

ID #	Name	Type	Goal	What it measures
ELEMENT 1 - DATA				
1b5	Permit limit data entry rate for major and non-major facilities	Data, Goal	≥95%	Percentage of active individually permitted DMR filers that have permit limits present in the national database. Permit limits are the maximum amount of a pollutant that the facility may release according to its permit. Numerator: Number of active individually permitted DMR filers that have permit limits present in ICIS. Denominator: Number of active individually permitted DMR filers.
1b6	Discharge monitoring report (DMR) data entry rate for major and non-major facilities.	Data, Goal	≥95%	Percentage of expected DMRs that were received during the fiscal year from all active individually permitted DMR filers. Discharge monitoring reports contain information on the amount of each pollutant released under the facility’s permit. Numerator: Number of received DMRs during the fiscal year from all active individual DMR filers. Denominator: Number of expected DMRs during the fiscal year from all active individually permitted DMR filers.
2b	Files reviewed where data are accurately reflected in the national data system	File, Goal	100%	Percentage of files reviewed where mandatory data are accurately reflected in the national data system. Numerator = number of files that accurately reflect mandatory data, denominator = number of files reviewed.
ELEMENT 2 - INSPECTIONS				
4a1	Number of pretreatment compliance inspections and audits at approved local pretreatment programs	CMS	100% of state CMS plan commitment	Target: EPA’s CMS goal is two pretreatment compliance inspections that include ≥ 2 oversight inspections of industrial users (IUs) and one audit at each approved local pretreatment program within five years. Reviewers should compare the number of state inspections to the commitment in the state specific CMS Plan for the review year, or against the goal in the NPDES CMS policy if there is no state specific CMS plan for pretreatment facilities.
4a2	EPA or state Significant Industrial User inspections for SIUs discharging to non-authorized POTWs	CMS	100% of state CMS plan commitment	Target: EPA’s CMS goal is one sampling inspection at each SIU annually. Reviewers should compare the number of state inspections to the commitment in the state specific CMS Plan for the review year, or against the goal in the NPDES CMS policy if there is no state specific CMS plan for SIU facilities.
4a4	Number of CSO inspections	CMS	100% of state CMS plan commitment	Target: EPA’s CMS goal is one inspection of each major and non-major CSO every five years for states with combined sewer systems. Reviewers should compare the number of state inspections to the commitment in the state specific CMS Plan for the review year, or against the goal in the NPDES CMS policy if there is no state specific CMS plan for CSO facilities.
4a5	Number of SSO inspections	CMS	100% of state CMS plan commitment	Target: EPA’s CMS goal is to inspect 5% of the universe of permitted POTWs with SSS annually. Reviewers should compare the number of state inspections to the commitment in the state specific CMS Plan for the review year, or against the goal in the NPDES CMS policy if there is no state specific CMS plan for SSO facilities.

