

## 2026 NNCR SEVs Training

### Verbatim Transcript

May 5<sup>th</sup>, 2026

#### **Tuxbury, Courtney**

Hi everyone, good afternoon. My name is Courtney Tuxbury, and I work in EPA's Office of Compliance, and I will be facilitating today's training.

The goals of today's training are for you to understand when single event or other violations are generated in our source database, for you to learn about the underlying rules supporting single event or other violations on the Quarterly NNCR and understand how to find more information and where to direct questions after today's training. Today's presentation is considered an advanced training and we're assuming that you have attended the Quarterly NNCR training in advance. If not, you can view a recorded training on ECHO's training page with a link provided within the slides.

The agenda for today's training is to walk through first when violations are generated in our source database, second to walk through the rules for violation detections for single event violations and this is going to determine whether they're Category 1 or Category 2 violation. We will walk through the rules for violation resolution criteria, the Quarterly Report criteria for each individual single event violation to show up on an individual report. We will walk through a demonstration on how you can access these violations on the Quarterly NNCR. We'll end with a practice search and then Q&A session at the end. As Leslie had mentioned, we are monitoring the Q&A throughout today's training. If you have questions, please feel free to ask them into the Q&A pod.

So first up is violation generation and when is a single event violation or this other violation generated in our source database. So, the term SEV or single event violation was historically used as a catch all for all violations that are not the DMR reporting effluent exceedance, or schedule violations that were talked about in the separate trainings as part of this spring series. Within the NNCR itself these are collectively referred to as other violations or by their associated NPDES program. Currently we only have Base Program or Biosolids violations included as SEVs within the NNCR. And the SEVs includes both manually identified violations like those that were identified during an inspection or a record review during a compliance monitoring activity and those self-reported violations that can be automatically generated from our new electronic program reports.

So, there are currently 300, excuse me, 439 SEV codes available for reporting. These are the active codes that we currently have in our source database. We will not walk through all of them in the following slides, but I will show you where you can download a list of them from ECHO. The currently 3 most reported violations of these SEVs are a general catch all permit violations - Violations Specified in Comment. The second is a manually identified effluent violation, so effluent violations that represents a numeric effluent violation. So, these are separate from the E90s that would be automatically

generated from an electronic DMR. And oftentimes these can be reported if there is some type of compliance monitoring or inspection that's happening where sampling is happening and the discharge is greater than the permitted limits and then the regulatory authority can manually report those violations into our source database. And then similarly this manual reporting of the late submittal of DMRs.

So, within the SEVs or these other violations, each SEV is broken into one of the following NPDES programs. So collectively, they're all listed as other violations, but they will also be associated with a Base Program, Biosolids, Sewer Overflows, CAFOs, Industrial Stormwater, Construction Stormwater, Urban Stormwater or MS4s, and then Pretreatment. Currently within the NNCR, we've only integrated the Base Program and Biosolids SEV's into the NNCR. And as we're working towards Phase 2 implementation of the NNCR, the NPDES programs that are in this lighter blue color should all be integrated and available after the deadline in December of 2026.

OK, so historically these SEVs could only be manually reported to EPA through either direct database access, or someone would go into the interface and manually report these violations, or if a State had their own database that tracked violations themselves and then they flowed that data to EPA, that was the only way SEVs were being reported to EPA. However, with electronic reporting, some compliance determinations are now being included with the electronic program reports and the first set of these to be generated were coming from the Biosolids program report. The Biosolids program report was the only program report that was included as part of Phase 1 within the NPDES eRule, it was also the first electronic program report that was developed by EPA. So, on the report itself, there is the ability for it to make a compliance determination and then it will send those violations from that facility reported program report and then send those over to our source database. There are 3 different instances when these violations can be generated. The first is if there is a pollutant exceedance for ceiling limits. Sort of analogous to an effluent exceedance violation, there is a limit listed in the Biosolids regs that says metal limits above a certain level are violations, so when that's reported, a violation will be generated. The second is invalid monitoring or unrepresentative samples. There's a requirement for certain types of metals to be sampled on the program report and so similar to an invalid NODI or a non-compliant NODI, if those samples are invalid or unrepresentative of their required samples, then a violation will be generated. And then the last is a catch all for self-reported violations. At the end of the program report, there's a list of potential violations that the facility may have done over the course of the year and they would select each of those that they had self-reported, which would then generate these SEVs on that report.

