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U.S. Environmental Protection Agency

**EPA's Planned Compliance Assistance
Activities for Fiscal Year 2004:**

***Preliminary Highlights of the
Annual EPA Plan and Inventory***

November 2003



EPA's Planned Compliance Assistance Activities for Fiscal Year 2004: Preliminary Highlights of the Annual EPA Plan and Inventory



The U.S. Environmental Protection Agency (EPA) provides a wide range of compliance assistance (CA) activities to help business, industry and government comply with regulatory requirements and improve environmental performance.¹ This assistance helps users implement new regulations; address problems with existing regulations; or address geographical, national, regional, local or facility-specific environmental issues. Compliance assistance may include written or electronic materials and tools (e.g., overviews of laws and regulations or best management practices); outreach opportunities (e.g., training, workshops, seminars, mailings); new Internet Web pages; and on-site visits.

Annually, EPA prepares a compliance assistance plan and inventory identifying CA activities that EPA intends to undertake for that fiscal year. As of October 16, 2003, EPA planned **415** compliance assistance CA activities for FY 2004, compared to 369 reported for FY 2003.

Preliminary National Highlights of 415 Planned CA Activities for FY 2004

This year's national highlights are similar to last year's with two exceptions. More of the planned CA activities were reported as part of an integrated strategy that may combine compliance assistance, compliance monitoring, enforcement and/or compliance incentives to address the environmental problem. In addition, more of the CA activities reported include an effort to measure the impact or outcome of the CA, such as change in awareness of environmental requirements or the environmental performance of the regulated entity – be it business, industry or government.

- **Types of Activities:** Among the various activities, two types – tools developed (49%) and workshops/trainings/presentations (23%) – account for nearly 75% of all planned CA activities.
- **New v. Ongoing:** Many CA activities (e.g., Compliance Assistance Centers and telephone hotlines) continue from year to year. Nearly two thirds (64%) are ongoing from FY 2003. This year the number of new activities planned has increased by about 35% compared to the previous fiscal year.
- **Organizational Mix:** Depending on their mission, different EPA offices provide different types and amounts of compliance assistance. EPA's Regions will implement or conduct about 85% of the total activities planned for FY 2004 (an increase of 28% compared to FY 2003), while Headquarters offices will conduct 15 percent.
- **EPA Financial Support for Other CA Providers:** Through grants, contracts and other types of agreements, EPA funds a portion of the CA activities offered by a diverse group of states and other CA providers. Such activities represent 16% of the total CA activities reported in the FY 2004 plan and inventory, similar to the percentage in FY 2003.
- **Support for Agency Priorities:** Two hundred and three (203) activities (49%) address either a national or regional priority, an increase of 52 activities from FY 2003. A majority of this increase is accounted for by an increase in activities that support either regional or other programmatic priorities.
- **Chemicals and Pollutants Addressed:** EPA plans CA activities to address more than 30 chemical and pollutant categories. Among the specific pollutants most frequently addressed are oil, non-hazardous solid waste, pesticides and solvents, together accounting for 24% of planned activities.

- **Sectors Addressed:** EPA plans CA activities to address more than 34 business and government sectors. The most frequently addressed of all sectors are federal facilities (56 activities), state and local governments (50 and 47 activities, respectively), and schools (43 activities), together accounting for 26% of all sectors reported.
- **Small Business Focus:** EPA is also addressing the needs of small business through general and sector-specific assistance. A total of ninety-six (96) CA activities address one or more small business sectors (e.g., dry cleaning, auto salvage, automobile-repair/service, printing, etc.) representing 13% of all planned activities. Additionally, 14% of planned CA activities support previous EPA regulations or regulations EPA intends to issue during FY 2004, that either have an impact on small entities and/or have an economically significant impact on larger businesses.
- **Measuring the Impact of CA:** The number of CA activities for which EPA is planning some type of measurement of impact has increased from 265 to 315 activities, a 19% increase from FY 2003 to FY 2004. In both years the most frequently used measurement tools are workshop surveys and on-site visits. Together these two tool types represent 42% of the total measurement tools to be used in FY 2004. The largest increase (of 44%) from FY 2003 to 2004 is in the number of CA activities where measurement is planned, but the measurement tool was not specified at the time of data entry.
- **Integrated Approaches or Strategies:** EPA is promoting strategic consideration and use of compliance assurance and enforcement tools in environmental problem solving. Related to this, the FY 2004 plan reports 186 projects (a 30% increase from FY 2003) that indicate the planned CA activity is part of an integrated approach. This means that the planned CA is part of an approach or strategy that may combine compliance assistance, compliance monitoring, enforcement and/or compliance incentives to address the environmental problem.

Electronic Access to CA Planning Information

Analyses that Support These Highlights: These *Preliminary National Highlights* are based on summary statistics of the FY 2004 plan and inventory. *Appendix A* of the report contains analyses of FY 2004 data alone, while *Appendix B* contains comparisons of select data from all four annual compliance assistance activity plans (FY 2001 - FY 2004). A complete report, including these statistics, is available only in electronic form. To view the more detailed report, go to EPA's Compliance Assistance Planning Web Page: <http://www.epa.gov/compliance/assistance/planning/index.html>.

Project or Activity Specific Information: More detailed information (e.g., activity title, brief description, contact information) about specific activities planned is available in a database that business, industry, government and the general public can search via the Internet at: National Environmental Compliance Assistance Clearinghouse, <http://www.epa.gov/clearinghouse>. To search this information for FY 2004, go to the Clearinghouse; select the "Planned and Ongoing Activities" button in the left sidebar, select "US EPA Activities," and select "FY04 CAPD Data." Then search by organization and other criteria (e.g., sector, pollutant, geographic focus, etc.). For additional information about these materials and/or Web access to them, contact: **Ms. Rebecca A. (Becky) Barclay, U. S. EPA, Office of Enforcement and Compliance Assurance, Office of Compliance, 202-564-7063, barclay.rebecca@epa.gov**.

