

Procedural and Reference Manual for DAO 2003-27 August 2003

Self-Monitoring Report (SMR) System



"no name" Katarina Ivanovic
International Internet Exhibition and Competition of Children's Environmental Art Works and Photographs



Environmental Management Bureau
DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES



Republic of the Philippines
DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
Environmental Management Bureau
DENR Compound, Visayas Avenue, Diliman, Quezon City 1116

AUGUST 25, 2003

MEMORANDUM CIRCULAR NO. 2003 – 008
Series of 2003

FOR: All Regional Directors, EMB
All Division/Section Heads
All Concerned

FROM: The Director, EMB

SUBJECT: *Procedural and Reference Manual for DAO 2003-27*

In accordance with the provisions of Section 4 and Section 8 of DAO 2003-27 amending DAO 26, DAO 29 and DAO 2001-81 among others on the preparation and submission of Self-Monitoring Report (SMR), the attached **Procedural and Reference Manual for DAO 2003-27 (August 2003 Edition)** is hereby adopted.

All other memoranda, memorandum-circulars and other issuances which are inconsistent with the provisions of this Manual are hereby amended accordingly.

This Memorandum-Circular shall take effect immediately.

JULIAN AMADOR (Sgd)

FOREWORD

The Environmental Management Bureau (EMB) engaged the services of Resources, Environment and Economics Center, Inc. (REECS) to undertake the Strengthening Environmental Enforcement and Compliance Capacity Technical Assistance (SEECCTA) Project. The Project was intended to strengthen the capacity of the DENR-EMB in environmental management and protection, mainstreaming the use of market-based instrument in environmental management, and strengthening the public disclosure of industries environmental performance relative to regulations and community monitoring program. The World Bank through the Government-of-Japan-supported Policy and Human Resources Development Fund provided financial assistance for the Project.

This Procedural and Reference Manual is intended to provide the framework for a self-monitoring program for industries, specifically in the evaluation and assessment of the Pollution Control Officer reports of individual firms.

This Manual draws significant inputs from various DENR documents and numerous documents from the US Environmental Protection Agency, especially the National Environmental Performance Track Program and Audit Policy Interpretive Guidance.

DENR Administrative Order No. 2003-27 (Series of 2003)
“Amending DAO 26, DAO 29 and DAO 2001-81 among others on the Preparation and Submission of Self-Monitoring Report (SMR)” was signed by Secretary Elisea G. Gozun on 4 July 2003.

Questions, queries or requests for clarifications may be addressed to:

The Office of the Director
Environmental Management Bureau
Department of Environment and Natural Resources
DENR Complex, Visayas Avenue, Quezon City
Telephone: (63 2) 925-4793 to 97
Email: emb@emb.gov.ph

Questions, queries or requests for clarifications may also be addressed to the EMB RO concerned.

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1. Introduction

To deal with environmental issues brought about by developmental activities, different countries have adopted various environmental management strategies. These strategies generally involve legal requirements that must be met by individual and facilities that cause or may cause pollution. These requirements are an essential foundation for environmental and public health protection – but these are just the first step. The second essential step is compliance – getting the regulated community to fully implement the requirements. Without compliance, environmental requirements alone will not achieve the desired results. Compliance does not automatically happen once regulations are issued. Achieving a significant degree of compliance requires a huge investment in efforts to encourage as well as compel the necessary behavioral changes in the regulated community to achieve compliance.

Compliance is defined as the full implementation of environmental requirements. Compliance occurs when requirements are met and the desired level of performances are achieved, e.g., processes or raw materials are changed, work practices are changed so that, for example, discharges or emissions satisfy environmental standards, industrial waste is disposed of at appropriate facilities, permits or clearances are obtained before new products or chemicals are imported or marketed, etc. The formulation of requirements (e.g., permitting system) affects the success of an environmental management program. If requirements are well designed, then compliance will achieve the desired environmental results. If the requirements are poorly designed, then achieving compliance and/or the desired results will likely be difficult.

On the other hand, monitoring compliance – collecting and analyzing information on the compliance status of the regulated community – is one of the most important elements of an enforcement program. Monitoring is essential to detect and correct violations, provide evidence to support enforcement actions, and evaluate program progress by establishing compliance status. For compliance monitoring to be successful, it must be undertaken at both national and local levels.

In the Philippines, as with other countries, there are four primary sources of compliance information: inspections conducted by program inspectors; self-monitoring, self-recordkeeping, and self-reporting by the regulated community; citizen complaints; and, monitoring environmental conditions near a facility. An essential support mechanism to the compliance monitoring program is an information system that allows enforcement officials ready access to data and information such as monitoring data, self monitoring reports, and incident reports.

This manual is intended to support the main thrust of government enforcement strategy through compliance monitoring.

Section 8. Procedural Manual. The EMB shall prepare a *Procedural Manual* for the implementation of this Order within a period of 60 days from the effectivity hereof.

2. Conceptual Framework

2.1 Compliance Monitoring

Monitoring compliance is one of the most important elements of an enforcement program. Monitoring is essential to detect and correct violations, provide evidence to support enforcement actions, and evaluate enforcement progress by establishing compliance status.

There are four primary sources of compliance information: inspections conducted by government inspectors; self-monitoring, self-recordkeeping, and self-reporting by the regulated community; citizen complaints, and monitoring environmental conditions near a facility.

Self-monitoring, self-recordkeeping, and self-reporting are three ways in which firms can be required to track their own compliance and record or report the results for government review. Increasingly, these self-monitoring approaches are recognized as providing essential data to supplement and support inspections.

In self-monitoring, facilities measure an emission, discharge, or performance parameter that provides information on the nature of the pollutant discharges or the operation of control technologies. For example, facilities may monitor groundwater quality by periodically sampling and analyzing effluent for the presence and concentration of particular pollutants. Facilities may also be asked to monitor operating parameters of pollution control equipment (such as line voltage) that indicate how well the equipment itself is operating. Operating parameters are generally inexpensive to monitor and provide data that give a more accurate and representative picture of emissions than occasional sampling and analysis of the emissions. This monitoring scheme has proven to be a cost-effective way for enforcement programs and facilities to assure themselves that controls are operating correctly.

Self-recordkeeping means that facilities are responsible for maintaining their own records of certain regulated activities (e.g., shipment of hazardous waste).