OK, so once the violation is generated, we have Category 1 or Category 2 designations. Within 123.45 there is this requirement that every violation must be designated as a Category 1 or a Category 2 violation. The regulation includes specific criteria for what determines a Category 1 violation and then says any violation that does not meet the criteria for Category 1 must be designated as Category 2. So, for SEVs specifically the Category 1 criteria can fall under two different items. The first is violations of non-numeric effluent limits that caused or could cause water quality impacts, and then the second are any violation which are the discretion of the State or EPA are considered to

be of concern. So, both of these are kind of manually designated as Category 1 within our system now.

And so, for the violation detections themselves, there are 3 possible responses. Currently if no designation has been made, any SEV that's being reported is going to automatically default to a Category 2 violation. This is going to be the Other Violation - II which is a Category 2 violation, and then the date associated with that is going to be the date which the violation was either first reported or most recently updated, whichever is most recent. And then the other two are a Category 1 or Category 2 manual designation of those SEVs.

So, for the manual overrides, if a regulatory authority goes into our source database and wants to change the automated designation of Category 2 or override that, they can report it as a Category 1 or Category 2 manual designation. Excuse me, this should be a one right here. And in place of the detection code that exists in our source database we've simplified them to just be Category 1 or Category 2

For violation resolutions, each violation can only have 1 violation status, and for each of those statuses there is a hierarchy. It can either be a Resolved, a Resolved Pending, or an Unresolved status. And the first resolution that applies to the highest status in this hierarchy is going to be the resolution description and the resolution date associated with that violation.

So, for SEVs themselves, there are 5 possible violation resolutions. There are 2 Resolved Pending statuses and 3 fully Resolved statuses. And we'll walk through each of these individually in the following slides.

So first up is the Manual Resolutions, we have the Resolved Pending manual and the Resolved manual. These are sort of the most straightforward. The status associated with those are the same as what we have in the descriptions, and the dates associated with those are going to be those that are the date that's been manually reported by the regulatory authority in our source database.

The next status is a Resolved Pending status, and this is for a formal enforcement with a compliance schedule. This is a compliance status for when a violation has been linked to an enforcement action, but that enforcement action hasn't yet been closed out. For a violation status to transition from Unresolved to Resolved Pending, the violation needs to be linked to a formal enforcement action with a non-penalty final order, or the formal enforcement action needs to be a state issued APO with or without Injunctive Relief and has a compliance schedule attached. Something that's important to the Resolved Pending status related to this designation is that the final order itself does not have a NPDES Closed Date, which would signify that that enforcement action that the violation is linked to has now been closed. When this is blank or null, that signifies that enforcement action is still open and so we can consider this as a violation that's resolved, pending the closure of that enforcement action and the date associated with the violations resolution is going to depend on the violations detection date relative to the final order issued or enter date either being set to the detection date or the formal

enforcement actions issued enter date just to make sure that the resolution is occurring after the detection.

The next status is the closure of a formal enforcement action. So, this is sort of the next step in the process after that violation that we just discussed has been Resolved Pending. Once that enforcement action closes out, that violation status is going to transition from Resolved Pending to fully Resolved and have the description of closure of formal enforcement. So, this is where a final order does need to have a NPDES Closed Date and then the date associated that is going to be again the final orders NPDES Closed Date relative to the violations detection date, whether that's going to be set to the NPDES Closed Date or the violations detection date. In both instances, the violation needs to be linked to a specific type of formal enforcement action and it needs to be a formal enforcement action with a non-penalty final order or a state issued APO with or without Injunctive Relief and needs to include a compliance schedule in that final order.

