

US EPA ARCHIVE DOCUMENT

**Information Sources and Reporting
for
FY 2000 Enforcement and Compliance Assurance Accountability Measures**

Core Performance Measure / Accountability Measure	Source of Information/What Needs to be Reported for Measure
1. Environmental and/or public health benefits achieved through concluded enforcement activities, e.g., case settlements, injunctive relief, etc. ¹	<p>Source: Manual; Federal information is tracked in OECA DOCKET, which States do not use.</p> <p>What to Report: Expected outcomes of administrative and judicial orders, in terms of injunctive/substantive relief (what actions are required re emissions reduction, sampling, etc.); what costs; what and how much of pollutants are reduced; what qualitative environmental goal (e.g. human health, restoration of land).</p>
2. Rates of significant noncompliance for selected regulated populations. ²	<p>Source: AFS, PCS, RCRIS, SDWIS (possible issue identifying 'selected' from other facilities where system does not already designated; some programs do not have automated reporting)</p> <p>What to Report: SNC status within facility records, SIC or other identifying data related to 'selected' group (in most cases standard data)</p>
3. Percentage of significant non-compliers (SNCs) that have been returned to compliance or otherwise addressed. ³	<p>Source: See Set 2</p> <p>What to Report: SNC status within facility records, enforcement actions or other addressing actions such as return to compliance (in most cases, standard data)</p>
4. Results of using State alternative compliance approaches (e.g., audit laws or policies, small business compliance policies, XL projects) and compliance assistance. ⁴	<p>Source: Manual reporting</p> <p>What to Report: Description and quantitative information on what policies are applied and what results are achieved</p>

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5. Total number of inspections conducted at major facilities, and the percent of total universe of regulated sources inspected in negotiated priority areas (e.g., industry sectors, geographic areas). ⁵	Source: AFS, PCS, NCDB, RCRIS, SDWIS What to Report: Standard data on facilities and compliance monitoring actions; for other programs manual reporting as necessary (SDWIS does not distinguish inspections between Federal and State)
6. Enforcement actions ⁶ (e.g., case referrals, orders, notices) taken, by media. ⁷	Source: AFS, PCS, NCDB, RCRIS, SDWIS (some manual reporting: judicial referrals for NPDES, all orders for UIC) What to Report: Informal and formal enforcement actions through standard means
7. Number of facilities/entities reached through each type of compliance assistance activity. ⁸	Source: Manual reporting What to Report: Counts of establishments/recipients of compliance assistance activity; types can parallel as defined Federally

Notes/Comments:

1. *Pilot measure:* Volunteer states will be sought to participate with EPA in pilot test use of Case Conclusion Data Sheet or comparable approaches to analyzing benefits achieved from enforcement activities.
2. All states continue to provide facility-specific compliance information through automated data systems. Volunteer states will be sought to participate with EPA in development of statistically valid compliance rates.
3. All states continue to provide facility-specific compliance information through automated data systems.
4. *Pilot measure:* Volunteer states will be sought to provide EPA with data on evaluation of the results of compliance incentives and compliance assistance efforts. Provide narrative description of alternative compliance approaches.
5. All states continue to report facility-specific data through automated data systems. Negotiate means for reporting information on inspections of facilities not covered by current data systems.
6. The question of whether this term should be enforcement activity or actions was submitted to the ECOS Compliance Committee and full membership in February 1999. Receiving no feedback, the change was made to the more clearly defined term, enforcement actions.

7. All states continue to provide facility-specific compliance information through automated data systems.
8. *Pilot measure:* Volunteer states will be sought to participate with EPA in pilot to provide data on compliance assistance activities. Describe any current reporting a pilot State does on compliance assistance activities.