¹ **Compliance assistance**, for purposes of this plan and inventory, includes activities, tools or technical assistance that provides clear and consistent information for: (1) helping the regulated community understand and meet its obligations under environmental regulations; or (2) helping compliance assistance providers to aid the regulated community in complying with environmental regulations. Compliance assistance may also help the regulated community find cost-effective ways to comply with regulations and/or go "beyond compliance" through the use of pollution prevention, environmental management practices, and innovative technologies, thus improving their environmental performance. To be categorized as a compliance assistance project or activity, at least one objective must be related to achieving or advancing regulatory compliance.

APPENDIX A

Analysis of EPA's Planned Compliance Assistance Activities in FY 2004 (FY 2004 data reported as of 10/16/03)

The U.S. EPA Office of Compliance (OC) within the Office of Enforcement and Compliance Assurance (OECA) documents EPA's planned compliance assistance activities in an annual plan and inventory to enable EPA Headquarters and Regional Offices to plan and use their compliance assistance (CA) resources more effectively, and to assist regulators (e.g., state, local, tribes), and other compliance assistance providers (e.g., Small Business Assistance Programs) in deciding how to use their CA resources, avoid duplication, and complement EPA's efforts. The information contained in each annual plan also helps regulated entities (e.g., industry, federal facilities) learn about and take advantage of relevant CA opportunities.

As of October 16, 2003, the FY 2004 plan includes 415 compliance assistance activities that EPA intends to undertake this fiscal year. EPA maintains the plan in the form of records of activities with project level information in a searchable electronic database. With contractor assistance, OC has analyzed key aspects of each of these records as shown in the tables listed below. Each table summarizes a different aspect of the FY 2004 plan, such as what proportion of activities are Regional or Headquarters in origin; whether the activities are new or ongoing; the proportion that address national or regional priorities, etc.

- Table 1: Distribution of Planned Compliance Assistance Activities by Organization (EPA Headquarters Program Offices or Regional Offices) for FY 2004
- Table 2: New vs. Ongoing Compliance Assistance Activities for FY 2004
- Table 3: Types of Compliance Assistance Activities Planned for FY 2004
- Table 4: Chemical/Pollutant Categories Addressed by FY 2004 Planned Compliance Assistance Activities
- Table 5: Specific Sectors Addressed by FY 2004 Planned Compliance Assistance Activities
- Table 6: Types of Regulations Addressed by FY 2004 Planned Compliance Assistance Activities
- Table 6a: List of FY 2004 Planned Compliance Assistance Activities Addressing Economically Significant or SBREFA Regulations
- Table 6b: Final Rules which may employ Small Entity Compliance Guides
- Table 7: National and Regional Priorities Addressed by FY 2004 Planned Compliance Assistance Activities
- Table 8: Types of Measurement Tools Associated with FY 2004 Planned Compliance Assistance Activities
- Table 9: Recipients of EPA's Financial Assistance for Compliance Assistance Activities in FY 2004

Table 1: Distribution of Planned Compliance Assistance Activities by Organization

EPA Regions and Headquarters Offices plan 415 compliance assistance activities for FY 2004. Regional offices will provide 85% of the activities planned, with Region 2 and 6 offering the largest number of activities (103 and 81 activities, respectively). Headquarters program offices will provide 15% of the planned activities, with OECA having the largest number of activities (32) for FY 2004.

Lead Headquarters Program Office	Number of Responses	Percentage of Responses (%)	Lead Regional Office	Number of Responses	Percentage of Responses (%)
OAR	3	5	Region 01	21	6
OECA	32	51	Region 02	103	29
OEI	10	16	Region 03	27	8
OPPTS	15	24	Region 04	38	11
OW	3	5	Region 05	9	3
Total	63	100	Region 06	81	23
			Region 07	35	10
			Region 08	17	5
			Region 09	13	4
			Region 10	8	2
			Total	352	100

Key:

- OAR - Office of Air and Radiation
- OECA - Office of Compliance and Enforcement
- OEI - Office of Environmental Information
- OPPTS - Office of Pollution Prevention and Toxics
- OW - Office of Water

Source: The Compliance Assistance Planning Database (CAPD) as of October 16, 2003

Total Records: 415

Total Number of Responses: 415 (Response Rate: 100%)

Total Number of Responses (lead Headquarters): 63 (15% of the total records)

Total Number of Responses (lead Regions): 352 (85% of the total records)

Table 2: New vs. Ongoing Compliance Assistance Activities for FY 2004

EPA Regions and Headquarters Offices plan compliance assistance activities for FY 2004 that are either new, or are ongoing from the past year(s). Of the reported activities, 64% were ongoing, while 36% were new activities beginning in FY 2004.

Activity Type	Number of Responses	Percentage of Responses (%)
New	143	36
Ongoing	256	64
Total	399	100

Source: The Compliance Assistance Planning Database (CAPD) as of October 16, 2003

Total Records: 415

Total Number of Records with a Response: 399 (Response Rate: 96%)

Table 3: Types of Compliance Assistance Activities Planned for FY 2004

EPA Regions and Headquarters Offices plan a variety of compliance assistance activities for FY 2004. Tools developed are the most frequently reported activity type accounting for 49% of all activities, followed by workshop(s)/trainings and presentations at meetings at 23% and on-site assistance at 15%.

General Category	Number of Responses	Percentage of Responses (%)
Tools Developed	264	49
CD-ROM(s)	12	2
Case Studies	19	4
Checklists	28	5
Fact Sheets	62	12
Guidance Materials	102	19
Newsletters	9	2
Policy Documents	24	4
Video(s)	8	1
Workshops/Trainings and Presentations at Meetings	122	23
Workshop(s)/Training Materials	122	23
Telephone Hotlines and Websites	68	13
Web Sites	62	12
Hotline(s)	6	1
On-Site Assistance	81	15
Environmental Management Systems/Review	18	3
On-site visits	63	12
Total	535	100

Source: The Compliance Assistance Planning Database (CAPD) as of October 16, 2003

Total Records: 415

Total Individual Compliance Assistance Activity Types selected (Total Responses): 535

Total Number of Records with a Response: 301 (Response Rate: 72%)

Total Number of Records with a Response including "Other"¹: 335 (Response Rate: 81%)

Total Number of Records with Multiple Responses²: 102

¹ "Other" refers to a compliance assistance activity not listed in the FY 2004 Compliance Assistance Planning Database that was entered by the user.

² There are a total of 415 records in the Database. A number of records (102) report more than one compliance assistance activity type, resulting in some double-counting.