Self-reporting requires that facilities provide the enforcement program with self-monitoring or recordkeeping data periodically and/or upon request.

Self-monitoring, self-recordkeeping, and self-reporting provide more extensive information on compliance than can be obtained with periodic inspections. These approaches also shift some of the economic burden of monitoring to the regulated community, and they provide a mechanism for educating this community about the compliance requirements. The approach may also increase the level of management attention devoted to compliance, and may inspire management to improve production efficiency and prevent pollution.

Self-monitoring requires that reliable and affordable monitoring equipment be available to the regulated community. Self-monitoring, self-recordkeeping, and self-reporting rely on the integrity and capability of the facility to provide accurate data. The data will be misleading if the facility either deliberately falsifies the information or lacks the technical capability to provide accurate data. Therefore, programs using these approaches will need to establish some way to help ensure accuracy, e.g., by

requiring self-monitoring only in facilities with the appropriate technical capability, by developing quality control standards for monitoring and recordkeeping, etc.

2.2 Self-Monitoring Report (SMR) System Design

Section 1. Basic Policy. It is the policy of the State to uphold the right of the Filipino to a balanced and healthful ecology in accord with the rhythm and harmony of nature. Towards this end, a modified SELF-MONITORING REPORT (SMR) System is hereby adopted by the DENR, as part of the compliance monitoring system of the Department.

The Self-Monitoring Report or SMR has two basic objectives:

- ? It allows firms or establishments to demonstrate their compliance with environmental regulations (e.g., P.D. 984, P.D. 1586, R.A.6969, R.A. 8749), and
- ? It allows EMB to confirm or validate that firms or establishments comply with environmental regulations or requirements.

2.2.1 Scope

Section 3. Scope. The modified SMR System shall be implemented nationwide including areas under the jurisdiction of LLDA. ALL firms satisfying the criteria as enunciated in Annex A (Industry Classification Requiring the Services of Accredited Pollution Control Officers) and Annex B (Firms that should have full-time Pollution Control Officer) of DAO 26 (Series of 1992) are required to submit regular Self-Monitoring Report (SMR).

In accordance with the provisions of DAO 26 (Series of 1992), ALL firms satisfying the criteria as enunciated in *Annex A* and *Annex B* of the said DAO are required to submit regular Self-Monitoring Report (SMR).

2.2.2 Preparation and Format of SMR

Section 4. Preparation of SMR. The SMR shall be in accordance with the format specified in **Annex A**. The EMB shall prepare a *Reference Manual* within thirty (30) days from effectivity thereof to define and expound on the requirements of the SMR. Any changes in the format of SMR shall be subject to the prior approval of the Secretary.

In addition, the proposed amendment to DAO 26,29 and 2000 -81 prescribe the format of SMR to be used in ALL DENR -EMB offices, both central and regional.

The SMR consists of seven modules:

- ? MODULE 0. General Information Sheet – this module provides basic information about the establishment, firm or facility. This module shall only be prepared once.
- ? MODULE 1. General Information – this module provides background information about the establishment, firm or facility including changes or modifications of Module 0.
- ? MODULE 2. R.A. 6969 – this module provides information on compliance with the requirements of R.A. 6969. This module is composed of three sub-modules: A) Compliance with CCO-related requirements, B) for hazardous wastes treater and recycler, and C) for hazardous wastes generator.
- ? MODULE 3. P.D. 984 – this module provides information on compliance with the requirements of P.D. 984.
- ? MODULE 4. R.A. 8749 – this module provides information on compliance with the requirements of R.A. 8749.
- ? MODULE 5. P.D. 1586 – this module provides information on compliance with the requirements of P.D. 1586.
- ? MODULE 6. Others – this module provides additional information that are not exclusive to any of the other module/s.

SMR Format: The SMR format is attached as **Annex C** of this *Manual*.

IMPORTANT: As a general rule, monitoring information and data are submitted to the DENR RO concerned. As such, information requirements of offices/units at the EMB Central Office should be course through the DENR RO concerned. Direct requests for information, data, reports and/or other submissions by EMB Central Office to the firm or establishments are strictly prohibited unless special circumstances warrant (e.g., emergency, accidents, etc.).

3. Procedural Guide

3.1 Submission of SMR

Section 5. Submission of SMR. Unless provided otherwise, ALL covered firm shall submit the SMR on a quarterly basis. SMR covering activities in a quarter shall be submitted within fifteen (15) calendar days after the end of the said quarter as may be determined by the DENR RO concerned.

The submission of the SMR may be done through:

- ? Printed or hard copies – Submission of the required number of (completed, signed, and notarized) copies to the EMB RO concerned.
- ? Electronic submission:
 - ✍ E-mail the completed report to the EMB RO concerned.
 - ✍ Fax or deliver printed/hard one (1) copy of the completed, signed and notarized Module 6 (NOT the entire report) to the EMB RO concerned.

Accordingly, preparation and submissions of the Self-Monitoring Report (SMR) are operationalized as follows:

- ? The accredited PCO shall prepare the SMR in accordance with the format prescribed.

A blank template/form may be downloaded from www.emb.gov.ph. Electronic copies may also be obtained from the regional offices of the EMB. Printed or hard copies are not available.

The SMR submission should only include the module/s applicable to the facility or establishment (for example, the SMR of a facility with no emissions should not include Module 4).

Likewise, the SMR is a facility-based documentation with focus on the activities and environmental performance at individual facilities. Thus, a complex or combination of production and processing units including its support system located in a geographically contiguous area shall accomplish one (1) complete/integrated SMR.

- ? Unless provided otherwise, the firm shall submit the SMR on a quarterly basis. SMR covering activities in a quarter shall be submitted within fifteen (15) calendar days after the end of the said quarter.

The respective DENR ROs shall establish and define the individual date of reckoning for the *quarter* that will be used by establishments/facilities in the

preparation of the report. For this purpose, the EQD of the respective DENR ROs shall have primary responsibility and authority to reconcile the various dates or deadlines as may be required by other divisions (e.g., EIA, toxic and hazardous wastes, etc.).

The DENR ROs shall also established guidelines on the number of copies of SMRs to be submitted by the establishments/facilities. Provided that the required number shall not exceed three (3) copies.

