

US EPA ARCHIVE DOCUMENT



Data, Planning and Results

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Compliance and Enforcement Annual Results - FY2002

The U.S. Environmental Protection Agency (EPA) today released data on its compliance assurance and enforcement results for Fiscal Year 2002. The results show millions of pounds of harmful pollutants will be reduced, cleaned up, or treated, thousands of acres of wetlands will be restored, and cleaner air, water and soil for the American people. For the first time, EPA is reporting on a wider range of results achieved through its enforcement efforts, including data on groundwater, wetlands, and drinking water.

In addition to estimating the pounds of pollution to be reduced (261 million) and pounds of contaminated soil to be treated (513 million) as it has in previous years, EPA is now measuring gallons of contaminated groundwater to be treated (2.8 billion gallons), acres of wetlands that will be restored (40,000), and the number of people served by drinking water systems that will be brought into compliance (3.15 million) as a result of enforcement activity in FY2002. These measures provide a more thorough and accurate profile of the environmental protection results achieved through EPA's program to enforce the nation's environmental laws. These new measures are important information for the public, and are in keeping with the Administration's emphasis on greater transparency as a tool to achieve compliance.

You will need Adobe Reader to view some of the files on this page.
See [EPA's PDF page](#) to learn more.

Press Release

[Numbers at a Glance \(PDF\)](#) (1 pg, 65K) — Fact sheet on annual results

[Five-Year Trends \(PDF\)](#) (2 pp, 61K) — Charts tracking key results for five years

Graphical Representation

- [National Totals - Civil Enforcement Actions, FY1998 to FY2002 \(PDF\)](#) (1 pg, 85K) — Chart
- [Twenty Pollutants with Largest Reductions Reported for EPA Enforcement Settlements \(PDF\)](#) (1 pg, 45K) — Chart
- [Dollar Values of FY2002 Enforcement Actions by Statute \(PDF\)](#) (1 pg, 81K) — Chart
- [Dollar Values of Enforcement Actions Concluded: FY1998 to FY2002 \(PDF\)](#) (1 pg, 77K) — Graphs
- [Civil Judicial Referrals to the Department of Justice since FY1973 \(PDF\)](#) (1 pg, 73K) — Graph
- [Administrative Compliance Orders: 1994 to 2002 \(PDF\)](#) (1 pg, 71K) — Chart
- [Administrative Penalty Orders: FY1994 to FY2002 \(PDF\)](#) (1 pg, 72K) — Graph
- [Use of Audit Policy: FY1998 to FY2002 \(PDF\)](#) (1 pg, 72K) — Chart
- [Criminal Enforcement Program Highlights \(PDF\)](#) (1 pg, 62K) — Graph
- [Compliance Assistance Highlights By Statute and Sector \(PDF\)](#) (1 pg, 75K) — Graph

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Annual Results by Fiscal Year:

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**U.S. Environmental Protection Agency
Enforcement and Compliance Program
Numbers at a Glance
Fiscal Year 2002**

EPA Inspections	17,668
Civil Referrals to the Department of Justice	342
Civil Judicial Settlements	216
Civil Judicial Penalties	\$55,571,404
Value of Injunctive Relief	\$3,931,931,345
Value of Supplemental Environmental Projects	\$56,458,594
Facilities Self Disclosing Violations	927
Companies Self Disclosing Violations	500
Administrative Penalty Order Complaints	1441
Administrative Compliance Orders	1,251
Total Entities Reached by Compliance Assistance	589,566
Administrative Penalties	\$25,766,401
Criminal Penalties	\$62,252,318
Criminal Referrals	250
Criminal Sentences (Years)	215
Defendants Charged	325
Criminal Cases Initiated	674
Estimated Pounds of Pollutants Reduced	261,000,000
Pounds of Contaminated Soil to be Reduced	513,000,000
Gallons of Contaminated Groundwater To Be Treated	2,800,000,000
Acres of Wetlands To Be Restored	40,000
Individuals Served by Drinking Water Systems To Be Brought into Compliance	3,150,000
Superfund Cleanup Enforcement	
Private Party Commitments	\$627 Million
Orphan Share Compensation Offers	\$12.5 Million
De minimis Settlements/Parties	20/1,600 Parties

January 29, 2003 (4:44pm)



