RCRA SRF Metrics, Round 4

ID #	Name	Type	Goal	What it measures
ELEMENT 1 - DATA				
2b	Complete and Accurate entry of mandatory data	File, Goal	100%	Percentage of files reviewed where mandatory data are accurately reflected in the national data system. The numerator = number of files reviewed that accurately reflect mandatory data, denominator = number of files reviewed.
ELEMENT 2 - INSPECTIONS				
5a	Two-year inspection coverage of operating TSDFs	Data, Goal	100% of commitment	Of those operating at the time of the data freeze, the percentage of the treatment, storage, and disposal facility (TSDF) universe that had a CEI inspection during the two-year period of review. The numerator = number of TSDFs operating at the time of the data freeze that had a CEI inspection during the two-year period of review; denominator = number of operating TSDFs at the time of the data freeze.
5b	Annual inspection coverage of LQGs using BR universe (choose either 5b or 5b1)	Data, Goal	100% of commitment	The percentage of the Biennial Report (BR) large quantity generator (LQG) universe that had a compliance evaluation inspection (CEI) during the year reviewed. The numerator = number of LQGs in the BR universe that had a CEI during the year reviewed; denominator = number of LQGs in the BR universe.
5b1	Annual inspection coverage of LQGs using RCRAInfo universe (choose either 5b or 5b1)	Data, Goal	100% of commitment (if applicable)	The percentage of the RCRAInfo active large quantity generator (LQG) universe that had a compliance evaluation inspection (CEI) during the year reviewed. The numerator = number of active LQGs inRCRAInfo that had a CEI during the year reviewed; denominator = number of active LQGs in RCRAInfo.
5d	One-year count of SQGs with inspections	Alternative CMS	100% of commitment (if applicable)	**Only required when evaluating agencies with alternative CMS plans for inspection coverage. Optional otherwise.** The number of small quantity generators (SQGs) that had an inspection during the one-year review period.
5e5	One-year count of very small quantity generators (VSQGs) with inspections	Alternative CMS	100% of commitment (if applicable)	**Only required when evaluating agencies with alternative CMS plans for inspection coverage. Optional otherwise.** Number of inspections in the last year for VSQGs
5e6	One-year count of transporters with inspections	Alternative CMS	100% of commitment (if applicable)	**Only required when evaluating agencies with alternative CMS plans for one year count. Optional otherwise.** Number of inspections in the last year for transporters
5e7	One-year count of sites not covered by metrics 5a through 5e6 with inspections	Alternative CMS	100% of commitment (if applicable)	**Only required when evaluating agencies with alternative CMS plans for inspection coverage. Optional otherwise.** Number of inspections in the review year for sites not covered by metrics 5a through 5e6. Merged previous 5e3 for non-notifiers by adding drop down to select option for non-notifiers yes/no

6a	Inspection reports complete and sufficient to determine compliance	File, Goal	100%	The percentage of on-site inspection reports reviewed that are complete and provide sufficient documentation to determine compliance. The numerator = number of inspection reports reviewed with complete and sufficient documentation; denominator = number of inspection reports reviewed.
6b	Timeliness of inspection report completion	File, Goal	100%	Percentage of inspection reports reviewed that are completed in a timely manner per the standards described below (numerator = number of inspection reports reviewed that were completed in a timely manner; denominator = number of inspection reports reviewed).
ELEMENT 3 - VIOLATIONS				
2a	Long-standing secondary violators	Review Indicator	N/A	The number of sites with violations open for more than 240 days that have not returned to compliance or have not been designated as being significant noncomplier (SNC).
7a	Accurate compliance determinations	File, Goal	100%	Percentage of inspection reports reviewed that led to accurate compliance determinations. The numerator = number of inspection reports reviewed that led to accurate compliance determinations; denominator = number of inspection reports reviewed.
7b	Violations found during CEI or FCI inspections	Review Indicator	N/A	The percentage of sites with a CEI or FCI inspection during the year reviewed in which one or more violations was found. The numerator = number of sites with a CEI or FCI in which one or more violations was found, denominator = number of sites with a CEI or FCI.
8a	SNC identification rate (for FCIs and CEIs)	Review Indicator	N/A	The percentage of sites with a year-reviewed and previous-year CEI or FCI inspection that received a significant noncomplier (SNC) designation. The numerator = number of sites with a CEI or FCI that received an SNC designation during the year reviewed; denominator = number of sites with a CEI or FCI inspection in the year reviewed and previous year.
8b	Timeliness of SNC determinations	Data, Goal	100%	The percentage of significant noncomplier (SNC) determinations made within 150 days of the first day of the inspection (Day Zero). The numerator = number of SNC determinations made within 150 days of Day Zero; denominator = number of SNC determinations.
8c	Appropriate SNC determinations	File, Goal	100%	Percentage of files reviewed in which significant noncompliance (SNC) status was appropriately determined during the year reviewed. The numerator = number of facilities reviewed with violations correctly determined to be SNC or secondary violation; denominator = number of facilities with violations reviewed.
ELEMENT 4 - ENFORCEMENT				

