Bibliography NON-REGULATORY APPROACHES TO ENVIRONMENTAL MANAGEMENT September, 1977

NON-REGULATORY APPROACHES

ANDERSON, Fred, et. al. Environmental Charges; Economic, Technical, Legal and Political Aspects. [Washington, National Academy of Engineering, Committee on Public Engineering Policy], September 1977. 241 p. (Draft report).

"This book gives an integrated evaluation of the charges approach, beginning with the theoretical underpinning already supplied by economic analysis, but then moves on to consider technical feasibility, legal foundations and pitfalls, and the political factors affecting programs which legislatures could enact."

Council on Law-Related Studies. Effluent Charges on Air and Water Pollution:

A Conference Report. Washington, Oct. 15-16, 1971. Washington, Environmental Law Institute, 1973. 102 p. (ELI Monograph Series 1).

"The conference examined such questions as (1) can effluent charges usefully supplement, or must they replace, direct regulation? (2) on what and on whom should charges be levied, how will their levels be determined, and should they be uniform or variable? (3) what institutions are needed to administer them and what costs, especially of information—gathering and monitoring, would they entail? The participants examined such issues by reference to a dozen concrete plans or proposals for charges. There were five sessions, devoted, respectively, to Statewide charges as supplements to existing water quality regulations, basinwide effluent charges and alternative low—cost strategies, Federal excise taxes on lead in gasoline and on automobiles emitting pollutants."

FISHER, A.C., and F.M. Peterson. The Environment in Economics: A Survey. Journal of Economic Literature, 1(1): 1-33, March 1976.

"The authors have reviewed several theories/policies concerning the importance of extractive resources vs. the importance of those amenity services derived from the environment. One compromise suggested would be a combined effluent tax and standard that would be as efficient as a pure tax solution and also more politically palatable."

IRWIN, W.A., and R.A. Liroff [Environmental Law Institute]. Economic Disincentives for Pollution Control: Legal, Political and Administrative Dimensions. U.S. Environmental Protection Agency, July 1974. 257 p. (Distributed by National Technical Information Service, Springfield, Va. as PB-239 340).

"This report defines an economic disincentive as a monetary charge levied by government on conduct which is not illegal but which does impose social costs, for the principal purpose of discouraging the conduct. Disincentives are distinguished from other legal mechanisms which may have incidental economic effects, e.g., fines, user charges, and license fees. The constitutionality of federal or state imposition of disincentives is examined and the authority of the U.S. Envrionmental Protection Agency

and the states to utilize disincentives under selected federal environmental statutes is analyzed. The legality of some disincentives adopted by states is discussed. The charges imposed by several European countries are described and distinguished from disincentives. The history of some previous proposals for federal disincentives is reviewed and suggestions for additional disincentives which might be feasible are offered."

- KNEESE, A.V., and C.L. Schultze. <u>Pollution, Prices and Public Policy</u>. Washington, Brookings Institution, 1975. 125 p.
- LUMB, H.C. Fallacies of a Pollution Tax. Industrial Water Engineering, 8(4):15, April 1971.
- MCCLOSKEY, M. and J. HIllis. Economic Deterrents, Penalizing Polluters Part I. Sierra Club Bulletin, 56(9):9-12. November 1, 1971.
- MCSS, L.I. The Emission Tax, Penalizing Polluters Part II. Sierra Club Bulletin, 56(9):12-13. November 1971.
- Organization for Economic Cooperation and Development. <u>Pollution Charges:</u>
 An Assessment. Paris, 1976.

"The object of this study is to see whether the regulatory and tax approaches can be made to complement each other rather than conflict. The present study, based mainly on the analysis of concrete cases, aims at being at the same time analytical and prescriptive by presenting a detailed assessment of already implemented charge systems and a number of proposals for the extension of the use of charges."

U.S. Congress. <u>Pollution Taxes</u>, <u>Effluent Charges</u>, and Other Alternatives <u>for Pollution Control</u>. Prepared for Senator Ed Muskie by the Committee on Environment and Public Works. May 1977.

BACKGROUND LITERATURE

ALEXANDER, Tom. If We Persist on the Present Regulatory Paths, Costs Will Outweigh Benefits and, Oddly Enough, the Environment May Get Dirtier. Fortune, November 1976, pp. 129-131, 230-234.

"Far from attaining a state of ultimate grace, society is having trouble even achieving the short-range goals established by existing laws. At least half the nation's designated air-quality regions are violating the minimum standards they were to have met in 1975, and it now appears that some major cities may never be in compliance... And as for the harassed Environmental Protection Agency that is supposed to be enforcing the law, there's little it can do about many of these violations except to pretend they're not happening... It's hard to escape the conclusion that there's

got to be a better way. Many economists have been proposing that we harness market forces to serve environmental ends... The regulatory approach provides no incentive to reduce pollution beyond the mandated standards. In theory at least, effluent charges would provide incentive all the way to zero."

"Regid standards and timetables for pollution abatement that off time cannot be met by industries and could eventually lead to greater amounts of pollution. Since it appears that overtime the benefits of pollution abatement may not exceed the costs, the author favors the imposition of a tax or effluent charge on every polluter according to the amount and relative harmfulness of the discharges. This method could also direct greater attention to conserving, reusing, and recycling resources to reduce reliance on energy-consuming, pollution-producing methods of control".

BAUMOL, E., and J. Oates. The Instruments For Environmental Policy. Presented at Conference of Environment, November 1972. (Unpublished Draft).

"With the objective, the realization of a set of specified standards of environmental quality, Baumon and Oates have shown elsewhere that, assuming cost-minimizing (not necessarily profit-maximizing) behavior by producers, effluent charges are the least-cost method of attaining the target: the proper effluent fee will generate through private decisions to set off activity levels which imposes the lowest costs on society. One problem with an effluent charge scheme is the high monitoring or metering costs. It is also pointed out that under oligopoly or monopoly, taxes on pollutive activities may fail to do their job with full effectiveness."

