INFORMATION COLLECTION REQUEST SUPPORTING STATEMENT

FOR

State Review Framework

U.S. Environmental Protection Agency Office of Compliance

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Part B

This part is not applicable because no statistical methods were used in collecting this information.

Part A

1. IDENTIFICATION OF THE INFORMATION COLLECTION

1(a) Title of the Information Collection

ICR: State Review Framework (ICR No. 2185.08) OMB Control Number: 2020-0031

"State Review Framework"

1(b) Short Characterization/Abstract

The State Review Framework ("Framework") is an oversight tool designed to assess state performance in enforcement and compliance assurance. The Framework's goal is to evaluate state performance by examining data to provide a consistent level of oversight and develop a uniform mechanism by which EPA Regions, working collaboratively with their states, ensure state environmental agencies consistently implement the national compliance and enforcement program to meet agreed-upon goals and standards. Furthermore, the Framework is designed to foster dialogue on enforcement and compliance performance between the states to enhance relationships and increase feedback, which leads to consistent program management and improved environmental results.

Specifically, the Framework is a structured process to provide critical information on a state's (or Region's, for states with EPA-implemented programs) core enforcement and compliance assurance performance by employing data in EPA's national databases and presented in management reports for each state. No new data collection is required for the national databases. Data from national databases is complimented by data obtained through file reviews of a state environmental agency's compliance and enforcement files. No new data is required in these files; however, they are reviewed to ensure proper and adequate documentation.

The Framework process asks regions, states, and local governments to examine the existing data described above in four core programs: Clean Air Act ("CAA"), Stationary Sources; Clean Water Act ("CWA"), National Pollutant Discharge Elimination System ("NPDES"); and Resource Conservation and Recovery Act ("RCRA"), Subtitle C and the Safe Drinking Water Act ("SDWA"). The EPA evaluates five (5) elements using data and file review metrics that require no new reporting burden. A new collection covered by this ICR relates to state criminal enforcement activity related to CAA, CWA and RCRA; however, the additional burden is minimal, given that the data is expected to be preexisting. The utility of the Framework's metrics and the Implementation Guide are a direct result of the collaboration between states, EPA Regions, and EPA Headquarters.

The five (5) elements are 1) Data (completeness, accuracy, and timeliness of MDR¹ entry into national data systems); 2) Inspections (coverage, report completeness and timeliness); 3)

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¹ Minimum Data Requirement (MDR)

Violations (accuracy of compliance and SNC/HPV² determinations); 4) Enforcement (timeliness, appropriateness, return to compliance and criminal); and 5) Penalties (documentation of gravity, economic benefit, reduction in amount, and collection). In the interest of accuracy and efficiency, the Framework also includes a five-step protocol for managing the process: (1) prereview; (2) offsite review; (3) onsite review; (4) drafting of the report; and (5) composing the final report and follow-up. After reviewing the level of performance based on the metrics developed under the five required performance elements, and other information collected in the review process, EPA will determine if a state or Region meets minimum performance levels.

This ICR also covers the Drinking Water Enforcement Review Pilot (DW ER Pilot), which wasn't covered in the previous ICR. Due to its similar structure and goals to the SRF, this ICR is an appropriate forum to meet OMB requirements. Goals of the DW ER Pilot include: (1) Provide a nationally consistent approach for periodic, retrospective oversight of drinking water enforcement primacy programs; (2) Establish clear expectations and a level playing field for Primacy Agencies; (3) Encourage EPA-Primacy agency collaboration to identify and address program challenges; and (4) Evaluate whether the primacy agency take timely and appropriate actions to address violations, properly escalate enforcement, and ensures return to compliance.

2. NEED FOR AND USE OF THE COLLECTION

2(a) Need/Authority for the Collection

The purpose of this collection is to assess state performance in core enforcement and compliance assurance programs. The goals are to provide a consistent level of oversight and develop a uniform mechanism by which EPA Regions, working collaboratively with their states, can ensure state environmental agencies meet agreed-upon goals. It is important to note; all data requested by this collection is currently in EPA's or the state's databases and enforcement and compliance files. No additional monitoring or sampling will be required by this ICR.

