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PATHFINDER TO
EPA ENFORCEMENT DATABASES

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Prepared by:

Information Services Branch
Information Management and Services Division
Office of Information Resources Management

U.S. Environmental Protection Agency

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AIR

COMPLIANCE DATA SYSTEM (CDS)

PURPOSE

To provide Federal and State air program managers an information management system on compliance status and enforcement activities related to facilities subject to Federal and State air emission regulations for New Source Performance Standards (NSPS), State Implementation Plans (SIPs), and National Emission Standards for Hazardous Air Pollutants (NESHAPS).

DATA DESCRIPTION

Source:

Facilities emission limitations are contained in permits maintained by State and local air pollution agencies; State and local agency staff conduct inspections of facilities compliance with these limitations and then report their findings to Regional offices.

- States send data to Regional offices periodically (generally quarterly); they can submit electronically, on computer files, or on manually coded forms.
- Regional staff load the manually submitted data from the States into their CDS system.

System Data includes:

- ID information on facilities required to meet air emission regulations (e.g., name, address)
- Inspection schedules
- Violations
- Compliance status and schedules
- Enforcement actions (e.g., administrative orders, penalties)
- Legal actions (e.g., DOJ referrals, civil/criminal cases)

REPORTS GENERATED

- "Quick look" reports; a one line per source report, listing the name, address and compliance address and compliance status of facilities.
- Source data reports containing complete history of compliance status information and enforcement action information for specific sources.
- Milestone reports showing the number of emission points by compliance status for the States within a Region and for the Region as a whole.
- Summary reports of enforcement actions taken by States and Regions, type of action in all air quality control Regions (AQCRs).
- Reports summarizing the compliance status and enforcement actions for selected facilities.
- Special reports in "prevention of significant deterioration" (PSD) showing the status of facilities undergoing the permit review steps associated with PSD regulations.

SYSTEM ACCESS

- States can access CDS directly through telecommunication lines or through links to Regional computers.
- Regional offices obtain reports through their own minicomputers.
- EPA's Headquarters Air program staff use terminals at Headquarters to access the CDS system directly.
- National system operates on EPA IBM 3090 mainframe. Regional Offices have their own CDS version on PDP-11/70 minicomputers.
- Nineteen States directly access CDS; States that use their own systems use a converter program to send data to CDS. Fourteen States have CDS on their State system (EPA provides the software). The software is written in COBAL.

PLANNED ENHANCEMENTS

- CDS has been modified to maintain "continuous emissions monitoring" (CEM) data. The CEM subset provides users with quarterly reports of excess emissions.
- EPA plans to more actively promote the use of CDS by all the States.
- Plans to expand data base by using ADABAS.

USER SUPPORT SERVICES

- Training upon request (contract support The Research Corporation (TRC) of New England)
- CDS Users Guide
- CEM Guide
- CDS Quality Assurance Guide
- Also provides technical support by TRC to CDS users
- Annual CDS Managers Conference

EPA SPONSOR

System Manager: Franklin C. Smith
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(OAQPS)
Telephone: (202) 382-2881

GENERAL COUNSEL

DOCKET

PURPOSE

Docket is a computerized system for tracking and managing civil litigation case initiated by EPA against violators of all EPA-mandated environmental statutes. The system is used for case tracking and management of enforcement activity, analysis, responding to Congressional and FOIA request. The system contains an historic record of all EPA civil litigation.

DATA DESCRIPTION

Source:

Data is obtained and entered into the system at the time a case is developed and initiated in the region.

- Updates and changes are done monthly.
- Significant milestones events are entered into the system as they occur.

System is, therefore, updated both daily and routinely on a monthly basis.

System Data includes:

- Case description: case name, responsible office, region, law(s) and section violated, and headquarters division handling or reviewing the case.
- Staff assigned: regional attorney, regional technical contact, headquarters program office contact, headquarters attorney Department of Justice (DOJ) attorney.
- Major Event and Milestone dates: initiated, referred to DOJ, field, and concluded.
- Miscellaneous event dates: other significant events as defined by user.
- Amendments to complaints.
- Results of how the case was concluded, stage at which it was concluded and any imposed penalties.

