



*SNC/EXCEPTION
TRACKING SYSTEM (SETS)
TRAINING*



SNC/Exception Tracking System (SETS) Training

- ◆ Introduction
- ◆ SNC/Exception Schedule
- ◆ Enforcement Management
- ◆ Violation Management
- ◆ SNC Management
- ◆ Exception Management
- ◆ Reports
- ◆ SETS Interface



SETS Purpose

- ◆ Tracking
- ◆ Replacement
- ◆ Short-term solution
- ◆ Data management

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Purpose of SETS

Enables the Enforcement Coordinators and EPA Headquarters to track the progress in resolving SNCs and Exceptions. Particular Focus was on the ability to determine the TARGET LIST.

Replaces various systems used by Regional and Headquarters personnel. (Everyone uses the same system, therefore results are consistent.)

Intended to satisfy an immediate need until the Enforcement Business System could be defined and developed.

Provides an alternative to the DTF process for accomplishing violation resolution through enforcement action updates. (Not meant to be a substitute for normal State or Regional DTF submissions.)



SDWIS DTF Processing Cycle

Federal Fiscal Quarter	Processing Begin Date	Processing End Date	Data to Region Date	Data to EPA H.Q. Date	Prelim. SNCs	Final SNCs
1 (10/01-12/31)	01/01	03/31	02/15	03/01	03/10	04/01
2 (01/01-03/31)	04/01	06/30	05/15	06/01	06/10	07/01
3 (04/01-06/30)	07/01	09/30	08/15	09/01	09/10	10/01
4 (07/01-09/30)	10/01	12/31	11/15	12/01	12/10	01/01

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Quarter - Identifies the Quarter of the Federal Fiscal Year.

Reporting Period - Date range during which violations and enforcement actions are reported to SDWIS/FED.

Reported to EPA - Date on which final data must be submitted to SDWIS/FED for processing.

Preliminary SNCs - Violation data evaluated to identify water systems which will qualify as SNCs for the reporting quarter. Purpose is to allow states and regions to correct data errors before final SNCs are determined.

Final SNCs - Essentially the official list of SNCs. Final SNCs can be tier 1 or tier 2. Tier 2 SNCs are “almost SNCs”; another violation may cause this PWS to be a tier 1 (most serious). Tier 1 SNCs can become exceptions.



SETS Definitions

- ◆ SNC versus Exception
- ◆ Time line

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SNC - Determined based on violation types, hence there are multiple SNC Types (e.g., LE, LM, LO, and LS fall within the Lead rule) for each Rule (TCR, SWTR, LEAD, CHRD, NITR, TURB). Also, based on 4 quarters of violation data. Always based on 1 year of data.

SNC Date - Last day of the SNC Fiscal Year (FY) and Quarter (Qtr) the PWS was found to be a SNC. (Last day of the reporting period.)

Exceptions - SNCs not addressed by an appropriate enforcement action within 8 months (i.e., a timely and appropriate manner) after the SNC Date; based on the Rule only. Therefore, PWS with both M/R and MCL CHRD violations and multiple SNC types, will only have one CHRD Exception.

Basic Timeline - Violation(s) incurred by PWS:

- Enough violations incurred within 12 months to classify the PWS as a SNC.
- Eight months pass without resolution; SNC becomes Exception.
- Enforcement action may be taken at any point to resolve the issues.



SETS Definitions

- ◆ Fiscal Year and Quarter
- ◆ New SNC
- ◆ SNC Period

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Fiscal Year and Quarter:

- 9603 SNC = SNC based on violation data from quarters 9504, 9601, 9602, & 9603, where 96 is the fiscal year and 03 is the third quarter.
- 9702 EXCP = Exception based on 9603 SNCs; effective 03/01/1997 (during the second quarter); generated on 04/01/1997.

New SNC - SNC for which there is no SNC for the same Rule in the preceding 2 quarters.

SNC Period - 12 months (back in time) from the end of the "current" reporting period.

Appropriate Enforcement Actions - Enforcements that resolve the SNC.



SETS Initialization

- ◆ SETS Work group chose starting point
- ◆ Initialization of violation, enforcement, SNCs, and Exceptions were based on that date



SETS Initialization

- ◆ **Violation Management - The new Violation Addressed Indicator and Violation Addressed Date were set on the basis of the violation type and the compliance period as follows:**

Violation Type	Contaminant Code	Compliance Period End Date
21-41	n/a	1994-10-01 (or later)
01-02	n/a	1994-10-01 (or later)
03	0100	1994-10-01 (or later)
03-04	1000 - 4999 (excluding 0100,3000,3100)	1987-10-01 (or later)
Pb/Cu	5000	all

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Violation Addressing

Violations before these dates will never be evaluated and will always have a blank Violation Addressed Indicator.



SETS Initialization

◆ **SNC Management**

- ◆ Data base structure was modified to add new data elements
- ◆ SNC Addressing program was run to populate the Termination Status Code and Dates
- ◆ The result was SNCs were marked as addressed, unaddressed, or not evaluated

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SNC Management

Although SNC determination looks at 1 year of data;

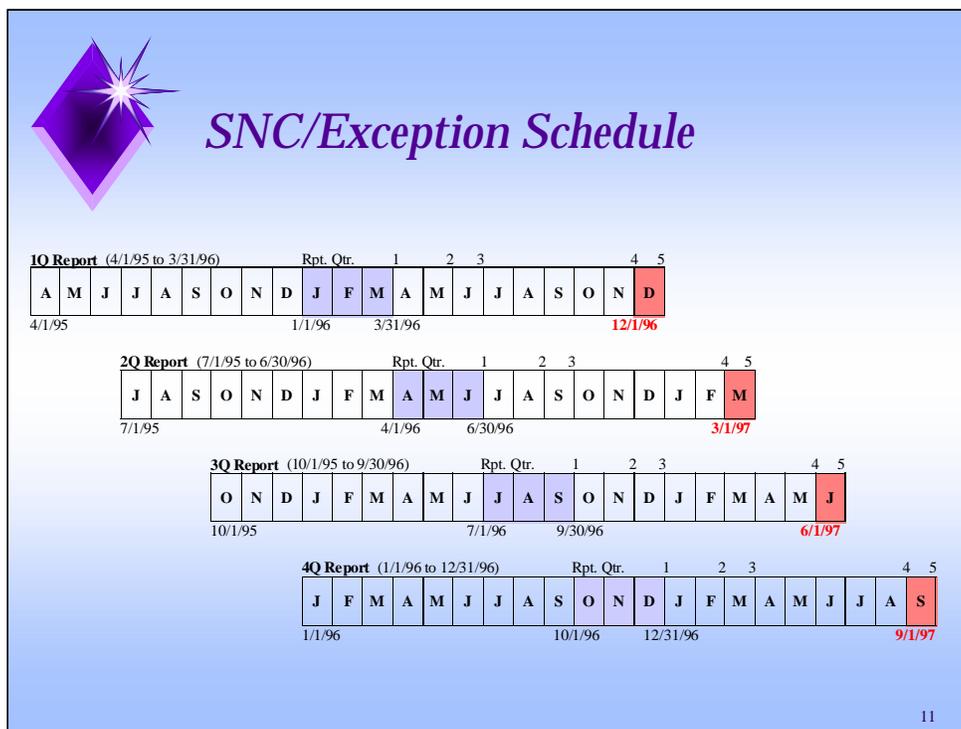
- Some SNC are based on consecutive violations.
- CHRD violations can have very long compliance periods, so consecutive violations need to be addressed.



SETS Initialization

◆ **Exception Management**

- ◆ Generated the first Exceptions based on 9603 SNCs



- (1)** End of SNC reporting quarter. This date also represents the date on which the timely and appropriate period begins for SNCs posted to the data base at (3).
- (2)** Date violation/enforcement data is sent to EPA.
- (3)** The SNC Date. A PWS, under certain conditions, becomes a Final SNC on this date.
- (4)** The Exception Date. The date on which the PWS is considered an Exception, 8 months after the end of the SNC quarter.
- (5)** The Exception Determination Date. This is when the Exception determination process (a.k.a. the Exception algorithm) is run at EPA Headquarters, to calculate and post Exceptions for the reporting quarter.



Appropriate Enforcement Actions

◆ **Appropriate, but Not Restricted**

- ◆ SFK (State Bilateral Compliance Agreement (BCA))
- ◆ EFK (Federal Bilateral Compliance Agreement (BCA))
- ◆ SFL (State Administrative Order (SAO))
- ◆ EFL (Federal Administrative Order (FAO))
- ◆ SFQ (State Civil Filing)
- ◆ EFQ (Federal Civil Filing)
- ◆ SFV (State Criminal Filing)
- ◆ EFV (Federal Criminal Filing)
- ◆ SFO (State Administrative Order (SAO) with Penalty)
- ◆ EF/ (Federal Emergency Order - 1431)

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The list of appropriate enforcement actions were determined by the SETS work group.

There are a total of 16 appropriate enforcement actions which can be submitted via standard DTF processing. These actions also comprise the list of unreported actions available in the SETS interface. Four of these enforcement actions are considered enforcement sensitive.