While the data is pre-existing, the Agency is permitted to review the states' Clean Air Act, Stationary Source program, the Solid Waste Disposal Act, Subtitle C program, the Clean Water Act, National Pollutant Discharge Elimination System permit and the Safe Drinking Water Act programs to ensure minimum performance levels are met. The Agency's oversight authority for the aforementioned programs are:

(1) Clean Air Act, Stationary Source program:

Section 114 allows collection of information from states. Specifically, the collection of the requested information is authorized by 40 CFR 70.4(j)(1), which states "[a]ny information obtained or used in the administration of a State program shall be available to EPA upon request without restriction and in a form specified by the Administrator, including computer-readable files to the extent practicable," and 40 CFR 70.10(c)(1)(iii), which addresses EPA oversight of

² Significant Non-Compliance / High Production Volume (SNC/HPV)

State and local agencies' compliance and enforcement efforts for major sources under Title V operating permit programs.

(2) Solid Waste Disposal Act, Subtitle C program:

The Act refers to activities at companies that generate hazardous waste. At §3007, the Agency is permitted to have access to and request records regarding hazardous waste generating activities. Additionally, 40 CFR 271.17(a) authorizes EPA, upon request without restriction, access to "[a]ny information obtained or used in the administration of a State program."

(3) Clean Water Act, NPDES program:

The Act refers to activities involving the discharge of materials into waters of the United States. At §308, the Agency is permitted to review records to determine compliance with effluent limitations or treatment performance standards. Further, the NPDES state program regulations provide; "[a]ny information obtained or used in the administration of a State program shall be available to EPA upon request without restriction." 40 CFR 123.41. Also, 40 CFR 123.43 requires states to provide EPA with information on NPDES program implementation.

(4) Safe Drinking Water Act program:

Section 1445 of the SDWA states that public water systems (PWSs) shall conduct monitoring, maintain records, and provide information as needed for EPA to implement its monitoring and enforcement responsibilities with respect to the Act. Primacy agencies, EPA and state governments that have assumed primary enforcement responsibility under SDWA section 1413, ensure PWSs are complying with these regulatory requirements.

The information collected through this ICR will aid the Agency in achieving EPA's Strategic Plan goal to increase compliance and environmental stewardship. This goal was developed in response to the 1993 Government Performance and Results Act and is described in EPA's FY2022-2026 Strategic Plan, the agency's core mission of protecting human health and the environment.

2(b) Practical Utility/Users of the Data

EPA will use data obtained from the collection to determine if a state or Region meets minimum performance levels. Such a determination is necessary to recognize states that are performing well and provide assistance to states not meeting minimum performance levels.

3. NONDUPLICATION, CONSULTATIONS, AND OTHER COLLECTION CRITERIA

3(a) Nonduplication

The information obtained under this ICR has not been collected by EPA or another federal agency.

3(b) Public Notice Required Prior to ICR Submission

On September 19, 2023, EPA published a Federal Register Notice announcing its intent to request to renew an existing approved ICR for the State Review Framework to OMB. EPA received no comments to the Federal Register Notice.

3(c) Consultations

EPA consulted with state and media associations while developing the State Review Framework. The leadership and membership of these organizations were instrumental in helping OECA develop the initial concept for the State Review Framework, in working to develop the main components and metrics, completing pilot projects, and providing input into its evaluation. These associations remain involved in the review process and are in consultation with the EPA regarding reviews taking place from FY2024-FY2027.