- ? In accordance with the provisions of Republic Act No. 8792, otherwise known as the e-Commerce Act of 2000, an electronic copy of the SMR submitted within the prescribed period shall be deemed as compliance upon receipt of an acknowledgment from the regional office concerned. The email addresses of the various regional offices are listed in **Annex B** of this *Manual*.

An establishment/facility shall be allowed to submit electronic copies of the SMR only when the email address/es of the firm/establishment/facility have been *officially* registered with the concerned DENR RO. The concerned establishment/facility shall communicate in writing to the concerned DENR ROs requesting for the *registration* of its email address/es. Upon receipt of acknowledgment from the DENR RO, the email address/es shall be deemed to have been *officially* registered.

- ? An SMR is deemed *acceptable* if the regional office does not issue a “*Notice of Deficiency*” within fifteen (15) working days of the receipt of such report.

It will take EMB approximately 15 working days to review and evaluate SMRs.

If necessary, a “*Notice of Deficiency*” shall be sent to the submitting party indicating the need for additional elaboration, clarification and/or information. If such notice have not been sent or received by the submitting party within fifteen (15) days of the receipt of the submission, then the SMR document/s is deemed to have complied with the requirements of DAO 26 (Section 7).

As provided for in Section 5 of DAO 2003-27, the submission of the SMR may be done through:

- ? Printed or hard copies – Submission of the required number of (completed, signed, and notarized) copies to the EMB RO concerned.
- ? Electronic submission:
 - ✍ E-mail the completed report to the EMB RO concerned.
 - ✍ Fax or deliver printed/hard one (1) copy of the completed, signed and notarized Module 6 (NOT the entire report) to the EMB RO concerned.

<p>Mode of Submission: It should be noted that the choice of the submission mode is entirely and exclusively within the discretion of the firm concerned.</p>
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In addition, submission can be done through *purely* electronic means using the secured PDF format. Under this mode, submission of the entire document in a

secured PDF format including the signed and notarized version of Module 6 (which may be scanned) may be selected subject to the prior approval of the EMB RO concerned.

3.2 Evaluation of Self-Monitoring Report

Section 6. Evaluation of SMR. The EMB shall complete the procedural, technical and/or substantive review of the submitted SMR within fifteen (15) working days. Absence of actions/communication from the DENR RO concerned within the prescribed period shall be deemed as acceptance of the SMR submitted.

Upon receipt of the SMR, the regional office shall immediately determine the completeness of the submitted documents. If the documents are found to be "*insufficient*" (i.e., incomplete or in need of revision), the documents shall be immediately returned to the concerned party for completion or revision.

For such purposes, the respective DENR ROs may prescribe the procedures for the evaluation of the SMRs. The screening procedures described hereunder may be used or modified accordingly by the DENR RO concerned. Provided that, the *modified* procedures to be adopted by the DENR RO shall be capable of determining the completeness and conformance as well as the technical and substantive sufficiency of the SMRs within the prescribed fifteen (15) working days evaluation period.

- ? Upon presentation/submission of the documents, the receiving personnel shall determine its completeness and conformance with prescribed format.
- ? The determination of completeness and conformance shall be determined in the following manner:
 - ✍ The SMR complies with the format prescribed in *Section 3.1.1* of this *Manual*.
 - ✍ All boxes or questions contain entries or answers. Ambiguous or missing entries/answers should be clearly marked or noted.
- ? If the SMR document/s has passed the screening procedure, the receiving personnel accordingly stamped the document "*received*". *Insufficient* submissions shall not be accepted and shall be immediately returned to the submitting party.

In the case of electronic submissions, an email acknowledging the acceptance or rejection of the documents shall be posted to the submitting party.

Upon acceptance of the SMR document/s, the personnel concerned shall undertake a substantive evaluation within fifteen (15) working days of the receipt of such report. Based on the technical judgment of the evaluating personnel, the substantive evaluation shall consider the following elements at the minimum:

- ? All entries, data and answers are consistent with the requested information. The appropriate units of measurement are indicated.

- ? The entries, data and answers contained in the report are accurate and precise in accordance with accepted standard methods of data gathering, modeling, sampling, and/or analysis.
- ? The entries, data and answers contained in the report possess a degree of consistency in terms of its findings, assessments, analysis and/or recommendations. No statement, entry or answer in the document will contradict another statement or entry in the document or previous submissions.
- ? The document is responsive to the requirements of environmental standards especially in addressing potential problems and issues.

If necessary, a "Notice of Deficiency" shall be sent to the submitting party indicating the need for additional elaboration, clarification and/or information. ALL "Notice of Deficiency" shall be sent as registered mail including for submissions done electronically. If such notice have not been sent or received by the submitting party within fifteen (15) days of the receipt of the submission, then the SMR document/s is deemed to have complied with the requirements of DAO 26 (Section 7).

Upon completion of the evaluation, the SMR documents shall be considered as public documents. As such, access of these documents by written request of the general public shall be allowed in accordance with applicable rules and regulations.

In consonance with the devolution efforts of DENR, all SMRs shall be submitted to the DENR ROs concerned. Requests for information (related to or contained in the SMRs) by other units or offices of EMB shall be coursed through the DENR RO concerned.

Confidentiality: Upon completion of EMB's evaluation, the SMRs are considered as public documents. As such, access of these documents by written request of the general public shall be allowed in accordance with applicable rules and regulations.

However, it should be noted that the *confidentiality* of specific business information as guaranteed under R.A. 6969 and its implementing rules and regulations continue to be in validity. The SMR was designed in such a way that there is no need for confidential business information to be included in the submission.

Section 7. Confidentiality. Upon completion of EMB's evaluation, the SMRs are considered as public documents. As such, access of these documents by written request of the general public shall be allowed in accordance with applicable rules and regulations especially, but not limited to the guarantee of the confidentiality of specific business information under R.A. 6969 and its implementing rules and regulations.

4. Reference Guide

Section 4. x x x The EMB shall prepare a *Reference Manual* within thirty (30) days from effectivity thereof to define and expound on the requirements of the SMR. Any changes in the format of SMR shall be subject to the prior approval of the Secretary.

