file's Header block is used to identify the source of the batch submission and therefore the appropriate response.

ICIS-Air users can view their reports in ICIS by generating a Business Objects report. For these users the Property parent tag with a name/value pair of "Source" and "FullElectronic Data Transfer" must be omitted from their XML submission file's Header block altogether. For information on the Business Objects results generated by ICIS-Air users refer to Section 7 of the ICIS-Air Schema User Guide.

Agencies using ICIS-Air Electronic Data Transfer to submit their data have expressed a desire to receive processing results electronically. To do this, one Property parent tag needs to be present at the end of the header block of the submission XML file that contains the following data within its name/value pair tags:

```
<header>
...
<Property>
<name>Source</name>
<value>FullBatch</value>
</Property>
</Header>
```

When the Property tag is present and the name/value pair tags indicate that the source is FullElectronic Data Transfer, ICIS will return the results of the batch transaction processing to CDX in both PDF and XML formats for a state to download. To ensure your results are returned in PDF format, be sure to always use only one Property tag with a name/value pair of "Source"/ "FullElectronic Data Transfer" in all of your XML submission files.

Only one Property tag with a name/value pair of "Source"/"FullBatch" can be in an XML submission file, and it can be the only Property tag in the XML as shown above, or it can be located above, below, or nested inbetween one or more Property tags containing email addresses as shown below:

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OR

OR



Always include only one Property tag with a name/value pair of "Source"/"FullElectronic Data Transfer" in each of your XML submission files to ensure you get your results back in PDF format!



One PDF file of a combined Electronic Data Transfer Audit Report will be generated with tabs for the Accepted, Rejected, and Summary Transaction reports as shown in Section 7 of the ICIS-Air Schema User Guide. If an error occurred while attempting to process a submission XML, such as an invalid ICIS ID, one PDF will be generated with a message describing the error.

ICIS-Air will also generate up to four XML files contained within one zipped file. These files are:

- 1. a File Error XML Report (optional)
- 2. an Accepted Transactions XML Report
- 3. a Rejected Transactions XML Report
- 4. a Summary Transactions XML Report

Table 7-2 provides the Full Electronic Data Transfer Response files generated by ICIS and the names to use when retrieving the files from CDX. Note that in this table, *TransactionID* is the CDX transaction ID for the submission, *SubmittingParty* is the ICIS ID in the header of the submission file and *Timestamp* is the date and time the submission was processed by ICIS.

File Generated by ICIS	Contents	Name of File as Posted at CDX
File Error Results XML	XML containing file level errors that prevented all records within the file from being processed , such as an invalid ICIS ID	< <i>TransactionID</i> >_< <i>SubmissionDate</i> >_File_Error_Response.xml
File Error Results PDF	PDF containing file level errors that prevented all records within the file from being processed , such as an invalid ICIS ID	< Transaction ID>_< Submission Date>_File_Error_Response.pdf
Transactio ns Result PDF	PDF file containing the XMLs for	< TransactionID>_< SubmittingParty>_< SubmissionDate>_Response.pdf

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File Generated by ICIS	Contents	Name of File as Posted at CDX
	accepted, rejected and transactio n summary results	
Transactio ns Result ZIP	ZIP file containing the XMLs for accepted, rejected and transactio n summary results (see below for their filenames)	< TransactionID>_< SubmittingParty>_< SubmissionDate>_Response.zip
Accepted Transactio n Results XML	XML containing key values of records that were processed successful ly by ICIS	<pre><transactionid>_<submittingparty>_<submissiondate>_Accepted_Res</submissiondate></submittingparty></transactionid></pre>
Rejected Transactio n Results XML	XML containing key values and error message of records that were unable to be processed successful ly by ICIS	<pre><transactionid>_<submittingparty>_<submissiondate>_Rejected_Resp onse.xml</submissiondate></submittingparty></transactionid></pre>
Transactio ns Summary Results XML	XML containing counts by transactio n and data family along with percent success rate	<pre><transactionid>_<submittingparty>_<submissiondate>_Summary_Res</submissiondate></submittingparty></transactionid></pre>

Table 7-2. List of Files Generated by ICIS-Air for Full Electronic Data Transfer States

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The following sub-sections describe the File Error XML results, Accepted Transactions XML results, the Rejected Transactions XML results, and the Electronic Data Transfer Transactions Summary XML results that are returned when a Full Electronic Data Transfer submission is processed by ICIS.

7.2.1 File Error Results XML

Any errorsthat ICIS-Air encounters while attempting to process an XML will be displayed on the File Error Results XML Report. Errors of this nature typically occur when the <Id> contains an invalid ICIS ID and result in no records being processed for that file. Note that tags in bold are mandatory, tags in green may be repeated and tags in blue are mandatory only if their parent tag is present. Figure 7-2 shows an example of a File Error Results XML.

```
<pr
```

Figure 7-2 - File Error Results XML With Two Transactions

7.2.2 Accepted Transaction Results XML

The Accepted Transaction Results XML provides the transaction type and key data fields for each record that was processed by ICIS-Air batch. Any warning messages ICIS-Air recorded while processing a record will be displayed on the Accepted Transaction Results XML Report. The report is sorted in ascending order by the following groups: User ID, Submission Type, and then Key Values. Figure 7-3 shows an example of an Accepted Transaction Results XML where two records where successfully processed by ICIS. Note that tags in bold are mandatory, tags in green may be repeated and tags in blue are mandatory only if their parent tag is present.

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```
| Type | received | LP | recei
```

Figure 7-3 - Accepted Transaction Results XML With Two Transactions

If no transactions were accepted, the Accepted Transaction Results XML returned by ICIS will only contain the SubmissionResponse, TransactionIdentifier, SubmissionDate and ProcessedDate tags as shown in Figure 7-4.

```
One errors "1.F excelling" UE F 7:
Chimanical square miles "Mig. / free, exchangescients, set/acteon/scis/!" miles mile "Mig. / free, vi. org/2001/2005/clear-instance" miles beneficiation "Mig. / free, exchangescook, set/acteon/scis/!

#### Commencion/destifier-one-1-DF-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194-ets-194
```

Figure 7-4 - Accepted Transaction Results XML When All Transactions Are Rejected

Table 7-3 lists the tags that are included in the Accepted Transaction Results XML and provides examples of data that may be included in the tag. The XML Tag Name column lists the tag and parent tag for each group of data sent to the user. Parent tags are listed in bold. The Characteristics column lists the type of data element and size or allowable contents. The Example Value column lists a sample value for the data tag in the Accepted Transaction Results XML.

The first group of tags in the table contains global tags that are included in all Accepted Transaction Results XML. The next group of tags is User ID which is used to group all transactions submitted by the same User ID. Following the User ID is Submission Type which is used to group all transactions for the same Submission Type. All subsequent groups listed in the table are the tags that may be received if a particular transaction is accepted for the batch XML submission.

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Characteristics	Example Value
ument:	
1-40 characters long	asdf-1234-sefa-1234
Date in yyyy-mm-dd format	2010-08-13
Date in yyyy-mm-dd format	2010-08-13
d:	
3-30 characters long. This is the same as the ICIS ID provided in the XML submission file's <id> tag.</id>	ABC
e submitted:	
 Air Compliance Monitoring Strategy Air DA Case File Air DA Compliance Monitoring Air DA Enforcement Action Milestone Air DA Formal Enforcement Action Air DA Informal Enforcement Action Air Facility Air Follutants Air Programs Air TVACC Case File Linkage Air DA Enforcement Action Linkage Federal Compliance Monitoring Compliance Monitoring Linkage 	AirFacility
action is accepted:	
18 characters long	AZ001000000AA00789
	R
18 characters long	AZ001000000AA00789
1 to 9 characters long	54367
1 character long, where R = Replace, X = Mass Delete	R
18 characters long	AZ001000000AA00789
	
10 characters long	3945086787
	Date in yyyy-mm-dd format Date in yyyy-mm-dd format Date in yyyy-mm-dd format d: 3-30 characters long. This is the same as the ICIS ID provided in the XML submission file's <id> tag. submitted: 1-50 characters long, where choices are: • Air Compliance Monitoring Strategy • Air DA Case File • Air DA Case File • Air DA Enforcement Action Milestone • Air DA Informal Enforcement Action • Air Pollutants • Air Programs • Air Programs • Air TVACC • Case File Linkage • Air DA Enforcement Action Linkage • Federal Compliance Monitoring • Compliance Monitoring Linkage action is accepted: 18 characters long 1 character long, where R = Replace, X = Mass Delete 18 characters long 1 to 9 characters long 1 character long, where R = Replace, X = Mass Delete 18 characters long 1 to 9 characters long 1 character long, where R = Replace, X = Mass Delete 18 characters long 1 to 9 characters long 1 to 4 characters long 1 to 9 characters long 1 character long, where R = Replace, X = Mass Delete 18 characters long 1 to 9 characters long</id>

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XML Tag Name	Characteristics	Example Value
Fields returned when an Air DA Compliar	nce Monitoring transaction is accepted:	
<submissionacceptedkey></submissionacceptedkey>		
<airdacompliancemonitoringidentifier <="" td=""><td></td><td></td></airdacompliancemonitoringidentifier>		
ComplianceMonitoringIdentifier	7 to 25 characters long	AZ001A0000000000000AA007 89
SubmissionTransactionTypeCode	1 character long, where R = Replace, X = Mass Delete	R
Fields returned when an Air TVACC trans	action is accepted:	
<submissionacceptedkey></submissionacceptedkey>		
<airtvaccidentifier></airtvaccidentifier>		
ComplianceMonitoringIdentifier	7 to 25 characters long	AZ001A0000000000000AA007 89
SubmissionTransactionTypeCode	1 character long, where R = Replace, X = Mass Delete	R
Fields returned when a Federal Complian	ce Monitoring transaction is accepted:	
<submissionacceptedkey></submissionacceptedkey>		
<federalcompliancemonitoringrecordi dentifier=""></federalcompliancemonitoringrecordi>		
ComplianceMonitoringIdentifier	7 to 25 characters long	AZ001F0000000000000AA007 89
SubmissionTransactionTypeCode	1 character long, where R = Replace, X = Mass Delete	R
Fields returned when a Compliance Moni	toring Strategy transaction is accepted:	
<submissionacceptedkey></submissionacceptedkey>		
<aircompliancemonitoringstrategylden tifier=""></aircompliancemonitoringstrategylden>		
AirFacilityIdentifier	18 characters long	AZ001A00000AA00789
SubmissionTransactionTypeCode	1 character long, where R = Replace, X = Mass Delete	R
Fields returned when a Delegated Agency	y Formal Enforcement Action transaction is acc	epted:
<submissionacceptedkey></submissionacceptedkey>		
		
AirDAEnforcementActionIdentifier	7 to 25 characters long	AZ001F0000000000000AA007 89
SubmissionTransactionTypeCode	1 character long, where R = Replace, X = Mass Delete	R
Fields returned when a Delegated Agency	y Enforcement Action Milestone transaction is a	ccepted:
<submissionacceptedkey></submissionacceptedkey>		
<airdaenforcementactionmilestoneide ntifier=""></airdaenforcementactionmilestoneide>		
AirDAEnforcementActionIdentifier	7 to 25 characters long	AZ001F0000000000000AA007 89
MilestoneTypeCode	1 to 5 characters long	ACLSJ
SubmissionTransactionTypeCode	1 character long, where R = Replace	R
Fields returned when a Delegated Agency	Informal Enforcement Action transaction is ac	cepted:
<submissionacceptedkey></submissionacceptedkey>		
		

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XML Tag Name		Characteristics	Example Value	
AirDAEnforcementActionIdentifier		7 to 25 characters long	AZ001F0000000000000AA007 89	
SubmissionTransactionTypeCode		1 character long, where R = Replace, X = Mass Delete	R	
Fields returned when a Delegated Agenc	y C	ase File Action transaction is accepted:		
<submissionacceptedkey></submissionacceptedkey>				
<airdacasefileidentifier></airdacasefileidentifier>				
CaseFileIdentifier		7 to 25 characters long	AZ001F0000000000000AA007 89	
SubmissionTransactionTypeCode		1 character long, where R = Replace, X = Mass Delete	R	
Fields returned when a Delegated Agenc	y E	nforcement Action Linkage transaction is ac	cepted:	
<submissionacceptedkey></submissionacceptedkey>				
				
AirDAEnforcementActionIdentifier		7 to 25 characters long	AZ001F0000000000000AA007 89	
SubmissionTransactionTypeCode		1 character long, where R = Replace, X = Mass Delete	R	
Fields returned when a Case File Linkage	e tr	ansaction is accepted:		
<submissionacceptedkey></submissionacceptedkey>				
<casefilelinkageidentifier></casefilelinkageidentifier>				
CaseFileIdentifier		7 to 25 characters long	AZ001F0000000000000AA007 89	
SubmissionTransactionTypeCode		1 character long, where R = Replace, X = Mass Delete	R	
Fields returned when a Compliance Moni	itor	ing Linkage transaction is accepted:		
<submissionacceptedkey></submissionacceptedkey>				
<compliancemonitoringlinkageidentifie r=""></compliancemonitoringlinkageidentifie>				
ComplianceMonitoringIdentifier		7 to 25 characters long	AZ001F0000000000000AA007 89	
SubmissionTransactionTypeCode		1 character long, where R = Replace, X = Mass Delete	R	

Table 7-3 - XML Tags Contained in the Accepted Transaction Results XML

7.2.3 Rejected Transaction Resuilts XML

The Rejected Transaction Results XML provides the transaction type and key data fields for each record that was processed by ICIS batch. All error messages ICIS Electronic Data Transfer recorded while processing a record will be displayed on the Rejected Transaction Results XML Report. The report is sorted in ascending order by the following groups: User ID, Submission Type, and then Key Values. Figure 7-5 shows an example of a Rejected Transaction Results XML with two transactions having errors. Note that tags in bold are mandatory, tags in green may be repeated and tags in blue are mandatory only if their parent tag is present.

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```
| Press | Pres
```

Figure 7-5 - Rejected Transaction Results XML with Two Transactions

If no transactions were rejected, the Rejected Transaction Results XML returned by ICIS will only contain the SubmissionResponse, TransactionIdentifier, SubmissionDate and ProcessedDate tags as shown in Figure 7-6.

```
Cred certics "1.1" excelling "UE-0":

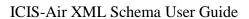
Similaricallequese miles "Mig. | free exchangestimal, set/sitem/similarically miles and "Mig. | free exchangestimal, set/sitem/similarically miles and "Mig. | free exchangestimal and and "Mig. | free exchangestimal
```

Figure 7-6 - Rejected Transaction Results XML When All Transactions Are Accepted

Table 7-4 lists the tags that are included in the Rejected Transaction Results XML and provides examples of data that may be included in the tag. The XML Tag Name column lists the tag and parent tag for each group of data sent to the user. Parent tags are listed in bold. The Characteristics column lists the type of data element and size or allowable contents. The Example Value column lists a sample value for the data tag in the Rejected Transaction Results XML.

The first group of tags in the table contains global tags that are included in all Rejected Transaction Results XML. The next group of tags is User ID which is used to group all transactions submitted by the same User ID. Following User ID is Submission Type which is used to group all transactions for the same Submission Type. All subsequent groups listed in the table are the tags that are displayed when a particular transaction was rejected for the batch XML submission.

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XML Tag Name	Characteristics	Example Value					
Fields returned with each result XML document:							
<submissionresponse></submissionresponse>							
TransactionIdentifier (identifier returned to user from CDX after the batch submission)	1-40 characters long	asdf-1234-sefa-1234					
SubmissionDate (date of XML Submission)	Date in yyyy-mm-dd format	2010-08-13					
ProcessedDate (date the batch was processed)	Date in yyyy-mm-dd format	2010-08-13					
Fields returned for each User ID submitted	:						
<submittingparty></submittingparty>							
UserID	3-30 characters long. This is the same as the ICIS ID provided in the XML submission file's <id> tag.</id>	ABC					
Fields returned for each Submission Type	submitted:						
<submissiontype></submissiontype>							
SubmissionTypeName	1-50 characters long, where choices are: Air Compliance Monitoring Strategy Air DA Case File Air DA Compliance Monitoring Air DA Enforcement Action Milestone Air DA Formal Enforcement Action Air DA Informal Enforcement Action Air Facility Air Pollutants Air Programs Air TVACC Case File Linkage Air DA Enforcement Action Linkage Federal Compliance Monitoring Compliance Monitoring Linkage	AirProgram					

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SubmissionRejectedKey/>	action is rejected:	
	_	
AirFacilityReportIdentifier/>	40 ab ana stana la ma	A 7004000000 A 00700
AirFacilityIdentifier	18 characters long	AZ001000000AA00789
SubmissionTransactionTypeCode	1 character long, where R = Replace Delete	e, X = Mass R
Fields returned when an Air Program tran	saction is rejected:	
<submissionrejectedkey></submissionrejectedkey>		
AirProgramReportIdentifier/>		
AirFacilityIdentifier	18 characters long	AZ001000000AA00789
AirProgramCode	1 to 9 characters long	54367
SubmissionTransactionTypeCode	1 character long, where R = Replace Delete	e, X = Mass R
Fields returned when an Air Pollutant tran	saction is rejected:	
<submissionrejectedkey></submissionrejectedkey>		
<airpollutantsidentifier></airpollutantsidentifier>		
AirFacilityIdentifier	18 characters long	AZ001000000AA00789
AirPollutantCode	10 characters long	3945086787
SubmissionTransactionTypeCode	1 character long, where R = Replace Delete	e, X = Mass R
ields returned when an Air DA Complian	ce Monitoring transaction is rejecte	ed:
<submissionrejectedkey></submissionrejectedkey>		
AirDAComplianceMonitoringIdentifier/>		
ComplianceMonitoringIdentifier	7 to 25 characters long	AZ001A000000000000AA00
SubmissionTransactionTypeCode	1 character long, where R = Replace Delete	e, X = Mass R
rields returned when an Air TVACC trans	action is rejected:	
SubmissionRejectedKey/>		
AirTVACCIdentifier/>		
ComplianceMonitoringIdentifier	7 to 25 characters long	AZ001A000000000000AA00 89
SubmissionTransactionTypeCode	1 character long, where R = Replace Delete	e, X = Mass R
rields returned when a Federal Complian	ce Monitoring transaction is rejected	d:
SubmissionRejectedKey/>		
FederalComplianceMonitoringRecordId		
ComplianceMonitoringIdentifier	7 to 25 characters long	AZ001F0000000000000AA00
SubmissionTransactionTypeCode	1 character long, where R = Replace Delete	e, X = Mass R
rields returned when a Compliance Moni	oring Strategy transaction is rejected	ed:
SubmissionRejectedKey/>		
AirComplianceMonitoringStrategyIdent fier/>		
AirFacilityIdentifier	18 characters long	AZ001A00000AA00789
	1 character long, where R = Replace	

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XML Tag Name		Characteristics	Example Value
<submissionacceptedkey></submissionacceptedkey>			
AirDAFormalEnforcementActionIdentifi			
er/> AirDAEnforcementActionIdentifier		7 to 25 characters long	AZ001F0000000000000AA007 89
SubmissionTransactionTypeCode		1 character long, where R = Replace, X = Mass Delete	
Fields returned when a Delegated Agenc	yЕ	nforcement Action Milestone transaction is a	accepted:
SubmissionAcceptedKey/>			
AirDAEnforcementActionMilestonelden ifier/>			
AirDAEnforcementActionIdentifier		7 to 25 characters long	AZ001F0000000000000AA007 89
MilestoneTypeCode		1 to 5 characters long	ACLSJ
SubmissionTransactionTypeCode		1 character long, where R = Replace	R
Fields returned when a Delegated Agend	y F	ormal Enforcement Action transaction is rej	ected:
<submissionrejectedkey></submissionrejectedkey>			
			
AirDAEnforcementActionIdentifier		7 to 25 characters long	AZ001F0000000000000AA007 89
SubmissionTransactionTypeCode		1 character long, where R = Replace, X = Mass Delete	R
Fields returned when a Delegated Agend	y E	Inforcement Action Milestone transaction is	rejected:
<submissionrejectedkey></submissionrejectedkey>			
<airdaformalenforcementactionidentif ier/></airdaformalenforcementactionidentif 			
AirDAEnforcementActionIdentifier		7 to 25 characters long	AZ001F0000000000000AA007 89
MilestoneTypeCode		1 to 5 characters long	ACLSJ
SubmissionTransactionTypeCode		1 character long, where R = Replace	R
Fields returned when a Delegated Agend	y lı	nformal Enforcement Action transaction is re	ejected:
<submissionrejectedkey></submissionrejectedkey>			
<airdainformalenforcementactionident ifier=""></airdainformalenforcementactionident>			
AirDAEnforcementActionIdentifier		3	AZ001F0000000000000AA007 89
SubmissionTransactionTypeCode		Mass Delete	R
Fields returned when a Delegated Agend	y C	case File transaction is rejected:	
<submissionrejectedkey></submissionrejectedkey>			
<airdacasefileidentifier></airdacasefileidentifier>			
CaseFileIdentifier			AZ001F0000000000000AA007 89
SubmissionTransactionTypeCode		1 character long, where R = Replace, X = Mass Delete	R
Fields returned when a Delegated Agend	у Е	Inforcement Action Linkage transaction is re	jected:
<submissionacceptedkey></submissionacceptedkey>			
AirDAEnforcementActionLinkageIdent ifier/>			

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XML Tag Name		Characteristics	Example Value
AirDAEnforcementActionIdentifier		7 to 25 characters long	AZ001F0000000000000AA007 89
SubmissionTransactionTypeCode		1 character long, where R = Replace, X = Mass Delete	R
Fields returned when a Case File Linkage	tra	ansaction is rejected:	
<submissionacceptedkey></submissionacceptedkey>			
<casefilelinkageidentifier></casefilelinkageidentifier>			
CaseFileIdentifier		7 to 25 characters long	AZ001F0000000000000AA007 89
SubmissionTransactionTypeCode		1 character long, where R = Replace, X = Mass Delete	R
Fields returned when a Compliance Moni	tor	ing Linkage transaction is rejected:	
<submissionacceptedkey></submissionacceptedkey>			
<compliancemonitoringlinkageidentifie r=""></compliancemonitoringlinkageidentifie>			
ComplianceMonitoringIdentifier		7 to 25 characters long	AZ001F0000000000000AA007 89
SubmissionTransactionTypeCode		1 character long, where R = Replace, X = Mass Delete	R
<errorreport></errorreport>			
ErrorCode		5-7 characters long	BP170
ErrorTypeCode		"Error"	Error
ErrorDescription		1-4000 characters long	Receiving Permit Identifier must be entered because Permit Type Code is IIU.

Table 7-4 - XML Tags Contained in the Rejected Transaction Results XML

7.2.4 Transaction Summary Results XML

The Transaction Summary Results XML provides information about all transactions that were submitted in the batch. The report is sorted in the following order: User ID and then Submission Type. The Transaction Summary Report provides the total number of transactions accepted, total number of transactions rejected, and the percentage of transactions accepted at the submission level. At the batch level, the Transaction Summary Report provides the total number of submissions and the total percentage of transactions accepted for the entire batch. Figure 7-7 shows an example of a Transaction Summary Results XML. Note that tags in bold are mandatory, tags in green may be repeated and tags in blue are mandatory only if their parent tag is present.