3(d) Effects of Less Frequent Data Collection

Each respondent will report once every five years, as outlined in the State Review Framework Reviewers Guide. SRF is based on a 5-year cycle, which gives the agency and states an opportunity to accurately assess the status of the monitoring and enforcement program. If the review occurs more frequently, it may overburden the agency and/or state as a review may take approximately 1 year to complete. In addition, the 5-year cycle provides adequate time and opportunity for states to improve on SRF elements from the last review. If the review extends beyond a 5-year cycle, it's difficult to accurately assess status of the monitoring and enforcement program, as state data may be stale or policies out of date. As a best practice, the environmental community should address issues in a timely manner and extending the period beyond 5 years may allow issues to exacerbate. Based on feedback received in the previous ICR, the 5-year cycle is the appropriate timeframe based on burden and goals of the SRF.

3(e) General Guidelines

This information collection is consistent with OMB guidelines contained in 5 CFR 1320.5(d)(2).

3(f) Confidentiality

Information submitted to the Agency for which a claim of confidentiality is made will be safeguarded according to the Agency policies set forth in Title 40, chapter 1, part 2, subpart B - Confidentiality of Business Information (see 40 CFR 2; 41 <u>FR</u> 36902, September 1, 1976; amended by 43 <u>FR</u> 40000, September 8, 1978; 43 <u>FR</u> 42251, September 20, 1978; 44 <u>FR</u> 17674, March 23, 1979).

3(g) Sensitive Questions

The collection in this ICR does not contain sensitive questions.

4. THE RESPONDENTS AND THE INFORMATION REQUESTED

4(a) Respondents and SIC Codes

Respondents potentially affected by this action are 50 (fifty) States, 4 (four) Territories, and 47 (forty-seven) Local Air Agencies. Based on experience, we believe the true number of respondents for this ICR will primarily be fifty (50) states, 4 (four) territories, and 14 (fourteen) local air agencies. The difference in local air agencies is due to the small size of certain districts and the decision to review them less frequently than the standard 5-year SRF cycle. There are no SIC codes for the Respondents.

4(b) Information Requested

(i) Data items, including recordkeeping requirements

The State Review Framework requests information on the contribution of state enforcement activities to federally delegated programs. There are no recordkeeping requirements associated with this collection.

Prior to conducting a review, EPA will request states make available a limited number of pre-existing facility-specific files, so EPA may review information in those state files. The files normally contain information on the state's enforcement and compliance activities, including inspection coverage, enforcement timeliness and appropriateness, penalty calculations and fines collected, and data quality, accuracy, and completeness. Most of the data EPA reviews is uploaded into a national compliance database from state compliance databases but a small subset of the data is only available in hard-copy files.

(ii) Respondent Activities

Respondent will engage in the following activities during the Framework process:

1. Pre-Review and Offsite Review

Review elements and metrics Train/brief state staff & managers on review substance and process Collect files, policies, data sets, reports, and review and correct the national data

2. Review

Participate in kick-off meeting Assist/facilitate EPA review of files and data sets Participate in discussion of program with EPA

3. Report Drafting

Review and comment on draft report

4. Coordination of Parts 1, 2 & 3

Coordination of review with the state agency Coordination of the review within EPA

5. THE INFORMATION COLLECTED: AGENCY ACTIVITIES, COLLECTION METHODOLOGY, AND INFORMATION MANAGEMENT

5(a) Agency Activities

Agency activities associated with the State Review Framework consist of the following:

- (1) Review elements and metrics
- (2) Train/brief state staff & managers on review substance and process
- (3) Collect files, policies, data sets, reports, and review and correct the national data.
- (4) Participate in kick-off meeting.
- (5) Assist/facilitate EPA review of files and data sets
- (6) Participate in discussion of program with EPA
- (7) Review and comment on draft report
- (8) Coordination of review with the state agency
- (9) Coordination of the review within EPA

5(b) Collection Methodology and Management

The Agency will provide respondents with guidelines and training for conducting the review to ensure a consistent approach. Over the course of the review process the Agency will work with the states and provide assistance as necessary. All the state reports will be submitted electronically. National data used to assess state performance already resides in various EPA databases. These data are covered by other Information Collection Requests or regulatory language. Additional data will come from the review of state inspection and enforcement files, which is the data collected based on this request.