So, we made this flow chart that sort of walks you through whether or not a violation that's linked to a formal enforcement action would have a Resolved Pending status or Resolved status, and then the date associated with each of those statuses. So, if we take an Unresolved SEV and we ask is this SEV linked to a formal enforcement action with a final order: if it's not linked it's going to be no change to that violation status. If that violation is linked to a formal enforcement action final order, then we go down this flow chart, and we ask does that final order have a NPDES Closed Date? If it doesn't have a NPDES Closed Date, that would mean that this enforcement action is considered still open, and so we know that's going to be a Resolved Pending status and we would look at the violation's detection date. Is that detection date before or after the final order issued entered date? If it's before, the violation will have a Resolved Pending status with a date associated with the final order issued or enter date. If that violation's detection date is after, then the violation's status will still be Resolved Pending and the date associated will be equal to the violation's detection date. If we walk back up through this flow chart and we say does the final order that the violation is linked to have an NPDES Closed Date? So, if this enforcement action is closed out, we say yes, we know then that that violation status is going to be associated with a fully Resolved status. And the date associated with that is going to depend on the violation's detection date relative to the final order NPDES Closed Date. So, if it's before, then that violation status is going to be set equal to Resolved closure of formal enforcement, equal to the date of the NPDES Closed Date. If it's after, it's going to be Resolved closure of the formal enforcement action of the date set equal to the violation's detection date.

And the last status associated with a fully Resolved violation is permit terminated and the resolution is going to be set to the permit's termination date. This is kind of the one exception where a system generated resolution is going to override a manual resolution and this is going to occur even if the manual resolution date is after the permit termination date. Something to note is that violations that have a resolution based on a permit termination date can still be included in enforcement action. We have implemented this logic within the Quarterly NNCR just to help with sort of data cleanup and to ensure that once a permit is terminated, there isn't a need for regulatory

authorities to go in and manually update and touch every single violation associated with that permit.

OK, so once we have all the violation detections and resolutions associated with a single event violation, there's some criteria that's going to determine if that individual violation should be included on a Quarterly Report from quarter to quarter. An individual violation is going to show up on a Quarterly Report if it meets any of these 4 criteria. The first is if the SEV has a violation start date within the quarter it's considered a new violation, those need to be included on the report. The second is if the violation has an Unresolved status and the violation start date is before the end of the quarter, this is considered an ongoing violation and those are required to be on the Quarterly Reports. If a violation has a Resolved Pending status and the violation start date is before the end of the quarter, has a Resolved Pending violation and those are required to be on the Quarterly Report. And the last is if a violation has a Resolved status and the resolution date is during the quarter, these are Resolved violations. These are not required to be included in the report, but historically EPA has included violations that are Resolved during the quarter on the QNCR and the work group had requested that we carry forward this logic into the NNCR. So once a violation is Resolved and that resolution date is in the quarter that's displayed, that is the last quarter that that violation will show up on.

So for accessing the NNCR, this is available on EPA's ECHO website. The home page is [echo.epa.gov](http://echo.epa.gov) and the NNCR is available within the blue search options in the bottom left-hand corner within the Clean Water Act data. Within the slides we have a handful of help links that can help you get to some supplementary information after today's training and we'll walk through a demo together, but this is sort of a high-level overview of what that search entails. So when you enter, you'll be opening to a search form. The only required field is quarter to be selected. The form is going to automatically select the most recent publicly available form, excuse me, quarter, and then you can subset your search results by a handful of different types of search criteria. Once you select the search option, it will take you to a new page that's going to show you summary results and this table's going to summarize the Quarterly NNCR information display high-level violation and high-level facility data. This table is going to display one row per NPDES ID. You can sort the tables or the columns within the table. Once you find a facility of interest, you would select the facility name. Once you select the facility name, it's going to open up into a detailed report. So that's the requirement of the Quarterly NNCR, it's a list of facilities with violations and then details about those violations. This report is going to show you all of the regulatory required data for the Quarterly Report, it is going to display data at the FRS level. So if there are multiple permits associated with a single facility based on EPA's FRS or facility ID, those will be displayed together on that single report.