9a	Enforcement that returns sites to compliance	File, Goal	100%	Percentage of enforcement responses that have returned or will return sites in significant noncompliance (SNC) or secondary violation (SV) to compliance. The numerator = number of enforcement responses reviewed for SNC and SV that document that the site is in compliance or is on schedule to return to compliance; denominator = number of enforcement responses against SNC and SV reviewed.
10a	Timely enforcement taken to address SNC	Data, Goal	80%	The percentage of year-reviewed and previous-year significant noncomplier (SNC) designations addressed with a formal enforcement action or referral during the year reviewed and within 360 days of Day Zero. The numerator = year-reviewed and previous-year SNCs that were addressed by a formal enforcement action in the year reviewed and within 360 days of Day Zero; denominator = year-reviewed and previous-year SNCs addressed by a formal enforcement action in the year reviewed.
10b	Appropriate enforcement taken to address violations	File, Goal	100%	The percentage of files with enforcement responses that are appropriate to the violations. The numerator = number of enforcement responses reviewed that are appropriate to the violations; denominator = number of facilities reviewed with significant noncompliance (SNC) or secondary violation (SV). The denominator should include all violations regardless of whether the agency accurately identifies the violation.
ELEMENT 5 - PENALTIES				
11a	Gravity and economic benefit	File, Goal	100%	Percentage of penalty calculations reviewed that document, where appropriate, gravity and economic benefit. The numerator = number of penalties reviewed where the penalty was appropriately calculated and documented; denominator = the number of penalties reviewed.
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. The numerator = number of penalties reviewed that document the rationale for the final value assessed compared to the initial calculated value; denominator = number of penalties reviewed where final value assessed is lower than initial calculated value.
12b	Penalty collection	File, Goal	100%	Percentage of enforcement files reviewed that document collection of penalty. The numerator = number of penalties reviewed with documentation of collection or measures to collect a delinquent penalty; denominator = number of penalties reviewed.

ID #	Name	Type	Goal	What it measures
			ELEMENT 2 - INSPECTIONS	
5a	Two-year inspection coverage of operating TSDFs	Data, Goal	100% of commitment	Of those operating at the time of the data freeze, the percentage of the treatment, storage, and disposal facility (TSDF) universe that had a CEI inspection during the two-year period of review. The numerator = number of TSDFs operating at the time of the data freeze that had a CEI inspection during the two-year period of review; denominator = number of operating TSDFs at the time of the data freeze.
5b	Annual inspection coverage of LQGs using BR universe (choose either 5b or 5b1)	Data, Goal	100% of commitment	The percentage of the Biennial Report (BR) large quantity generator (LQG) universe that had a compliance evaluation inspection (CEI) during the year reviewed. The numerator = number of LQGs in the BR universe that had a CEI during the year reviewed; denominator = number of LQGs in the BR universe.
5b1	Annual inspection coverage of LQGs using RCRAInfo universe (choose either 5b or 5b1)	Data, Goal	100% of commitment (if applicable)	The percentage of the RCRAInfo active large quantity generator (LQG) universe that had a compliance evaluation inspection (CEI) during the year reviewed. The numerator = number of active LQGs inRCRAInfo that had a CEI during the year reviewed; denominator = number of active LQGs in RCRAInfo.
5d	One-year count of SQGs with inspections	Alternative CMS	100% of commitment (if applicable)	**Only required when evaluating agencies with alternative CMS plans for inspection coverage. Optional otherwise.** The number of small quantity generators (SQGs) that had an inspection during the one-year review period.
5e5	One-year count of very small quantity generators (VSQGs) with inspections	Alternative CMS	100% of commitment (if applicable)	**Only required when evaluating agencies with alternative CMS plans for inspection count. Optional otherwise.** Number of inspections in the last one year for VSQGs
5e6	One-year count of transporters with inspections	Alternative CMS	100% of commitment (if applicable)	**Only required when evaluating agencies with alternative CMS plans for inspection coverage. Optional otherwise.** Number of inspections in the last one year for transporters