5(c) Small Entity Flexibility

Small entities will not be affected as the collection will only be completed by EPA Regions, States, and territories.

5(d) Collection Schedule

Each respondent will complete the following once every five years: (1) pre-review and offsite review, including a review and correction of the data of the national data; (3) onsite

review; (4) drafting of the report; and (5) composing the final report and follow-up. Ten (10) states, 1 territory and 3 local districts are scheduled to complete the review process each year over the five-year term.

6. ESTIMATING THE BURDEN AND COST OF THE COLLECTION

6(a) Estimating Respondent Burden and Costs

The estimated total hour burden for response is 305 hours per respondent. This burden hour estimate translates to a cost of \$21,996 per respondent that voluntarily completes the survey resulting in an average annual cost of \$937,030. There is no recurring respondent burden associated with this ICR. No capital or operations and maintenance costs are incurred by respondents under this ICR.

The labor costs in the following table are based on the following mean hourly labor rates and multiplied by the standard government benefits multiplication factor of 1.6.

Legal: \$77.89 (State Government Lawyer, 23-1011)

Managerial: \$94.90 (State Managers, 11-0000)

Technical: \$62.50 (Environmental Scientists and Specialists, 19-2041)
Clerical: \$33.41 (Office and Administrative Support, 43-0000)

These rates are from the United States Department of Labor's, Bureau of Labor Statistics, "May 2021 National Occupational Employment and Wage Estimates," https://www.bls.gov/oes/current/oes_stru.htm.

Table 1. Respondents' Burden and Costs

Information Collection	Legal	Man.	Tech.	Clerical	
Activity	\$77.7 8	\$94.90	\$62.50	\$33.41	Total
	hour	hour	hour	hour	
1. Pre-Review and Offsite Review					
Prepare for upcoming review (collect files, policies, data sets, past reports, etc.)	1	24	54	8	87
Review and correct state data metrics (not including annual data verification time)	0	6	17	1	24
Train/brief personnel on SRF review process	2	4	9	0	15
2. Onsite Review					
Participate in kick-off meeting.	2	4	3	1	10
Assist/facilitate EPA review of files and data sets	1	12	28	3	44
Participate in discussion of the program with the EPA	3	11	17	0	31
3. Report Drafting					
Review and comment on draft report	5	18	32	0	55
4. Coordination of Parts 1, 2 & 3					
Coordination of the review within the state agency	1	11	10	2	24
Coordination of the review with EPA	2	6	7	0	15
TOTAL	17	96	177	15	305
TOTAL COST	\$1,32 2	\$9,110	\$11,063	\$501	\$21,996

6(b) Estimating Respondent Costs

(i) Estimating Labor Costs

EPA estimates an average annual respondent hourly cost (labor plus overhead) of \$77.78 for legal staff, \$94.90 for managerial staff, \$62.50 for technical staff, and \$33.41 for clerical staff. These rates are from the United States Department of Labor's, Bureau of Labor Statistics, "May 2021 National Occupational Employment and Wage Estimates," In deriving these costs, EPA consulted with EPA regional subject matter experts and data from the currently approved ICR.

(ii) Estimating Capital and Operations and Maintenance Costs

This ICR uses existing data required by various regulations and therefore doesn't include any capital/startup or operation and maintenance cost associated with the original data collection and management. EPA consulted with EPA regional subject matter experts and data from the currently approved ICR to support this statement.

(iii) Capital/Start-up Operations and Maintenance Costs

This ICR uses existing data required by various regulations and therefore doesn't include any capital/startup or operation and maintenance cost associated with the original data collection and management. EPA consulted with EPA regional subject matter experts and data from the currently approved ICR to support this statement.

(iv) Annualizing Capital Costs

There are no capital costs to annualize.

6(c) Estimating Agency Burden

EPA Regions 1 through 10 will participate in the State Review Framework process and the following table details the hour and cost burden per region. These rates are from the Office of Personnel Management (OPM) "2022 General Schedule" and include the standard government benefits multiplication factor of 1.6.

