

Management Audit Tracking System (MATS)

Audits With Management Decisions But No Final Action After 1 Year
Audits in Appeal excluded For the Period Ending 2007-09-30

ADMINISTRATOR'S OFFICE

[2006-P00001-001](#) Industrial Wipes Congressional Request

Past Due Comments: The Office of the Administrator, Office of Policy, Economic and Innovation (OPEI) and OSWER has formed a workgroup to examine the questions on the RAPIDS Action Initiation Form. OPEI has submitted their comments to the workgroup and OPEI is waiting to see if the workgroup adopts their changes. Also, OPEI has developed a new guidance document that defines rulemaking docketing requirements and the document is expected to be release within two months. Final action is expected by December 2007.

OFFICE OF THE CHIEF FINANCIAL OFFICER

[2006-100015-130](#) 2005 AGENCY F/S - GENERAL (MASTER)

Past Due Comments: OCFO has two remaining corrective actions on this audit. The OIG is requesting further supporting documentation regarding our People Plus default payment procedures for recommendation 3. For recommendation 25, OCFO needs to provide the OIG with additional documentation in support of continuity plans for several small stand alone systems. OCFO expects final certification of this audit by December 15, 2007.

[2006-P00005-130](#) IS Service Continuity & Physical Access Controls at NCC

Past Due Comments: OCFO has one open corrective action on this audit. Due to miscommunication with the OIG on which systems were included in recommendation 19, OCFO still needs to provide documentation to the OIG on several small stand alone systems. We expect final certification on this audit by December 14, 2007.

[2006-P00027-130](#) Undistributed Superfund Costs

Past Due Comments: As of Quarter 4 FY 2007, OCFO's Office of Financial Management (OCFO) has not updated Chapter 4 (Direct Site Charging) of RMDS 2550D. As a result of the conflicting organizational priorities, we have focused our efforts on revising RMDS Chapter 9--Superfund State Contracts and Cooperative Agreements. Chapter 9 now includes language that addresses some of the issues that were identified in the audit findings related to the backlog and timeliness issues for Grants and Cooperative Agreements which were the main focus of the WQ audit. The Chapter 9 policy document is ready for the final policy review process. Our current Comptroller Policy Announcement--OCFO 96-01--is still in place. OFM will continue to update all RMDS 2550 chapters and the OCFO 96-01 language will be incorporated into all relevant chapters of 2550 D including Chapter 4. OFM estimates that we will have a draft Chapter 4 revised by March 31, 2008.

OFFICE OF AIR AND RADIATION

[2005-P00010-140](#) Evaluation of CAA Title V Operating Permit Quality

Past Due Comments: EPA has been reevaluating the benefits and most effective action based on current circumstances. EPA provided the IG an update on progress of all recommendations as of September 2007 with targeted completion dates of August 2008. EPA has requested a meeting in October 2007 to discuss remaining recommendations 2.1 and 3.2 to amend or add rules as the EPA disagrees with those recommendations and suggest they provide little or no potential derived benefit.

[2006-P00024-140](#) IFOSEC SERIES: SECURITY PRACTICES OAR

Past Due Comments: OAR/OAP Ran Technical Vulnerability Scan Results conducted on Clean Air Markets Division Business System (CAMDBS). OAR has presented: (1) an up-to-date risk assessment and (2) effective practices to ensure that all production servers were monitored for known security vulnerabilities. This robust risk data was sent to NCC. OAR developed and is implementing adequate security practices. OAR will provide a system-wide computer security plan review by April 01, 2008.

OFFICE OF ADMINISTRATION AND RESOURCES MANAGEMENT – HQ

[2000-P00029-150](#) Interagency Agreements Follow-up

Past Due Comments: The Resource Management Directive System (RMDS) 2540-13.1, Economy Act Funds-In IAG Indirect Billing Rates, was sent out for Agency review via the Directives Clearance Review Process in July, 2007. Office of Financial Management (OFM) is currently reviewing the comments. We expect to issue this directive by February 28, 2008.