So, if we jump over to a demonstration. I am first going to show you some examples of different types of categorizations that we talked about and how each violation could be detected and displayed on the report. And then we'll walk through a full search together. So full first up is going to be the Category 2 violations. And on each of these examples, I've just zoomed in from a specific facility's Quarterly Report. You can see

the ID and then the quarter listed up at the top of the URL. We've already been zoomed into the violation detail section for that specific quarter for the violations of interest. So, for this first set of violations, we're looking just at Category 2. And so, if we're looking at these Base Program violations here, we can see the NPDES ID, these are all for the base NPDES program. The violation start and end date associated with that violation, the parameter is going to be the violation code and the violation description associated with it. The category of the violation, the violation status, the detection description. So here we have the Category 2 violation and if there has been no manual overrides, all of the violations are automatically going to display the NNCR detection description of Other Violation Dash – II. And then the date associated with that, which is going to be the date that that data was most recently updated in our source database. So, we can see that this facility reported or most recently updated this information in December of 2025 about a violation that had occurred in August of 2025. So, there is the automatically generated Category 2 violation.

We then shift to another report. We can see this facility in Illinois has some Base Program SEVs that have been reported. They have start dates, but no end dates. These are Category 1 violations, and we can see that the detection description associated with them are this Category 1 manual. So, the regulatory authority, either EPA or the State has gone in and overridden the Category 2 default and then associated a date with those and then those are currently Unresolved.

Sort of similarly, we have a facility with both Base Program and Biosolids violations at the same facility, violation's end dates, the descriptions and these have been designated manually as Category 2 violations. And this one is also sort of our first shift into looking at the violation status. And so this violation, these violations are Resolved Pending. And if we look at Resolved Pending, we can see the description associated with them is formal enforcement action with a compliance schedule, so we know that these violations have been linked to a formal enforcement action that is met that criteria, the date that it was Resolved Pending. And then the NNCR also requires EPA to show any enforcement actions that were taken in response to those violations. So, we can see the linkage to this formal enforcement action, the date associated with that, and then if you select this enforcement ID, open up into the ECHO Civil Enforcement Case Report where you can see more information related to this enforcement action. We can see the programs associated with it, and if you scroll down into the final order section and expand the details within each of those you can see any of the compliance schedules that are linked or associated with that final order, and then also any of the violations that have been linked to that enforcement action. If there are more than 100 violations linked, we don't display a table we've just made a bulk download through that button there. That's how you can see and sort of check what type of formal enforcement action is this or excuse me, and what type of final order is it doesn't have a compliance schedule, and what are the dates associated with them there.

We move to the other Resolved Pending status, this is a manual status. So, we have this facility in Michigan with Base Program violations. These have manually been designated as Category 2 manuals. They've also manually been sent to a status of Resolved Pending. And we can see that these violations have been linked to an informal

enforcement action. We have no case report for informal actions, so there's no hyperlink here but we know that an informal action in itself linkages is not going to shift the violation to resolve pending so those would need to be done manually by the regulatory authority.

And then last, we have the fully Resolved status. So, if we find a set of violations here in Kentucky, some Base Program violations, some of them are linked to enforcement and some of them are not. So, we can see all of the ones that are linked are at the top of the ones at the bottom are not yet linked. So if we look at, sorry I'm trying to get the zoom in there right, these Base Program violations, the dates associated with them, which violation occurred, the category of them, and then their status. These violations were not manually overridden, they have the other violation default of Category 2. But we can see in their resolution that these were closed by the closure of a formal enforcement action. And we can also see both that an informal and a formal enforcement action relates to these violations and if we look at the details associated with them these have a resolution date of March 11th of 2026. And we can see that the formal enforcement action here at the bottom was opened in January of 2026 and then has this Closed Date of March 11th of 2026. So, when this enforcement action is closed out in our source database of March 11th, 2026, the NNCR is going to take that and Resolve those violations with the description of closure of formal enforcement action with the date associated with that formal enforcement action NPDES Closed Date.