"The article cites a few cases of the use of effluent fees for environmental protection (refers to other authors). Also cited are two studies of industrial responsiveness to sewerage fees."

- BAUMOL, W.J., and W.E. Oates. <u>Economics</u>, <u>Environmental Policy</u>, and the Quality of Life. June 1977.
- BINIEK, J.B. <u>Pollution Taxes</u>, <u>Effluent Charges</u>, and Other Alternatives for <u>Pollution Control</u>. Issue Brief No. IB77009. Washington, Library of Congress, Congressional Research Service, February 1977. 9 p.
- BOWER, B.T., C.N. Ehler, and A.V. Kneese. A Context for Choosing Implementation Incentives for Environmental Quality Management. Environmental Comment. January 1977. Pp. 5-10.
 - "This article is intended to address some of the basic issues of identifying and selecting incentives, both positive and negative, for the implementation of environmental quality management plans."
- Committee for Economic Development, Research and Policy Committee. More Effective Programs for a Cleaner Environment; A Statement on National Policy. New York, April 1974. 85 p.
- DORFMAN, N.S., AND A. Snow. Who Will Pay for Pollution Control? The Distribution by Income of the Burden of the National Environmental Protection Program, 1972-1980. National Tax Journal, 28(1):101-115, March 1975.
- DOWNING, P.B., and W.D. Watson, Jr. The Economics of Enforcing Air Pollution Controls. Journal of Environmental Economics 1, Pp. 219-236. 1974.
 - "The goal of this paper is to determine the likely effect on a firm's control actions of alternative implementation and enforcement policies available to the control agency. Three alternatives are studied, legal enforcement through the new source performance standards set forth by EPA, and two effluent fee enforcement alternatives. First, a generalized model of the effects of implementation and enforcement policies on the firm's control actions is developed. The model is then applied to the case of particulate matter discharges from coal-fired power plants in order to estimate empirically the effects of policy alternatives on the firm's control efforts.
- EHLER and Bower. Implementation Incentives for Environmental Quality Management. Preliminary Outline for Background Paper on Concepts and Issues.
- FREEMAN III., A.M. and R.H. Haveman. Residuals Charges for Pollution Control: A Policy Evaluation. Science, 177(4045):322-329. July 28, 1972.

"Freeman and Haveman attempt to clarify some of the misconceptions concerning the efficiency, feasibility, and effectiveness of residuals charges. The residuals charge strategy is compared to the regulation-enforcement strategy in discussing the rationale for the residuals

charge approach to environmental management (describing its economic logic and explaining how it would work in practice) and in addressing misconceptions regarding residuals charges; i.e., the belief that charges can be implemented only if the magnitudes of the damages are known in terms of dollars, the belief that residuals charges are licenses to pollute, that charges hinder industrial abatement, that charges are similar to user charges. Other topics touched upon are pollution control costs, regulation and inflation, and market power. An environmental strategy which minimizes its reliance on regulation-enforcement and which emphasizes the use of economic incentives should be further probed as an alternative to the problem-laden regulation approach now being used for environmental regulation. The strategy of residuals charges is the alternative preferred by the authors."

GRESSER, J. The 1973 Japanese Law for the Compensation of Pollution-Related Health Damage: An Introductory Assessment. Environmental Law Reporter, 5:50229-50251, December 1975.

"Some major provisions of the Act include (1) examination of pollution victims by a special Health Damage Certification Council; (2) polluters pay the entire costs of victim assistance; and (3) establishes an administrative structure to oversee compensation payments."

- GRESSER, J., A. Morishima, and K. Fujikura. The Law for the Compensation of Pollution Related Disease; An Assessment of the First Two Years of Implementation; Interim Report. Cambridge, Harvard Law School. 1976. 40 p. (Unpublished Report).
- MIEDEMA, A.K., and T.H. Bingham. On Taxation and the Control of Externalities:

 Comment and Counter-Proposal. Research Triangle Park, N.C., Research

 Triangle Institute. 19 p. (Draft).

"Emission taxes would have to be adjusted not only for locational differences among emitters, but also for temporal differences in the production of emissions. In a world of zero transactions costs, however, emission taxes could be an optimal policy—from an allocative efficiency perspective Inclusion of transactions costs in considering total resource costs, however, indicates that optimal emission charges would be expensive to administer... The presence of transactions costs makes an emission charge less cost-effective than an alternative specification of an emission rights system that retains the welfare optima developed...for emission charges but avoids the substantial transactions costs associated with emission charges."

"Although both author's generally agree with the proposal that emission tax rates should vary spatially, they argue that the time distribution of emissions and the transaction costs involved should be considered at least as important."

Organization for Economic Cooperation and Development. Paying to Pollute. Environment, 18(5):16-20. June 1976.

"France, Norway, Germany, and the Netherlands are experimenting with one of the most effective policy instruments in the fight against pollution Pollution Charges."

Organization for Economic Cooperation and Development. The Polluter Pays Principle: Definition, Analysis, Implementation. Paris 1975. 20 p.

REED, P.D. The Use of Economic Disincentives in Environmental Quality Management. July 1, 1976.

"This paper discusses the economic causes of pollution, a variety of economics-based responses, and some ways in which EPA could implement economics-based approaches."

RENSHAW, E.F. Pollution Taxes: Political Realities May Require Rebates. Tax Notes, 4(42):3-4, Pp. 10-14. October 18, 1976.

"A possible solution to gaining Congressional approval of pollution taxes would be to insure that no pollution should be costless to the polluter, e.g., a recycling of the taxes in the form of rebates to the polluter."

RUFF, L.E. The Economic Common Sense of Pollution. The Public Interest, 19:69-85, Spring 1970.

"Although there are noneconomic aspects of pollution, pollution is an economic problem which must be understood and dealt with in economic terms."

SCHULTZE, C.L. The Public Use of Private Interest. Harper's Magazine. Volume 254, No. 1524. May 1977. Pp. 43-62.