U.S. Environmental Protection Agency Enforcement and Compliance Program

Numbers at a Glance Fiscal Years 2002-1998

	FY02	FY01	FY00	FY99	FY98
EPA Inspections	^a 17,668	17,560	20,417	21,847	23,237
Civil Referrals to the Department of Justice	342	327	368	403	411
Civil Judicial Settlements	216	221	219	215	253
Value of Injunctive Relief	\$3,931,931,345	\$4,453,961,458	\$1,562,824,364	\$3,424,223,733	\$1,978,686,766
Judicial Penalties	\$55,571,404	\$101,683,157	\$54,851,765	\$141,211,765	\$63,531,731
Administrative Penalties	\$25,766,401	\$23,782,264	\$29,258,502	\$25,509,879	\$28,263,762
Value of Supplemental Environmental Projects	\$56,458,594	\$89,114,956	\$55,888,396	\$236,768,552	\$90,836,361
Criminal Referrals to Department of Justice	250	256	236	241	266
Criminal Sentences (years)	215.9	256	146.2	208.3	172.9
Defendants Charged	325	372	360	324	350
Criminal Cases Initiated	^b 674	482	477	471	636
Criminal Penalties	\$62,252,318	\$94,726,283	\$121,974,488	\$61,552,874	\$92,800,711
Facilities Self Disclosing Violations	927	1,095	^c 2,190	990	954
Companies Self Disclosing Violations	500	397	429	260	200
Administrative Penalty Order Complaints	1,441	1,582	1,763	1,654	1,400
Administrative Compliance Orders	1,251	1,494	^d 3,388	1,516	1,721
Total Entities Reached by Compliance Assistance	589,566	551,340	351,287	333,108	246,596
Estimated Pounds of Pollutants To Be Reduced	261,000,000	660,000,000	335,000,000	^e 6,800,000,000	629,000,000
Pounds of Contaminated Soil To Be Treated	513,000,000	1,800,000,000	1,300,000,000	574,000,000	n/a
Gallons of Contaminated Groundwater To Be Treated	2,800,000,000				
Acres of Wetlands To Be Restored	40,000				
Individuals Served by Drinking Water Systems To Be Brought into Compliance	3,150,000				



U.S. Environmental Protection Agency Enforcement and Compliance Program

Numbers at a Glance Fiscal Years 2002-1998

	FY02	FY01	FY00	FY99	FY98
Superfund Cleanup Enforcement					
Private Party Commitments	\$627 Million	Over \$1.7 billion	Over \$1.4 billion		
Orphan Share Compensation Offers	\$12.5 Million	Over \$22.9 million	More than \$19.1 billion		
De minimis Settlements/Parties	20/1,600 Parties	15/Over 1,900			

^AIn FY2002, OECA adopted a new policy for counting CAA inspections. Under the previous counting method, '02 inspections would be over 18,000.

^BFY02 includes 190 counter-terrorism initiations.

^CThe increase in facilities involved in Audit Policy settlements was due, largely in part, to the Agency's efforts to encourage corporations with multiple facilities to conduct corporate-wide audits and develop corporate compliance systems. EPA reached corporate-wide agreements with the telecommunications and iron and steel sectors.

^DThe significant number of administrative settlements in FY 2001 was due to the first time enforcement of a new Safe Drinking Water Act requirement to submit Consumer Confidence Reports, drinking water quality reports for consumers.

^EIn FY99, EPA's settlement with seven major diesel engine manufacturers to resolve claims that they installed illegal computer software on heavy duty diesel engines resulted in millions of tons of harmful nitrogen oxide (NO_x) emissions reduced.

January 30, 2003 (2:00pm)

National Totals - EPA Civil Enforcement Activity, FY 1998 - FY 2002

EPA Inspections

FY 1998	FY 1999	FY 2000	FY 2001	FY 2002
23,237	21,847	20,417	17,560	17668*

* In FY02 OECA adopted a new policy for counting CAA inspections. Under the previous method, '02 inspections would exceed 18,000.

EPA Administrative Non-Penalty Orders - Cases Concluded

FY 1998	FY 1999	FY 2000	FY 2001	FY 2002
1,721	1,516	3388*	1,494	1,251

The significant number of FY02 administrative settlements was due to 1st time enforcement of a new SDWA requirement to submit Consumer Confidence Reports (drinking water quality reports for consumers).

EPA Administrative Penalty Order Complaints

FY 1998	FY 1999	FY 2000	FY 2001	FY 2002
1,400	1,654	1,763	1,582	1,441

EPA Administrative Penalty Order Settlements

FY 1998	FY 1999	FY 2000	FY 2001	FY 2002
1,245	1,358	1,730	1,584	1,279

EPA Civil Judicial New Referrals to DOJ

FY 1998	FY 1999	FY 2000	FY 2001	FY 2002
411	403	368	327	342

EPA Civil Judicial Settlements

FY 1998	FY 1999	FY 2000	FY 2001	FY 2002
253	215	219	221	216

Twenty Pollutants with the Largest Reductions* Reported for EPA Enforcement Settlements FY 2002

Pollutant	Lbs. Reduced
Sulfur Dioxide (SO ₂)	37,344,000
Total Suspended Solids	22,254,198
Nitrogen	16,240,325
Volatile Organic Compounds	11,790,625
Ammonia	6,473,000
BOD	5,536,281
Lead	5,175,439
Nitrogen Oxides (NO _x)	4,217,904
Crude Oil	3,511,182
Particulate Matter	2,727,274
Oil and Grease	2,616,329
Electroplating Treatment Sludge	2,414,960
Sulfuric Acid	1,092,423
Fluoride	946,666
Carbon Monoxide (CO)	714,000
Diesel Fuel	683,873
Hydrogen Sulfide	664,000
PCBs	658,694
Solvents	654,428
Zinc	316,501