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```
| Commence | Part | Commence | Part |
```

Figure 7-7 - Transaction Summary Results XML

Because CDX's schema validation step will reject an XML submission file that does not contain transactions, ICIS should always generate the Transaction Summary Results XML with all of the tags shown in the example above.

Table 7-5 lists the tags that are included in the Transaction Summary Results XML and provides examples of data that may be included in the tag. The XML Tag Name column lists the tag and parent tag for each group of data sent to the user. Parent tags are listed in bold. The Characteristics column lists the type of data element and size or allowable contents. The Example Value column lists a sample value for the data tag in the Rejected Transaction Results XML.

The first group of tags in the table contains global tags that are included in all Transaction Summary XML Response files. The next set of tags groups all submissions made by the same User ID. Following User ID is Submission Type which is used to group all transactions for the same Submission Type. All subsequent groups listed in the table are the tags that are returned for Accepted or Rejected transactions for the batch XML submission. Note that the Transaction Summary Report in the PDF file returned by ICIS-Air shows the batch total transactions for one submission, while the XML Transaction Summary Report provides the batch total transactions for one submitting party at a time.

XML Tag Name Fields returned with each result XML do	rum	Characteristics	Example Value		
<submissionresponse></submissionresponse>					
TransactionIdentifier (identifier returned to user from CDX after the batch submission)		1-40 characters long	asdf-1234-sefa-1234		

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XML Tag Name		Characteristics	Example Value
SubmissionDate (date of XML Submission)		Date in yyyy-mm-dd format	2010-08-13
ProcessedDate (date the batch was processed)		Date in yyyy-mm-dd format	2010-08-13
Fields returned for each User ID submitt	ed:		
<submittingparty></submittingparty>			
UserID		3-30 characters long. This is the same as the ICIS ID provided in the XML submission file's <id> tag.</id>	ABC
Electronic Data TransferTotalTransactions		Integer between 0 and 999999	12
Electronic Data TransferTotalSubmissions		Integer between 0 and 999999	12
Electronic Data TransferTotalPercentTransactionsAccepte d		Number between 0 and 100 with 2 decimal places	50.00
Fields returned for each Submission Typ	oe s	ubmitted:	
<submissiontype></submissiontype>			
SubmissionTypeName		1-50 characters long, where choices are:	AirFacility
Fields returned for each Transaction Typ	oe s	submitted:	
<submissionsummary></submissionsummary>			
<transactiontypetotals></transactiontypetotals>			
SubmissionTransactionTypeCode		1 character long, where R = Replace, X = Mass Delete	R
TotalAcceptedTransactions		Integer between 0 and 999999	1
TotalRejectedTransactions		Integer between 0 and 999999	1
Fields returned for all Transaction Types	s su	bmitted:	
TotalTransactions		Integer between 0 and 999999	6
PercentTransactionsAccepted	Number between 0 and 100 with 2 decimal places		50.00
TotalSubmissions		Integer between 0 and 999999	6

Table 7-5 - XML Tags Contained in the Transaction Summary Results XML $\,$

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8 DATA MAPPING AND RULES

This section contains mapping of ICIS data families into corresponding AFS fields and explains special rules ICIS-Air Electronic Data Transfer will follow when processing data. Each mapping table provides all of the tags possible within an XML file, their AFS counterparts where applicable, the name of the ICIS code table, and explanations of how ICIS will handle the data when extracting and processing it. XML tag name definitions, characteristics and mandatory designations in the mapping tables can be found in the ICIS-Air XML Data Exchange Template.

8.1 AIR FACILITY MAPPING AND RULES

8.1.1 Air Facility Mapping

(Rows Highlighted in Yellow are MDRs as of 8-6-2014)

		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
AirFacilityIdentifier	Facility State,		Unique identifier for an air facility.	Format is:
	Facility County,		(Variable length 18 alphanumeric	Two character state postal code or
	LCON ID, CDS		field)	tribal code+ ICIS LCON Code or
	Plant ID			'000'+ "000" + AFS FIPS State
				Number+AFS FIPS County
				Number+AFS CDS PLANT ID,
				Or
				Two character state postal code or
				tribal code+ ICIS LCON Code or
				'000'+ a unique state, tribe or local
				agency specific ID (the entire string
				cannot exceed 18 characters long).
FacilitySiteName	Plant Name		The name of the air facility.	Same as AFS.
			(Variable length 80 character field)	
LocationAddressText	Plant Street		First line of the physical location	Same as AFS.
	Address		address or description for the air	

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
			facility. (Variable length 50 character field)	
SupplementalLocationText	N/A		Second line of the physical location address or description for the air facility. (Variable length 50 character field)	
LocationAddressCityCode	City Code	Ref_city	GNIS-based city code of the physical location city name and FIPS county for the air facility. (Variable length 12 alphanumeric field)	Similar to AFS but codes may have been added, changed or removed. Use codes with a STATUS_FLAG of "A". Must either provide LocationAddressCityCode alone, or must provide LocalityName with LocationAddressCountyCode.
LocalityName	City Name		The name of the city where the air facility is physically located. (Variable length 60 character field)	Must either provide LocationAddressCityCode alone, or must provide LocalityName with LocationAddressCountyCode.
LocationAddressCountyCode	FIPS County Code	Ref_county	The 2 character state postal code + 3 digit FIPS county code where the air facility is physically located. (Fixed 5 alphanumeric field)	Must either provide LocationAddressCityCode alone, or must provide LocalityName with LocationAddressCountyCode.
LocationStateCode	Plant State Code	Ref_state	The 2 character state postal code where the air facility is physically located. (Fixed 2 character field)	Similar to AFS but codes may have been added, changed or removed. Use codes with a USAGE_INDICATOR of "A" or "B" and a STATUS_FLAG of "A".
LocationZipCode	Plant Zip Code		The zip code where the air facility is physically located. (Variable length 14 alphanumeric field)	Same as AFS.
LCONCode	Local Control Region	Ref_air_lcon	Code indicating the Local air agency responsible for monitoring	Use for Local Agency records only. Similar to AFS but codes may have been added, changed or removed.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
			the activities of the air facility. (Fixed 3 character field)	Use codes with a STATUS_FLAG of "A".
TribalLandCode	Local Control Region	Ref_tribal_land	Code indicating the tribal land the air facility is located on. (Fixed 4 character field)	Similar to AFS but codes may have been added, changed or removed. Use codes with a STATUS_FLAG of "A".
FacilityDescription	N/A		Detailed description of the air facility. (Variable length 250 character field)	
FacilityTypeOfOwnershipCode	Governmental Facility Code	Ref_facility_type	Code indicating if the air facility owned by a governmental entity or by a private entity. (Fixed 3 character field)	Similar to AFS but codes may have been added, changed or removed. Use codes with a STATUS_FLAG of "A".
RegistrationNumber	State Registration Number		State or Local identifier for the air facility. (Variable length 15 character field)	Same as AFS.
SmallBusinessIndicator	N/A		Flag that indicates if the air facility meets the requirements of the EPA Small Business policy. (Fixed 1 character field)	Y or N. If not provided it is defaulted to N.
FederallReportableIndicator	N/A		Flag that indicates if the air facility is a Federal Facility. (Fixed 1 character field)	
SourceUniform ResourceLocatorURL	N/A		Web site address where the physical air facility record information is posted on the Internet. (Variable length 1000 character field)	
EnvironmentalJusticeCode	N/A		Code identifying the type of Environmental Justice Concern affecting the facility. (Fixed 3 character field)	Use codes with a STATUS_FLAG of "A".

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
FacilityCongressionalDistrict Number	N/A		The number of the Congressional District the air facility is located within. (Fixed 2 digit field)	
FacilityUserDefinedField1	N/A		Field for State or Local agency use. (Variable length 30 character field)	
FacilityUserDefinedField2	N/A		Field for State or Local agency use. (Variable length 30 character field)	
FacilityUserDefinedField3	N/A		Field for State or Local agency use. (Variable length 30 character field)	
FacilityUserDefinedField4	N/A		Field for State or Local agency use. (Variable length 30 character field)	
FacilityUserDefinedField5	N/A		Field for State or Local agency use. (Variable length 30 character field)	
FacilityComments	Plant Comments 1 through 4		State or Local agency comments regarding the air facility. (Variable length 4000 character field)	Up to 4000 characters may be submitted.
UniverseIndicatorCode	N/A		XREF_Fac_Int_Univ_Indicator.Fa c_Universe_Indicator AND XREF_FRS_Site_Univ_indicator. Fac_Universe_Indicator	Use codes with a STATUS_FLAG of "A".
SICCode	Primary, Secondary, Tertiary SIC Code	Ref_sic	Standard Industrial Classification Code that describes the activities at the air facility. (Fixed 4 digit field)	Similar to AFS but codes may have been added, changed or removed. Use codes with a STATUS_FLAG of "A".
SICPrimaryIndicatorCode	Primary, Secondary, Tertiary SIC Code		Flag that indicates if the SIC Code is the primary activity at the air facility. (Fixed 1 character field)	There can only be one primary SIC code, so if one SIC is submitted use "Y"; if multiple SICs are submitted

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
				mark the primary one as "Y" and mark all others "N".
NAICSCode	NAICS Code	Ref_naics	North American Industry Classification Code that describes the activities at the air facility. (Fixed 6 digit field)	Same as AFS but codes may have been added, changed or removed. Use codes with a STATUS_FLAG of "A".
NAICSPrimaryIndicatorCode	N/A		Flag that indicates if the NAICS Code is the primary activity at the air facility. (Fixed 1 character field)	There can only be one primary NAICS code, so if one NAICS is submitted use "Y"; if multiple NAICS are submitted mark the primary one as "Y" and mark all others "N".
LatitudeMeasure	Latitude		The measure of the angular distance East/West of the prime meridian for the air facility's physical location. (Variable length 11 floating decimal field)	Same as AFS but must be in decimal degree format.
LongitudeMeasure	Longitude		The measure of the angular distance North/South of the prime meridian for the air facility's physical location. (Variable length 10 floating decimal)	Same as AFS but must be in decimal degree format.
HorizontalAccuracyMeasure	N/A		Measure of the accuracy in meters of the latitude and longitude coordinates for the air facility. (Variable length 6 digit field)	
GeometricTypeCode	N/A	Ref_geometric_t ype	Code that refers to the name of the geometric entity represented by one point or a sequence of latitude and longitude points for the air facility. (Fixed 1 digit field)	Use codes with a STATUS_FLAG of "A".
HorizontalCollectionMethod Code	N/A	Ref_horizontal_c ollect_method	Code that refers to the method used to determine the latitude and	Use codes with a STATUS_FLAG of "A".

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
			longitude for the air facility. (Variable length 2 digit field)	
HorizontalReferenceDatumC ode	N/A	Ref_horizontal_r ef_datum	Code that refers to the reference datum used to determine the latitude and longitude for the air facility. (Fixed 1 digit field)	Use codes with a STATUS_FLAG of "A".
ReferencePointCode	N/A	Ref_reference_p oint	Code that refers to the place for which the geographic coordinates for the air facility were established. (Fixed 3 digit field)	Use codes with a STATUS_FLAG of "A".
SourceMapScaleNumber	N/A		Number that represents the proportional distance on the ground for one unit of measure on the map or photo which the geographic coordinates for the air facility were established. (Variable length 10 digit field)	
UTMCoordinate1	UTM Horizontal Coordinates		Universal Transverse Mercator Horizontal Coordinate for the physical location of the air facility. (Variable length 20 character field)	Same as AFS.
UTMCoordinate2	UTM Vertical Coordinates		Universal Transverse Mercator Vertical Coordinate for the physical location of the air facility. (Variable length 20 character field)	Same as AFS.
UTMCoordinate3	UTM Zone		Universal Transverse Mercator Zone for the physical location of the air facility. (Variable length 20 character field)	Same as AFS.
PortableSourceIndicator	County Code of "777"		Flag that indicates if the air facility meets the requirements of being a portable source. (Fixed 1 character field)	If not provided ICIS will default this to N. Set to Y to mark as a Portable Source or if migrated using AFS record's County Code = 777

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
PortableSourceSiteName	Plant Name		The public or commercial name of a portable source air facility site, such as the name that appears on an invoice. (Variable length 80 character field)	Same as AFS.
PortableSourceStartDate	N/A		The date the air facility was determined to be a portable source. (Date field)	If not provided during submission it is defaulted to the date the portable source is submitted. Format is ccyymm-dd.
PortableSourceEndDate	N/A		The date the portable source activities ended at the air facility. (Date field)	Format is ccyy-mm-dd.
AffiliationTypeText	N/A	Ref_affiliation_t ype	Code that represents the type of non-governmental contact for the air facility. (Fixed 3 character field)	In ICIS, contacts are assigned their own set of affiliation type codes to choose from. Electronic Data Transfer states must use Affiliation Type Codes where Ref_Affiliation_type.Affiliation_Cat ogory = "Non-Government" and its Affiliation_Type_Code is in Xref_Affiliation_Module with an App_Module_Code of "FAC". Use codes with a STATUS_FLAG of "A".
FirstName	Compliance Contact First Name		The first name of the contact person for the air facility. (Variable length 30 character field)	Same as AFS.
MiddleName	N/A		The middle name or initial of the contact person for the air facility. (Variable length 10 character field)	
LastName	Compliance Contact First Name		The surname of the contact person for the air facility. (Variable length 30 character field)	Same as AFS.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
IndividualTitleText	N/A		The organizational title representing the contact person for the air facility. (Variable length 40 character field)	
OrganizationFormalName	N/A		The legal, formal name of the organization that the contact person for the air facility is affiliated with. (Variable length 80 character field)	
StateCode	Plant State	Ref_state	The postal code for the state the contact person for the air facility is located in. (Fixed 2 character field)	Use codes with a USAGE_INDICATOR of "A" or "B" and a STATUS_FLAG of "A".
RegionCode	N/A	Ref_region	Code that refers to the EPA region the contact person for the air facility is located within. (Fixed 2 digit field)	
TelephoneNumberTypeCode	N/A	Ref_phone_type	Code that refers to the type of telephone number for the contact person for the air facility. (Fixed 3 character field)	AFS-based systems should use "OFF". Use codes with a STATUS_FLAG of "A".
TelephoneNumber	N/A		Telephone number of the contact person for the air facility. (Variable length 15 digit field)	
TelephoneExtensionNumber	N/A		Office telephone extension number of the contact person for the air facility. (Variable length 15 character field)	Only provide when Telephone Number Type Code contains "OFF"
ElectronicAddressText	N/A		Email address of the contact person for the air facility. (Variable length 100 character field)	
StartDateOfContactAssociati on	N/A		The date the contact person was reported as being associated with the air facility. (Date field)	Format is ccyy-mm-dd.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
EndDateOfContactAssociatio n	N/A		The date the contact person was reported as no longer being associated with the air facility. (Date field)	Format is ccyy-mm-dd.
AffiliationTypeText	N/A	Ref_affiliation_t ype	Code that represents the type of non-governmental address for the air facility. (Fixed 3 character field)	In ICIS, addresses are assigned their own set of affiliation type codes to choose from. Electronic Data Transfer states must use Affiliation Type Codes where Ref_Affiliation_type.Affiliation_Cat ogory = "Non-Government" and its Affiliation_Type_Code is in Xref_Affiliation_Module with an App_Module_Code of "FAC". Use codes with a STATUS_FLAG of "A".
OrganizationDUNSNumber	Dun Bradstreet Number		The unique Dun & Bradstreet Data Universal Numbering System identifier for the organization that the contact person for the air facility is affiliated with. (Fixed 9 digit field)	Same as AFS.
MailingAddressText	Plant Mailing Street Address		First line of the street address or Post Office box for the air facility. (Variable length 50 alphanumeric)	Same as AFS.
SupplementalAddressText	N/A		Second line of the street address or Post Office box for the air facility. (Variable length 50 alphanumeric)	
MailingAddressCityName	Plant Mailing City		The name of the city where the street address or Post Office box for the air facility is located. (Variable length 30 alphanumeric)	Same as AFS.
MailingAddressStateCode	Plant State	Ref_state	The postal code for the state where the street address or Post Office	Same as AFS but codes may have been added, changed or removed.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
			box for the air facility is located.	
			(Fixed 2 character field)	
MailingAddressZipCode	N/A		The zip code where the street	
			address or Post Office box for the	
			air facility is located. (Variable	
			length 14 alphanumeric field)	
CountyName	N/A		The name of the county where the	
			street address or Post Office box	
			for the air facility is located.	
			(Variable length 14 alphanumeric	
			field)	
MailingAddressCountryCode	N/A	Ref_country	Code that represents the country	
,			where the street address of Post	
			Office box for the air facility is	
			located. (Fixed 3 character field)	
DivisionName	N/A		Name of the Division for the	
			organization within the air facility.	
			(Variable length 50 character field)	
LocationProvince	N/A		The province where the street	
			address of Post Office box for the	
			air facility is located. (Variable	
			length 35 character field)	
TelephoneNumberTypeCode	N/A	Ref_phone_type	Code that refers to the type of	AFS-based systems should use
			telephone number for the Division	"OFF". Use codes with a
			for the organization within the air	STATUS_FLAG of "A".
			facility. (Fixed 3 character field)	_
TelephoneNumber	N/A		Telephone number of the contact	
_			person for the Division for the	
			organization within air facility.	
			(Variable length 15 digit field)	
TelephoneExtensionNumber	N/A		Office telephone extension number	Only provide when Telephone
			of the Division for the organization	Number Type Code contains "OFF"
			within the air facility. (Variable	
			length 15 character field)	

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
ElectronicAddressText	N/A		Email address of the Division for	
			the organization within air facility.	
			(Variable length 100 character	
			field)	
StartDateOfAddressAssociati	N/A		The date the address was reported	Format is ccyy-mm-dd.
on			as being associated with the air	
			facility. (Date field)	
EndDateOfAddressAssociatio	N/A		The date the address was reported	Format is ccyy-mm-dd.
n			as no longer being associated with	
			the air facility. (Date field)	

8.1.2 Rules for Parsing Air Facility XML Files

A summary of rules for processing Air Facility data is provided in this section. Detailed explanations of these rules with examples can be found in the ICIS Air Facility Technical Specification document.

OVERALL

- ➤ ICIS reference tables have codes that are either Active or Inactive. Inactive codes were migrated from legacy data but the code is not being used anymore and cannot be selected when adding a new code or changing an existing code in ICIS. Active codes were both migrated from legacy data and newly created codes for ICIS and can be selected when adding a new code or changing an existing code in ICIS.
- Mass Deletes are applied before Replace transactions.
- Refer to the and the ICIS-Air Electronic Data Transfer User Guide for details on the ICIS-Air submission process, the ICIS-Air Example XML Instance Document for instructions on the format of the XML submission files, the ICIS-Air Facility EDT Technical Specifications for specific details on the rules ICIS-Air uses for processing the data being submitted, the ICIS-Air XML Data Exchange Template for formatting and characteristic details on the XML tags, and Chapter 9 of this document for submission error messages.

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REPLACE

- ➤ If the Air Facility record does not exist in ICIS-Air, the record will be added to ICIS-Air and populated with only the data provided in the tags of the replace transaction.
- A new Facility record will be added along with its child SIC, NAICS, facility contact and facility address records.
- ➤ New Facilities must have at least one NAICS code.
- ➤ If a latitude is provided the longitude must be provided.
- > If a longitude is provided the latitude must be provided.
- A replace transaction for an Air Facility record that already exists in ICIS-Air can only be applied if it has all mandatory tags plus at least one optional tag populated. Only the tags that are present in the transaction will be saved to their corresponding fields in ICIS-Air. Tags not present in the transaction will have their corresponding fields in ICIS-Air blanked out.
- > To blank out a non-mandatory field that is currently populated in ICIS-Air, either submit the tag with one asterisk in it or omit its tag from the submission altogether. If an asterisk is used in a tag to blank out a non-mandatory field in that is currently blank in ICIS, it will be ignored.
- ➤ Once a Facility record has been created in ICIS its LCON code cannot be changed.
- ➤ If a latitude is provided the longitude must either be provided or already exist in the ICIS record.
- ➤ If a longitude is provided the latitude must either be provided or already exist in the ICIS record.
- Multi-value tags must have all possible values submitted for them (e.g., all Facility contacts) instead of the one that changed in order to avoid removing values unnessarily (refer to Section 3.5.4.1 for details on multi-value tags).

MASS DELETES

- ➤ If a Mass Delete transaction for a Facility has any other data tags along with the AirFacilityIdentifier, those extra tags will be ignored.
- A Mass Delete transaction will remove the Facility record and its Pollutant and Program records from ICIS.
- A Facility will not be deleted if one child Compliance Monitoring Strategy record exists for the Air Facility, or if there are specific associated Federal or Delegated Agency (DA) records (i.e. Compliance Monitoring Activities, Enforcement Actions, Voluntary Disclosures, ADRs, Incidents, Compliance Assistance Activities, or Compliance Determinations/Alleged Violation File) for the Facility.

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8.2 AIR PROGRAM MAPPING AND RULES

8.2.1 Air Program Mapping

(Rows Highlighted in Yellow are MDRs as of 8-6-2014)

	(AE)	ICIS Code	Tenow are MIDKs as of 6-0-2014)	
YMI Tag Nama	AFS Counterpart	Table	ICIS Column	Comments
XML Tag Name AirFacilityIdentifier	AFS Counterpart Facility State, Facility County, LCON ID, CDS Plant ID	Table	Unique identifier for an air facility. (Variable length 18 alphanumeric field)	Format is: Two character state postal code or tribal code+ ICIS LCON Code or '000'+ "000" + AFS FIPS State Number+AFS FIPS County Number+AFS CDS_PLANT_ID, Or Two character state postal code or tribal code+ ICIS LCON Code or '000'+ a unique state, tribe or local agency specific ID (the entire string
AirProgramCode	Air Program Code	Ref_program	Code that represents an Air Program for the air facility. (Variable length 9 character field)	cannot exceed 18 characters long). Similar to AFS but codes may have been added, changed or removed. Uses codes with PROGRAM_CATEGORY_CODE of "AIR" and a STATUS_FLAG of "A".
AirProgramDescriptionText	N/A		Description of an air program that is Federally Enforceable. (Variable length 100 character field)	Must be provided if AirProgramCode contains "CAAFENF".
AirProgramOperatingStatusCode	Air Program Status	Ref_air_program _operating_statu s	Code that represents the operating status of the air facility. (Fixed 3 character field)	Similar to AFS but codes may have been added, changed or removed. Multiple statuses may exist in ICIS, but at least one operating status must

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
				always exist in ICIS. Use codes with a STATUS_FLAG of "A".
AirProgramOperatingStatusSt artDate	N/A		Date the operating status of the air facility began or was determined. (Date field)	If not provided during submission it is defaulted to the date the status is submitted to ICIS-Air. Format is ccyy-mm-dd.
AirProgramSubpartCode	Subpart	Ref_air_program _subpart	Code that represents the subpart for a NESHAP, NSPS, MACT, SIP, FIP or GHG air program. (Variable length 20 character field)	Similar to AFS but codes may have been added, changed or removed. Use codes with a STATUS_FLAG of "A". Air Programs for NESHAP, NSPS and MACT must have one or more Subparts. Air Programs for SIP, FIP and GHG can have one or more Subparts. All other Air Programs are not allowed to have a Subpart.
AirProgramSubpartStatusIndi cator	N/A		Flag that indicates whether a subpart is active or inactive. (Fixed 1 character field)	Must be "A" for Active or "I" for inactive.

8.2.2 Rules for Parsing Air Program XML Files

A summary of rules for processing Air Program data is provided in this section. Detailed explanations of these rules with examples can be found in the ICIS Air Program Technical Specification document.

OVERALL

➤ ICIS reference tables have codes that are either Active or Inactive. Inactive codes were migrated from legacy data but the code is not being used anymore and cannot be selected when adding a new code or changing an existing code in ICIS. Active codes were both migrated from legacy data and newly created codes for ICIS and can be selected when adding a new code or changing an existing code in ICIS.

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- Mass Deletes are applied before Replace transactions.
- Refer to the and the ICIS-Air Electronic Data Transfer User Guide for details on the ICIS-Air submission process, the ICIS-Air Example XML Instance Document for instructions on the format of the XML submission files, the ICIS-Air Air Program EDT Technical Specifications for specific details on the rules ICIS-Air uses for processing the data being submitted, the ICIS-Air XML Data Exchange Template for formatting and characteristic details on the XML tags, and Chapter 9 of this document for submission error messages.

REPLACE

- ➤ If the Air Program record does not exist in ICIS-Air, the record will be added to ICIS-Air and populated with only the data provided in the tags of the replace transaction.
- ➤ A new Air Program record will be added along with any of its child Subpart records.
- A replace transaction for an Air Program record that already exists in ICIS-Air can only be applied if it has all mandatory tags plus at least one optional tag populated. Only the tags that are present in the transaction will be saved to their corresponding fields in ICIS-Air. Tags not present in the transaction will have their corresponding fields in ICIS-Air blanked out.
- Air Programs for NESHAP, NSPS and MACT must have one or more Subparts. Air Programs for SIP, FIP and GHG can have one or more Subparts. All other Air Programs are not allowed to have a Subpart.
- All Air Programs must have a current Operating Status in ICIS-Air. To create or change an Operating Status for an Air Program, provide an Operating Status Code with an Operating Status Start Date that is more recent than the operating status start date that is currently in ICIS-Air. To remove the current operating status and return to the previous operating status, submit one asterisk (*) as the Operating Status Code. To leave an existing Air Program's current Operating Status alone, do not submit the AirProgramOperatingStatusData tag.
- > To blank out a non-mandatory field that is currently populated in ICIS-Air, either submit the tag with one asterisk in it or omit its tag from the submission altogether. If an asterisk is used in a tag to blank out a non-mandatory field in that is currently blank in ICIS, it will be ignored.
- Multi-value tags must have all possible values submitted for them (e.g., all Subparts) instead of the one that changed in order to avoid removing values unnessarily (refer to Section 3.5.4.1 for details on multi-value tags).

MASS DELETES

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- ➤ If a Mass Delete transaction for an Air Program has any other data tags along with the AirFacilityIdentifier and AirProgramCode, those extra tags will be ignored.
- ➤ A Mass Delete transaction will remove the Air Program record and its Subpart records from ICIS.
- An Air Program will not be deleted if it is the only Air Program for its Facility.

8.3 AIR POLLUTANT MAPPING AND RULES

8.3.1 Air Pollutant Mapping

(Rows Highlighted in Yellow are MDRs as of 8-6-2014)

		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
AirFacilityIdentifier	Facility State,		Unique identifier for an air facility.	Format is:
	Facility County,		(Variable length 18 alphanumeric	Two character state postal code or
	LCON ID, CDS		field)	tribal code+ ICIS LCON Code or
	Plant ID			'000'+ "000" + AFS FIPS State
				Number+AFS FIPS County
				Number+AFS CDS_PLANT_ID,
				Or
				Two character state postal code or
				tribal code+ ICIS LCON Code or
				'000'+ a unique state, tribe or local
				agency specific ID (the entire string
				cannot exceed 18 characters long).
AirPollutantsCode	Pollutant Code	Ref_pollutant	Code that represents a pollutant	Similar to AFS but codes may have
	1 ond and Code		that is or was being monitored by	been added, changed or removed.
			an air facility. (Variable length 10	Use codes with a
			digit field)	POLLUTANT_CATEGORY_CODE
				of "AIR" and a STATUS FLAG of
				"A".

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
AirPollutantStatusIndicator	N/A		Flag that indicates whether the	Must be "A" for Active or "I" for
			pollutant is currently being	inactive. If not provided it will be
			monitored by the air facility.	defaulted to A.
			(Fixed 1 character)	
AirPollutantEPAClassificatio	EPA Pollutant	Ref_air_pollutan	Code that refers to the EPA HQ or	Similar to AFS but codes may have
nCode	Classification	t_class	Regional classification for the	been added, changed or removed.
			pollutant that is or was being	Use codes with a STATUS_FLAG of
			monitored by an air facility. (Fixed	"A". DAs cannot submit or delete
			3 character field)	EPA classifications from ICIS-Air.
AirPollutantEPAClassificatio	N/A		The date the classification was	If not provided during submission it
nStartDate			assigned to the pollutant by EPA.	is defaulted to the date the status is
			(Date field)	submitted. Format is ccyy-mm-dd.
AirPollutantDAClassification	State Pollutant	Ref_air_pollutan	Code that refers to the State or	Similar to AFS but codes may have
Code	Classification	t_class	Local air agency's classification	been added, changed or removed.
			for the pollutant that is or was	Use codes with a STATUS_FLAG of
			being monitored by an air facility.	"A".
			(Fixed 3 character field)	
AirPollutantDAClassification	N/A		The date the classification was	If not provided during submission it
StartDate			assigned to the pollutant by the	is defaulted to the date the status is
			State or Local air agency. (Date	submitted. Format is ccyy-mm-dd.
			field)	

8.3.2 Rules for Parsing Air Pollutant XML Files

A summary of rules for processing Air Pollutant data is provided in this section. Detailed explanations of these rules with examples can be found in the ICIS Air Pollutant Technical Specification document.

OVERALL

> ICIS reference tables have codes that are either Active or Inactive. Inactive codes were migrated from legacy data but the code is not being used anymore and cannot be selected when adding a new code or changing an existing code in ICIS. Active codes

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- were both migrated from legacy data and newly created codes for ICIS and can be selected when adding a new code or changing an existing code in ICIS.
- ➤ Mass Deletes are applied before Replace transactions.
- ➤ Refer to the and the ICIS-Air Electronic Data Transfer User Guide for details on the ICIS-Air submission process, the ICIS-Air Example XML Instance Document for instructions on the format of the XML submission files, the ICIS-Air Pollutant EDT Technical Specifications for specific details on the rules ICIS-Air uses for processing the data being submitted, the ICIS-Air XML Data Exchange Template for formatting and characteristic details on the XML tags, and Chapter 9 of this document for submission error messages.

REPLACE

- ➤ If the Air Pollutant record does not exist in ICIS-Air, the record will be added to ICIS-Air and populated with only the data provided in the tags of the replace transaction.
- A new Air Pollutant record will be added along with its child Classification records.
- A replace transaction for an Air Pollutant record that already exists in ICIS-Air can only be applied if it has all mandatory tags plus at least one optional tag populated. Only the tags that are present in the transaction will be saved to their corresponding fields in ICIS-Air. Tags not present in the transaction will have their corresponding fields in ICIS-Air blanked out.
- All Pollutants must have a current DA Classification in ICIS-Air. To create or change a DA Classification for an Air Pollutant, provide a DA Classification Code with a Classification Start Date that is more recent than the operating status start date that is currently in ICIS-Air. To remove the current DA classification and return to the previous DA classification, submit one asterisk (*) as the Classification Code. To leave an existing Air Pollutant's current DA Classification Status alone, do not submit the AirPollutantDAClassificationData tag.
- A replace transaction for a DA user can only contain the AirPollutantDAClassificationData parent tag for an Air Pollutant's Classification, which will not affect any existing EPA Classification data for that Air Pollutant.
- A replace transaction for an EPA user can contain either the AirPollutantDAClassificationData parent tag or the AirPollutantEPAClassificationData parent tag. If the AirPollutantDAClassificationData parent tag is provided the current EPA Classification data for that Air Pollutant will not be affected. If the AirPollutantEPAClassificationData parent tag is provided the current DA Classification data for that Air Pollutant will not be affected.
- > To blank out a non-mandatory field that is currently populated in ICIS-Air, either submit the tag with one asterisk in it or omit its tag from the submission altogether. If an asterisk is used in a tag to blank out a non-mandatory field in that is currently blank in ICIS, it will be ignored.

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MASS DELETES

- ➤ If a Mass Delete transaction for an Air Pollutant has any other data tags along with the AirFacilityIdentifier and AirPollutantCode, those extra tags will be ignored.
- ➤ A Mass Delete transaction will remove the Air Pollutant record and its Category records from ICIS.
- An Air Pollutant will not be deleted if it is the only Air Pollutant for its Facility, and DAs cannot delete an Air Pollutant if it has an EPA Classification Code.

8.4 DELEGATED AGENCY COMPLIANCE MONITORING MAPPING AND RULES

8.4.1 Delegated Agency Compliance Monitoring Mapping

(Rows Highlighted in Yellow are MDRs as of 8-6-2014)

		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
Compliance Monitoring Identif	State Code, County		Unique identifier for a compliance	Two character state postal code or
<mark>ier</mark>	code, CDS Plant		monitoring activity at an air	tribal code+ICIS LCON Code or
	ID, Action Number		facility, such as an FCE, PCE, and	'000'+'A'+'0000'+AFS State
			stack test. (Variable length 25	Code+AFS County Code+AFS CDS
			alphanumeric field)	Plant ID+AFS Action Number
			IMPORTANT NOTE: Compliance	
			Monitoring XML submission files	<mark>Or</mark>
			should NOT include Title V	
			Annual Compliance Certification	Two character state postal code or
			data. Title V Annual Compliance	tribal code+ ICIS LCON Code or
			Certification data must be	'000'+ 'A'+ a unique state, tribe or
			submitted in its own TVACC	local agency specific ID.
			XML submission file. Be sure to	
			not use the same	

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
			ComplianceMonitoringIdentifier for a TVACC that you use for all other types of compliance monitoring activities.	The ComplianceMonitoringIdentifier is variable in length but cannot be more than 25 characters long.
ComplianceMonitoringActivityTypeCode	Region Code, Action Type	Ref_activity_typ e	Code that refers to the high level type of compliance monitoring activity. (Fixed 3 character field)	 Use one of the following 3 codes: INF = Information Request INS = Inspection/Evaluation INV = Compliance Investigation Must use INS if stack test data is also submitted.
ComplianceMonitoringDate	Date Action Achieved		The actual date that the compliance monitoring activity was completed on. (Date field)	Format is ccyy-mm-dd. For "Investigations Conducted", FCEs, PCEs including including Stack Tests use Date Action Achieved.
ComplianceMonitoringStartD ate	Date Action Achieved		The actual date that the compliance monitoring activity was started on. (Date field)	Format is ccyy-mm-dd. Use Date Action Achieved if action type is "Investigations Initiated".
ComplianceInspectionTypeC ode	N/A	Ref_comp_monit or_type	Code that represents the specific type of compliance monitoring activity performed. (Fixed 3 character field)	If Compliance Monitoring Activity Type Code is: 1) INS use any COMP_MONITOR_TYPE_CODE value in REF_ COMP_MONITOR_TYPE with an ACTIVITY_TYPE_CODE of INS and a STATUS_FLAG of A 2) INV use any COMP_MONITOR_TYPE_CODE value in REF_ COMP_MONITOR_TYPE with an ACTIVITY_TYPE_CODE of INV and a STATUS_FLAG of A 3) INF use any COMP_MONITOR_TYPE_CODE

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
V				value in REF_ COMP_MONITOR_TYPE with an ACTIVITY_TYPE_CODE of INF and a STATUS_FLAG of A Must use a Comp Monitor Type code that has its statute as "CAA" in Xref_Statute_Comp_Monitor_Type Must use a Comp Monitor Type code
ComplianceMonitoringActivi	Action Description		The name of the compliance	of CST if stack test data is being submitted. Same as AFS.
tyName			monitoring activity. (Variable length 100 character field)	
NationalPrioritiesCode	NationalAir Initiatives 1 through 10	Ref_priority	Code that refers to the priority for HQ EPA that prompted the initiation of the compliance monitoring activity. (Variable length 4 digit field)	Use codes with REGION_CODE containing "HQ", FISCAL_YEAR for the current fiscal year, and a STATUS_FLAG of "A".
MultimediaIndicator	N/A		Flag that indicates if the compliance monitoring activity involved media other than air, such as water, waste, etc. (Fixed 1 character field)	If not provided during submission it is defaulted to 'N'
ComplianceMonitoringPlann edStartDate	N/A		The date that the compliance monitoring activity was anticipated to start on. (Date field)	Format is ccyy-mm-dd.
ComplianceMonitoringPlann edEndDate	Date Action Scheduled		The date that the compliance monitoring activity was anticipated to be completed on. (Date field)	Format is ccyy-mm-dd.
RegionalPriorityCode	N/A	Ref_priority	Code that refers to the priority for your EPA Region that that prompted the initiation of the	Use codes with REGION_CODE containing the two digit number for the Region the Agency is in,

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	A TO G	ICIS Code	TOTA A I	
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
			compliance monitoring activity. (Variable length 4 digit field)	FISCAL_YEAR for the current fiscal year, and a STATUS FLAG of "A".
DeficienciesObservedIndicat or	N/A		Flag that indicates if one or more deficiencies were observed during the compliance monitoring activity. (Fixed 1 character field)	year, and a STATUS_FLAG OF A .
AirFacilityIdentifier	Facility State, Facility County, LCON ID, CDS Plant ID		Unique identifier for an air facility. (Variable length 18 alphanumeric field)	Format is: Two character state postal code or tribal code+ ICIS LCON Code or '000'+ "000" + AFS FIPS State Number+AFS FIPS County Number+AFS CDS_PLANT_ID, Or
				Two character state postal code or tribal code+ ICIS LCON Code or '000'+ a unique state, tribe or local agency specific ID (the entire string cannot exceed 18 characters long).
LeadAgencyCode	N/A	Ref_air_agency_ lead	Code that refers to the type of air agency that acted as the lead in the compliance monitoring activity. (Fixed 3 character field)	Use codes that have an ACTIVITY_GROUP_CODE of "CMM" and a STATUS_FLAG of "A".
ProgramCode	Air Program Codes 1 through 6	Ref_program	Code that represents an Air Program related to the compliance monitoring activity. (Variable length 9 character field)	Similar to AFS but codes may have been added, changed or removed. Must use a code with a PROGRAM_CATEGORY_CODE of "AIR" and a STATUS_FLAG of "A".
Other Air Program Description Text	N/A		Description of an air program that is Federally Enforceable. (Variable length 100 character field)	Must be provided if Program Code contains "CAAFENF".

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
AirPollutantCode	CAS Number or Pollutant Code	Ref_pollutant	Code that represents a pollutant involved in the compliance monitoring activity. (Variable length 10 digit field)	Similar to AFS but codes may have been added, changed or removed. Use codes with a POLLUTANT_CATEGORY_CODE of "AIR" and a STATUS_FLAG of "A".
OtherAgencyInitiativeText	N/A		Descripton of state or local initiatives that applied to or prompted the initiation of the compliance monitoring activity. (Variable length 200 character field)	
InspectionUserDefinedField1	N/A		Field for State or Local agency use. (Fixed 1 character field)	If not provided during submission it is defaulted to 'N'