"The rash of new regulatory mechanisms established in recent years — for pollution control . . . — have begun to generate resentment against excessive red tape. Conservatives argue that recently adopted social interventions have been a mistake while the liberal wrong in the recent trend of interventionism.

Tax Foundation, Inc. <u>Pollution Control: Perspectives on the Government</u> Role. New York. 1971. 46 p.

"The study discusses the pros and cons of various fiscal proposals to deal with the pollution problem, as well as technical, political, and economic difficulties faced in setting optimum control standards...

The study brings together a number of cost estimates to provide a general view of the magnitude of dollar amounts involved in making specified improvements."

- TULLOCK, G. Excess Benefit. Water Resources Research, 3(2):643-644, 2d Quarter 1967.
 - "After reviewing various literature on the econimic basis for effluent charges, Mr. Tullock discovered that one important aspect of that economic base has been virtually ignored that governments need money and the return from charges on externalities is a passible source of such funds."
- TYBOUT, R.A. Pricing of Pollution. The Bell Journal of Economics and Management Science, 3(1):252-66. Spring 1972.
- U.S. Congress. House. Committee on Government Operations. Views of the Governors on Tax Incentives and Effluent Charges. H. Rept. No. 1330. Union Calendar No. 567. March 15, 1966, 89th Congress, 2d Session. Washington, U.W. Government Printing Office, 1966.
- WEIDMAN, J. An Introduction to the Effluent Charge Approch. March 30, 1977.

 "There is no turnning back the clock for thosepeoples tried to the finer pleasures of a higher standard living. It would be nonsensical to expect factories to shut down, candles to replace lightbulbs, and people to stop driving just so we could all breath easier. Therefore, to combat the problem our country has set up a system of regulation—enforcement, which dispite its intentions, has to the greater extent failed. In the paper, a workable alternative to regulation is explored. One which will effectively cope with the complexities and problems of pollution control."
- WHITAKER, J.C. Striking a Balance; Environment and Natural Resources Policy in the Nixon-Ford Years. Washington, American Enterprise Institute for Public Policy Research, 1976. 344p (AEI-Hoover Policy Studies; 21) (Hoover Institution Studies; 57).

"The evolution of environmental policy from Gifford Pinchot (sometimes known as the father of the conservation movement) to the Nixon-Ford era."

WHITE, L.J. Effluent Charges as a Faster Means of Achieving Pollution Abatement. Public Policy, v. 24. Winter 1976. Pp. 111-125.

"Argues that economics should be supporting pricing schemes as such schemes will bring about abatement faster (in addition to being more efficient than existing policies)."

LAW-RELATED LITERATURE

- HCCK, J. Constitutional Considerations Associated With Pollution Taxes.
 Natural Resources Lawyer, 7(1):97-135. Winter 1974.
- LEE, R.A. A History of Regulatory Taxation. Chapter 1, Police Power—and the Taxing Power. The University Press of Kentucky, Lexington, 1973.

"Discusses the shift of the Federal Government from laissez-faire policy to interventionist, regulatory policy in the early 20th century, and the subsequent increased taxing power of Congress. Lee shows the flexibility with which the Supreme Court has interpreted the Constitution, allowing for these changes."

LYMAN, S.R. The Constitutionality of Effluent Charges. University of Wisconsin, Water Resources Center, May 1969.

"A detailed analysis of the constitutionality of both State and Federal effluent charge systems. The author has completed an exhaustive study of cases having a potential bearing on the issue of the legality of effluent charges. He concludes that if the enabling legislation clearly spefifies that the action is being taken under Congress's power to regulbte commerce, or a States right to protect the health, safety and welfare of its citzens, it should be constitutional."

MARSHALL, D. Environmental Protection and the Role of the Civil Money Penalty: Some Practical and Legal Considerations. Environmental Affairs, Spring 1975.

"This is a review of legal and administrative literature aimed at making a case for civil penalties."

"The article begins with a discussion of the strengths and weaknesses of various enforcement tools: private damage suits, emission charges, injunctions, criminal sanctions and civil penalties. Emission charges are attacked on technical grounds (inability to measure environmental damage; don't know what it takes to neutralize pollution's effect). In the discussion of civil penalties he distinguishes them from "emission deterrence charges" (which seem to be like the Connecticut abatement charges). He admits that one can be used as effectively as the other. However, he sees his conception of a civil penalty as being superior because it (1) considers more factors (firms ability to pay, actual damage to the environment), and (2) is more direct."

"He then makes the argument for the administrative imposition of such sanctions (relying heavily on Goldschmidt). He discusses the constitutional issues surrounding civil penalties: separation of powers and the civil/criminal debate."

NAGEL, Stuart, S. <u>Incentives for Compliance with Environmental Law.</u>
American Behavioral Scientist, v. 17, May-June 1974. Pp. 690-710.

"The compliance incentives discussed in this paper include: (I) discharge taxes or fees, (2) contingent injunctions, (3) tax rewards and subsidies, (4) objective civil penalties, (5) publicizing wrongdoers, (6) selective government buying power, (7) fines and jail sentences, and (8) conference persuasion."

KIORDAN, C. The policy and Legal Aspects of Pollution Taxes. Termpaper. July 8, 1976. 33p.