Table 4: Chemical/Pollutant Categories Addressed by FY 2004 Planned Compliance Assistance Activities

EPA Regions and Headquarters Offices plan compliance assistance activities that address more than 30 chemical and pollutant categories. Activities to address “general” categories of water pollutants (112 activities) and hazardous waste (102) are the most frequently reported, together accounting for 15% of all chemicals/pollutants reported. Among specific pollutants most frequently addressed are oil, non-hazardous solid waste, pesticides and solvents, together accounting for 24% of all chemicals/pollutants reported.

Chemical/Pollutant	Number of Responses	Chemical/Pollutant	Number of Responses
Air Pollutants:		Toxic Substances:	
- CFCs and other ozone-depletors	21	- asbestos	28
- criteria air pollutants (VOCs, NOx, PM, SO2, CO, lead)	42	- dioxin and dioxin-like compounds	11
- general	86	- general	87
- greenhouse gases	25	- heavy metals	42
- HAPs	38	- lead and lead compounds	44
Hazardous Waste:		- mercury	35
- characteristic	37	- PBTs as a group (persistent, bioaccumulative, & toxic)	19
- general	102	- PCBs (polychlorinated biphenyls)	20
- listed	41	- TRI-listed chemicals	40
- pathogens	12	Other Specific Chemical/Pollutants:	
Water Pollutants:		Laboratory Chemicals	53
- conventional pollutants (BOD, pH, TSS, oil & grease)	37	Oil	98
- general	112	Pesticides	78
- nutrients	29	Radioactive Materials/Waste	31
- other toxics	21	Solid Waste (non-hazardous)	86
- pathogens	25	Solvents	77
- priority pollutants	19	Total	1,396

Source: The Compliance Assistance Planning Database (CAPD) as of October 16, 2003

Total Records: 415

Total Individual Chemicals/Pollutants selected (Total Responses): 1,396¹

Total Number of Records with a Response: 343² (Response Rate: 83%)

Total Number of Records with a Response including “Other³”: 366 (Response Rate: 88%)

Total Number of Records with Multiple Responses⁴: 201

Key:

BOD	- Biochemical Oxygen Demand	CFCs	- Chlorofluorocarbons	CO	- Carbon Monoxide
HAPs	- Hazardous Air Pollutants	NOx	- Nitrogen Oxides	PBTs	- Persistent, Bioaccumulative Toxics
PCBs	- Polychlorinated Biphenyls	PM	- Particulate Matter	SO ₂	- Sulfur Dioxide
TSS	- Total Suspended Solids	TRI	- Toxic Release Inventory	VOCs	- Volatile Organic Compounds

¹ Eight (8) records indicated “Not Applicable” in the chemical/pollutant field; “N/As” have neither been included in the total number of individual chemicals/pollutants selected, nor have they been listed in the above table.

² The total number of records with a response and the total number of records with multiple responses include those chemicals/pollutants that addressed “N/As” (8 responses).

³ “Other” refers to a chemical/pollutant not listed in the FY 2004 Compliance Assistance Planning Database that was entered by the user.

⁴ There are a total of 415 records in the Database. A number of records (201) addressed more than one chemical/pollutant, resulting in some double-counting.

Table 5: Specific Sectors Addressed by FY 2004 Planned Compliance Assistance Activities

Compliance assistance activities planned by EPA Regions and Headquarters Offices address more than 34 business and government sectors. The most frequently addressed government sectors are federal facilities (56 activities), state and local government (50 and 47 activities respectively), and schools (43), together accounting for 26% of all sectors reported. Additionally, among business sectors, small business, health care, general agriculture, automobile repair/service and utilities are the most frequently addressed and collectively account for 20% of all sectors reported.

Sector	Number of Responses	Sector	Number of Responses
Agriculture - animal feeding operations	20	Iron & Steel	3
Agriculture - general	30	Laboratories	12
Auto Salvage	14	Leather Tanning and Finishing	4
Automobile - manufacturing	6	Local Government	47
Automobile - repair/service	30	Metal Services/Finishers	11
Chemical - distributors	8	Metals - Other than Al or Cu	5
Chemical - general	27	Metals - Secondary Al	3
Chemical - inorganics	12	Metals - Secondary Copper	3
Chemical - organics	16	Mineral/Mining/Processing	8
Computers & Electronics	14	Petroleum	21
Construction	23	Pharmaceuticals	8
Dry Cleaning	7	Printing	13
Federal Facilities	56	Pulp/Paper/Forestry	4
Food Processing	9	Schools	43
Garment and Textile	4	Small Business	32
General Public/Citizens	15	State Government	50
Hazardous Waste Management	21	Transportation	22
Health Care	31	Tribal	23
All Sectors	64	Utilities	29
Total			748

Source: The Compliance Assistance Planning Database (CAPD) as of October 16, 2003

Total Records: 415

Total Individual Sectors selected (Total Responses): 748¹ (including "All Sectors")

Total Number of Records with a Response: 354² (Response Rate: 85%)

Total Number of Records with a Response including "Other"³: 382 (Response Rate: 92%)

Total Number of Records with Multiple Responses⁴: 190

¹ Seventeen (17) records indicated "N/A - Not Industry Specific" in the sector field; "N/As" have neither been included in the total number of individual sectors selected, nor have they been listed in the above table.

² The total number of records with a response and the total number of records with multiple responses include those sectors that addressed "N/As" (17 responses).

³ "Other" refers to a sector not listed in the FY 2004 Compliance Assistance Planning Database that was entered by the user.

⁴ There are a total of 415 records in the Database. A number of records (190) address more than one sector, resulting in some double-counting.

Table 6: Types of Regulations Addressed by FY 2004 Planned Compliance Assistance Activities

A total of 71 (17%) compliance assistance activities planned by EPA Regions in the FY 2004 CA Plan and Inventory support previous or upcoming regulations that impact small entities and/or have an economically significant impact on the regulated community.