InspectionUserDefinedField2	RDE8		Field for State or Local agency use. (Variable length 50 character field)	
InspectionUserDefinedField3	LCON Code		Field for State or Local agency use. (Variable length 50 character field)	
InspectionUserDefinedField4	N/A		Field for State or Local agency use. (Date field)	Format is ccyy-mm-dd.
InspectionUserDefinedField5	N/A		Field for State or Local agency use. (Date field)	Format is ccyy-mm-dd.
InspectionUserDefinedField6	N/A		Field for State or Local agency use. (Variable length 4000 character field)	
AffiliationTypeText	N/A	Ref_affiliation_t ype	Code that represents the type of non-governmental contact or address for the compliance monitoring activity. (Fixed 3 character field)	Electronic Data Transfer states must use Affiliation Type Codes where Ref_Affiliation_type.Affiliation_Cat ogory = "Non-Government" and its Affiliation_Type_Code is in Xref_Affiliation_Module with an

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
				App_Module_Code of "IPN". Use codes with a STATUS_FLAG of "A".
FirstName	Staff Name		The first name of the contact person for the compliance monitoring activity. (Variable length 30 character field)	Same as AFS.
MiddleName	N/A		The middle name or initial of the contact person for the compliance monitoring activity. (Variable length 10 character field)	
LastName	Staff Name		The surname of the contact person for the compliance monitoring activity. (Variable length 30 character field)	Same as AFS.
IndividualTitleText	Staff Title		The organizational title representing the contact person for the compliance monitoring activity. (Variable length 40 character field)	Same as AFS.
OrganizationFormalName	N/A		The legal, formal name of the organization that the contact person for the compliance monitoring activity is affiliated with. (Variable length 80 character field)	
StateCode	Plant State	Ref_state	The postal code for the state the contact person for the compliance monitoring activity is located in. (Fixed 2 character field)	Use codes with a USAGE_INDICATOR of "A" or "B" and a STATUS_FLAG of "A".
RegionCode	Staff Region Code	Ref_region	Code that refers to the EPA region the contact person for the	Same as AFS but codes may have been added, changed or removed.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
			compliance monitoring activity is located within. (Fixed 2 digit field)	
TelephoneNumberTypeCode	N/A	Ref_phone_type	Code that refers to the type of telephone number for the contact person for the compliance monitoring activity. (Fixed 3 character field)	AFS-based systems should use "OFF". Use codes with a STATUS_FLAG of "A".
TelephoneNumber	N/A		Telephone number of the contact person for the compliance monitoring activity. (Variable length 15 digit field)	
TelephoneExtensionNumber	N/A		Office telephone extension number of the contact person for the compliance monitoring activity. (Variable length 15 character field)	Only provide when Telephone Number Type Code contains "OFF"
ElectronicAddressText	N/A		Email address of the contact person for the compliance monitoring activity. (Variable length 100 character field)	
StartDateOfContactAssociati on	N/A		The date the contact person was reported as being associated with the compliance monitoring activity. (Date field)	Format is ccyy-mm-dd.
EndDateOfContactAssociatio n	N/A		The date the contact person was reported as no longer being associated with the compliance monitoring activity. (Date field)	Format is ccyy-mm-dd.
AffiliationTypeText	N/A	Ref_affiliation_t ype	Code that represents the type of governmental contact or address for the compliance monitoring activity. (Fixed 3 character field)	Electronic Data Transfer states must use Affiliation Type Codes where Ref_Affiliation_type.Affiliation_Cat ogory = "Government" and its Affiliation_Type_Code is in Xref_Affiliation_Module with an App_Module_Code of "IPN". Use

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XML Tag Name	AFS Counterpart	ICIS Code Table	ICIS Column	Comments
AVIL Tag Name	Ars Counterpart	Table	TCIS Column	codes with a STATUS_FLAG of "A".
ElectronicAddressText	N/A		Email address of the government contact person for the compliance monitoring activity. (Variable length 100 character field)	
InspectionCommentText	Comment 1 through 998		State or Local agency comments regarding the compliance monitoring activity that can be shared with the public. (Variable length 4000 character field)	If Plant Record Type equals 'X', Comment Identifier equals 'C' and Confidential Indicator is not 'Y' concatenate Comments 1 through 998.
SensitiveCommentText	Comment 1 through 998		State or Local agency comments regarding the compliance monitoring activity that can only be viewed by a user with sensitive data access in ICIS. (Variable length 4000 character field)	If Plant Record Type equals 'X', Comment Identifier equals 'C' and Confidential Indicator is 'Y' concatenate Comments 1 through 998.
StackIdentifier	N/A		Unique identifier for a stack that was tested during the compliance monitoring activity. (Variable length 3 digit number)	
StackTestStatusCode	Action Results Code	Ref_air_stack_te st_status	Code that refers to the current status of the stack test. (Fixed 3 character field)	Same as AFS but codes may have been added, changed or removed. Use codes with a STATUS_FLAG of "A".
StackTestPurposeCode	N/A	Ref_activity_pur pose	Code that represents the purpose of performing the stack test. (Fixed 3 character field)	Use codes with a STATUS_FLAG of "A". Must use Activity Purpose Codes with Activity Type Code of "INS".
OtherStackTestPurposeName	N/A		Description of the purpose for performing the stack test if a code representing "Other" is used for the stack test purpose code.	

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
			(Variable length 100 character field)	
StackTestObservedAgencyTy peCode	N/A	Ref_agency_type	Code that refers to the type of air agency that observed the stack test. (Fixed 3 character field)	Use codes that have an ACTIVITY_GROUP_CODE of "CMM" and a STATUS_FLAG of "A".
StackTestConductorTypeCod e	Action Type	Ref_air_conduct or_type	Code that refers to a governmental or private entity that performed the stack test. (Fixed 3 character field)	Use codes with a STATUS_FLAG of "A".
TestScheduledDate	N/A		The date the stack test was scheduled to be performed on. (Date field)	Format is ccyy-mm-dd.
TestCompletedDate	N/A		The actual date the stack test was performed on. (Date field)	Format is ccyy-mm-dd.
StackTestReportReceivedDat e	Date Action Achieved		The date the results of the stack test were received by an air agency. (Date field)	Format is ccyy-mm-dd.
TestResultsReviewedDate	Date Action Achieved		The date an air agency completed its review of the stack test results. (Date field)	Format is ccyy-mm-dd.
AirTestedPollutantCode	CAS Number or Pollutant Code	Ref_pollutant	Code that represents a pollutant monitored during the stack test. (Variable length 10 digit field)	Similar to AFS but codes may have been added, changed or removed. Use codes with a POLLUTANT_CATEGORY_CODE of "AIR" and a STATUS_FLAG of "A".
TestResultCode	Action Results Code	Ref_air_stack_te st_status	Code that refers to the status based upon the results of the stack test. (Fixed 3 character field)	Same as AFS but codes may have been added, changed or removed. Use codes with a STATUS_FLAG of "A".
MethodCode	N/A	Ref_air_stack_te st_method	Code that refers to the method used for performing the stack test.	Use codes with a STATUS_FLAG of "A".

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XML Tag Name	AFS Counterpart	ICIS Code Table	ICIS Column	Comments
ANIL Tag Name	Ars Counterpart	Table	(Variable length 3 alphanumeric field)	Comments
AllowableValue	N/A		The number of pollutants allowed for the stack test. (Variable length 5 digit field)	
AllowableUnitCode	N/A	Ref_pollutant_un it	Code that refers to the unit of measure for the pollutants allowed. (Variable length 7 alphanumeric field)	Use codes with a STATUS_FLAG of "A".
ActualResult	N/A		The number of pollutants allowed for the stack test. (Variable length 5 digit field)	
FailureReasonCode	N/A	Ref_air_failure_r eason	Code that refers to the reason why the stack test status was reported as having failed. (Fixed 3 character field)	Use codes with a STATUS_FLAG of "A".
OtherFailureReasonText	N/A		Description of the reason why the stack test status was reported as having failed if a code representing "Other" is used for the failure reason code. (Variable length 50 character field)	Must provide if Failure Reason contains "OTH". Use codes with a STATUS_FLAG of "A".

8.4.2 Rules for Parsing Delegated Agency Compliance Monitoring XML Files

A summary of rules for processing Delegated Agency Compliance Monitoring data is provided in this section. Detailed explanations of these rules with examples can be found in the ICIS Air DA Compliance Monitoring Technical Specification document.

OVERALL

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- ➤ ICIS reference tables have codes that are either Active or Inactive. Inactive codes were migrated from legacy data but the code is not being used anymore and cannot be selected when adding a new code or changing an existing code in ICIS. Active codes were both migrated from legacy data and newly created codes for ICIS and can be selected when adding a new code or changing an existing code in ICIS.
- Mass Deletes are applied before Replace transactions.
- Refer to the and the ICIS-Air Electronic Data Transfer User Guide for details on the ICIS-Air submission process, the ICIS-Air Example XML Instance Document for instructions on the format of the XML submission files, the ICIS-Air Facility EDT Technical Specifications for specific details on the rules ICIS-Air uses for processing the data being submitted, the ICIS-Air XML Data Exchange Template for formatting and characteristic details on the XML tags, and Chapter 9 of this document for submission error messages.

REPLACE

- ➤ If the Air DA Compliance Monitoring record does not exist in ICIS-Air, the record will be added to ICIS-Air and populated with only the data provided in the tags of the replace transaction.
- A new Compliance Monitoring activity record will be added along with its child air program, pollutant, priority, contact and stack test result records.
- ➤ If the Compliance Monitoring Activity Type is for a compliance investigation the Compliance Activity Type Code, Compliance Monitoring Type, Air Facility Identifier, Compliance Monitoring Planned End Date or Compliance Monitoring Actual Start Date, Air Program Code, and Lead Agency Code must be present.
- ➤ If the Compliance Monitoring Activity Type is for an inspection/evaluation or information request the Compliance Activity Type Code, Compliance Monitoring Type, Air Facility Identifier, Compliance Monitoring Planned End Date or Compliance Monitoring Actual End Date, Air Program Code, and Lead Agency Code must be present.
- ➤ If the Compliance Monitoring Activity Type is a stack test, the Compliance Monitoring Activity Type Code must be "INS", the Compliance Inspection Type Code must be "CST", and the ConductedBy and StackTestStatus tags must be present.
- > Title V Annual Compliance Certifications cannot be reported using the DA Compliance Monitoring XML schema.
- A replace transaction for an Air DA Compliance Monitoring record that already exists in ICIS-Air can only be applied if it has all mandatory tags plus at least one optional tag populated. Only the tags that are present in the transaction will be saved to their corresponding fields in ICIS-Air. Tags not present in the transaction will have their corresponding fields in ICIS-Air blanked out.

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- ➤ Compliance Monitoring records can be linked to any other Compliance Monitoring, TVACC, Case File and Enforcement Action record as long as they are assigned to the same Air Facility record.
- > To blank out a non-mandatory field that is currently populated in ICIS-Air, either submit the tag with one asterisk in it or omit its tag from the submission altogether. If an asterisk is used in a tag to blank out a non-mandatory field in that is currently blank in ICIS, it will be ignored.
- ➤ Once a Compliance Monitoring activity record has been created in ICIS its state and LCON code cannot be changed.
- Multi-value tags must have all possible values submitted for them (e.g., all non-governmental contacts) instead of the one that changed in order to avoid removing values unnessarily (refer to Section 3.5.4.1 for details on multi-value tags).

MASS DELETES

- ➤ If a Mass Delete transaction for a Compliance Monitoring activity has any other data tags along with the ComplianceMonitoringIdentifier, those extra tags will be ignored.
- ➤ A Mass Delete transaction will remove the Compliance Monitoring activity record and its child air program, pollutant, priority, contact and stack test result records from ICIS.
- ➤ A Compliance Monitoring activity will not be deleted if it is linked to a Compliance Determination/Alleged Violation File and has been designated as its Discovery Action.

8.5 FEDERAL AIR COMPLIANCE MONITORING MAPPING AND RULES

8.5.1 Federal Air Compliance Monitoring Mapping

(Rows Highlighted in Yellow are MDRs as of 8-6-2014)

(=== #=================================				
		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
ComplianceMonitoringIdentif	State Code, County		ICIS_Comp_Monitor.Comp_Moni	Two character state postal code or
<mark>ier</mark>	code, CDS Plant		tor_UID	tribal code+ICIS LCON Code or
	ID, Action Number			'000'+'A'+'0000'+AFS State

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
Tivis rug rumo	AT 5 COUNTY PART	24020		Code+AFS County Code+AFS CDS Plant ID+AFS Action Number Or
				Two character state postal code or tribal code+ ICIS LCON Code or '000'+ 'A'+ a unique state, tribe or local agency specific ID. The ComplianceMonitoringIdentifier is variable in length but cannot be more than 25 characters long.
ProgramSystemAcronym	Air Program Codes 1 through 6		icis_facility_interest.pgm_sys_acrn m	Same as AFS but codes may have been added, changed or removed.
ProgramSystemIdentifier	Facility State, Facility County, LCON ID, CDS Plant ID		ICIS_Facility_Interest.Pgm_Sys_ID	Same as Air Facility Identifier. Format is: Two character state postal code or tribal code+ ICIS LCON Code or '000'+ "000" + AFS FIPS State Number+AFS FIPS County Number+AFS CDS_PLANT_ID, Or Two character state postal code or tribal code+ ICIS LCON Code or '000'+'0'+ a unique state, tribe or local agency specific ID padded with enough zeroes at the front of the unique state, tribe or local agency specific ID to make the entire string 18 characters long.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
FederalStatuteCode	N/A		xref_activity_law_section.statute_c ode	Must be "CAA".
ComplianceMonitoringActivi tyTypeCode	Action Type		icis_activity.activity_type_code	Valid choices are: • INS (Inspection/Evaluation) • INV (Investigation) • INF (Information Request) Must use INS if stack test data is also submitted.
ComplianceMonitoringCateg oryCode	ActionType	Ref_comp_monit or_category	icis_comp_monitor.comp_monitor _category_code	AFS codes have been reassigned to generate compliance inspection type, compliance monitoring category, program codes.
ComplianceMonitoringDate	Date Action Achieved		ICIS_Activity.Actual_End_Date	Format is ccyy-mm-dd. For "Investigations Conducted", FCEs, PCEs including including Stack Tests use Date Action Achieved.
ComplianceMonitoringStartD ate	Date Action Achieved		ICIS_Activity.Actual_Begin_Date	Format is ccyy-mm-dd. Use Date Action Achieved if action type is "Investigations Initiated".
ComplianceInspectionTypeC ode	N/A	Ref_comp_monit or_type	XREF_Comp_Monitor_Comp_M_ Type.Comp_Monitor_Type_Code	Must use a Compliance Monitoring Type code where Statute_Code = CAA in the XREF_STATUTE_COMP_MONIT OR_TYPE table. Must use a Comp Monitor Type code that has its statute as "CAA" in Xref_Statute_Comp_Monitor_Type Must use a Comp Monitor Type code of CST if stack test data is being submitted.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
ComplianceMonitoringActivityName	Action Description		ICIS_Activity.Activity_Name	Must not use the code for Title V Annual Compliance Certifications. TV ACCs have their own XML submission type. Same as AFS.
ComplianceMonitoringActio nReasonCode	Action Code	Ref_activity_pur pose	xref_activity_purpose.activity_pur pose_code	Similar to AFS but codes may have been added, changed or removed. Must use a code with a Pollutant Category of "Air". At least one code must exist in ICIS.
ComplianceMonitoringAgencyTypeCode	N/A	Ref_agency_type	<pre>xref_activity_agency_type.agency _type_code</pre>	Code must be assigned to an activity group code of "CMM".
ComplianceMonitoringAgencyCode	N/A	Ref_agency	icis_comp_monitor.agency_code	
ProgramCode	Air Program Codes 1 through 6	Ref_program	XREF_Activity_Program.Program _Code	Similar to AFS but codes may have been added, changed or removed. Must use a code with a Pollutant Category of "Air".
EPAAssistanceIndicator	N/A		icis_activity.epa_assist_flag	
StateFederalJointIndicator	N/A		Icis_comp_monitor.joint_inspection_flag	
JointInspectionReasonCode	N/A	Ref_joint_inspec tion_purpose	icis_comp_monitor.joint_inspectio n_purpose_code	Must be present when StateFederalJointIndicator contains "J".
LeadParty	N/A		icis_comp_monitor.joint_lead_flag	Must exist if State Federal Joint Indicator = "J"
NumberDaysPhysicallyCond uctingActivity	N/A		icis_comp_monitor.nmbr_of_day	
NumberHoursPhysicallyCond uctingActivity	N/A		icis_comp_monitor.nmbr_of_day	Summation of pre, in and post processing hours.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
ComplianceMonitoringActio nOutcomeCode	N/A	Ref_activity_out come	icis_comp_monitor.activity_outco me_code	
InspectionRatingCode	N/A	Ref_insp_rating	icis_comp_monitor.insp_rating_co de	
NationalPrioritiesCode	N/A	Ref_priority	xref_activity_priority.priority_cod e	Must be a valid code with a Region_Code = "HQ" in the ref_priority table.
MultimediaIndicator	N/A		icis_activity.multimedia_flag	
FederalFacilityIndicator	N/A	Ref_cross_media _indicator	icis_activity_cross_ media.fed_facility_indicator_code	
FederalFacilityIndicatorComment	N/A		icis_activity_cross_media.fed_facil ity_comment	
InspectionUserDefined Field1	N/A		ICIS_Regional_Data.String1	If not provided during submission it is defaulted to 'N'
InspectionUserDefined Field2	LCON Code		ICIS_Regional_Data.String2	
InspectionUserDefined Field3	RDE8		ICIS_Regional_Data.String3	
InspectionUserDefined Field4	N/A		ICIS_Regional_Data.Date1	Format is ccyy-mm-dd.
InspectionUserDefined Field5	N/A		ICIS_Regional_Data.Date2	Format is ccyy-mm-dd.
InspectionUserDefined Field6	N/A		ICIS_Regional_Data.String4	
AffiliationTypeText	N/A	Ref_affiliation_t ype	xref_activity_contact.affiliation_ty pe_code	Electronic Data Transfer states must use Affiliation Type Codes where Ref_Affiliation_type.Affiliation_Cat ogory = "Non-Government" and its Affiliation_Type_Code is in Xref_Affiliation_Module with an App_Module_Code of "IPN".
FirstName	Staff Name		icis_contact.first_name	Same as AFS.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
MiddleName	N/A		icis_contact.middle_name	
LastName	Staff Name		icis_contact.last_name	Same as AFS.
IndividualTitleText	Staff Title		icis_contact.title	Same as AFS.
OrganizationFormalName	N/A		icis_contact.organization_formal_n ame, icis_address.organization_formal_ name	
StateCode	Plant State	Ref_state	icis_contact.state_code	Same as AFS but codes may have been added, changed or removed.
RegionCode	Staff Region Code	Ref_region	icis_contact.region_code	Same as AFS but codes may have been added, changed or removed.
TelephoneNumberTypeCode	N/A	Ref_phone_type	icis_contact_phone.phone_type_co de	AFS-based systems should use "OFF".
TelephoneNumber	N/A		icis_contact_phone.telephone_nmb	
TelephoneExtensionNumber	N/A		icis_contact_phone.telephone_exte nsion_nmbr	
ElectronicAddressText	N/A		icis_contact_electronic_addr.electr onic_address_text	
StartDateOfContactAssociati on	N/A		xref_activity_contact.begin_date	Format is ccyy-mm-dd.
EndDateOfContactAssociatio n	N/A		xref_activity_contact.end_date	Format is ccyy-mm-dd.
ElectronicAddressText	N/A		icis_address_electronic_addr.electr onic_address_text	
ComplianceMonitoringPlann edStartDate	N/A		ICIS_Activity.Planned_Begin_Dat e	Format is ccyy-mm-dd.
ComplianceMonitoringPlann	Date Action		ICIS_Activity.Planned_End_Date	Format is ccyy-mm-dd.
edEndDate	Scheduled			
EPARegion	N/A		icis_activity.region_code	
LawSectionCode	Air Program Code 1 through 6		<pre>xref_activity_law_section.law_sect ion_code</pre>	Same as AFS but codes may have been added, changed or removed.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
				Law Section must be valid for the
				associated Federal Statute of "CAA"
				in the xref_program_law_section
				table and contain "CMM" as its
				Activity Group Code.
ComplianceMonitoringMedia TypeCode	N/A		icis_comp_monitor.media_code	
RegionalPriorityCode	N/A	Ref_priority	XREF_Activity_Priority.Priority_	Must use Regional Priority Codes
			Code	that have the Region number for the
				state or local (e.g., Alabama = "04").
SICCode	Primary SIC Code		xref_activity_sic.sic_code	Same as AFS but codes may have
			_	been added, changed or removed.
NAICSCode	NAICS Code		xref_activity_naics.naics_code	Same as AFS but codes may have
				been added, changed or removed.
OtherAirProgramDescription	N/A		ICIS_Comp_Monitor.State_Statute	If Program Code contains the code
Text			_Text	for "Other" or "Federally
				Enforceable" this tag must be
				populated.
LeadAgencyCode	N/A	Ref_air_agency_	ICIS_Activity.Air_Agency_Lead_	Must use Lead Agency Codes that
		lead	Code	have an Activity Group Code of
				"CMM"
InspectionCommentText	Comment 1		ICIS_Activity_Comment.Commen	If Plant Record Type equals 'X',
	through 998		t_Text	Comment Identifier equals 'C' and
			and	Confidential Indicator is not 'Y'
			ICIS_Activity_Comment.Sensitive	concatenate Comments 1 through
			_Flag = N	998.
SensitiveCommentText	Comment 1		ICIS_Activity_Comment.Commen	If Plant Record Type equals 'X',
	through 998		t_Text	Comment Identifier equals 'C' and
			and	Confidential Indicator is 'Y'
			ICIS_Activity_Comment.Sensitive	concatenate Comments 1 through
			_Flag = Y	998.
StackIdentifier	N/A		Air_Stack_Test.Unit_Stack_UDF	
StackTestStatusCode	Action Results	Ref_air_stack_te	Air_Stack_Test.Air_Stack_Test_St	Same as AFS but codes may have
	Code	st_status	atus_Code	been added, changed or removed.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
StackTestPurposeCode	N/A	Ref_activity_pur	XREF_Activity_Purpose.Activity_	Must use Activity Purpose Codes
		pose	Purpose_Code	with Activity Type Code of "INS".
OtherStackTestPurposeName	N/A		Air_Stack_Test.Other_Purpose	
StackTestObservedAgencyTy	N/A	Ref_agency_type	XRef_Activity_Agency_Type.Age	
<mark>peCode</mark>			ncy_Type_Code	
StackTestConductorTypeCod	Action Type	Ref_air_conduct	Air_Stack_Test.	
<mark>e</mark>		<mark>or_type</mark>	Air_Conductor_Type_Code	
TestScheduledDate	N/A		ICIS_Activity.Planned_Begin_Dat	Format is ccyy-mm-dd.
			e	
TestCompletedDate	N/A		ICIS_Activity.Actual_End_Date	Format is ccyy-mm-dd.
StackTestReportReceivedDat	Date Action		Air_Stack_Test.Report_Received_	Format is ccyy-mm-dd.
e	Achieved		Date	
TestResultsReviewedDate	Date Action		Air_Stack_Test.Test_Result_Revie	Format is ccyy-mm-dd.
	Achieved		wed_Date	
AirTestedPollutantCode	CAS Number or	Ref_pollutant	XREF_Activity_Pollutant.Pollutan	Must use a code with a Pollutant
	Pollutant Code		t_Code	Category of "Air". Same as AFS but
				codes may have been added, changed
				or removed.
TestResultCode	Action Results	Ref_air_stack_te	Air_Stack_Test_Result.Air_Stack_	Same as AFS but codes may have
	Code	st_result	Test_Result_Code	been added, changed or removed.
MethodCode	N/A	Ref_air_stack_te	XREF_Air_Stack_Test_Method.Ai	
		st_method	r_Stack_Test_Method_Code	
AllowableValue	N/A		Air_Stack_Test_Result.Allowable	
			_Nmbr	
AllowableUnitCode	N/A	Ref_unit	Air_Stack_Test_Result.Unit_Code	
ActualResult	N/A		Air_Stack_Test_Result.Actual_N	
			mbr	
FailureReasonCode	N/A	Ref_air_failure_r	Air_Stack_Test_Result.Air_Failur	
		eason	e_Reason_Code	
OtherFailureReasonText	N/A		Air_Stack_Test_Result.Other_Fail	
			ure_Reason	

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8.5.2 Rules for Parsing Federal Air Compliance Monitoring XML Files

A summary of rules for processing Federal Air Compliance Monitoring data is provided in this section. Detailed explanations of these rules with examples can be found in the ICIS Air DA Compliance Monitoring Technical Specification document.

OVERALL

- ➤ ICIS reference tables have codes that are either Active or Inactive. Inactive codes were migrated from legacy data but the code is not being used anymore and cannot be selected when adding a new code or changing an existing code in ICIS. Active codes were both migrated from legacy data and newly created codes for ICIS and can be selected when adding a new code or changing an existing code in ICIS.
- Mass Deletes are applied before Replace transactions.
- Refer to the and the ICIS-Air Electronic Data Transfer User Guide for details on the ICIS-Air submission process, the ICIS-Air Example XML Instance Document for instructions on the format of the XML submission files, the ICIS-Air Facility EDT Technical Specifications for specific details on the rules ICIS-Air uses for processing the data being submitted, the ICIS-Air XML Data Exchange Template for formatting and characteristic details on the XML tags, and Chapter 9 of this document for submission error messages.

REPLACE

- ➤ If the Federal Air Compliance Monitoring record does not exist in ICIS-Air, the record will be added to ICIS-Air and populated with only the data provided in the tags of the replace transaction.
- A new Compliance Monitoring activity record will be added along with its child air program, pollutant, priority, contact and stack test result records.
- ➤ If the Compliance Monitoring Activity Type is for a compliance investigation the Compliance Activity Type Code, Compliance Monitoring Type, Air Facility Identifier, Compliance Monitoring Planned End Date or Compliance Monitoring Actual Start Date, Air Program Code, and Lead Agency Code must be present.
- ➤ If the Compliance Monitoring Activity Type is for an inspection/evaluation or information request the Compliance Activity Type Code, Compliance Monitoring Type, Air Facility Identifier, Compliance Monitoring Planned End Date or Compliance Monitoring Actual End Date, Air Program Code, and Lead Agency Code must be present.

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- ➤ If the Compliance Monitoring Activity Type is a stack test, the Compliance Monitoring Activity Type Code must be "INS", the Compliance Inspection Type Code must be "CST", and the ConductedBy and StackTestStatus tags must be present.
- > Title V Annual Compliance Certifications cannot be reported using the Federal Compliance Monitoring XML schema.
- A replace transaction for a Federal Air Compliance Monitoring record that already exists in ICIS-Air can only be applied if it has all mandatory tags plus at least one optional tag populated. Only the tags that are present in the transaction will be saved to their corresponding fields in ICIS-Air. Tags not present in the transaction will have their corresponding fields in ICIS-Air blanked out.
- ➤ Compliance Monitoring and Title V Annual Compliance Certification records can be linked to any other Compliance Monitoring, TVACC, Case File and Enforcement Action record as long as they are assigned to the same Air Facility record.
- > To blank out a non-mandatory field that is currently populated in ICIS-Air, either submit the tag with one asterisk in it or omit its tag from the submission altogether. If an asterisk is used in a tag to blank out a non-mandatory field in that is currently blank in ICIS, it will be ignored.
- ➤ Once a Compliance Monitoring activity record has been created in ICIS, its state and LCON code cannot be changed.
- Multi-value tags must have all possible values submitted for them (e.g., all non-governmental contacts) instead of the one that changed in order to avoid removing values unnessarily (refer to Section 3.5.4.1 for details on multi-value tags).

MASS DELETES

- ➤ If a Mass Delete transaction for a Compliance Monitoring activity has any other data tags along with the ComplianceMonitoringIdentifier, those extra tags will be ignored.
- A Mass Delete transaction will remove the Compliance Monitoring activity record and its child air program, pollutant, priority, contact and stack test result records from ICIS.
- A Compliance Monitoring activity will not be deleted if it is linked to a Compliance Determination/Alleged Violation File and has been designated as its Discovery Action.

8.6 TITLE V ANNUAL COMPLIANCE CERTIFICATION MAPPING AND RULES

8.6.1 Title V Annual Compliance Certification Mapping

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(Rows Highlighted in Yellow are MDRs as of 8-6-2014)

	(II)		Yellow are MDRs as of 8-0-2014)	
VMI Tog Nome	AEC Countonnant	ICIS Code Table	ICIS Column	Comments
XML Tag Name	AFS Counterpart	Table	Unique identifier for a Title V	
ComplianceMonitoringIdentif	State Code, County			Two character state postal code or tribal code+ICIS LCON Code or
ier	code, CDS Plant		Annual Compliance Certification.	'000'+'A'+'0000'+AFS State
	ID, Action Number		(Variable length 25 alphanumeric field)	
			IMPORTANT NOTE: Title V	Code+AFS County Code+AFS CDS Plant ID+AFS Action Number
			Annual Compliance Certification XML submission files should NOT	Or
			the state of the s	Two character state postal code or
			include data for other compliance	tribal code+ ICIS LCON Code or
			monitoring activities such as FCEs,	'000'+ 'A'+ a unique state, tribe or
			PCEs, and stack tests. Compliance monitoring activities must be	local agency specific ID. The ComplianceMonitoringIdentifier
			submitted in its own DA	
				is variable in length but cannot be
			Compliance Monitoring XML submission file. Be sure to not use	more than 25 characters long.
			the same	
			Compliance Monitoring Identifier	
			for a TVACC that you use for all	
			other types of compliance	
Constitute Maria in Data	D. A. A. C.		monitoring activities.	E-mark's and 11 E-
Compliance Monitoring Date	Date Action		The actual date that a completed	Format is ccyy-mm-dd. For
	Achieved		TVACC was received by the air	TVACCs (Due/Received) use Date
			agency on. (Date field)	Action Achieved.
				For TVACCs (Reviewed) use Date
G 1: M :: G D	NT/A			Action Achieved - 1day.
ComplianceMonitoringStartD	N/A		The actual date that a partial	Format is ccyy-mm-dd.
ate			TVACC was received by the air	
			agency on. (Date field)	
ComplianceMonitoringActivi	N/A		The descriptive name of the	
tyName			TVACC. (Variable length 100	
			character field)	
NationalPrioritiesCode	N/A	Ref_priority	Code that refers to the priority for	Use codes with REGION_CODE
			HQ EPA that prompted the	containing "HQ", FISCAL_YEAR
	J	L		

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
			initiation of the TVACC. (Variable length 4 digit field)	for the current fiscal year, and a STATUS_FLAG of "A".
MultimediaIndicator	N/A		Flag that indicates if the TVACC involved media other than air, such as water, waste, etc. (Fixed 1 character field)	If not provided during submission it is defaulted to 'N'
ComplianceMonitoringPlann edStartDate	Date Action Scheduled		The date that a partial TVACC is due to be received by the air agency on. (Date field)	Format is ccyy-mm-dd. For TVACCs (Due/Received) use Date Action Scheduled.
ComplianceMonitoringPlannedEndDate	N/A		The date that a complete TVACC is due to be received by the air agency on. (Date field)	Format is ccyy-mm-dd.
RegionalPriorityCode	NationalAir Initiatives 1 through 10	Ref_priority	Code that refers to the priority for your EPA Region that that prompted the initiation of the TVACC. (Variable length 4 digit field)	Use codes with REGION_CODE containing the two digit number for the Region the Agency is in, FISCAL_YEAR for the current fiscal year, and a STATUS_FLAG of "A".
DeficienciesObservedIndicat or			Flag that indicates if one or more deficiencies were observed on the TVACC. (Fixed 1 character field)	_
AirFacilityIdentifier	Facility State, Facility County, LCON ID, CDS Plant ID		Unique identifier for an air facility. (Variable length 18 alphanumeric field)	Format is: Two character state postal code or tribal code+ ICIS LCON Code or '000'+ "000" + AFS FIPS State Number+AFS FIPS County Number+AFS CDS_PLANT_ID, Or Two character state postal code or tribal code+ ICIS LCON Code or '000'+ a unique state, tribe or local agency specific ID (the entire string cannot exceed 18 characters long).

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
LeadAgencyCode	N/A	Ref_lead_agency	Code that refers to the type of air agency that acted as the lead in the TVACC review. (Fixed 3 character field)	Use codes that have an ACTIVITY_GROUP_CODE of "CMM" and a STATUS_FLAG of "A".
ProgramCode ProgramCode	Air Program Codes 1 through 6	Ref_program	Code that represents an Air Program related to the TVACC. (Variable length 9 character field)	Similar to AFS but codes may have been added, changed or removed. Must use a code with a PROGRAM_CATEGORY_CODE of "AIR" and a STATUS_FLAG of "A".
OtherAirProgramDescription Text	N/A		Description of an air program that is Federally Enforceable. (Variable length 100 character field)	Must be provided if Program contains "CAAFENF".
AirPollutantCode	CAS Number or Pollutant Code	Ref_pollutant	Code that represents a pollutant involved in the TVACC. (Variable length 10 digit field)	Similar to AFS but codes may have been added, changed or removed. Use codes with a POLLUTANT_CATEGORY_CODE of "AIR" and a STATUS_FLAG of "A".
OtherAgencyInitiativeText	N/A		Description of state or local initiatives that applied to or prompted the initiation of the TVACC. (Variable length 200 character field)	
AirPermitIdentifier	N/A		State or Local identifier of the air permit for the air facility submitting the TVACC. (Variable length 100 character field)	
CertificationPeriodStartDate	N/A		The date that the TVACC certification period starts on. (Date field)	Format is ccyy-mm-dd.
CertificationPeriodEndDate	N/A		The date that the TVACC certification period ends on. (Date field)	Format is ccyy-mm-dd.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
TVACCDueDate	N/A		The date that the TVACC is due to be received by the air agency on. (Date field)	Format is ccyy-mm-dd.
FacilityReportedCompliance StatusCode	N/A	Ref_air_fac_rpt_ compliance	Code that refers to the compliance status reported by the air facility. (Fixed 3 character field)	Use a code with a STATUS_FLAG of "A".
InspectionUserDefinedField1	N/A		Field for State or Local agency use. (Fixed 1 character field)	If not provided during submission it is defaulted to 'N'
InspectionUserDefinedField2	LCON Code		Field for State or Local agency use. (Variable length 50 character field)	
InspectionUserDefinedField3	TVACC Deviation		Field for State or Local agency use. (Variable length 50 character field)	
InspectionUserDefinedField4	N/A		Field for State or Local agency use. (Date field)	Format is ccyy-mm-dd.
InspectionUserDefinedField5	N/A		Field for State or Local agency use. (Date field)	Format is ccyy-mm-dd.
InspectionUserDefinedField6	N/A		Field for State or Local agency use. (Variable length 4000 character field)	
TVACCReviewedDate	Date Action Achieved		The date that the review of the TVACC by the air agency was completed on. (Date field)	Format is ccyy-mm-dd.
FacilityReportDeviationsIndicator	Regional Data Element 8		Flag indicating if any deviations were found during the review of the TVACC. (Fixed 1 character field)	Valid values are Y for Yes and N for No.
PermitConditionsText	N/A		Description of the air permit conditions considered during the review of the TVACC. (Variable length 100 character field)	

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
ExceedanceExcursionIndicat or	N/A		Flag that indicates if any excursions were found to be exceeded during the review of the TVACC. (Fixed 1 character field)	
ReviewerAgencyCode	N/A	Ref_agency_type	Code that refers to the type of air agency that reviewed the TVACC. (Fixed 3 character field)	Use codes that have an ACTIVITY_GROUP_CODE of "CMM" and a STATUS_FLAG of "A".
TVACCReviewerName	N/A		The name of the staff member at the air agency who reviewed the TVACC. (Variable length 100 character field)	
ReviewerComment	N/A		Description of the findings under the TVACC review. (Variable length 4000 character field)	
AffiliationTypeText	N/A	Ref_affiliation_t ype	Code that represents the type of non-governmental contact or address for the TVACC. (Fixed 3 character field)	Electronic Data Transfer states must use Affiliation Type Codes where Ref_Affiliation_type.Affiliation_Cat ogory = "Non-Government" and its Affiliation_Type_Code is in Xref_Affiliation_Module with an App_Module_Code of "IPN".
FirstName	Staff Name		The first name of the contact person for the TVACC. (Variable length 30 character field)	Same as AFS.
MiddleName	N/A		The middle name or initial of the contact person for the TVACC. (Variable length 10 character field)	
LastName	Staff Name		The surname of the contact person for the TVACC. (Variable length 30 character field)	Same as AFS.
IndividualTitleText	Staff Title		The organizational title representing the contact person for	Same as AFS.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
			the TVACC. (Variable length 40	
			character field)	
OrganizationFormalName	N/A		The legal, formal name of the organization that the contact person for the TVACC is affiliated with. (Variable length 80 character field)	
StateCode	Plant State	Ref_state	The postal code for the state the contact person for the TVACC is located in. (Fixed 2 character field)	Use codes with a USAGE_INDICATOR of "A" or "B" and a STATUS_FLAG of "A".
RegionCode	Staff Region Code	Ref_region	Code that refers to the EPA region the contact person for the TVACC is located within. (Fixed 2 digit field)	Same as AFS but codes may have been added, changed or removed.
TelephoneNumberTypeCode	N/A	Ref_phone_type	Code that refers to the type of telephone number for the contact person for the TVACC. (Fixed 3 character field)	AFS-based systems should use "OFF". Use codes with a STATUS_FLAG of "A".
TelephoneNumber	N/A		Telephone number of the contact person for the TVACC. (Variable length 15 digit field)	
TelephoneExtensionNumber	N/A		Office telephone extension number of the contact person for the TVACC. (Variable length 15 character field)	Only provide when Telephone Number Type Code contains "OFF"
ElectronicAddressText	N/A		Email address of the contact person for the TVACC. (Variable length 100 character field)	
StartDateOfContactAssociati on	N/A		The date the contact person was reported as being associated with the TVACC. (Date field)	Format is ccyy-mm-dd.
EndDateOfContactAssociatio n	N/A		The date the contact person was reported as no longer being	Format is ccyy-mm-dd.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
			associated with the TVACC. (Date field)	
AffiliationTypeText	N/A	Ref_affiliation_t ype	Code that represents the type of governmental contact or address for the TVACC. (Fixed 3 character field)	Electronic Data Transfer states must use Affiliation Type Codes where Ref_Affiliation_type.Affiliation_Cat ogory = "Government" and its Affiliation_Type_Code is in Xref_Affiliation_Module with an App_Module_Code of "IPN".
ElectronicAddressText	N/A		Email address of the government contact person for the TVACC. (Variable length 100 character field)	
InspectionCommentText	Comment 1 through 998		State or Local agency comments regarding the TVACC that can be shared with the public. (Variable length 4000 character field)	If Plant Record Type equals 'X', Comment Identifier equals 'C' and Confidential Indicator is not 'Y' concatenate Comments 1 through 998.
SensitiveCommentText	Comment 1 through 998		State or Local agency comments regarding the TVACC that can only be viewed by a user with sensitive data access in ICIS. (Variable length 4000 character field)	If Plant Record Type equals 'X', Comment Identifier equals 'C' and Confidential Indicator is 'Y' concatenate Comments 1 through 998.

8.6.2 Rules for Parsing Title V Annual Compliance Certification XML Files

A summary of rules for processing Title V Annual Compliance Certification data is provided in this section. Detailed explanations of these rules with examples can be found in the ICIS Air DA Compliance Monitoring Technical Specification document.

OVERALL

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- ➤ ICIS reference tables have codes that are either Active or Inactive. Inactive codes were migrated from legacy data but the code is not being used anymore and cannot be selected when adding a new code or changing an existing code in ICIS. Active codes were both migrated from legacy data and newly created codes for ICIS and can be selected when adding a new code or changing an existing code in ICIS.
- Mass Deletes are applied before Replace transactions.
- Refer to the and the ICIS-Air Electronic Data Transfer User Guide for details on the ICIS-Air submission process, the ICIS-Air Example XML Instance Document for instructions on the format of the XML submission files, the ICIS-Air Facility EDT Technical Specifications for specific details on the rules ICIS-Air uses for processing the data being submitted, the ICIS-Air XML Data Exchange Template for formatting and characteristic details on the XML tags, and Chapter 9 of this document for submission error messages.

REPLACE

- ➤ If the TVACC record does not exist in ICIS-Air, the record will be added to ICIS-Air and populated with only the data provided in the tags of the replace transaction.
- A new TVACC record will be added along with its child pollutant, priority, contact and review records.
- A replace transaction for an Air TVACC record that already exists in ICIS-Air can only be applied if it has all mandatory tags plus at least one optional tag populated. Only the tags that are present in the transaction will be saved to their corresponding fields in ICIS-Air. Tags not present in the transaction will have their corresponding fields in ICIS-Air blanked out.
- > To blank out a non-mandatory field that is currently populated in ICIS-Air, either submit the tag with one asterisk in it or omit its tag from the submission altogether. If an asterisk is used in a tag to blank out a non-mandatory field in that is currently blank in ICIS, it will be ignored.
- ➤ Once a TVACC record has been created in ICIS its state code and LCON code cannot be changed.
- ➤ Title V Annual Compliance Certification records can be linked to any other Compliance Monitoring, TVACC, Case File and Enforcement Action record as long as they are assigned to the same Air Facility record.
- Multi-value tags must have all possible values submitted for them (e.g., all non-government contacts) instead of the one that changed in order to avoid removing values unnessarily (refer to Section 3.5.4.1 for details on multi-value tags).