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4a7	Number of Phase I and II MS4 audits or inspections	CMS	100% of state CMS plan commitment	<p>Target: The EPA’s CMS goal is one audit, on-site inspection, or off-site desk audit* of each Phase I & II MS4 every five years and one inspection or on-site audit of each Phase I & II MS4 every seven years. Reviewers should compare the number of state inspections to the commitment in the state specific CMS Plan for the review year, or against the goal in the NPDES CMS policy if there is no state specific CMS plan for Phase I and II MS4 facilities. ** Off-site desk audits include but are not limited to review of facility reports and records, review of agency-gathered testing, sampling and ambient monitoring data, evaluation of responses to CWA section 308 information requests, review of compliance deliverables submitted pursuant to permits or enforcement actions, and analysis of aerial or satellite images. An off-site desk audit conducted pursuant to a CMS plan will include the appropriate combination of these activities to allow the region or the state to make a facility-level or program level compliance determination. In order for an off-site desk audit or focused inspection to count toward CMS implementation for the results in this table, the region or state must report the activity into ICIS-NPDES (either through direct data entry or via the CDX National Environmental Information Exchange Network). See Part 3 of the CWA NPDES CMS for additional details on focused inspections and off-site desk audits.</p>
4a8	Number of industrial stormwater inspections	CMS	100% of state CMS plan commitment	<p>Target: EPA’s CMS goal is 10% of the state universe each year. (includes inspections of unpermitted facilities and those with and without "no exposure certification.") Reviewers should compare the number of state inspections to the commitment in the state specific CMS Plan, or against the goal in the NPDES CMS policy if there is no state specific CMS plan for industrial stormwater facilities.</p>
4a9	Number of Phase I and Phase II construction stormwater inspections	CMS	100% of state CMS plan commitment	<p>Target: EPA’s CMS goal is 10% of the state Phase I and II universe each year including inspections of unpermitted sites. Reviewers should compare the number of state inspections to the commitment in the state specific CMS Plan, or against the goal in the NPDES CMS policy if there is no state specific CMS plan for Phase I and II construction stormwater facilities.</p>
4a10	Number of comprehensive inspections of large and medium NPDES permitted concentrated animal feeding operations (CAFOs).	CMS	100% of state CMS plan commitment	<p>Target: EPA’s CMS goal is one comprehensive inspection of each large and medium NPDES-permitted CAFOs every five years. Reviewers should compare the number of state inspections to the commitment in the state specific CMS Plan, or against the goal in the NPDES CMS policy if there is no state specific CMS plan for large and medium CAFO facilities.</p>

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4a11	Number of sludge/biosolids inspections at each major POTW.	CMS	100% of state CMS plan commitment	<p>Target: EPA’s CMS goal is one inspection every 5 years for each major POTW in a state with biosolids program authorization. Biosolids use and disposal operations, including incineration and surface application, should receive at least one sludge/biosolids inspection every 5 years. *States may substitute an off-site desk audit for sludge/biosolids generation, use, and disposal sites that meet the following criteria: (1) are not currently subject to enforcement actions or compliance schedules that are the result of concluded enforcement actions; (2) have not been reported in Significant Noncompliance (SNC) within the previous four quarters; (3) have no unresolved single event violation(s) identified in prior inspection(s); (4) do not discharge to CWA section 303(d) listed waters for pollutant(s) contributing to the listing; and (5) have no known potential to impact drinking water supplies. A CMS plan that utilizes this approach for conducting off-site desk audits in lieu of sludge/biosolids inspections is still considered a traditional CMS plan. In states where EPA is the permitting authority for biosolids, compliance monitoring activities for biosolids facilities will be conducted in accordance with plans and protocols established by the EPA Biosolids Center for Excellence.</p>
5a1	Percentage of NPDES major facilities with individual or general permits inspected	Data, Goal	100% of state CMS plan commitment	<p>Percentage of active NPDES major facilities with individual or general permits inspected. Numerator = the number of major NPDES facilities with individual or general permits inspected; Denominator = the number of major NPDES facilities with individual or general permits scheduled for inspection in the state specific CMS Plan for the review year. Reviewers are to compare the number of state inspections of major NPDES facilities listed in the data metric analysis to the commitment in the state specific CMS Plan for the review year; the denominator that automatically populates in the data metric analysis for Metric 5a1 is not likely to reflect the state’s annual inspection commitment that varies from year to year. The denominator for this metric is the state’s inspection commitment listed in the state specific CMS plan for the review year. It is also helpful to examine state end of year reports on inspection results to assess inspection coverage and to determine whether all inspections are reported in the ICIS database.</p>