The cost for the regional table (Table 2) is based on the base average hourly labor rate as follows:

Legal \$82.00 (GS-13, Step 5) Managerial \$96.90 (GS-14, Step 5) Technical \$98.96 (GS-12, Step 5)

The cost for the Headquarters table (Table 3) is based on the average hourly labor rate, including locality payment, as follows:

Legal \$109.68 (GS-14, Step 5)

Managerial \$129.01 (GS-15, Step 5) Technical \$92.82(GS-13, Step 5)

Table 2. Agency Burden and Cost (per region)

Information Collection	Legal	Man.	Tech.	m . 1
Activity	\$82.00 hour	\$96.90 hour	\$98.96 hour	Total
1. Pre-Review and Offsite Review	nour	nour	Hour	
Review data metrics	0	5	25	30
Train/brief state staff and managers on review substance and process	0	4	15	19
Collect files, policies, data sets, reports	0	4	15	19
2. Onsite Review				
Participate in kick-off meeting.	1	2	6	9
Assist/facilitate on-site review of files and data sets	0	22	120	142
Participate in discussion of the program with the state	0	2	30	32
3. Report Drafting				
Review and comment on draft report	0	8	50	58
4. Coordination of Parts 1, 2 & 3				
Coordination of the review with the state agency	0	2	8	10
Coordination of the review within EPA	0	2	12	14
TOTAL	1	51	281	333
TOTAL COST	\$82	\$4,942	\$27,808	\$32,832

Table 3. Agency Burden and Cost (Headquarters)

Information Collection	Legal	Man.	Tech.	
Activity	\$109.68	\$129.01	\$92.82	Total
	hour	hour	hour	
1. Pre-Review and Offsite Review				
Train/brief state and region staff & managers on review substance and process.	0	0	5	5
Collect files, policies, data sets, reports etc.	0	0	3	3
2. Onsite Review				
Participate in kick-off meeting.	0	1	1	2
Participate in discussion of the program with the Regions	1	2	2	5
3. Report Drafting				
Review and comment on draft report	1	4	14	19
4. Coordination of Parts 1, 2 & 3				
Coordination of the review within EPA	1	2	4	7
TOTAL	3	9	29	41
TOTAL COST	\$329	\$1,161	\$2,692	\$4,182

6(d) Estimating the Respondent Universe and Total Burden and Costs

EPA estimates 213 respondents. The number of respondents is based on a review of 4 separate media (CAA, CWA, RCRA, SDWA) in 50 states and 4 territories as well as single media reviews in 14 individual local air districts. Out of that total, 17 respondents were removed to reflect the fact that EPA directly implements 9 CWA and 8 RCRA programs.

Those 213 respondents are expected to go through the review process once every 5 years. Therefore, the average annual number of reviews (responses) is 42.6. Applying the estimated per-review burden of 305 hours or \$21,996 in labor costs to the average annual number of responses results in a total average annual respondent burden for this collection of 12,993 hours or \$937,030 in labor costs.

6(e) Bottom Line Burden Hours and Cost Tables

(i) Table 4. Total Estimated Respondent Burden and Cost Summary

	No. of Respondents	No. of Responses	Total hours	Total Labor Costs	Total Capital and Start-up costs	Total Annual O&M costs
5-Year Total	213	213	64,965	\$4,685,214	\$0.0	\$0.0
Average Annual Total	213	42.6	12,993	\$937,030	\$0.0	\$0.0

(ii) Table 5. Total Estimated Agency Burden and Cost Summary

(ii) Tuble 3. Total Estimated Highley Burden and Cost Summary							
		Total hours	Total Labor Costs	Total Capital and Start-up costs	Total Annual O&M costs		
	Regions	70,729 (for all ten regions)	\$6,993,143 (for all ten regions)	\$0.0	\$0.0		
5-Year Total	Headquarters	8,733	\$890,746	\$0.0	\$0.0		
	Total EPA	79,662	\$7,883,890	\$0.0	\$0.0		
Average Annual Total	Total EPA	15,932	\$1,576,778	\$0.0	\$0.0		