For a Resolved manual status, it will just be have show manually Resolved and then the dates that's been reported by the regulatory authority for that to be resolved. And then the last is a permit termination. So, we have this facility that had both Base Program violations and Biosolids violations. These violations were Category 1 and Category 2, they are fully resolved and we can see that they are resolved by the permit's termination, and then that date associated with them is going to be the date of the permit's termination date.

I'm going to show you the Help page before we do that search. So, from each of the pages that we have within the NNCR if you select Help, here. Once you get to the Quarterly NNCR Help, at the top here there's a link to this anchor jump that says Technical Reference Information. And once you select that, it's going to scroll you down to the very bottom of that page where you can see the NNCR Technical Support Guide. And you can also click on any of the reference tables that are used to make some of these determinations. So, for this SEVs, you're going to select the NNCR Violation Reference Table, and this is going to give you the list of all of the SEVs that are currently available in our source database and then whether or not the default is going to be associated with a Category 1 or a Category 2 violation. Historically, EPA had some different defaults from Category 1 or Category 2, currently now every SEV that we have in the NNCR is defaulting to Category 2. Anything beyond that needs to be manually overridden to a Category 1. So, you can see the full list of violation codes and descriptions, all of these are going to have the NPDES group code of SEV. You can see the NPDES program associated with each of the violations, and right now only Biosolids and Base Program are included. Once CAFOs, Stormwater, Pretreatment, etc are included in the NNCR these will also have 2's in this category. So we can see the

NPDES program, the category which is currently always defaulting to Category 2, the status flag, an 'A' represents a violation code that can currently be reported into our source database. There are some historic codes that are in there that also have an 'I' for inactive. This field that says Deprecated Legacy Violation Code is representing an exercise that EPA has done over the last several years with e-reporting to make a new standard set of SEV code for each of these NPDES programs. We had added and created a handful of new SEV codes, we have not yet deprecated the violations that these were meant to replace, that will be happening sometime in the future. So, if there is plans to inactivate or deprecate that code in the future, then there will be 'Y' in that column. And so the codes that exist active now but are likely to go away in the future, those are represented by 'Y' in this column. And then this very last one is when this Excel download or when the CSV download was last updated from our source database, and that's happening every weekend. So that's how you would find sort of the underlying details related to what program is this violation associated with, what is the category, can someone still report this violation description into to EPA.

OK, so from there we will jump into our practice search. So, if we go back to the ECHO homepage, this is [echo.epa.gov](http://echo.epa.gov). The homepage is going to open up in this quick search tab which is purple here. To find the NNCR you need to select this blue tab underneath that says Search Options. So, once you select search Options, the content in this blue box updates and the NNCR is available in this bottom left-hand corner for Clean Water Act data, under NPDES Noncompliance Report you would select the Quarterly Report. So, from the quick search, again, if you're on the homepage, you need to select Search Options, scroll down to the bottom where it says NPDES Noncompliance Report and select the Quarterly Report. So, this is going to open up into the Quarterly Report search form, excuse me, and it's going to default to the latest publicly available quarter. You can select this drop down and select any other quarter back to FY21 Q1 on that search. So, I'm going to keep my default to FY26 Q1. If we look at these sort of navigation panes at the top if I want to collapse all of them I can subset my search by geographic location, facility characteristics, community demographics, specific violations, and then environmental conditions surrounding that facility. If I want to expand them all, I would select that and that's going to expand all those boxes out. All of the views are going to default into what we call the basic view and so if we look at this geographic location section we're just showing EPA region and state territory by default, I had done this purposely to show sort of a simplified set of search criteria. If you select this magnifying glass with a '+' sign inside of it to say View More Search Options you can select that and then there will be more search options for you to subset your results from. And we had done this just to make the search form a little bit simpler for those that are coming to it for the first time but if you're looking for something specific and you thought you had seen it before but aren't able to find it, generally the search option has been hidden in this View More Search Options feature you just need to click that button in the top right.

