

ICIS–Air Electronic Data Transfer (EDT) Integrated Project Team (IPT) Charter

This Charter defines the mission, responsibilities, leadership, and membership of an Integrated Project Team (IPT) that will guide the ICIS–Air electronic data transfer (EDT) project.

Project Name: ICIS–Air Electronic Data Transfer Project
Program Name: AFS Modernization Program

IPT Creation

Created By: Alison Kittle
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IPT Duration

Start Date: July 18, 2013
End Date: September 2014

A list of all IPT Participants is provided in Attachment A.

Background on IPTs

IPTs (Integrated Project Teams) are used to achieve successful solutions to complex problems that involve multiple organizations. An IPT is a multi-disciplined, cross-functional team brought together to implement the processes necessary to deliver a defined product or set of products. IPTs are multi-disciplined in order to bring together all the business and technology skills required to construct a successful product. IPTs are cross-functional in the sense that they include representation from the various organizations that have different functional roles with respect to the product.

AFS Modernization Program Background

The Office of Enforcement and Compliance Assurance (OECA) is responsible for management and oversight of information to track the compliance and enforcement activities for stationary sources of pollution regulated under the Clean Air Act (CAA).

The national management of the air compliance and enforcement data has been supported by the Air Facility System (AFS) since 1990. The Air Compliance and Enforcement program has evolved to include new program requirements and an expansion of the core air program. These new requirements are not currently addressed in legacy AFS. A modernized AFS that supports the changing requirements of the CAA and takes advantage of modern computer technology is critical for effective management of the air program.

AFS Modernization is part of OECA's larger modernization effort, the Integrated Compliance Information System (ICIS). ICIS is being developed using a phased approach. Phase I, implemented in 2002, established the core database and Web-based interface to support the federal enforcement and compliance program. Phase II (ICIS-NPDES) replaced the legacy Permit Compliance System (PCS) as the NPDES system of record and was integrated with and expanded the ICIS Phase I system. The direct user release of the Modernized PCS system, ICIS-NPDES, was implemented in June 2006, followed by the ability to electronically transfer various NPDES data families between May 2008 and December 2012. ICIS-Air web data entry and electronic data transfer functionality are scheduled to be implemented in September 2014.

Overview of ICIS-Air Electronic Data Transfer Plan

To serve the data needs of EPA Regions and delegated state, tribal and local control agencies that plan to submit their data to ICIS-Air, the plan to develop and implement the electronic data transfer functionality in ICIS-Air is to identify three or more EPA Regions, states or local control agencies to pilot and test the XML submittal of data to ICIS-Air. The pilot also would include the migration of legacy data from AFS to ICIS-Air prior to the electronic data transfer functionality in ICIS-Air being implemented in September 2014.

Purpose and Structure of this IPT

The ICIS–Air Electronic Data Transfer IPT, comprised of a Management Steering Committee and a Technical Workgroup, will serve as a multi-agency group to facilitate the successful design and implementation of the ICIS–Air electronic data transfer development for EPA Regions and delegated state, tribal and local control agencies that plan to submit their air data through XML transactions via the Exchange Network.

Through participation in the Management Steering Committee, stakeholder involvement will be focused on communicating and tracking design and implementation progress. In addition, through participation in the Technical Workgroup, stakeholder involvement will be focused on discussing technical design and implementation items. For some stakeholder organizations, the same participants may be responsible for the Management Steering Committee duties and the Technical Work Group duties; for others, responsible parties may differ. Given this, the initial IPT meetings will involve stakeholders responsible for both purposes. Based upon the progress in these initial meetings, the IPT Co-Leaders will adjust the IPT meeting schedule (e.g., determine if separate meetings are needed) to ensure efficient, effective use of stakeholder time while continuing to meet the goals of each purpose.

The IPT meetings will focus on the mission and responsibilities detailed in this document. The frequency of IPT meetings will be determined based upon IPT stakeholder needs and may be adjusted throughout the project’s period of performance. The meeting process, schedule, and topics will be determined by the IPT Co-Leaders. The co-leaders will also determine the IPT meeting attendees based upon the topics to be covered for that specific meeting. Given the diversity in geographical location of stakeholders, the IPT meetings almost always will be held as conference calls.

IPT Responsibilities

The following are the major responsibilities for the collective members of this IPT:

Technical Responsibilities

- a. Provide a functional and technical working forum for representatives from EPA Headquarters and project stakeholders to efficiently and effectively progress in design and implementation efforts related to the ICIS–Air Electronic Data Transfer Project under the AFS Modernization Project.
- b. Identify a process to effectively identify, communicate, and resolve issues that arise during the ICIS–Air Electronic Data Transfer Project involving IPT stakeholders throughout the project lifecycle. The stakeholders may vary depending on the matter being addressed.
- c. Review the draft ICIS–Air Electronic Data Transfer XML schemas and allowable transaction types such that they can be revised as appropriate and moved forward for testing.
- d. Provide a platform for EPA HQ to gather input from the stakeholders on important design and implementation decisions.
- e. Discuss and reach agreement on allowable transaction data.