MASS DELETES

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- ➤ If a Mass Delete transaction for a TVACC has any other data tags along with the ComplianceMonitoringIdentifier, those extra tags will be ignored.
- ➤ A Mass Delete transaction will remove the TVACC record and its child pollutant, priority, contact and review records from ICIS.
- ➤ A TVACC will not be deleted if it is linked to a Compliance Determination/Alleged Violation File and has been designated as its Discovery Action.

8.7 AIR COMPLIANCE MONITORING STRATEGY MAPPING AND RULES

8.7.1 Air Compliance Monitoring Strategy Mapping

(Rows Highlighted in Yellow are MDRs as of 8-6-2014)

		ICIS Code	,	
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
AirFacilityIdentifier	Facility State,		Unique identifier for an air facility.	Format is:
	Facility County,		(Variable length 18 alphanumeric	Two character state postal code or
	LCON ID, CDS		field)	tribal code+ ICIS LCON Code or
	Plant ID			'000'+ "000" + AFS FIPS State
				Number+AFS FIPS County
				Number+AFS CDS_PLANT_ID,
				Or
				Two character state postal code or
				tribal code+ ICIS LCON Code or
				'000'+ a unique state, tribe or local
				agency specific ID (the entire string
				cannot exceed 18 characters long).
AirCMSSourceCategoryCode	CMS Source	Ref_air_cms_cat	Code that refers to the source	Similar to AFS but codes may have
	Category	egory	category for an air facility's	been added, changed or removed.
			compliance monitoring strategy.	Category should be for the current
			(Fixed 3 character field)	

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
				fiscal year. Use codes with a
				STATUS_FLAG of "A".
AirCMSMinimumFrequency	CMS Frequency		The number of years between	Should be for the current fiscal year.
	Indicator		when FCEs need to be performed	The Recommended Default
			at an air facility. (Fixed 1 digit	Frequency values are:
			field)	o Majors: 1 year
				o Mega: 3 years
				o SM-80: 5 years
AirCMSStartDate	State Inspection		The date the compliance	Format is ccyy-mm-dd. If not
	Date Achieved		monitoring strategy for an air	provided, default is date of
			facility began or was determined.	submission. Date should be for the
			(Date field)	current fiscal year.
AirActiveCMSPlanIndicator	N/A		Flag that indicates if the	Must be "Y" for Yes or "N" for No.
			compliance monitoring strategy	If AirRemovedPlanDate is provided
			plan is currently in effect for the	then "N" must be used. If not
			air facility. (Fixed 1 character	provided in submission, default is "Y".
	27/1		field)	
AirRemovedPlanDate	N/A		The date the compliance	Format is ccyy-mm-dd. If
			monitoring strategy plan for an air	AirActiveCMSPlanIndicator = "N"
			facility became inactive. (Date	then a date must be provided.
			field)	
AirReasonChangingCMSCo	N/A		Description of why the compliance	
mments			monitoring strategy plan was	
			changed for an air facility.	
			(Variable length 200 character	
			field)	

8.7.2 Rules for Parsing Air Compliance Monitoring Strategy XML Files

A summary of rules for processing Air Compliance Monitoring Strategy data is provided in this section. Detailed explanations of these rules with examples can be found in the ICIS Air Compliance Monitoring Strategy Technical Specification document.

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OVERALL

- ➤ ICIS-Air reference tables have codes that are either Active or Inactive. Inactive codes were migrated from legacy data but the code is not being used anymore and cannot be selected when adding a new code or changing an existing code in ICIS. Active codes were both migrated from legacy data and newly created codes for ICIS-Air and can be selected when adding a new code or changing an existing code in ICIS-Air.
- Mass Deletes are applied before Replace transactions.
- Refer to the and the ICIS-Air Electronic Data Transfer User Guide for details on the ICIS-Air submission process, the ICIS-Air Example XML Instance Document for instructions on the format of the XML submission files, the ICIS-Air Compliance Monitoring Strategy EDT Technical Specifications for specific details on the rules ICIS-Air uses for processing the data being submitted, the ICIS-Air XML Data Exchange Template for formatting and characteristic details on the XML tags, and Chapter 9 of this document for submission error messages.

REPLACE

- ➤ If the air facility does not have an Air Compliance Strategy in ICIS-Air, the record will be added to ICIS-Air and populated with the data provided in the tags of the replace transaction, and its CMS Plan will be set to Active unless otherwise indicated in the AirActiveCMSPlanIndicator tag.
- A replace transaction for an Air Compliance Monitoring Strategy that already exists in ICIS-Air can only be applied if its CMS Plan is set to Active, and it has all mandatory tags plus at least one optional tag populated. Only the tags that are present in the transaction will be saved to their corresponding fields in ICIS-Air. Tags not present in the transaction will have their corresponding fields in ICIS-Air blanked out.
- > To blank out a non-mandatory field that is currently populated in ICIS-Air, either submit the tag with one asterisk in it or omit its tag from the submission altogether. If an asterisk is used in a tag to blank out a non-mandatory field in that is currently blank in ICIS, it will be ignored.

MASS DELETES

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- ➤ If a Mass Delete transaction for an Air Compliance Monitoring Strategy has any other data tags along with the AirFacilityIdentifier, those extra tags will be ignored.
- A Mass Delete transaction will only remove an Air Compliance Monitoring Strategy record that has its CMS Plan set to "A" (Active) from ICIS-Air. Compliance Monitoring Strategy records with an Inactive CMS Plan will not be deleted from ICIS-Air.

8.8 AIR DELEGATED AGENCY FORMAL ENFORCEMENT ACTION MAPPING AND RULES

8.8.1 Air Delegated Agency Formal Enforcement Action Mapping

(Rows Highlighted in Yellow are MDRs as of 8-6-2014)

		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
AirDAEnforcementActionIdenti	Facility State, Facility		Unique identifier for a formal	Two character state postal code or tribal
<mark>fier</mark>	County, LCON ID,		enforcement action taken against an	code+ICIS LCON Code or
	CDS Plant ID, Action		air facility. (Variable length 25	'000'+'A'+'0000'+AFS State
	Number Number		alphanumeric field)	Code+AFS County Code+AFS CDS
			IMPORTANT NOTE: Formal	Plant ID+AFS Action Number
			Enforcement Action XML	<mark>Or</mark>
			submission files should NOT include	Two character state postal code or tribal
				code+ ICIS LCON Code or '000'+
			Informal enforcement action data	'A'+ a unique state, tribe or local
			must be submitted in its own	agency specific ID.
				The The
			submission file. Be sure to not use the	AirDAEnforcementActionIdentifier is
				variable in length but cannot be more
			AirDAEnforcementActionIdentifier	than 25 characters long.
			for a formal enforcement action that	
			you use for informal enforcement	
			actions.	

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
AirFacilityIdentifier	Facility State,		Unique identifier for an air facility.	Format is:
	Facility County,		(Variable length 18 alphanumeric	Two character state postal code or
	LCON ID, CDS		field)	tribal code+ ICIS LCON Code or
	Plant ID			'000'+ "000" + AFS FIPS State
				Number+AFS FIPS County
				Number+AFS CDS_PLANT_ID,
				Or
				Two character state postal code or tribal code+ ICIS LCON Code or '000'+ a unique state, tribe or local agency specific ID (the entire string cannot exceed 18 characters long).
				Must be an identifier for a facility designated as "AIR" in ICIS.
EnforcementActionName	Plant Name, State		The descriptive name of the	
1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Code, County Code,		enforcement action assigned by the	
	CDS Plant ID, Action		lead attorney, or the name of the	
	Number		defendant. (Variable length 100	
			character field)	
<mark>Forum</mark>	Action Type	Ref_activity_type		Use code of "AFR" for administrative
				action or "JDC" for judicial action.
			character field)	

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
EnforcementActionTypeCode	Action Type	Ref_enf_type	Code that refers to the type of administrative formal or judicial action taken. (Variable length 7 character field)	Use a code with an ACTIVITY_TYPE_CODE of "AFR" for administrative actions or "JDC" for judicial actions, and an ACTIVITY_FILTER of "EA", "ENA", "AAA", or "NA". Use codes with a STATUS_FLAG of "A". NOTE: Judicial actions can only have one Enforcement Action Type in ICIS, but Administrative actions can have one or more.
Programs Violated Code	Air Program Codes 1 through 6	Ref_program	Code that represents an Air Program infraction to be addressed by the enforcement action. (Variable length 9 character field)	Use codes with a PROGRAM_CATEGORY of "AIR" and a STATUS_FLAG of "A".
OtherProgramDescriptionText	N/A		Description of an air program that is Federally Enforceable. (Variable length 100 character field)	Must be provided if Program Code contains "CAAFENF".
ResolutionTypeCode	Action Type	Ref_enf_outcome	Code that represents how the enforcement action was resolved. (Fixed 3 character field)	Use codes with an ACTIVITY_FILTER of EA, ENA, AAA or ENA, and a STATUS_FLAG of A. For Administrative Formal actions use an ENF_OUTCOME_CODE value that has a JUDICIAL_ADMIN_FILTER_FLAG value of B. For Judicial Formal actions use an ENF_OUTCOME_CODE value that has a JUDICIAL_ADMIN_FILTER_FLAG value of J or B.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
AirDACombinedSupersededEA ID	N/A		ICIS-Air enforcement action identifier of another enforcement action taken by the state or local agency that supersedes this enforcement action, or that this enforcement action has been combined with. (Variable length 25 alphanumeric field)	Must use only when Resolution Type Code contains "ECO". Format is: Two character state postal code or tribal code+ ICIS LCON Code or '000'+ a unique state, tribe or local agency specific ID padded with enough zeroes at the front of the unique state, tribe or local agency specific ID to make the entire string 20 characters long
ReasonDeletingRecord	N/A		Description of why the enforcement action record was deleted from ICIS-Air. (Variable length 500 character field)	
FormalEAUserDefinedField1	N/A		Field for State or Local agency use. (Fixed 1 character field)	
FormalEAUserDefinedField2	Local Control Region		Field for State or Local agency use. (Variable length 50 character field)	
FormalEAUserDefinedField3	RDE8		Field for State or Local agency use. (Variable length 50 character field)	
FormalEAUserDefinedField4	RDE16		Field for State or Local agency use. (Date field)	Format is ccyy-mm-dd.
FormalEAUserDefinedField5	N/A		Field for State or Local agency use. (Date field)	Format is ccyy-mm-dd.
FormalEAUserDefinedField6	Region Code, Action Type, Action Long Description		Field for State or Local agency use. (Variable length 4000 character field)	
FinalOrderIdentifier	N/A		Unique number for the final order associated with the enforcement action. (Variable length 5 digit number)	Each final order nust assigned its own unique number for the same enforcement action.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
FinalOrderTypeCode	Action Type	Ref_enf_conclusio n_action	Code that represents the type of final order. (Fixed 3 character field)	Must use a code with an ACTIVITY_TYPE_CODE of "AFR" for Administrative Formal action, or "JDC" for judicial Administrative action, an ACTIVITY_FILTER of EA, ENA, AAA or ENA, and a STATUS_FLAG of A. Must provide <cashcivilpenaltyrequiredamount> if PENALTY_FLAG is N. Cannot provide <cashcivilpenaltyrequiredamount> if PENALTY_FLAG is Y.</cashcivilpenaltyrequiredamount></cashcivilpenaltyrequiredamount>
FinalOrderAirFacilityIdentifier	Facility State, Facility County, LCON ID, CDS Plant ID, Action Number		Unique identifier of an air facility that the final order applies to. (Variable length 18 alphanumeric field)	Format is: Two character state postal code or tribal code+ ICIS LCON Code or '000'+ "000" + AFS FIPS State Number+AFS FIPS County Number+AFS CDS_PLANT_ID, Or Two character state postal code or tribal code+ ICIS LCON Code or '000'+ a unique state, tribe or local agency specific ID (the entire string cannot exceed 18 characters long). Must be an identifier for a facility designated as "AIR" in ICIS.
FinalOrderIssuedEnteredDate	Action Achieved Date		The date the adminstrative final order was issued or the judicial final order was entered. (Date field)	Format is ccyy-mm-dd.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
AirEnforcementActionResolved Date	Action Date Achieved			Format is ccyy-mm-dd. Do not populate if the EA is not resolved yet.
CashCivilPenaltyRequiredAmo unt	Penalty Amount		1 2	Must be a number with two decimal places.
OtherComments	N/A		Description of the enforcement action and/or final order. (Variable length 4000 character field)	
LeadAgencyCode	Action Type	Ref_agency_type	agency responsible for the	Use code with an ACTIVITY_GROUP_CODE of "EFA" and a STATUS_FLAG of "A".
EnforcementAgencyTypeCode	Action Type	Ref_agency_type	agency associated with the	Use code with an ACTIVITY_GROUP_CODE of "EFA" and a STATUS_FLAG of "A".
EnforcementAgencyName	N/A		The name of the air agency responsible for the enforcement action. (Variable length 100 character field)	
AffiliationTypeText	N/A	Ref_affiliation_typ e	governmental contact or address for the enforcement action. (Fixed 3 character field)	Use code with an AFFILIATION_CATEGORY of "Government", a STATUS_FLAG of "A", and the code can be found in the XREF_AFFILIATION_MODULE table with an APP_MODULE_CODE of "SEA".

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
ElectronicAddressText	N/A		Email address of the government contact person for the enforcement action. (Variable length 100 character field)	
StartDateOfContactAssociation	N/A		The date the contact person was reported as being associated with the enforcement action. (Date field)	Format is ccyy-mm-dd. If not provided, default is date of submission.
EndDateOfContactAssociation	N/A		The date the contact person was reported as no longer being associated with the enforcement action. (Date field)	Format is ccyy-mm-dd.
OtherAgencyInitiativeText	N/A		Description of state or local initiatives that applied to or prompted the initiation of the enforcement action. (Variable length 200 character field)	
AirPollutantCode	Pollutant Code	Ref_pollutant	Code that represents a pollutant involved in the enforcement action. (Variable length 10 digit field)	Use codes POLLUTANT_CATEGORY_CODE of "AIR" and a STATUS_FLAG of "A".
EnforcementActionCommentTe xt	Comments 1 through 6		State or Local agency comments regarding the enforcement action that can be shared with the public. (Variable length 4000 character field)	Plant = "X" and Comment Identifier of "C".
SensitiveComments	Comments 1 through 6		State or Local agency comments regarding the enforcement action that can only be viewed by a user with sensitive data access in ICIS. (Variable length 4000 character field)	Use comments with Confidential Indicator Flag of "Y", Record Type Plant = "X" and Comment Identifier of "C".

8.8.2 Rules for Parsing Air Delegated Agency Formal Enforcement Action XML Files

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A summary of rules for processing Air Delegated Agency Formal Enforcement Action data is provided in this section. Detailed explanations of these rules with examples can be found in the ICIS Air Delegated Agency Formal Enforcement Action Technical Specification document.

OVERALL

- ➤ ICIS-Air reference tables have codes that are either Active or Inactive. Inactive codes were migrated from legacy data but the code is not being used anymore and cannot be selected when adding a new code or changing an existing code in ICIS. Active codes were both migrated from legacy data and newly created codes for ICIS-Air and can be selected when adding a new code or changing an existing code in ICIS-Air.
- Mass Deletes are applied before Replace transactions.
- Refer to the and the ICIS-Air Electronic Data Transfer User Guide for details on the ICIS-Air submission process, the ICIS-Air Example XML Instance Document for instructions on the format of the XML submission files, the ICIS-Air Delegated Agency Formal Enforcement Action EDT Technical Specifications for specific details on the rules ICIS-Air uses for processing the data being submitted, the ICIS-Air XML Data Exchange Template for formatting and characteristic details on the XML tags, and Chapter 9 of this document for submission error messages.

REPLACE

- ➤ If the air facility does not have a DA Formal Enforcement Action in ICIS-Air, the record will be added to ICIS-Air and populated with the data provided in the tags of the replace transaction.
- A replace transaction for a DA Formal Enforcement Action that already exists in ICIS-Air can only be applied if it has all mandatory tags plus at least one optional tag populated. Only the tags that are present in the transaction will be saved to their corresponding fields in ICIS-Air. Tags not present in the transaction will have their corresponding fields in ICIS-Air blanked out.
- > To blank out a non-mandatory field that is currently populated in ICIS-Air, either submit the tag with one asterisk in it or omit its tag from the submission altogether. If an asterisk is used in a tag to blank out a non-mandatory field in that is currently blank in ICIS, it will be ignored.

MASS DELETES

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- ➤ If a Mass Delete transaction for a DA Formal Enforcement Action has any other data tags along with the AirDAFormalEnforcementActionIdentifier and ReasonDeletingRecord, those extra tags will be ignored.
- A Mass Delete transaction will only remove a DA Formal Enforcement Action record and any final orders or linkages to other records from ICIS-Air.

8.9 AIR DELEGATED AGENCY ENFORCEMENT ACTION MILESTONE MAPPING AND RULES

8.9.1 Air Delegated Agency Enforcement Action Milestone Mapping

(Rows Highlighted in Yellow are MDRs as of 8-6-2014)

		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
AirDAEnforcementActionIdenti	Facility State, Facility		Unique identifier for a formal	Two character state postal code or tribal
<mark>fier</mark>	County, LCON ID,		enforcement action taken against an	code+ICIS LCON Code or
	CDS Plant ID, Action		air facility. (Variable length 25	'000'+'A'+'0000'+AFS State
	Number Number			Code+AFS County Code+AFS CDS
			IMPORTANT NOTE: Milestone	Plant ID+AFS Action Number
			XML submission files should NOT	<mark>Or</mark>
				Two character state postal code or tribal
			<mark>data.</mark>	code+ ICIS LCON Code or '000'+
				'A'+ a unique state, tribe or local
				agency specific ID.
				The The
				AirDAEnforcementActionIdentifier is
				variable in length but cannot be more
				than 25 characters long.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
MilestoneTypeCode	Action Type	Ref_sub_activity_t		Use one of the following codes in bold
		<mark>ype</mark>	the state of the s	text below for the AFS Action Type
			action. (Variable length 5 character	that matches it.
			<mark>field)</mark>	Formal Judicial Enforcement Action:
				RSAGJ (Referred to State Attorney
				General)
				CMF (Complaint Filed with Court)
				CLOSE (Enforcement Action Closed)
				Formal Administrative Enforcement
				Action:
				CPOA (Complaint Filed/Proposed
				Order)
				CLSA (Enforcement Action Closed)
MilestonePlannedDate		Existing	The date the milestone event is	Format is ccyy-mm-dd.
			expected to occur. (Date field)	
Milestone Actual Date	Action Date Achieved	Existing	The actual date the milestone event	Format is ccyy-mm-dd.
			occurred. (Date field)	

8.9.2 Rules for Parsing Air Delegated Agency Enforcement Action Milestone XML Files

A summary of rules for processing Air Delegated Agency Enforcement Action Milestone data is provided in this section. Detailed explanations of these rules with examples can be found in the ICIS Air Delegated Agency Formal Enforcement Action Technical Specification document.

OVERALL

> ICIS-Air reference tables have codes that are either Active or Inactive. Inactive codes were migrated from legacy data but the code is not being used anymore and cannot be selected when adding a new code or changing an existing code in ICIS. Active

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- codes were both migrated from legacy data and newly created codes for ICIS-Air and can be selected when adding a new code or changing an existing code in ICIS-Air.
- Refer to the and the ICIS-Air Electronic Data Transfer User Guide for details on the ICIS-Air submission process, the ICIS-Air Example XML Instance Document for instructions on the format of the XML submission files, the ICIS-Air Delegated Agency Formal Enforcement Action EDT Technical Specifications for specific details on the rules ICIS-Air uses for processing the data being submitted, the ICIS-Air XML Data Exchange Template for formatting and characteristic details on the XML tags, and Chapter 9 of this document for submission error messages.

REPLACE

- ➤ If the air facility does not have a DA Enforcement Action Milestone in ICIS-Air, the record will be added to ICIS-Air and populated with the data provided in the tags of the replace transaction.
- A replace transaction for a DA Enforcement Action Milestone that already exists in ICIS-Air can only be applied if it has all mandatory tags plus at least one optional tag populated. Only the tags that are present in the transaction will be saved to their corresponding fields in ICIS-Air. Tags not present in the transaction will have their corresponding fields in ICIS-Air blanked out.
- > To blank out a non-mandatory field that is currently populated in ICIS-Air, either submit the tag with one asterisk in it or omit its tag from the submission altogether. If an asterisk is used in a tag to blank out a non-mandatory field in that is currently blank in ICIS, it will be ignored.

8.10 AIR DELEGATED AGENCY INFORMAL ENFORCEMENT ACTION MAPPING AND RULES

8.10.1 Air Delegated Agency Informal Enforcement Action Mapping

(Rows Highlighted in Yellow are MDRs as of 8-6-2014)

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
AirDAEnforcementActionIdenti			Unique identifier for an informal	Two character state postal code or
<mark>fier</mark>	County, LCON ID,		enforcement action taken against an	tribal code+ICIS LCON Code or
	CDS Plant ID, Action		air facility. (Variable length 25	'000'+'A'+'0000'+AFS State
	Number Number			Code+AFS County Code+AFS CDS
				Plant ID+AFS Action Number
			Enforcement Action XML submission	
			files should NOT include formal	Two character state postal code or
				tribal code+ ICIS LCON Code or
			enforcement action data must be	'000'+ 'A'+ a unique state, tribe or
				local agency specific ID.
			Enforcement Action XML submission	
				AirDAEnforcementActionIdentifier is
				variable in length but cannot be more
			_	than 25 characters long.
			that you use for formal enforcement	
			actions.	
AirFacilityIdentifier	Facility State,		Unique identifier for an air facility.	Format is:
	Facility County,		(Variable length 18 alphanumeric	Two character state postal code or
	LCON ID, CDS		field)	tribal code+ ICIS LCON Code or
	Plant ID			'000'+ "000" + AFS FIPS State
				Number+AFS FIPS County
				Number+AFS CDS_PLANT_ID,
				Or
				Two character state postal code or tribal code+ ICIS LCON Code or '000'+ a unique state, tribe or local agency specific ID (the entire string cannot exceed 18 characters long).
				Must be an identifier for a facility designated as "AIR" in ICIS.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
EnforcementActionName	Plant Name, State Code, County Code, CDS Plant ID, Action Number		The descriptive name of the enforcement action assigned by the lead attorney, or the name of the defendant. (Variable length 100 character field)	
AchievedDate	Action Date Achieved		The date the enforcement action was achieved. (Date field)	Format is ccyy-mm-dd.
EnforcementActionTypeCode		Ref_enf_type	Code that refers to the type of informal action taken. (Variable length 7 character field)	Use a code with an ACTIVITY_TYPE_CODE of "AIF" and an ACTIVITY_FILTER of "EA", "ENA", "AAA", or "NA". Use codes with a STATUS_FLAG of "A".
ProgramsViolatedCode	Air Program Codes 1 through 6	Ref_program	Code that represents an Air Program infraction to be addressed by the enforcement action. (Variable length 9 character field)	Use codes with a PROGRAM_CATEGORY of "AIR" and a STATUS_FLAG of "A".
OtherProgramDescriptionText	N/A		Description of an air program that is Federally Enforceable. (Variable length 100 character field)	Must be provided if Program Code contains "CAAFENF".
ReasonDeletingRecord	N/A		Description of why the enforcement action record was deleted from ICIS-Air. (Variable length 500 character field)	
FileNumber	N/A		The enforcement action identifier assigned by the State or Local agency. (Variable length 50 character field)	
InformalEACommentText	Comments 1 through 6		State or Local agency comments regarding the enforcement action that can be shared with the public. (Variable length 4000 character field)	Use comments with Confidential Indicator Flag of "N", Record Type Plant = "X" and Comment Identifier of "C".
InformalEAUserDefinedField1	N/A		Field for State or Local agency use. (Fixed 1 character field)	

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
InformalEAUserDefinedField2	Local Control Region		Field for State or Local agency use. (Variable length 50 character field)	
InformalEAUserDefinedField3	RDE8		Field for State or Local agency use. (Variable length 50 character field)	
InformalEAUserDefinedField4	RDE16		Field for State or Local agency use. (Date field)	Format is ccyy-mm-dd.
InformalEAUserDefinedField5	N/A		Field for State or Local agency use. (Date field)	Format is ccyy-mm-dd.
InformalEAUserDefinedField6	Region Code, Action Type, Action Long Description		Field for State or Local agency use. (Variable length 4000 character field)	
LeadAgencyCode	Action Type	Ref_ agency_type	Code that represents the type of air agency responsible for the enforcement action. (Fixed 3 alphanumeric field)	Use code with an ACTIVITY_GROUP_CODE of "EFA" and a STATUS_FLAG of "A".
EnforcementAgencyTypeCode	Action Type	Ref_agency_type	Code that represents the type of air agency associated with the enforcement action. (Fixed 3 alphanumeric field)	Use code with an ACTIVITY_GROUP_CODE of "EFA" and a STATUS_FLAG of "A".
EnforcementAgencyName	N/A		The name of the air agency responsible for the enforcement action. (Variable length 100 character field)	
AffiliationTypeText	N/A	Ref_affiliation_typ e	Code that represents the type of governmental contact or address for the enforcement action. (Fixed 3 character field)	Use code with an AFFILIATION_CATEGORY of "Government", a STATUS_FLAG of "A", and the code can be found in the XREF_AFFILIATION_MODULE table with an APP_MODULE_CODE of "SEA".

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
ElectronicAddressText	N/A		Email address of the government contact person for the enforcement action. (Variable length 100 character field)	
StartDateOfContactAssociation	N/A		The date the contact person was reported as being associated with the enforcement action. (Date field)	Format is ccyy-mm-dd. If not provided, default is date of submission.
EndDateOfContactAssociation	N/A		The date the contact person was reported as no longer being associated with the enforcement action. (Date field)	Format is ccyy-mm-dd.
OtherAgencyInitiativeText	N/A		Description of state or local initiatives that applied to or prompted the initiation of the enforcement action. (Variable length 200 character field)	
AirPollutantCode	Pollutant Code	Ref_pollutant	Code that represents a pollutant involved in the enforcement action. (Variable length 10 digit field)	Use codes POLLUTANT_CATEGORY_CODE of "AIR" and a STATUS_FLAG of "A".
SensitiveComments	Comments 1 through 6		State or Local agency comments regarding the enforcement action that can only be viewed by a user with sensitive data access in ICIS. (Variable length 4000 character field)	Use comments with Confidential Indicator Flag of "Y", Record Type Plant = "X" and Comment Identifier of "C".

8.10.2 Rules for Parsing Air Delegated Agency Informal Enforcement Action XML Files

A summary of rules for processing Air Delegated Agency Informal Enforcement Action data is provided in this section. Detailed explanations of these rules with examples can be found in the ICIS Air Delegated Agency Informal Enforcement Action Technical Specification document.

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OVERALL

- ➤ ICIS-Air reference tables have codes that are either Active or Inactive. Inactive codes were migrated from legacy data but the code is not being used anymore and cannot be selected when adding a new code or changing an existing code in ICIS. Active codes were both migrated from legacy data and newly created codes for ICIS-Air and can be selected when adding a new code or changing an existing code in ICIS-Air.
- Mass Deletes are applied before Replace transactions.
- Refer to the and the ICIS-Air Electronic Data Transfer User Guide for details on the ICIS-Air submission process, the ICIS-Air Example XML Instance Document for instructions on the format of the XML submission files, the ICIS-Air Delegated Agency Informal Enforcement Action EDT Technical Specifications for specific details on the rules ICIS-Air uses for processing the data being submitted, the ICIS-Air XML Data Exchange Template for formatting and characteristic details on the XML tags, and Chapter 9 of this document for submission error messages.

REPLACE

- ➤ If the air facility does not have a DA Informal Enforcement Action in ICIS-Air, the record will be added to ICIS-Air and populated with the data provided in the tags of the replace transaction.
- A replace transaction for a DA Informal Enforcement Action that already exists in ICIS-Air can only be applied if it has all mandatory tags plus at least one optional tag populated. Only the tags that are present in the transaction will be saved to their corresponding fields in ICIS-Air. Tags not present in the transaction will have their corresponding fields in ICIS-Air blanked out.
- > To blank out a non-mandatory field that is currently populated in ICIS-Air, either submit the tag with one asterisk in it or omit its tag from the submission altogether. If an asterisk is used in a tag to blank out a non-mandatory field in that is currently blank in ICIS, it will be ignored.

MASS DELETES

➤ If a Mass Delete transaction for a DA Informal Enforcement Action has any other data tags along with the AirDAFormalEnforcementActionIdentifier and ReasonDeletingRecord, those extra tags will be ignored.

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➤ A Mass Delete transaction will only remove a DA Informal Enforcement Action record and any linkages to other records from ICIS-Air.

8.11 AIR DELEGATED AGENCY CASE FILE MAPPING AND RULES

8.11.1 Air Delegated Agency Case File Mapping

(Rows Highlighted in Yellow are MDRs as of 8-6-2014)

		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
CaseFileIdentifier	Facility State, Facility		Unique identifier for an air facility's	Two character state postal code or tribal
	County, LCON ID,		· C	code+ICIS LCON Code or
	CDS Plant ID, Action		alphanumeric field)	'000'+'A'+'0000'+AFS State
	Number Number			Code+AFS County Code+AFS CDS
				Plant ID+AFS Action Number
				<mark>Or</mark>
				Two character state postal code or tribal
				code+ ICIS LCON Code or '000'+
				'A'+ a unique state, tribe or local
				agency specific ID.
				The CaseFileIdentifier is variable in
				length but cannot be more than 25
				characters long.
CaseFileName	Action Description		A descriptive name of the case file.	
			(Variable length 100 character	
			field)	

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
Lead Agency Code	Action Type	Ref_agency_type	Code that represents the type of air agency responsible for the case file. (Fixed 3 alphanumeric field)	Only use a code assigned to an activity group code of "CMD" and the appropriate agency: States should use a codes assigned to ST4, Tribes should use codes assigned to TR4, Locals should use codes assigned to LC4. Do not use an inactive lead agency type code.
AirFacilityIdentifier	Facility State, Facility County, LCON ID, CDS Plant ID		Unique identifier for an air facility, (Variable length 18 alphanumeric field)	Format is: Two character state postal code or tribal code+ ICIS LCON Code or '000'+ "000" + AFS FIPS State Number+AFS FIPS County Number+AFS CDS_PLANT_ID, Or Two character state postal code or tribal code+ ICIS LCON Code or '000'+ a unique state, tribe or local agency specific ID (the entire string cannot exceed 18 characters long). Must be an identifier for a facility designated as "AIR" in ICIS.
ProgramCode	through 6	Ref_program	Code that represents an Air Program related to the case file. (Variable length 9 character field)	Only use codes assigned to a program category of "AIR". Do not use an inactive code.
OtherProgramText	N/A		Description of an air program that is Federally Enforceable. (Variable length 200 character field)	Must be provided if Program Code contains "CAAFENF".
AirPollutantCode	Pollutant Code	Ref_pollutant	Code that represents a pollutant involved in the case file. (Variable length 10 digit field)	Only use codes assigned to a program category of "AIR". Do not use an inactive code.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
SensitiveDataIndicator	N/A		Flag that indicates if the case file can only be viewed by ICIS users with sensitive access. (Fixed 1 character field)	
OtherPathwayCategoryCode		<mark>ory</mark>	Code that refers to a manual pathway category to be associated with the case file that has not already been linked to the case file. (Fixed length 4 character field)	
OtherPathwayTypeCode	Action Type for Key Action Numbers 1 through 10	Ref_pathway_type	Code that refers to the type of manual pathway for the case file. (Fixed 3 character field)	Do not use an inactive code.
OtherPathwayDate	Action Date Achieved or Action Date Scheduled			Use Date Achieved if present, otherwise use Date Scheduled. Format is ccyy-mm-dd.
LeadAgencyChangeSuperseded		Ref_agency_type	agency that took over managing the case file from another agency due to lack of resources or exceeding the timeline established in HPV policy. (Fixed length 4 alphanumeric field)	Only use a code assigned to an activity group code of "CMD" and the appropriate agency: States should use a codes assigned to ST4, Tribes should use codes assigned to TR4, Locals should use codes assigned to LC4. Do not use an inactive lead agency type code.
AdvisementMethodTypeCode	N/A	Ref_fac_advised_violation	Code that represents the method of advisement provided by an air agency to the air facility regarding alleged violation(s). (Fixed 3 character code)	Do not use an inactive code.
AdvisementMethodDate	N/A		The date the air agency advised the air facility of the alleged violation(s). (Date field)	Format is ccyy-mm-dd.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
AirViolationTypeCode	Violation Type Code 1 through 7	Ref_air_violation_t ype	Code that represents an issue warranting additional research or analysis for an alleged FRV, HPV, NFR or other violation. (Variable length 6 alphanumeric field)	Do not use an inactive code.
AirViolationProgramCode	Air Program Code 1 through 6	Ref_program	related to the alleged violation. (Variable length 9 character field)	Do not use an inactive code.
AirViolationProgramDescriptionText	N/A		Federally Enforceable. (Variable length 100 character field)	Must be provided if Air Violation Program Code contains "CAAFENF".
AirViolationPollutantCode	Violating Pollutant 1 through 3	Ref_pollutant	warranting additional research or	Only use codes assigned to a program category of "AIR". Do not use an inactive code.
FRVDeterminationDate	Action Date Achieved		The date an alleged violation met the criteria for being designated as an FRV. (Date field)	Format is ccyy-mm-dd.
HPVDayZeroDate	Action Date Achieved		The date an alleged violation met the criteria for being designated as an HPV. (Date field)	Format is ccyy-mm-dd.
OccurrenceStartDate	N/A		The date the alleged violation began occurring. (Date field)	Format is ccyy-mm-dd.
OccurrenceEndDate	N/A		The date the alleged violation stopped occurring. (Date field)	Format is ccyy-mm-dd.
HPVDesignationRemovalType Code	N/A	Ref_air_designatio n_removal	Code that refers to the reason for an HPV designation being removed from the alleged violation. (Variable length 4 character field)	
HPVDesignationRemovalDate	N/A		The date an HPV designation was removed from the alleged violation. (Date field)	Format is ccyy-mm-dd.

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		ICIS Code		
XML Tag Name	AFS Counterpart	Table	ICIS Column	Comments
ClaimsNumber	N/A		The total number of alleged violating instances within the Occurrence Start and End window for the air violation that quantifies the extent of the issue	
CaseFileUserDefinedField1	N/A		(Variable length 2 digit field) Field for State or Local agency use. (Fixed 1 character field)	
CaseFileUserDefinedField2	Local Control Region	Region	Field for State or Local agency use. (Variable length 50 character field)	
CaseFileUserDefinedField3	RDE8		Field for State or Local agency use. (Variable length 50 character field)	
CaseFileUserDefinedField4	RDE16	RDE16	Field for State or Local agency use. (Date field)	Format is ccyy-mm-dd.
CaseFileUserDefinedField5	N/A		Field for State or Local agency use. (Date field)	Format is ccyy-mm-dd.
CaseFileUserDefinedField6	N/A		Field for State or Local agency use. (Variable length 4000 character field)	
CaseFileCommentText	Comments 1 through 4			Use comments with Confidential Indicator Flag of "N", Record Type Plant = "X" and Comment Identifier of "C".
SensitiveComments	Comments 1 through 4		State or Local agency comments regarding the case file and/or alleged violation(s)that can only be viewed by a user with sensitive data access in ICIS. (Variable length 4000 character field)	Plant = "X" and Comment Identifier of "C".

8.11.2 Rules for Parsing Air Delegated Agency Case File XML Files

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A summary of rules for processing Air Delegated Agency Case File data is provided in this section. Detailed explanations of these rules with examples can be found in the ICIS Air Delegated Agency Case File Technical Specification document.

OVERALL

- ➤ ICIS-Air reference tables have codes that are either Active or Inactive. Inactive codes were migrated from legacy data but the code is not being used anymore and cannot be selected when adding a new code or changing an existing code in ICIS. Active codes were both migrated from legacy data and newly created codes for ICIS-Air and can be selected when adding a new code or changing an existing code in ICIS-Air.
- Mass Deletes are applied before Replace transactions.
- Refer to the and the ICIS-Air Electronic Data Transfer User Guide for details on the ICIS-Air submission process, the ICIS-Air Example XML Instance Document for instructions on the format of the XML submission files, the ICIS-Air Delegated Agency Case File EDT Technical Specifications for specific details on the rules ICIS-Air uses for processing the data being submitted, the ICIS-Air XML Data Exchange Template for formatting and characteristic details on the XML tags, and Chapter 9 of this document for submission error messages.

REPLACE

- ➤ If the air facility does not have the Case File in ICIS-Air, the record will be added to ICIS-Air and populated with the data provided in the tags of the replace transaction.
- A replace transaction for a DA Case File that already exists in ICIS-Air can only be applied if it has all mandatory tags plus at least one optional tag populated. Only the tags that are present in the transaction will be saved to their corresponding fields in ICIS-Air. Tags not present in the transaction will have their corresponding fields in ICIS-Air blanked out.
- > To blank out a non-mandatory field that is currently populated in ICIS-Air, either submit the tag with one asterisk in it or omit its tag from the submission altogether. If an asterisk is used in a tag to blank out a non-mandatory field in that is currently blank in ICIS, it will be ignored.

MASS DELETES

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- ➤ If a Mass Delete transaction for a DA Case File has any other data tags along with the CaseFileIdentifier, those extra tags will be ignored.
- A Mass Delete transaction will only remove a DA Case File record and any linkages to other records from ICIS-Air.

9 ERROR MESSAGES

9.1 ICIS-AIR ELECTRONIC DATA TRANSFER ERROR MESSAGES

This section lists error messages generated by ICIS-Air Electronic Data Transfer when an error is encountered. The first subsection lists error messages encountered during the processing of DMR submittals. Future subsections will be added for the other ICIS data families when Full Electronic Data Transfer development occurs.

9.1.1 Air Facility Error Messages

The table below lists error messages that are generated when ICIS-Air Electronic Data Transfer cannot process an Air Facility transaction, what caused the error, how the error affected the transaction, and the key fields of the transaction that had the error.

Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	The system shall enforce the security model for the users to view, add, edit, copy, and delete a Facility. Refer to ICIS-Air Security Requirements.		User <id value=""> does not have privileges to perform this <transaction type="" value=""> <submission type="" value=""> transaction.</submission></transaction></id>	R, X
FAC-060	Transaction Type must be valid for Air Facility. Valid Transaction Types are R (Replace) and Mass Delete (X).		Transaction Type <transaction type="" value=""> is not valid for <submission type="" value="">.</submission></transaction>	R, X

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FAC-061	The following Facility Location data is require to save an Air Facility record in ICIS: Facility Site Name Address City Name (GNIS) State Zip Code OR Facility Site Name Address City County Name (GNIS) State Zip Code	AFC010	 (Facility Site Name, Address, Location Address City Code (or Locality Name and County Code), State, Zip Code) must exist in ICIS. Note: In the message above, all XML tags that may have this error are listed in parentheses. Only the tags for which this error occurs will be included in the actual error message. Parentheses will not display in the error messages; they just indicate that the message is dynamic. 	R
Air Facility	y Key Elements			
FAC-062	Programmatic ID must exist in ICIS-Air.	AFC030	An Air Facility does not exist for the key data entered.	X