So, to run my search I'm going to first just take a different time frame and I'm going to go into this violation section to look specifically for the SEVs that we talked about today. So, within the violation type here, these are listed as separately as Base Program or Biosolids, I'm going to select both of them. And so when I've selected both of them we

can see in our search criteria selected box the time frame or the quarter that we're searching on, the default permits are selected to NPDES permits, and then the violations are going to be Base Program or Biosolids Program violations. Within all of the NNCR searches and also across ECHO, if you're selecting multiple search criteria within the same search option this is going to be searching on an 'or' between all of them that are selected, and then between distinct search criteria there's an 'and'. So between, if I was to select show me only Category 1 violations and only show me those that are coming from a Base Program or Biosolids. But that's how that would work. So, I'm going to simplify that search a little bit by removing the Category 1 criteria. You can do that through the check boxes or the 'X's' over here on the right, or you can do it directly within the search form itself. This gray box here on the right just helps you view what you've selected as you look through it to review, are you searching for what you want to search for.

So, if we run our search I ran one for FY24 Q4 and we're getting a little less than 15,000 facilities. You can expand this table so we're seeing high-level information about the facility and violations found on that report. These are not details that are specific to SEVs and so to find that information, you need to go in this top left-hand corner and select Customize Columns. And when Customize Columns pops up, we can see that the default columns that were displayed have these check boxes next to them. You can add or remove any of the check boxes that are displayed. For each of these subsections you can select all of the columns within that section or remove them or do it individually. So, for the SEV specifically we can then go into the violation summary section, oops sorry and we're defaulting to display Category 1 and Category 2 violations. What I'm most interested in right now are these other violations, and then the distinction of are those that category, not category, are they Base Program violations or are they Biosolids violations. So from these 3 check boxes I'm seeing what are the total SEVs that are included, what are the SEVs that are specific to the Base Program, and what are the SEVs that are specific to the Biosolids Program. So, once I find this set of columns I want to add, I select update columns at the bottom here. That's going to update my columns to the check boxes I've selected on that previous form. We see this new list of columns that are displayed in this table. Each of them are sortable and so if you select them one time, it will sort them ascending, if you selected another time it will sort them descending. And so, depending on what criteria you're looking into you may want to go either way. For numeric values they will sort descending first, and this is how we can quickly get to which facility had the most SEVs on the Quarterly Report and then we can easily see the breakdown of were those from Base Program or Biosolids Program violations. And then if you wanted to see more information related to them, you would select the facility name. And once you select the facility name, it will take you to this facility's report. So it's sort of the criteria I was showing you before, but with more of the search flow included. At the top, we see high-level information related to that facility, we see each of the permits associated with that facility or FRS ID, and then if we scroll down more we're seeing the quarter I searched in and then all of the violations associated with that Quarterly Report. So there's 271 violations included on it. If I just want to filter to just the Base Program and to the Biosolids SEVs, I would select those in my filter and then I'm only seeing 218 of those violations. I can download this table into a CSV if I wanted to do an analysis outside of

ECHO. Additionally, you can customize your columns, so if you wanted to add those detection dates or descriptions. I don't think this facility has any enforcement actions. You would update those columns again and we can see these are Biosolids violations. Sorry, I didn't want that location. But these are all Biosolids violations. It looks like it's from their 2021 report, we can sort on their program report violations, we sort ascending and descending we can see that they're all actually from the program report. The specific violation that was generated, and so this facility had that invalid monitoring or unrepresentative sample violations similar to an invalid NODI they had reported this for SSUID 003 for the pollutant requirements for their averages, the category status etc.

OK so for our next steps, if you have any questions about the NNCR or if you have any suggested recommendations for the workgroup, please reach out to us through the ECHO Help Desk. The Contact Us link is available at the top right of every ECHO page. This will take you to a form where you can submit requests about the NNCR.