- List of the defendants including any potentially responsible parties proposed and named in the complaint.
- Comments include a brief description of the case summary, and attorney comments on important case activities.

REPORTS GENERATED

- Quick Look reports: a one line per case report from data base containing specific items requested by systems accessor. All standard reports have a full range of selection and sort capabilities.
- Crosstab reports: arrays of values for two data items (eg. fiscal year filed by region.)
- SAS analysis including frequency distributions, the number of days cases are pending, and graphic and histogram distributions.

SYSTEM ACCESS

- Access is restricted; Retrievals are made only by trained authorized EPA analysts in headquarters, regions, and the National Enforcement Investigation Center (NEIC).
- System resides on the IBM 3090 mainframe using ADABAS database management software.
- No states have access to either input or output of data from the system; no such authorization is planned.

PLANNED ENHANCEMENTS

No significant enhancements are planned.

USER SUPPORT SERVICES

- Data element dictionary
- List of analysts authorized to make retrievals is attached.
- There are no training courses available.

EPA SPONSOR

System Manager: Bruce Rothrock
 Office/Address: Office of Enforcement and Compliance (LE-133)
 Telephone: (202) 382-2614

DATA ANALYSTS ADDRESS/PHONE LIST

<u>LOCATION</u>	<u>NAME</u>	<u>ADDRESS</u>	<u>PHONE</u>
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HAZARDOUS AND SOLID WASTES

COMPREHENSIVE ENVIRONMENTAL RESPONSE, COMPENSATION, AND LIABILITY INFORMATION SYSTEM (CERCLIS)

formerly the

EMERGENCY AND REMEDIAL RESPONSE INFORMATION (ERRIS)
and the
PROJECT TRACKING SYSTEM (PTS)

PURPOSE

- To provide EPA Headquarters and Regional Superfund managers with an automated inventory of abandoned and inactive or uncontrolled, hazardous waste sites. CERCLIS also provides the capability for storing and retrieving information on management and cleanup actions under way at these sites.

DATA DESCRIPTION

Source:

- The data in CERCLIS is the data collected by State and Federal officials and reported as part of hazardous waste site identification and cleanup activities.
- Regional offices evaluate and enter all data with the exception of some financial data, which is entered by Headquarters staff.

System Data includes:

- Identification and location of uncontrolled hazardous waste sites.
- Planned milestones for cleanup and progress against those milestones.
- Cost of cleanup.
- Descriptive data.
- Region-specific data.

REPORTS GENERATED

- ° Site and alias name and location listings
- ° Site description listings
- ° Event description listings
- ° Event schedule listings
- ° Financial listings
- ° Site and event statistical reports
- ° Standardized graphs (bar charts, line charts, pie charts, and maps) are on the retrieval menu.

SYSTEM ACCESS

- ° Headquarters and Regional staff can access the system directly.
- ° Standard reports and the results of ad hoc queries are printed locally both in Regional and Headquarters offices.
- ° Reports and machine readable files from the system are available to State and other outside users on request.
- ° National system operates on EPA's IBM 3090 mainframe and uses the S2K database management software. Regional and Headquarters offices perform data entry on PDP 11/70 minicomputers. Data entry software on the minicomputers was written and operates in INFORM.
- ° An ad hoc query capability is also provided for those users who are familiar with the S2K natural language capability.

PLANNED ENHANCEMENTS

- ° CERCLIS was developed by modifying the software for the Office of Solid Waste and Emergency Response's Emergency and Remedial Response Information System (ERRIS) and the Project Tracking System (PTS). This enhancement, effective March 28, 1985, allowed integration of both sets of information.

- The Office of Emergency and Remedial Response is currently in the process of developing an integrated program management system for the Superfund program which will significantly impact CERCLIS. This system will focus on:
 - Conducting site management planning through the use of automated systems;
 - Tracking identified major site management activities for national and Regional program management;
 - Using CERCLIS as the source of site management information to support national program management;
 - Expanding user support, system marketing, and user input opportunities for CERCLIS.