Appropriate Enforcement Actions

- ◆ **Appropriate, but Not Restricted (cont'd)**
 - ◆ SOX (State Compliance Achieved)
 - ◆ EOX (Federal Compliance Achieved)
- ◆ **Appropriate and Restricted**
 - ◆ SF9 (State Civil Referral)
 - ◆ EF9 (Federal Civil Referral)
 - ◆ SF& (State Criminal Referral)
 - ◆ EF& (Federal Criminal Referral)
- ◆ **System-Generated Enforcement Actions**
 - ◆ ESX - RTC for SWTR
 - ◆ ETX - RTC for TCR

(continued from previous slide)

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Appropriate and Restricted

These enforcement actions are considered “enforcement sensitive” by OECA, i.e., these enforcement actions will not display on Standard Reports unless the person running the report has special access to enforcement sensitive data. Users not authorized for sensitive data will see the “masked” values of SF2 or EF2.

System-Generated Enforcement Actions

Generated by the SDWIS/FED Implicit RTC process. These action codes may not be submitted via DTF.



Enforcement Management



Enforcement Management

- ◆ **Enforcement-Violation Linking**
 - ◆ Link types (X5000, Y5000, Z5000, J5000)
 - ◆ Link restrictions
- ◆ **Appropriate Enforcement Actions**
- ◆ **New Enforcement Actions for SETS**
- ◆ **Implicit Return to Compliance**

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Enforcement Violation Linking

X5000 - link based on date range; if any portion of the compliance period of the violation falls within date range specified, the link is made.

Y5000 - link based on violation ID ONLY.

Z5000 - link is based on contaminant code, violation type and compliance period begin date.

- will only link to a maximum of one contaminant.

J5000 - link can be based on rule, contaminant, or violation type AND if the violation begin date falls within a specified date range.

Restrictions

X5000 date range may not extend into the future.

J5000 date range may extend into the future.

J5000 MUST find at least one violation with which it can be linked; otherwise the enforcement is NOT added to the data base. (No Orphan enforcement actions may be introduced to the data base via a J5000).



Implicit RTC

- ◆ 6 months without a violation
- ◆ Special enforcement action
- ◆ Determined/re-determined once each quarter
- ◆ Regional action
- ◆ Applies to TCR (21-28) and SWTR (31, 36, 41) violations
- ◆ Run with Preliminary SNCs

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The process will determine if 6 consecutive months have passed since the last TCR violation (or between violations) for PWSs with TCR SNCs, or since the last SWTR violation (or between violations) for PWSs with SWTR SNCs.

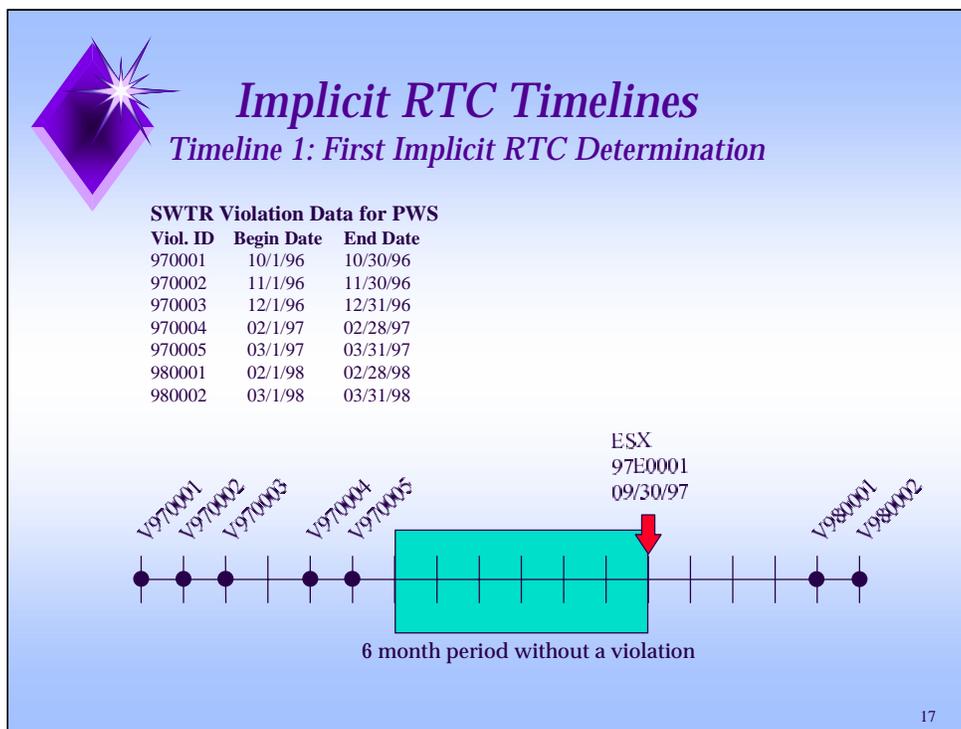
For systems with a SWTR SNC, the calculation determines whether there are SWTR violations for the same water system within the date range formed by the current violation compliance period end date and the end of a 6-month period. The 6-month period without a violation could also be satisfied by the absence of a violation between the compliance period end date of one violation and the compliance period begin date of the next violation or the end date of the SNC Fiscal Year and Quarter.

If no implicit enforcement exists for the SWTR SNC, the ESX enforcement is created.

If an enforcement action already exists, the process will determine whether the violation(s) can be linked to the enforcement action and maintain the 6-month gap between the end date of the last violation and the enforcement action date. Where the end date plus 6 months is greater than the enforcement action date, the process will update the enforcement action date.

The same evaluation is done for systems with a TCR SNC. The TCR implicit return to compliance action code is ETX.

Implicit RTC process is run with Preliminary SNCs to provide the Regional coordinator the opportunity to delete the action before exceptions are determined.



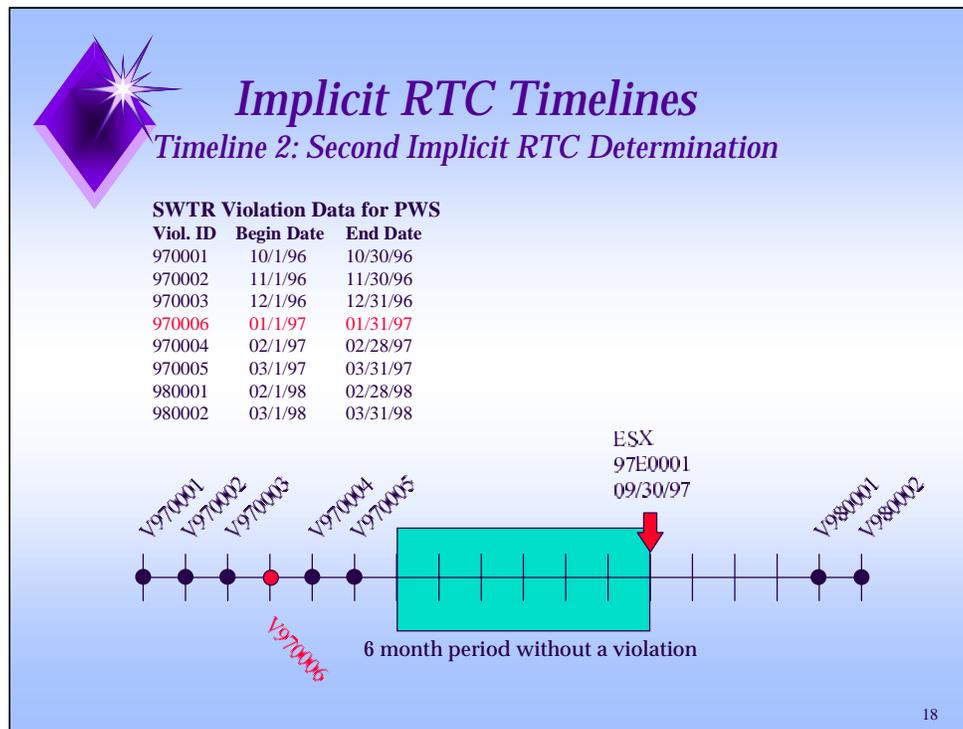
The example shows a series of SWTR violations for a single water system. The violations are sufficient to generate a tier 1, final SNC on July 1, 1997.

The last violation during FY97 was for the period March 1, 1997 - March 31, 1997.

For the water system to qualify for the Implicit Return to Compliance Enforcement Action (ESX), the water system must have a 6 consecutive month period without a violation.

In this example, the 6-month period begins on April 1, 1997 and goes through September 30, 1997 (shaded box). Since this PWS has no violations during this period, this system qualifies.

When the implicit RTC process is executed, the implicit SWTR RTC enforcement action (ESX) will be generated and the FY97 violations associated to it via a Y5000 link. The enforcement action date will be 09/30/1997, the end of the required 6-month period.