5e7	One-year count of sites not covered by metrics 5a through 5e6 with inspections	Alternative CMS	100% of commitment (if applicable)	**Only required when evaluating agencies with alternative CMS plans for inspection coverage. Optional otherwise.** Number of inspections in the review year for sites not covered by metrics 5a through 5e6. Merged previous 5e3 for non-notifiers by adding drop down to select option for non-notifiers yes/no
ELEMENT 3 - VIOLATIONS				
2a	Long-standing secondary violators	Review Indicator	N/A	The number of sites with violations open for more than 240 days that have not returned to compliance or have not been designated as being significant noncomplier (SNC).
7b	Violations found during inspections using FCIs and CEIs	Review Indicator	N/A	The percentage of sites with a CEI or FCI inspection during the year reviewed in which one or more violations was found. The numerator = number of sites with a CEI or FCI in which one or more violations was found, denominator = number of sites with a CEI or FCI.
8a	SNC identification rate using FCIs and CEIs	Review Indicator	N/A	The percentage of sites with a year-reviewed and previous-year CEI or FCI inspection that received a significant noncomplier (SNC) designation. The numerator = number of sites with a CEI or FCI that received an SNC designation during the year reviewed; denominator = number of sites with a CEI or FCI inspection in the year reviewed and previous year.
8b	Timeliness of SNC determinations	Data, Goal	100%	The percentage of significant noncompliance (SNC) determinations made within 150 days of the first day of the inspection (Day Zero). The numerator = number of SNC determinations made within 150 days of Day Zero; denominator = number of SNC determinations.
ELEMENT 4 - ENFORCEMENT				
10a	Timely enforcement taken to address SNC	Data, Goal	80%	The percentage of year-reviewed and previous-year significant noncomplier (SNC) designations addressed with a formal enforcement action or referral during the year reviewed and within 360 days of Day Zero. The numerator = year-reviewed and previous-year SNCs that were addressed by a formal enforcement action in the year reviewed and within 360 days of Day Zero; denominator = year-reviewed and previous-year SNCs addressed by a formal enforcement action in the year reviewed.

SRF RCRA File Metrics, Round 3

ID #	Name	Type	Goal	What it measures
				ELEMENT 1 - DATA
2b	Complete and Accurate entry of mandatory data	File, Goal	100%	Percentage of files reviewed where mandatory data are accurately reflected in the national data system. The numerator = number of files reviewed that accurately reflect mandatory data, denominator = number of files reviewed.
				ELEMENT 2 - INSPECTIONS
6a	Inspection reports complete and sufficient to determine compliance	File, Goal	100%	The percentage of on-site inspection reports reviewed that are complete and provide sufficient documentation to determine compliance. The numerator = number of inspection reports reviewed with complete and sufficient documentation; denominator = number of inspection reports reviewed.
6b	Timeliness of inspection report completion	File, Goal	100%	Percentage of inspection reports reviewed that are completed in a timely manner per the standards described below (numerator = number of inspection reports reviewed that were completed in a timely manner; denominator = number of inspection reports reviewed).
				ELEMENT 3 - VIOLATIONS
7a	Accurate compliance determinations	File, Goal	100%	Percentage of inspection reports reviewed that led to accurate compliance determinations. The numerator = number of inspection reports reviewed that led to accurate compliance determinations; denominator = number of inspection reports reviewed.
8c	Appropriate SNC determinations	File, Goal	100%	Percentage of files reviewed in which significant noncompliance (SNC) status was appropriately determined during the year reviewed. The numerator = number of facilities reviewed with violations correctly determined to be SNC or secondary violation; denominator = number of facilities with violations reviewed.
				ELEMENT 4 - ENFORCEMENT
9a	Enforcement that returns sites to compliance	File, Goal	100%	Percentage of enforcement responses that have returned or will return sites in significant noncompliance (SNC) or secondary violation (SV) to compliance. The numerator = number of enforcement responses reviewed for SNC and SV that document that the site is in compliance or is on schedule to return to compliance; denominator = number of enforcement responses against SNC and SV reviewed.
10b	Appropriate enforcement taken to address violations	File, Goal	100%	The percentage of files with enforcement responses that are appropriate to the violations. The numerator = number of enforcement responses reviewed that are appropriate to the violations; denominator = number of facilities reviewed with significant noncompliance (SNC) or secondary violation (SV). The denominator should include all violations regardless of whether the agency accurately identifies the violation.

ELEMENT 5 - PENALTIES			
11a	Gravity and economic benefit	File, Goal 100%	Percentage of penalty calculations reviewed that document, where appropriate, gravity and economic benefit. The numerator = number of penalties reviewed where the penalty was appropriately calculated and documented; denominator = the number of penalties reviewed.
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. The numerator = number of penalties reviewed that document the rationale for the final value assessed compared to the initial calculated value; denominator = number of penalties reviewed where final value assessed is lower than initial calculated value.
12b	Penalty collection	File, Goal 100%	Percentage of enforcement files reviewed that document collection of penalty. The numerator = number of penalties reviewed with documentation of collection or measures to collect a delinquent penalty; denominator = number of penalties reviewed.

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