Regulations	Number of Responses	Percentage of Responses (%)
Economically Significant	20	28
SBREFA	51	72
Total	71	100

Source: The Compliance Assistance Planning Database (CAPD) as of October 16, 2003

Total Records: 415
 Total Types of Regulations selected (Total Responses): 71
 Total Number of Records with a Response: 60 (Response Rate: 14%)
 Total Number of Records with a Response including "Other"¹: 73 (Response Rate: 18%)
 Total Number of Records with Multiple Responses²: 11

Key:
 SBREFA - Small Business Regulatory Enforcement Act

¹ Other" refers to a regulation not listed in the FY 2004 Compliance Assistance Planning Database that was entered by the user.

² There are a total of 415 records in the Database. Eleven (11) of the records addressed more than one type of regulation, resulting in some double-counting.

**Table 6a: List of FY 2004 Planned Compliance Assistance Activities
addressing Economically Significant or SBREFA Regulations**

Contact Office / Region	Title	Economically Significant	SBREFA
OECA	Construction Industry Compliance Assistance Center - www.CICAcenter.org	✓	✓
Region 01	Small Drinking Water Systems - Distribute New Compliance Assistance Tools	✓	-
Region 01	Small Drinking Water Systems -Sector-specific Drinking Water Outreach Campaigns	✓	-
Region 01	Small Drinking Water Systems - Treatment Technology Exchange	✓	-
Region 01	Comprehensive Post-Inspection Assistance & Resource Connection	✓	✓
Region 02	Wood Treaters Compliance Assistance - Fact Sheets	-	✓
Region 02	Auto Fleet Maintenance Sector - webpage	-	✓
Region 02	Grant for EMS for Marinas and Boatyards in NY	-	✓
Region 02	NEPAssist	✓	✓
Region 02	Compliance Assistance for Marinas - fact sheet	✓	-
Region 02	Creating, Maintaining, and Participating in Small Business Comprehensive Assistance Network in NY	-	✓
Region 02	Small Business General Outreach	-	✓
Region 02	Regional Small Business Assistance Webpage	-	✓
Region 02	Compliance Assistance for Marinas - website	✓	-
Region 02	Dry Cleaning on-site visits	-	✓
Region 02	New Jersey Auto Salvage Yard Compliance Assistance	-	✓
Region 02	Spray Booth compliance assistance	-	✓
Region 02	Dry Cleaning regulatory/pollution prevention CD/ROM	-	✓
Region 02	CFC Mailing & Audit Initiative	-	✓
Region 02	Creating, Maintaining, and Participating in Small Business Comprehensive Assistance Network in Puerto Rico	-	✓
Region 02	Creating, Maintaining, and Participating in Small Business Comprehensive Assistance Network in NJ	-	✓
Region 02	Compliance Incentives/ Environmental Auditing Web Page	-	✓
Region 02	Stratospheric Ozone Protection	-	✓
Region 02	Auto Fleet Maintenance Sector - mailing	-	✓
Region 02	Auto Fleet Maintenance Sector - checklist	-	✓
Region 02	Creating, Maintaining, and Participating in Small Business Comprehensive Assistance Network in the US Virgin Islands	-	✓
Region 02	Wood Treaters Compliance Assistance - Web Site	-	✓
Region 02	VOC & Particulate Reduction Project Through Enhanced Use of "High Volume Low Pressure" Spray Guns in New York City Auto Body Shops	-	✓
Region 02	New Croton Aqueduct Project	-	✓
Region 02	Spray Booth Web Site	-	✓
Region 02	Outreach to Chemical Warehousing Operations in Paterson, NJ	-	✓
Region 02	Outreach to Potential TRI Filers in Paterson, NJ	-	✓
Region 02	Disposal of Commercial Refrigeration and Air Conditioning Service Outreach in Paterson, NJ	-	✓
Region 02	Commercial Refrigeration and Air Conditioning Service Outreach in Paterson, NJ	-	✓
Region 02	CFC Disposal of Small Appliances Outreach in Paterson, NJ	-	✓
Region 02	Dry Cleaner Outreach in Paterson, NJ	-	✓
Region 02	MVAC Outreach in Paterson, NJ	-	✓
Region 03	Business Assistance Center Hot Line	✓	✓
Region 03	Outreach At Trade Association Events	-	✓
Region 05	TRI Compliance Assistance Workshops	-	✓
Region 05	Compliance Assistance through telephone, e-mail, mail, fax	-	✓

Contact Office / Region	Title	Economically Significant	SBREFA
Region 06	Coordinate Clean Air Act outreach activities and participate in training with NMED	✓	✓
Region 06	Field Screening Chemical Tests Developed for Tribes in Oklahoma and New Mexico	✓	-
Region 06	Underground Storage Tank - Geographic Information System Environmental Indicators / Data Management Tool for Oklahoma Tribes	✓	-
Region 06	Wood Treaters of Texas	-	✓
Region 06	Nitrate project in Texas	✓	-
Region 06	Assistance on Clean Air Act (CAA) Regulations	✓	✓
Region 06	Coordinate Clean Air Act outreach activities and participate in training with TCEQ	✓	✓
Region 06	Coordinate Clean Air Act outreach activities and participate in training with LDEQ	✓	✓
Region 06	Coordinate Clean Air Act outreach activities and participate in training with ODEQ	✓	✓
Region 06	Storm Water Construction General Permit (SWCGP) Assistance Workshop	-	✓
Region 06	Fertilizer and Feed Mill Initiative	-	✓
Region 06	Coordinate Clean Air Act outreach activities and participate in training with ADEQ	✓	✓
Region 08	The Colorado UIC Class V Well Inventory	-	✓
Region 08	Pollution Prevention - Regional P2RX Center	✓	✓
Region 08	The Black Hills/SDOT UIC Initiative	-	✓
Region 09	Barrio Logan Auto Repair and Auto Salvage Compliance Assistance and P2 Workshop	-	✓
Region 09	Stratospheric Ozone Program Assistance Project for Auto Salvage Yards	-	✓
Region 10	Compliance Assistance for the Alaska Seafood Processors	✓	-
Region 10	Education & Outreach on NPDES Storm Water Permit Regulations	-	✓

Source: The Compliance Assistance Planning Database (CAPD) as of October 16, 2003

Total Records: 415

Total Number of Records with a Response: 60 (Response Rate: 14%)

Table 6b: Final Rules which may employ Small Entity Compliance Guides

The table below includes information on federal regulations for which EPA plans to develop small entity compliance guides (SECG) or self-audit checklists in Fiscal Year 2004. Compliance guides are being developed because the regulations have a significant economic impact on a substantial number of small entities as defined under the Small Business Regulatory Enforcement Fairness Act (SBREFA).