*This ranking does not include contaminated soil or groundwater

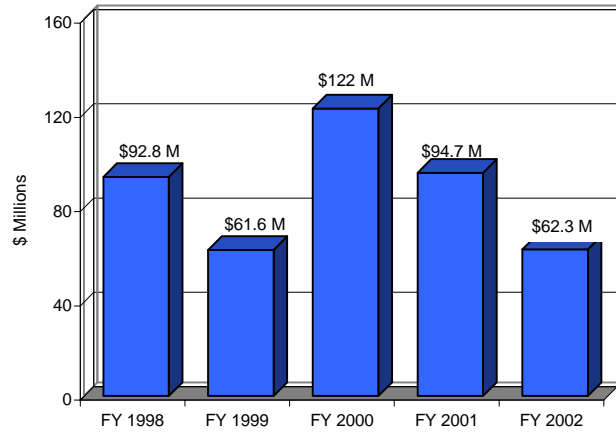
Dollar Value of FY 2002 EPA Enforcement Actions (by Statute)

	Criminal Penalties Assessed	Civil Judicial Penalties Assessed*	Administrative Penalties Assessed*	\$ Value of Jud. Injunctive Relief	\$ Value of Adm. Injunctive Relief	\$ Value of SEPs
CAA	\$7,162,382	\$33,857,828	\$5,930,181	\$462,502,233	\$16,576,601	\$31,662,129
CERCLA	\$3,054,294	\$1,589,300	\$1,101,822	\$429,359,353	\$360,940,872	\$2,960,218
CWA	\$29,928,606	\$8,706,339	\$4,940,169	\$1,491,853,587	\$813,784,601	\$13,078,678
EPCRA	\$0	\$225,000	\$3,100,756	\$0	\$582,589	\$1,223,257
FIFRA	\$120,100	\$12,000	\$2,945,960	\$500,000	\$218,150	\$12,000
RCRA	\$2,569,531	\$11,130,437	\$5,493,918	\$12,972,600	\$47,288,155	\$6,261,460
SDWA	\$8,750	\$500	\$373,752	\$290,000,000	\$2,152,581	\$428,200
TSCA	\$280,000	\$50,000	\$1,879,843	\$400,000	\$2,800,023	\$832,652
Title 18 & other	\$19,128,655	\$0	\$0	\$0	\$0	\$0
Totals	\$62,252,318	\$55,571,404	\$25,766,401	\$2,687,587,773	\$1,244,343,572	\$56,458,594

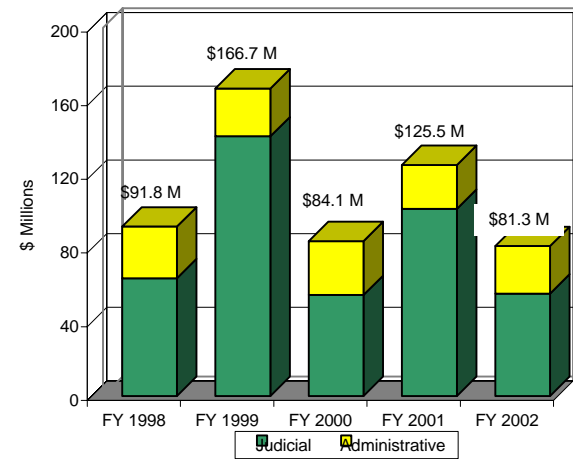
*The national total for administrative and civil judicial penalties assessed is \$81,337,805 which includes \$93,100 regional RCRA UST field citations not included in this chart.