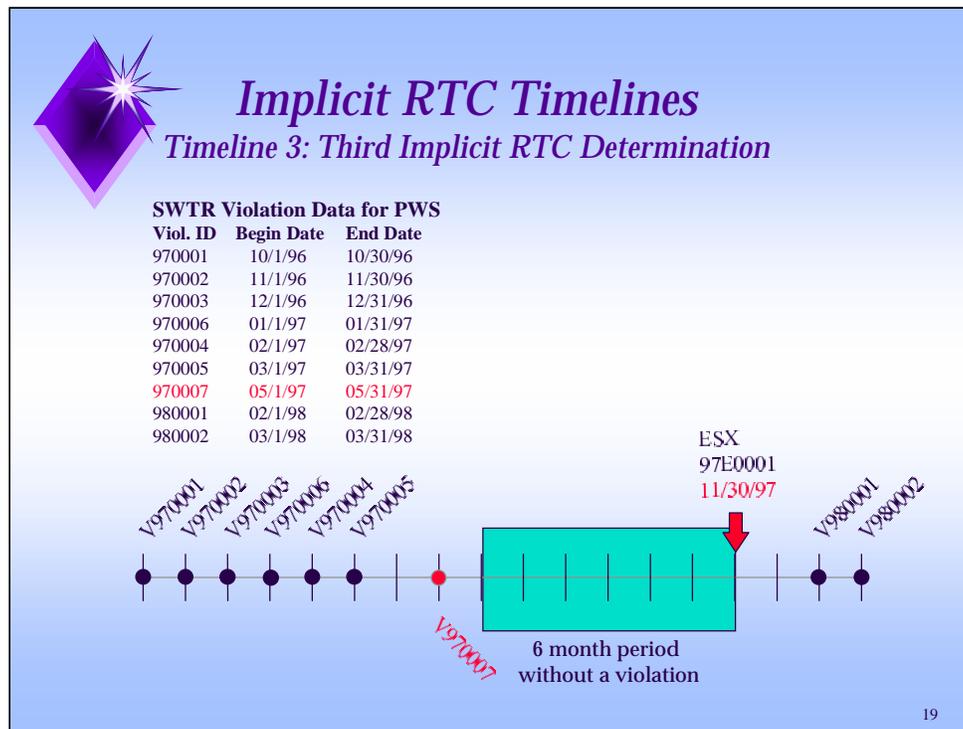
In the 2nd iteration of the example, the following change is made to the violation data:

Violation # 970006 is added to the data base.

The violation compliance period is 01/01/97-01/31/97.

As a result, this violation does not affect the original 6-month period without a violation. The 6-month period is still April 1, 1997 through September 30, 1997.

When the implicit RTC process is executed, there will be no change to the enforcement action and violation # 970006 will be linked to the ESX enforcement action.

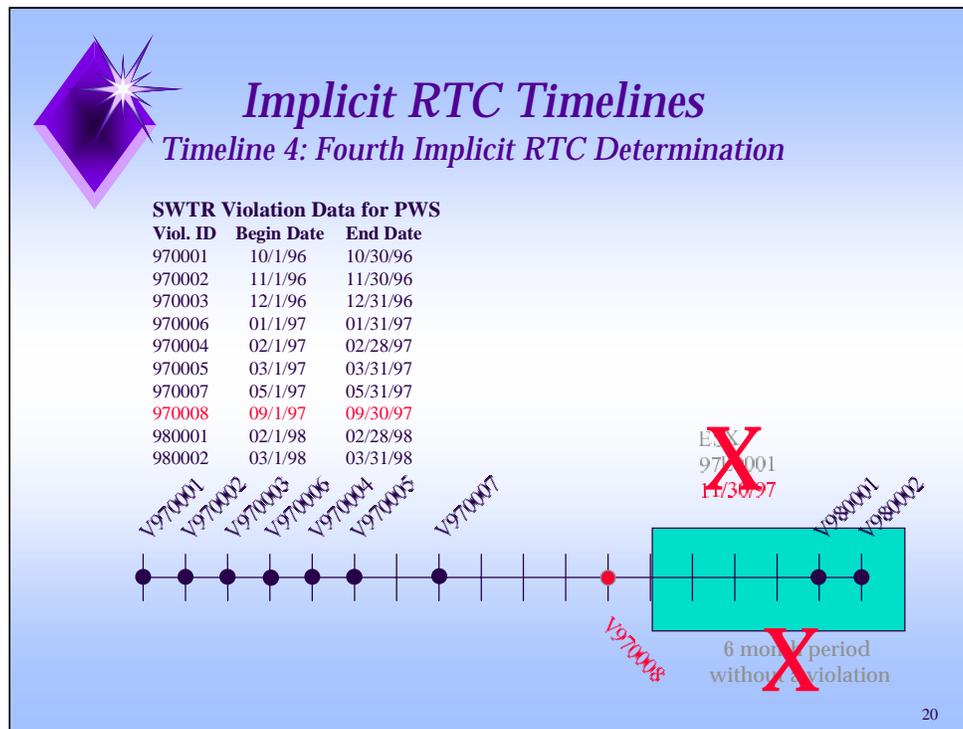


In the 3rd iteration of the example, the following change is made to the violation data:
Violation # 970007 is added to the data base.
The violation compliance period is 05/01/97-05/31/97.

This violation **does** affect the original 6-month period without a violation. There is, however, still a 6-month period without a violation. The 6-month period is now June 1, 1997 through November 30, 1997.

When the implicit RTC process is executed, the enforcement action will be modified as follows:

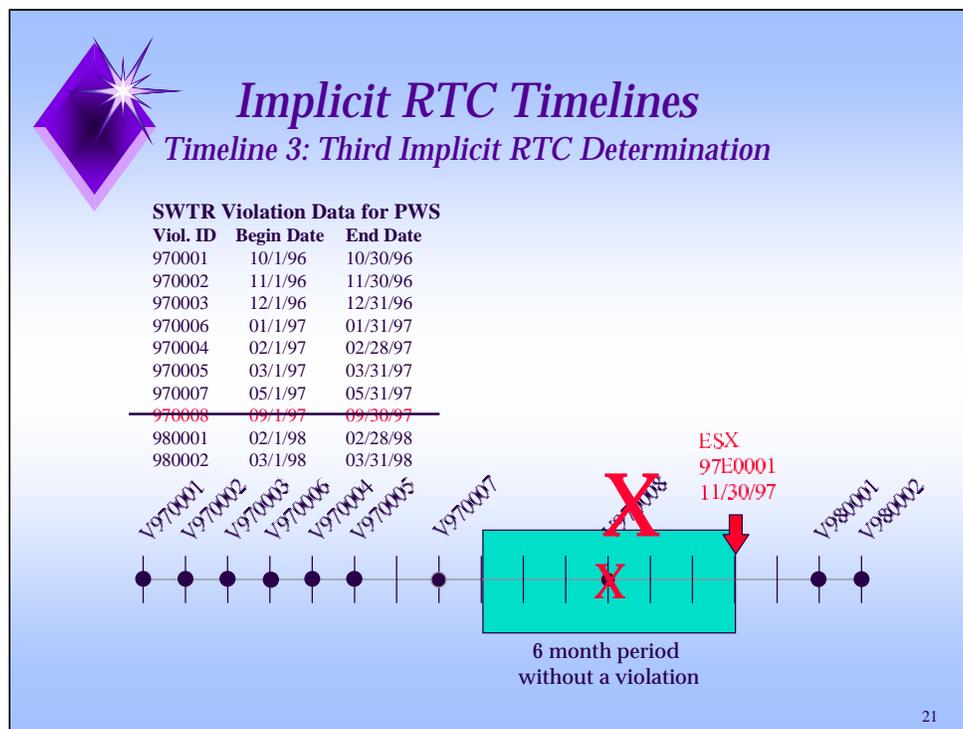
The Enforcement Action Date will be changed to 11/30/1997
Violation #970007 will be associated to the enforcement.



In the 4th iteration of the example, the following change is made to the violation data:
Violation # 970008 is added to the data base.
The violation compliance period is 09/01/97-09/30/97.

This violation **does** affect the original 6-month period without a violation. **There is no longer a 6-month period without a violation.** The 6-month period would have to be October 1, 1997 through March 30, 1998. However, violations occurred in February and March 1998.

When the implicit RTC process is executed, **the ESX** enforcement action will be **deleted**.



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In the final iteration of the example, the following change is made to the violation data:
 Violation # 970008 is deleted from the data base.

This violation **does** affect the 6-month period without a violation. There is, once again, a 6-month period without a violation. The 6-month period is now June 1, 1997 through November 30, 1997.

When the implicit RTC process is executed, the implicit SWTR RTC enforcement action (ESX) will be generated and the FY97 violations associated to it via a Y5000 link. The enforcement action date will be 11/30/1997, the end of the required 6-month period.



Violation Management



Violation Management

- ◆ Violation Addressing
 - ◆ Basic
 - ◆ Type 42

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Violation Addressing

The Violation Addressing routine is critical to the implicit determination of addressed SNC functionality. SDWIS/FED includes two processes by which the Violation Addressed Indicator and Violation Addressed Date attributes are populated.



Violation Addressing

◆ Basic

- ◆ Appropriate enforcement actions
- ◆ Addressed date = earliest enforcement action date

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Violation Addressing

When an enforcement action is linked to a violation, the violation addressed indicator and the violation addressed date are evaluated as follows:

If the enforcement is one of the appropriate enforcement actions, the indicator will be changed to "Y."

The appropriate enforcements associated to the violation will be sorted in ascending order by enforcement action date. The violation addressed date will be set equal to the ***earliest*** enforcement date.



Violation Addressing

- ◆ **Type 42**
 - ◆ Return to Compliance enforcement
 - ◆ Appropriate action with J5000 link type
 - ◆ Basic addressing
 - ◆ SOX/EOX deletions

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Type 42 Violation Addressing

- If the appropriate enforcement action is an EOX or SOX, the Violation Compliance Period End Date is updated to be equal to the Enforcement Action Date.
- If one of the appropriate enforcement actions is linked to the violation by a J5000 link type, the Enforceable Compliance Date (ECD) will be examined. If the ECD is less than the current date and no other appropriate enforcement action is associated to the violation, the violation will no longer be considered addressed. The violation addressed indicator will be set to 'N' and the date will be set to "0001/01/01"
- The appropriate enforcements associated to the violation will be sorted in ascending order by enforcement action date. The Violation Addressed Date will be set equal to the earliest enforcement date.
- If the SOX or EOX is deleted via the normal DTF process, the Compliance Period End Date shall revert to 2015/12/31.