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5b	Percentage of NPDES non-major individual and general permitted facilities inspected	Data, Goal	100% of state CMS plan commitment	The percentage of active NPDES non-major individual and general permittees inspected in review year. The numerator = the number of non-major individual and general permittees inspected; the denominator = the number of non-major individual and general permittees scheduled for inspection in the state specific CMS Plan for the review year. Reviewers are to compare the number of state inspections of non-major permitted NPDES facilities against the commitment in the state specific CMS Plan for the review year; the denominator that automatically populates in the data metric analysis for Metric 5b is not likely to reflect the state’s annual inspection commitment that varies from year to year. The denominator for this metric is the state’s inspection commitment listed in the state specific CMS plan for the review year. It is also helpful to examine state end of year reports on inspection results to assess inspection coverage and to determine whether all inspections are reported in the ICIS database.
6a	Inspection reports complete and sufficient to assess permit requirements at the facility and document inspector observations.	File, Goal	100%	Percentage of inspection reports reviewed that provide sufficient documentation to support the review of all permit requirements and inspector observations for the facility. This metric describes the quality of inspection reports. Numerator = number of inspection reports with sufficient documentation of permit requirements and inspector observations; denominator = total number of inspection reports reviewed. There is no need to review prior year inspection reports under metric 6a unless fewer than 5 inspections occur in the review year.
6b	Timeliness of inspection report completion	File, Goal	100%	Percentage of inspection reports reviewed that are timely. Numerator = number of inspection reports completed within recommended timeframe; Denominator = total number of inspection reports reviewed.
ELEMENT 3 - VIOLATIONS				
7e	Accuracy of compliance determinations	File, Goal	100%	Percentage of files reviewed with sufficient documentation leading to an accurate compliance determination. Numerator = number of files containing inspection reports reviewed with sufficient documentation leading to an accurate compliance determination; Denominator = total number of inspection reports reviewed.
7j1	Number of major and non-major NPDES facilities with new single-event violations reported that began in the review year	Review Indicator	N/A	Assesses whether new single-event violations (SEVs) determined by means other than automated discharge-to-limits comparisons are reported and tracked in ICIS-NPDES that began in the review year. This metric is limited to SEVs that start within the federal fiscal year reviewed under SRF; SEVs that begin in prior years and continue in the review year are not reported under this metric.
7k1	Active major and non-major facilities in noncompliance	Review Indicator	N/A	The percentage of major and non-major facilities with violations reported to the national database. Violations factored into metric 7k1 include SNC Category I, RNC Category II, effluent, DMR reporting, single event, compliance schedule, or permit schedule violations for non-compliance codes D, E, N, S, T, X, and V.

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8a3	Percentage of active major facilities in SNC and non-major individual permit facilities in Category I noncompliance during the fiscal year	Review Indicator	N/A	Percentage of active major and non-major individual permit NPDES facilities in significant non-compliance or Category I noncompliance during the review year. Numerator = the number of active major facilities in SNC and the number of non-major individual permit facilities in Category I noncompliance during review year; Denominator = total number of active major and non-major facilities that are either active or have SNC or Category I violations.
8a4	Percentage of active non-major general permit facilities in Category I noncompliance during the reporting year	Review Indicator	N/A	Percentage of active non-major general permit NPDES facilities in Category I noncompliance during the review year. Numerator = the number of active non-major general permit facilities in Category I noncompliance during review year; Denominator = total number of active non-major general permit facilities that are active or have Category I violations.
ELEMENT 4 - ENFORCEMENT				
9a	Percentage of enforcement responses that returned, or will return, a source in violation to compliance	File, Goal	100%	Percentage of enforcement responses in reviewed files that returned, or will return, a source in violation to compliance. Reviewers should evaluate all enforcement responses found in selected files regardless of the type of violation. The violations addressed by reviewed enforcement responses may be SNC or non-SNC violations. Numerator = number of enforcement responses that returned or will return the source to compliance; Denominator = total number of enforcement responses in reviewed files.
10a1	Percentage of major individually permitted NPDES facilities with formal enforcement action taken in a timely manner in response to late DMR SNC violations	Review Indicator	N/A	The percentage of major individually permitted NPDES facilities with late DMR SNC violations in two consecutive quarters of the review year that have formal enforcement taken within 2 quarters of the first violation. Numerator = the number of major NPDES facilities in the denominator having formal enforcement action within 2 quarters of the first late DMR SNC violation reported. Denominator = the number of major individually permitted facilities with two or more consecutive quarters of SNC late DMR violations
10a2	Percentage of major individually permitted NPDES facilities with formal enforcement action taken in a timely manner in response to missing DMR SNC violations	Review Indicator	N/A	The percentage of major individually permitted NPDES facilities with missing DMR violations in 2 consecutive quarters of the review year that have formal enforcement taken within 2 quarters of the first violation. Numerator = the number of major NPDES facilities in the denominator having formal enforcement action within 2 quarters of the first missing DMR SNC violation. Denominator = the number of major facilities with two or more consecutive quarters of missing DMR SNC violations