[P00005-150](#) CFDA Program 66.606

Past Due Comments: OARM has resolved the major aspects of proper use of amendments for assistance agreements with the Competition Policy and will issue additional procedural guidance in December 2007. The additional procedural guidance will more clearly outline the proper use of amendments for assistance agreements. Expected resolution by December 2007.

[2004-P00026-150](#) FINANCIAL APPLICATION DEVELOPMENT AND CHANGE CONTROL

Past Due Comments: The Homeland Security Presidential Directive (HSPD12) Implementation Plan when complete will identify proofing, registration, and card issuance as part of the process. Federal background investigations on non-federal workers being issued smart cards will be completed. This will include on-site contractors and those needing access to EPA high risk IT networks, systems or infrastructures -- such as IFMS. The expected date of completion is September 30, 2008.

[2005-P00019-150](#) PEOPLEPLUS SECURITY CONTROLS NEED IMPROVEMENT

Past Due Comments: This audit has been overtaken by changing and expanding security requirements within the Federal Government -- i.e., Homeland Security Presidential Directive (HSPD) 12, FIPS 201-1, and OMB Guidance -- which mandates a

National Agency Check with Inquiries and Credit (NACIC) Investigation be initiated and favorably adjudicated for non-federal workers needing access to EPA's physical and logical infrastructures (which IFMS falls under). The expected completion date for this action is September, 30, 2008.

OFFICE OF PREVENTION, PESTICIDES & TOXIC SUBSTANCES

[1991-101378-164](#) PESTICIDES INERTS

Past Due Comments: For the past ten (10) years, program resources were focused on tolerance reassessment in compliance with the statutory mandate of the Food Quality Protection Act of 1996 (FQPA). As part of tolerance reassessment, all of the eligible food-use inert ingredients were reassessed. Therefore, they were reclassified. Tolerance exemption expressions that were not reclassified were revoked due to lack of reliable data. The revocation takes effect August 2008 unless reliable data are submitted to the Agency. The Office of Pesticide Programs (OPP) will take the steps necessary to officially close out the four (4) open corrections actions related to reclassification of inerts in the MATS database. Final Action expected August 2008.

[2006-P00009-164](#) Impact of Data Gaps on EPA's Implementation of FQPA

Past Due Comments: This OIG report entitled "Opportunities to Improve Data Quality and Children's Health through the Food Quality Protection Act" is the second in a series of three reports reviewing the Office of Pesticide Program's implementation of the Food Quality Protection Act (FQPA). The final Jan. 10, 2006 report contained eleven (11) recommendations. The Program provided OIG a Corrective Action Plan in an April 20, 2006 memo and is actively working on closing all of the recommendations. Expect final action in 2008. An Audit Management Decision Agreement was provided by Jeffrey Harris (OIG) to Jim Jones (Director, Office of Pesticide Programs) in a June 15, 2006 memo.

OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE

[2000-P00028-167](#) RCRA CORRECTIVE ACTION

Past Due Comments: This effort involves a cross-office workgroup within OSWER. There are a large number of program components involved in this effort that need to reach agreement. We are currently working with OSWER offices to get their comments on the guidance. We have completed 34 of the 36 corrective action milestones for this audit. We expect the remaining two milestones to be completed by October 30, 2007.

[2004-P00005-167](#) Mega Financial Responsibilities at Superfund Mine Sites

Past Due Comments: The corrective action milestones have been delayed because the National Mining Team has taken the lead for the Deputy Administrator's new mining initiative and they have been reconsidering these milestones are part of a larger mining strategy. OSWER staff met with the Office of Inspector General (OIG) on August 7, 2007 to discuss the DA's new mining initiative and the impact of the new initiative on the remaining corrective action milestones. We are awaiting feedback from the OIG.

[2003-P00010-167](#) Mega EPA's National Hardrock Mining Framework

Past Due Comments: The remaining corrective action milestone has been delayed because the National Mining Team has taken the lead for the Deputy Administrator's (DA) new mining initiative and has been reconsidering this recommendation and corrective action as part of a larger mining strategy. OSWER staff met with the Office of

Inspector General (OIG) on August 7, 2007 to discuss the DA's new mining initiative and the impact of the new initiative on the remaining corrective action milestone. We are awaiting feedback from the OIG.