SNC Management



SNC Management

- ◆ **Increased SNC tracking**
 - ◆ More comprehensive SNC tracking and resolution: under this overall category, the SNC algorithm was modified to link all contributing Violations to the SNC record
 - ◆ Modified the current SNC algorithm to generate SNCs based on Type 42 violations

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The SETS requirements initiated the following changes to the SNC Management process:



SNC Management

- ◆ Implicit SNC addressing
- ◆ Explicit SNC addressing
 - ◆ Return SNCs to compliance, both implicitly and explicitly, if certain conditions are met



SNC Management

- ◆ **SNC Termination Status Codes**
 - ◆ Determine whether or not a SNC is addressed
 - ◆ Indicate how the SNC is addressed

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SNC Termination Status Codes indicate whether the SNC is addressed or unaddressed. If addressed, the code indicates by what means the SNC was addressed, e.g., appropriate enforcement action (SE), primary source is other than surface water (SI), deactivated water system (SD).



SNC Management

- ◆ **SNC re-calculation**
 - ◆ Re-evaluate SNCs generated within the preceding 2 quarters to determine if they are still valid or whether new SNCs should be created
- ◆ **Archived SNCs**



SNC Tracking

- ◆ Associating all violations
- ◆ Failure to filter SNCs

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Associating Violations

SNC Determination was modified to link all violations to the SNC record. Originally, the SNC algorithm determined the violations required to constitute a SNC, generated the SNC record, and linked only those violations to the SNC. For some SNC algorithms, only the minimum number of violations required to qualify the PWS were actually linked to the SNC, potentially leaving additional violations in the data base not linked to the SNC. This changed to associate all violations (of the applicable type) to the SNC record.

Failure-to-Filter SNCs

The SNC determination process was modified to create a SNC record for the type 42 violation(s) (Failure to Filter) if the SNC determination date is 18 months past the Compliance Period Begin Date and the violation(s) are still unaddressed by an SOX or EOX enforcement action. Only preliminary and final tier 1 SNCs are generated for type 42 violations; not tier 2 SNCs.



SNC Addressing

- ◆ **Implicit SNC addressing**
 - ◆ Deactivate water system
 - ◆ Source water change (SWTR only)
 - ◆ Appropriate enforcement action

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Implicit SNC addressing is the result of changes in the ***underlying data*** which contributes to the generation of a SNC.

The process will determine whether any of the following events have been reported to SDWIS/FED since the end of the quarter for which the SNC was first determined:

- PWS becomes inactive and the deactivation date is after the SNC Date.
- PWS becomes inactive and the deactivation date is before the SNC Date.
- Primary source of water for a PWS with a SWTR SNC is something other than surface water. (Note: SWTR SNCs are determined even if a PWS does not have a surface water source.)
- An appropriate enforcement action has been linked to all contributing Violations.

If any of these events have occurred the SNC Termination Status Code for the applicable SNCs will be changed as follows:

- “SD” (deactivated).
- “SW” (deactivated, archived).
- “SI” (inventory change).
- “SE” (appropriate enforcement action).



SNC Addressing

- ◆ **Explicit SNC addressing**
 - ◆ Invalid violation data
 - ◆ Source water change (SWTR only)

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Explicit SNC addressing is the result of data entered via the SETS interface and does not reflect changes in the underlying data which contributes to the generation of a SNC. The interface allows an authorized user to explicitly address or manually override the status of the SNC record(s) for a specified Rule.

The user may address the SNC(s) for the Rule selected as follows:

- **Data Error Manual Override:** SNCs may be created due to the existence of violations on the data base which should not have been on the data base when SNCs were created or recalculated.
- **Inventory Change Manual Override:** SWTR SNCs are considered resolved if the source is no longer a surface water source. Primacy agencies are only required to update the inventory once a year, hence resolved SWTR SNCs may continue to appear as unresolved until the inventory update.



SNC Addressing

- ◆ **Explicit SNC addressing (cont.)**
 - ◆ **Deactivation of water system**
 - ◆ **Unreported enforcement action**

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- **Deactivated PWS Manual Override:** Primacy agencies are only required to update the inventory once a year, hence SNCs resolved due to deactivation may continue to appear as unresolved until the inventory update.
- **An Unreported Action,** composed of an Enforcement Action Code and Date. The user, usually a regional enforcement officer, is aware of an enforcement action which has been taken but not yet reported to SDWIS.

The SNC Termination Status Code for the applicable SNCs will be changed as follows:

- “SV” (invalid violation data).
- “SI” (inventory change).
- “SW” (deactivated water system).
- “SU” (unreported appropriate enforcement action).



SNC Addressing

Termination Status Code	Termination Status Date
SD/SW	Activity Date from water system table
SW †	Processing date*
SI	Processing date*
SV	Processing date*
SU	Processing date*
SE	Latest violation addressed date

† If entered via SETS interface *May be changed to the transaction file date

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If the water system has been deactivated (Activity Code = I) AND the deactivation date is after the SNC date, the termination status code is set to SD and the termination status date is set equal to the activity date from the water system table.

If the water system has been deactivated (Activity Code = I) AND the deactivation date is before the SNC date, the termination status code is set to SW and the termination status date is set equal to the activity date from the water system table. SW is also used when a manual override is entered via SETS.

For Water Systems with SWTR SNCs, if the primary source is not Surface or Purchased Surface, the termination status is set to SI and the termination date is set equal to the date on which the process is run. This is because there is no effective date for the source water change.

If the violations supporting the original generation of the SNC were invalid or have been deleted, the termination status code is set to SV and the termination status date is set to the date on which the termination status code is set to SV.

If an authorized user enters an unreported action code through the SETS interface, the termination status code is set to SU and the termination status date is set to the date on which the termination status code is set to SU.

If the violation(s) associated to the SNC is/are addressed (violation addressed indicator = "Y"), the SNC is considered addressed by virtue of appropriate enforcement actions. The termination status code is set to SE and the date is equal to the latest of the violation addressed dates.



SNC Re-calculation/Archive

- ◆ Re-calculation is performed twice as shown on the SNC Schedule
- ◆ Re-calculation could result in generation of new tier 1 final SNCs
- ◆ Archiving SNCs results in tier 1 SNCs being changed to tier 9 SNCs

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SNC Re-calculation refers to the process by which the violation, enforcement, and activity status of the water systems are re-examined to determine whether new SNCs should be assigned to the water systems. The end result may be changing a tier 2 SNC to a tier 1 SNC or generation of a new tier 1 SNC. This re-evaluation is done for 2 quarters after the original SNC quarter. For example, SNCs for 9801 are re-evaluated during the 9802 and 9803 SNC processing.

Archiving of SNCs is done during the re-calculation process. If the underlying data no longer satisfy the SNC definition for the specified quarter, the SNC will be “archived.” If the water system has been deactivated and the deactivation date is before the end of the original SNC period, the SNC will be archived. If the underlying violations are no longer sufficient to meet the SNC definition, the SNC will be archived.

Archived SNCs are not deleted from the data base. The SNC tier code will be changed to “9.” Therefore these SNCs will not display on any standard reports or PRF queries which select tier 1 SNCs.

SNC Recalculation

1 - original SNC determination for 2nd QTR

J	F	M	A	M	J	J	A	S	O	N	D
---	---	---	---	---	---	---	---	---	---	---	---

2 - 1st recalculation of 2nd QTR SNCs

A	M	J	J	A	S	O	N	D	J	F	M
---	---	---	---	---	---	---	---	---	---	---	---

3 - 2nd recalculation of 2nd QTR SNCs

J	A	S	O	N	D	J	F	M	A	M	J
---	---	---	---	---	---	---	---	---	---	---	---

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In this example:

- (1) The original SNC determination was made for the second quarter of the fiscal year.
- (2) The original SNC determination made for the third quarter of the fiscal year AND the first recalculation of the second quarter SNCs.
- (3) The original SNC determination made for the fourth quarter of the fiscal year AND the first recalculation of the third quarter SNCs AND the second recalculation of the second quarter SNCs.

During these two periods, the SNCs for the second quarter will be reevaluated to ensure the original conditions leading to the SNCs being posted exist. Should they fail to meet the SNC criteria, the SNC posting will be archived.

Additionally, water systems will be re-evaluated to see if they now meet tier 1 SNC criteria for the second quarter. If so, a new tier 1 SNC will be generated. If a tier 2 SNC was generated during the original SNC determination process, it will be deleted.



Exception Management



Exception Management

- ◆ Exception determination
- ◆ Exception resolution
- ◆ On-line management

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SNCs not addressed by an appropriate enforcement action within 8 months after the SNC Date, (3) on the SNC/Exception Schedule, become Exceptions.

SNCs are determined based on violation types and contaminant codes, hence there are multiple SNC Types for each Rule (TCR, SWTR, LEAD, CHRD, NITR, TURB).

Exceptions are determined based on the Rule only. Therefore, even if a PWS has both monitoring (M/R) and maximum contaminant level (MCL) CHRD violations for several different contaminants and therefore, multiple SNCs of different types, it will only have one CHRD Exception.

The resolution process automatically updates the Exception record to indicate that the Exception has been resolved. The basis for resolution could be entry of an appropriate enforcement action, an acceptable inventory change, the deactivation of the PWS, i.e., the contributing SNCs have been addressed.

