

Metric #	Metric Name	Metric Description	Selection Criteria Description	Metric Type	Permit Universe	Count
1. Data Completeness. Degree to which the Minimum Data Requirements are complete.						
1a1	Number of Active NPDES Majors with Individual Permits	Number of NPDES Majors with Individual Permits	Select and count the total number of NPDES active major facilities with individual permits. In ICIS, an active permit is one whose current permit version has status other than pending, terminated, not needed, or retired. In PCS, an active permit has activity code (IACC) equal to 'A'.	Data Verification	Individual	Facilities
1a2	Number of Active NPDES Majors with General Permits	Number of NPDES Majors with General Permits	Select and count the total number of NPDES active major facilities with general permits.	Data Verification	General	Facilities
1a3	Number of Active NPDES Non-Majors with Individual Permits	Number of NPDES Non-Majors with Individual Permits	Select and count the total number of NPDES active non-major facilities with individual permits.	Data Verification	Individual	Facilities
1a4	Number of Active NPDES Non-Majors with General Permits	Number of NPDES Non-Majors with General Permits	Select and count the total number of NPDES active non-major facilities with general permits.	Data Verification	General	Facilities
1b1	Permit Limits Rate for Major Facilities	Of major facilities with individual permits, the percent with of permit limits present in the national database. The national goal is 95% completion of required information.	Percent of facilities with active major individual permits that have at least one limit entered in PCS or ICIS-NPDES where the period from limit begin to end date (effective dates in PCS) overlaps the fiscal year.	Goal	Individual	Facilities
1b2	DMR Entry Rate for Major Facilities.	DMR entry rate for those major facilities with individual permits present in the national database. The national goal is 95% completion of required information. This DMR entry rate will be expressed as the percentage of expected DMRs that were received during the fiscal year.	Number of received DMRs as a percentage of the total number of expected DMRs, from facilities with active major individual permits.	Goal	Individual	DMRs
1b3	Number of Major Facilities with a Manual Override of RNC/SNC to a Compliant Status	Number of Major facilities with a manual override in PCS/ICIS-NPDES of reportable noncompliance/significant noncompliance (RNC/SNC) of NPDES major facilities from non-compliance to complaint status	Number of active major facilities with one or more RNC status codes manually overridden from non-compliant to compliant status during the year.	Data Verification	All	Facilities
1c1	Permit Limits Rate for Non-Major Facilities	Of non-major facilities with individual permits, the percent with permit limits present in the national database (informational only).	Percent of facilities with active non-major individual permits that have at least one limit entered in PCS or ICIS-NPDES where the period from limit begin to end date (effective dates in PCS) overlaps the fiscal year.	Informational only	Individual	Facilities

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1c2	DMR Entry Rate for Non-Major Facilities.	DMR entry rate for those non-major facilities with individual permits in the national database. This DMR entry rate will be expressed as the percentage of expected DMRs that were received during the fiscal year.	Number of received DMRs as a percentage of the total number of expected DMRs, over all facilities with active non-major individual permits.	Informational only	Individual	DMRs
1e1	Facilities with Informal Actions	Number of facilities with informal enforcement actions in FFY	Number of facilities with informal enforcement actions issued during the FFY. The issuance date is the achieved date in ICIS, or ENDT in PCS. Informal actions are identified in ICIS by activity type code AIF, or in PCS by enforcement action codes other than A1, A5, C1, C2, 21, 22, 25, 71, 72, 75, 89, or 97.	Data Verification	All	Facilities
1e2	Total Number of Informal Actions at CWA NPDES Facilities	Total number of informal enforcement actions issued in FFY	Total number of informal enforcement actions issued during the FFY.	Data Verification	All	Actions
1f1	Facilities with Formal Actions	Number of facilities with formal enforcement actions in FFY	Number of facilities with formal enforcement actions issued during the FFY. Formal actions are identified in ICIS by activity type code AFR or JDC, or in PCS by enforcement action codes A1, A5, C1, C2, 21, 22, 25, 71, 72, 75, 89, and 97.	Data Verification	All	Facilities
1f2	Total Number of Formal Actions at CWA NPDES Facilities	Total number of formal enforcement actions issued in FFY	Total number of formal enforcement actions issued during the FFY.	Data Verification	All	Actions
1g1	Number of Enforcement Actions with Penalties	Number of enforcement actions with penalties. Entry of judicial penalty amounts into PCS or ICIS-NPDES is required. Entry of both judicial and administrative penalties is required where EPA directly implements the Clean Water Act.	Number of formal enforcement actions with final orders entered during FFY with non-zero penalty amounts. Each distinct action (determined by activity_id in ICIS, or ERFN in PCS) is counted only once, even if it addresses multiple facilities.	Data Verification	All	Actions
1g2	Total Penalties Assessed	Total state or Federal penalties. Entry of judicial penalty amounts into PCS or ICIS-NPDES is required. Entry of both judicial and administrative penalties is required where EPA directly implements the Clean Water Act.	Total state penalties for the state metric, or Federal penalties for the EPA metric, from formal actions with final orders entered during FFY. Each distinct penalty (determined by enf_conclusion_id in ICIS, or ERFN in PCS) is counted only once, even if it addresses multiple facilities.	Data Verification	All	Total penalties
1h1	Inspection Count Metrics				Individual + General	
2. Data Accuracy. Degree to which the Minimum Data Requirements are accurate (example correct codes used, dates are correct, etc.).						