The rules listed in this table are either expected to be final in FY 2004 or are already final rules and will have compliance guides completed in FY 2004. This table does not, therefore, list the potential universe of SBREFA regulations for which future compliance guides may be developed.

The regulations on this table are current as of October 17, 2004. The list of regulations is not final and is continually changing based on alterations to the regulation's projected publication date and further economic analysis. For more information on the status of the regulation or the compliance guide, contact the appropriate EPA program office.

Office	Title	Final Publication Date	Projected SECG Issuance Date
OAR	SAN-3326: NESHAP: Reinforced Plastic Composites Production	04/21/2003	10/00/2003
	SAN-4355: Heavy Duty Engine Emission Standards and Diesel Fuel Sulfur Control Requirements	01/18/2001	12/00/2003
	SAN-4675: Control of Emissions of Air Pollution from Nonroad Diesel Engines and Fuel	04/00/2004	-
OPPTS	SAN-3244: Lead-Based Paint Activities Rules; Training, Accreditation, and Certification Rule and Model State Plan Rule– Section 402(a)	08/29/1996	12/00/2003
OW	SAN-4153: National Pollutant Discharge Elimination System Permit Regulation and Effluent Limitations Guidelines and Standards for Concentrated Animal Feeding Operations (CAFOs)	02/12//2003	10/00/2003

Source: *The Compliance Assistance Planning Database (CAPD) as of October 16, 2003*

Key:
OAR - Office of Air and Radiation
OPPTS - Office of Prevention, Pesticides and Toxic Substances
OW - Office of Water
SECG - Small Entity Compliance Guides

**Table 7: National and Regional Priorities Addressed by
FY 2004 Planned Compliance Assistance Activities ¹**

Two hundred and three (203) activities (49%) address either a national or regional priority. Of these, one hundred six (106) activities (52%) address National MOA or other cross-programmatic priorities, while ninety-seven (97) activities (48%) address Regional MOA Priorities.

National and Regional Priority	Number of Responses	Percentages of Responses (%)
National Priority	106	52
National OECA MOA Priority	41	20
Other Program (OAR, OW, OPPTS, OSWER) MOA Priority	49	24
Other Cross-Programmatic Priority (e.g., children's health, EJ, etc.)	16	8
Regional Priority	97	48
Regional MOA Priority	97	48
Total of National and Regional Priorities	203	100

Source: The Compliance Assistance Planning Database (CAPD) as of October 16, 2003

Total Records: 415

Total Number of Records with a Response: 203 (Response Rate: 49%)

Key:

- EJ - Environmental Justice
- MOA - Memorandum of Agreement
- OAR - Office of Air and Radiation
- OECA - Office of Enforcement and Compliance Assurance
- OPPTS - Office of Prevention, Pesticides and Toxic Substances
- OSWER - Office of Solid Waste and Emergency Response
- OW - Office of Water

¹ In addition, 81 planned CA activities address the National OECA MOA core program.

**Table 8: Types of Measurement Tools Associated with
FY 2004 Planned Compliance Assistance Activities**

EPA Regions and Headquarters offices plan to measure the impact of 315 CA activities planned for FY 2004. The most frequently used measurement tools are workshop surveys and on-site visits. Together these represent 42% of the types of measurement tools to be used in FY 2004.

Measurement Tool	Number of Responses	Percentage of Responses (%)
E-mail Survey	10	3
Mail Survey	8	3
On-site Revisits	26	8
On-site Visit	57	18
Phone Survey	22	7
Planned (Specifics Unknown)	100	32
Pre/post Test	17	5
Workshop Survey	75	24
Total	315	100

Source: The Compliance Assistance Planning Database (CAPD) as of October 16, 2003

Total Records: 415

Total Individual Activity Measures selected (Total Responses): 315¹

Total Number of Records with a Response: 338² (Response Rate: 81%)

Total Number of Records with Multiple Responses³: 69

¹ A hundred and eighteen (118) records indicated "None Planned" in the measurement type field; these responses have neither been included in the total number of individual activity measures selected, nor have they been listed in the above table.

² The total number of records with a response and the total number of records with multiple responses include those measurement types that addressed "None Planned" (118 responses).

³ There are a total of 415 records in the Database. A number of records (69) addressed more than one measurement type, resulting in some double-counting.

Table 9: Recipients of EPA’s Financial Assistance for Compliance Assistance Activities for FY 2004

EPA Regions and Headquarters Offices plan to support a variety of compliance assistance providers in FY 2004. State/state programs are the most frequent recipients, accounting for 49% of all recipients, followed by nonprofit organizations at 24% and academic/universities at 12%.

Recipients of EPA Financed Activities	Number of Responses	Percentage of Responses (%)
Academic/University	8	12
Environmental justice or community groups	2	3
Environmental group	1	1
Federal department or agency	3	4
Industry Trade Association	1	1
Nonprofit Organization	16	24
State/State Program	33	49
Tribal Association or Organization	4	6
Total	68	100

Source: *The Compliance Assistance Planning Database (CAPD) as of October 16, 2003*

Total Records: 415

Total Number of Records with a Response (Total Responses): 68 (Response Rate: 16%)

Total Number of Records with a Response including “Other”¹: 75 (Response Rate: 18%)

¹ “Other” refers to a recipient not listed in the FY 2004 Compliance Assistance Planning Database that was entered by the user.

APPENDIX B

EPA's Planned Compliance Assistance Activities: Data Comparisons from FY 2001 to FY 2004

The U.S. EPA Office of Compliance (OC) within the Office of Enforcement and Compliance Assurance (OECA) has completed four annual compliance assistance activity plans, beginning in FY 2001. Appendix B contains bar charts and tables that compare data selected from four fiscal years (FY 2001 - FY 2004¹), including total activities planned and the proportion of these activities that are Headquarters or Regional in origin.