USER SUPPORT SERVICES

- CSC has set up a "hot-line" type operation at its Headquarters office in Falls Church for users having operational/technical difficulties. User support is also provided through EPA Headquarters offices in OIRM and OERR.
- Headquarters provides training to all users on a semi-annual basis - in the Spring and Fall. The training is extended to Data Base Administrators, Regional Project Officers, and CSC support personnel, and services include:
 - definitions
 - issues
 - management expectations
 - contractor support
 - QA/QC support
 - data elements
 - structure
 - system overview
 - screen installation
 - data entry menu
 - retrieval menu
 - update and maintenance reports and listings

EPA SPONSOR

System Manager: Richard Martin
 National Project Officer: Shirley Keehn
 Office/Address: Office of Emergency and Remedial Response, OSWER
 Telephone: (202) or FTS 382-5837

HAZARDOUS AND SOLID WASTE

HAZARDOUS WASTE DATA MANAGEMENT SYSTEM (HWDMS)

PURPOSE

To provide Federal and State managers with automated systems capability for managing facilities regulated under the Resource Conservation and Recovery Act (RCRA), which regulates generators, transporters, treaters, storers, and disposers of hazardous waste.

DATA DESCRIPTION

Source:

- ° All companies that generate, transport, treat, store, or dispose of hazardous waste are required to submit information to the State environmental agencies or EPA Regional offices responsible for RCRA.
- ° The data in HWDMS is collected by State or Federal officials, depending upon which government level is authorized responsibility for the RCRA program. With the exception of seven States, the data is sent to the EPA Region where regional staff or their contractors enter the data into the system. The seven remaining States enter data directly into HWDMS using the EPA regional minicomputers from terminals located in the State offices.

System Data includes:

- ° Facility level data including facility location, mailing owner, and operator names and addresses; geographic information on the location of the facility; SIC codes.
- ° Waste process design type and capacity available at the facility, and the types of wastes actually processed as reported by facilities on their RCRA Notification Forms and Part A, Permit Applications.
- ° Action-events in the Part B permitting process; financial management data, closure/post-closure actions, and ground-water monitoring actions.
- ° Compliance and enforcement data related to compliance monitoring and enforcement actions that do not involve litigation. (Actions involving litigation are tracked when they are filed and completed; civil and criminal actions are tracked in more detail in a system called DOCKET.)

REPORTS GENERATED

- HWDMS provides the following functional support to EPA Headquarters program offices, Regions, and States:
 - Inventory of facilities regulated by RCRA.
 - RCRA Notification and Part A Permit Application processing support.
 - Management tracking capabilities for the Part B permitting process, RCRA groundwater monitoring actions, financial management reporting, closure/post-closure requirements, and compliance monitoring and enforcement actions.

SYSTEM ACCESS

- Seven States access HWDMS to enter data directly.
- Regional offices directly access the system and print HWDMS reports locally.
- EPA Headquarters staff can access HWDMS using terminals in the EPA Headquarters Office.
- The system operates on EPA's IBM 3090 mainframe. There are ten physically separate System 2000 (S2K) databases, one for each Region.
- Data entry software was written in INFORM and operates on the Region PDP 11/70 minicomputer. The ten S2K data bases are consolidated weekly using IDMS input/output capabilities and EPA-developed Relational Data System (RDS) software to consolidate the data into one large National database.

PLANNED ENHANCEMENTS

- System modifications have been completed to allow reporting of compliance monitoring and enforcement data. The HWDMS Version 5 and Version 6 data structures were merged to provide capabilities Regions need for daily program management and those Headquarters needs for oversight reporting.
- A major system development effort is underway to build a comprehensive information management system to serve the total RCRA program at the HQ, Region and State level. The system entitled "RCRIS", will support administration information needs, analysis for regulatory development, and management of the regulated facilities/handlers.