Dollar Value of EPA Enforcement Actions Concluded: FY 1998 to FY 2002

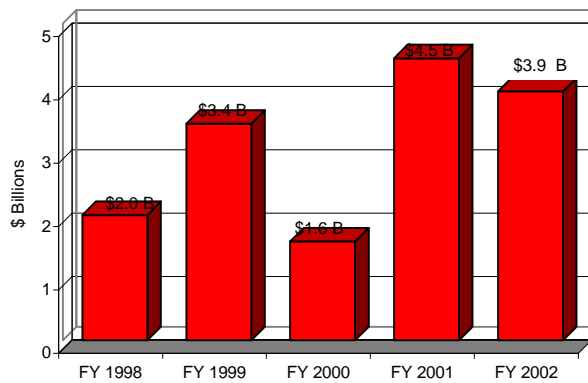
EPA Criminal Penalties



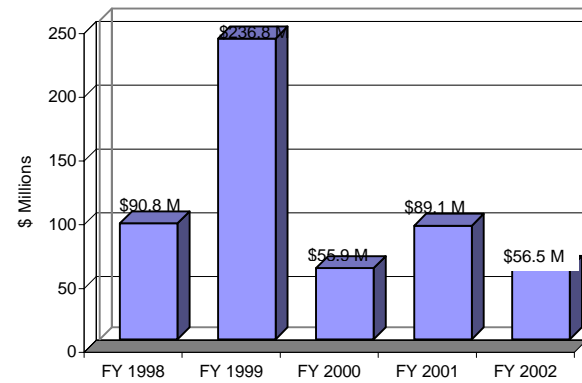
EPA Civil Penalties



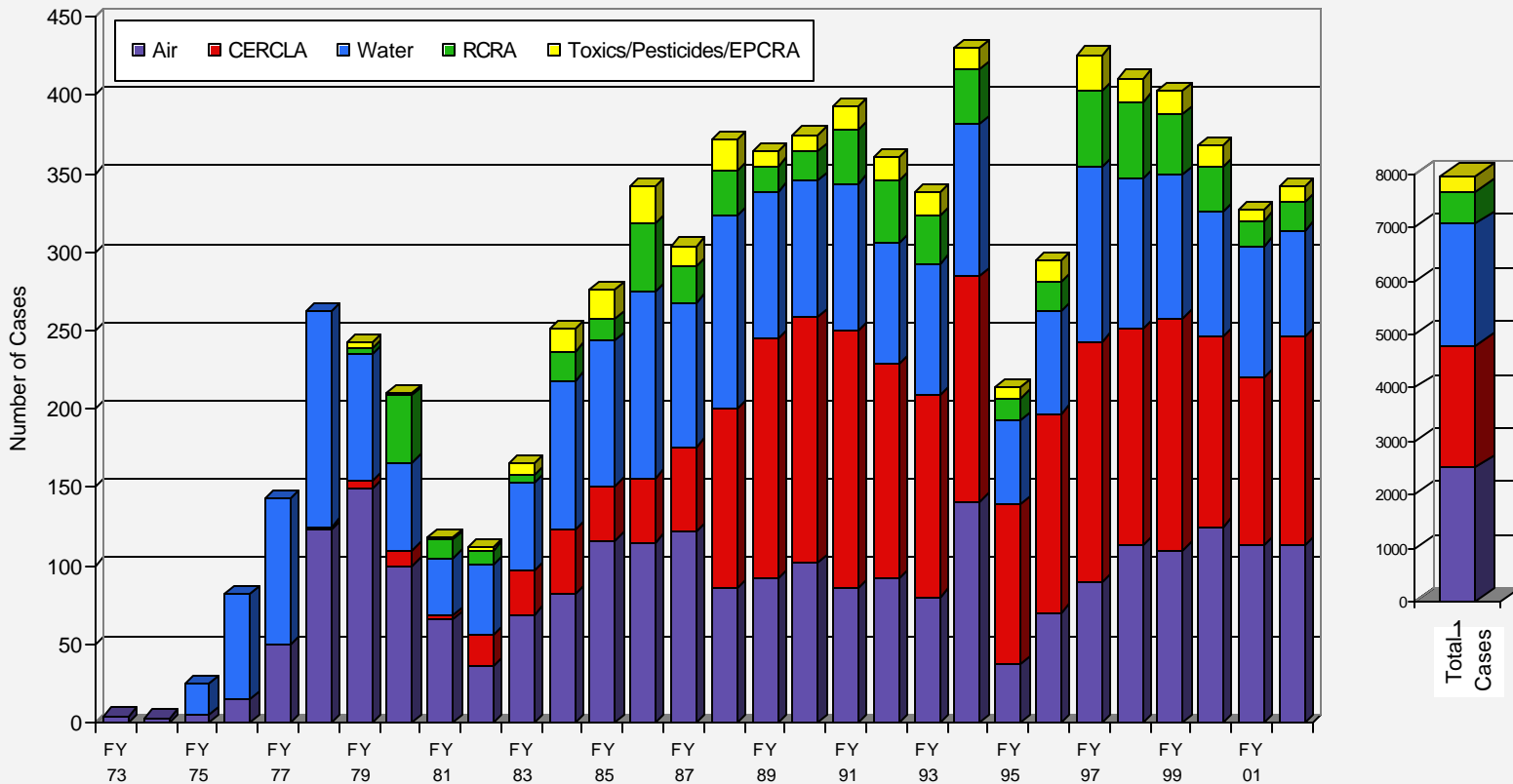
Value of Injunctive Relief



Value of EPA SEPs