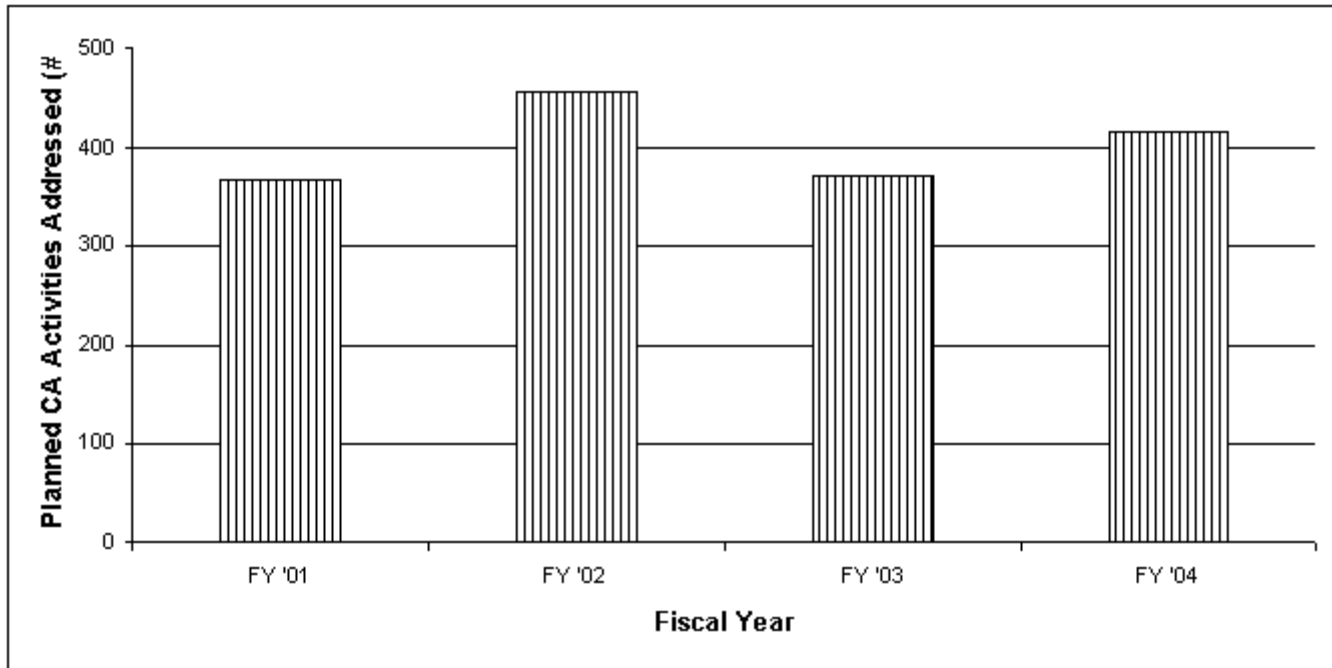
Appendix B also contains analyses comparing data collected on two topics during FY 2003 and FY 2004 only. These topics include support for national and regional priorities, and the measurement tools to be used to assess the impact of planned compliance assistance (CA) activities.

- B-1: Comparison of Total CA Activities Planned, FY 2001 through FY 2004
- B-2: Comparison of CA Activities Planned by EPA Headquarters and Regional Offices, FY 2001 through FY 2004
- B-3: Comparison of Planned CA Activities Supporting National or Regional Priorities for FY 2003 and FY 2004
- B-4: Comparison of Measurement Methods Associated with CA Activities Planned for FY 2003 and FY 2004

¹ The FY 2004 data on planned compliance assistance activities are preliminary and may change depending on the final budget EPA receives from Congress for FY 2004. As of November 17, 2003, EPA has not received its final FY 2004 budget.

B-1: Comparison of Total CA Activities Planned, FY 2001 through FY 2004

The total number of CA activities planned has risen and fallen from FY 2001 to FY 2004, with the highest number (455) reported in FY 2002.



Planned CA Activity	FY '01 ¹	FY '02		FY '03		FY '04		Difference Between FY '03 to FY '04	
	# of Responses	# of Responses	% of Total	# of Responses	% of Total	# of Responses	% of Total	# of Responses	(% change)
New	NA	165	36	106	29	143	34	37	35
Ongoing	NA	290	64	248	67	256	62	8	3
No Response*	NA	0	0	15	4	16	4	1	7
Total Responses	NA	455	100	354	100	399	100	45	13
Total Records	368	455	NA	369	NA	415	NA	46	12

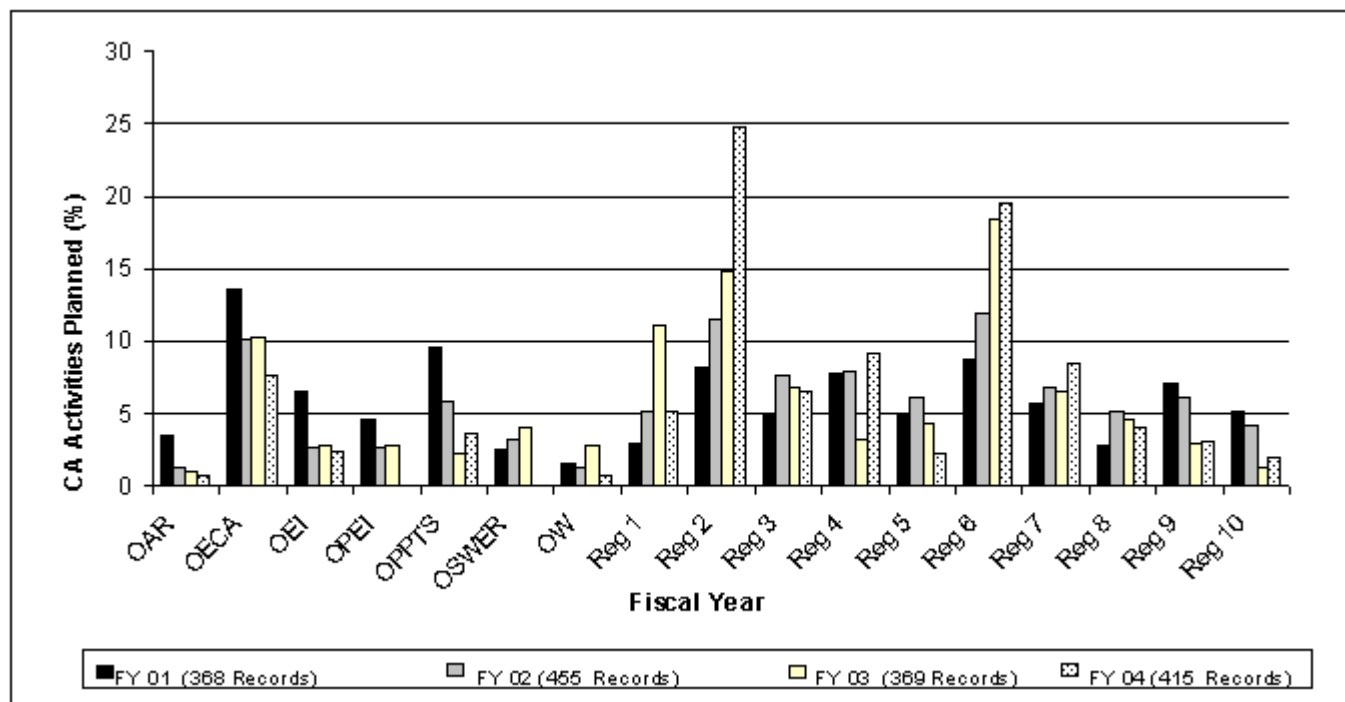
Source: The Compliance Assistance Planning Database (CAPD) as of October 16, 2003