FAC-063	If the Air Facility transaction contains only key data and no other data, ICIS rejects the Air Facility transaction. Note: This business rule is not checked for Replace	AFC040	The Air Facility transaction only contains key data and no other data for processing.	R-C
Air Eacility	transactions where the Air Facility does not exist in ICIS. y Deletion			
Til I acility	y Deletion			

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FAC-014	The system shall not allow a Facility to be deleted if it is linked to one or more of the following activities: Compliance Monitoring Activities Enforcement Actions Voluntary Disclosures ADRs Incidents Compliance Assistance Activities Case Files.	AFC060	The Air Facility cannot be deleted because it is linked to the following activities: (Compliance Monitoring Activities, Enforcement Actions, Voluntary Disclosures, ADRs, Incidents, Compliance Assistance Activities, Case Files). Note: In the message above, all XML tags that may have this error are listed in parentheses. Only the tags for which this error occurs will be included in the actual error message. Parentheses will not display in the error messages; they just indicate that the message is dynamic.	X
	The system shall not allow a Facility to be deleted if one or more of the following child records exist: CMS	AFC020	The Air Facility cannot be deleted because a CMS child record(s) exist for the Facility.	×
Facility Lo	ocation Information/Air Facility Identifier			
	For State and LCON Air Facilities, Position 1-2 of the Programmatic ID must be a valid State or Tribe (i.e., Active Code in REF_STATE table where usage indicator equals N or B). Note: This business rule is not checked for Replace transactions where the Air Facility exists in ICIS.	AFC070	The State in the first two characters of the Air Facility Identifier must be an active value with Usage Indicator = N or B in the ICIS reference table.	R-N
	•	AFC080	The characters in position three to five of the Air Facility Identifier must match the LCON Code in Facility Location or must be '000' if no Facility Location LCON Code exists.	R-N

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FAC-090	For EPA Air Facilities, the first two characters of the Air Facility Identifier must be a valid (i.e., Active) code in the REF_REGION table and the code cannot be HQ, WF, or EF.	AFC090	The Region in the first two characters of the Air Facility Identifier does not exist or is inactive in the ICIS reference table or is equal to HQ, WF, or EF, which are not valid for EPA Air Facilities.	R-N
	Note: This business rule is not checked for Replace transactions where the Air Facility already exists in ICIS.			
FAC-091	For EPA Air Facilities, the characters in positions 3-5 must be '000'.	AFC091	The third through fifth characters of the Air Facility Identifier must be '000' for an EPA Air Facility.	R-N
	Note: This business rule is not checked for Replace transactions where the Air Facility already exists in ICIS.			
FAC-092	LCON Code cannot be submitted for State or EPA Air Facilities.	AFC092	LCON Code cannot be submitted because the Air Facility Identifier represents a State or EPA Air Facility.	R
FAC-068	LCON cannot be changed.	AFC100	LCON Code cannot be changed.	R-C
	Note: This business rule is not checked for Replace transactions where the Air Facility does not exist in ICIS or the Air Facility is State or EPA.			
FAC-069	City Name (GNIS) must be a valid (i.e. Active) code in the REF_CITY table and must be a valid City for the State value.	AFC110	Location Address City Code <location address="" city="" code="" value=""> does not exist or is inactive in the ICIS reference table or is not valid for the State Code.</location>	R
FAC-096	County must be a valid (i.e., Active) code in the REF_COUNTY table for the State submitted.	FAC370	Location County Code < Location Address County Code value> does not exist, is inactive in the ICIS reference table, or is not valid for the Location State Code submitted, .	R
FAC-070	State must be a valid (i.e., Active) code and have a usage_indicator = B in the REF_STATE table.	AFC120	Location State Code <location code="" state="" value=""> does not exist, does not have a Usage Indicator = B, or is inactive in the ICIS reference table.</location>	R
	Note: This business rule is not checked for Replace transactions where the Air Facility exists in ICIS.			
FAC-071	LCON must be a valid (i.e., Active) code in the REF_AIR_LCON table and must be a valid LCON for the State or Tribe in Position 1-2 of the Programmatic ID.	AFC130	LCON Code <lcon code="" value=""> does not exist or is inactive in the ICIS reference table or is not valid LCON for the State or Tribe in Position 1-2 of the Air Facility Identifier.</lcon>	R-N
	Note: This business rule is not checked for Replace transactions where the Air Facility exists in ICIS.			

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Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FAC-072	Tribal Land must be a valid (i.e., Active) code in the REF_TRIBAL_LAND table.	FAC190	Tribal Land Code <tribal code="" land="" value=""> does not exist or is inactive in the ICIS reference table.</tribal>	R
Other Fac	cility Information			
FAC-064	Environmental Justice must be a valid (i.e., Active) code in the REF_ENVIRONMENTAL_JUSTICE table.	FAC180	Facility Environmental Justice Code <facility code="" environmental="" justice="" value=""> does not exist or is inactive in the ICIS reference table.</facility>	R
FAC-073	Facility Type of Ownership must be a valid (i.e. Active) code in the REF_FACILITY_TYPE table.	FAC250	Facility Type of Ownership Code <facility code="" of="" ownership="" type="" value=""> does not exist or is inactive in the ICIS reference table.</facility>	R
FAC-088	Universe Indicator must be a valid (i.e., Active) code in the REF_FAC_UNIVERSE_INDICATOR table.	AFC180	Universe Indicator Code <universe code="" indicator="" value=""> does not exist or is inactive in the ICIS reference table.</universe>	R
			Note: One error message per unique Universe Indicator Code.	
NAICS/SI	C			
FAC-036	The system shall require the user to enter a Primary NAICS Code to save a Facility.	AFC140	Primary NAICS Code is required to save an Air Facility transaction.	R
FAC-074	Facility SIC Code must be a valid (i.e., Active) code in the REF_SIC table.	FAC080	Facility SIC Code <sic 1,="" 2,="" code="" n="" sic="" value=""> does not exist or is inactive in the ICIS reference table.</sic>	
FAC-075	Facility NAICS Code must be a valid (i.e., Active) code in the REF_NAICS table.	FAC090	Facility NAICS Code <naics 1,="" 2,="" code="" n="" naics="" value=""> does not exist or is inactive in the ICIS reference table.</naics>	R
FAC-076	Only one facility SIC Code can be designated as the Primary SIC Code.	FAC100	More than one facility SIC Code <sic 1,="" 2,="" code="" n="" sic="" value=""> has been designated with a SIC Primary Indicator Code.</sic>	R
FAC-077	Only one facility NAICS Code can be designated as the Primary NAICS Code.	FAC110	More than one facility NAICS Code <naics 1,="" 2,="" code="" n="" naics="" value=""> has been designated with a NAICS Primary Indicator Code.</naics>	R
FAC-078	Asterisks must be entered in all required facility SIC tags (SIC Code and SIC Primary Indicator Code) to blank out all facility SIC Codes. If asterisks are only entered in some required tags and values are entered in other required tags, the transaction will be rejected.	FAC120	Both asterisks and values were entered in the required facility tags SIC Code and SIC Primary Indicator Code. All asterisks or all values must be entered in the required tags.	R

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FAC-079	Asterisks must be entered in all required facility NAICS tags (NAICS Code and NAICS Primary Indicator Code) to blank out all facility NAICS Codes. If asterisks are only entered in some required tags and values are entered in other required tags, the transaction will be rejected.	FAC130	Both asterisks and values were entered in the required facility tags NAICS Code and NAICS Primary Indicator Code. All asterisks or all values must be entered in the required tags.	R
FAC-080	The same facility SIC Code cannot be included multiple times with different SIC Primary Indicator Codes.	FAC140	Facility SIC Code <sic code="" value=""> was submitted multiple times with different SIC Primary Indicator Code values. Note: One error message per unique SIC Code.</sic>	R
FAC-081	The same facility NAICS Code cannot be included multiple times with different NAICS Primary Indicator Codes.	FAC150	Facility NAICS Code <naics code="" value=""> was submitted multiple times with different NAICS Primary Indicator Code values.</naics>	R
Portable S	 		Note: One error message per unique NAICS Code.	
		AFC150	Portable Source Site Name <portable name="" site="" source="" value="">, Portable Source Start Date <portable <portable="" date="" end="" source="" value="">: Portable Source Start Date must be less than or equal to the Portable Source End Date. Note: One error message per Portable Source (i.e. unique combination of Portable Source Site Name, Portable Source Start Date, and Portable Source End Date).</portable></portable>	R
FAC-082	If Portable Source (i.e. combination of Site Name, Start Date and End Date) exists then Portable Source Flag must equal 'Y'.	AFC160	If Portable Source Data exists, Portable Source Indicator must equal 'Y'.	R
FAC-083	Asterisks must be entered in all required facility Portable Source tags (Portable Source Name and Portable Source Start Date) to blank out all facility Portable Source data. If asterisks are only entered in some required tags and values are entered in other required tags, the transaction will be rejected.	AFC170	The combination of asterisks and values were entered in the required facility tags Portable Source Site Name and Portable Source Start Date. All asterisks or all values must be entered in the required tags.	R
Air Geogr	aphical Coordinate			

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FAC-032	Facility Latitude is a required data element if Facility Longitude is entered, and vice versa.	FAC260	Latitude Measure must be entered because Longitude Measure has been entered.	R
			Longitude Measure must be entered because Latitude Measure has been entered.	
FAC-033	Latitude must be greater than or equal to -90 and less than or equal to 90.	FAC330	Latitude Measure <latitude measure="" value=""> must be greater than or equal to -90 and less than or equal to 90.</latitude>	R
FAC-034	Longitude must be greater than or equal to -180 and less than or equal to 180.	FAC340	Longitude Measure <longitude measure="" value=""> must be greater than or equal to -180 and less than or equal to 180.</longitude>	R
FAC-035	The system shall allow the user to enter the following data only if Facility Latitude and Facility Longitude are entered: Horizontal Accuracy Measure Horizontal Collection Method Horizontal Reference Datum Reference Point Source Map Scale Number Geometric Type Note: When submitting a Replace transaction, Lat/Long must both be submitted with any of these data tags.	FAC270	The following data cannot be entered because Facility Latitude and Facility Longitude were not entered: (Horizontal Accuracy Measure, Horizontal Collection Method Code, Horizontal Reference Datum Code, Reference Point Code). Note: In the message above, all XML tags that may have this error are listed in parentheses. Only the tags for which this error occurs will be included in the actual error message. Parentheses will not display in the error messages; they just indicate that the message is dynamic.	R
FAC-084	Geometric Type must be a valid (i.e., Active) code in the REF_GEOMETRIC_TYPE table.	FAC280	Geometric Type Code <geometric code="" type="" value=""> does not exist or is inactive in the ICIS reference table.</geometric>	R
FAC-085	Horizontal Collection Method must be a valid (i.e., Active) code in the REF_HORIZONTAL_COLLECT_METHOD table.	FAC290	Horizontal Collection Method Code <horizontal code="" collection="" method="" value=""> does not exist or is inactive in the ICIS reference table.</horizontal>	R
FAC-086	Horizontal Reference Datum must be a valid (i.e., Active) code in the REF_HORIZONTAL_REF_DATUM table.	FAC300	Horizontal Reference Datum Code <horizontal code="" reference="" value=""> does not exist or is inactive in the ICIS reference table.</horizontal>	R
FAC-087	Reference Point must be a valid (i.e., Active) code in the REF_REFERENCE_POINT table.	FAC310	The Reference Point Code <reference code="" point="" value=""> does not exist or is inactive in the ICIS reference table.</reference>	R

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9.1.2 Air Program Error Messages

The table below lists error messages that are generated when ICIS-Air Electronic Data Transfer cannot process an Air Program transaction, what caused the error, how the error affected the transaction, and the key fields of the transaction that had the error.

Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	The system shall enforce the security model for the users to view, add, edit, and delete an Air Program. Refer to ICIS-Air Security Requirements.	BAT020	User <id value=""> does not have privileges to perform this <transaction type="" value=""> <submission type="" value=""> transaction.</submission></transaction></id>	R, X
	Transaction Type must be valid for Air Programs. Valid Transaction Types are Replace (R) and Mass Delete (X).	BAT010	Transaction Type <transaction type="" value=""> is not valid for <submission type="" value="">.</submission></transaction>	R, X
Air Progra	ams Key Elements			
	Program Code must be a valid (i.e., Active) code and must have a program_category_code = 'AIR' in the REF_PROGRAM table.	APR020	Air Program Code <air code="" program="" value=""> does not exist, is not a valid code for Air Programs, or is inactive in the ICIS reference table.</air>	R-N
	Notes: This business rule is not checked for Replace transactions where the Air Program exists in ICIS.			
	If the Air Program transaction contains only key data and no other data, ICIS rejects the Air Programs transaction.	APR030	The Air Programs transaction only contains key data and no other data for processing.	R-C
	Notes: This business rule is not checked for Replace transactions where the Air Program does not exist in ICIS.			
PRO-061	The Air Facility must exist in ICIS.	APR040	An Air Program cannot be added because the Air Facility Identifier does not exist in ICIS	R-N
	Notes: This business rule is not checked for Replace transactions where the Air Program exists in ICIS.			
Delete Air	Program			
	An Air Program cannot be deleted if it is the only Air Program for the Air Facility.	APR050	The Air Program cannot be deleted because at least one Air Program must exist for the Air Facility.	X
PRO-056	Air Program must exist in ICIS.	APR060	An Air Program does not exist for the key data entered.	X
Other Pro	gram Description			

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Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	If Air Program = Federally Enforceable Requirement, Program Description must exist.	APR070	Other Program Description Text must be entered because Air Program Code = CAAFENF.	R
Air Progra	m Operating Status			
	When adding a new Program Operating Status Row or editing a Current Program Operating Status row to an existing Program record, the Program Operating Status Start Date must be greater than the historical Program Operating Status row Start Date.	APR090	The Air Program Operating Status Start Date submitted must be greater than the historical Program Operating Status row Start Date in ICIS.	R-C
	Notes: This business rule is not checked for Replace transactions where the Air Program does not exist in ICIS.			
	Air Program Operating Status Code must be a valid (i.e. Active) code in the REF_AIR_OPERATING_STATUS table.	APR100	Air Program Operating Status Code <air code="" operating="" program="" status="" value=""> does not exist or is inactive in the ICIS reference table.</air>	R
	At least one Air Program Operating Status row must exist for an Air Program.	APR110	At least one Air Program Operating Status Code and Air Program Operating Status Start Date must exist for the Air Program.	R
Air Progra	m Subparts			
	The system shall require the user to enter one of the following Air Programs in order to add an Air Program Subpart: State Implementation Plan (SIP) Federal Implementation Plan (FIP) NESHAP NSPS MACT GHG		Air Program Subparts cannot be added for the Air Program Code <air code="" program="" value="">.</air>	R
	The system shall require the user to enter at least one or more subparts if the following Air Programs are added to the Facility record: NESHAP NSPS MACT	APR130	Air Program Subparts must be added for the Air Program Code <air code="" program="" value="">.</air>	R
	Applicable Air Program Subparts must be a valid (i.e. Active) code in the REF_AIR_PROGRAM_SUBPART table.	APR140	Air Program Subpart Code <air code="" program="" subpart="" value=""> does not exist or is inactive in the ICIS reference table.</air>	R

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	For the following Air Programs, Air Program Subparts Code must equal REF_AIR_PROGRAM_SUBPART.Program_Code:		Air Program Subpart Code <air code="" program="" subpart="" value=""> is not a valid code for the Air Program Code submitted.</air>	R
	NESHAPNSPSMACTGHG		Note: This error message is issued once for each Air Program Subpart Code.	

9.1.3 Air Pollutant Error Messages

The table below lists error messages that are generated when ICIS-Air Electronic Data Transfer cannot process an Air Pollutant transaction, what caused the error, how the error affected the transaction, and the key fields of the transaction that had the error.

Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	The system shall enforce the security model for the users to view, add, edit, and delete an Air Pollutant. Refer to ICIS-Air Security Requirements.	BAT020	User <id value=""> does not have privileges to perform this <transaction type="" value=""> <submission type="" value=""> transaction.</submission></transaction></id>	R, X
	The following is required to save an Air Pollutant record:	POL010	Air Pollutant EPA Classification Code and Air Pollutant EPA Classification Start Date or Air Pollutant DA Classification Code and Air Pollutant DA Classification Start Date must exist to save an Air Pollutant.	R
POL-071	Transaction Type must be valid for Air Pollutants. Valid Transaction Types are R (Replace) and Mass Delete (X).	BAT010	Transaction Type <transaction type="" value=""> is not valid for <submission type="" value="">.</submission></transaction>	R, X
Air Polluta	ants Key Elements			

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Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
POL-062	The Air Facility must exist in ICIS. Note: This business rule is not checked for Replace transactions where the Air Pollutant exists in ICIS.	POL020	An Air Pollutant cannot be added because the Air Facility Identifier does not exist in ICIS.	R-N
POL-064	Air Pollutant must be a valid (i.e., Active) code and must have a program_category_code = 'AIR' in the REF_POLLUTANT table. Note: This business rule is not checked for Replace transactions where the Air Pollutant exists in ICIS.	POL040	Air Pollutants Code does not exist, is not a valid code for Air Pollutant, or is inactive in the ICIS reference table.	R-N
POL-065	Air Pollutant must exist for the Air Facility in ICIS.	POL050	An Air Pollutant does not exist for the key data entered.	X
POL-066	If the Air Pollutants transaction contains only key data and no other data, ICIS rejects the Air Pollutants transaction. Note: This business rule is not checked for Replace transactions where the Air Pollutant does not exists in ICIS.	POL060	The Air Pollutants transaction only contains key data and no other data for processing.	R-C
Air Polluta	ant Deletion			
POL-034	A Delegated Agency user cannot delete a Pollutant record if an EPA Classification row exists on the Pollutant record.	POL070	The Pollutant record could not be deleted because EPA Classification Status row(s) exist for the record in ICIS.	Х
POL-059	An Air Pollutant cannot be deleted if it is the only Air Pollutant for the Air Facility.	POL030	The Air Pollutant cannot be deleted because it is the only Air Pollutant for the Air Facility.	Х
Air Polluta	ant EPA/DA Classification			
POL-028	The start date for EPA or DA Classification must be less than or equal to the current date.	POL080	The Air Pollutant EPA Classification Start Date <air classification="" date="" epa="" pollutant="" start="" value=""> submitted must be less than or equal to the current date.</air>	R
		POL085	The Air Pollutant DA Classification Start Date <air classification="" da="" date="" pollutant="" start="" value=""> submitted must be less than the current date.</air>	

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	When adding a new EPA Classification Status Row or editing a Current Status Row to an existing Pollutant record, the EPA Classification Status Start Date must be greater than the historical record's EPA Classification Status Start Date.		The Air Pollutant EPA Classification Start Date submitted must be greater than the historical EPA Classification row Start Date < historical EPA Classification row Start Date value> in ICIS.	R-C
	Note: This business rule is not checked for Replace transactions where the Air Pollutant does not exist in ICIS.			
POL-031	When adding a new Delegated Agency Classification Status Row or editing a Current Status Row for an existing Pollutant record, the Delegated Agency Classification Status Start Date must be greater than the historical record's Delegated Agency Classification Status Start Date. Note: This business rule is not checked for Replace		The Air Pollutant DA Classification Start Date submitted must be greater than the historical DA Classification row Start Date < historical DA Classification row Start Date value> in ICIS.	R-C
	transactions where the Air Pollutant does not exist in ICIS.			
	EPA Classification and DA Classification must be a valid (i.e. Active) code in the REF_AIR_POLLUTANT_CASS table.	POL110	Air Pollutant EPA Classification Code <air classification="" code="" epa="" pollutant="" value=""> does not exist or is inactive in the ICIS reference table.</air>	R
		POL115	Air Pollutant DA Classification Code <air classification="" code="" da="" pollutant="" value=""> does not exist or is inactive in the ICIS reference table.</air>	
POL-070	EPA Classification and EPA Classification Start Date can only be updated by HQ and Regional Users.	POL140	User <id value=""> does not have privileges to submit EPA Classification Data.</id>	R

9.1.4 Air Delegated Agency Compliance Monitoring Error Messages

The table below lists error messages that are generated when ICIS-Air Electronic Data Transfer cannot process an Air Delegated Agency Compliance Monitoring transaction, what caused the error, how the error affected the transaction, and the key fields of the transaction that had the error.

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FPI-001	The system shall enforce the security model for the users to view, add, edit, copy, and delete an Inspection/Evaluation, Investigation, or Information Request. Refer to ICIS-Air Security Requirements. Note: State and LCON must be a valid State and LCON based on the User ID geography.	BAT020	User <id value=""> does not have privileges to perform this <transaction type="" value=""> <submission type="" value=""> transaction.</submission></transaction></id>	R, X
All Submi	ssions: Key Elements			
FPI-101	Compliance Monitoring ID must exist in ICIS.	CM050	A Compliance Monitoring Activity does not exist for the key data entered.	X
All Submi	ssions: Compliance Monitoring Information/Compliance Monito	ring Identifie	er	
FPI-104	Position 1-2 of the Compliance Monitoring ID must be a valid (i.e., Active code where usage_indicator = N or B) code in the REF_STATE table. Note: This business rule is not checked for Replace transactions where the Compliance Monitoring Activity exists	FPI104	The first two characters (i.e., State Code) of the Air DA Compliance Monitoring Identifier does not exist or is inactive in the ICIS Reference Table.	R-N
FPI-105	in ICIS. Position 3-5 of the Compliance Monitoring ID must be a valid (i.e., Active) LCON code in the REF_AIR_LCON table for the corresponding State in position 1-2 of the Delegated Agency Compliance Monitoring Activity and if no LCON is associated to that record, Position 3-5 must be '000'. Note: This business rule is not checked for Replace transactions where the Compliance Monitoring Activity exists in ICIS.	FPI105	The characters in position three to five (i.e., LCON Code) of the Air DA Compliance Monitoring Identifier does not exist or is inactive in the ICIS Reference Table or must be '000'.	R-N
FPI-132	Position 6 of the Compliance Monitoring ID must be 'A'.	FPI106	The character in position six must be 'A'.	R-N
FPI-114	Lead Agency must be a valid (i.e., Active) code with an Activity_Group_Code = CMM in the REF_AGENCY_TYPE table.	FPI114	Lead Agency Code <lead agency="" code="" value=""> does not have an Activity Group Code of CMM (Compliance Monitoring), does not exist, or is inactive in the ICIS reference table.</lead>	R
All Submi	ssions: Linked Facility			
	Air Facility Identifier(s) must exist in ICIS where Program System Acronym = 'AIR'.	FPI115	Air Facility Identifier(s) <air 1,="" 2="" air="" facility="" id="" n="" value=""> does not exist in ICIS.</air>	R

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FPI-134	An Air Facility Identifier cannot be unlinked from a Compliance Monitoring Activity if it is the only Air Facility ID that is in common with a Related Activity (e.g., Enforcement Action, Case File) that is linked to the Compliance Monitoring Activity.	FPI134	The Air Facility Identifier cannot be unlinked from the Compliance Monitoring Activity because it is the only Air Facility ID that is in common with a Related Activity that is linked to the Compliance Monitoring Activity.	R-C
All Submi	ssions: Compliance Monitoring Dates			
FPI-061	The system shall ensure that the Planned Start Date is less than or equal to the Planned End Date.	CM400	Compliance Monitoring Planned Start Date must be less than or equal to the Compliance Monitoring Planned End Date.	R
FPI-064	Actual Start Date must be less than or equal to the Actual End Date.	CM170	Compliance Monitoring Start Date must be less than or equal to the Compliance Monitoring Date <compliance date="" monitoring="" value="">.</compliance>	R
FPI-065	Actual End Date must be less than or equal to the current date.	CM180	Compliance Monitoring Date must be less than or equal to the current date.	R
All Submi	ssions: Air Program			
FPI-069	The system shall require the user to select at least one additional value for Applicable Air Programs if "Other" has been selected for Air Programs field.	FPI069	One additional Program Code must exist because Air Program = CAAOTH (Other).	R
FPI-117	Air Programs must be a valid (i.e., Active) code with a Program_Category_Code = AIR in the REF_PROGRAM table.	FPI117	Program Code <program 1,="" 2,="" code="" n="" program="" value=""> does not have Program Category = AIR, does not exist, or is inactive in the ICIS reference table.</program>	R
FPI-118	If Air Program = Federally Enforceable Requirement, Program Description must exist.	FPI118	Other Program Description Text must be entered because Program = CAAFENF.	R
All Submi	issions: Pollutants Involved			
FPI-120	Pollutants on the Pollutants Involved list must be a valid (i.e., Active) code with Pollutant_Category_Code = AIR in the REF_POLLUTANT table.	FPI120	Air Pollutant Code <air 1,="" 2,="" air="" code="" n="" pollutant="" value=""> on the Pollutants Involved list does not have a Pollutant Category Code of Air, does not exist, or is inactive in the ICIS reference table.</air>	R
All Submi	ssions: Initiatives			
FPI-122	Regional Priority must be a valid (i.e., Active) code with a Region_Code = <region for="" state="" submitted=""> in the REF_PRIORITY table.</region>	CM480	Regional Priority Code <regional 1,<br="" code="" priorities="" value="">Regional Priorities Code value 2, Regional Priorities Code value n> does not have a Region Code of <epa code="" region="" value="">, does not exist, or is inactive in the ICIS reference table.</epa></regional>	R

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FPI-121	OECA National Initiative must be a valid (i.e., Active) code with a Region_Code = HQ in the REF_PRIORITY table.	FPI121	National Priorities Codes <national 1,<br="" code="" priorities="" value="">National Priorities Code value 2, National Priorities Code value n> does not have a Region Code of HQ (Headquarters), does not exist, or is inactive in the ICIS reference table.</national>	R
All Submi	ssions: Government Contacts			
FPI-123	The Government Contact identified by Email Address must exist in ICIS.	GC010	The Government Contact(s) identified by Electronic Address Text <electronic 1,="" 2,="" address="" electronic="" n="" text="" value=""> does not exist in ICIS.</electronic>	R
FPI-124	For Government Contact, the Affiliation Type must be a valid (i.e., Active) code with an Affiliation_Category = Government in the REF_AFFILIATION_TYPE table.	GC020	Affiliation Type Text <affiliation 1,="" 2,="" affiliation="" n="" text="" type="" value=""> does not have an Affiliation Category of Government, does not exist, or is inactive in the ICIS reference table.</affiliation>	R
FPI-125	For Government Contact, the Affiliation Type must have an App_Module_Code = IPN (Inspections) in the XREF_AFFILIATION_MODULE table.	GC030	Affiliation Type Text <affiliation 1,="" affiliation="" n="" text="" type="" value=""> is not valid for <submission type="" value="">.</submission></affiliation>	R
FPI-126	Asterisks must be entered in all required tags to blank out all Government Contacts. If asterisks are only entered in some required tags and values are entered in other required tags, the transaction will be rejected.	GC050	For one or more Government Contacts, both asterisks and values were entered in the required tags. The required tags must contain either all asterisks or all values.	R
FPI-095	Transaction Type must be valid for Air Delegated Agency Compliance Monitoring. Valid Transaction Types are R (Replace), and X (Mass Delete).	BAT010	Transaction Type <transaction type="" value=""> is not valid for <submission type="" value="">.</submission></transaction>	R, X
FPI-129	Only an Air State or Air LCON Compliance Monitoring Activity can be edited or deleted during an Air DA Compliance Monitoring transaction. Note: This business rule is not checked for Replace transactions where the Compliance Monitoring Activity does not exist in ICIS.	FPI129	Only an Air State or Air LCON Compliance Monitoring Activity can be edited or deleted during an Air DA Compliance Monitoring transaction.	R-C, X

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FPI-096	 If Compliance Activity Type is INV, the following Delegated Agency Compliance Monitoring data must exist: Compliance Monitoring Type Programmatic ID Planned End Date or Actual Start Date or Actual End Date Air Program 	FPI096	 (Compliance Activity Type Code, Compliance Monitoring Type, Air Facility Identifier, Compliance Monitoring Planned End Date or Compliance Monitoring Start Date or Compliance Monitoring Date, Air Program Code) must exist. Note: In the message above, all XML tags that may have this error are listed in parentheses. Only the tags for which this error occurs will be included in the actual error message. Parentheses will not display in the error messages; they just indicate that the message is dynamic. 	R
FPI-099	Compliance Activity Type must exist.	FPI099	Compliance Activity Type Code must exist.	R
FPI-100	If Compliance Activity Type is INS or INF, the following Delegated Agency Compliance Monitoring data must exist:	FPI100	 (Compliance Activity Type Code, Compliance Monitoring Type, Air Facility Identifier, Compliance Monitoring Date or Compliance Monitoring Planned End Date, Air Program Code) must exist. Note: In the message above, all XML tags that may have this error are listed in parentheses. Only the tags for which this error occurs will be included in the actual error message. Parentheses will not display in the error messages; they just indicate that the message is dynamic. 	R
Air DA Co	ompliance Monitoring Submission only: Key Elements			
FPI-102	If the Delegated Agency Compliance Monitoring transaction contains only key data and no other data, ICIS rejects the Delegated Agency Compliance Monitoring transaction. Note: This business rule is not checked for Replace transactions where the Compliance Monitoring Activity does not exist in ICIS.	CM060	The Compliance Monitoring transaction contains key data and no other data for processing.	R-C

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
Air DA Co	ompliance Monitoring Submission only: Air DA Compliance Mo	nitoring Infor	mation/Compliance Monitoring Identifier	
FPI-033	The Compliance Monitoring Type(s) entered must belong to the same Compliance Monitoring Category.	CM150	The following Compliance Inspection Type Code(s) submitted do not belong to the same Compliance Monitoring Category submitted in the XML: <compliance 1,="" 2,="" code="" compliance="" inspection="" n="" type="" value="">.</compliance>	R
FPI-110	Compliance Activity Type must be INS, INV or INF. Note: This business rule is not checked for Replace transactions where the Compliance Monitoring Activity exists in ICIS.	FPI110	Compliance Monitoring Activity Type Code <compliance activity="" code="" monitoring="" type="" value=""> is not valid.</compliance>	R-N
FPI-111	Compliance Activity Type cannot be changed. Note: This business rule is not checked for Replace transactions where the Compliance Monitoring Activity does not exist in ICIS.	FPI111	Compliance Monitoring Activity Type Code cannot be changed.	R-C
FPI-112	Compliance Monitoring Type must be a valid (i.e., Active) code with an Activity_Type_Code = <activity code="" submitted="" type=""> in the REF_COMP_MONITOR_TYPE table.</activity>	CM130	Compliance Inspection Type Code(s) < Compliance Inspection Type Code value 1, Compliance Inspection Type Code value 2, Compliance Inspection Type Code value n> does not have an Activity Type Code of < Activity Type Code value>, does not exist, or is inactive in the ICIS reference table.	R
FPI-113	Compliance Monitoring Type must be a code where Statute_Code = CAA in the XREF_STATUTE_COMP_MONITOR_TYPE table.	FPI113	Compliance Inspection Type Code(s) < Compliance Inspection Type Code value 1, Compliance Inspection Type Code value 2, Compliance Inspection Type Code value n> is not valid for the Federal Statute CAA.	R
FPI-130	An existing Air DA Compliance Monitoring Activity cannot include Compliance Monitoring Type of TV ACC.	FPI130	The Inspection Compliance Monitoring Activity includes Compliance Monitoring Type = TV ACC and cannot be edited or deleted during an Air DA Compliance Monitoring transaction.	R-C, X
FPI-128	Compliance Monitoring Type cannot be TV ACC.	FPI128	The Delegated Agency Compliance Monitoring Activity cannot have a Compliance Monitoring Type of TV ACC.	R
FPI-135	If Compliance Monitoring Type = Stack Test, then it must be the only value submitted for Compliance Monitoring Type.	FPI135	When Compliance Inspection Type Code = CST (Stack Test), no other Compliance Inspection Type Codes can be submitted.	R

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
Air DA Co	ompliance Monitoring Submission only: Linked Facility			
	The system shall require that an Inspection/Evaluation is associated with one and only one Air Facility.	FPI052	More than one Air Facility ID <air 1,="" 2="" air="" facility="" id="" n="" value=""> has been submitted for the Inspection/Evaluation.</air>	R
Air DA Co	ompliance Monitoring Submission only: Background Processing	9		
FPI-127	If Generate Current CMS Status Background Processing does not complete successfully, XML transaction will not be saved.	FPI127	An error has occurred while processing the data for this Delegated Agency Compliance Monitoring transaction. No data were saved for this Delegated Agency Compliance Monitoring Activity, and the XML transaction must be resubmitted.	R, X
Air DA Co	ompliance Monitoring Submission only: Air Stack Test Data			
	If Compliance Monitoring Type = PCE Stack Test, Stack Test data must exist.	STA045	Stack Test data must exist because Compliance Monitoring Type = CST (PCE Stack Test).	R
STA-046	If any Stack Test data exist, Compliance Monitoring Type must include PCE Stack Test.	STA046	Compliance Monitoring Type must = CST (PCE-Stack Test) because Stack Test data exist.	R
STA-044	The following must exist to save Stack Test data: Conducted By Stack Test Status	STA044	 (Stack Test Conductor Type Code, Stack Test Status Code) must exist. Note: In the message above, all XML tags that may have this error are listed in parentheses. Only the tags for which this error occurs will be included in the actual error message. Parentheses will not display in the error messages; they just indicate that the message is dynamic. 	R
STA-018	The system shall ensure that the Date Report Received is greater than or equal to the Actual End Date.	STA018	Stack Test Report Received Date <stack date="" received="" report="" test="" value=""> must be greater than or equal to Compliance Monitoring Date <compliance date="" monitoring="" value="">.</compliance></stack>	R
STA-019	The system shall ensure that the Date Test Results were Reviewed is greater than or equal to the Date Report Received.	STA019	Test Results Reviewed Date <test date="" results="" reviewed="" value=""> must be greater than or equal to the Stack Test Report Received Date <stack date="" received="" report="" test="" value="">.</stack></test>	R
STA-047	Date Test Results Reviewed must be greater than or equal to the Actual End Date.	STA047	Test Results Reviewed Date <test date="" results="" reviewed="" value=""> must be greater than or equal to Compliance Monitoring Date <compliance date="" monitoring="" value="">.</compliance></test>	R

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
STA-034	Parameter/Pollutant Tested must be a valid (i.e., Active) code with Pollutant_Category_Code = AIR in the REF_POLLUTANT table.	STA034	Air Tested Pollutant Code(s) <air 1,="" 2,="" air="" code="" n="" pollutant="" tested="" value=""> does not have a Pollutant Category Code of Air, does not exist, or is inactive in the ICIS reference table.</air>	R
STA-035	Stack Test Status must be a valid (i.e., Active) code in the REF_AIR_STACK_TEST_STATUS table.	STA035	Stack Test Status Code <stack code="" status="" test="" value=""> does not exist or is inactive in the ICIS reference table.</stack>	R
STA-036	Purpose of Stack Test must be a valid (i.e., Active) code where Activity_Type_Code = 'INS' in REF_ACTIVITY_PURPOSE table.	STA036	Stack Test Purpose Code(s) <stack 1,="" 2,="" code="" n="" purpose="" stack="" test="" value=""> does not exist, is inactive, or does not have an Activity Type Code = INS in the ICIS reference table.</stack>	R
STA-037	Observed By must be a valid (i.e., Active) code with an Activity_Group_Code = CMM in the REF_AGENCY_TYPE table.	STA037	Stack Test Observed Agency Type Code <stack agency="" code="" observed="" test="" type="" value=""> does not exist or is inactive in the ICIS reference table.</stack>	R
STA-038	Conducted By must be a valid (i.e., Active) code in the REF_AIR_CONDUCTOR_TYPE table.	STA038	Stack Test Conductor Type Code <stack code="" conductor="" test="" type="" value=""> does not exist or is inactive in the ICIS reference table.</stack>	R
STA-039	Method Codes must be a valid (i.e., Active) code in the REF_AIR_STACK_TEST_METHOD table.	STA039	Method Code <method code="" value=""> for Pollutant Code <pollutant code="" value=""> does not exist or is inactive in the ICIS reference table.</pollutant></method>	R
STA-040	Reason for Failure must be a valid (i.e., Active) code in the REF_AIR_FAILURE_REASON.	STA040	Failure Reason Code <failure code="" reason="" value=""> for Pollutant Code <pollutant code="" value=""> does not exist or is inactive in the ICIS reference table.</pollutant></failure>	R
STA-042	Test Result must be a valid (i.e., Active) code in REF_AIR_STACK_TEST_STATUS table.	STA042	Test Result Code <test code="" result="" value=""> for Pollutant Code <pollutant code="" value=""> does not exist or is inactive in the ICIS reference table.</pollutant></test>	R
STA-043	Allowable Unit must be a valid (i.e., Active) Pollutant_Unit_Code in the REF_POLLUTANT_UNIT table.	STA043	Pollutant Unit Code <pollutant_unit_code> for Pollutant Code <pollutant code="" value=""> does not exist or is inactive in the ICIS reference table.</pollutant></pollutant_unit_code>	R
Air DA Co	ompliance Monitoring Submission only: Air Case File Back	kground Pro	ocessing	
FPI-133	If Identify Linked Pathway Activities and Set Case File Status Type Background Processing does not complete successfully, the XML transaction will not be saved.	FPI133	An error has occurred while processing the data for this Air DA Compliance Monitoring transaction. No data were saved for this Air DA Compliance Monitoring Activity, and the XML transaction must be resubmitted.	

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9.1.5 Federal Air Compliance Monitoring Error Messages

The table below lists error messages that are generated when ICIS-Air Electronic Data Transfer cannot process a Federal Air Compliance Monitoring transaction, what caused the error, how the error affected the transaction, and the key fields of the transaction that had the error.

Error/ Warning Code	Business Rules	Where Enforced (Web)	Error/Warning Message	Applicable Transaction Types
BAT010	Transaction Type must be valid for Compliance Monitoring. Valid Transaction Types are R (Replace) and X (Mass Delete).		Transaction Type <transaction type="" value=""> is not valid for <submission type="" value="">.</submission></transaction>	R, X
	User must have privileges to perform the transaction. This relates to specific roles, and access level (HQ, specific region, specific state). Note: ICIS does not have Batch-specific privileges. The privileges for Batch and Web access are the same.		User <id value=""> does not have privileges to perform this <transaction type="" value=""> <submission type="" value=""> transaction.</submission></transaction></id>	R, X
CM022	If the Compliance Activity Type is INS, INF, or OSR the following data must exist for a Federal Compliance Monitoring: Program System Acronym Program System Identifier Federal Statute Compliance Monitoring Category Actual End Date	User Interface (GUI)	 (Program System Acronym, Program System Identifier, Federal Statute Code, Compliance Activity Type Code, Compliance Monitoring Category Code, Compliance Monitoring Date or Compliance Monitoring Planned End Date) must exist. Note: In the message above, all XML tags that may have this error are listed in parentheses. Only the tags for which this error occurs will be included in the actual error message. Parentheses will not display in the error messages; they just indicate that the message is dynamic. 	R