- (iii) The EPA does not anticipate significant variation (>25%) in the annual respondent reporting/recordkeeping burden or cost over the course of reporting period.
- 6(f) Reasons for Changes in Burden

There is an increase of 87 hours in the total estimated per-response burden compared with the ICR currently approved by OMB. This increase is due to the addition of the safe drinking water act enforcement review pilot and the collection and reporting of criminal enforcement data, which weren't captured in the previous ICR. This pilot isn't formally part of the SRF, but the agency believes this ICR is an appropriate forum to collect input, due to their similarities in workload and purpose. At the conclusion of the pilot, the agency will review the program and if necessary, revise this ICR. It is appropriate to collect information on state criminal enforcement activity as criminal enforcement is one facet of overall enforcement and, at least for some states, is (or could be) a capitalized activity. In addition, there is an increase in the number of respondents from 54 to 213 due to inclusion of all media (CAA, CWA, RCRA and SDWA) for 50 states and 4 territories, and 14 local air districts. Previous ICR's included a single response for each state/territory, whereas this ICR utilized a different methodology to capture the burden more accurately. The burden estimates for CAA, CWA and RCRA are unchanged.

6(g) Burden Statement

The average annual respondent burden is 305 hours for each review. Some states may have up to four reviews in a year (CAA, CWA, RCRA and SDWA). This estimate includes time for (1) reviewing and correcting the national data and the metrics; (2) training and briefing state staff & managers on review substance and process; (3) collecting files, policies, data sets, reports etc.; (4) participating in kick-off meetings; (5) assisting/facilitating EPA review of files and data sets; (6) participating in discussion of program with EPA; (7) reviewing and commenting on draft report; (8) coordinating of review with the state agency; and (9) coordinating of the review within EPA. There is no record keeping burden for this collection as the State Review Framework does not include record keeping requirements.

Burden means the total time, effort, or financial resources expended by persons to generate, maintain, retain, or disclose or provide information to or for a Federal agency. This includes the time needed to review instructions; develop, acquire, install, and utilize technology and systems for the purposes of collecting, validating, and verifying information, processing and maintaining information, and disclosing and providing information; adjust the existing ways to comply with previously applicable instructions and requirements; train personnel to be able to respond to a collection of information; search data sources; complete and review the collection of information; and transmit or otherwise disclose the information. 1An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB Control Number. The OMB Control Numbers for EPA's regulations are listed at 40 CFR part 9 and 48 CFR chapter 15.

1To comment on the Agency's need for this information, the accuracy of the provided burden estimates, and suggested methods for minimizing respondent burden, including the use of automated collection techniques, EPA has established a public docket for this ICR under Docket ID Number EPA-HQ-OECA-2022-0812 which is available for online viewing at www.regulations.gov, or in person viewing at the Enforcement and Compliance Docket and

Information Center in the EPA Docket Center (EPA/DC), EPA WJC West, Room 3334, 1301 Constitution Avenue, N.W., Washington, D.C. The EPA Docket Center Public Reading Room is open from 8:30 a.m. to 4:30 p.m., Monday through Friday, excluding legal holidays. The telephone number for the Reading Room is (202) 566-1744, and the telephone number for the OECA Docket is (202) 566-1752. An electronic version of the public docket is available at http://www.regulations.gov. Use http://www.regulations.gov to submit or view public comments, to access the index listing of the contents of the public docket, and to access those documents in the public docket are available electronically. When in the system, select "search," then key in the Docket ID Number identified above. Also, you can send comments to the Office of Information and Regulatory Affairs, Office of Management and Budget, 725 17th Street, N.W., Washington, D.C. 20503, Attention: Desk Officer for EPA. Please include the EPA Docket ID Number EPA-HQ-OECA-2022-0812 and OMB Control Number 2020-0031 in any correspondence.

Part B of the Supporting Statement

This part is not applicable because no statistical methods were used in collecting this information.