USER SUPPORT SERVICES

- Technical assistance is available through a contractor, Computer Sciences Corporation - (202) 488-5914.

EPA SPONSOR

System Manager: Steve Levy
Office/Address: Office of Solid Waste and Emergency Response
Telephone: (202) or FTS 382-4697

PESTICIDES AND TOXIC SUBSTANCES

FIFRA and TSCA Enforcement System (FATES)

PURPOSE

To provide Federal managers automated capability to store and retrieve available State and Federal information on compliance activities pertaining to the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), which regulates production, distribution and use of pesticides and the Toxic Substances Control Act (TSCA), which regulates development, production, distribution, use and disposal of chemical substances and mixtures. FATES also provides information to respond to Freedom of Information requests.

DATA DESCRIPTION

Source:

EPA is responsible for monitoring compliance with FIFRA and TSCA. States submit hard copy reports on enforcement actions they have taken to the Regional offices. EPA personnel enters this information as well as EPA pesticide enforcement data and TSCA enforcement data into mini-computers for transmission to NCC at RTP, NC.

System Data includes:

- ° List of pesticide-producing establishments, identifying parent company and types and amounts of products manufactured annually.
- ° Results of FIFRA and TSCA inspections.
- ° Status of FIFRA and TSCA enforcement actions.
- ° For EPA's State awarded pesticide grant program, includes: projections and accomplishments for inspections, enforcement actions, certifications and training of pesticide applicators.

REPORTS GENERATED

- Lists of pesticide-producing establishments, identifying parent company and types and amounts of products manufactured.
- Lists of inspections, including name of site and types of samples taken.
- Lists of enforcement cases, showing type of enforcement response, responsible party, and case milestones.
- Compliance histories for specific companies or establishments, listing all prior inspections, samples, violations, and enforcement actions.
- For specific States, a comparison of enforcement and certification projections and accomplishments.

SYSTEM ACCESS

- EPA personnel must enter data utilizing minicomputers, but can request reports either directly or through the minicomputer.
- National System operates on EPA IBM 3090 mainframe, model 200, using IDMS database management software.
- Regional data entry and report production operates on PDP-11/70 minicomputers.

USER SUPPORT SERVICES

- FATES workshops and training conducted as needed.

EPA SPONSOR

System Manager: Mike Wood
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Pesticides and Toxic Substances
Telephone: (202) or FTS/382-7835

WATER

FEDERAL REPORTING DATA SYSTEM (FRDS)

PURPOSE

To provide Federal managers with a centralized database of information on public water supply system (PWS) to assist them in their program oversight responsibilities. For example, Headquarters uses FRDS information to oversee State programs, as well as to prepare reports for Congress.

DATA DESCRIPTION

Source:

Public water supply systems must regularly monitor the quality of their drinking water and report that quality to State agencies. When a violation occurs, State agencies periodically (each quarter) report these violations to EPA.

- 20 States use EPA's Model States Information System (MSIS) to maintain data on their Public Water Supply programs. These States transmit the data quarterly (via magnetic tape) to the Region, which performs a quality control check and forwards it to EPA which updates FRDS. Several other States have their own software package and either send hard-copy reports (generated from their system) to the Region or provide data to FRDS in a standard format.
- The remaining States send hardcopy reports to the Region, which enters the data in FRDS.
- PWS-Micro is under development. When implemented, it will provide the States using the system, the capability to provide data to FRDS.

System Data includes:

- Facility identification information for each PWS, including identification number, location (e.g., latitude/longitude), owner, water source, plant type and any variances granted.
- Violations data describing the type, severity, and date of violation.
- Enforcement information (e.g., type, date, status).

REPORTS GENERATED

- Lists of all active PWS and their compliance status.
- Charts summarizing the regulated community (e.g., percent of population served, average size of each type of PWS, violations by county or State).
- Tables showing status of systems (e.g., violations by type of violation, disposition of violations).
- Summaries of all enforcement actions, highlighting those which have not been resolved.
- Capability to cross reference Superfund sites contained in CERCLIS database using geographic parameters.