WATER RELATED

- ABT Associates, Inc. Economic Analysis of Industrial Incentives for Pollution Control; Implications for Water Quality. Washington, Federal Water Pollution Control Administration, December 1967.
- ACKERMAN, B.A., S.R. Ackerman, and D.W. Henderson. The Uncertain Search For Environmental Policy: the Costs and Benefits of Controlling Pollution Along the Delaware River. University of Pennsylvania Law Review, 121(6): 1226-1308, June 1973.
 - "A substantive critique of water pollution policy with consideration given to the inherent limitations of the economist's analysis of the issue of environmental degradation. This is the second in a series of articles by the author examining the scientific and economic foundations of water pollution policy as it is presently evolving in the United States."
- ACKERMAN, B.A., et. al. The Uncertain Search for Environmental Quality. New York, The Free Press, 1974.
 - "The authors take a look at a model regional agency, the Delaware River Basin Commission, and its attempt to adopt a massive pollution control program for the Delaware River."
- ACKERMAN, S.R., Effluent Charges: A Critique. Canadian Journal of Economics, 6(4):512-528, November 1973.
- ARMSTRONG, J.M. Regional Economic Optimization and Efffuent Charge Theory in Water Resources Utlization. Ph.d. Dissertation, Univ. of Michigan, 1969.
- BRCWN, G.M., Jr. Effluenmt Charges; A Discussion Paper. Prepared for the National Commission on Water Quality. Seattle, University of Washington, Institute for Economic Research, August 1975. 27p. (unpublished Report)
- BURKE, H. A Single Rate For Water: Can a Rate Structure Effectively Aid Conservation? Public Interest Economics West (1), May 1977. San Francisco.
- COMMINS, J.A., C.R. Marshall, and A. Stapler. <u>Financial Alternatives to</u>
 Reduce the Economic Impact of Industrial Water Pollution Control. Washington, U.S. Environmental Protection Agency, Office of Research and Development, July 10, 1975. 94p. (unpublished Report).
 - "To help industry bear the financial burden immposed by the FWPCA, this report investigates various financial assistance methods (alternatives and subsidies) the Federal government now uses or might use in the

MARSHALL, H.E., and R.T. Ruegg [National Bureau of Standards]. Analysis of Cost-Sharing Programs For Pollution Abatement of Municipal Waste-Water; final report. U.S. Environmental Protection Agency, Office of Research and Development, November 1974. 147 p. (Distributed by National Technical Information Service, Springfield, Va., as PB 239 420.)

"This study evaluates existing cost-sharing programs for wastewater pollution abatement and emphasizes an alternative approach. The alternative stresses that more efficient abatement will result if (1) the same percentage cost share applies to all plant and non-plant techniques of abatement; (2) the same percentage applies to all categories of cost; (3) the same percentage applies to large and small communities; and (4) provision for Federal cost sharing of every abatement technique that is technically viable."

- Maryland. General Assembly. An Act to Establish Resource Utilization Charges
 On Water Withdrawals in the State of Maryland. 2d Draft. Annapolis,
 September 20, 1974. 9 p.
- MILLER, W.L. and J.H. Gill. <u>Equity Considerations In Controlling Non-Point</u>

 <u>Pollution From Agricultural Sources</u>. Water Resources Bulletin, 12(2):253—
 261, April 1976.
- PESKIN, H.M., and E.P. Seskin. Cost Benefit Analysis and Water Pollution Policy. The Urban Institute, Washington, D.C. 1975. 370 p.

"As cost-benefit analysis is a formal procedure for comparing the costs and benefits of alternative policies, the 19 contributing authors of this book have banded together to seek (1) the theoretical and applied issues relating to the measurement of benefits; (2) similar material pertaining to the assessment of costs; (3) aspects of uncertainty which are relevant to cost-benefit analysis; and (4) how the specific technique of-cost-benefit analysis relates to the broader area of public policy."

ROSE-ACKERMAN, S. Market Models for Pollution Control; Their Strengths and Weaknesses. Paper prepared for the National Commission on Water Quality. New Haven, Yale University Department of Economics, September 1975. 24 p., app. (Unpublished Report).

"Given the high cost of pollution control this paper advocates not an effluent charge scheme but proposes a pollution rights scheme under which dischargers would bid for the right to emit wastes to the extent permitted under the 1972 Amendments to the FWPCA."

- future. To analyze the operation and effects of these alternatives should lead to better ways to achieve financial goals."
- DECKER, C.T. Rate Surcharges: Friend or Foe? Water and Wastes Engineering, 8(11):F2-F4. November 1971.
 - "Before industry makes any decision on a pollution abatement program, it could be detrimental not to include a detailed study on the current economics of pretreatment."
- DELUCIA, R.J. AN EVALUATION OF Marketable Effluent Permit Systems. (Meta Systems, Inc.). Final report. U.S. EPA, Office of Research and Developmen, Sept. 1974. 363p. (Distributed by National Technical Information Service, Springfield, Va. as PB 239 428).
 - "This report is a study of the practical problems and prospects of using marketable effluent permits as one method of implementing the 1972 Amendments (to the Federal Pollution Control Act). Perhaps the strengest argument in favor of the use of a market in discharge rights is that the economist's allegations concerning the working of the marketplace remain untested in pollution control in the United States, while many other ideas have been tried and found wanting."
- Economic Commission for Europe, Committee on Water Problems. Principles and Methods for the Provision of Economic Incentives in Water Supply and Wastes Water Disposal Systems (including the fixing of charges). ECE/Water/16. New York, United Nations, 1976. 25p
- ELLICIT, Ward. VMT Disincentive Choices for the Los Angeles Basin. Political Science Department, Claremont Men's Colleage. Clarement, California. 6 p.
 - "Mr. Ward feels that in light of current transportation problems more planning attention need be given to three strong disincentives fuel rationing, fuel surcharges, and metered smog and congestion charges."
- KNEESE, A.V. The Case fo Effluent Charges As Part of a National Environmental Program. Prepared for the National Commission on Water Quality. August 1975.
- KNEESE, A.V., and B.T. Bower. Environmental Quality Analysis: Theory and Method in the Social Sciences. Baltimore, The Johns Hopkins Press, for Resources for the Future, Inc., 1972.
- MAR, B.W. A System of Waste Discharge Rights for the Management of Water Quality. Water Resources Research, 7(5):1079-1086, October 1971.
 - "As indicated in this paper a system of marketable rights can (1) simplify the problems in existing management systems of new discharger entry into a region, (2) incorporate the effluent charge system and the management approach, and (3) provide a mechanism for government or the private sector to adjust the quality of water without creating serious economic penalties for other parties discharging wastes."

SEAGRAVES, J.A. <u>Puzzled</u> by <u>Surcharges? Here's How Durham Operates</u>. Waste Water Engineering, 9(3): March 1972.