4.1 General Information

The SMR consists of seven modules:

- ? MODULE 0. General Information Sheet – this module provides basic information about the establishment, firm or facility. This module shall only be prepared once.
- ? MODULE 1. General Information – this module provides background information about the establishment, firm or facility including changes or modifications of Module 0.
- ? MODULE 2. R.A. 6969 – this module provides information on compliance with the requirements of R.A. 6969. This module is composed of three sub-modules: A) Compliance with CCO-related requirements, B) for hazardous wastes treater and recycler, and C) for hazardous wastes generator.
- ? MODULE 3. P.D. 984 – this module provides information on compliance with the requirements of P.D. 984.
- ? MODULE 4. R.A. 8749 – this module provides information on compliance with the requirements of R.A. 8749.
- ? MODULE 5. P.D. 1586 – this module provides information on compliance with the requirements of P.D. 1586.
- ? MODULE 6. Others – this module provides additional information that are not exclusive to any of the other module/s.

4.2 MODULE 0. General Information Sheet

The purpose of this module is to provide basic information about the facility. The module needs only to be completed and submitted once. Subsequent updates (e.g., revisions) may be done during the regular SMR submissions.

Reference No.

This number will be provided by the EMB RO upon registration (e.g., applying for an *Authority to Construct* or *Permit to Operate*). Use the reference number for subsequent SMR submissions.

Name of the Establishment/Facility

Facility name – provide the facility's *official* name.

Establishment/Facility Address

Facility's location – provide the address of the facility (NOT the company's or head of office's address)

Name of Owner/Company

Provide the name of the facility's owner or company. The entry will be different from the **Name of the Establishment/Facility** if the facility is: owned by another company, a division of a larger company, or the responsibility of another company. If the establishment/facility is a single proprietorship, then the name of the proprietor/s shall be the entry.

Address

Provide the address of the company's or owner's address. This entry will only be filled up if the address is different from the **Establishment/Facility Address**.

Phone Number/Fax Number/E-mail Address:

Provide the contact phone/fax number/s and the email address. If the facility or company does not have any of these, please write in "N/A".

Type of Business/Industry Classification

Details of the Philippines Standard Industry Classification Code and Descriptor can be obtained from DTI. You may also visit their website at: www.dti.gov.ph

Responsible Officer/s and Pollution Control Officer

Provide the name, position title (if necessary), phone and fax numbers, and e-mail address of key officers for the company and facility.

Legal Classification

Provide the *legal* classification of the company who owns the facility or establishment.

4.3 MODULE 1. General Information

This module is intended to provide background information about the establishment, firm or facility including changes or modifications of General Information Sheet (Module 0), if any.

This module must be included in ALL submissions of the SMR.

Reference No.

Use the reference number given by EMB when the General Information Sheet (Module 0) was submitted.

page ___ of ___

Provide the page number for the first blank/space and the total number of pages for the second blank/page.

Name of the Plant

Provide the facility's *official* name in the box and the header. This should be the same as **Name of the Establishment/Facility** in the General Information Sheet (Module 0) submitted.

Revision Box

Provide details of any revisions, corrections, or updates of any data or information in the General Information Sheet (Module 0) submitted.

DENR Permits/Licenses/Clearances

Provide details of permits, licenses or clearances that was obtained by or granted to the facility. If the facility or company does not have any of these (or if the box is not applicable), please write in "N/A"

Insert/add additional row/s as may be needed. For example, the facility may be covered by five ECCs – insert additional rows as needed to provide ALL the details needed.

Operation

Provide details on the operation of the facility or establishments in terms of average operating (or business) hours per day, number of operating (or business) days per week, and the number of shift per day. No boxes should be left blank.

"Blank" or "N/A" are not allowed as entry/s.

Operation/Production/Capacity

Provide details on the operation or production capacity of the facility including the estimated water and electricity consumption. If the facility or company does not have any of these (or if the box is not applicable), please write in "N/A"

For SMR submissions that cover several quarters, insert additional row/s (as needed) to supply the needed information on quarterly consumption of water and electricity.

4.4 MODULE 2A. R.A. 6969 (CCO Report)

This module is intended to provide information related to compliance on R.A. 6969, specifically on the CCO Report. Unless provided otherwise in the appropriate license/permit/clearance, this module shall be included in quarterly SMR submission/s.

One complete set of this sub-module must be prepared for each of the CCO-listed chemical or substance.

Chemical/Substance Information

Provide the appropriate information on the chemical or substance covered by the Report. The entries should be the same as in your application for the appropriate license/permit/clearance.

Importer's Table

Provide the appropriate information such as quantity, date of arrival, port of entry. If the box is not applicable, please write in "N/A".

This section is only applicable for facility or establishment with *Importer Clearance Number* or *CCO Number*.

Distributor's Table

Provide the appropriate information such as name of client (or buyer), registration certificate number, and quantity.

This section is only applicable for facility or establishment with *CCO Number*. "Blank" or "N/A" are not allowed as entry/s.

Non-importer User's Table

Provide the appropriate information such as name of distributor (or seller), quantity and date of purchase.

This section is only applicable for facility or establishment with *CCO Number*. "Blank" or "N/A" are not allowed as entry/s.

Producer's Table

Provide the appropriate information such as average production, starting inventory ending inventory, name of client (or buyer), quantity.

This section is only applicable for facility or establishment producing the concerned controlled substances covered by the *CCO Number*. "Blank" or "N/A" are not allowed as entry/s.

Use and Production

Provide the appropriate information on production and processing of the chemical or substance covered by the sub-module. If the box is not applicable, please write in "N/A".

This section is only applicable in cases where the chemical or substance covered by this report is not the main product of the facility or establishment.

Stock Inventory/Waste Chemical Generated

Provide the appropriate summary of the inventory or the waste chemical generated. If the box is not applicable, please write in "N/A".

Other Information

Check the appropriate box to the situation at the establishment or facility. If the response is "Yes", please attach a copy of the revised plan/s or document/s.

4.5 MODULE 2B. R.A. 6969 (Hazardous Wastes Generator)

This module is intended to provide information related to compliance on R.A. 6969. This section is applicable only for hazardous wastes generator. Unless provided otherwise in the appropriate license/permit/clearance, this module shall be included in quarterly SMR submission/s.

HW Generation

Provide the appropriate information such as type of wastes, HW number, quantity.

"Blank" or "N/A" are not allowed as entry/s.

Waste Storage, Treatment and Disposal

Provide the appropriate information such as HW number and quantity. One complete table must be accomplished for each of the HW generated or handled. If the box is not applicable, please write in "N/A".