- f. Discuss and reach agreement on ICIS-Air electronic data transfer processing error handling, including transaction acceptance thresholds and error message contents.
- g. Review and guarantee compliance with CDX interfacing and XML submission practices.
- h. Provide feedback and input to enable EPA to complete the necessary documentation (Exchange Network or EPA documentation) to support and implement the ICIS-Air electronic data transfer flow on the Exchange Network.

IPT Co-Leaders and Management Responsibilities

- a. Facilitate participation of and communication with all stakeholders.
- b. Communicate and reach agreement with all IPT stakeholders on the ICIS-Air electronic data transfer data flow integrated schedule. The integrated schedule will contain primary milestones set by EPA Headquarters for the pilot group and the non-pilot group. In addition, the integrated schedule will contain major milestones from the non-EPA Headquarters implementation projects (for State system mapping or modifications) which lead to the successful, on-time achievement of the primary milestones. Through management of this integrated schedule, interdependent changes in all of the implementation projects can be communicated, tracked, and controlled. At a minimum the following primary pilot and non-pilot milestones should be communicated, agreed upon, and have their status reviewed on a regular basis:
 - Milestone to reach agreement on the XML schema setup
 - Milestone to reach agreement on the allowable transaction types for Submissions
 - Milestone to reach agreement on electronic data transfer error handling and messaging
 - Review all Exchange Network documents that will be used by submitters
 - Milestones for the states to provide sample XML submissions to EPA HQ for system testing
 - Milestones for other internal testing after development
 - Milestones to commence and complete User Acceptance Testing
 - Milestones for user training
 - Milestones for AFS data clean up and data migration activities (attained from and managed through the Data Migration IPT)
 - Milestones for final implementation.
- c. Discuss and reach agreement on stakeholder involvement in system and user acceptance testing of CDX interfacing and ICIS-Air electronic data transfer.

As noted in the above responsibilities, the IPT will focus on the following types of submissions:

- Facilities,
- Compliance Monitoring Strategy,
- Programs,
- Pollutants,
- Compliance Monitoring,
- TV ACC,
- Information Enforcement Actions,
- Informal Enforcement Action Linkage,
- Formal Enforcement Actions/Final Orders,
- AVF Compliance Determination, and
- AVF Compliance Determination Linkage.

Related, But Separate Work Groups

There are two related, but separate, stakeholder/EPA groups that also have roles in ICIS–Air. These groups are:

- ICIS–Air Data Migration Workgroup. The migration of state and local control agency AFS data to ICIS–Air must be completed before states and local control agencies can use the ICIS–Air Electronic Data Transfer project’s data family data flow. This work group:
 - Assists in the identification and resolution of data migration issues, reviews the migration and conversion business rules to properly migrate the AFS data, and reviews the mapping of data from AFS to ICIS–Air.
 - Assists in the testing of the software that migrates data from AFS to ICIS–Air. The data migration software extracts the data from AFS, translates into an ICIS–Air format, and loads it into ICIS.
 - This workgroup also focuses on assisting states and local control agencies to clean up their AFS data so that it can be migrated successfully to ICIS–Air. The effort to clean up AFS data is a separate workgroup and is not part of the mission of the ICIS–Air Electronic Data Transfer IPT.
- Network Technology Board (NTB). The NTB is a subgroup of the Exchange Network Leadership Council. See <http://www.exchangenetwork.net/about/network-management/network-technology-board/> for details. The NTB will be responsible for reviewing the ICIS–Air Electronic Data Transfer XML schema to ensure they are consistent with the established technical requirements for the Exchange Network. After User Acceptance Testing (UAT) of each data flow is completed but before implementation, the NTB will review the ICIS–Air Electronic Data Transfer XML schema files for usability and for conformance to EPA XML standards before publishing the schema files on the Exchange Network for all submitters use.

Key Documents

In preparing for the formation of this IPT and to speed its work, EPA has prepared a number of documents to assist the IPT in efficiently and effectively completing its tasks. These documents are located at <http://www.exchangenetwork.net/build-a-new-data-exchange-design-guidance/> and include:

- Exchange Documentation Package Preparation and Review Process, December 13, 2012, Version 3.0a
- Exchange Design Rules and Conventions January 12, 2010, Version 1.0
- XML Schema Design Rules and Conventions (DRCs) January 12, 2010, Version 2.0
- Flow Configuration Document Template October 30, 2008, Version 2.0
- DET Template June 27, 2006, Version 1.0

Acronyms

AFS	Air Facility Subsystem
CDX	Central Data Exchange
CAA	Clean Air Act
EPA	U.S. Environmental Protection Agency
HQ	Headquarters
ICIS–Air	Integrated Compliance Information System – Air
IPT	Integrated Project Team
NPDES	National Pollutant Discharge Elimination System
OECA	Office of Enforcement and Compliance Assurance
UAT	User Acceptance Testing
XML	Extensible Markup Language

ATTACHMENT A

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