An interface was developed to permit an authorized user to explicitly address or manually override the status of the exception record(s), and their corresponding SNCs, for a specified Rule.



Exception Determination

◆ Tier 1, final, unaddressed SNCs become exceptions 8 months after SNC Date

FY/Qtr.	SNC Date	SNC Determination Date	Excp. Date	FY/Qtr.
9603	07/01/1996	10/01/1996	03/01/1997	9702
9604	10/01/1997	01/01/1997	06/01/1997	9703
9701	01/01/1997	04/01/1997	09/01/1997	9704
9702	04/01/1997	07/01/1997	12/01/1997	9801

◆ Based on new SNCs

◆ Based on rule rather than violations

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The Exception Determination Process will generate an Exception if a PWS in SNC status meets all the following conditions:

- The PWS is active.
- The SNC Date is 8 months prior to the Exception Date.
- The SNC is a Tier-1 SNC.
- The SNC was generated based on the final SNC run for the SNC quarter.
- At least one of the SNC's contributing Violations are unaddressed.
- An Exception for the same rule does not already exist for the PWS.

If an Exception exists for the PWS for the same rule, the process will determine whether there is a 6-month (2 quarter) gap between the SNC being examined and the preceding SNC of the same rule. If there is another SNC for the same rule in either of the preceding quarters, no new Exception is created. If there is no other SNC for the same rule in either of the preceding quarters, the new Exception will be created.

If the PWS meets all the above conditions, a new Exception record will be created and the SNC is linked. Since it is possible that more than one SNC (by the same rule) may qualify, the process will link all SNC records of the same rule to the Exception. It is also possible that the PWS remains a SNC for additional, subsequent, quarters. When this is the case, all subsequent SNCs (again, if by the same rule) will also be linked to the Exception.

Once a PWS is an Exception for a rule, these subsequent SNCs for the same rule will be linked to the Exception as soon as they are created (no 8 month gap.)



Exception Determination

◆ Significant Points in Time

III Quarter			IV Quarter			I Quarter			II Quarter		
A	M	J	J	A	S	O	N	D	J	F	M
		(1)	(2)	(2)	(3)				(4)	(5)	

- (1) June 30, The SNC Date. Timely and appropriate period begins.
- (2) July through September. Violation/Enforcement data reported to SDWIS/FED.
- (3) October 1, The SNC Determination Date. Final SNCs are generated.
- (4) March 1, The Exception Date. The PWS is considered an exception (8 Months after the SNC Date).
- (5) April 1, The Exception Date. The exception creation process is run.

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(1) June 30, the SNC Date. This date represents the date when the timely and appropriate period begins for SNCs posted to the data base at **(3)**. A PWS, under certain conditions, becomes a SNC on this date; also the ending date of a reporting quarter.

(2) July through September. The time frame during which States report violation and enforcement data to SDWIS/FED.

(3) October 1, The SNC Determination Date. This is the date when the SNC Algorithm is run to calculate Final SNCs for Quarter III, ending with the SNC Date **(1)**. The SNC algorithm is at EPA Headquarters.

(4) March 1, the Exception Date. This is the date when the PWS is considered to be an exception, 8 months after the SNC Date **(1)**. The exception record itself is actually posted to the data base on April 1 **(5)**.

(5) April 1, The Exception Determination Date. This is when the exception determination process (i.e., the exception algorithm) is run to calculate and post exceptions for the III Quarter. The exception creation process is run as part of the quarterly SNC processing and therefore is run on, or about, the first day of each Federal Fiscal Quarter.



Exception Resolution

- ◆ **Implicit exception resolution**
 - ◆ Deactivate water system
 - ◆ Source water change (SWTR only)
 - ◆ Contributing SNCs are addressed by enforcement action (SE)
 - ◆ Contributing SNCs archived (tier 9)

42

The process will evaluate each PWS for which there is an Exception. For each, the process will examine whether the PWS is still active. If inactive, the exception date will be compared to the deactivation date. If the deactivation date is before the exception date, the Exception will be deleted. If the deactivation date is after the exception date, the Exception will be marked as “resolved.” If the PWS is active, the process will examine each PWS with a SWTR Exception; if the primary source is not surface water or purchased surface water, the Exception will be marked as resolved. For the remaining systems, the process will evaluate whether all related SNCs have been addressed. If all the SNCs are addressed by enforcement actions, the exceptions will be resolved.

The Exception Termination Status (TS) Codes and TS Dates will be populated as follows:

- PWS Inactive - TS Code set to “ED”, if Activity date is greater than Exception Date, and TS Date set to Activity Date; Exception deleted if Activity Date is less than Exception Date.
- PWS Source not surface - For SWTR Exceptions only, TS Code set to “EI,” TS Date set to current date.
- SNC TS Code = “SE” - TS Code set to “EE,” Exception TS Date set equal to latest SNC TS Date.



Exception Resolution

- ◆ **Explicit exception addressing**
 - ◆ Invalid violation data
 - ◆ Source water change (SWTR only)
 - ◆ Deactivation of water system

43

The user may explicitly resolve exceptions for the Rule selected as follows:

- **Data Error Manual Override:** Exceptions may be created due to the existence of SNCs that should not have been on the data base when exceptions were created or recalculated.
 - **Inventory Change Manual Override:** SWTR exceptions are considered resolved if the source is no longer a surface water source. Primacy agencies are only required to update the inventory once a year, hence resolved SWTR exceptions may continue to appear as unresolved until the inventory update.
 - **Deactivated PWS Manual Override:** Primacy agencies are only required to update the inventory once a year, hence exceptions resolved due to deactivation may continue to appear as unresolved until the inventory update.
-
- “EV” (invalid violation data).
 - “EW” (deactivated).
 - “EI” (inventory change).



Exception Resolution

- ◆ **Explicit exception addressing (cont.)**
 - ◆ No further action to be taken
 - ◆ Unreported enforcement action

44

The user may explicitly resolve exceptions for the Rule selected as follows:

- “Evaluated/No Actions” Manual Override: There are cases when, based on a review by EPA, a determination is made that no further action will be taken to resolve the exception for a specific PWS.
- An Unreported Action, composed of an Enforcement Action Code and Date. The user, usually a regional enforcement officer, is aware of an enforcement action which has been taken but not yet reported to SDWIS.

If any of these events have occurred the Termination Status Code for the applicable exceptions will be changed as follows:

- “E1” (evaluated, no action).
- “EU” (unreported appropriate enforcement action).



SETS Interface

- ◆ **Functions**
 - ◆ SNC management
 - ◆ Exception management
 - ◆ Enforcement generation
- ◆ **Process**
- ◆ **Access**



SETS Interface

- ◆ SNC/Exception management
 - ◆ Select a Public Water System (PWS)
 - ◆ Select a rule and function (SNC or Excp)
 - ◆ View violations

46

Through an interactive interface screen, the users may first select a water system for review. This PWS must already be an Unaddressed SNC or Unresolved Exception. After selecting a water system, the user selects a Rule for review. Violations are associated to the SNC records, not the Exception record, however, the user may view the violations associated to the underlying SNCs as follows:

- Addressed Violations: displayed with their associated, appropriate enforcement actions.
- Unaddressed Violations: displayed with any associated (non-appropriate enforcement actions).



SETS Interface

- ◆ SNC/Exception management (cont.)
 - ◆ Apply manual override
 - ◆ Indicate an unreported enforcement action
 - ◆ Insert comments

47

The user may enter the following about the SNC/Exception(s) for the Rule selected:

- An Unreported Action Code (UAC), composed of an Enforcement Action Code and Date.

Enter “?” in the UAC field to display the list of appropriate enforcement actions. Enter an “S” next to an action code and press enter to record the selection.

The Unreported Action Date is the date of the unreported Enforcement Action. The date is required and must be less than or equal to the current date.

- Data Error Manual Override.
- Inventory Change Manual Override.
- Deactivated PWS Manual Override.
- “Evaluated/No Actions” Manual Override (For Exceptions only).
- Comment, which may be used to briefly note the reason the manual override or unreported action is being applied to the exception.



SETS Interface

- ◆ **Enforcement management**
 - ◆ Applies to violations; not SNCs or Exceptions
 - ◆ Region may submit enforcement actions
 - ◆ Link types - either Y or J
 - ◆ Y5000 links are only for unaddressed violations
 - ◆ Processed via standard DTF process

48

The Enforcement Generation component of the SETS interface provides the authorized users with the ability to generate Enforcement Action(s) “on the spot”, against a SNCs violations, to prevent the SNC from becoming an Exception, or to resolve the SNC or Exception.

Select a water system for review. (Since violations are associated only to SNCs and not Exceptions, enforcement generation can be accomplished by choosing SNCs even when an exception exists).

View the violations associated to the SNCs. Users may select all unaddressed violations or only unaddressed violations of a specific type for processing. For the violations selected, a DTF transaction is generated with the Enforcement Action and the Violation/Enforcement Action link information.

The user must, as a minimum, specify the following:

- The type of the Enforcement Action (i.e., the appropriate Enforcement Action Code).
- The Enforcement Action Date.

The user may also enter the following:

- The Enforcement Action Begin Date.
- The ECD (i.e., the End Date).
- The Violation Type, Contaminant Code, or Rule.

The DTF transactions will be in the format of a “Y5000” if the Enforcement Action Begin Date and ECD are left blank, and “J5000” if they are supplied.