On-Site Self Inspection

Provide the appropriate summaries of self-inspections conducted.

Each row is considered as a set of entry where "Blank" or "N/A" are not allowed as entry/s in the first three columns.

4.6 MODULE 2C. R.A. 6969 (Hazardous Wastes Treater or Recycler)

This module is intended to provide information related to compliance on R.A. 6969. This section is applicable only for hazardous wastes treater or recycler. Unless provided otherwise in the appropriate license/permit/clearance, this module shall be included in quarterly SMR submission/s.

HW Stored/Untreated

Provide the appropriate information such as HW number, quantity and validity of the permit.

This section is only applicable if HW has been stored or remained untreated at the end of the quarter. "Blank" or "N/A" are not allowed as entry/s.

HW Treated/Recycled

Provide the appropriate information such as type of wastes, HW number, quantity.

"Blank" or "N/A" are not allowed as entry/s.

Residual Wastes

Provide the appropriate information such as type of wastes, HW number, quantity.

This section is only applicable if residual HW has been generated. "Blank" or "N/A" are not allowed as entry/s.

4.7 MODULE 3. P.D. 984 (Water Pollution)

This module is intended to provide information related to compliance on P.D. 984. This section is applicable only for facility or establishment with discharges. Unless provided otherwise in the appropriate license/permit/clearance, this module shall be included in quarterly SMR submission/s.

Water Pollution Data

Provide the appropriate information such as average quantity of domestic wastewater, cooling water, wash water used or generated daily.

Data and information are to be presented on a quarterly basis. A duplicate set/table may be inserted or added if the SMR covers more than one quarter. If the box is not applicable, please write in "N/A".

Cost of Treatment

Provide the appropriate information such as estimated costs of salary, chemical used and operating costs.

The last two rows are applicable only if there were modifications or improvements in the WTP. If the box is not applicable, please write in "N/A".

A separate table must be filled-up for each of the wastewater treatment facility being operated. A duplicate set/table may be inserted or added if necessary. (For example, if a facility has two separate, parallel wastewater treatment facilities, then two tables will have to be accomplished)

WTP Discharge Location

Provide the appropriate information on the location of ALL outlet/s or discharge/s including the name (and description) of the receiving water body. The sequence or number of each outlet/s must be the same as in previous submissions.

“Blank” or “N/A” are not allowed as entry/s.

Detailed Report of Wastewater Characteristics

Provide the appropriate information such as the date of sampling and the corresponding flow rate at the time of sampling. Fill in table for appropriate or applicable parameters only. One table must be prepared and completed for each discharge outlet. Additional sheets or rows may be added as needed.

A separate table (for each outlet) must also be prepared and completed for parameters of other pollutants. Please refer to DAO 35 for parameters described as conventional and/or other pollutants.

4.8 MODULE 4. R.A. 8749 (Air Pollution)

This module is intended to provide information related to compliance on R.A. 8749. This section is applicable only for facility or establishment with emissions from process equipment or fuel burning equipment. Unless provided otherwise in the appropriate license/permit/clearance, this module shall be included in quarterly SMR submission/s.

Summary of APSE or APCF

Provide the appropriate information on air pollution source equipment or air pollution control facilities. The sequence or number of each entry/s must be the same as in previous submissions.

For fuel burning equipment, specify the type of fuel used and the quantity used/consumed for the quarter. “Blank” or “N/A” are not allowed as entry/s.

Cost of Treatment

Provide the appropriate information such as estimated costs of salary, chemical used and operating costs.

The first two rows are applicable only if there were modifications or improvements in the APCF. If the box is not applicable, please write in “N/A”.

Detailed Report of Emission Characteristics

Provide the appropriate information such as the date of sampling and the corresponding flow rate at the time of sampling. Fill in table for appropriate or applicable parameters only. One table must be prepared and completed for each APCF or emission point/source. Additional sheets, rows and columns may be added as needed.

4.9 MODULE 5. P.D. 1586 (EIS System)

This module is intended to provide information related to compliance on P.D. 1586. This section is applicable only for facility or establishment with ECC/s.

Unless provided otherwise, this module shall be included in the SMR submission/s on an annual basis only (during the last quarter). Furthermore, the module/report should be integrated for facilities or establishments covered by multiple ECCs.

Ambient Air/Water Quality Monitoring

Provide the appropriate information such as the date of sampling and the location of the sampling point. Fill in table for appropriate or applicable parameters only. One table must be prepared and completed for each sampling point or location. Additional sheets, rows and columns may be added as needed.

This section is applicable only if the ECC explicitly provides for ambient air and/or water quality monitoring. Modify title heading as may be appropriate or applicable.

Other ECC Conditions

Provide the appropriate information such as applicable ECC conditions and the status of compliance (“Yes” if the condition has been completed or complied with, and “No” if the condition has not been completed or complied with). The last column (*Actions Taken*) is only applicable for “NO” responses.

For facilities or establishments covered by multiple ECCs, the various conditions may be integrated sequentially or logically (as may be appropriate). Likewise, the sequence or number of each entry/s must be the same as in previous submissions.

Environmental Management Plan/Program

Provide the appropriate information such as enhancement or mitigation measures as identified in the submitted EIS (i.e., EIS, IEE or Checklist) and the status of implementation (“Yes” if the measure has been implemented, and “No” if the measure has not been implemented). The last column (*Actions Taken*) is only applicable for “NO” responses.

For facilities or establishments covered by multiple ECCs, the various enhancement or mitigative measures may be integrated sequentially or logically (as may be appropriate). Likewise, the sequence or number of each entry/s must be the same as in previous submissions.

Alternately, the facility or establishment may submit an integrated EMP to cover the various EISs and ECCs for approval of EMB. Such approved EMP shall serve as the basis of subsequent SMR submissions.

Solid Wastes Characterization/Information

Provide the appropriate information on solid wastes (including domestic wastes) such as quantity generated and quantity collected as well as the entity responsible for collection of the wastes. Please take note that hazardous or toxic wastes should not be included in this section.

“Blank” or “N/A” are not allowed as entry/s.

4.10 MODULE 6. Others

This module is intended to provide information that are not exclusive to any of the other module/s.

This module must be included in ALL submissions of the SMR. The module includes also the *notary* portion of the SMR. In case of electronic submission, this module must be faxed or delivered to the DENR RO concerned.