CM023	If the Compliance Activity Type is INV, the following data must exist for a Federal Compliance Monitoring: Program System Acronym Program System Identifier Federal Statute Compliance Monitoring Category Planned End Date or Actual Start Date	User Interface (GUI)	 (Program System Acronym, Program System Identifier, Federal Statute Code, Compliance Activity Type Code, Compliance Monitoring Category Code, Compliance Monitoring Planned End Date or Compliance Monitoring Start Date) must exist. Note: In the message above, all XML tags that may have this error are listed in parentheses. Only the tags for which this error occurs will be included in the actual error message. Parentheses will not display in the error messages; they just indicate that the message is dynamic. 	R

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Error/ Warning Code	Business Rules	Where Enforced (Web)	Error/Warning Message	Applicable Transaction Types
	The second control of	Business rule layer	N/A	R
	Federal Statute cannot be changed. Note: This business rule is not checked for Replace transactions where the Compliance Monitoring Activity does not exist in ICIS.	GUI	Federal Statute Code cannot be changed.	R
	The Facility Interest identified by the combination of Program System Acronym and System ID entered must exist in ICIS.	GUI	A Facility Interest does not exist for the key data entered.	R
CM041	Program System Acronym must not equal 'FRS'.		Program System Acronym must not = FRS (Facility Registry Service).	R, X
CM045	The Compliance Monitoring Activity identified by the Compliance Monitoring Identifier must exist in ICIS.		A Compliance Monitoring Activity does not exist for the key data entered.	X
	If the Compliance Monitoring transaction contains only key data and no other data, ICIS rejects the Compliance Monitoring transaction. Note: The system determines that no additional data are entered by determining that only the unique identifier has been submitted.		The Compliance Monitoring transaction contains key data and no other data for processing.	R
	Only a Federal Compliance Monitoring Activity can be edited or deleted during a Federal Compliance Monitoring transaction. Note: This business rule is not checked for Replace transactions where the Compliance Monitoring Activity does not exist in ICIS.		Only a Federal Compliance Monitoring Activity can be edited or deleted during a Federal Compliance Monitoring transaction.	R, X
	Compliance Monitoring Category must be a valid (i.e., Active) code in the REF_COMP_MONITOR_CATEGORY table.	Web Tier	Compliance Monitoring Category Code <compliance category="" code="" monitoring="" value=""> does not exist or is inactive in the ICIS reference table.</compliance>	R

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Error/ Warning Code	Business Rules	Where Enforced (Web)	Error/Warning Message	Applicable Transaction Types
CM090	Federal Statute must be a valid (i.e., Active) code in the REF_STATUTE table.	GUI	Federal Statute Code <federal code="" statute="" value=""> does not exist or is inactive in the ICIS reference table.</federal>	R
	Federal Statute must be a valid (i.e., Active) code in the REF_STATUTE table.		Federal Statute Code <federal code="" statute="" value=""> does not exist or is inactive in the ICIS reference table.</federal>	R
		layer	The Facility Identifier cannot be unlinked from the Compliance Monitoring Activity because it is the only Facility ID that is in common with a Related Activity that is linked to the Compliance Monitoring Activity.	R
	If the program Federally-Enforceable Requirement (CAAFENF) is one of the selected programs from the Statute/Law Section combinations, Program Description must be entered.	Web Tier	OtherProgramDescriptionText is required when Federally- Enforceable Requirement (CAAFENF) is one of the selected programs from the Statute/Law Section combinations.	R
CM1450	For each Law Section submitted, at least one combination of the following must exist in the XREF_PROGRAM_LAW_SECTION table: • Federal Statute • Law Section • Program • Activity_group_code = CMM	Web Tier	The following Law Section(s) does not have a valid combination of Federal Statute Code, Program Code, and Law Section for a Federal Compliance Monitoring Activity: <law 1,="" 2,law="" law="" n="" section="" value="">.</law>	R
CM1451	Compliance Monitoring Type must exist.	Web Tier	Compliance Inspection Type Code must exist for a Compliance Monitoring Activity.	R
CM115	Compliance Activity Type (icis_activity.activity_type_code) cannot be changed. Note: This business rule is not checked for Replace transactions where the Compliance Monitoring Activity does not exist in ICIS	Web Tier	The Compliance Activity Type Code cannot be changed.	R

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Error/ Warning Code		Where Enforced (Web)	Error/Warning Message	Applicable Transaction Types
	Compliance Activity Type (icis_activity.activity_type_code) cannot be changed. Note: This business rule is not checked for Replace transactions where the Compliance Monitoring Activity does not exist in ICIS. This rule is applied to State NPDES CMs through the fact that they can't submit activity type and thus is not checked by the application.	Web Tier	The Compliance Activity Type Code cannot be changed.	R
CM120	Compliance Monitoring Type must be a valid (i.e., Active) code with an Activity_Type_Code = <activity code="" submitted="" type=""> in the REF_COMP_MONITOR_TYPE table.</activity>	Web Tier	Compliance Inspection Type Code(s) < Compliance Inspection Type Code value 1, Compliance Inspection Type Code value 2, Compliance Inspection Type Code value n> does not have an Activity Type Code of < Activity Type Code value>, does not exist, or is inactive in the ICIS reference table.	R
	Compliance Monitoring Type must be a valid (i.e., Active) code with an Activity_Type_Code = <activity code="" submitted="" type=""> in the REF_COMP_MONITOR_TYPE table.</activity>		Compliance Inspection Type Code(s) < Compliance Inspection Type Code value 1, Compliance Inspection Type Code value 2, Compliance Inspection Type Code value n> does not have an Activity Type Code of < Activity Type Code value>, does not exist, or is inactive in the ICIS reference table.	R
CM135	Compliance Monitoring Type must be valid for the associated Federal Statute entered by the user in the XREF_STATUTE_COMP_MONITOR_TYPE table.	Web Tier	Compliance Inspection Type Code(s) < Compliance Monitoring Type Code value 1, Compliance Monitoring Type Code value 2, Compliance Monitoring Type Code value n> does not exist in the ICIS reference table for the Federal Statute entered.	R
CM140	The Compliance Monitoring Type(s) submitted must belong to the same Compliance Monitoring Category that was submitted in the XML.	Business Rule layer	The following Compliance Inspection Type Code(s) submitted do not belong to the same Compliance Monitoring Category submitted in the XML: <compliance 1,="" 2,="" code="" compliance="" inspection="" n="" type="" value="">.</compliance>	R
CM150	The Compliance Monitoring Type cannot be TV ACC.	Business Rule layer	The Federal or State NPDES Compliance Monitoring Activity cannot have a Compliance Monitoring Type of TV ACC.	R
CM152	Compliance Monitoring Activity Name must exist.	Web Tier	Compliance Monitoring Activity Name must exist for a Federal Compliance Monitoring Inspection.	R
	If Compliance Monitoring Type = Stack Test, then it must be the only value submitted for Compliance Monitoring Type.	Business Rule layer	When Compliance Inspection Type Code = CST (Stack Test), no other Compliance Inspection Type Codes can be submitted.	Federal: R

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Error/ Warning Code	Business Rules	Where Enforced (Web)	Error/Warning Message	Applicable Transaction Types
CM160	Actual Start Date must be less than or equal to the Actual End Date if entered.	Business rule layer	Compliance Monitoring Start Date must be less than or equal to the Compliance Monitoring Date <compliance date="" monitoring="" value="">.</compliance>	R
CM170	If entered, Actual End Date must be less than or equal to the current date.	Business rule layer	Compliance Monitoring Date must be less than or equal to the current date.	R
CM180	If a Compliance Monitoring Type of Biomonitoring exists, then Biomonitoring Compliance Monitoring Method must exist.	Business rule layer	Biomonitoring Inspection Method must exist because a Compliance Inspection Type Code = CBI (Biomonitoring) exists.	R
	Biomonitoring Compliance Monitoring Method must be a valid (i.e., Active) code in the REF_BIOMONITORING_METHOD table.	GUI	Biomonitoring Inspection Method <biomonitoring inspection="" method="" value=""> does not exist or is inactive in the ICIS reference table.</biomonitoring>	R
CM200	At least one Compliance Monitoring Action Reason must exist.	Web Tier	At least one Compliance Monitoring Action Reason Code must exist.	R
CM220	Compliance Monitoring Action Reason must be a valid (i.e., Active) code with an Activity_Type_Code = <activity code="" submitted="" type=""> in the REF_ACTIVITY_PURPOSE table.</activity>	Web Tier	Compliance Monitoring Action Reason Code(s) < Compliance Monitoring Action Reason Code value 1, Compliance Monitoring Action Reason Code value 2, Compliance Monitoring Action Reason Code value n> does not have an Activity Type Code of < Activity Type Code value>, does not exist, or is inactive in the ICIS reference table.	R
CM230	At least one Compliance Monitoring Agency Type must exist.	Web Tier	At least one Compliance Monitoring Agency Type Code must exist.	R
CM240	Compliance Monitoring Agency Type must be a valid (i.e., Active) code with an Activity_Group_Code = CMV in the REF_AGENCY_TYPE table.	Web Tier	Compliance Monitoring Agency Type Code <compliance 1,="" 2,="" agency="" code="" compliance="" monitoring="" n="" type="" value=""> does not have an Activity Group Code of CMM (Compliance Monitoring), does not exist, or is inactive in the ICIS reference table.</compliance>	R
CM250	Compliance Monitoring Agency Name must be a valid (i.e., Active) code in the REF_AGENCY table.	Web Tier	Compliance Monitoring Agency Code <compliance agency="" code="" monitoring="" value=""> does not exist or is inactive in the ICIS reference table.</compliance>	R

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Error/ Warning Code	Business Rules	Where Enforced (Web)	Error/Warning Message	Applicable Transaction Types
CM270	Program Code must be a valid (i.e., Active) code in the REF_PROGRAM table.	Web Tier	Program Code <program 1,="" 2,="" code="" n="" program="" value=""> does not exist or is inactive in the ICIS reference table.</program>	R
CM280	Program Code must exist.	GUI	Program Code must exist.	R
CM290	"Did EPA Assist?" must exist if any value except U.S. EPA exists for Compliance Monitoring Agency Type.	Business rule layer	EPA Assistance Indicator must exist because Compliance Monitoring Agency Type Code is not EPA (U.S. EPA).	R
CM310	, , , , , , , , , , , , , , , , , , , ,	Business rule layer	Joint Inspection Reason Code must exist because State Federal Joint Indicator = J (Joint).	R
CM320	"If Joint, what was the purpose of the participation of the other party?" must be a valid (i.e., Active) code in the REF_JOINT_INSPECTION_PURPOSE table.	Web Tier	Joint Inspection Reason Code <joint code="" inspection="" reason="" value=""> does not exist or is inactive in the ICIS reference table.</joint>	R
CM330	If "Was this a State, Federal, or Joint (State/Federal) Compliance Monitoring Activity?" = Joint, then "Which party had the lead?" must exist.	Business rule layer	Lead Party must exist because State Federal Joint Indicator = J (Joint).	R
CM350	Compliance Monitoring Action Outcome must be a valid (i.e., Active) code with an Activity_Type_Code = <activity code="" submitted="" type=""> in the REF_ACTIVITY_OUTCOME table.</activity>	Web Tier	Compliance Monitoring Action Outcome Code <compliance action="" code="" monitoring="" outcome="" value=""> does not have an Activity Type Code of <activity code="" type="" value="">, does not exist, or is inactive in the ICIS reference table.</activity></compliance>	R
CM360	Compliance Monitoring Rating Code must be a valid (i.e., Active) code in the REF_INSP_RATING table.	Web Tier	Inspection Rating Code <inspection code="" rating="" value=""> does not exist or is inactive in the ICIS reference table.</inspection>	R
CM370	OECA National Priority must be a valid (i.e., Active) code with a Region_Code = HQ in the REF_PRIORITY table.	Web Tier	National Priorities Code <national 1,="" 2,="" code="" n="" national="" priorities="" value=""> does not have a Region Code of HQ (Headquarters), does not exist, or is inactive in the ICIS reference table.</national>	R
CM380	Federal Facility Activity must be a valid (i.e., Active) code with a Cross_Media_Indicator_Type = FFI in the REF_CROSS_MEDIA_INDICATOR table.	GUI	Federal Facility Indicator < Federal Facility Indicator value> is not valid for Compliance Monitoring Activities, does not exist, or is inactive in the ICIS reference table.	R
CM385	The Government Contact identified by Email Address must exist in ICIS.	Web Tier	The Government Contact(s) identified by Electronic Address Text <electronic 1,="" 2,="" address="" electronic="" n="" text="" value=""> does not exist in ICIS.</electronic>	R

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Error/ Warning Code	Business Rules	Where Enforced (Web)	Error/Warning Message	Applicable Transaction Types
GC010	For Government Contact, the Affiliation Type must be a valid (i.e., Active) code with an Affiliation_Category = Government in the REF_AFFILIATION_TYPE table.	GUI	Affiliation Type Text <affiliation 1,="" 2,="" affiliation="" n="" text="" type="" value=""> does not have an Affiliation Category of Government, does not exist, or is inactive in the ICIS reference table.</affiliation>	R
GC020	For Government Contact, the Affiliation Type must have an App_Module_Code = IPN (Inspections) in the XREF_AFFILIATION_MODULE table.	GUI	Affiliation Type Text <affiliation 1,="" 2,="" affiliation="" n="" text="" type="" value=""> is not valid for <submission type="" value="">.</submission></affiliation>	R
GC030	Asterisks must be entered in all required tags to blank out all Government Contacts. If asterisks are only entered in some required tags and values are entered in other required tags, the transaction will be rejected.	GUI	For one or more Government Contacts, both asterisks and values were entered in the required tags. The required tags must contain either all asterisks or all values.	R
GC050	Planned Start Date must be less than or equal to the Planned End Date.	Business rule layer	Compliance Monitoring Planned Start Date must be less than or equal to the Compliance Monitoring Planned End Date.	R
CM400	The first two characters of the Compliance Monitoring Identifier must be a valid (i.e., Active) code in the REF_REGION table.	Web Tier	The Region in the first two characters of the Compliance Monitoring Identifier <first characters="" compliance="" identifier="" monitoring="" of="" two=""> does not exist, or is inactive in the ICIS reference table.</first>	R
CM420	The first two characters of the Compliance Monitoring Identifier must be a valid (i.e., Active) code in the REF_REGION table.	Web Tier	The Region in the first two characters of the Compliance Monitoring Identifier < first two characters of Compliance Monitoring identifier > does not exist, or is inactive in the ICIS reference table.	R
CM428	The third through fifth characters of the Compliance Monitoring Identifier must be 000 for a Federal or State NPDES Compliance Monitoring Activity. Note: This business rule is not checked for Replace transactions where the Compliance Monitoring Activity already exists in ICIS.	Web Tier	The third through fifth characters of the Compliance Monitoring Identifier must be 000 for a Federal or NPDES State Compliance Monitoring Activity.	R
CM429	The sixth character of the Compliance Monitoring Identifier must be F for a Federal Compliance Monitoring Activity. Note: This business rule is not checked for Replace transactions where the Compliance Monitoring Activity already exists in ICIS.	Web Tier	The sixth character of the Compliance Monitoring Identifier must be F for a Federal Compliance Monitoring Activity.	R

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Error/ Warning Code	Business Rules	Where Enforced (Web)	Error/Warning Message	Applicable Transaction Types
	The sixth character of the Compliance Monitoring Identifier must be F for a Federal Compliance Monitoring Activity.	Web Tier	The sixth character of the Compliance Monitoring Identifier must be F for a Federal Compliance Monitoring Activity.	R
	Note: This business rule is not checked for Replace transactions where the Compliance Monitoring Activity already exists in ICIS.			
	The combination of Law Section and Federal Statute must represent a valid (i.e., Active) code in the REF_LAW_SECTION table.	Web Tier	Law Section Code(s) < Law Section Code value 1, Law Section Code value 2, Law Section Code value n>, does not exist, or is inactive in the ICIS reference table for the Federal Statute Code.	R
	Media Monitored must be a valid (i.e., Active) code in the REF_MEDIA table.	Web Tier	Media Monitored <media monitored="" value=""> does not exist or is inactive in the ICIS reference table.</media>	R
	If Region does not = HQ, then Regional Priority must be a valid (i.e., Active) code with a Region_Code = <region submitted=""> in the REF_PRIORITY table.</region>	Web Tier	Regional Priority Code <regional 1,="" 2,="" code="" n="" priorities="" regional="" value=""> does not have a Region Code of <epa code="" region="" value="">, does not exist, or is inactive in the ICIS reference table.</epa></regional>	
	If Region = HQ, then Regional Priority must be a valid (i.e., Active) code with a Region_Code not = HQ in the REF_PRIORITY table.	Web Tier	Regional Priority Code <regional 1,="" 2,="" code="" n="" priority="" regional="" value=""> has a Region Code of HQ, does not exist, or is inactive in the ICIS reference table.</regional>	R
	SIC Code must be a valid (i.e., Active) code in the REF_SIC table.	Web Tier	SIC Code <sic 1,="" 2,sic="" code="" n="" sic="" value=""> does not exist or is inactive in the ICIS reference table.</sic>	R
CM500	NAICS Code must be a valid (i.e., Active) code in the REF_NAICS table.	Web Tier	NAICS Code <naics 1,="" 2,="" code="" n="" naics="" value=""> does not exist or is inactive in the ICIS reference table.</naics>	R
	Lead Agency must be a valid (i.e., Active) code with an Activity_Group_Code = CMM in the REF_AGENCY_TYPE table.	Web Tier	Lead Agency Code <lead agency="" code="" value=""> does not have an Activity Group Code of CMM (Compliance Monitoring), does not exist, or is inactive in the ICIS reference table.</lead>	R
	Lead Agency must be a valid (i.e., Active) code with an Activity_Group_Code = CMM in the REF_AGENCY_TYPE table.	Web Tier	Lead Agency Code <lead agency="" code="" value=""> does not have an Activity Group Code of CMM (Compliance Monitoring), does not exist, or is inactive in the ICIS reference table.</lead>	R
			Federal Compliance Monitoring – Air Backgrour	nd Processing

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Error/ Warning Code	Business Rules	Where Enforced (Web)	Error/Warning Message	Applicable Transaction Types
CM1500	If Generate Current CMS Status Background Processing does not complete successfully, XML transaction will not be saved.	GUI	An error has occurred while processing the data for this Federal Compliance Monitoring transaction. No data were saved for this Federal Compliance Monitoring Activity, and the XML transaction must be resubmitted.	R, X
	If ID Linked Pathway Activities and Set Case File Status Type Background Processing does not complete successfully, XML transaction will not be saved.	GUI	An error has occurred while processing the data for this Air DA Compliance Monitoring transaction. No data were saved for this Air DA Compliance Monitoring record, and the XML transaction must be resubmitted.	R,X
			St	ack Test Data
STA045	If Compliance Monitoring Type = PCE Stack Test, Stack Test data must exist.	N/A	Stack Test data must exist because Compliance Monitoring Type = CST (Stack Test).	R
STA046	If any Stack Test data exist, Compliance Monitoring Type must include PCE Stack Test.	N/A	Compliance Monitoring Type must = CST (Stack Test) because Stack Test data exist.	R
STA044	The following must exist to save PCE Stack Test data: Conducted By Stack Test Status	Business layer rule	(Stack Test Conductor Type Code, Stack Test Status Code) must exist. Note: In the message above, all XML tags that may have this error are listed in parentheses. Only the tags for which this error occurs will be included in the actual error message. Parentheses will not display in the error messages; they just indicate that the message is dynamic.	R
STA018	The system shall ensure that the Date Report Received is greater than or equal to the Actual End Date.	Business layer rule	Stack Test Report Received Date <stack date="" received="" report="" test="" value=""> must be greater than or equal to Compliance Monitoring Date <compliance date="" monitoring="" value="">.</compliance></stack>	R
	The system shall ensure that the Date Test Results were Reviewed is greater than or equal to the Date Report Received.	Business layer rule	Test Results Reviewed Date <test date="" results="" reviewed="" value=""> must be greater than or equal to the Stack Test Report Received Date <stack date="" received="" report="" test="" value="">.</stack></test>	R
STA047	Date Test Results Reviewed must be greater than or equal to the Actual End Date.	Business layer rule	Test Results Reviewed Date <test date="" results="" reviewed="" value=""> must be greater than or equal to Compliance Monitoring Date <compliance date="" monitoring="" value="">.</compliance></test>	R
STA034	Parameter/Pollutant Tested must be a valid (i.e., Active) code with Pollutant_Category_Code = AIR in the REF_POLLUTANT table.	GUI	Air Tested Pollutant Code(s) <air 1,="" 2,air="" air="" code="" n="" pollutant="" tested="" value=""> does not have a Pollutant Category Code of Air, does not exist, or is inactive in the ICIS reference table.</air>	R

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Error/ Warning Code	Business Rules	Where Enforced (Web)	Error/Warning Message	Applicable Transaction Types
STA035	Stack Test Status must be a valid (i.e., Active) code in the REF_AIR_STACK_TEST_STATUS table.	GUI	Stack Test Status Code <stack code="" status="" test="" value=""> does not exist or is inactive in the ICIS reference table.</stack>	R
	Conducted By must be a valid (i.e., Active) code in the REF_AIR_CONDUCTOR_TYPE table.	GUI	Stack Test Conductor Type Code <stack code="" conductor="" test="" type="" value=""> does not exist or is inactive in the ICIS reference table.</stack>	R
	Method Codes must be a valid (i.e., Active) code in the REF_AIR_STACK_TEST_METHOD table.	GUI	Method Code <method code="" value=""> for Pollutant Code <pollutant code="" value=""> does not exist or is inactive in the ICIS reference table.</pollutant></method>	R
	Reason for Failure must be a valid (i.e., Active) code in the REF_AIR_FAILURE_REASON.	GUI	Failure Reason Code <failure code="" reason="" value=""> for Pollutant Code <pollutant code="" value=""> does not exist or is inactive in the ICIS reference table.</pollutant></failure>	R
STA042	Test Result must be a valid (i.e., Active) code in REF_AIR_STACK_TEST_STATUS table.	GUI	Test Result Code <test code="" result="" value=""> for Pollutant Code <pollutant code="" value=""> does not exist or is inactive in the ICIS reference table.</pollutant></test>	R
	Allowable Unit must be a valid (i.e., Active) Pollutant_Unit_Code in the REF_POLLUTANT_UNIT table.	GUI	Pollutant Unit Code <pollutant_unit_code> for Pollutant Code <pollutant code="" value=""> does not exist or is inactive in the ICIS reference table.</pollutant></pollutant_unit_code>	R
Federal C	compliance Monitoring – Air Background Processing			
	If Generate Current CMS Status Background Processing does not complete successfully, XML transaction will not be saved.	GUI	An error has occurred while processing the data for this Federal Compliance Monitoring transaction. No data were saved for this Federal Compliance Monitoring Activity, and the XML transaction must be resubmitted.	R, X
	If ID Linked Pathway Activities and Set Case File Status Type Background Processing does not complete successfully, XML transaction will not be saved.	Business layer rule	An error has occurred while processing the data for this Air DA Formal Enforcement Action transaction. No data were saved for this Air DA Formal Enforcement Action, and the XML transaction must be resubmitted.	R, X

9.1.6 Title V Annual Compliance Certification Error Messages

The table below lists error messages that are generated when ICIS-Air Electronic Data Transfer cannot process a Title V Annual Compliance Certification transaction, what caused the error, how the error affected the transaction, and the key fields of the transaction that had the error.

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Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FPI-001	The system shall enforce the security model for the users to view, add, edit, copy, and delete an Inspection/Evaluation, Investigation, or Information Request. Refer to ICIS-Air Security Requirements. Note: State and LCON must be a valid State and LCON based on the User ID geography.	BAT020	User <id value=""> does not have privileges to perform this <transaction type="" value=""> <submission type="" value=""> transaction.</submission></transaction></id>	R, X
All Submi	ssions: Key Elements			
FPI-101	Compliance Monitoring ID must exist in ICIS.	CM050	A Compliance Monitoring Activity does not exist for the key data entered.	Х
All Submi	ssions: Compliance Monitoring Information/Compliance Monitor	ring Identifie	er	
FPI-104	Position 1-2 of the Compliance Monitoring ID must be a valid (i.e., Active code where usage_indicator = N or B) code in the REF_STATE table. Note: This business rule is not checked for Replace transactions where the Compliance Monitoring Activity exists in ICIS.	FPI104	The first two characters (i.e., State Code) of the Air DA Compliance Monitoring Identifier does not exist or is inactive in the ICIS Reference Table.	R-N
FPI-105	Position 3-5 of the Compliance Monitoring ID must be a valid (i.e., Active) LCON code in the REF_AIR_LCON table for the corresponding State in position 1-2 of the Delegated Agency Compliance Monitoring Activity and if no LCON is associated to that record, Position 3-5 must be '000'. Note: This business rule is not checked for Replace transactions where the Compliance Monitoring Activity exists in ICIS.	FPI105	The characters in position three to five (i.e., LCON Code) of the Air DA Compliance Monitoring Identifier does not exist or is inactive in the ICIS Reference Table or must be '000'.	R-N
FPI-132	Position 6 of the Compliance Monitoring ID must be 'A'.	FPI106	The character in position six must be 'A'.	R-N
FPI-114	Lead Agency must be a valid (i.e., Active) code with an Activity_Group_Code = CMM in the REF_AGENCY_TYPE table.	FPI114	Lead Agency Code <lead agency="" code="" value=""> does not have an Activity Group Code of CMM (Compliance Monitoring), does not exist, or is inactive in the ICIS reference table.</lead>	R
All Submi	ssions: Linked Facility			
	Air Facility Identifier(s) must exist in ICIS where Program System Acronym = 'AIR'.	FPI115	Air Facility Identifier(s) <air 1,="" 2="" air="" facility="" id="" n="" value=""> does not exist in ICIS.</air>	R

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FPI-134	An Air Facility Identifier cannot be unlinked from a Compliance Monitoring Activity if it is the only Air Facility ID that is in common with a Related Activity (e.g., Enforcement Action, Case File) that is linked to the Compliance Monitoring Activity.	FPI134	The Air Facility Identifier cannot be unlinked from the Compliance Monitoring Activity because it is the only Air Facility ID that is in common with a Related Activity that is linked to the Compliance Monitoring Activity.	R-C
All Submi	ssions: Compliance Monitoring Dates			
FPI-061	The system shall ensure that the Planned Start Date is less than or equal to the Planned End Date.	CM400	Compliance Monitoring Planned Start Date must be less than or equal to the Compliance Monitoring Planned End Date.	R
FPI-064	Actual Start Date must be less than or equal to the Actual End Date.	CM170	Compliance Monitoring Start Date must be less than or equal to the Compliance Monitoring Date <compliance date="" monitoring="" value="">.</compliance>	R
FPI-065	Actual End Date must be less than or equal to the current date.	CM180	Compliance Monitoring Date must be less than or equal to the current date.	R
All Submi	ssions: Air Program			
FPI-069	The system shall require the user to select at least one additional value for Applicable Air Programs if "Other" has been selected for Air Programs field.	FPI069	One additional Program Code must exist because Air Program = CAAOTH (Other).	R
FPI-117	Air Programs must be a valid (i.e., Active) code with a Program_Category_Code = AIR in the REF_PROGRAM table.	FPI117	Program Code <program 1,="" 2,="" code="" n="" program="" value=""> does not have Program Category = AIR, does not exist, or is inactive in the ICIS reference table.</program>	R
FPI-118	If Air Program = Federally Enforceable Requirement, Program Description must exist.	FPI118	Other Program Description Text must be entered because Program = CAAFENF.	R
All Submi	ssions: Pollutants Involved			
FPI-120	Pollutants on the Pollutants Involved list must be a valid (i.e., Active) code with Pollutant_Category_Code = AIR in the REF_POLLUTANT table.	FPI120	Air Pollutant Code <air 1,="" 2,="" air="" code="" n="" pollutant="" value=""> on the Pollutants Involved list does not have a Pollutant Category Code of Air, does not exist, or is inactive in the ICIS reference table.</air>	R
All Submi	ssions: Initiatives			
FPI-122	Regional Priority must be a valid (i.e., Active) code with a Region_Code = <region for="" state="" submitted=""> in the REF_PRIORITY table.</region>	CM480	Regional Priority Code <regional 1,<br="" code="" priorities="" value="">Regional Priorities Code value 2, Regional Priorities Code value n> does not have a Region Code of <epa code="" region="" value="">, does not exist, or is inactive in the ICIS reference table.</epa></regional>	R

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FPI-121	OECA National Initiative must be a valid (i.e., Active) code with a Region_Code = HQ in the REF_PRIORITY table.	FPI121	National Priorities Codes <national 1,<br="" code="" priorities="" value="">National Priorities Code value 2, National Priorities Code value n> does not have a Region Code of HQ (Headquarters), does not exist, or is inactive in the ICIS reference table.</national>	R
All Submi	ssions: Government Contacts			
FPI-123	The Government Contact identified by Email Address must exist in ICIS.	GC010	The Government Contact(s) identified by Electronic Address Text <electronic 1,="" 2,="" address="" electronic="" n="" text="" value=""> does not exist in ICIS.</electronic>	R
FPI-124	For Government Contact, the Affiliation Type must be a valid (i.e., Active) code with an Affiliation_Category = Government in the REF_AFFILIATION_TYPE table.	GC020	Affiliation Type Text <affiliation 1,="" 2,="" affiliation="" n="" text="" type="" value=""> does not have an Affiliation Category of Government, does not exist, or is inactive in the ICIS reference table.</affiliation>	R
FPI-125	For Government Contact, the Affiliation Type must have an App_Module_Code = IPN (Inspections) in the XREF_AFFILIATION_MODULE table.	GC030	Affiliation Type Text <affiliation 1,="" affiliation="" n="" text="" type="" value=""> is not valid for <submission type="" value="">.</submission></affiliation>	R
FPI-126	Asterisks must be entered in all required tags to blank out all Government Contacts. If asterisks are only entered in some required tags and values are entered in other required tags, the transaction will be rejected.	GC050	For one or more Government Contacts, both asterisks and values were entered in the required tags. The required tags must contain either all asterisks or all values.	R
Air TV AC	CC only			
TVA-026	The system shall require the user to enter the following fields in order to save a TV ACC Record: • Programmatic ID • Air Program • Planned or Actual End Date	TVA009	 (Air Facility Identifier, Air Programs Code, Compliance Monitoring Planned End Date or Compliance Monitoring Date) must exist. Note: In the message above, all XML tags that may have this error are listed in parentheses. Only the tags for which this error occurs will be included in the actual error message. Parentheses will not display in the error messages; they just indicate that the message is dynamic. 	R

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Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
TVA-022	The existing Compliance Monitoring Activity in ICIS must be a State or LCON Air DA Activity (i.e., state_epa_flag = S or L) in the ICIS_Activity table and must have only one CM Type and it must = TV ACC. Note: This business rule is not checked for Replace transactions where the Compliance Monitoring does not exist		The Compliance Monitoring Activity must be an Air DA Compliance Monitoring Activity with only one Compliance Monitoring Type = TV ACC.	R-C, X
TVA-025	in ICIS. Transaction Type must be valid for Air TV ACC. Valid Transaction Types are R (Replace), and X (Mass Delete).	BAT010	Transaction Type <transaction type="" value=""> is not valid for <submission type="" value="">.</submission></transaction>	R, X
Air TV AC	CC only: Key Elements			
TVA-020	If the Air TV ACC transaction contains only key data and no other data, ICIS rejects the Air TV ACC transaction. Note: This business rule is not checked for Replace	TVA020	The TV ACC transaction contains key data and no other data for processing.	R-C
	transactions where the TV ACC record does not exist in ICIS.			
	CC only: TV ACC Information			
TVA-013	The system shall ensure that the Certification Period End Date is greater than the Certification Period Start Date.	TVA013	Certification Period End Date <certification date="" end="" period="" value=""> must be greater than or equal to the Certification Period Start Date <certification date="" period="" start="" value="">.</certification></certification>	R
TVA-016	The system shall ensure that the Planned End Date is greater than or equal to the Certification Period End Date.	TVA016	Compliance Monitoring Planned End Date <compliance date="" end="" monitoring="" planned="" value=""> must be greater than or equal to the Certification Period End Date <certification date="" end="" period="" value="">.</certification></compliance>	R
TVA-017	The system shall ensure that the Actual End Date is greater than or equal to the Certification Period End Date if Certification Period End Date is submitted.	TVA017	Compliance Monitoring Date <compliance date="" monitoring="" value=""> must be greater than or equal to the Certification Period End Date <certification date="" end="" period="" value="">.</certification></compliance>	R
TVA-018	The system shall ensure that the Reviewed Date is greater than or equal to the Actual End Date.	TVA018	TV ACC Reviewed Date(s) <tv 1,="" 2,tv="" acc="" date="" n="" reviewed="" tv="" value=""> must be greater than the Compliance Monitoring End Date <compliance date="" monitoring="" value="">.</compliance></tv>	R
TVA-023	Facility Reported Compliance Status must be a valid (i.e., Active) code in the REF_AIR_FAC_RPT_COMPLIANCE table.	TVA023	Facility Reported Compliance Status Code <facility code="" compliance="" reported="" status="" value=""> does not exist or is inactive in the ICIS reference table.</facility>	R

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	Reviewer Agency must be a valid (i.e., Active) code with Activity_Group_Code = CMM in the REF_AGENCY_TYPE table.		For TV ACC Reviewed Date <tv acc="" date="" reviewed="" value="">, the Reviewer Agency Code <reviewer agency="" code="" value=""> does not exist or is inactive in the ICIS reference table.</reviewer></tv>	R

9.1.7 Air Compliance Monitoring Strategy Error Messages

The table below lists error messages that are generated when ICIS-Air Electronic Data Transfer cannot process an Air Compliance Monitoring Strategy transaction, what caused the error, how the error affected the transaction, and the key fields of the transaction that had the error.

Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	Transaction Type must be valid for Compliance Monitoring Strategy. Valid Transaction Types are R (Replace) and X (Mass Delete).	BAT010	Transaction Type <transaction type="" value=""> is not valid for <submission type="" value="">.</submission></transaction>	R, X
	The system shall enforce the security model for the users to view, add, edit, and delete a CMS. Refer to ICIS-Air Security Requirements.	BAT020	User <id value=""> does not have privileges to perform this <transaction type="" value=""> <submission type="" value=""> transaction.</submission></transaction></id>	R, X
	The system shall require the user to enter a value for CMS Source Category.	ACS010	CMS Source Category Code is required to save an Air Compliance Monitoring Strategy plan record.	R
	The system shall require the user to enter a value for CMS Minimum Frequency.	ACS020	CMS Minimum Frequency is required to save an Air Compliance Monitoring Strategy plan record.	R
Air Compl	liance Monitoring Strategy Key Elements			
CMS-104	The Air Facility must exist in ICIS.	ACS030	A CMS plan record cannot be added because the Air Facility Identifier does not exist in ICIS as an Air Facility.	R-N
	If the Air Compliance Monitoring Strategy transaction contains only key data and no other data, ICIS rejects the Air Compliance Monitoring Strategy transaction.	ACS040	The Air Compliance Monitoring Strategy transaction only contains key data and no other data for processing.	R-C
	Note: This business rule is not checked for Replace transactions where the CMS Record does not exist in ICIS.			

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	An Air Compliance Monitoring Strategy where Active on CMS Plan equals Yes must exist for the Air Facility in ICIS.	ACS050	An Active Air Compliance Monitoring Strategy does not exist for the key data entered.	X
Air Compl	liance Monitoring Strategy Information			
	The system shall save the CMS record but provide a warning message if the CMS Source Category does not match the Facility Classification.	ACS060	Warning: CMS Source Category Code does not match the Facility Classification.	R
	The system shall ensure that the CMS Start Date is less than or equal to the current date.	ACS070	CMS Start Date < CMS Start Date value > must be less than or equal to the current date.	R
	CMS Source Category Code must be a valid (i.e., Active) code in the REF_Air_CMS_Category table.	ACS080	CMS Source Category Code < CMS Source Category Code value> does not exist or is inactive in the ICIS-Air reference table.	R
	CMS Plan must equal No (N).	ACS090	Active on CMS Plan must equal 'N' because Date Removed from CMS Plan exists.	R-C
	The Date Removed from CMS Plan must be less than or equal to the current date.	ACS100	Date Removed from CMS Plan < Date Removed from CMS Plan value> must be less than or equal to the current date.	R-C
	If Active on CMS Plan is submitted for a new CMS record then the value must equal Yes (Y).	ACS110	Active on CMS Plan must equal 'Y' for a new CMS record.	R-N
	If Active on CMS Plan equals No (N), then Date Removed from CMS Plan must exist.	ACS130	Date Removed from CMS Plan must exist because Active on CMS Plan equals 'N'.	R-C
	Date Removed from CMS Plan must be greater than or equal to CMS Start Date.	ACS140	Date Removed from CMS Plan must be greater than or equal to CMS Start Date	R-C
	If an Air Facility has an Inactive CMS, for new CMS records, CMS Start Date must be greater than the last Date Removed from CMS Plan.	ACS150	CMS Start Date must be greater than the last Date Removed from CMS Plan.	R-C
Backgroui	nd Processing			
	If Generate Current CMS Status Background Processing does not complete successfully, the XML transaction will be rejected.	ACS120	An error has occurred while processing the data for this Air Compliance Monitoring Strategy transaction. No data were saved for this Compliance Monitoring Strategy, and the XML transaction must be resubmitted.	R

9.1.8 Air Delegated Agency Formal Enforcement Action Error Messages

The table below lists error messages that are generated when ICIS-Air Electronic Data Transfer cannot process an Air Delegated Agency Formal Enforcement Action transaction, what caused the error, how the error affected the transaction, and the key fields of the transaction that had the error.

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Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	Transaction Type must be valid for Air DA Formal Enforcement Actions. Valid Transaction Types are R (Replace) and X (Mass Delete).	BAT010	Transaction Type <transaction type="" value=""> is not valid for <submission type="" value="">.</submission></transaction>	R, X
	User must have privileges to perform the transaction. This relates to specific roles, access level (HQ, specific region, specific state), and sensitive data privileges. Note: ICIS does not have EDT-specific privileges. The privileges for EDT and Web access are the same.	BAT020	User <id value=""> does not have privileges to perform this <transaction type="" value=""> <submission type="" value=""> transaction.</submission></transaction></id>	R, X
Air DA Fo	rmal Enforcement Action Key Element(s)			
FEA-244	The Air DA Enforcement Action Identifier must exist in ICIS.	FEA1244	The Air DA Enforcement Action Identifier must already exist in ICIS.	X
	If the Air DA Formal Enforcement Action transaction contains only key data and no other data, ICIS rejects the Air DA Formal Enforcement Action transaction.	FEA1245	The Air DA Formal Enforcement Action only contains key data and no other data for processing.	R-C
	The existing Enforcement Action in ICIS must be a State or LCON Air DA Activity (i.e., state_epa_flag = S or L) in the ICIS_ACTIVITY table and must be an Air DA Enforcement Action. Note: This business rule is not checked for Replace transactions where the Enforcement Action does not exist in ICIS.	FEA1318	The Enforcement Action in ICIS must represent an Air DA Enforcement Action.	R-C, X
	The first two characters (i.e., State Code) of the Air DA Enforcement Action Identifier must be a valid state (i.e., Active code where usage_indicator = N or B) in REF_STATE table.	FEA1247	The first two characters (i.e., State Code) of the Air DA Enforcement Action Identifier must represent a valid state in the ICIS reference table.	R-N
