



Enforcement Branch



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Investigations & DOJ

- **The number of investigations went up 20% year over year (2019 to 2020) from 294 to 352.**
- **The number of DOJ arrests went up 7% year over year (2019 to 2020) from 29 to 31.**



**RECYCLING PROGRAM
ENFORCEMENT BRANCH**

Quarterly Statistic Update

January 2020 - December 2020

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Probationary Review Case Statistics

Jan 2020 – December 2020

Case Statistics	2019 # of Cases	2019 % of Cases	2020 # of Cases	2020 % of Cases	Change in % (% points)
DORiis Auto-Generated Cases	638	100%	567	100%	-11%
Recycling Centers Visited (RCV)	147	23%	218	38%	15%
RCV - Passed	29	20%	52	24%	4%
RCV - Extended	117	80%	153	70%	-10%
RCV - Recommendation for Revocation	1	1%	3	1%	0%
RCV - Decertified during / result of visit	0	0%	10	5%	5%
Recycling Centers Not Visited (RCNV)	491	77%	349	62%	-15%
RCNV - Passed	117	24%	77	22%	-2%
RCNV - Extended	292	59%	191	55%	-4%
RCNV - Recommendation for Revocation	7	1%	4	1%	0%
RCNV - Not RCs	68	14%	59	17%	3%
RCNV - Decertified / Abandoned	7	1%	18	5%	4%
RCNV - Ongoing Investigations	0	0%	0	0%	0%
ASSESSMENTS	2019 \$ Amount	2019 % of Amount	2020 \$ Amount	2020 % of Amount	Change in % (% points)
Total Assessments	\$5,503,527.83	100%	\$426,248.21	100%	0%
Restitution	\$5,470,977.83	99%	\$421,298.21	99%	0%
Civil Penalties	\$32,550.00	1%	\$4,950.00	1%	0%

Handling Fee Review Case Statistics

January 2020 – December 2020

Case Statistics	2019 # of Cases	2019 % of Cases	2020 # of Cases	2020 % of Cases	Change in % (% points)
Handling Fee Applications Reviewed	56	101%	8	100%	-86%
Handling Fee Applications Denied	33	59%	0	0%	-59%
Handling Fee Applications Released	21	38%	8	100%	62%
Post-Payment Denials	2	4%	0	0%	-4%
Claim Amounts	2019 \$ Amount	2019 % of Amount	2020 \$ Amount	2020 % of Amount	Change in % (% points)
Handling Fees Claimed	\$434,302.21	100%	\$64,490.53	100%	-85%
Handling Fees Denied	\$182,875.50	42%	\$0.00	0%	-42%
Handling Fees Released	\$234,731.71	54%	\$64,490.53	100%	46%
Post-Payment Assessments	\$16,695.00	4%	\$0.00	0%	-4%
Restitution & Civil Penalty Assessments	2019 \$ Amount	2019 % of Amount	2020 \$ Amount	2020 % of Amount	Change in % (% points)
Total Assessments	\$3,868.70	100%	\$0.00	0%	-100%
Restitution	\$1,043.70	27%	\$0.00	0%	-27%
Civil Penalties	\$2,825.00	73%	\$0.00	0%	-73%

Inspection Case Statistics

January 2020 – December 2020

Case Statistics	2019 # of Cases	2019 % of Cases	2020 # of Cases	2020 % of Cases	Change in % (% points)
Total Inspections	4,514	100%	2,536	100%	-44%
Recycling Centers (RC) Inspections	1,974	44%	920	36%	-8%
RC - Notices on Non-Compliance Issued	408	21%	51	6%	-15%
RC - Notices of Violation Issue	152	8%	11	1%	-7%
RC - No Violation	1,245	63%	861	94%	31%
Dealer (DL) Inspections	2,540	56%	1,616	64%	8%
DL - Notices on Non-Compliance Issued	1,658	65%	663	41%	-24%
DL - Notices of Violation Issue	152	6%	224	14%	8%
DL - No Violation	745	29%	740	46%	17%
Complaints Resolved	302	84%	59	16%	-68%
Civil Penalty Assessments	2019 \$ Amount	2019 % of Amount	2020 \$ Amount	2020 % of Amount	Change in % (% points)
Total Assessments	\$238,000.00	100%	\$44,550.00	100%	-81%
RC - Civil Penalty Assessments	\$165,000.00	69%	\$2,700.00	6%	-63%
DL - Civil Penalty Assessments	\$73,000.00	31%	\$41,850.00	94%	63%