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10a3	Percentage of major individually permitted NPDES facilities with formal enforcement action taken in a timely manner in response to SNC effluent violations	Review Indicator	N/A	The percentage of major individually permitted NPDES facilities in SNC for effluent violations at the same permitted feature and parameter in 2 consecutive quarters of the review year that have formal enforcement taken within 2 quarters of the first DMR SNC effluent violation reported. Numerator = the number of major NPDES facilities in the denominator having formal enforcement action within 2 quarters of the first DMR SNC effluent violation. Denominator = the number of major individually permitted NPDES facilities with two or more consecutive quarters of SNC effluent violations at the same permitted feature and parameter.
10a4	Percentage of major individually permitted NPDES facilities with formal enforcement action taken in a timely manner in response to SNC compliance schedule violations	Review Indicator	N/A	The percentage of major individually permitted NPDES facilities with SNC compliance schedule violations in 2 consecutive quarters of the review year that have formal enforcement taken within 2 quarters of the of the first violation reported. Numerator = the number of major NPDES facilities in the denominator having formal enforcement action within 2 quarters of the first SNC compliance schedule violation reported. Denominator = the number of major individually permitted facilities with two or more consecutive quarters of SNC compliance schedule violations
10b	Enforcement responses reviewed that address violations in a timely and appropriate manner	File, Goal	100%	The percentage of enforcement actions taken in an appropriate and timely manner. Numerator = the number of appropriate enforcement responses in reviewed files taken to address violations; Denominator = the number actions identified by the reviewer including files with no enforcement that contain violations warranting an enforcement response. It is helpful to review prior year inspection reports associated with an enforcement action that takes place in the review year to evaluate the timeliness of enforcement in response to violations found during inspections.
ELEMENT 5 - PENALTIES				
11a	Penalty calculations reviewed that document and include gravity and economic benefit	File, Goal	100%	Percentage of penalty calculations reviewed that document and include, where appropriate, gravity and economic benefit. Numerator = the number of penalties reviewed where the penalty was appropriately calculated and documented; Denominator = the total number of penalties reviewed. Note: draft penalties that are not final are not within the scope of this metric and no response is required for metric 11a as the values listed for economic benefit and/or gravity in draft penalty calculations are subject to change.

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12a	Documentation of rationale for difference between initial penalty calculation and final penalty	File, Goal	100%	Percentage of penalties reviewed that document the rationale for the final value assessed when it is lower than the initial calculated value. Numerator = number of penalties reviewed that document the rationale for the final value assessed compared to the initial value calculated; Denominator = number of penalties reviewed where final value assessed is lower than initial value calculated. Note: draft penalties that are not final are not within the scope of this metric and no response is required for metric 12a as the values listed for economic benefit and/or gravity in draft penalty calculations are subject to change.
12b	Penalties collected	File, Goal	100%	Percentage of penalty files reviewed that document collection of penalty. Numerator = the number of penalties with documentation of collection or documentation of measures to collect a delinquent penalty; Denominator = the number of penalties reviewed for which penalty payment was due by the time of the review. Note: draft penalties that are not final are not within the scope of this metric and no response is required for metric 12b as such penalties have not been finalized and collected.