	Position 3-5 of the Air DA Enforcement Action Identifier must be a valid (i.e., Active) LCON code in the REF_LCON table for the corresponding State in positions 1-2 of the Air DA Enforcement Action and if no LCON is associated to that record, Positions 3-5 must be '000'.	FEA1248	The characters in position three to five (i.e., LCON Code) of the Air DA Enforcement Action Identifier do not exist or are inactive in the ICIS Reference Table or must be '000'.	R-N
	Position 6 of the Air DA Enforcement Action Identifier must be 'A'.	FEA1249	The character in position six must be 'A'.	R-N
Enforcem	ent Action Linked Facilities			

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Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FEA-251	One or more Linked Air Facility ID for the Facility Interest must exist for an Air DA Formal Enforcement Action.	FEA1251	Air Facility Identifier must exist.	R
	The Linked Air Facility ID of the Air DA Formal Enforcement Action must exist in ICIS and have a program System Acronym of AIR.	FEA1252	Air Facility Identifier(s) <air 1,="" 2air="" air="" facility="" id="" n="" value=""> does not exist in ICIS.</air>	R
	The first two characters (i.e., State Code) of the Air Facility ID must equal the first two characters of the Air DA Enforcement Action Identifier.	FEA1253	Air Facility Identifier(s) < Air Facility Identifier value 1, Air Facility Identifier value 2, Air Facility Identifier value n> must be for the same state acronym as the first two characters of the Air DA Enforcement Action Identifier.	R
FEA-254	An Air Facility ID (i.e. Facility Interest) cannot be unlinked from an Enforcement Action if it is the only Air Facility ID (i.e., Facility Interest) that is in common with a Related Activity (e.g., Compliance Monitoring, Enforcement Action) that is linked to the Enforcement Action.	FEA1254	The Air Facility Identifier cannot be unlinked from the Enforcement Action because it is the only Air Facility ID (i.e. Facility Interest) that is in common with a Related Activity that is linked to the Enforcement Action.	
Forum				
FEA-255	Forum must exist for an Air DA Formal Enforcement Action.	FEA151	Forum must exist for a Formal Enforcement Action.	R
FEA-256	The existing Enforcement Action in ICIS must have a Forum = AFR (Administrative-Formal) or JDC (Judicial).	FEA152	The Enforcement Action in ICIS must represent either an Administrative Formal Enforcement Action or a Judicial Enforcement Action.	R-C, X
FEA-257	Forum cannot be changed from Administrative - Formal to Judicial or vice-versa.	FEA153	The Forum cannot be changed from Administrative - Formal to Judicial or vice-versa.	R-C
Enforcem	nent Action Type			
	Enforcement Action Type must exist for an Air DA Formal Enforcement Action.	FEA160	Enforcement Action Type Code must exist for a Formal Enforcement Action.	R

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FEA-259	Enforcement Action Type(s) must be a valid (i.e., Active) code with an Air DA activity filter code in the REF_ENF_TYPE table Note: Air DA activity filter codes are those where the activity_filter_code has ref_activity_filter.air_da_flag='Y'.	FEA1259	Enforcement Action Type Code(s) <enforcement 1,="" 2,enforcement="" action="" code="" enforcement="" n="" type="" value=""> is not valid for Air Delegated Agency Formal Enforcement Actions, does not exist, or is inactive in the ICIS reference table.</enforcement>	R
FEA-260	Enforcement Action Type(s) must have an activity_type_code in the REF_ENF_TYPE table that matches the Forum.	FEA200	Enforcement Action Type Code(s) <enforcement 1,="" 2,enforcement="" action="" code="" enforcement="" n="" type="" value=""> must match the Forum <forum value="">.</forum></enforcement>	R
FEA-261	For Judicial Enforcement Actions, no more than one Enforcement Action Type can exist.	FEA220	A Judicial Enforcement Action cannot have more than one Enforcement Action Type Code.	R
Enforcem	ent Action Programs Violated			
FEA-262	Programs Violated must exist for an Air DA Formal Enforcement Action.	FEA240	Programs Violated Code must exist for a Formal Enforcement Action.	R
FEA-322	If Air Program = Federally Enforceable Requirement, Program Description must exist.	FEA322	Other Program Description Text must be entered because Program = CAAFENF.	R
FEA-263	Programs Violated must be a valid (i.e., Active) code with program_category_code = AIR in the REF_PROGRAM table.	FEA1263	Programs Violated Code(s) < Programs Violated Code value 1, Programs Violated Code value 2, Programs Violated Code value n> is not an Air Programs Violated Code, does not exist, or is an inactive value in the ICIS reference table.	R
Enforcem	ent Action Pollutants Involved			
FEA-319	Pollutants on the Pollutants Involved list must be a valid (i.e., Active) code with Pollutant_Category_Code = AIR in the REF_POLLUTANT table.	FPI120	Air Pollutant Code <air 1,="" 2,="" air="" code="" n="" pollutant="" value=""> on the Pollutants Involved list does not have a Pollutant Category Code of Air, does not exist, or is inactive in the ICIS reference table.</air>	R
Enforcem	ent Action Resolution Data			
FEA-264	Enforcement Action Resolution Type must be a valid (i.e., Active) code with an Air DA activity filter code in the REF_ENF_OUTCOME table. Note: Air DA activity filter codes are those where the activity_filter_code has ref_activity_filter.air_da_flag='Y'.	FEA1264	Resolution Type Code <resolution code="" type="" value=""> is not valid for Air Delegated Agency Formal Enforcement Actions, does not exist, or is an inactive value in the ICIS reference table.</resolution>	R

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Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FEA-265	For Administrative Enforcement Actions, Enforcement Action Resolution Type must be a valid Administrative Formal Resolution Type (i.e., judicial_admin_filter_flag = B) in the REF_ENF_OUTCOME table.	FEA270	Resolution Type Code <resolution code="" type="" value=""> is not a valid Administrative Formal Resolution Type.</resolution>	R
FEA-266	For Judicial Enforcement Actions, Enforcement Action Resolution Type must be a valid Judicial Resolution Type (i.e., judicial_admin_filter_flag = J or B) in the REF_ENF_OUTCOME table.	FEA280	Resolution Type Code <resolution code="" type="" value=""> is not a valid Judicial Resolution Type.</resolution>	R
	Enforcement Action Resolution Type is one of the following: • Default Order With Penalty • Final Order With Penalty • Litigated With Penalty Then all of the following conditions must be true: • One or more Final Orders must exist for the Enforcement Action • Penalty data must exist for at least one Final Order • Final Order Issued/Entered Date must exist for the Final Order(s)	FEA290	because a Final Order(s) does not exist, Penalty data does not exist, or Final Order Issued Entered Date does not exist.	R
FEA-268	For Judicial Enforcement Actions, if Enforcement Action Resolution Type is one of the following: Default Order With Penalty Final Order With Penalty Litigated With Penalty Then all of the following conditions must be true: One or more Final Orders must exist for the Enforcement Action Penalty data must exist for at least one Final Order	FEA300	Resolution Type Code <resolution code="" type="" value=""> is not valid because a Final Order(s) does not exist or Penalty data does not exist.</resolution>	R

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Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FEA-269	For Administrative Formal Enforcement Actions, if Enforcement Action Resolution Type is Source Agrees, then one and only one of the following scenarios must be true. Scenario 1: One or more Final Orders exist for the Enforcement Action Penalty data exists for at least one Final Order Final Order Issued/Entered Date exists for the Final Order(s) Scenario 2: No Final Orders exist for the Enforcement Action	FEA310	Resolution Type Code <resolution code="" type="" value=""> is not valid because the Enforcement Action must either have a Final Order with Penalty data and a Final Order Issued Entered Date, or have no Final Order(s) at all.</resolution>	R
FEA-270	For Judicial Enforcement Actions, if Enforcement Action Resolution Type is Source Agrees, then only one of the following scenarios must be true. Scenario 1: • One or more Final Orders exist for the Enforcement Action • Penalty data exists for at least one Final Order Scenario 2: • No Final Orders exist for the Enforcement Action	FEA320	Resolution Type Code <resolution code="" type="" value=""> is not valid because the Enforcement Action must either have a Final Order with Penalty data, or have no Final Order(s) at all.</resolution>	R
FEA-271	If Enforcement Action Resolution Type is one of the following: Default Order No Penalty Final Order No Penalty Litigated No Penalty Unilateral Administrative Order Without Adjudication Then all of the following conditions must be true: One or more Final Orders must exist for the Enforcement Action Penalty data must not exist for any Final Order(s)	FEA330	Resolution Type Code <resolution code="" type="" value=""> is not valid because a Final Order(s) does not exist or Penalty data exists.</resolution>	R

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Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	For Administrative Formal Enforcement Actions, if Enforcement Action Resolution Type is one of the following: • Dismissed by Tribunal • EPA Did Not Pursue • Litigated, Lost • Unknown • Voluntarily Dismissed After Filing • Withdrawn by Region/State Then a Final Order must not exist for the Enforcement Action.	FEA340	Resolution Type Code <resolution code="" type="" value=""> is not valid because one or more Final Orders exist.</resolution>	R
	For Judicial Enforcement Actions, if Enforcement Action Resolution Type is one of the following: DOJ Declined Dismissed by Tribunal EPA Did Not Pursue Litigated, Lost Unknown U.S. Attorney Declined Voluntarily Dismissed After Filing Withdrawn by Region/State Then a Final Order must not exist for the Enforcement Action.	FEA350	Resolution Type Code <resolution code="" type="" value=""> is not valid because one or more Final Orders exist.</resolution>	R
	If Enforcement Action Resolution Type is one of the following: Combined With Another Case(s) Superseded by Another Enforcement Action Then the Combined with / Superseded by Enforcement Action Identifier field must exist.	FEA1274	Air DA Combined or Superseded by EA ID must exist because Resolution Type Code is <resolution code="" type="" value="">.</resolution>	R

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FEA-275	Combined with / Superseded by Enforcement Action Identifier field must be an Air DA Enforcement Action Identifier (i.e., icis_activity.state_epa_flag = S or L and activity program = AIR) or a Federal Enforcement Action Identifier (i.e., icis_activity.state_epa_flag = E) that exists in ICIS.	FEA1275	Air DA Combined or Superseded by EA ID does not exist in ICIS or is not an Air DA Enforcement Action or a Federal Enforcement Action.	R
FEA-276	If Enforcement Action Resolution Type is blank or is not one of the following: • Combined With Another Case(s) • Superseded by Another Enforcement Action Then Combined with / Superseded by Enforcement Action must not exist.	FEA1276	Air DA Combined or Superseded by EA ID cannot exist because Resolution Type Code is neither ECO (Combined With Another Case(s)) or ESU (Superseded by Another Enforcement Action).	R
	If Enforcement Action Resolution Type is Combined With Another Case(s), then a Final Order must not exist for the Enforcement Action.	FEA390	Resolution Type Code <resolution code="" type="" value=""> is not valid because a Final Order exists for the Enforcement Action.</resolution>	R
FEA-278	Combined with / Superseded by Enforcement Action must not be equal to the source Enforcement Action.	FEA1278	Air DA Combined or Superseded by Enforcement Action Identifier <air by="" combined="" da="" ea="" id="" or="" superseded="" value=""> cannot be equal to the Air DA Enforcement Action Identifier of the current Enforcement Action.</air>	R
	Combined with / Superseded by Enforcement Action Identifier field cannot be a State NPDES Enforcement Action.	FEA1250	Air DA Combined or Superseded by Enforcement Action Identifier cannot be a State NPDES Enforcement Action Identifier.	R
Final Orde	er Identifier			
	All Final Orders for an Enforcement Action must have a unique Final Order ID. Note: this applies even if duplicate data are submitted for multiple Final Orders.	FEA420	Final Order Identifier <final identifier="" order="" value=""> must be unique for the Enforcement Action. Note: This error message is issued once for each set of Final Orders with the same Final Order Identifier.</final>	R
Final Orde	er Type			
FEA-281	Final Order Type must exist for a Final Order.	FEA461	For Final Order <final identifier="" order="" value="">, Final Order Type Code must exist for a Final Order.</final>	R
			Note: This error message is issued once for each Final Order.	

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Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	Final Order Type must be a valid (i.e., Active) code with an Air DA activity filter code in the REF_ENF_CONCLUSION_ACTION table. Note: Air DA activity filter codes are those where the activity_filter_code has ref_activity_filter.air_da_flag='Y'.	FEA1282	For Final Order <final identifier="" order="" value="">, Final Order Type Code <final code="" order="" type="" value=""> is not valid for states, does not exist, or is inactive in the ICIS reference table. Note: This error message is issued once for each Final Order.</final></final>	R
FEA-283	The Final Order Type activity_type_code in the REF_ENF_CONCLUSION_ACTION table must match the Enforcement Action Type(s) activity_type_code in the REF_ENF_TYPE table.	FEA480	For Final Order <final identifier="" order="" value="">, Final Order Type Code <final code="" order="" type="" value=""> must have the same Forum (e.g., Administrative Formal, Judicial) as the parent Enforcement Action. Note: This error message is issued once for each Final Order.</final></final>	R
Final Orde	er Linked Facilities			
	One or more Linked Air Facility ID must exist for a Final Order.	FEA1284	For Final Order <final identifier="" order="" value="">, Final Order Air Facility Identifier must exist for a Final Order.</final>	R
			Note: This error message is issued once for each Final Order.	
	The Linked Air Facility ID(s) (i.e., Facility Interest) for a Final Order must also be linked to the parent Enforcement Action.	FEA1285	For Final Order <final identifier="" order="" value="">, Final Order Permit Identifier(s) <final 1,="" 2,="" air="" facility="" final="" identifier="" n="" order="" value=""> must also be linked to the parent Enforcement Action.</final></final>	R
			Note: This error message is issued once for each Final Order.	
Final Orde	er Issued/Entered Date			
	For Administrative Formal Enforcement Actions, Final Order Issued/Entered Date must exist if the Final Order is the only Final Order for the Enforcement Action and the Complaint Filed/Proposed Order Milestone Actual Date does not exist.	FEA1286	For Final Order <final identifier="" order="" value="">, the following must exist for an Administrative Formal Enforcement Action Final Order it the Final Order is the only Final Order for the Enforcement Action and the Complaint Filed/Proposed Order Milestone Actual Date does not exist: Final Order Issued Entered Date.</final>	R
	For Administrative Formal Enforcement Actions, Final Order Issued/Entered Date must exist if multiple Final Orders exist for the Enforcement Action.	FEA580	For Final Order <final identifier="" order="" value="">, Final Order Issued Entered Date must exist for an Administrative Formal Enforcement Action Final Order if multiple Final Orders exist for the Enforcement Action.</final>	R
			Note: This error message is issued once for each Final Order.	

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FEA-289	Final Order Issued/Entered Date must be less than or equal to the current date.	FEA590	Entered Date <final date="" entered="" issued="" order="" value=""> must be less than or equal to the current date <current date="" value=""> for the Final Order.</current></final>	R
			Note: This error message is issued once for each Final Order.	
	If the Air Resolved Date exists for a Final Order, then Final Order Issued/Entered Date must be less than or equal to the Air Resolved Date for the Final Order.	FEA1290	For Final Order <final identifier="" order="" value="">, Final Order Issued Entered Date <final date="" entered="" issued="" order="" value=""> must be less than or equal to Air Resolved Date <air date="" resolved="" value=""> for the Final Order.</air></final></final>	R
			Note: This error message is issued once for each Final Order.	
	Final Order Issued/Entered Date for a Final Order must be less than or equal to the Actual Date of any Enforcement Action Milestone that succeeds the Final Order Issued/Entered Milestone in the ordered list of Milestones, with the exception of Air Resolved.	FEA1291	For Final Order <final identifier="" order="" value="">, Final Order Issued Entered Date <final date="" entered="" issued="" order="" value=""> must be less than or equal to the Actual Date of any Enforcement Action Milestone that succeeds Final Order Issued/Entered in the ordered list of Milestones, with the exception of Air Resolved.</final></final>	R-C
			Note: This error message is issued once for each Final Order.	
FEA-292	Final Order Issued/Entered Date for a Final Order must be greater than or equal to the Actual Date of any Enforcement Action Milestone that precedes the Final Order Issued Milestone in the ordered list of Milestones, with the exception of Enforcement Action Data Entered.	FEA620	Entered Date <final date="" entered="" issued="" order="" value=""> must be greater than or equal to the Actual Date of any Enforcement Action Milestone that precedes Final Order Issued in the ordered list of Milestones, with the exception of Enforcement Action Data Entered.</final>	R-C
			Note: This error message is issued once for each Final Order.	
Final Orde	er Air Resolved Date			
FEA-293	Air Resolved Date for the Final Order must be less than or equal to the current date.	FEA1293	For Final Order <final identifier="" order="" value="">, Air Resolved Date <air date="" resolved="" value=""> of the Final Order must be less than or equal to the current date <current date="" value="">.</current></air></final>	R
			Note: This error message is issued once for each Final Order.	

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Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FEA-294	If the Enforcement Action Closed Milestone Actual Date exists, Air Resolved date for the Final Order must be less than or equal to the Enforcement Action Closed Milestone Actual Date.	FEA1294	For Final Order <final identifier="" order="" value="">, Air Resolved Date <air date="" resolved="" value=""> of the Final Order must be less than or equal to the Enforcement Action Closed Milestone Actual Date.</air></final>	R-C
	Air Resolved Date for a Final Order must be greater than or equal to the Actual Date of any Enforcement Action Milestones that precedes the Air Resolved Milestone in the ordered list of Milestones, with the exception of Enforcement Action Data Entered and Final Order Issued/Entered.	FEA1295	Note: This error message is issued once for each Final Order. For Final Order <final identifier="" order="" value="">, Air Resolved Date <air date="" resolved="" value=""> must be greater than or equal the Actual Date of any Enforcement Action Milestone that precedes Air Resolved in the ordered list of Milestones, with the exception of Enforcement Action Data Entered and Final Order Issued/Entered. Note: This error message is issued once for each Final Order.</air></final>	R-C
Enforcem	ent Action Agency Data	<u> </u>		
	Enforcement Agency Type must be a valid (i.e., Active) code in the REF_AGENCY_TYPE table with activity_group_code = EFA (Enforcement Action).	FEA770	Enforcement Agency Type Code <enforcement 1,="" 2,="" agency="" code="" enforcement="" n="" type="" value=""> is inactive or invalid in the ICIS Reference Table.</enforcement>	R
	Lead Agency must be a valid (i.e., Active) code with an Activity_Group_Code = EFA in the REF_AGENCY_TYPE table.	FEA1298	Lead Agency Code <lead agency="" code="" value=""> does not have an Activity Group Code of EFA (Enforcement Action), does not exist, or is inactive in the ICIS reference table.</lead>	R
Enforcem	ent Action Government Contacts			
	The Government Contact identified by Email Address must exist in ICIS.	GC010	The Government Contact(s) identified by Electronic Address Text <electronic 1,="" 2,="" address="" electronic="" n="" text="" value=""> does not exist in ICIS.</electronic>	R
	For Government Contact, the Affiliation Type Code must be a valid (i.e., Active) code with an affiliation_category of Government in the REF_AFFILIATION_TYPE table.	GC020	Affiliation Type Text <affiliation 1,="" 2,="" affiliation="" n="" text="" type="" value=""> does not have an Affiliation Category of Government, does not exist, or is inactive in the ICIS reference table.</affiliation>	R
FEA-301	For Government Contact, the Affiliation Type must have an app_module_code = SEA (State Enforcement Action) in the XREF_AFFILIATION_MODULE table.	GC030	Affiliation Type Text <affiliation 1,="" 2,="" affiliation="" n="" text="" type="" value=""> is not valid for <submission type="" value="">.</submission></affiliation>	R
FEA-302	Only one Lead EPA Attorney at a time can be Active for an Enforcement Action (i.e., cannot have overlapping dates when they are associated).	GC040	Only one Government Contact with Affiliation Type Text of LEA (Lead EPA Attorney) can be Active for an Enforcement Action at any one time.	R

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FEA-303	Asterisks must be entered in all required Government Contact tags (Email Address and Affiliation Type) to blank out all Government Contacts. If asterisks are only entered in some required tags and values are entered in other required tags, the transaction will be rejected.	GC050	For one or more Government Contacts, both asterisks and values were entered in the required tags. The required tags must contain either all asterisks or all values.	R
FEA-304	Government Contact End Date of Association must be greater than the Government Contact Start Date of Association.	GC060	End Date Of Contact Association <end association="" contact="" date="" of="" value=""> must be greater than the Start Date Of Contact Association <start association="" contact="" date="" of="" value="">. Note: This error message is issued once for each Government Contact.</start></end>	R
Air Case	File Background Processing			
FEA-320	If Identify Linked Pathway Activities and Set Case File Status Type Background Processing does not complete successfully, the XML transaction will not be saved.	FEA1318	An error has occurred while processing the data for this Air Delegated Agency Formal Enforcement Action transaction. No data were saved for this Air Delegated Agency Formal Enforcement Action, and the XML transaction must be resubmitted.	R-C, X

9.1.9 Air Delegated Agency Enforcement Action Milestone Error Messages

The table below lists error messages that are generated when ICIS-Air Electronic Data Transfer cannot process an Air Delegated Agency Enforcement Action Milestone transaction, what caused the error, how the error affected the transaction, and the key fields of the transaction that had the error.

Busines s Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	Transaction Type must be valid for Enforcement Action Milestones. The only valid Transaction Type is R (Replace).		Transaction Type <transaction type="" value=""> is not valid for <submission type="" value="">.</submission></transaction>	R

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Busines s Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	User must have privileges to perform the transaction. This relates to specific roles, access level (HQ, specific region, specific state), and sensitive data privileges. Note: ICIS does not have EDT-specific privileges. The privileges for EDT and Web access are the same.	BAT020	User <id value=""> does not have privileges to perform a <transaction type="" value=""> <submission type="" value=""> transaction.</submission></transaction></id>	R
	The Air DA Enforcement Action Milestone identified by the combination of Air DA Enforcement Action Identifier and Milestone Type Code entered must exist in ICIS.	EAM307	An Air DA Enforcement Action Milestone does not exist for the key data entered.	R
	The Air DA Enforcement Action Identifier must represent an Air State or LCON Administrative Formal Enforcement Action or an Air State or LCON Judicial Enforcement Action.	EAM308	Air DA Enforcement Action Identifier is not an Air State/LCON Administrative Formal Enforcement Action or an Air State/LCON Judicial Enforcement Action.	R
	For a Judicial Formal Enforcement Action, Milestone Type Code must be one of the following: RSAGJ (Referred to State Attorney General) CMF (Complaint Filed with Court) CLOSE (Enforcement Action Closed) Note: these codes have an editable_flag = Y in the REF_SUB_ACTIVITY_TYPE table.	EAM070	Milestone Type Code is not editable for a Judicial Formal Enforcement Action.	R
FEA-310		EAM080	Milestone Type Code is not editable for an Administrative Formal Enforcement Action.	R
	Actual Date must be less than or equal to the current date.	EAM090	Milestone Actual Date <enforcement actual="" date="" milestone="" value=""> must be less than or equal to the current date <current date="" value="">.</current></enforcement>	R

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Busines s Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
FEA-312	Actual Date must be less than or equal to the Actual Date of each Enforcement Action Milestone that succeeds it in the ordered list of Milestones.	EAM100	Milestone Actual Date <milestone actual="" date="" value=""> must be less than or equal to the succeeding Milestone's Actual Date: <succeeding (milestone="" actual="" code="" date="" description="" milestone="" succeeding="" type="" value="" value),="">.</succeeding></milestone>	R
FEA-313	Actual Date must be greater than or equal to the Actual Date of each Enforcement Action Milestone that precedes it in the ordered list of Milestones except for Enforcement Action Data Entered.	EAM110	Milestone Actual Date <milestone actual="" date="" value=""> must be greater than or equal to the preceding Milestone's Actual Date: <pre><pre><pre><pre><pre><pre><pre><pre></pre></pre></pre></pre></pre></pre></pre></pre></milestone>	R
FEA-314	The Complaint Filed/Proposed Order Actual Date must be less than or equal to both the Final Order Issued Date and the Air Resolved Date of each Final Order included in the Enforcement Action.	EAM314	The Complaint Filed/Proposed Order Milestone Actual Date <milestone actual="" date="" value=""> must be less than or equal to both the Final Order Issued Date and the Air Resolved Date of each Final Order for the Enforcement Action.</milestone>	R
FEA-315	The Enforcement Action Closed Actual Date must be greater than or equal to both the Final Order Issued/Entered Dated and the Air Resolved Date of each Final Order that is linked to the current Enforcement Action.	EAM315	The Enforcement Action Closed Milestone Actual Date <milestone actual="" date="" value=""> must be greater than or equal to both the Final Order Issued/Entered Date and the Air Resolved Date of each Final Order for the Enforcement Action.</milestone>	R
FEA-316	The Complaint Filed With Court Actual Date must be less than or equal to both the Final Order Entered Date and the Air Resolved Date of each Final Order included in the Enforcement Action.	EAM316	The Complaint Filed With Court Milestone Actual Date <milestone actual="" date="" value=""> must be less than or equal to both the Final Order Entered Date and the Air Resolved Date of each Final Order for the Enforcement Action.</milestone>	R
FEA-317	The Complaint Filed/Proposed Order Actual Date cannot be deleted when a Final Order exists for the Enforcement Action and the Final Order Issued Date is blank.	EAM150	The Complaint Filed/Proposed Order Milestone Actual Date cannot be deleted when a Final Order exists for Enforcement Action and the Final Order Issued Date is blank/null.	R
Air Case	File Background Processing			
FEA-321	If Identify Linked Pathway Activities and Set Case File Status Type Background Processing does not complete successfully, the XML transaction will not be saved.	EAM319	An error has occurred while processing the data for this Air Delegated Agency Milestone transaction. No data were saved for this Air Delegated Agency Milestone, and the XML transaction must be resubmitted.	R

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9.1.10 Air Delegated Agency Informal Enforcement Action Error Messages

The table below lists error messages that are generated when ICIS-Air Electronic Data Transfer cannot process an Air Delegated Agency Informal Enforcement Action transaction, what caused the error, how the error affected the transaction, and the key fields of the transaction that had the error.

Business Rule ID (Req ID)		Error/ Warning Code		Applicable Transaction Types
IEA-060	Transaction Type must be valid for Air DA Informal Enforcement Actions. Valid Transaction Types are R (Replace) and X (Mass Delete).	BAT010	Transaction Type <transaction type="" value=""> is not valid for <submission type="" value="">.</submission></transaction>	R, X
IEA-061	User must have privileges to perform the transaction. This relates to specific roles and access level (HQ, specific region, specific state). Note: ICIS does not have EDT-specific privileges. The privileges for EDT and Web access are the same.	BAT020	User <id value=""> does not have privileges to perform a <transaction type="" value=""> <submission type="" value=""> transaction.</submission></transaction></id>	R, X
Informal E	Enforcement Action Key Element(s)			
IEA-062	The Air DA Enforcement Action Identifier must exist in ICIS.	IEA162	The Air DA Enforcement Action identifier must already exist in ICIS.	X
IEA-063	If the Air DA Informal Enforcement Action transaction contains only key data and no other data, ICIS rejects the Air DA Informal Enforcement Action transaction.	IEA163	The Air DA Informal Enforcement Action only contains key data and no other data for processing.	R-C
IEA-064	The existing Enforcement Action in ICIS must be an Administrative - Informal Activity (i.e., activity_status_code = AIF) in the ICIS_ACTIVITY table. Note: This business rule is not checked for Replace transactions where the Enforcement Action does not exist in ICIS.	IEA052	The Enforcement Action in ICIS must represent an Informal Enforcement Action.	R-C, X
IEA-091	The existing Enforcement Action in ICIS must be a State or LCON Air DA Activity (i.e., state_epa_flag = S or L) in the ICIS_ACTIVITY table and must be an Air DA Enforcement Action. Note: This business rule is not checked for Replace transactions where the Enforcement Action does not exist in ICIS.	IEA191	The Enforcement Action in ICIS must represent an Air DA Enforcement Action.	R-C, X

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
IEA-065	The first two characters (i.e., State Code) of the Air DA Enforcement Action Identifier must be a valid state (i.e., Active code where usage_indicator = N or B) in the REF_STATE table.	IEA165	The first two characters (i.e., State Code) of the Air DA Enforcement Action Identifier must represent a valid state in the ICIS reference table.	R-N
IEA-066	Position 3-5 of the Air DA Enforcement Action Identifier must be a valid (i.e., Active) LCON code in the REF_LCON table for the corresponding State in positions 1-2 of the Air DA Enforcement Action and if no LCON is associated to that record, Positions 3-5 must be '000'.	IEA166	The characters in position three to five (i.e., LCON Code) of the Air DA Enforcement Action Identifier do not exist or are inactive in the ICIS Reference Table or must be '000'.	R-N
IEA-067	Position 6 of the Air DA Enforcement Action Identifier must be 'A'.	IEA167	The character in position six of the Air DA Enforcement Action Identifier must be 'A'.	R-N
Enforcem	ent Action Linked Air Facility ID Data Element(s)			
IEA-068	One or more Linked Air Facility IDs must exist for an Air DA Informal Enforcement Action.	IEA168	Air Facility Identifier must exist.	R
IEA-069	The Linked Air Facility ID of the Air DA Informal Enforcement Action must exist in ICIS and have a program System Acronym of AIR.	IEA169	Air Facility Identifier(s) <air 1,="" 2air="" air="" facility="" id="" n="" value=""> does not exist in ICIS.</air>	R
IEA-071	The first two characters (i.e., State Code) of the Air Facility ID must equal the first two characters of the Air DA Enforcement Action Identifier.	IEA171	Air Facility Identifier(s) <air 1,="" 2,="" air="" facility="" identifier="" n="" value="">must be for the same state acronym as the first two characters of the Air DA Enforcement Action Identifier.</air>	R
IEA-072	An Air Facility ID cannot be unlinked from an Enforcement Action if it is the only Air Facility ID that is in common with a Related Activity (e.g., Compliance Monitoring, Enforcement Action) that is linked to the Enforcement Action.	IEA172	The Air Facility Identifier cannot be unlinked from the Enforcement Action because it is the only Air Facility ID that is in common with a Related Activity that is linked to the Enforcement Action.	R-C
Enforcem	ent Action Type Data Element(s)			
	Enforcement Action Type must exist for an Air DA Informal Enforcement Action.		Enforcement Action Type Code must exist for an Informal Enforcement Action.	R
IEA-074	code with an Air DA activity filter code in the REF_ENF_TYPE table.	IEA174	Enforcement Action Type Code <enforcement action="" code="" type="" value=""> is not valid for Air Delegated Agency Informal Enforcement Action, does not exist, or is inactive in the ICIS reference table.</enforcement>	R
	Note: The Air DA activity filter code values are to be determined.			

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
IEA-075	Enforcement Action Type must have an activity_type_code in the REF_ENF_TYPE table equal to AIF (Administrative - Informal).	IEA190	Enforcement Action Type Code <enforcement action="" code="" type="" value=""> must represent an Informal Enforcement Action.</enforcement>	R
Enforcem	ent Action Program Violated Data Element(s)			
IEA-076	Programs Violated must exist for an Air DA Informal Enforcement Action.		Programs Violated Code must exist for an Informal Enforcement Action.	R
IEA-077	Programs Violated must be a valid (i.e., Active) code with program_category_code = AIR in the REF_PROGRAM table.	IEA177	Programs Violated Code(s) < Programs Violated Code value 1, Programs Violated Code value 2, Programs Violated Code value n> is not an Air Programs Violated Code, does not exist, or is an inactive value in the ICIS reference table.	R
IEA-093	If Air Program = Federally Enforceable Requirement, Program Description must exist.	IEA193	Other Program Description Text must be entered because Program = CAAFENF.	R
Enforcem	ent Action Pollutants Involved			
IEA-078	Pollutants on the Pollutants Involved list must be a valid (i.e., Active) code with Pollutant_Category_Code = AIR in the REF_POLLUTANT table.	IEA178	Air Pollutant Code <air 1,="" 2,="" air="" code="" n="" pollutant="" value=""> on the Pollutants Involved list does not have a Pollutant Category Code of Air, does not exist, or is inactive in the ICIS reference table.</air>	R
Enforcem	ent Action Agency Data Element(s)			
IEA-081	Enforcement Agency Type must be a valid (i.e., Active) code in the REF_AGENCY_TYPE table with activity_group_code = EFA (Enforcement Action).	IEA240	Enforcement Agency Type Code <enforcement 1,="" 2,="" agency="" code="" enforcement="" n="" type="" value=""> is inactive or invalid in the ICIS Reference Table.</enforcement>	R
IEA-083	Lead Agency must be a valid (i.e., Active) code with an Activity_Group_Code = EFA in the REF_AGENCY_TYPE table.	IEA183	Lead Agency Code <lead agency="" code="" value=""> does not have an Activity Group Code of EFA (Enforcement Action), does not exist, or is inactive in the ICIS reference table.</lead>	R
Enforcem	ent Action Government Contacts Data Element(s)			
IEA-084	The Government Contact identified by Email Address must exist in ICIS.	GC010	The Government Contact(s) identified by Electronic Address Text <electronic 1,="" 2,="" address="" electronic="" n="" text="" value=""> does not exist in ICIS.</electronic>	R
IEA-085	For Government Contact, the Affiliation Type Code must be a valid (i.e., Active) code with an affiliation_category of Government in the REF_AFFILIATION_TYPE table.	GC020	Affiliation Type Text <affiliation 1,="" 2,="" affiliation="" n="" text="" type="" value=""> does not have an Affiliation Category of Government, does not exist, or is inactive in the ICIS reference table.</affiliation>	R

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
IEA-086	For Government Contact, the Affiliation Type must have an app_module_code = SEA (State Enforcement Action) in the XREF_AFFILIATION_MODULE table.	GC030	Affiliation Type Text <affiliation 1,="" 2,="" affiliation="" n="" text="" type="" value=""> is not valid for <submission type="" value="">.</submission></affiliation>	R
IEA-087	Only one Lead EPA Attorney at a time can be Active for an Enforcement Action (i.e., cannot have overlapping dates when they are associated).	GC040	Only one Government Contact with Affiliation Type Text of LEA (Lead EPA Attorney) can be Active for an Enforcement Action at any one time.	R
IEA-088	Asterisks must be entered in all required Government Contact tags (Email Address and Affiliation Type) to blank out all Government Contacts. If asterisks are only entered in some required tags and values are entered in other required tags, the transaction will be rejected.	GC050	For one or more Government Contacts, both asterisks and values were entered in the required tags. The required tags must contain either all asterisks or all values.	R
IEA-089	Government Contact End Date of Association must be greater than the Government Contact Start Date of Association.	GC060	End Date Of Contact Association <end association="" contact="" date="" of="" value=""> must be greater than the Start Date Of Contact Association <start association="" contact="" date="" of="" value="">. Note: This error message is issued once for each Government Contact.</start></end>	R
Air Case	File Background Processing			
IEA-092	If Identify Linked Pathway Activities and Set Case File Status Type Background Processing does not complete successfully, the XML transaction will not be saved.		An error has occurred while processing the data for this Air Delegated Agency Informal Enforcement Action transaction. No data were saved for this Air Delegated Agency Informal Enforcement Action, and the XML transaction must be resubmitted.	R-C, X

9.1.11 Air Delegated Agency Case File Error Messages

The table below lists error messages that are generated when ICIS-Air Electronic Data Transfer cannot process an Air Delegated Agency Case File transaction, what caused the error, how the error affected the transaction, and the key fields of the transaction that had the error.

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
ACF-001	Transaction Type must be valid for Air DA Case Files. Valid Transaction Types are R (Replace) and X (Mass Delete).	BAT010	Transaction Type <transaction type="" value=""> is not valid for <submission type="" value="">.</submission></transaction>	R, X
ACF-002	User must have privileges to perform the transaction. This relates to specific roles, access level (HQ, specific region, specific state), and sensitive data privileges. Note: ICIS does not have EDT-specific privileges. The privileges for EDT and Web access are the same. State and LCON must be a valid State and LCON based on the User ID geography. Also, user must have Sensitive Data Access to edit or delete a record with Air Violations or Sensitive Comments.	BAT020	User <id value=""> does not have privileges to perform this <transaction type="" value=""> <submission type="" value=""> transaction.</submission></transaction></id>	R, X
Air DA Ca	ase File Key Elements			
ACF-003	Case File ID must exist in ICIS.	ACF003	A Case File does not exist for the key data entered.	X
ACF-004	If the Air DA Case File transaction contains only key data and no other data, ICIS rejects the Air DA Case File transaction. Note: This business rule is not checked for Replace transactions where the Case File does not exist in ICIS.	ACF004	The Air DA Case File transaction contains key data and no other data for processing.	R-C
Case File	Identifier/Case File Information			
	The existing Case File in ICIS must be a State or LCON Air DA Activity (i.e., state_epa_flag = S or L) in the ICIS_ACTIVITY table and must be an Air DA Case File. Note: This business rule is not checked for Replace transactions where the Case File does not exist in ICIS.	ACF005	The Case File in ICIS must represent an Air Case File for a Delegated Agency.	R-C, X
ACF-006	Position 1-2 of the Case File ID must be a valid (i.e., Active code where usage_indicator = N or B) code in the REF_STATE table. Note: This business rule is not checked for Replace transactions where the Case File exists in ICIS.	ACF006	The first two characters (i.e., State Code) of the Case File Identifier does not exist or is inactive in the ICIS Reference Table.	R-N

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Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	Position 3-5 of the Case File ID must be a valid (i.e., Active) LCON code in the REF_LCON table for the corresponding State in position 1-2 of the Delegated Agency Case File and if no LCON is associated to that record, Position 3-5 must be '000'.	ACF007	The characters in position three to five (i.e., LCON Code) of the Case File Identifier does not exist or is inactive in the ICIS Reference Table or must be '000'.	R-N
	Note: This business rule is not checked for Replace transactions where the Case File exists in ICIS.			
ACF-008	Position 6 of the Case File ID must be 'A'.	ACF008	The character in position six must be 'A'.	R-N
	Lead Agency must be a valid (i.e., Active) code with an Activity_Group_Code = CMD in the REF_AGENCY_TYPE table.	ACF009	Lead Agency Code <lead agency="" code="" value=""> does not have an Activity Group Code of CMD (Compliance Determination), does not exist, or is inactive in the ICIS reference table.</lead>	R
Case File	Linked Facility			
ACF-010	Air Facility Identifier must exist.	ACF010	Air Facility ID must exist.	R
	Air Facility Identifier must exist in ICIS where Program System Acronym = 'AIR'.	ACF011	Air Facility Identifier <air facility="" id="" value=""> does not exist in ICIS.</air>	R