* Not all users responded to this field, i.e., whether the CA planned activity was new or ongoing.

¹ NA = Not Applicable. No data are available for whether the CA activity was new or ongoing for FY 2001.

B-2: Comparison of the CA Activities Planned by EPA Headquarters and Regional Offices, FY 2001 through FY 2004

From FY 2001 to FY 2004 the total activities reported by seventeen EPA offices has risen and fallen significantly. The EPA Headquarters office consistently reporting the largest percentage of planned CA activities has been OECA. Otherwise, the percentage of planned CA activities reported by other EPA Headquarters offices has declined generally from FY 2001 to FY 2004, with two offices – OPEI and OSWER– not reporting any CA activities planned for FY 2004. Two Regions (2 and 6) steadily increased reporting over the four years while reporting from other Regions has fluctuated or declined.

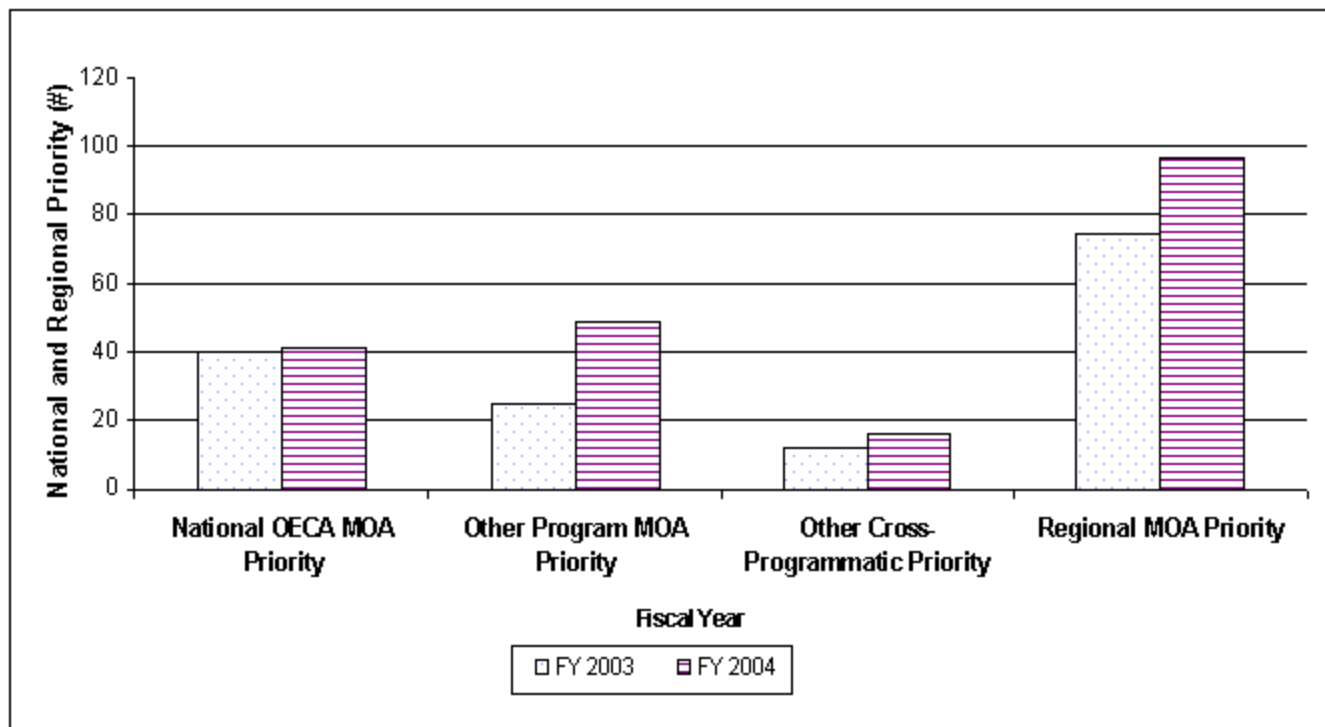


EPA Organization	FY '01		FY '02		FY '03		FY '04	
	# of Responses	% of Total	# of Responses	% of Total	# of Responses	% of Total	# of Responses	% of Total
OAR	13	4	6	1	4	1	3	1
OECA	50	14	46	10	38	10	32	8
OEI	24	7	12	3	10	3	10	2
OPEI	17	5	12	3	10	3	0	0
OPPTS	35	10	27	6	8	2	15	4
OSWER	9	2	15	3	15	4	0	0
OW	6	2	6	1	10	3	3	1
Region 01	11	3	24	5	41	11	21	5
Region 02	30	8	52	11	55	15	103	25
Region 03	18	5	35	8	25	7	27	7
Region 04	29	8	36	8	12	3	38	9
Region 05	18	5	28	6	16	4	9	2
Region 06	32	9	54	12	68	18	81	20
Region 07	21	6	31	7	24	7	35	8
Region 08	10	3	24	5	17	5	17	4
Region 09	26	7	28	6	11	3	13	3
Region 10	19	5	19	4	5	1	8	2
Total	368	100	455	100	369	100	415	100

Source: The Compliance Assistance Planning Database (CAPD) as of October 16, 2003

B-3: Comparison of Planned CA Activities Supporting National or Regional Priorities for FY 2003 and FY 2004

The number of EPA's planned CA activities that support national or regional priorities has increased from 151 activities in FY 2003 to 203 activities in FY 2004, or a 34% increase. Most of this increase is accounted for by increases in activities that support either regional priorities or other program priorities.