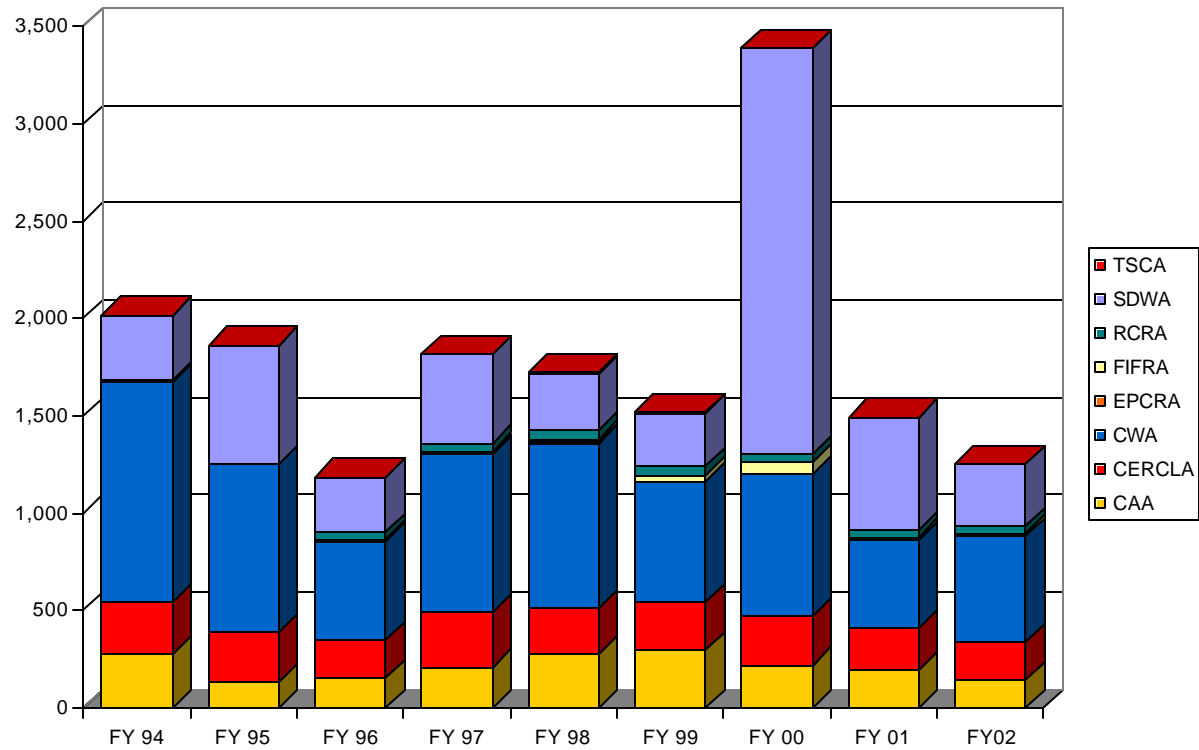


EPA Civil Referrals to DOJ Since FY 1973



7,969 Total Referrals (2,528 Air, 2,282 Water, 2,266 CERCLA, 608 RCRA and 285 Toxics/Pesticides/EPCRA)

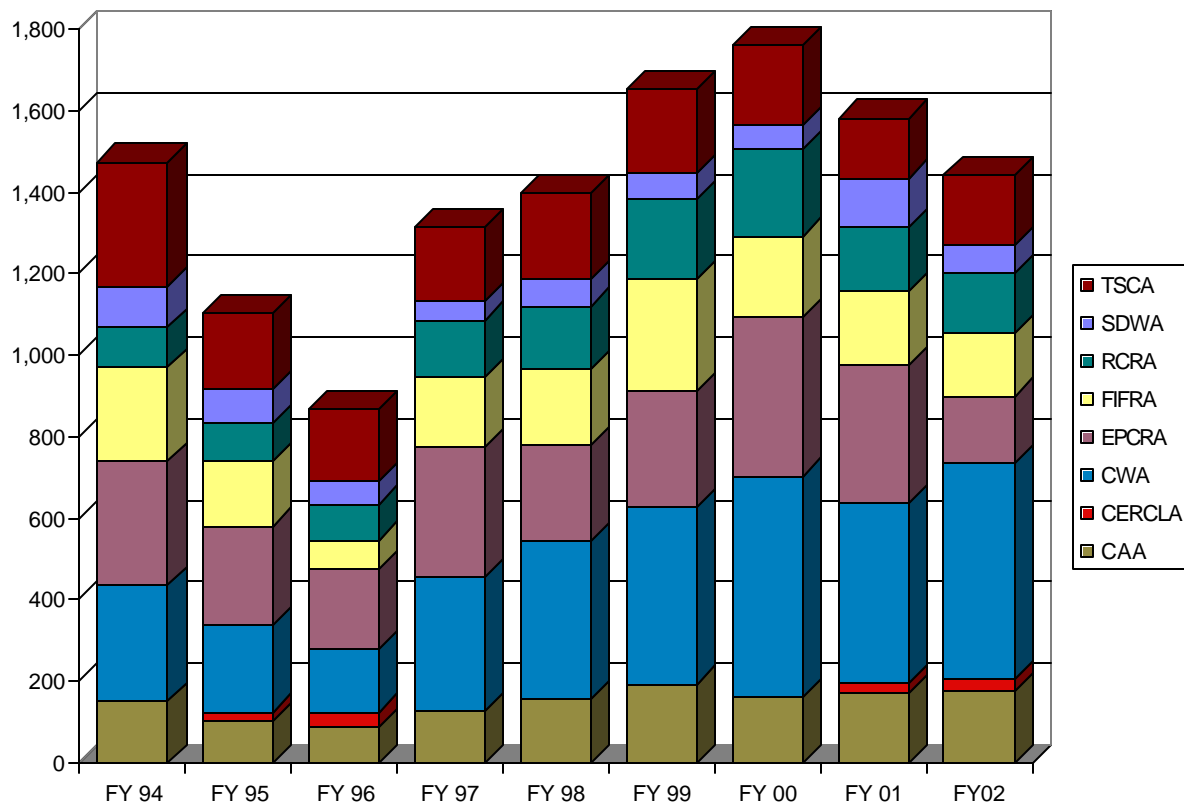
EPA Administrative Compliance Orders: FY 1994 to FY 2002