SETS Interface - Processing

- ◆ What information is in the transaction set for manual overrides or unreported enforcement actions?
- ◆ Cascade of exception transaction data
 - ◆ Termination status codes and date applied to SNCs and/or other exceptions
 - ◆ Comments do not cascade to other records

49

The end result of this process is a set of non-DTF transactions, containing all information the user has provided interactively. The transaction set will be written to the users personal work area. The data set name will be sent to a Production Control data set for processing.

After processing, the Exception Termination Status Codes and Termination Status Dates will be populated as follows:

- Unreported Action - TS Code set to "EU", TS Date set equal to current date, Unreported Action Code and Date set to user entered values.
- Data Error in Violations - TS Code set to "EV", TS Date set to current date.
- PWS Source not surface - TS Code set to "EI", TS Date set to current date.
- PWS Inactive - TS Code set to "EW", TS Date set to current date.
- Evaluated, No Action - TS Code set to "E1", TS Date set to current date.
- Comment, which may be used to briefly note the reason the Enforcement Action is unreported, or the reminder that the Action or other data needs to be posted to the data base.

The batch process will apply the Termination Status Code and Date to all unresolved exceptions or unaddressed SNCs for the same Rule, for that water system, regardless of whether the SNCs are associated to an exception. This is known as the "cascade."



SETS Interface - Access

- ◆ Access is restricted
- ◆ Contact Regional office or Office of Enforcement and Compliance Assurance (OECA)

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Access to the SETS interface is controlled through the SDWIS/FED Main Menu. Only users designated by the original SETS Work Group Lead and OECA have access to SETS. The main menu compares the user ID to the list of authorized users and either allows the user to continue or displays an error message and remains on the main menu.

If you think you need access, contact the Regional SDWIS Coordinator or OECA.



SETS Reports

- ◆ Unaddressed SNC (US) Report
- ◆ SNC Management Report



Unaddressed SNC Report

- ◆ Focus is on SNCs
- ◆ Target users

52

The purpose of the Unaddressed SNC Report is to assist personnel in reviewing the data contributing to the generation and addressing of SNCs. This is achieved by displaying the detailed information about the violations which led to the SNC being generated and the enforcement actions taken and associated to each violation.

The anticipated users are Regional Enforcement Coordinators and State and Headquarters personnel.



Unaddressed SNC Report

Identifying title for your US report:
(The 2nd line below is a continuation of the 1st line)
====>
====>

Specify desired Fiscal Year and Quarter (YYYY QQ):

Single Fiscal Year & Quarter ====> ____ _
OR
Range Fiscal Year & Quarter ====> ____ _ To ____ _

Enter the END command to return to the SDWIS Standard Reports Menu

53

The US Report provides detailed information about unaddressed SNCs selected based on either a single fiscal year and quarter or a range of fiscal years and quarters.

Specify the Fiscal Year and Quarter

The earliest fiscal year and quarter that may be entered by the user is 9501, use 9603 if you want to match the Management Report. The latest fiscal year and quarter that may be entered by the user is the most recent fiscal year and quarter for which SNCs have been determined (i.e., the quarter prior to the current quarter). The fiscal year and quarter are entered in the following format:

1996 03



Unaddressed SNC Report

Which contaminant group is to be included on your report?

- 1 - Total Coliform (TCR)
- 2 - Turbidity
- 3 - Chemical/Radiological
- 4 - Surface Water Treatment Rule (SWTR)
- 5 - Lead & Copper
- 6 - Merge all contaminant groups (Merged)
- 7 - Report each contaminant group (Separate)

Enter option ==>

For the group(s) selected above, specify the following:

- 1 - Unaddressed SNCs only (Termination Status Code = SX)
- 2 - Unaddressed SNCs and SNCs addressed by an Unreported Action Code (Termination Status Code = SX or SU)
- 3 - SNCs addressed by an Unreported Action Code (Termination Status Code = SU)

Enter option ==>

54

Next, the user selects the rules to be included on the report.

The MERGED report provides all the SNCs by water system. For example:

MD0001111

CHRD SNCs

SWTR SNCs

MD0002222

SWTR SNCs

TCR SNCs

The SEPARATE report provides all the SNCs by Rule. For example:

CHRD SNCs

MD0001111

SWTR SNCs

MD0001111

MD0002222

TCR SNCs

MD0002222



Unaddressed SNC Report

Which contaminant group is to be included on your report?

- 1 - Total Coliform (TCR)
- 2 - Turbidity
- 3 - Chemical/Radiological
- 4 - Surface Water Treatment Rule (SWTR)
- 5 - Lead & Copper
- 6 - Merge all contaminant groups (Merged)
- 7 - Report each contaminant group (Separate)

Enter option ==>

For the group(s) selected above, specify the following:

- 1 - Unaddressed SNCs only (Termination Status Code = SX)
- 2 - Unaddressed SNCs and SNCs addressed by an Unreported Action Code (Termination Status Code = SX or SU)
- 3 - SNCs addressed by an Unreported Action Code (Termination Status Code = SU)

Enter option ==>

55

The user must also specify whether the report is to include only unaddressed SNCs, only SNCs addressed by an unreported action code, or both.

After the user has specified the selection criteria, the user may specify the sort criteria. The report data is sorted first by Region, then by State. The user then selects between sorting by:

- 1 = PWS ID.
- 2 = By PWS System Name and PWS-ID.
- 3 = By population in descending sequence.



Unaddressed SNC Report

- ◆ What is displayed on report?
- ◆ How is report content affected by quarterly updates and when?

56

Banner Page:

SNC Fiscal Year and Quarter range

Contaminant Group

SNC Termination Status Codes

Data Pages:

Inventory information

List of SNC records with details

Violation details

Enforcement Action details



Unaddressed SNC Report

- ◆ What causes systems to drop off the list?

57

Quarterly Updates:

Inventory changes

Violations added to report

Enforcements added to report

SNCs added to report

Resolutions:

Appropriate enforcement actions

Manual override

SNC Archive



SNC Management Report

- ◆ Focus is on Exceptions
 - ◆ Unaddressed exceptions
 - ◆ “Soon to be” exceptions
- ◆ Target users
- ◆ Access Restricted

58

The purpose of the report is to provide information about current exceptions and those SNCs about to become Exceptions. The report can include all SNCs and exceptions with termination status codes of SX, EX, SU, or EU. The report lists water systems for which there are already unresolved exceptions or which will become exceptions during the current quarter **if an appropriate action is not taken**. These are the “soon to be” exceptions. For example: if the report is run between April 1 and June 30, the SNCs expected to become exceptions on June 1 are included in the report.

This report is a companion report to the US Report. It summarizes the detail from the US Report and is used to identify water systems and the different types and ages of violations reported.

The anticipated users are Regional Enforcement Coordinators and State and Headquarters personnel.

The Management Report includes the Comments from the Exception (or SNC) records. Since the comments are considered potentially enforcement sensitive, this report can only be accessed from the SETS menu by authorized users.



SNC Management Report

- ◆ **SNC Date Range**
 - ◆ Pre-defined; user cannot specify a different range
 - ◆ Begin date of range based on current date
 - ◆ End date of range based on the SNCs which will become exceptions in the current federal fiscal quarter

59

The Unaddressed SNC Range is calculated each time the report is run and is based on “today’s” date. The user is not permitted to change this date. For example, if “today” is June 30, the report will include SNCs which became exceptions on June 1. If the report is run on July 1, the report will include systems which will become exceptions on September 1.

The From and To Dates - the report uses the calculated Fiscal Year to determine the matching Unaddressed SNC Range From and To Dates. For example:

FY & Quarter	Unaddressed SNC Range	Exception Date On Or Before
1998 2nd Q (01/01/98-03/31/98)	04/01/1996 to 06/30/1997	March 1, 1998
1998 3rd Q (04/01/98-06/30/98)	04/01/1996 to 09/30/1997	June 1, 1998
1998 4th Q (07/01/98-09/30/98)	04/01/1996 to 12/31/1997	September 1, 1998
1999 1st Q (10/01/98-12/31/98)	04/01/1996 to 03/31/1998	December 1, 1998

The following are examples of the 4 different Management Report possibilities that can be selected in the next 12 months:

- SM - Management Report: FY1998 Q2 - SNC Range(04/01/1996 to 06/30/1997)
- SM - Management Report: FY1998 Q3 - SNC Range(04/01/1996 to 09/30/1997)
- SM - Management Report: FY1998 Q4 - SNC Range(04/01/1996 to 12/31/1997)
- SM - Management Report: FY1999 Q1 - SNC Range(04/01/1996 to 03/31/1998)



SNC Management Report

Which contaminant group is to be included on your report?

- 1 - Total Coliform (TCR)
- 2 - Turbidity
- 3 - Chemical/Radiological
- 4 - Surface Water Treatment Rule (SWTR)
- 5 - Lead & Copper
- 6 - Merge all contaminant groups (Merged)
- 7 - Report each contaminant group (Separate)

Enter option ==>

For the group(s) selected above, specify the following:

- 1 - Unaddressed SNC's & Exceptions only (Term Status Code = SX or EX)
- 2 - Unaddressed SNC's & Exceptions and addressed SNC's & Exceptions by an Unreported Action Code (Term Status Code = SX, SU, EX or EU)
- 3 - Addressed SNC's & Exceptions by an Unreported Action Code (Term Status Code = SU or EU)

Enter option ==>

60

As with the US Report, the user selects the rules to be included on the report.