"Seagraves proffers the view that surcharges represent a step in the direction of efficient pricing and greater equity but notes that there are problems in defining equity. Using data from Durham, N.C. for 1969, the year before their surcharge went into effect, three alternative measures of equity are illustrated. He also discusses problems inherent to these measures of equity."

"Seagraves introduces the question as to why cities have adopted surcharges instead of simply billing industries separately for the various components in the monitored wastes. He contends that separate billing would be more equitable considering the variety of industries encountered in most cities and would eliminate the incentive to use extra water so as to reduce the surcharge."

- SEAGRAVES, J.A. and R.D. Elliott. The Effects of Sewer Surcharges on the Level of Industrial Wastes and the Use of Water by Industry. Water Resources Research Institute of the University of North Carolina. Report No. 70. August 1972.
- TTHANSKY, D. A Survey of Empirical Benefit Studies. In H.M. Peskin and E.P. Seskin, eds. Cost Benefit Analysis and Water Pollution Policy. Washington, The Urban Institute, 1975.

"Out of the massive literature on water resource management the author has directed the main focus of his paper to water quality as it relates to benefit assessments."

U.S. Congress. House. Committee on Government Operations. Subcommittee on Natural Resources and Power. Water Pollution Control and Abatement. Hearings, 88th Congress, 1st and 2d sessions. Washington, U.S. Government Printing Office, 1966.

AIR RELATED

- ANDERSON, R.J., and J.E. Wilen. The Proposed Pure Air Tax Act of 1972: Some Cautionary Comments on Emissions. National Tax Journal, 27(1); 151-162, March 1974.
 - "The possible effects of the proposed Pure Air Tax Act of 1972 on air pollution and on implementation of the Clean Air Act of 1970 are analyzed. Concludes that the Pure Air Act of 1972 may be, in part, incompatible with the intent of the Clean Air Act and may be quite difficult to administer."
- An Explanation of the Proposed Regulations Providing Civil Assessments for Air Pollution Violations. Hartford, State of Connecticut Department of Environmental Protection, October 21, 1974. 6 p.
- An Introduction to Connecticut's Economic Approach to Environmental Law Enforcement. Hartford, Department of Envrionmental Protection. 42 p. (Draft Report).
- Assessment Of Civil Penalties. Connecticut Law Journal, 36(28):7-8, January 7, 1975.
- ATKINSON, S.E., and D.H. Lewis. Washington Environmental Research Center.

 A Cost Evaluation of Alternative Air Quality Strategies. U.S. Environmental Protection Agency, January 1974. 70 p. (Distributed by National Technical Information Service), Springfield, Va., as PB 245 129.
 - "With the help of a computer simulation and using St. Louis as a model region, this paper evaluates three alternative particulate air pollution control strategies: emissions least-cost (ELC) strategy, ambient air quality least-cost (ALC) strategy, and the strategy suggested inf the State Implementation Plan (SIP) Guidelines."
- BARRET, L.B., and T.E. Waddell. <u>Cost of Air Pollution Damage: Status Report.</u> Research Triangle Park, N.C., U.S. Envrionmental Protection Agency, National Environmental Research Center, February 1973. 80 p. (Distributed by National Technical Information Service), as PB 222 040.
- BINGHAM, T.H., et. al. [Research Triangle Institute]. Allocative and Distributive Effects of Alternative Air Quality Attainment Policies; Final Report. Washington, U.S. Environmental Protection Agency, Implementation Research Division, Oct.1974 119 p. (Unpublished Report).
- BINGHAM, T.H., et. al. (Research Triangle Institute). Cost-Effectiveness of a Uniform National Sulfur Emissions Tax; Final Report. U.S. Environmental Protection Agency, February 1974. 203 p. (Distributed by National Technical Information Service, Springfield, Va., as PD-236-586)
 - "This study provides an initial examination of the effectiveness and costs of a uniform national tax on the major emitters of sulfur."

- BINGHAM, T.H., et. al. <u>Transactions Costs of Implementing Alternative Least-Cost Air Quality Attainment Policies</u>. Draft Final Report. (Research Triangle Institute). March 1976.
- CARSON, W.D., Jr. A Uniform Charge on Emissions in an Urban Air Basin.

 Sacramento, California Air REsources Board. [n.d.] 22 p. (Draft Report).

"This paper discusses application of a charge based on emissions from identified stationary sources in an urban region. The problems of practical application are discussed with special attention to the difficulties of selecting an appropriate level for the charge."

CHAPMAN, D. A Sulfur Emission Tax and the Electric Utility Industry. Energy Systems Policy, 1:(1)-30. Fall 1974.

"This paper reports the results of an empirical analysis which utilizes an econometric model of demand and fuel substitution and an engineering production model. The conclusions which follow from the analysis are that emissions and damage would have little effect on electricity demand growth and nuclear power growth, and the sulfur emission tax assumes greater value if the Clean Air Act is not implemented. Net benefits are positive in all cases, and the highest calculated net benefit to the nation is \$32 billion."

Charles River Associates Incorporated. Regional Management of Automotive Emissions: The Effectiveness of Alternative Policies for Los Angeles. Washington, U.S. Envrionmental Protection Agency, January 1977. 285 p. (In preparation).

"This study has two objectives: first, to develop procedures to evaluate policies for controlling automobile emissions; and second, too use these procedures to evaluate specific pollution control strategies for Los Angeles... The following specific strategies were evaluated: increased gas taxes, taxes on vehicle emissions per mile based on odometer readings and emissions tests, nonresidential parking surcharges, extensions of route miles by conventional bus, and annual taxes based on vehicle model, make and year. The report's findings indicate that implementation of these policies could significantly decrease pollution. Emission taxes and gasoline taxes are particularly effective."

Department of Environmental Protection. Assessment of Civil Penalties

for Violation of Air Emissions Standards and Orders of the Commissioner.

Connecticut Law Journal, 36(34):18-6B, February 18, 1975.