Metric #	Metric Name	Metric Description	Selection Criteria Description	Metric Type	Permit Universe	Count
2a1	Number of formal enforcement actions, taken against major facilities, with enforcement violation type codes entered.	Number of formal enforcement actions, taken against major facilities, with enforcement violation type (EVTP in PCS or activity_type_code in ICIS-NPDES) codes entered.	In ICIS-NPDES, count formal actions with non-empty activity_type_code (ADC or JFR) and settlement entered date, settlement lodged date, or complaint filed date in FFY. In PCS, count formal actions with non-empty EVTP and ENDT in FFY.	Data Verification	All	Actions
2b1	Files reviewed where data are accurately reflected in the national data system.	% of files reviewed where data is accurately reflected in the national data system.		File Review		
3. Timeliness of Data Entry. Degree to which the Minimum Data Requirements are timely.						
3a1	Files reviewed where required data is being entered into the national source system in a timely manner.			File Review		
4. Completion of Commitments. Degree to which all enforcement/compliance commitments in relevant agreements (i.e., PPAs, PPGs, categorical grants, CMS plans, authorization agreements, etc.)						
4a1	% of planned inspections completed	% of planned inspections completed		File Review		
4b1	Planned Commitments Completed	Incorporate by reference any independent regional assessment of state performance against commitments for the review year. Where an independent assessment has not previously been performed by the Region, delineate the commitments for the FFY under review and describe what was accomplished. This should include commitments in PPAs, PPGs, grant agreements, MOAs, or other relevant agreements. The commitments should be broken out and identified. The types of commitments to include would be for inspections, pretreatment reviews, DMR entry, compliance data entry, follow-up on SRF recommendations, etc.		File Review		
5. Inspection Coverage. Degree to which state completed the universe of planned inspections/compliance evaluations (addressing core requirements and federal, state and regional priorities.)						

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<p>Note: Under the Compliance Monitoring Strategy, issued in October 2007, states will be operating under state CMSs, beginning 10/1/2009. Data metrics for inspections relating to the additional categories of facilities covered under the CMS have been discussed but not finalized in part due to programming limitations. For review years prior to FFY 2009, states will be evaluated against commitments made in workplans, EnPPA's, or in case of early development of a CMS, the commitments made in their CMS. For review years 2009 and after, the state will be evaluated against their CMS. To the extent that the state has not yet developed a CMS, the goals in the October 2007 CMS will be used to evaluate the state. Until the data metrics have been fully developed, the Regions will rely on data in PCS/ICIS-NPDES, where the metric relies on WENDB data elements, or where the state agrees that the data in the federal databases are complete. Where the data in the federal databases are not complete, the Region will rely on data maintained by the State to perform these evaluations.</p>						
5a1	Inspection Coverage - NPDES Majors	% of NPDES majors with individual or general permits that were inspected during the FFY, excluding stormwater, pretreatment, CAFO, CSO, and SSO inspections.	For the state metrics, count only facilities with state primacy, in the numerator and denominator. For the EPA metrics, count facilities with any primacy (EPA or state). In ICIS-NPDES, count comprehensive audit, biomonitoring, diagnostic, evaluation, sampling, and toxics inspections, having either all non-wet-weather inspection codes (no inspection codes CWACSO, CWASTM, CWACAFO, CWASTMC, CWASTMM, CWASTMN, CWASSO, CWAPRTRT) OR all non-wet-weather inspection priorities (no priority codes starting with WW). In PCS, count inspection types A, B, D, C, S, X. (Per CMS 1.A.1)	Goal metric	Individual + General	Facilities
5b1	Inspection Coverage - NPDES Non-Majors	% of NPDES non-majors with individual permits that were inspected during the FFY, excluding stormwater, pretreatment, CAFO, CSO, and SSO inspections. Under the CMS, the goal is 100% inspection coverage within a five-year period.	For the state metrics, count only facilities with state primacy, in the numerator and denominator. For the EPA metrics, count facilities with any primacy (EPA or state). In ICIS-NPDES, count comprehensive and alternative audit, biomonitoring, diagnostic, evaluation, sampling, toxics, followup, oversight, reconnaissance, and O&M inspections, having either	Goal metric	Individual	Facilities
5b2	Inspection Coverage - NPDES Non-Majors with General Permits	% of NPDES non-majors with general permits that were inspected during the FFY, excluding stormwater, pretreatment, CAFO, CSO, and SSO inspections. Under the CMS, the goal is 100% inspection coverage within a five-year period.	all non-wet-weather inspection codes (no inspection codes CWACSO, CWASTM, CWACAFO, CWASTMC, CWASTMM, CWASTMN, CWASSO, CWAPRTRT) OR all non-wet-weather inspection priorities (no priority codes starting with WW). In PCS, count inspection types A, B, D, C, S, X, R, @, O, Z. (Per CMS 1.B.a)	Goal metric	General	Facilities
<p>6. Quality of Inspection or Compliance Evaluation Reports. Degree to which inspection or compliance evaluation reports properly document observations, are completed in a timely manner, and include accurate description of observations.</p>						

