

Cross Walk Between the Proposed Revised Elements and the Original Elements (Proposed Final - 3/5/08)			
Proposed Re-ordered and Revised Elements		Original Elements	
1(12)	Data Completeness. Degree to which the Minimum Data Requirements are complete. ¹	1	Degree to which state program has completed the universe of planned inspections/compliance evaluations (addressing core requirements and federal, state and regional priorities).
2(11)	Data Accuracy. Degree to which the Minimum Data Requirements are accurate (example, correct codes used, dates are correct, etc.).	2	Degree to which inspection reports and compliance reviews document inspection findings, including accurate description of what was observed to sufficiently identify violations.
3(10)	Timeliness of Data Entry. Degree to which the Minimum Data Requirements are timely. ²	3	Degree to which Compliance Monitoring Reports are completed in a timely manner, including timely identification of violations.
4(9)	Completion of Commitments. Degree to which all enforcement/compliance commitments in relevant agreements (i.e., PPAs, PPGs, categorical grants, CMS plans, authorization agreements, etc.) are met and any products or projects are completed.	4	Degree to which significant violations (e.g., significant noncompliance and high priority violations) and supporting information are accurately identified and reported to EPA national databases in a timely manner.
5(1)	Inspection Coverage. Degree to which state completed the universe of planned inspections/compliance evaluations (addressing core requirements and federal, state and regional priorities).	5	Degree to which state enforcement actions include required corrective or complying actions (injunctive relief) that will return facilities to compliance in a specific time frame.
6(2&3)	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. ³	6	Degree to which a state takes timely and appropriate enforcement actions in accordance with policy relating to specific media.
7(2&3)	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). ⁴	7	Degree to which a state includes both gravity and economic benefit calculations for all penalties, appropriately using the BEN model or similar state model (where in use and consistent with national policy).
8(4)	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.	8	The degree to which penalties in final enforcement actions include economic benefit and gravity in accordance with applicable penalty policies.
9(5)	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.	9	Degree to which enforcement commitments in the PPA/PPG/categorical grants (SEAs), written agreements to deliver a product/project at a specified time are met and any products or projects are completed.
10(6)	Timely and Appropriate Action. Degree to which a state takes timely and appropriate enforcement actions in accordance with policy relating to specific media.	10	Degree to which the Minimum Data Requirements are timely.
11(7)	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.	11	Degree to which the Minimum Data Requirements are accurate.
12(8)	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. ⁵	12	Degree to which the Minimum Data Requirements are complete.
13	Optional element can include compliance assistance, pollution prevention, innovation, self-disclosure programs, outcome measures, etc. to educate EPA about the scope of a state's program; or can be used to request recognition or resource flexibility credit when a state runs a satisfactory program.	13	Optional evaluation element could include program areas such as compliance assistance, pollution prevention, innovation, incentive or self-disclosure programs, outcome measures, environmental indicators, relationships with state Attorneys General or other legal offices, etc.

¹ The focus of Element 1 is on the review of minimum required data fields. Other information beyond minimum data requirements is necessary to complete the SRF review (e.g., CWA penalty data). To the extent that the data flow from the state for non-required data supports the SRF review, the use of voluntarily-reported data can make the SRF process more efficient (e.g., Region does not need to request additional information from the state). EPA will not require additional data entry for data elements that are not required to be entered.

² Starting with the 2008 reviews, timeliness measures can be primarily achieved through the use of "frozen" end-of-year data sets that can be compared against data current as of the month of the review, supplemented by file reviews.

³ Compliance Monitoring Reports include an accurate description of the facility and its operations, the regulations that apply to the facility, and observations made regarding compliance with regulations. SRF documentation will provide citations to relevant guidance documents. Documents on EPA web site are at: <http://www.epa.gov/compliance/resources/policies/civil/>.

⁴ Compliance determinations are normally made after supervisory review of the compliance monitoring observations, and are tracked in national databases as "alleged violations," and/or "noncompliance status." An alleged violation in the database is not necessarily a SNC or HPV. EPA uses the terminology "alleged violation" because the agency's compliance determination is not a finding of legal fact.

⁵ "Final penalty" is called "assessed penalty" in some programs.