2005-P00026 RCRA Financial Responsibility Requirements

Past Due Comments: The milestone dates were agreed upon by OSWER and the OIG in our 12/22/2005 response to the audit report. We have completed seven of the nine corrective action milestones. We expect the remaining two milestones to be completed by December 31, 2008.

[2006-P00013-167](#) SF Mandate: Program Efficiencies

Past Due Comments: We have completed eight of the eleven corrective action milestones for this audit. The remaining three corrective action milestones are expected to be completed by April 30, 2008.

[2006-P00016-167](#) EPA's Management Strategy for Contaminated Sediments

Past Due Comments: The remaining corrective action milestone and date were agreed upon by OSWER and the Office of Inspector General in our August 7, 2006 response to the audit. We have completed one of the two corrective action milestones. The remaining corrective action milestone is expected to be completed by December 30, 2007.

[2006-P00027-167](#) Undistributed Superfund Costs

Past Due Comments: OCFO has the lead on the corrective action milestones for this audit. As of Quarter 4 FY 2007, OCFO's Office of Financial Management (OCFO) has not updated Chapter 4 (Direct Site Charging) of RMDS 2550D. As a result of the conflicting organizational priorities, we have focused our efforts on revising RMDS Chapter 9--Superfund State Contracts and Cooperative Agreements. Chapter 9 now includes language that addresses some of the issues that were identified in the audit findings related to the backlog and timeliness issues for Grants and Cooperative Agreements which were the main focus of the WQ audit. The Chapter 9 policy document is ready for the final policy review process. Our current Comptroller Policy Announcement--OCFO 96-01--is still in place. OFM will continue to update all RMDS 2550 chapters and the OCFO 96-01 language will be incorporated into all relevant chapters of 2550 D including Chapter 4. OFM estimates that we will have a draft Chapter 4 revised by the second quarter of FY 2008.

[2006-P00007-167](#) MORE INFORMATION IS NEEDED ON TOXAPHENE DEGRADATION PRODUCTS

Past Due Comments: The corrective action milestone date was agreed upon by OSWER and the Office of Inspector General in our March 22, 2006 response to the audit. We expect the one corrective action milestone to be complete by December 31, 2008.

OFFICE OF WATER

[2002-P00012-168](#) Controlling and Abating Combined Sewer Overflows

Past Due Comments: All of the Recommendations have been completed with the exception of the Implementation Guidance for Ambient Water Quality Criteria for Bacteria noted in 6.2. The guidance has been put on hold pending the resolution of

several key issues with stakeholders. We expect a resolution of the issues by December 2007.

2003-P00018-168 DRINKING WATER CAPACITY

Past Due Comments: Corrective Action 1: The final plan is undergoing final management review and is expected to be released by the end of October 2007. Corrective Action 2: The capacity development tool described under Recommendation #3 will be issued as final by the end of October 2007. The memo announcing its release will note that the intent of the tool is to help regional staff evaluate state capacity development programs for the purposes of making determinations on withholding. Corrective Action 3: Beta-testing for the Tool has been completed and it will be formally released to regions by the end of October 2007. Data entry is expected to start in November. Corrective Action 4: The final strategy will be released by the end of October 2007. Initial goals and measures will be refined over the next few years. Corrective Action 5: See Response for Corrective Action 4.

2004-P00030-168 EPA's Pretreatment Program

Past Due Comments: Corrective Actions 3.1, 3.2, 3.3, 4.2 and 4.3: Water Permits Division issued the strategy, "Oversight of SIUs Discharging to POTWs without Approved Pretreatment Programs" by memorandum from Linda Boornazian, Director of Water Permits Division, to Regional Division Directors, dated May 18, 2007. Document was reviewed and discussed during the EPA-States Pretreatment Coordinators National Meeting in July 2007, during which industrial user survey assistance, permit writing tools, and other implementation methods were brainstormed. Corrective Action 3.4: Promotion of Training Opportunities Training will continue to be an ongoing effort. Water Permits Division (WPD) honored its commitment to work with partner Water Environment Federation to offer pretreatment training in a classroom format, which was conducted in Hartford, CT in February 2007.