Metric #	Metric Name	Metric Description	Selection Criteria Description	Metric Type	Permit Universe	Count
6a1	Inspection reports reviewed that provide sufficient documentation to determine compliance at the facility.	% of inspection reports reviewed that provide sufficient documentation to lead to an accurate compliance determination.		File Review		
6b1	Inspection reports completed within the prescribed time frame.	% of inspection reports reviewed that are timely.		File Review		
7. Identification of Alleged Violations. Degree to which compliance determinations are accurately made and promptly reported in the national database based upon compliance monitoring report observations and other compliance monitoring information (e.g., facility-reported information).						
7a1	Number of Major Facilities with Single Event Violations	Number of major facilities with one or more single event violations during the fiscal year. This measure assesses whether violations determined by means other than automated discharge-to-limits comparisons are being reported and tracked in PCS/ICIS-NPDES.	Count facilities with SEVs that were entered in the FFY, or continuing SEVs that were unresolved at the beginning of the FFY.	Data Verification	All	Facilities
7a2	Number of Non-Major Facilities with Single Event Violations	Number of major facilities with one or more single event violations during the fiscal year. This measure assesses whether violations determined by means other than DMRs are being reported and tracked in PCS/ICIS-NPDES	Count facilities with SEVs that were entered in the FFY, or continuing SEVs that were unresolved at the beginning of the FFY.	Informational only	All	Facilities
7b1	Compliance schedule violations	Of the permittees with compliance schedule milestones scheduled to be met in the FFY, the number of facilities with unresolved compliance schedule violations as of the end of fiscal year.	Count facilities having compliance schedule milestones due during the FFY, or due prior to the FFY and not received by the start of the FFY; and RNC not resolved before the end of the FFY.	Data Verification	All	Facilities
7c1	Permit schedule violations	Of the permittees with permit schedule milestones scheduled to be met in the FFY, the number of facilities with unresolved permit schedule violations as of the end of fiscal year.	Count facilities having permit schedule milestones due during the FFY, or due prior to the FFY and not received by the start of the FFY; and RNC not resolved before the end of the FFY.	Data Verification	All	Facilities