SYSTEM ACCESS

- Each State may access FRDS using an online, interactive retrieval package.
- Headquarters and Regional staff access the system directly using the same online retrieval software as the States.
- National system operates on EPA's IBM 3090, model 200. The application uses the System 2000 database management system.

PLANNED ENHANCEMENTS

- ODW is modifying FRDS to maintain a single, continuum inventory and violation/follow-up data for a minimum of five fiscal years. These enhancements are scheduled to be implemented in the second quarter of FY 87.

USER SUPPORT SERVICES

- Processing edits and updates for FRDS
- Various database administration functions
- Answering the FRDS Hotline
- Assisting users in extracting data from FRDS, (particularly complex questions or high priority systems problems are referred to the EPA system manager or systems maintenance contractor for resolution).

EPA SPONSOR

System Manager: Larry Weiner
Office/Address: Office of Drinking Water
Telephone: (202) or FTS 382-2799

WATER

PERMIT COMPLIANCE SYSTEM (PCS)

PURPOSE

To provide capability for automated storage, retrieval, and analysis by Federal and State managers of permit and discharge information on facilities regulated under the National Pollutant Discharge Elimination System (NPDES) program administered by EPA's Office of Water.

DATA DESCRIPTION

Source:

Reports submitted to State and EPA authorities by the more than 65,000 industrial and municipal facilities that have permits under the NPDES program. Facilities must sample effluent on a daily, weekly, or monthly basis and then regularly report the monitoring results to State or EPA authorities, depending on their delegation status.

- ° 15 States with NPDES delegation enter data into PCS themselves (FY 86 negotiations may increase States direct access):
 - Dial-up Regional minicomputer and enter using interactive software.
 - Dial-up EPA National Computer Center (NCC) to enter data in batch mode or interactive mode.
- ° Regions are required to perform data entry for balance of delegated States and for nondelegated States.

System Data includes:

- ° Identification information for industrial and municipal facilities with NPDES permits
- ° Outfall and limits data from NPDES permits
- ° Effluent data from monthly Discharge Monitoring Reports (DMRs) submitted by NPDES permittees
- ° State and EPA inspection data

- Compliance schedules and violations
- Enforcement actions and dates
- Evidentiary hearing data

REPORTS GENERATED

- Identification of effluent, compliance schedule, and DMR reporting violations.
- Quarterly Non-Compliance Report (QNCR).
- Compliance Schedule Forecast Report showing events and dates for compliance actions.
- Limit Summary Report listing discharge limits by facility for each NPDES parameter.
- Quicklook and Milestone Reports which allow users to retrieve and tally information in PCS.
- Facility Report which provides detailed information on a permittee.

SYSTEM ACCESS

- States access PCS to retrieve data by submitting batch or interactive requests to NCC.
- National system operates on EPA IBM 3090 mainframe using ADABAS database management software.
- Regional minicomputer data entry software operates on PDP 11/70 minicomputers.
- Remote users (Regions and States) access system by means of dial-up service through Tymnet and Telenet public data networks.
- INQUIRY retrieval capability allows users to perform interactive queries.
- PCS ADABAS data entry allows users to perform interactive data entry.

PLANNED ENHANCEMENTS

- Automation of SPMS and new QNCR regulations

- EPA prepared and issued a clear policy regarding PCS use which addresses major data quality issues and data completeness and timeliness. By the end of FY 86 all SPMS related data will be included in the system.
- Ability to calculate pollutant loadings by stream, by facility, by county, etc.

USER SUPPORT SERVICES

- PCS hotline - (202) or FTS 475-8529 (Staffed 7:30a.m. - 4:30p.m. EST)
- User documentation and support for training
- Management and technical status reports
- Monthly teleconference status calls
- Online status file to communicate PCS operations and enhancements
- PCS Steering Committee meetings
- PCS User Group meetings
- PCS Work Group meetings

EPA SPONSOR

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