"De Nevers discusses four approaches as """

"De Nevers discusses four approaches, or "philosophies," toward pollution control: the emission standards philosophy, air quality standard philosophy, emission tax philosophy, cost benefit philosophy.

- DE NEVERS, N. Air Pollution Control Philosophies. Journal of the Air Pollution Control Association. Vol. 27, No. 3. March 1977. P. 197-205
- DOWNING, P.B., and W.D. Watson, Jr. Enforcement Economics in Air Pollution Control; Final Report. U.S. Environmental Protection Agency, Office of Research and Development, December 1973. 113 p. (Distributed by National Technical Information Service, Springfield, Va., as PB-240 963).

"Emission tax enforcement is recommended by the authors as probably the best solution for minimizing the management costs imposed upon impacted industry and resource costs on enforcement agencies."

Duke Law Journal. The Effluent Fee Approach for Controlling Air Pollution. Pp. 943-990, October 1970.

"Pollution control programs, present control efforts - effluent standards, which limit the emittance of specific forms of pollutants, absolute prohibition of certain polluting activities and controls on certain polluting activities - and possible alternative policies tax credits, subsidies, private action, and effluent fees - are briefly discussed in terms of their practical and economic advantages and disadvantages."

- FERRAR, T.A., et. al. <u>Financial Incentives and Pollution Control</u>: A Case <u>Study</u>. U.S. Environmental Protection Agency. (Distributed by National Technical Information, Service, Springfield, Va., April 1975.
- GRIFFIN, J.M. An Econometric Evaluation of Sulfur Taxes. Journal of Political Economy, 82(4):669-668, July/August 1974.
 - GRIMES, M.H. The Sulfur Oxide Tax. Washington, Library of Congress, Congressional Research Service, February 10, 1972. 26 p.
 - KOVEL, A. The Case for Civil Penalties: Air Pollution Control. Journal of Urban Law, 46:153, 1968.

"This is primarily an indictment of the use of criminal penalties to to enforce pollution law. As evidence of the ineffectiveness of criminal law Kovel cites Boston statistics which show that of the 800 complaints under the City's pollution statutes only 4 cases have proceeded to prosecution and one conviction has resulted. He cites burden of proof and hesitancy to impose "criminal" sanction as the cause."

"Kovel is generally supportive of a system of administratively imposed penalties. He argues that such a proceeding is more flexible and can bring better expertise to bear on a problem. However, he does not seem to see this as the immediately best reponse. The position

- "Kovel is generally supportive of a system of administratively imposed penalties. He argues that such a proceeding is more flexible and can bring better expertise to bear on a problem. However, he does not seem to see this as the immediately best reponse. The position he is pushing involves use of civil remedies by courts for pollution cases."
- LANDIS, R. [Charles River Associates Incorporated]. The Effect of Automotive Fuel Conservation Measures on Air Pollution. U.S. Enirionmental Protection Agency, September 1976. 598 p. (Distributed by National Technical Information Service, Springfield, Va., as PB 259 908).
- MANDELKER, D.R., and T.A. Sherry. Emission Quota Strategies as an Air Pollution Control Technique. Ecology Law Quarterly, 5(3):401-431, 1973.
- Maryland. General Assembly. An Act to Establish Resource Utilization Charges for Water and Air Assimilation Services in the State of Maryland. 2d draft. [Annapolis] September 20, 1974. 12 p.
- MIEDEMA, A.K. Policy Choices for Air Quality Goal Attainment. Research Triangle Park, N.C. Research Triangle Institute [n.d.] 31 p.
 - "Miedema advocates emission rights as the most promising air quality attainment policy due to their greater certainty and ability to handle the problem of future industrial and regional growth. This report compares emission rights with other major air quality attainment policies (emission control regulations, emission control subsidies, and emission charges) and concludes with emission rights emerging as the best possible choice at the smallest possible cost to the nation."
- MONIGOMERY, W.D., III. Market Systems for the Control of Air Pollution. Thesis, Department of Economics, Harvard University, Cambridge, Mass., May 1971. 168 p.
- SCHNEIDER, A.M. An Effluent Fee Schedule for Air Pollutants Based on Pendex. Journal of the Air Pollution Control Association, 23(6):486-
- STOLPMAN, Paul. An Emission Tax on NOx Emissions from New Cars. U.S. Environmental Protection Agency., Office of Policy Analysis. August 21, 1975. 13 p.
 - "Discusses the use of an emissions tax as a means of fostering the the development of NOx controls."
- Tax on Lead in Gasoline. In Council on Environmental Quality, comp.

 The President's 1971 Environmental Program. Washington, U.S. Government Printing Office, March 1971. p. 30.

- he is pushing involves use of civil remedies by courts for pollution cases."
- LANDIS, R. [Charles River Associates Incorporated]. The Effect of Automotive Fuel Conservation Measures on Air Pollution. U.S. Enirionmental Protection Agency, September 1976. 598 p. (Distributed by National Technical Information Service, Springfield, Va., as PB 259 908).
- MANDELKER, D.R., and T.A. Sherry. Emission Quota Strategies as an Air Pollution Control Technique. Ecology Law Quarterly, 5(3):401-431, 1973.
- Maryland. General Assembly. An Act to Establish Resource Utilization Charges for Water and Air Assimilation Services in the State of Maryland. 2d draft. [Annapolis] September 20, 1974. 12 p.
- MIEDEMA, A.K. Policy Choices for Air Quality Goal Attainment. Research Triangle Park, N.C. Research Triangle Institute [n.d.] 31 p.
 - "Miedema advocates emission rights as the most promising air quality attainment policy due to their greater certainty and ability to handle the problem of future industrial and regional growth. This report compares emission rights with other major air quality attainment policies (emission control regulations, emission control subsidies, and emission charges) and concludes with emission rights emerging as the best possible choice at the smallest possible cost to the nation."
- MCNTGONERY, W.D., III. Market Systems for the Control of Air Pollution.
 Thesis, Department of Economics, Harvard University, Cambridge, Mass.,
 May 1971. 168 p.
- SCHNEIDER, A.M. An Effluent Fee Schedule for Air Pollutants Based on Pendex. Journal of the Air Pollution Control Association, 23(6):486-
- STOLPMAN, Paul. An Emission Tax on NOx Emissions from New Cars. U.S. Environmental Protection Agency., Office of Policy Analysis. August 21, 1975. 13 p.
 - "Discusses the use of an emissions tax as a means of fostering the the development of NOx controls."
- Tax on Lead in Gasoline. In Council on Environmental Quality, comp.