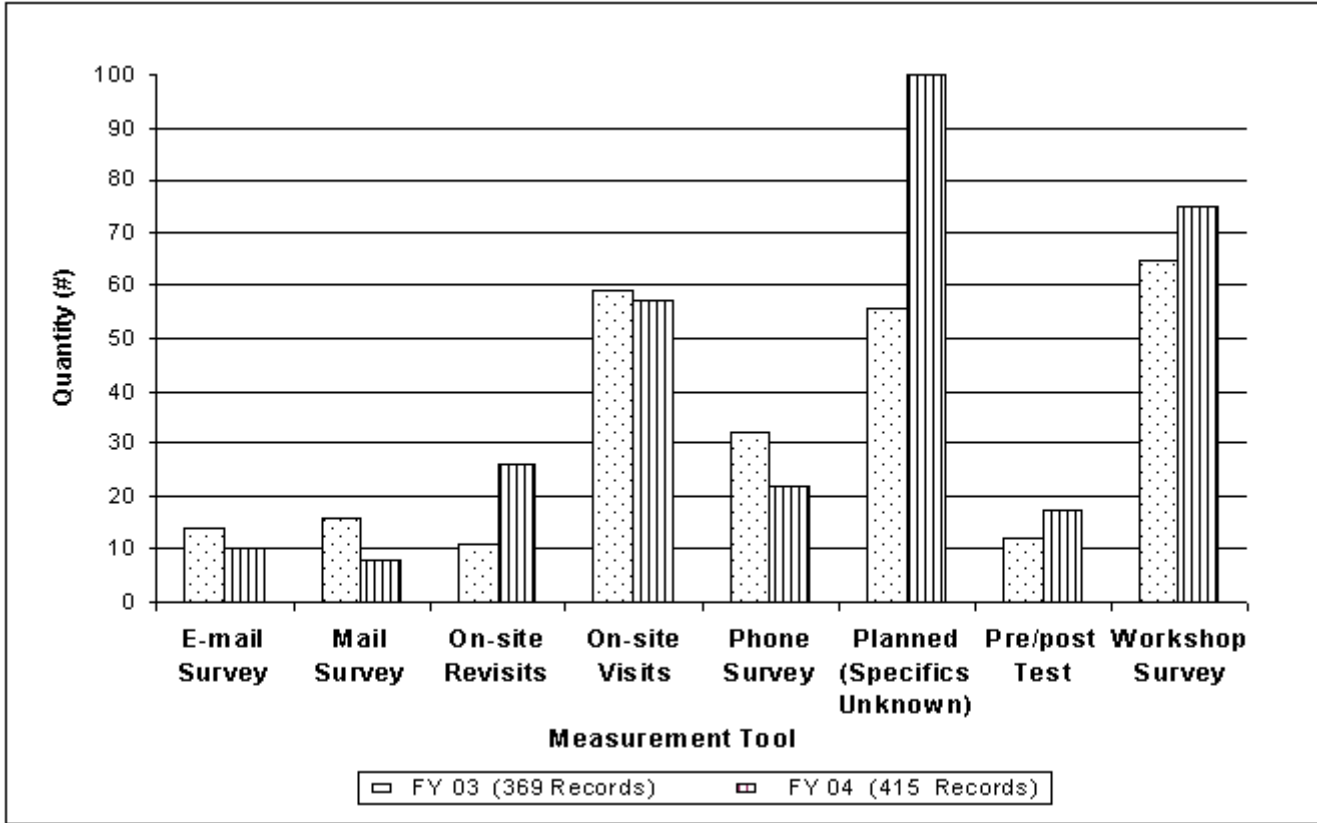


National and Regional Priority	FY '03		FY '04		Difference between FY '03 and FY '04	
	# of Responses	%	# of Responses	%	# of Responses	% change
National Priority	77	51	106	52	+29	+38
National OECA MOA Priority	40	26	41	20	-1	+3
Other Program (OAR, OW, OPPTS, OSWER) MOA Priority	25	17	49	24	+24	+96
Other Cross-Programmatic Priority (e.g., children's health, EJ, etc.)	12	8	16	8	+4	+33
Regional Priority	74	49	97	48	+23	+31
Regional MOA Priority	74	49	97	48	+23	+31
Total of National and Regional Priorities	151	100	203	100	52	34

Source: The Compliance Assistance Planning Database (CAPD) as of October 16, 2003

B-4: Comparison of Measurement Methods Associated with CA Activities Planned for FY 2003 and FY 2004

The number of CA activities for which EPA is planning some type of impact measurement has increased from 265 to 315 activities, a 19% increase from FY 2003 to FY 2004. In both years the most frequently used measurement tools are workshop surveys and on-site visits. The largest increase from FY 2003 to 2004 is the number of activities (56 to 100 activities) where measurement is planned but the type of measurement tool was not specified at the time of data entry.



Measurement Method	FY '03		FY '04		Difference between FY '03 to FY '04	
	# of Responses	%	# of Responses	%	# of Responses	%change
E-mail Survey	14	5	10	3	-4	-29
Mail Survey	16	6	8	3	-8	-50
On-site Revisits	11	4	26	8	+15	+136
On-site Visits	59	22	57	18	-2	-3
Phone Survey	32	12	22	7	-10	-31
Planned (Specifics Unknown)	56	21	100	32	+44	+79
Pre/post Test	12	5	17	5	+5	+42
Workshop Survey	65	25	75	24	+10	+15
Total Responses	265	100	315	100	50	19
Total Records	369	NA	415	NA	46	12

Source: The Compliance Assistance Planning Database (CAPD) as of October 16, 2003