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7d1	Major Facilities in Noncompliance	Noncompliance rate in database at major facilities (with individual permits) in fiscal year. This includes facilities with either RNC or effluent, single event, compliance schedule, or permit schedule violations during the year.	Percent of active major facilities with individual permits, having either RNC (QNCR codes D,E,N,S,T,V,X), effluent violations (based on the monitoring period end date), new or unresolved SEVs during the FFY, or compliance or permit schedule milestones either due during the FFY or due prior to the start of the FFY and not received by start of the FFY, with RNC not resolved before the end of the FFY.	Informational Only	All	Facilities
	Inspection reports reviewed that led to an accurate compliance determination.	% of inspection reports reviewed that led to accurate compliance determinations.		File Review		
7f1	Non-Major Facilities in Category 1 Noncompliance	This metric reports the number of non-major facilities in category 1 noncompliance (i.e., more serious violations).	Percent of active non-major facilities with category 1 noncompliance, defined as having a QNCR code of D,E,S,T, or X during the FFY.	Data Verification	Individual or Unpermitted	Facilities
7g1	Non-Major Facilities in Category 2 Noncompliance	This metric reports the number of non-major facilities in category 2 noncompliance (i.e., less serious violations).	Percent of active non-major facilities with category 2 noncompliance at any time during the year. Category 2 noncompliance is defined as having a QNCR code of N or V during the year, or an effluent, single event permit schedule, or compliance schedule violation that occurred or was unresolved at any time during year; and NOT being in category 1 noncompliance.	Data Verification	Individual or Unpermitted	Facilities
7h1	Non-Major Facilities in Noncompliance	Noncompliance rate in database at non-major facilities (with individual permits) in fiscal year (informational only). This includes facilities in either category 1 or category 2 noncompliance.	Percent of active non-major facilities with category 1 or 2 noncompliance at any time during the year. Category 1 noncompliance, analogous to SNC for non-majors, is defined as having a QNCR code of D,E,S,T, or X during the year. Category 2 noncompliance is defined as having a QNCR code of N or V during the year, or an effluent, single event, permit schedule, or compliance schedule violation that occurred or was unresolved at any time during year.	Informational only	Individual	Facilities
8. Identification of SNC and HPV. Degree to which the state accurately identifies significant noncompliance/high priority violations and enters information into the national system in a timely manner.						
8a1	Major Facilities in SNC	Number of active major facilities in SNC during the reporting year.	Count active major facilities with an RNC code of D,E,S,T,X during the FFY.	Review indicator metric	All	Facilities
8a2	Percent of Major Facilities in SNC	Percent of active major facilities in SNC during the reporting year	Percent of active major facilities having an RNC code of D,E,S,T,X during the year.	Review indicator metric	All	Facilities
8b1	Percentage of single event violation(s) that are accurately identified as SNC or Non-SNC	Percentage of single event violation(s) that are accurately identified as SNC or Non-SNC		File Review		

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8c1	% of single event violation(s) identified as SNC that are reported timely.	% of single event violation(s) identified as SNC that are reported timely.		File Review		
9. Enforcement Actions Promote Return to Compliance. Degree to which state enforcement actions include required corrective action (i.e., injunctive relief or other complying actions) that will return facilities to compliance in a specific time frame.						
9a1	% of enforcement responses that have returned or will return a source in SNC to compliance.	% of enforcement responses that have returned or will return a source in SNC to compliance.		File Review		
10. Timely and Appropriate Action. Degree to which a state takes timely and appropriate enforcement actions in accordance with policy relating to specific media.						
10a1	Major facilities with Timely Action as Appropriate	% of major facilities with formal enforcement actions within 1 year after consecutive quarters of SNC effluent violations, QNCR DMR non-receipt, or QNCR compliance schedule violations.	See "Metric 10a1 Detail", below.	Goal metric	All	Facilities
10b1	Enforcement responses reviewed that address SNC that are appropriate to the violations.	% of enforcement responses reviewed that address SNC that are appropriate to the violations.		File Review	All	
11. Penalty Calculation Method. Degree to which state documents in its files that initial penalty calculation includes both gravity and economic benefit calculations, appropriately using the BEN model or other method that produces results consistent with national policy.						
11a1	% of penalty calculations that consider and include where appropriate gravity and economic benefit.	% of penalty calculations that consider and include where appropriate gravity and economic benefit.		File Review		
12. Final Penalty Assessment and Collection. Degree to which differences between initial and final penalty are documented in the file along with a demonstration in the file that the final penalty was collected.						
12a1	Document the rationale for the initial and final assessed penalty that was collected.	% of penalties reviewed that document the difference and rationale between the initial and final assessed penalty.		File Review		
12b1	Penalties collected	Percent of enforcement actions with penalties that document collection of the penalty		File Review		
Metric 10a1 Detail						
For each given year, the denominator of metric 10a1 counts all facilities that met one or more of the following EMS criteria during that year:						
(A1a) SNC effluent violation in 2 consecutive quarters, same pipe, same parameter; and QNCR for SNC effluent violation in 2 consecutive quarters;						
OR (A1b) SNC effluent violation in 3 consecutive quarters, same pipe, same parameter;						

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	OR (A2a)	QNCR for DMR non-receipt in 2 consecutive quarters;				
	OR (A2b)	QNCR compliance schedule violations in 2 consecutive quarters, and an open compliance schedule violation at any time during FY.				
The numerator counts all facilities that are in the denominator, and that have been addressed by formal enforcement at any time during that year or the following year.						
The EMS criteria listed above are closely related to criteria A1 and A2 of the Watch List. The difference is that the Watch List excludes facilities that have received timely enforcement from criteria A1a, A1b, and A2a, while metric 10a1 leaves all such facilities in the denominator, and counts separately in the numerator which ones have received timely enforcement.						