Accidents and Emergency Records

Provide the appropriate information such as the date and location of occurrence as well as descriptions (to be included in *Findings and Observation*).

The last column (Remarks) shall be applicable if remedial, clean-up and/or additional actions need to undertaken or has not been completed. Provide complete details.

This table is only applicable for environmental incidents and/or technical incidents that may have environmental impacts. Other incidents (such as worker's safety or accidents) shall be reported to the appropriate government agencies (e.g., DOLE, DOH).

Personnel/Staff Training

Provide the appropriate information such as the date, training descriptions and number (and names) of personnel trained.

This table is only applicable for environmental trainings and/or technical trainings that have environmental elements.

ANNEX A
DENR ADMINISTRATIVE ORDER NO. 2003-27
SERIES OF 2003



Republic of the Philippines
DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
Environmental Management Bureau
DENR Compound, Visayas Avenue, Diliman, Quezon City 1116

04 July 2003

DENR ADMINISTRATIVE ORDER

No. 2003-27

Series of 2003

SUBJECT: Amending DAO 26, DAO 29 and DAO 2000-81 among others on the Preparation and Submission of Self-Monitoring Report (SMR)

Section 1. STATEMENT OF POLICY. It is the policy of the State, to uphold the right of the Filipino to a balanced and healthful ecology in accord with the rhythm and harmony of nature. Towards this end, a strengthened Self-Monitoring Report (SMR) System is hereby adopted by the DENR, as part of the compliance monitoring system of the Department.

Section 2. DEFINITION OF TERMS. When used in this Order, the following terms and phrases shall have the indicated meanings unless clearly stated otherwise:

- a) Firm refers to any operation or business, natural or juridical, which produces, manages, administers and/or operates industrial, commercial and/or manufacturing establishments.
- b) Self-monitoring is the process by which a source measures the concentration of pollutant in its emissions, discharges, and/or performance parameters to provide information on the nature of the pollutant discharges and/or the operation of control technologies.
- c) SMR System is a system by which firms provide enforcement officials (i.e. DENR) with self-monitoring and/or self-recordkeeping data/reports periodically and/or upon request.

Section 3. SCOPE. The modified SMR System shall be implemented nationwide including areas under the jurisdiction of LLDA. ALL firms satisfying the criteria as enunciated in Annex A (Industry Classification Requiring the Services of Accredited Pollution Control Officers) and Annex B (Firms that should have full-time Pollution Control Officer) of DAO 26 (Series of 1992) are required to submit regular Self-Monitoring Report.

Section 4. PREPARATION OF SMR. The SMR shall be in accordance with the format specified in **Annex A**. The EMB shall prepare the *Reference Manual* within thirty (30) days from effectivity of this DAO to define and expound on the requirements of the SMR. Any changes in the format of SMR shall be subject to the prior approval of the Secretary.

Section 5. SUBMISSION OF SMR. Unless provided otherwise, all covered firm shall submit the SMR on a quarterly basis. SMR covering activities in a quarter shall be submitted within fifteen (15) calendar days after the end of the said quarter as may be determined by the DENR RO concerned.

The submission of the SMR may be done through:

- ? Printed or hard copies – Submission of the required number of (completed, signed, and notarized) copies to the EMB RO concerned.
- ? Electronic submission:
 - ✍ E-mail the completed report to the EMB RO concerned.
 - ✍ Fax or deliver printed/hard one (1) copy of the completed, signed and notarized Module 6 (NOT the entire report) to the EMB RO concerned.

Section 6. EVALUATION OF SMR. The EMB shall complete the procedural, technical and/or substantive review of the submitted SMR within fifteen (15) working days. Absence of actions/communication from the DENR RO concerned within the prescribed period shall be deemed as acceptance of the SMR submitted.

Section 7. CONFIDENTIALITY. Upon completion of EMB's evaluation, the SMRs are considered as public documents. As such, access of these documents by written request of the general public shall be allowed in accordance with applicable rules and regulations especially, but not limited to the guarantee of the confidentiality of specific business information under R.A. 6969 and its implementing rules and regulations.

Section 8. PROCEDURAL MANUAL. The EMB shall prepare a *Procedural Manual* for the implementation of this Order within a period of 60 days from the effectivity hereof.

Section 9. REVIEW AND REVISION. This Order may be subjected to review and revision by Environmental Management Bureau (EMB). Amendments, revisions or changes to this Order shall be subjected to public consultation prior to the approval of the Secretary.

Section 10. INFORMATION, EDUCATION CAMPAIGN. For the effective implementation of the modified SMR System and better coordination among the concerned sectors, the EMB shall conduct a continuing education and information campaign.

Section 11. REPEALING CLAUSE. All rules and regulations, including but not limited to provisions of DAO 26 (Series of 1992), DAO 29 (Series of 1992) and DAO 2000-81 (Series of 2000), found inconsistent herewith are hereby revoked/superseded by this administrative order.

Section 12. EFFECTIVITY. This Administrative Order shall take effect immediately after publication in two (2) newspaper of general circulation or acknowledgment of UP Law Center.