	An Air Facility ID cannot be unlinked from an Air Case File if it is the only Air Facility ID that is in common with a Related Activity (e.g., Case File, Compliance Monitoring, Enforcement Action) that is linked to the Case File.		The Air Facility Identifier cannot be unlinked from the Case File because it is the only Air Facility ID that is in common with a Related Activity that is linked to the Case File.	R-C
Case File	Air Program			
ACF-012	At least one Program must exist.	ACF012	At least one Program Code must exist.	R
	Air Programs must be a valid (i.e., Active) code with a Program_Category_Code = AIR in the REF_PROGRAM table.	ACF013	Program Code <program 1,="" 2,="" code="" n="" program="" value=""> does not have Program Category = AIR, does not exist, or is inactive in the ICIS reference table.</program>	R
	Requirement), Program Description must exist.	ACF014	Other Program Description Text must be entered because Program = CAAFENF (Federally Enforceable Requirement).	R
Case File	Applicable Pollutants			

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Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	Pollutant must be a valid (i.e., Active) code with Pollutant_Category_Code = AIR in the REF_POLLUTANT table.	ACF016	Air Pollutant Code(s) <air 1,="" 2,="" air="" code="" n="" pollutant="" value=""> does not have a Pollutant Category Code of Air, does not exist, or is inactive in the ICIS reference table.</air>	R
Case File	Sensitive Data Indicator			
	If the existing Case File in ICIS is linked to an Informal Enforcement Action or a non-sensitive Formal Enforcement Action, then Enforcement Sensitive Indicator must be 'No'.	ACF017	Enforcement Sensitive Indicator must = 'N' because the Case File in ICIS is linked to an Informal Enforcement Action or a non-sensitive Formal Enforcement Action.	R-C
Case File	Pathway Activities			
ACF-018	The following must exist to save an Other Pathway Activity: Other Pathway Category Code Other Pathway Type Code Other Pathway Date	ACF018	 (Other Pathway Category Code, Other Pathway Type Code, Other Pathway Date) must exist. Note: In the message above, all XML tags that may have this error are listed in parentheses. Only the tags for which this error occurs will be included in the actual error message. Parentheses will not display in the error messages; they just indicate that the message is dynamic. 	R
	Other Pathway Category Code must be a valid (i.e., Active) code with in the REF_PATHWAY_CATEGORY table.	ACF019	Other Pathway Category Code <other category="" code="" pathway="" value=""> does not exist or is inactive in the ICIS reference table.</other>	R
	Other Pathway Type Code must be a valid (i.e., Active) code in the REF_PATHWAY_TYPE table.	ACF020	Other Pathway Type Code <other code="" pathway="" type="" value=""> does not exist or is inactive in the ICIS reference table.</other>	R
	Other Pathway Type Code must be valid for the Other Pathway Category Code submitted in the XREF_PATHWAY_CATEGORY_TYPE table.	ACF021	Other Pathway Type Code <other <other="" category="" code="" for="" is="" not="" other="" pathway="" td="" the="" type="" valid="" values="" values.<=""><td>R</td></other>	R
	The Other Pathway Category Code entered must be unique for the Case File.	ACF022	Other Pathway Category Code(s) <other 1,="" 2,="" category="" code="" n="" other="" pathway="" value=""> must be entered only once for the Case File.</other>	R

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ther Pathway Date must be less than or equal to the current ate.	ACF-023	For Other Pathway Category Code <other category<="" pathway="" th=""><th>_</th></other>	_
		Code value>, Other Pathway Date must be less than or equal to the current date. Note: This error message is issued once for each Other Pathway Category Code.	R
ther Addressing Action Date (i.e., Other Pathway Date for athway Category Code=ADDR) must be less than or equal Other Resolving Action Date (i.e., Other Pathway Date for athway Category Code=RSLV).	ACF025	For Pathway Activity with Pathway Category Code = ADDR, Other Pathway Date must be less than or equal to the Other Pathway Date <other date="" pathway="" value=""> for the Pathway Category Code = RSLV (Resolving Action).</other>	R
sterisks must be entered in all required tags to blank out all ase File Pathway Activities. If asterisks are only entered in ome required tags and values are entered in other required gs, the transaction will be rejected.	ACF048	For one or more Case File Pathway Activities, both asterisks and values were entered in the required tags. The required tags must contain either all asterisks or all values.	R
n Advisory Information			
dvisement Method Type Code must be a valid (i.e., Active) ode in the REF_FAC_ADVISED_VIOLATION.	ACF026	Advisement Method Type Code <advisement code="" method="" type="" value=""> does not exist or is inactive in the ICIS reference table.</advisement>	R
dvisement Method Type Code must be entered if dvisement Method Date is entered and vice versa.	ACF046	1) Advisement Method Type Code must be entered because Advisement Method Date has been entered. 2) Advisement Method Date must be entered because Advisement Method Type Code has been entered.	R
at a	thway Category Code=ADDR) must be less than or equal Other Resolving Action Date (i.e., Other Pathway Date for thway Category Code=RSLV). terisks must be entered in all required tags to blank out all se File Pathway Activities. If asterisks are only entered in me required tags and values are entered in other required as, the transaction will be rejected. Advisory Information visement Method Type Code must be a valid (i.e., Active) de in the REF_FAC_ADVISED_VIOLATION.	thway Category Code=ADDR) must be less than or equal Other Resolving Action Date (i.e., Other Pathway Date for thway Category Code=RSLV). terisks must be entered in all required tags to blank out all see File Pathway Activities. If asterisks are only entered in me required tags and values are entered in other required is, the transaction will be rejected. Advisory Information visement Method Type Code must be a valid (i.e., Active) de in the REF_FAC_ADVISED_VIOLATION. visement Method Type Code must be entered if visement Method Date is entered and vice versa.	Other Pathway Date must be less than or equal to the Other Pathway Date for Cother Resolving Action Date (i.e., Other Pathway Date for Cother Resolving Action Date (i.e., Other Pathway Date for Cother Resolving Action Date (i.e., Other Pathway Date for Cother Pathway Date value) for the Pathway Category Code = RSLV (Resolving Action). **Category Code = RSLV (Resolving Ac

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Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	For each Air Violation, the combination of Violation Type, Program, Program Description, Pollutant, FRV Determination Date, HPV Day Zero Date, Occurrence Start Date, and Occurrence End Date must be unique.	ACF027	The Air Violation (<air code="" type="" value="" violation="">, <air code="" program="" value="" violation="">, <air description="" program="" text="" value="" violation="">, <air code="" pollutant="" value="" violation="">, <frv date="" determination="" value="">, <hpv date="" day="" value="" zero="">, <occurrence date="" start="" value="">, <occurrence date="" end="" value="">) must be unique.</occurrence></occurrence></hpv></frv></air></air></air></air>	R
			Note: This error message is only issued once for duplicate Air Violations. Note: Values not submitted/values blanked out will appear as "null" in the error message.	
	Violation Type and Air Violation Program must exist if any other data exist for a violation.	ACF028	For Air Violation (<air code="" type="" value="" violation="">, <air code="" program="" value="" violation="">, <air description="" program="" text="" value="" violation="">, <air code="" pollutant="" value="" violation="">, <frv date="" determination="" value="">, <hpv date="" day="" value="" zero="">, <occurrence date="" start="" value="">, <occurrence date="" end="" value="">), Air Violation Type Code and Air Violation Program Code must exist because other data exists for the Air Violation. Note: Values not submitted/values blanked out will appear as "null" in the error message.</occurrence></occurrence></hpv></frv></air></air></air></air>	R
	Air Violation Type Code must be a valid (i.e., Active) code in the REF_AIR_VIOLATION_TYPE table.	ACF029	For Air Violation (<air code="" type="" value="" violation="">, <air code="" program="" value="" violation="">, <air description="" program="" text="" value="" violation="">, <air code="" pollutant="" value="" violation="">, <frv date="" determination="" value="">, <hpv date="" day="" value="" zero="">, <occurrence date="" start="" value="">, <occurrence date="" end="" value="">), Air Violation Type Code < Air Violation Type Code value> does not exist or is inactive in the ICIS reference table. Note: Values not submitted/values blanked out will appear as "null" in the error message.</occurrence></occurrence></hpv></frv></air></air></air></air>	R

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	Asterisks must be entered in all required tags to blank out all Air Violations. If asterisks are only entered in some required tags and values are entered in other required tags, the transaction will be rejected.	ACF049	For one or more Air Violations, both asterisks and values were entered in the required tags. The required tags must contain either all asterisks or all values.	R
Air Violat	ion: Program			
	Air Violation Program must be a valid (i.e., Active) code with a Program_Category_Code = AIR in the REF_PROGRAM table.	ACF030	For Air Violation (<air code="" type="" value="" violation="">, <air code="" program="" value="" violation="">, <air description="" program="" text="" value="" violation="">, <air code="" pollutant="" value="" violation="">, <frv date="" determination="" value="">, <hpv date="" day="" value="" zero="">, <occurrence date="" start="" value="">, <occurrence date="" end="" value="">), Air Violation Program Code <air code="" program="" value="" violation=""> does not have Program Category = AIR, does not exist, or is inactive in the ICIS reference table. Note: This error message is issued once for each Air Violation Type Code that has an invalid Air Violation Program Code. Note: Values not submitted/values blanked out will appear as "null" in the error message.</air></occurrence></occurrence></hpv></frv></air></air></air></air>	R
	If Air Violation Program = CAAFENF (Federally Enforceable Requirement), Air Violation Program Description must exist.	ACF031	For Air Violation (<air code="" type="" value="" violation="">, <air code="" program="" value="" violation="">, <air description="" program="" text="" value="" violation="">, <air code="" pollutant="" value="" violation="">, <frv date="" determination="" value="">, <hpv date="" day="" value="" zero="">, <occurrence date="" start="" value="">, <occurrence date="" end="" value="">), Air Violation Program Description Text must be entered because Air Violation Program = CAAFENF (Federally Enforceable Requirement). Note: This error message is issued once for each Air Violation Type Code. Note: Values not submitted/values blanked out will appear as "null" in the error message.</occurrence></occurrence></hpv></frv></air></air></air></air>	R

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Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
ACF-033	Only Air Programs entered for the Air Case File can be entered as an Air Violation Program on the Air Violation.	ACF033	For Air Violation (<air code="" type="" value="" violation="">, <air code="" program="" value="" violation="">, <air description="" program="" text="" value="" violation="">, <air code="" pollutant="" value="" violation="">, <frv date="" determination="" value="">, <hpv date="" day="" value="" zero="">, <occurrence date="" start="" value="">, <occurrence date="" end="" value="">), Air Violation Program Code <air code="" program="" value="" violation=""> is not a Case File Air Program Code. Note: This error message is issued once for each Air Violation Type Code. Note: Values not submitted/values blanked out will appear as "null" in the error message.</air></occurrence></occurrence></hpv></frv></air></air></air></air>	R
Air Violat	ion: Pollutants			
ACF-034	Air Violation Pollutant must be a valid (i.e., Active) code with Pollutant_Category_Code = AIR in the REF_POLLUTANT table.	ACF034	For Air Violation (<air code="" type="" value="" violation="">, <air code="" program="" value="" violation="">, <air description="" program="" text="" value="" violation="">, <air code="" pollutant="" value="" violation="">, <frv date="" determination="" value="">, <hpv date="" day="" value="" zero="">, <occurrence date="" start="" value="">, <occurrence date="" end="" value="">), Air Violation Pollutant Code value> does not have a Pollutant Category Code of Air, does not exist, or is inactive in the ICIS reference table. Note: This error message is issued once for each Air Violation Type Code. Note: Values not submitted/values blanked out will appear as "null" in the error message.</occurrence></occurrence></hpv></frv></air></air></air></air>	R

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Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	Only Pollutants entered for the Air Case File can be entered as an Air Violation Pollutant on the Air Violation.	ACF035	For Air Violation (<air code="" type="" value="" violation="">, <air code="" program="" value="" violation="">, <air description="" program="" text="" value="" violation="">, <air code="" pollutant="" value="" violation="">, <frv date="" determination="" value="">, <hpv date="" day="" value="" zero="">, <occurrence date="" start="" value="">, <occurrence date="" end="" value="">), Air Violation Pollutant Code <air code="" pollutant="" value="" violation=""> is not a Case File Air Pollutant Code. Note: This error message is issued once for each Air Violation Type Code. Note: Values not submitted/values blanked out will appear as "null" in the error message.</air></occurrence></occurrence></hpv></frv></air></air></air></air>	R
	Air Violation Pollutant is required if Pollutant Required Indicator = Y (i.e., REF_Air_Violation_Type. Pollutant_Reqd_Flag=Y) for the Air Violation Type Code.	ACF036	For Air Violation (<air code="" type="" value="" violation="">, <air code="" program="" value="" violation="">, <air description="" program="" text="" value="" violation="">, <air code="" pollutant="" value="" violation="">, <frv date="" determination="" value="">, <hpv date="" day="" value="" zero="">, <occurrence date="" start="" value="">, <occurrence date="" end="" value="">), Air Violation Pollutant Code must exist because Pollutant Required Indicator = Y (Yes). Note: This error message is issued once for each Air Violation Type Code. Note: Values not submitted/values blanked out will appear as "null" in the error message.</occurrence></occurrence></hpv></frv></air></air></air></air>	R
Air Violati	ion: Dates			

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
ACF-045	FRV Determination Date must be less than or equal to the current date.	ACF045	For Air Violation (<air code="" type="" value="" violation="">, <air code="" program="" value="" violation="">, <air description="" program="" text="" value="" violation="">, <air code="" pollutant="" value="" violation="">, <frv date="" determination="" value="">, <hpv date="" day="" value="" zero="">, <occurrence date="" start="" value="">, <occurrence date="" end="" value="">), FRV Determination Date must be less than or equal to the current date. Note: Values not submitted/values blanked out will appear as "null" in the error message.</occurrence></occurrence></hpv></frv></air></air></air></air>	R
	FRV Determination Date must be less than or equal to the HPV Day Zero Date.	ACF047	For Air Violation (<air code="" type="" value="" violation="">, <air code="" program="" value="" violation="">, <air description="" program="" text="" value="" violation="">, <air code="" pollutant="" value="" violation="">, <frv date="" determination="" value="">, <hpv date="" day="" value="" zero="">, <occurrence date="" start="" value="">, <occurrence date="" end="" value="">), FRV Determination Date must be less than or equal to the the HPV Day Zero Date. Note: Values not submitted/values blanked out will appear as "null" in the error message.</occurrence></occurrence></hpv></frv></air></air></air></air>	R
	HPV Day Zero Date must be submitted if the Air Violation Type Code is a High Priority Violation (i.e., REF_AIR_VIOLATION_SEVERITY.Air_Violation_Severity_C ode = HPV).	ACF037	For Air Violation (<air code="" type="" value="" violation="">, <air code="" program="" value="" violation="">, <air description="" program="" text="" value="" violation="">, <air code="" pollutant="" value="" violation="">, <frv date="" determination="" value="">, <hpv date="" day="" value="" zero="">, <occurrence date="" start="" value="">, <occurrence date="" end="" value="">), HPV Day Zero Date must exist because Air Violation Type Code <air code="" type="" value="" violation=""> is classified as a HPV. Note: This error message is issued once for each Air Violation Type Code. Note: Values not submitted/values blanked out will appear as "null" in the error message.</air></occurrence></occurrence></hpv></frv></air></air></air></air>	R

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	HPV Day Zero Date can only be submitted if Air Violation Type is a High Priority Violation (i.e., REF_AIR_VIOLATION_SEVERITY.Air_Violation_Severity_C ode = HPV).	ACF038	For Air Violation (<air code="" type="" value="" violation="">, <air code="" program="" value="" violation="">, <air description="" program="" text="" value="" violation="">, <air code="" pollutant="" value="" violation="">, <frv date="" determination="" value="">, <hpv date="" day="" value="" zero="">, <occurrence date="" start="" value="">, <occurrence date="" end="" value="">), Air Violation Type Code <air code="" type="" value="" violation=""> is not classified as a HPV, so HPV Day Zero Date cannot be submitted. Note: This error message is issued once for each Air Violation Type Code. Note: Values not submitted/values blanked out will appear as "null" in the error message.</air></occurrence></occurrence></hpv></frv></air></air></air></air>	R
	Occurrence Start Date must be less than or equal to Occurrence End Date.	ACF039	For Air Violation (<air code="" type="" value="" violation="">, <air code="" program="" value="" violation="">, <air description="" program="" text="" value="" violation="">, <air code="" pollutant="" value="" violation="">, <frv date="" determination="" value="">, <hpv date="" day="" value="" zero="">, <occurrence date="" start="" value="">, <occurrence date="" end="" value="">), Occurrence Start Date must be less than or equal to Occurrence End Date. Note: This error message is issued once for each Air Violation Type Code. Note: Values not submitted/values blanked out will appear as "null" in the error message.</occurrence></occurrence></hpv></frv></air></air></air></air>	R
Air Violati	on: HPV Designation Removal Basis			

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Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	HPV Designation Removal Type Code must be a valid (i.e., Active) code in the REF_AIR_DESIGNATION_REMOVAL table.		For Air Violation (<air code="" type="" value="" violation="">, <air code="" program="" value="" violation="">, <air description="" program="" text="" value="" violation="">, <air code="" pollutant="" value="" violation="">, <frv date="" determination="" value="">, <hpv date="" day="" value="" zero="">, <occurrence date="" start="" value="">, <occurrence date="" end="" value="">), HPV Designation Removal Type Code <hpv code="" designation="" removal="" type="" value=""> does not exist or is inactive in the ICIS reference table. Note: This error message is issued once for each Air Violation Type Code. Note: Values not submitted/values blanked out will appear as "null" in the error message.</hpv></occurrence></occurrence></hpv></frv></air></air></air></air>	R

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Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	HPV Designation Removal Type Code must be submitted if HPV Designation Removal Date is submitted, and vice versa.	ACF041	For Air Violation (<air code="" type="" value="" violation="">, <air code="" program="" value="" violation="">, <air description="" program="" text="" value="" violation="">, <air code="" pollutant="" value="" violation="">, <frv date="" determination="" value="">, <hpv date="" day="" value="" zero="">, <occurrence date="" start="" value="">, <occurrence date="" end="" value="">), HPV Designation Removal Type Code must be submitted because HPV Designation Removal Date was submitted.</occurrence></occurrence></hpv></frv></air></air></air></air>	R
			2) For Air Violation (<air code="" type="" value="" violation="">, <air code="" program="" value="" violation="">, <air description="" program="" text="" value="" violation="">, <air code="" pollutant="" value="" violation="">, <frv date="" determination="" value="">, <hpv date="" day="" value="" zero="">, <occurrence date="" start="" value="">, <occurrence date="" end="" value="">), HPV Designation Removal Date must be submitted because HPV Designation Removal Type Code was submitted.</occurrence></occurrence></hpv></frv></air></air></air></air>	
			Note: This error message is issued once for each Air Violation Type Code. Note: Values not submitted/values blanked out will appear as "null" in the error message.	

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	HPV Designation Removal Type Code can only be submitted if Air Violation Type is a High Priority Violation (i.e., REF_AIR_VIOLATION_SEVERITY.Air_Violation_Severity_C ode = HPV).	ACF042	For Air Violation (<air code="" type="" value="" violation="">, <air code="" program="" value="" violation="">, <air description="" program="" text="" value="" violation="">, <air code="" pollutant="" value="" violation="">, <frv date="" determination="" value="">, <hpv date="" day="" value="" zero="">, <occurrence date="" start="" value="">, <occurrence date="" end="" value="">), Air Violation Type Code <air code="" type="" value="" violation=""> is not classified as a HPV, so HPV Designation Removal Type Code cannot be submitted. Note: This error message is issued once for each Air Violation Type Code. Note: Values not submitted/values blanked out will appear as "null" in the error message.</air></occurrence></occurrence></hpv></frv></air></air></air></air>	R
	HPV Designation Removal Date can only be submitted if Air Violation Type is a High Priority Violation (i.e., REF_AIR_VIOLATION_SEVERITY.Air_Violation_Severity_C ode = HPV).	ACF043	For Air Violation (<air code="" type="" value="" violation="">, <air code="" program="" value="" violation="">, <air description="" program="" text="" value="" violation="">, <air code="" pollutant="" value="" violation="">, <frv date="" determination="" value="">, <hpv date="" day="" value="" zero="">, <occurrence date="" start="" value="">, <occurrence date="" end="" value="">), Air Violation Type Code <air code="" type="" value="" violation=""> is not classified as a HPV, so HPV Designation Removal Date cannot be submitted. Note: This error message is issued once for each Air Violation Type Code. Note: Values not submitted/values blanked out will appear as "null" in the error message.</air></occurrence></occurrence></hpv></frv></air></air></air></air>	R
Air Case	File Background Processing			
	If ID Linked Pathway Activities, Set Enforcement Response Policy and/or Set Case File Status Background Processing does not complete successfully, XML transaction will not be saved.	ACF044	An error has occurred while processing the data for this Delegated Agency Case File transaction. No data were saved for this Delegated Agency Case File, and the XML transaction must be resubmitted.	R

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9.1.12 Case File Linkage Error Messages

The table below lists error messages that are generated when ICIS-Air Electronic Data Transfer cannot process a Case File Linkage transaction, what caused the error, how the error affected the transaction, and the key fields of the transaction that had the error.

Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
	Transaction Type must be valid for Case File Linkage Linkage. Valid Transaction Types are R (Replace) and X (Mass Delete).	BAT010	Transaction Type <transaction type="" value=""> is not valid for <submission type="" value="">.</submission></transaction>	R, X
	User must have privileges to perform the transaction. This relates to specific roles, access level (HQ, specific region, specific state), and sensitive data privileges. Note: ICIS does not have EDT-specific privileges. The privileges for EDT and Web access are the same. State and LCON must be a valid State and LCON based on the User ID geography. Also, user must have Sensitive Data Access to link or unlink if either the source or the target record is Enforcement Sensitive.	BAT020	User <id value=""> does not have privileges to perform this <transaction type="" value=""> <submission type="" value=""> transaction.</submission></transaction></id>	R, X
Source C	ase File			
	The source Case File identified by the Case File Identifier must exist in ICIS.	CEL003	The source Case File does not exist for the key data entered.	R, X
Target Re	ecord	•		
	A record must exist in ICIS for the target record keys submitted. Note: the target Enforcement Action can be a Federal, State NPDES, or Air DA Enforcement Action and can be either an Informal or Formal Enforcement Action.	CEL004	A record does not exist in ICIS for the target record key submitted.	R, X
	A Facility must be shared between the source Case File and the target record.	CEL005	The record cannot be linked to or unlinked from the Case File because the target record does not share a Facility with the source record.	R, X

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Business Rule ID (Req ID)		Error/ Warning Code	Error/Warning Message	Applicable Transaction Types	
Background Processing					
CEL-006	If ID Linked Pathway Activities and Set Case File Status	CEL006	An error has occurred while processing the data for this Case	R, X	
	Background Processing does not complete successfully, XML		File Linkage transaction. No data were saved for Case File		
	transaction will not be saved.		Linkage, and the XML transaction must be resubmitted.		

9.1.13 Compliance Monitoring Linkage Error Messages

The table below lists error messages that are generated when ICIS-Air Electronic Data Transfer cannot process a Compliance Monitoring Linkage transaction, what caused the error, how the error affected the transaction, and the key fields of the transaction that had the error.

Error/ Warning Code	Business Rules	Where Enforced (Web)	Transaction Keys	Error/Warning Message	Applicable Transaction Types
BAT010	Transaction Type must be valid for Compliance Monitoring Linkages. Valid Transaction Types are X (Mass Delete) and R (Replace).		Source CMA key Linked/unlinked record keys (see Error! eference source not found.)	Transaction Type <transaction type="" value=""> is not valid for <submission type="" value="">.</submission></transaction>	X, R
BAT020	User must have privileges to perform the transaction. This relates to specific roles and access level (HQ, specific region, specific state/tribe/, specific LCON). Note: ICIS does not have Batch-specific privileges. The privileges for Batch and Web access are the same.	User Interface (GUI)	Source CMA key Linked/unlinked record keys (see Error! eference source not found.)	User <id value=""> does not have privileges to perform this <transaction type="" value=""> <submission type="" value=""> transaction.</submission></transaction></id>	X, R
Source C	compliance Monitoring Activity				
CML030	, ,	rule layer	Source CMA key Linked/unlinked record keys (see Error! eference source not found.)	The source Compliance Monitoring Activity does not exist for the key data entered.	X, R

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Error/ Warning Code	Business Rules	Where Enforced (Web)	Transaction Keys	Error/Warning Message	Applicable Transaction Types
Target Re	ecord				
	A record must exist in ICIS for the target record keys submitted. Note: the Enforcement Action record can be a Federal, State NPDES, or Air DA Enforcement Action and can be either an Informal or Formal Enforcement Action.		Source CMA key Linked/unlinked record keys (see Error! eference source not found.)	A record does not exist in ICIS for the target record keys submitted.	X, R
	A Facility must be shared between the source CMA and the target record.		Linked/unlinked record keys (see Error!	The record cannot be linked to or unlinked from the Compliance Monitoring Activity because the target record does not have the same Facility as the source record.	X, R

9.1.14 Delegated Agency Enforcement Action Linkage Error Messages

The table below lists error messages that are generated when ICIS-Air Electronic Data Transfer cannot process a Delegated Agency Enforcement Action Linkage transaction, what caused the error, how the error affected the transaction, and the key fields of the transaction that had the error.

Business	Business Rules	Error/	Error/Warning Message	Applicable
Rule ID		Warning		Transaction
(Req ID)		Code		Types
CEL-001	Transaction Type must be valid for Air DA Enforcement	BAT010	Transaction Type <transaction type="" value=""> is not valid for</transaction>	R, X
	Action Linkage. Valid Transaction Types are R (Replace) and		<submission type="" value="">.</submission>	
	X (Mass Delete).			

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Business Rule ID (Req ID)	Business Rules	Error/ Warning Code	Error/Warning Message	Applicable Transaction Types
CEL-002	User must have privileges to perform the transaction. This relates to specific roles, access level (HQ, specific region, specific state), and sensitive data privileges. Note: ICIS does not have EDT-specific privileges. The privileges for EDT and Web access are the same. State and LCON must be a valid State and LCON based on the User ID geography. Also, user must have Sensitive Data Access to link or unlink if either the source or the target record is Enforcement Sensitive.	BAT020	User <id value=""> does not have privileges to perform this <transaction type="" value=""> <submission type="" value=""> transaction.</submission></transaction></id>	R, X
Source E	nforcement Action			
CEL-007	The source Enforcement Action identified by the Enforcement Action identifier must exist in ICIS.	CEL007	The source Air DA Enforcement Action does not exist for the key data entered.	R, X
Target Re	cord			
CEL-008	A record must exist in ICIS for the target record keys submitted. Note: the target Enforcement Action can be a Federal or Air DA Enforcement Action and can be either an Informal or Formal Enforcement Action.	CEL004	A record does not exist in ICIS for the target record key submitted.	R, X
CEL-009	A Facility must be shared between the source Enforcement Action and the target record.	CEL009	The record cannot be linked to or unlinked from the Enforcement Action because the target record does not share a Facility with the source record.	R, X

9.2 SCHEMA VALIDATION ERROR MESSAGES

XML submission files must be validated against the ICIS Electronic Data Transfer schema with a Schema validator package such as XMLSpy or Stylus Studio before they are submitted to CDX. If all XML submission files within the same zipped file are well formed and valid according to the ICIS-Air schema, the CDX node will return this downloadable SOAP message or the CDX Web form for ICIS will display this message in the <return> tag of the "submission-metadata.xml" file for the batch in the Transaction History screen:

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The message immediately below indicates that an XML submission file was able to be sent to ICIS-Air Electronic Data Transfer for processing. However, if a submission file is not well formed or is invalid according to the ICIS Schema, CDX will capture the first 100 errors and set the status of the submission to "Failed". If the XML submission file is sent to CDX through its node, CDX will provide the errors in a downloadable SOAP message like the example shown below or the CDX Web form for ICIS will display this message in the "submission-metadata.xml" file for the batch in the Transaction History screen.

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'1234567890123456789012345678901' is invalid according to its datatype '

http://www.exchangenetwork.net/schema/icis/1:StringMin3Max30Type' - The actual length is greater than the MaxLength value.</return>

</mns:SchemaValidateResponse>

</SOAP-ENV:Body>

</SOAP-ENV:Envelope>

This table provides the general schema validation error messages that appear in a CDX, Stylus Studio or XMLSpy during XML schema validation, or appear in the PDF returned by ICIS, including an explanation of what caused the error and hints on how to fix the error.

Source of Error Message	Error/Warning Message	Reason for Error	Error Resolution
CDX	The document,		Check the results of the submission in ICIS-Air by viewing the Electronic Data Transfer Audit reports.
CDX	Error: An internal error	zip compressed file contained files other than XMLs, a tag is missing its start or end tag,or the Payload tag is missing its Operation attribute.	Check to make sure the submittal file is zipped and contains only XML instance documents, open the XML file with Internet Explorer to find the tag missing its start or end tag then fix the XML file to have the expected start and end tags, or add the correct Operation attribute to the Payload tag.
CDX	element is	invalid code, does not match the expected format, has an invalid date or time is invalid.	Check the Data Exchange Template to find the characteristics of element xxx and fix the data to have the correct length, code, format, or valid day for the month time to have no more than 60 minutes or seconds.

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Source of Error Message	Error/Warning Message	Reason for Error	Error Resolution
CDX		named xxx from the XML.	Check the Example XML Instance Document example and fix the XML to have the missing element before the element named yyy, or remove the Property parent element if all its child elements are missing and not needed.
CDX		named yyy, zzz.	Check the Example XML Instance Document example and fix the XML file to have the expected child tags instead of data for parent element xxx.

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Source of Error Message	Error/Warning Message	Reason for Error	Error Resolution
	The element 'xxx' in namespace 'http://www.exch angenetwork.net /schema/icis/1' has incomplete content. List of possible elements expected: 'yyy' in namespace 'http://www.exch angenetwork.net /schema/icis/1'		Check the Example XML Instance Document example and fix the submission file to have its child tags in the order expected.

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Source of Error Message	Error/Warning Message	Reason for Error	Error Resolution
CDX	The element 'xxx' in namespace 'http://www.exch angenetwork.net /schema/icis/1' has invalid child element 'yyy' in namespace 'http://www.exch angenetwork.net /schema/icis/1'. List of possible elements expected: 'zzz' in namespace 'http://www.exch angenetwork.net /schema/icis/1'. </td <td>tag named zzz and found a child tag named yyy instead.</td> <td>Check the Example XML Instance Document example and fix the submission file to have the mandatory child tag zzz under the parent tag xxx in the order expected.</td>	tag named zzz and found a child tag named yyy instead.	Check the Example XML Instance Document example and fix the submission file to have the mandatory child tag zzz under the parent tag xxx in the order expected.
CDX	The 'Operation' attribute is invalid - The value 'xxx' is invalid according to its datatype 'http://www.exch angenetwork.net /schema/icis/1':OperationType' - The Enumeration constraint failed.		Check the Example XML Instance Document example and fix the XML file to have its Payload tag contain the correct attribute for Operation.

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Source of Error Message	Error/Warning Message	Reason for Error	Error Resolution
	Matching		Make sure the <document> tag of the XML file matches the text in bold below: <document xmlns="http://www.exchangenetwork.net/schema/icis/1" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"></document></document>
ICIS PDF	file xxx because yyy is an invalid user.	document named xxx from CDX but could not process it	Fix the XML file to have a valid ICIS user ID in the <id> tag with rights to add, change and delete records and resubmit the file.</id>
XMLSpy	Required attribute 'Operation' is missing from element 'Payload'.		Check the Example XML Instance Document example and fix the XML to have "DischargeMonitoringReportSubmission" as the Operation attribute of the Payload element.
			Check the Example XML Instance Document example and fix the XML to have child elements under parent element xxx instead of data.

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Source of Error Message	Error/Warning Message	Reason for Error	Error Resolution
	The content for element 'xxx' is incomplete. Expected: yyy	The element named xxx is missing below the parent block named yyy from the XML.	Check the Example XML Instance Document example and fix the XML to have the missing element, or remove the Property parent element if all its child elements are missing and not needed.
		The mandatory element named yyy is missing from or in the wrong position of the XML.	Check the Example XML Instance Document example and fix the XML to have the element named yyy in its proper location.
	element	Data for the element xxx is in the wrong length, has an invalid code, does not match the expected format, has an invalid date or time is invalid.	Check the Data Exchange Template to find the characteristics of element xxx and fix the data to have the correct length, code, format, valid day for the month time to have no more than 60 minutes or seconds.
	element 'xxx' in	One or more of the elements under the yyy parent block are in the wrong position of the XML, or the mandatory parent block named xxx is missing from the XML.	Check the Example XML Instance Document example and fix the XML to have all of the elements in their proper location and the mandatory parent block xxx present.
	Value 'xxx' of attribute 'Operation' is does not match simple type 'icis:OperationType'.	The Operation attribute of the Payload element is not "DischargeMonitoringReportSubmission"	Check the Example XML Instance Document example and fix the XML to have "DischargeMonitoringReportSubmission" as the Operation attribute of the Payload element.
	Xxx closing element name expected.	The parent element named xxx is missing its end tag or one of its child elements is missing its start tag.	Check the Example XML Instance Document example and fix the XML to have start tag for the child elements of the parent block named xxx to have its end tag.

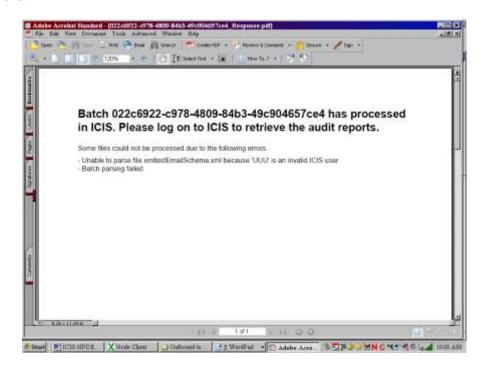
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Source of Error Message	Error/Warning Message	Reason for Error	Error Resolution
		A child element of the parent block named xxx is missing its	
	element name	start tag, or the parent block itself is missing its end tag in the	fix the XML to have the child element of xxx to have its start
	expected.	XML.	tag, or the parent element to have its end tag.

9.3 ICIS-AIR UNEXPECTED ERROR MESSAGES

If an XML submission file encounters an unexpected error when trying to process the submission file that keeps the data from being parsed into the ICIS database, an error will be reported in a PDF file that can be downloaded from CDX. This is an example of a PDF where the <Id> tag contains a User ID that does not exist in ICIS.



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9.4 CDX NODE SUBMITTAL ERROR MESSAGES

This table lists SOAP error messages that may be encountered by a state or tribe's Full Node while interacting with CDX to submit files to ICIS-Air Electronic Data Transfer, along with an explanation on why an error occurred and how to fix it.

Type of Error	Error.Warning Message	Reason for Error	Error Resolution
SOAP Error	E_UnknownUser	CDX User authentication failed	Use a valid CDX ID and password.
SOAP Error	E_TransactionId		Provide the correct transaction ID or redo the transaction to get a new transaction ID.
SOAP Error	E_UnknownMethod		Use the name of an existing CDX or data flow method to be invoked.
SOAP Error	E_AccessDenied		Use a valid CDX ID and password that has rights to the desired data flow.
SOAP Error	E_InvalidToken	The securityToken is invalid	Re-authenticate to get a new security token.
SOAP Error	E_TokenExpired	The securityToken has expired	Re-authenticate to get a new security token.
SOAP Error	E_FileNotFound	The requested file could not be located	Contact the CDX Help Desk for assistance.
SOAP Error	E_ValidationFailed		Validate the XML against its schema to find and correct the errors in the XML.
SOAP Error	E_ServerBusy	The service is too busy to handle the request at this time, please try later	Wait 30 minutes and try again.
SOAP Error	E_InvalidFileName	The name element in the nodeDocument structure is invalid	Fix the name to be a valid file name.
SOAP Error	E_InvalidFileType	The type element in the nodeDocument structure is invalid or not supported	Fix the file to be a valid type (ZIP).
SOAP Error	E_InvalidDataFlow	The dataflow element in a request message is not supported	Fix the name to be a valid data flow (ICIS-AIR or ICIS-NPDES).
SOAP Error	E_InvalidParameter	One of the input parameters is invalid	Fix the invalid input parameter.
SOAP Error	E_AuthMethod		Fix the authentication to a valid method of authentication (password, certificate, SAML)
SOAP Fault	VersionMismatch	The request is a different version of the protocol	Fix the SOAP message to contain a valid namespace.
SOAP Fault	E_InvalidCredential	The user credential is invalid.	Use a valid CDX ID and password.

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Type of Error	Error.Warning Message	Reason for Error	Error Resolution
SOAP Fault	E_ServiceUnavailable	The requested data service or web service is undefined.	Use a valid data or web service.
SOAP Fault	E_FeatureUnsupported	The requested feature is not supported.	Contact the CDX Help Desk for assistance.
SOAP Fault	E_Unknown	An unknown or undefined error has occurred.	Contact the CDX Help Desk for assistance.
SOAP Fault	E_RecipientNotSupported	The recipient functionality is not supported	Contact the CDX Help Desk for assistance.
SOAP Fault	E_NotificationURINotSupported	The NotificationURI functionality is not supported.	Contact the CDX Help Desk for assistance.

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