The MERGED report provides all the SNCs by water system. For example:

MD0001111

CHRD SNCs

SWTR SNCs

MD0002222

SWTR SNCs

TCR SNCs

The SEPARATE report provides all the SNCs by Rule. For example:

CHRD SNCs

MD0001111

SWTR SNCs

MD0001111

MD0002222

TCR SNCs

MD0002222



SNC Management Report

Which contaminant group is to be included on your report?

- 1 - Total Coliform (TCR)
- 2 - Turbidity
- 3 - Chemical/Radiological
- 4 - Surface Water Treatment Rule (SWTR)
- 5 - Lead & Copper
- 6 - Merge all contaminant groups (Merged)
- 7 - Report each contaminant group (Separate)

Enter option ==>

For the group(s) selected above, specify the following:

- 1 - Unaddressed SNC's & Exceptions only (Term Status Code = SX or EX)
- 2 - Unaddressed SNC's & Exceptions and addressed SNC's & Exceptions by an Unreported Action Code (Term Status Code = SX, SU, EX or EU)
- 3 - Addressed SNC's & Exceptions by an Unreported Action Code (Term Status Code = SU or EU)

Enter option ==>

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The user must also specify whether the report is to include only unaddressed SNCs, only SNCs addressed by an unreported action code, or both.

After the user has specified the selection criteria, the user may specify the sort criteria. The report data is sorted first by Region, then by State. The user then selects between sorting by:

- 1 = PWS ID.
- 2 = By PWS System Name and PWS-ID.
- 3 = By population in descending sequence.



SNC Management Report

- ◆ What is displayed on report?
- ◆ How is report content affected by quarterly updates and when?

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Banner Page:

Compliance Period Range (pre-determined)

Contaminant group

Termination Status Codes

Data Pages:

New Exception (NEW EXC - sometimes called Soon-To-Be-Exceptions)

PWS information

SNC Type/Date

Exception Date

Status



SNC Management Report

- ◆ What causes systems to drop off the list?

63

Quarterly Updates:

Inventory changes

Violations/Enforcements

SNCs added to report

Resolutions:

Appropriate enforcement actions

Manual override

SNC Archive



SETS - Summary

- ◆ Provided a single, common system
- ◆ Introduced “closure” to SNCs
- ◆ Expanded SNCs
- ◆ Enforcement action changes

64

Common system available to all states and regions and HQ personnel. Enables states to plan ahead. Provides common set of reports.

SNC/Exceptions are tracked in the same location. Simplifies identifying which systems are still SNCs/Exceptions. Archives invalid SNCs so time is not wasted.

Expanded SWTR SNCs to include Failure to Filter.

The implicit RTCs for SWTR and TCR SNCs reduces some of the data entry burden for states. New link type to cover recurrent violation situations.



*SNC/EXCEPTION
TRACKING SYSTEM(SETS)
INTERFACE TRAINING*



SETS Interface

V2.1.0 ----- SDWIS Reporting System Main Menu ----- V2.1.0
OPTION ==>

S	Standard Reports	- e.g., 07, 17, 35, ...	Userid - AGS
L	List Screens	- Look at Water System Data	Time - 14:29
P	PWS IDs	- Create a File of PWS IDs	Environment - QUAL DB2 Subsystem - #D2P
M	Mailing Labels	- Produce Mailing Labels	
G	Geographic Data	- Geographic Information	
Q	SQL (SPUFI)	- Structured Query Language	Only Highlighted
E	SNC/Exception	- SNC/Exception Tracking System	functions are
C	User Test Area	- Test prototype options	available at
A	Ad Hoc Reports	- Ad Hoc Requests via PRF	this time!
T	Tutorial	- How to Use the SDWIS Reporting System	
?	SDWIS News	- News and Information as of 04/30/1998	
U	UCLA Mail	- Access IBM Mainframe Mail System	
X	Exit	- Exit the SDWIS Reporting System	

Enter the END command to EXIT the SDWIS Reporting System



SETS Interface

V2.0.0 ----- SNC/Exception Tracking System Menu ----- V2.0.0

OPTION ==>

userid - AGS
Time - 15:12
Environment - QUAL
DB2 Subsystem - #D2P

SI On-line Interface

SM Management Report: FY1998 Q3 - SNC Range (04/01/1996 TO 09/30/1997)
RS RECAP Summary Reports

Enter the END command to return to the SDWIS Reporting System Main Menu

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SETS Interface

----- SNC Exception Tracking -----
Main Screen

PWS ID or 2 character state code: _____
Name: Pop:

Enter S to select one Rule and Function pair for processing
Rule: LEAD CHRD SWTR TCR NITR TURB
Function: SNC Exception

F3 - End

===== Current Selection =====



SETS Interface

----- SNC Exception Tracking -----
Main Screen

PWS ID or 2 character state code: HI _____
Name:

Pop:

Enter S to select one Rule and Function pair for processing

Rule:	LEAD	CHRD	SWTR	TCR	NITR	TURB
Function:	SNC	Exception				

F3 - End

===== Current Selection =====



SETS Interface

SNCLIST

Water System List
With Unaddressed SNCs

06/05/1998

PWS ID _____

S	PWS ID	Name	Population	More: Exceptions
-	HI0000130	DWS SOUTH KOHALA	8,723	N
-	HI0000143	MAUNAKEA STATE PARK	25	N
-	HI0000213	DWS MAKAWAO	16,375	N
-	HI0000215	DWS UPPER KULA	4,724	N
-	HI0000218	DWS HONOKOHAU	54	N
-	HI0000221	BSA CAMP MALUHIA	175	Y
-	HI0000236	KALUA KOI	700	N
-	HI0000320	MILILANI MEMORIAL PARK	300	N
-	HI0000348	WAIAWA CORRECTIONAL FACILITY	200	N
-	HI0000358	NAVMAG LUALUALEI	411	N

F3 - End F7 - Page Up F8 - Page Down

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SETS Interface

SNCLIST

Water System List
With Unaddressed SNCs

06/05/1998

PWS ID _____

S	PWS ID	Name	Population	More: Exceptions
-	HI0000130	DWS SOUTH KOHALA	8,723	N
-	HI0000143	MAUNAKEA STATE PARK	25	N
-	HI0000213	DWS MAKAWAO	16,375	N
-	HI0000215	DWS UPPER KULA	4,724	N
-	HI0000218	DWS HONOKOHAU	54	N
-	HI0000221	BSA CAMP MALUHIA	175	Y
-	HI0000236	KALUA KOI	700	N
-	HI0000320	MILILANI MEMORIAL PARK	300	N
-	HI0000348	WAIAWA CORRECTIONAL FACILITY	200	N
S	HI0000358	NAVMAG LUALUALEI	411	N

F3 - End F7 - Page Up F8 - Page Down

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SETS Interface

----- SNC Exception Tracking ----- Row 1 to 1 of 1
Main Screen

PWS ID or 2 character state code: HI0000358
Name: NAVMAG LUALUALEI Pop: 411 CAH/GW

Enter S to select one Rule and Function pair for processing
Rule: _ LEAD CHRD SWTR TCR NITR TURB
Function: _ SNC Exception

_ Clear ID and selected information
F3 - End F5 - Comment View F7 - Page Up F8 - Page Down

===== Current Selection =====
..... Exceptions Final SNCs
RULE Excp Date Status Cmt? Contam FY Qtr Type UAC? Cmt?

LEAD 5000 1993 3 PB/CU INITIAL TAP M/R Y
***** Bottom of data *****



SETS Interface

----- SNC Exception Tracking ----- Row 1 to 1 of 1
Comment Screen

PWS ID or 2 character state code: HI0000358

Name: NAVMAG LUALUALEI

Pop: 411 CAH/GW

Enter S to select one Rule and Function pair for processing

Rule: LEAD CHRD SWTR TCR NITR TURB

Function: SNC Exception

F3 - End F5 - Main Screen F7 - Page Up F8 - Page Down

===== Current Selection =====

..... Exceptions Final SNCs

RULE Excp Date Status Term Date Cmt Contam FY Qtr Type UAC? Cmt

LEAD						5000	1993	3	PB		Y
------	--	--	--	--	--	------	------	---	----	--	---

: COMMENTS ADDED ON 04/16/1998

:

***** Bottom of data *****



SETS Interface

----- SNC Exception Tracking ---- No comments available
 Main Screen

PWS ID or 2 character state code: HI0000221
 Name: BSA CAMP MALUHIA Pop: 175 NCAC/SW

Enter S to select one Rule and Function pair for processing
 Rule: LEAD CHRD SWTR TCR NITR _ TURB
 Function: _ SNC _ Exception

_ Clear ID and selected information
 F3 - End F5 - Comment View F7 - Page Up F8 - Page Down

===== Current Selection =====

..... Exceptions Final SNCs

RULE	Excp Date	Status	Cmt?	Contam	FY	Qtr	Type	UAC?	Cmt?
TURB	1997/03/01	EX							
TURB				0100	1997	4	TURBIDITY MCL, MAJOR M/		
TURB				0100	1997	3	TURBIDITY MCL, MAJOR M/		
TURB				0100	1996	4	TURBIDITY MCL, MAJOR M/		
TURB				0100	1996	3	TURBIDITY MCL, MAJOR M/		
TURB				0100	1996	2	TURBIDITY MCL, MAJOR M/		
TURB				0100	1996	1	TURBIDITY MCL, MAJOR M/		
TURB				0100	1995	4	TURBIDITY MCL, MAJOR M/		