ELISEA G. GOZUN (sgd)
Secretary

ANNEX B
DIRECTORY OF DENR-EMB REGIONAL OFFICES

<p>National Capital Region (NCR) (Manila, Kalookan City, Pasay City, Quezon City, Mandaluyong city, Makati City, Muntinlupa City, Las Piñas City, Valenzuela) 51- Congressional Road, Project 8 Quezon City</p>	<p>Tel. No. (02) 925-6396; 926-0940 Fax: (02) 453-8814; 453-8778 or 925-8376 Sixto E. Tolentino, Jr. EMB Regional Director</p>
<p>Cordillera Autonomous Region (CAR) (Abra, Benguet, Kalinga Apayao, Ifugao, Mountain Province) DENR Forestry Compound, Pacdal District, Baguio City</p>	<p>Tel. No. (074) 442-2346; 442-2342 Fax: (074) 444-7364; 442-4531 Frederick G. Villanueva EMB Regional Director</p>
<p>Region 1 (Ilocos) (Ilocos Norte, Ilocos Sur, La-Union, Pangasinan) 3rd Flr., Marcos Building San Fernando City, La Union</p>	<p>Tel. No. (072) 242-3057 Fax: (072) 242-3032 Oscar C. Cabanayan EMB Regional Director</p>
<p>Region 2 (Cagayan Valley) (Batanes, Cagayan, Isabela, Nueva Viscaya, Quirino) Government Center, Forestry Compound, Tuguegarao, Caayan</p>	<p>Tel. No. (078) 844-4321; 846-2768 or 844-1849 Fax: (078) 846-9129; 844-1141 Lorenzo A. Agaloos EMB Regional Director</p>
<p>Region 3 (Central Luzon) (Bataan, Bulacan, Nueva Ecija, Pampanga, Tarlac, Zambales) Amalgamated Bldg., MacArthur Highway, San Fernando, Pampanga</p>	<p>Tel. No. 045) 888-0988 Fax. (045) 888-0985 Lormelyn E. Claudio EMB Regional Director</p>
<p>Region 4 (Southern Tagalog) (Aurora, Batangas, Cavite, Laguna, Marinduque, Occ. Mindoro, Oriental Mindoro Palawan, Quezon, Rizal Romblon) 1515 L and S Building, Roxas Boulevard Pasay City</p>	<p>Region 4 -A Mainland Tel. No. (02) 536-9784 or 525-0348 Fax. (02) 536-9784 or 405-0040 Ernesto Malimban EMB Regional Director</p> <p>Region 4 -B Manila Tel. no. (02) 536-9786 or 400-5960 Fax. (02) 536-9786 or 405-0041 Roberto Sheen EMB Regional Director</p>
<p>Region 5 (Bicol) (albay, Camarines Sur and Norte, Catanduanes, Masbate, Sorsogon) Regional Center Office Rawis, Legaspi City</p>	<p>Tel. No. (052) 820-5065; 482-0197; 482-0689 Fax. (052) 820-5065 or 482-0696 Gilbert C. Gonzales EMB Regional Director</p>

<p>Region 6 (Western Visayas) (Aklan, antique, Capiz, Guimaras, Iloilo, Negros Occidental) Pepita Aguino St. Port Area, Iloilo City</p>	<p>Tel. No. (033) 336-9910 or 336-265 Fax. (033) 337-9801 Roben A. Calvo EMB Regional Director</p>
<p>Region 7 (Centra Visayas) (Bohol, Cebu, Negros Oriental, Siquijor) Greenplains Subdivision, Banilad, Mandaue City</p>	<p>Tel. No. (032) 345-3905 or 346-0661 Fax. (032) 346-1647 or 345-3967 Bienvenido L. Lipayon EMB Regional Director</p>
<p>Region 8 (Eastern Visayas) (Billiran, Eastern Samar, Northern Samar, Leyte, Southern Leyte) Billiran Subdivision Province Sto. Niño Extension, Tacloban City</p>	<p>Tel. No. (053) 325-2150; 325-7630 or 325-2150 Fax. (053) 325-2149 or 321 - 9386 Ernesto G. Manuel EMB Regional Director</p>
<p>Region 9 (Western Mindanao) (Basilan, Zamboanga del Norte, Zamboanga del Sur, Zamboanga City) Pasonanca Park, Zamboanga City</p>	<p>Tel. No. (062) 992-6547 or 992-6548 Fax. (062) 992-6548 Dacilo M. Adap EMB Regional Director</p>
<p>Region 10 (Northern Mindanao) (Bukidnon, Camiguin, Misamis Occidental and Oriental) Macabalan, Cagayan de Oro City</p>	<p>Tel. No. (088) 856-9362 Fax. (088) 726-280 or 726-243 Sabdullah C. Abubacar EMB Regional Director</p>
<p>Region 11 (Southern Mindanao) (Davao del Norte, Dava del Sur, Davao Oriental, Sotuh Cotabato, Sarangani, Compostela Valley) Lanang, Davao City</p>	<p>Tel. No. (082) 300-0040; 233-2779 or 234-4523 Fax. (082) 233-0809 or 234-0811 Metodio U. Turbella EMB Regional Director</p>

ANNEX C
SMR FORMAT

**Department of Environment and Natural Resources
Environmental Management Bureau**

Reference No:

(to be filled up by DENR only)

GENERAL INFORMATION SHEET

Name of the Establishment/Facility _____		
Establishment/Facility Address (NOT the company of head office)	Street # & Street Name: _____	
	Barangay: _____	City/Municipality: _____
	Province: _____	
Name of Owner/Company _____		
Address (if address is not the same as previous address)	Street # & Street Name: _____	
	Barangay: _____	City/Municipality: _____
	Province: _____	
Phone Number _____	Fax Number _____	_____
e-mail address _____		
Type of Business/ Industry Classification	Philippine Standard Industry Classification Code No. _____	
	Philippine Standard Industry Descriptor: _____	

Responsible Officer/s:	CEO/President. _____	
	Tel #: _____	Fax #: _____
	e-mail address: _____	
	Plant Manager: _____	
	Tel #: _____	Fax #: _____
Pollution Control Officer	Name. _____	
	Tel #: _____	Fax #: _____
	e-mail address: _____	
Legal Classification	<input type="checkbox"/> single proprietorship	<input type="checkbox"/> partnership
	<input type="checkbox"/> private domestic corporation	<input type="checkbox"/> government corporation
	<input type="checkbox"/> Multi-national	<input type="checkbox"/> _____

We hereby certify that the above information are true and correct.

Name/Signature of CEO/President

Name/Signature of PCO

Name of Plant:

Reference No:

**Department of Environment and Natural Resources
Environmental Management Bureau**

QUARTERLY SELF-MONITORING REPORT

MODULE 1: GENERAL INFORMATION

Name of the Plant

Please provide the necessary revised, corrected or updated information not contained in your **General Information Sheet**

(use additional sheet/s if necessary)

DENR Permits/Licenses/Clearances

Environmental Laws	Permits	Date of Issue	Expiry Date
P.D. 984	A/C No.		
	PO No.		
PD 1586	ECC 1		
	ECC 2		
	ECC 3		
RA 6969	DENR Registry ID		
	CCO Registry		
	Importer Clearance No		
	Permit to Transport		
RA 8749	A/C No.		
	PO No.		