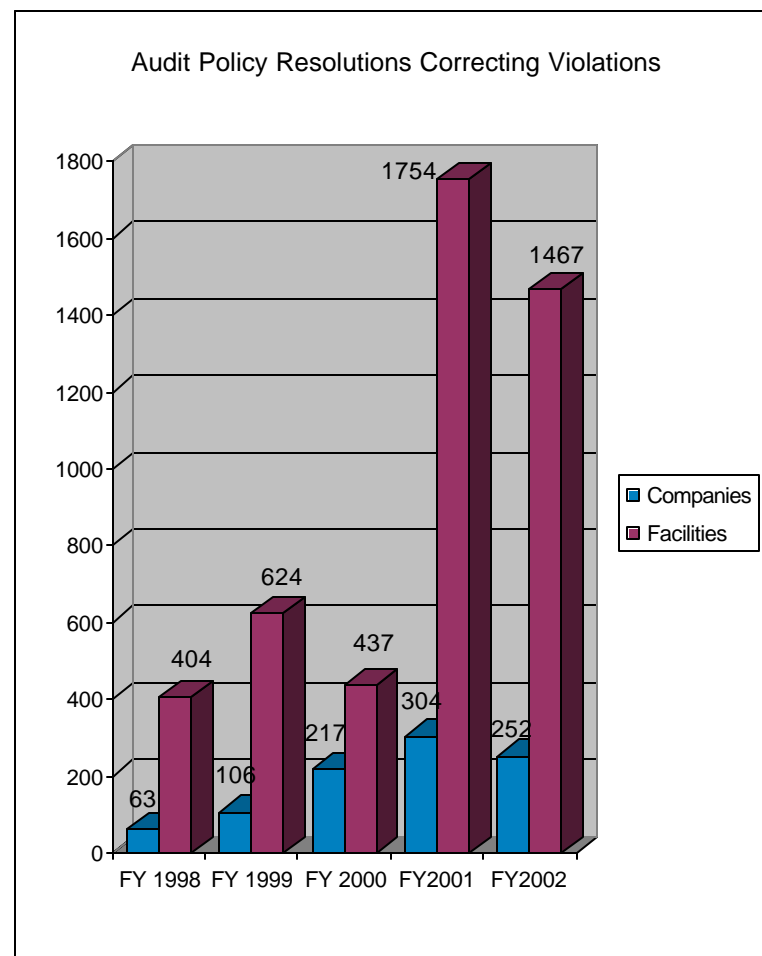
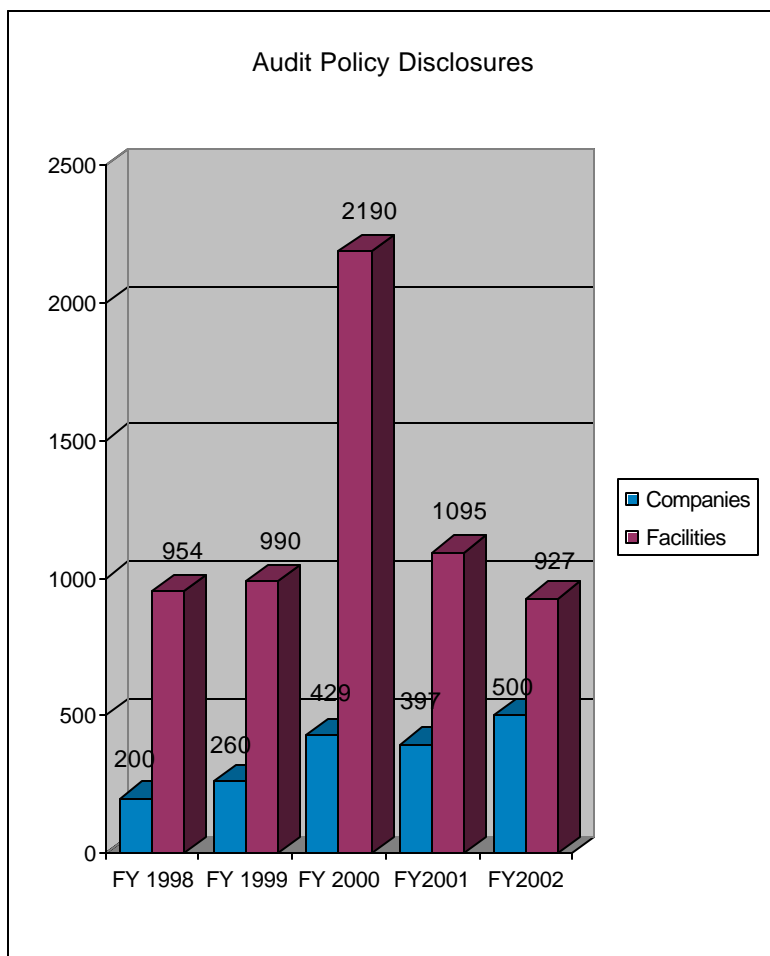