 The President's 1971 Environmental Program. Washington, U.S. Government Printing Office, March 1971. p. 30.

- TAILOR, G.T.C. An Economic Analysis of Governmental Air Quality Controls. Ph.D. Dissertation, University of California, Berkely, June 1973.
- U.S. Congress. House. Clean Air Act Amendments of 1970; Report No. 91-1146. Washington, U.S. Government Printing Office. 52 p. (91st Cong., 2d session).
- U.S. Congress. House. Committee on Interstate and Foreign Commerce.

 Clean Air Act Amendments of 1976; supplemental report to accompany

 H.R. 10498. Washington, U.S. Government Printing Office, 1976.

 10 p. (94th Cong., 2d Sess. House. Report No. 1175 pt. 2).
- U.S. Congress. House. Bill No. 14931. To Promote the Abatement of Atmospheric Sulfur Into the Atmosphere. 92d Cong., 2d Sess., May 11, 1972.
- U.S. Congress. House. Committee on Interstate and Foreign Commerce.

 Clean Air Act Amendments of 1976; report to accompany H.R. 10498.

 Washington, U.S. Government Printing Office, 1976. 507 p. (94th Cong., 2d sess. HOuse. Report No. 1175).
- U.S. Congress. Senate. Committee on Public Works. National Air Quality Standards Act of 1970. Report No. 91-1196. Washington, U.S. Government Printing Office, September 17, 1972 (91st Cong., 2d sess.).
- Vickrey, W. The Possibilities of Air Pollution Control Through Various Forms of Effluent Charge. Presented at Air Pollution Economic Effects Seminar. Oregon State University, October 31, 1969. p. 56-70.
 - "This is a brief summarization of the advantages an effluent charge method would have over other alternative methods, such as subsidizing (through rebates or otherwise) or the installation of abatement equipment for pollution control."
- Wilson, D.G., and P.W. Chen [Massachusetts Institute of Technology]. An Analysis of Emission Charges as a Method of Reducing Sulfur Pollution. Upton, N.Y., Brookhaven National Laboratory, Biological and Environmental Assessment Group, September 1975. 95 p.
 - "Discusses the advantages of pollution charges in reducing sulfur emissions over setting standards, the advantage of being able to adjust charges according to health and property damage resulting from emissions, and the advantage of being able to use the "feedback" from the collected payments to compensate those suffering from health or property damage due to sulfur emissions."
- Wilson, R. <u>Tax</u> the Integrated Pollution Exposure. Science, 178(4057): 182-183, October 13, 1973. [Letter]

SOLID WASTE

ANDERSON, R.C. <u>Public Policies Toward the Use of Scrap Materials</u>. American Economic Association. Vol. 67, No. 1. Pp. 355-358. February 1977.

"This paper examines the principle economic arguments which have been offered in support of a federal program of recycling incentives and analyzes some of the recent legislative proposals in light of available information on the structure of the secondary materials industry."

ANDERSON, R.C. Tax Incentives for the Recovery of Secondary Lead. Environmental Law Institute. Washington, D.C. 16 p.

"This paper focuses on recycling in the domestic lead industry. A comparison of the quantities of lead theoretically available for recycling with the quantities actually recovered indicates that a significant portion of the theoretically available lead is not presently recovered. This paper summarizes research in progress that is designed to answer two questions. First, how would recycling of lead be affected by the elimination of tax subsidies for primary lead producers? Second, how would recycling of lead be affected if similar tax subsidies were granted to the suppliers or users of secondary lead?"

- BARDACH, E., Armstrong, Gibbs, and Jensen. The Buy Back Strategy: An Alternative to Container Deposit Legislation. Berkely School of Public Policy. May 1977.
- Beverage Containers: Possibilities for Reuse and Recycling. Wellington, N.A., Department of Trade and INdustry and the Commission for the Envrionment, November 1975. 54 p.

"One of the conclusions reached by this broad study of litter is that low deposits increase incentives for bottlers to get empties: high deposits make new containers more economical."

BINGHAM, T.H., et. al. [Research Triangle Institute]. An Evaluation of the Effectiveness and Costs of Regulatory and Fiscal Policy Instruments on Product Packaging. Environmental Protection Publication SW-74c. Washington, U.S. Envrionmental Prot. Agency, 1974. 301 p.

"This study provides an evaluation of the costs and effectiveness of two types of government policy instruments (regulation requireing the use of recycled materials in packaging and several types of taxes on packaging) that may be used to influence the quantity and composition of consumer products packaging and the use of recycled materials in consumer product package manufacture. The analysis provides an initial basis for policy decisions regarding the desirability of these policy instruments as possible means for reducing

- the generation of packaging wastes, increasing the use of recycled materials in packaging manufacture, and reducing the natural resource utilization of packaging."
- BULLIS, H. Federal Policy Issues in the Recycling of Wastepaper. Congressional Research Service, Library of Congress). March 14, 1973. Revised July 31, 1974. P. 123.
 - "A fundamental question in this examination concerns how deeply the Federal Government should be involved in wastepaper recycling. Areas considered for legislative activity include taxes, transportation, loans, and subsidies."
- California Legislature. Assembly Bill No. 1125. Introduced by Assembly—man Kapiloff. Tax levy: to allow, in addition to any allowable deductions, a credit against those taxes for specified percentages of the amount paid by a taxpayer to purchase certain recyclable solid waste materials, which are recycled in California... March 28, 1977.
- FIEKOWSKY, S. Tax Subsidies for Recycling Solid Waste Materials: An Overview. BSM-76-15. Washington, U.S. Treasury Department. 19 p. (Staff Memorandum).
- GABA, J.M. Regulation of Municipal Solid Waste Through Taxation; the New York Recycling Incentive Tax. Columbia Journal of Envrionmental Law, 1(2):312-330, Spring 1975.
- GRUBE, A.H. A Review of Quantitative Economic Studies of Recyclable