Name of Plant:

Reference No:

Operation

	Operating hours/day	Operating days/week	# of shift/day
Average			
Maximum			

Operation/Production/Capacity:

Average Daily Production Output		Total Output this Quarter	
Total Water Consumption this Quarter (cubic meters)		Total Electric Consumption this Quarter (KwH)	

Please use additional sheet/s if necessary

Name of Plant:

Reference No:

B. Hazardous Wastes Generator

HW Generation:

HW No.	HW Class	HW Nature	HW Cataloguing	Remaining HW from Previous Report		HW Generated	
				Quantity	Unit	Quantity	Unit

Waste Storage, Treatment and Disposal:(Please fill-up one table per HW)

HW Details	HW No.: _____ Qty of HW Treated: _____ Unit: _____ TSD Location: _____
Storage	Name: _____ Method: _____
Transporter	ID: _____ Name: _____ Date: _____
Treater	ID: _____ Name: _____ Method: _____ Date: _____
Disposal	ID: _____ Name: _____ Date: _____ Date: _____

HW Details	HW No.: _____ Qty of HW Treated: _____ Unit: _____ TSD Location: _____
Storage	Name: _____ Method: _____
Transporter	ID: _____ Name: _____ Date: _____
Treater	ID: _____ Name: _____ Method: _____ Date: _____
Disposal	ID: _____ Name: _____ Date: _____ Date: _____

Name of Plant:

Reference No:

On-Site Self Inspection of Storage Area:

Date Conducted	Premises/Area Inspected	Findings & Observations	Corrective Action Taken (if any)

Name of Plant:

Reference No:

C. Hazardous Wastes Treater/Recycler

HW Stored and/or Untreated as of End of Quarter:

HW Number	Wastes Generator	Date of Transport	Transport Permit/Date of Issue	Valid until	Quantity	Type of Storage Container/ # of containers	Time Table for Treatment

HW Treated and/or Recycled as of End of Quarter:

Type of Wastes	HW Number	Wastes Generator	Date of Transport	Transport Permit/Date of Issue	Quantity	Type of Treatment or Recycling Process	Type & Quantity of Recycled or Treated Product

Residual Wastes Generated from the Treatment and/or Recycling Operation:

Type of Wastes	HW Number	Process by which the Wastes is Generated	Quantity	Type of Storage Container/ # of containers	Disposal Option	Time Table for Disposal

Name of Plant:

Reference No:

MODULE 3: P.D. 984 (Water Pollution)

Water Pollution Data

Domestic wastewater (cubic meters/day)		Process wastewater (cubic meters/day)	
Cooling water (cubic meters/day)		Others: _____ (cubic meters/day)	
Wash water, equipment (m ³ /day)		Wash water, floor (cubic meters/day)	

Record of Cost of Treatment (Separate entries for separate facilities)

	Month 1	Month 2	Month 3
Person employed, (# of employees)			
Person employed, (cost)			
Cost of Chemicals used by WTP			
Utility Costs of WTP (electricity & water)			
Administrative and Overhead Costs			
Cost of operating in-house laboratory			
New/Additional Investments in WTP (Description)			
Cost of New/Add Investments			

WTP Discharge Location

Outlet Number	Location of the Outlet	Name of Receiving Water Body
1		
2		
3		
4		
5		

Name of Plant:

Reference No:

MODULE 4: R.A. 8749 (Air Pollution)

Summary of APSE/APCF

Process Equipment		Location		# of hrs of operations	
1.					
2.					
3.					
4.					
Fuel Burning Equipment	Location	Fuel Used	Quantity Consumed	# of hrs of operations	
1.					
2.					
3.					
4.					
5.					
6.					
Pollution Control Facility		Location		# of hrs of operations	
1.					
2.					
3.					
4.					

Cost of Treatment

	Month 1	Month 2	Month 3
Cost of Person employed, (salary)			
Total Consumption of Water (cubic meters)			
Total Cost of chemicals used (e.g., activated carbon, KMnO ₄)			
Total Consumption of Electricity (KwH)			
Administrative and Overhead Costs			
Cost of operating in-house laboratory, if any			
Improvement or modification, if any. (Description)			
Cost of improvement of modification			

Name of Plant:

Reference No:

Other ECC Conditions

ECC Condition/s	Status of Compliance		Actions Taken
	Yes	No	
1.			
2.			
3.			
4.			
5.			
6.			
7.			

Please use additional sheet/s if necessary.

Environmental Management Plan/Program

Enhancement/Mitigation Measures	Status of Implementation		Actions Taken
	Yes	No	
1.			
2.			
3.			
4.			
5.			
6.			
7.			

Please use additional sheet/s if necessary.

Solid Waste Characterization/Information:

Average Quantity of Solid Wastes Generated per month		Total Quantity of Solid Wastes Generated this Quarter	
Average Quantity of Solid Wastes Collected per month		Total Quantity of Solid Wastes Collected this Quarter	
Entity in charge of collecting solid wastes			
Brief Description of Solid Waste Management Plan (e.g., waste reduction, segregation, recycling)			

MODULE 6: OTHERS

Accidents & Emergency Records

Date	Area/Location	Findings and Observation	Actions Taken	Remarks

Personnel/Staff Training

Date Conducted	Course/Training Description	# of Personnel Trained

I hereby certify that the above information are true and correct.

Done this _____, in _____.

Name/Signature of PCO

Name/Signature of CEO

SUBSCRIBED AND SWORN before me, a Notary Public, this _____ day of _____, affiants exhibiting to me their Community Tax Receipts:

Name	CTR No.	Issued at	Issued on

ANNEX D
SAMPLE FORMATS

FORMAT, Notice of Deficiency
(To be printed on DENR Letterhead)

Name/Title of CEO/President/Plant Manager
Name of firm
Address

ATTENTION: *Name/Title of PCO*

NOTICE OF DEFICIENCY

Dear Sir/Madam:

This is to officially inform you that the Self-Monitoring Report (SMR) you submitted on *date of submission* has been found to be insufficient and/or unsatisfactory by this Office for the following reason/s:

List of reasons/basis of deficiencies

As such, the subject SMR is considered not in compliance with the requirements of DAO 26 and DAO ----- . You are hereby enjoined to submit a revised SMR within thirty (30) days of receipt of this letter. Failure to do so shall be deemed as violations of applicable rules and regulations.

We look forward to your continued cooperation and compliance.

Yours truly,

Name of RD
Regional Director