***** Bottom of data *****



SETS Interface

----- SNC Exception Tracking ----- Row 1 to 2 of 2
Main Screen

PWS ID or 2 character state code: HI0000215
Name: DWS UPPER KULA Pop: 4724 CAC/SW

Enter S to select one Rule and Function pair for processing
Rule: LEAD CHRD _ SWTR TCR NITR TURB
Function: _ SNC Exception

_ Clear ID and selected information
F3 - End F5 - Comment View F7 - Page Up F8 - Page Down

===== Current Selection =====
..... Exceptions Final SNCs

RULE	Excp	Date	Status	Cmt?	Contam	FY	Qtr	Type	UAC?	Cmt?
SWTR						0200	1998	1	SWTR FILT. SYS. W/ TREA	
SWTR						0200	1997	4	SWTR FILT. SYS. W/ TREA	

***** Bottom of data *****



SETS Interface

----- SNC Exception Tracking ----- Row 1 to 2 of 2
Main Screen

PWS ID or 2 character state code: HI0000215
Name: DWS UPPER KULA Pop: 4724 CAC/SW

Enter S to select one Rule and Function pair for processing
Rule: LEAD CHR D S SWTR TCR NITR TURB
Function: S SNC Exception

_ Clear ID and selected information
F3 - End F5 - Comment View F7 - Page Up F8 - Page Down

===== Current Selection =====
..... Exceptions Final SNCs

RULE	Excp Date	Status	Cmt?	Contam	FY	Qtr	Type	UAC?	Cmt?
SWTR					0200	1998	1 SWTR FILT. SYS. W/ TREA		
SWTR					0200	1997	4 SWTR FILT. SYS. W/ TREA		

***** Bottom of data *****



SETS Interface

```

----- Significant Non-Complier Management -----
Command ==>
PWS ID HI0000215      Name DWS UPPER KULA      Pop 4724      Rule SWTR
----- UNADDRESSED VIOLATIONS -----
Co |                               Row 1 to 12 of 18 |
--|----- F3 -End F7 - Page Up F8 - Page Down |
  |                               Scroll ==> CSR |
  |----- Viol ID Type  Compliance Period  EA Date  EAC |
  |-----|-----|-----|-----|-----|-----|
or | 9802056 41  1997/12/01 1997/12/31 1998/01/15 SIA |
  | 9802056 41  1997/12/01 1997/12/31 1998/01/15 SIE |
  | 9802056 41  1997/12/01 1997/12/31 1998/01/31 SFG | D/YYYY)
or | 9802055 41  1997/11/01 1997/11/30 1998/01/15 SIA |
  | 9802055 41  1997/11/01 1997/11/30 1998/01/15 SIE | D/YYYY)
  | 9802055 41  1997/11/01 1997/11/30 1998/01/31 SFG |
(  | 9802054 41  1997/10/01 1997/10/31 1998/01/15 SIA | D/YYYY)
  | 9802054 41  1997/10/01 1997/10/31 1998/01/15 SIE | D/YYYY)
  | 9802054 41  1997/10/01 1997/10/31 1998/01/31 SFG |
(  | 9702053 41  1997/09/01 1997/09/30 1997/10/17 SIA | ist)
  | 9702053 41  1997/09/01 1997/09/30 1997/10/17 SIE |
  | 9702053 41  1997/09/01 1997/09/30 1997/10/31 SFG |
-----
F3 - End F4 Addressed Violations F5 Unaddressed Violations
  
```




SETS Interface

```
----- Significant Non-Complier Management -----  
Command ==>  
PWS ID HI0000221      Name BSA CAMP MALUHIA      Pop 175      Rule TURB  
----- CURRENT SELECTION -----  
C  
- The following information will be processed:  
- ----- BUILD SNC UPDATE INPUT... -----  
Manual  
r Your selection has been used to generate the  
r following data set:  
  
r          AGSPAAA.SNCEXCP.D980605.T154538.INPUT  
  
The dataset will be used by SDWIS/FED Production  
Control to update the database. As soon as you  
press ENTER, Production Control will automatically  
be notified of the data set name, and  
will process the data in the next scheduled update  
run.  
  
----- F3 - Cancel  ENTER - Submit -----  
F3 ... S
```




SETS Interface

----- Significant Non-Complier Management -----

Command ==>

PWS ID HI0000221 Name BSA CAMP MALUHIA Pop 175 Rule TURB

Comments -

		ENFORCEMENT ACTION CODE			
				Row 1 to 12 of 16	
Man	S	Code	Description	ion of PWS	
or	-	SFV	State Criminal Filing		
Unr	-	SF&	State Criminal Referral		M/DD/YYYY)
or	-	SFQ	State Civil Case Filed		
Enf	-	EFQ	Federal Civil Case Filed		M/DD/YYYY)
	-	EF&	Federal Criminal Referral		
(opt	-	EOX	Federal Compliance Achieved		M/DD/YYYY)
	-	SOX	State Compliance Achieved		M/DD/YYYY)
	-	EFV	Federal Criminal Filing		
(opt	-	EF/	Federal Emergency Order - 1431		m list)
	-	SF9	State Civil Referral		
	-	EF9	Federal Civil Referral		
	-	EFL	Federal Administrative Order (FAO)		tions



SETS Interface

----- Significant Non-Complier Management -----

Command ==>

PWS ID HI0000221 Name BSA CAMP MALUHIA Pop 175 Rule TURB

Comments -

		ENFORCEMENT ACTION CODE			
				Row 1 to 12 of 16	
Man	S	Code	Description	ion of PWS	
or	-	SFV	State Criminal Filing		
Unr	-	SF&	State Criminal Referral	M/DD/YYYY)	
or	-	SFQ	State Civil Case Filed		
Enf	-	EFQ	Federal Civil Case Filed	M/DD/YYYY)	
	-	EF&	Federal Criminal Referral		
(opt	S	EOX	Federal Compliance Achieved	M/DD/YYYY)	
	-	SOX	State Compliance Achieved	M/DD/YYYY)	
	-	EFV	Federal Criminal Filing		
(opt	-	EF/	Federal Emergency Order - 1431	m list)	
	-	SF9	State Civil Referral		
	-	EF9	Federal Civil Referral		
	-	EFL	Federal Administrative Order (FAO)	tions	



SETS Interface

```
----- Significant Non-Complier Management -----  
Command ==>  
PWS ID HI0000221   Name BSA CAMP MALUHIA           Pop 175   Rule TURB  
----- CURRENT SELECTION -----  
C  
- The following information will be processed:  
-  
- Unreported Action -  
r           EA Code: EOX  
r           EA Date: 02/02/1996  
  
ENTER - Proceed  F3 - Return to previous screen  
-----  
F3 - End  F4 Addressed Violations  F5 Unaddressed Violations
```




SETS Interface

----- Significant Non-Complier Management -----

Command ==>

PWS ID HI0000221 Name BSA CAMP MALUHIA Pop 175 Rule TURB

Comments -

		ENFORCEMENT ACTION CODE			
				Row 1 to 12 of 16	
Man	S	Code	Description	ion of PWS	
or	-	SFV	State Criminal Filing		
Unr	-	SF&	State Criminal Referral	M/DD/YYYY)	
or	-	SFQ	State Civil Case Filed		
Enf	-	EFQ	Federal Civil Case Filed	M/DD/YYYY)	
	-	EF&	Federal Criminal Referral		
(opt	-	EOX	Federal Compliance Achieved	M/DD/YYYY)	
	-	SOX	State Compliance Achieved	M/DD/YYYY)	
	-	EFV	Federal Criminal Filing		
(opt	-	EF/	Federal Emergency Order - 1431	m list)	
	-	SF9	State Civil Referral		
	-	EF9	Federal Civil Referral		
	-	EFL	Federal Administrative Order (FAO)		



SETS Interface

```
----- Significant Non-Complier Management -----
Command ==>
PWS ID HI0000221   Name BSA CAMP MALUHIA           Pop 175   Rule TURB
-----
...----- SELECT VIOLATION TYPE(S) -----...
Comm | Command ==>                               Row 1 to 1 of 1 |
-----| F3 -End F7 - Page Up F8 - Page Down       Scroll ==> CSR |
-----|
Ma   |          *** S to select one or more violation types *** | f PWS
-----|          Viol
or   | S Type           Description
-----|-----
Un   | -               | YYY)
or   | 03 MONITORING, REGULAR
En   | ***** Bottom of data *****
-----| YYY)
      | YYY)
      | YYY)
      |
      | t)
-----|
...-----
```




SETS Interface

```
----- Significant Non-Complier Management -----
Command ==>
PWS ID HI0000221      Name BSA CAMP MALUHIA      Pop 175      Rule TURB
----- CURRENT SELECTION -----
C
|
| The following information will be processed:
|-----
| Enforcement Generation -
| Create enforcement links for specific violation type(s)
r   EA Code: EOX      EA Date: 01/01/1996
|   Violation Period Begin Date: 01/01/1996
r   Enforceable Compliance Date: 01/06/1996
|   Violation Types: 03 MONITORING, REGULAR
|
|-----
|
| ENTER - Proceed  F3 - Return to previous screen
|-----
F3 - End  F4 Addressed Violations  F5 Unaddressed Violations
```




SETS Interface - Summary

- ◆ On-line management of SNCs and Exceptions
- ◆ On-line access to status of violation and enforcement action data
- ◆ On-line capability to create enforcement actions and/or enforcement action links



*SNC/EXCEPTION
TRACKING SYSTEM (SETS)
TRAINING*