The significant number of FY02 administrative settlements was due to 1st time enforcement of a new SDWA requirement to submit Consumer Confidence Reports (drinking water quality reports for consumers).

EPA Administrative Penalty Order Complaints: FY 1994 to FY 2002

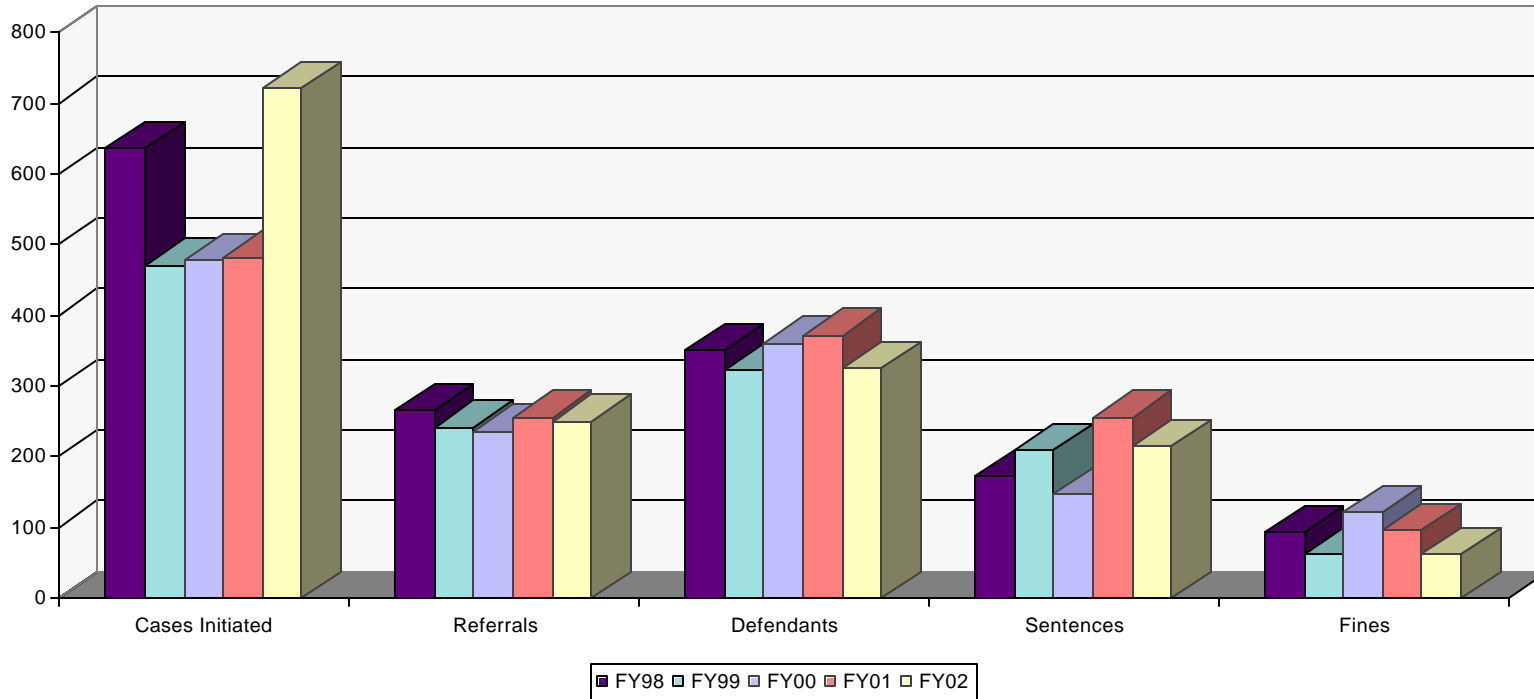
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The increase in facilities involved in Audit Policy settlements was due largely to the Agency's efforts to encourage corporations with multiple facilities to conduct corporate-wide audits and develop corporate compliance systems. EPA reached corporate-wide agreements w/the telecommunications and iron & steel sectors.