 Materials Production and Demand. Research Triangle Park, N.C.,

 Research Triangle Institute, August 22, 1975. 50 p.
- GUDGER, C.M., and K.D. Walters. <u>Beverage Container Regulation: Economic Implications and Suggestions for Model Legislation</u>. <u>Ecology Law Quarterly</u>. Vol. 5:265 Pp. 265-290.
 - "The purposes of this article are: (1) to focus on the one legislative approach, that of Oregon, which has successfully attacked the envrionmental problems of disposable beverage containers; (2) to present the evidence of its effectiveness; (3) to discuss the feasibility of extending this approach to other jurisdictions; and (4) to suggest changes in the legislation to make it even more effective."
- MACDONALD, B.W. Analysis of Municipal Used Newspaper: Recovery/Disposal Options. Garden State Paper Company. Saddle Brook, New Jersey. November 1976. 66 p. Draft Copy.
 - "This report presents a model for evaluating the economics of alternative newspaper recovery/diposal options. The chief newspaper

TOXICS

- Library of Congress. <u>Issue Brief: Toxic Substances Contamination</u> <u>Compensation and Indemnities</u>. Issue Brief #B77019.
- SCHWEITZER, G. Carcinogenisis Testing of Industrial Chemical Laws, Regulations and Practicality. Presented to Toxicology Forum Aspen, Colorado. July, 18, 1977

TAX POLICY

- DRAYTON, W. The Tar and Nicotine Tax: Pursuing Public Health Through Tax Incentives. 81 Yale Law Journal 1487. 1972.
- HOSKINS, W.L. Let the Pricing System Provide the Incentive. Industrial Water Engineering, 8(4):8-10, April 1971.
- MOORE, M.L., G.F. STREULING. <u>Pollution Control Devices: Rapid Amortization versus the Investment Credit Taxes. V. t2, January 1974. p. 25-30</u>
 - "Considers the optimal decision rule for the tax treatment of pollution control devices."
- ROTHENBERG, L. State Preferential Tax Treatment for Pollution Control. Facilities Research Report #61. January 1971. Federation of Tax Administrators.
- TIETENBERG, T.H. Specific Taxes and The Control of Pollution: A General Equilibrium Analysis. The Quarterly Journal of Economics, 77(4):503-522, November 1973
- VAUGHN, J.M. Tax Breaks Can Offset Part of the Cost of Required Protection of the Environment. Taxation for Accountants, 13, July 1974. Pp. 40-45.
 - "The special amortization provisions of Section 169, for pollution control facilities, is not the only provision relating to environ mental regulation. Section 162(f), which covers fines and penalties and related expenses, also must be taken into account. This article discusses the deductions available."

TAX EXEMPT BONDS

DORFMAN, N.S., and A. Snow. Who Will Pay for Pollution Control? - the Distribution by Income of the Burden of the National Environmental Protection Program, 1972-1980. National Tax Journal, 28(1):101-115, March 1975.

AIR RELATED

- ANDERSON, R.J., and J.E. Wilen. The Proposed Pure Air Tax Act of 1972: Some Cautionary Comments on Emissions. National Tax Journal, 27(1): 151-162, March 1974.
 - "The possible effects of the proposed Pure Air Tax Act of 1972 on air pollution and on implementation of the Clean Air Act of 1970 are analyzed. Concludes that the Pure Air Act of 1972 may be, inpart, incompatible with the intent of the Clean Air Act and may be quite difficult to administer."
- ATKINSON, S.E., and D.H. Lewis. Washington Environmental Research Center.

 A Cost Evaluation of Alternative Air Quality Strategies. U.S. Environmental Protection Agency, January 1974. 70 p. (Distributed by National Technical Information Service), Springfield, Va., as PB 245 129.
 - "With the help of a computer simulation and using St. Louis as a model region, this paper evaluates three alternative particulate air pollution control strategies: emissions least-cost (ELC) strategy, ambient air quality least-cost (ALC) strategy, and the strategy suggested inf the State Implementation Plan (SIP) Guidelines."
- BARRET, L.B., and T.E. Waddell. Cost of Air Pollution Damage: Status Report. Research Triangle Park, N.C., U.S. Envrionmental Protection Agency, National Environmental Research Center, February 1973. 80 p. (Distributed by National Technical Information Service), as PB 222 040.
- BINGHAM, T.H., et. al. [Research Triangle Institute]. Allocative and Distributive Effects of Alternative Air Quality Attainment Policies; Final Report. Washington, U.S. Environmental Protection Agency, Implementation Research Division, Oct.1974 119 p. (Unpublished Report).
- BINGHAM, T.H., et. al. (Research Triangle Institute). Cost-Effectiveness of a Uniform National Sulfur Emissions Tax; Final Report. U.S. Environmental Protection Agency, February 1974. 203 p. (Distributed by National Technical Information Service, Springfield, Va., as PB 236 586).
 - "This study provides an initial examination of the effectiveness and costs of a uniform national tax on the major emitters of sulfur."
- BINGHAM, T.H., et. al. <u>Transactions Costs of Implementing Alternative Least-Cost Air Quality Attainment Policies</u>. Draft Final Report. (Research Triangle Institute). March 1976.
- CARSON, W.D., Jr. A Uniform Charge on Emissions in an Urban Air Basin.

 Sacramento, California Air REsources Board. [n.d.] 22 p. (Draft Report).
 - "This paper discusses application of a charge based on emissions from identified stationary sources in an urban region. The problems of practical application are discussed with special attention to the difficulties of selecting an appropriate level for the charge."