Investigation and Processor Oversight Case Statistics

January 2020 – December 2020

Case Statistics	2019 # of Cases	2019 % of Cases	2020 # of Cases	2020 % of Cases	Change in % (% points)
Cases Initiated	294	100%	352	100%	20%
Investigations Initiated	88	30%	113	32%	2%
Fraud Detection Reviews Initiated	43	15%	17	5%	-10%
Claimed Volume Reports Initiated	58	20%	169	48%	28%
Recycler Load Inspection Initiated	24	8%	19	5%	-3%
Call Center Cases Initiated	81	28%	34	10%	-18%
Cases Closed	414	100%	301	100%	-27%
Investigations Closed	117	28%	71	24%	-5%
Fraud Detection Reviews Closed	55	13%	18	6%	-7%
Claimed Volume Reports Closed	105	25%	149	50%	24%
Recycler Load Inspection Closed	59	14%	23	8%	-7%
Call Center Cases Closed	78	19%	40	13%	-6%
Load Inspection/Reviews Conducted:	2,994	100%	417	100%	-86%
Denied	13	0.4%	1	0.2%	-0.2%
Reduced	1	0.0%	7	1.7%	1.7%

Investigation and Processor Oversight Case Statistics January 2020 – December 2020 (cont'd)

Case Statistics	2019	2020	% Change
Forensic Reviews Completed	33	47	42%
Participants Placed on Prepayment Control Status	30	8	-73%
Notices of Noncompliance Issued	91	114	25%
Notices of Violation Issued	28	46	64%
Recommendation to Revoke / Terminate Certification	12	7	-42%
Recommendation to Deny Certification Applications	3	1	-67%
DOJ Referrals	10	20	100%

Imported Material Report (IMR) Statistics January 2020 – December 2020

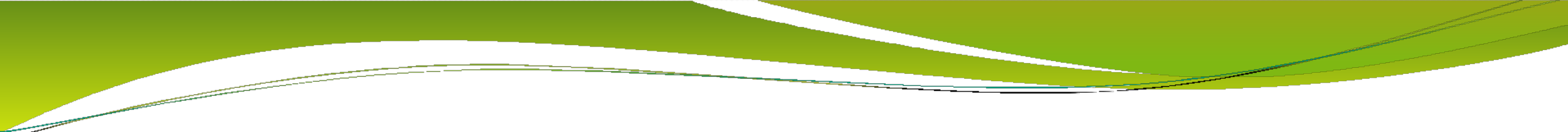
IMR Statistics	2019 # of Cases	2019 % of Cases	2020 # of Cases2	2020 % of Cases2	Change in % (% points)
Total IMRs Received	3,300	100%	2,817	100%	-15%
Type of Vehicle (TOV)	3,300	100%	2,817	100%	100%
TOV - Semi-Trucks	2,893	88%	2,503	89%	1%
TOV - Other	407	12%	314	11%	-1%
Form of Material (FOM)	3,300	100%	2,817	100%	0%
FOM - Baled	1,068	32%	928	33%	1%
FOM - Loose	2,224	67%	1,881	67%	0%
FOM - Other	8	0%	8	0%	0%
Material Type (MT)	3,300	100%	2,817	100%	0%
MT - Single-Stream	1,830	55%	1,580	56%	1%
MT - Other	1,470	45%	1,237	44%	-1%
Point of Origin - State (POS)	3,300	100%	2,817	100%	0%
POS - Nevada	1,860	56%	1,461	52%	-4%
POS - Arizona	782	24%	640	23%	-1%
POS - Utah	82	2%	135	5%	3%
POS - Oregon	190	6%	185	7%	1%
POS - Other	386	12%	396	14%	2%

Department of Justice (DOJ) Case Statistics Report January 2020 – December 2020

DOJ Case Statistics July 2020 Thru September 2020	Totals
In-State Surveillance	102
Out-of-State Surveillance	8
Search Warrants	32
Investigations Initiated	13
Investigations Closed	12
Arrests	31
Material lbs. (Aluminum, PET, Glass)	162,765
Material Value	\$223,138.04

Status of Accusations October 2020 – December 2020

Status of Filed and Served Accusations		
Participant Name	Date Filed	Amount Assessed
Accusations filed & served January 1, 2021 to March 31, 2021		
No accusations filed and served this period.		
Accusations resolved January 1, 2021 to March 31, 2021		
No accusations resolved this period.		



QUESTIONS & COMMENTS