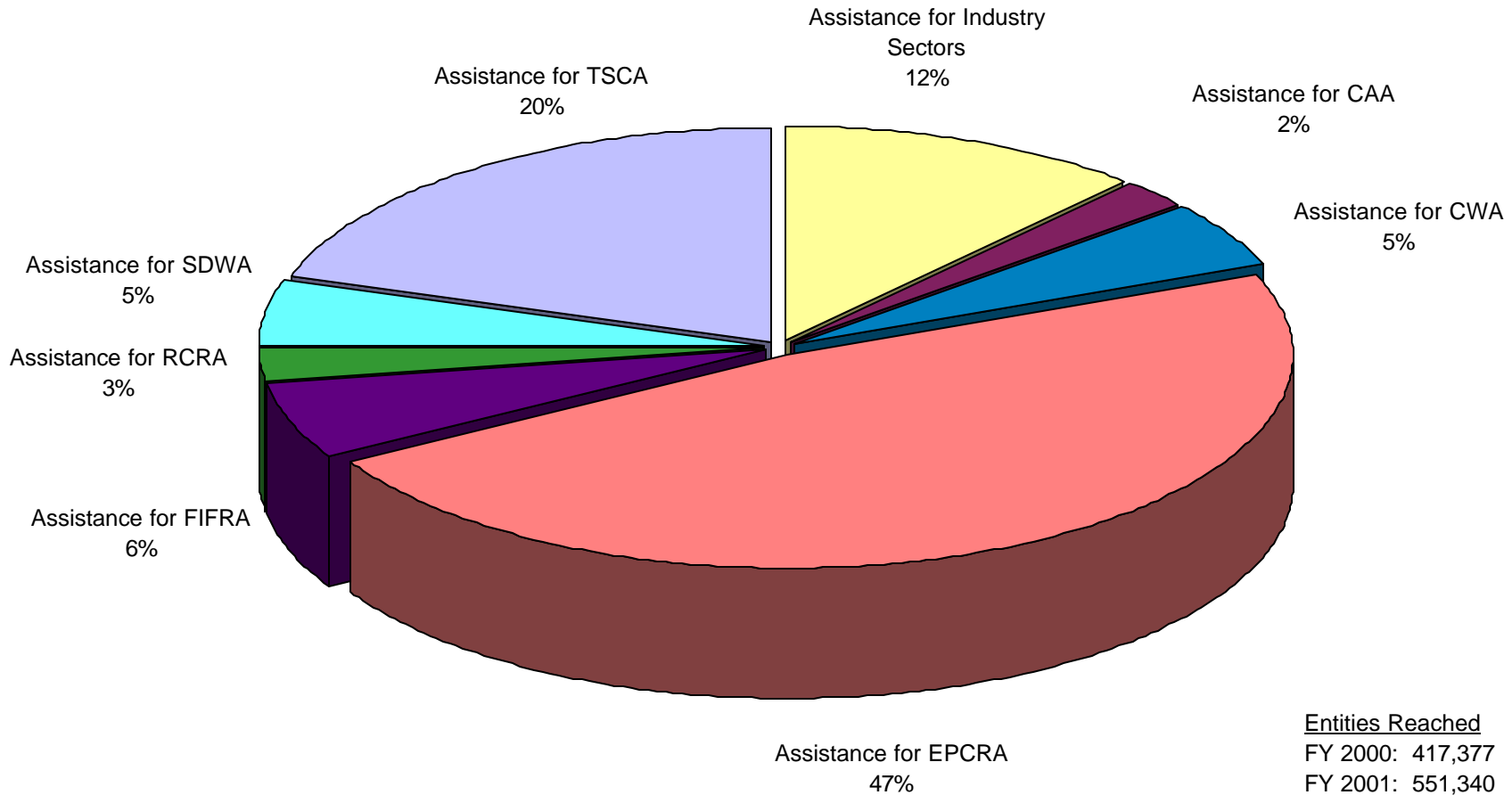
EPA Criminal Enforcement : Major Outputs FY 1998 to FY 2002



	<u>Cases Initiated</u>	<u>Referrals</u>	<u>Defendants Charged</u>	<u>Sentences (Years)</u>	<u>Fines (\$ Millions)</u>
FY 1998	636	266	350	173	93
FY 1999	471	241	322	208	62
FY 2000	477	236	360	146	122
FY 2001	482	256	477	256	95
FY 2002	674*	250	325	215	62

*FY'02 includes 190 counter-terrorism investigation initiations.

FY 2002 National Compliance Assistance by Statute and Sector



Entities Reached
 FY 2000: 417,377
 FY 2001: 551,340
 FY 2002: 589,566

In addition in FY 2002, the Centers were visited over 673,000 times by their target audiences and the public, and experienced over 2.5 million requests for web pages and compliance assistance documents.