WPD committed contract funds and staff to conduct the following local training with Region 4:

- KY, TN, NC Tri-State Pretreatment Conference on May 2-3, 2007, in Gatlinburg, TN;
- FL, GA, SC Tri-State Pretreatment Conference on June 13-14, 2007, in Jacksonville, FL;
- Pretreatment Training for Alabama Department of Environmental Management staff to occur on October 30-31, 2007, in Montgomery, Alabama;
- Pretreatment Training for Mississippi Department of Environmental Quality staff to occur on November 1, 2007, in Jackson, MS.

WPD is currently evaluating proposals to conduct similar training for Region 5 in 2008. As WEF has only scheduled one course for 2008 (St. Louis, MO, in April), WPD has allocated funding within its strategic plan for developing web-based and self-directed courses.

Corrective Action 4.1: Pilot Study was conducted in Spring/Summer 2007 which evaluated 9 draft results-based measures from which final GPRA measures may be proposed for selection. For each of the draft results-based measures tested, data availability and data sources were evaluated. Preliminary Pilot Study results were discussed at the EPA-States Pretreatment Coordinators National Meeting in July 2007, and selection criteria for a "good" measure was brainstormed (e.g., direct linkage of environmental results to pretreatment regulation, minimal new burden to collect data/data already being collected or reported, etc.). Pilot Study report currently being

finalized. Draft Measures Implementation Handbook is also being developed to assist Regions and States when they begin wide scale testing of the options. Wide scale testing, is to begin in 2008, will test the viability of the measures and refine their description, source, and reporting factors.

Corrective Action 4.2: This is the same as topic 3.1, 3.2, 3.3. See Answer above.

Corrective Action 4.3: Part of this contained with the Strategy of topics 3.1, 3.2, 3.3, and 4.2. Another part will be determined by the results of topics 4.1 and 4.3.

[2005-P00021-168](#) SDWA Tools

Past Due Comments: Corrective Action 4.1: EPA met with the pilot states and Regions in June 2007. Based on the feedback provided by participants, the Agency plans to begin rolling the logic model out more for use in additional states in all 10 EPA Regions, starting April 2008. The capacity development strategic plan should be released by the end of October 2007. Corrective Action 4.2: EPA is issuing final changes to the Lead and Copper Rule (LCR) that incorporate recommendations made by the NDWAC on public education and CCR. The final LCR changes include a revision to CCR, which requires all reports contain a short informational statement about lead in drinking water and its effects on children. The new language is intended to help consumers understand the health effects associated with lead, that lead levels can vary from home to home, that they can take steps to reduce their exposure, and where to get more information. The Agency plans to release revised guidance on public education by the end of 2007. The focus of the November 2007 NDWAC meeting will be on communication issues. This will include discussions about the CCR and related public education materials.

[2006-P00021-168](#) INFORMATION SECURITY SERIES: SECURITY PRACTICES – SDWIS

Past Due Comments: Corrective Action 1: The security categorization for SDWIS was changed to “moderate” and reported in ASSERT in June 2007. Corrective Action 2: The security assessment was completed and reported in ASSERT in June 2007. Corrective Action 3: The SDWIS entry in ASSERT was updated in June 2007. Corrective Action 4: The review of the information security oversight process with OW is on-going. The review process is proceeding with system owner, user and manager interviews and expected to be complete in December 2007. Upon completion of the interview process and feedback, a formal OW oversight process will be developed and implemented in February 2008.

[2006-P00007-168](#) MORE INFORMATION IS NEEDED ON TOXAPHENE DEGRADATION PRODUCTS

Past Due Comment: Corrective Action 1: Neither OSWER, OSW, nor ORD has approached OW about the method for which OSWER took the lead. OW is in a position where we are available to consult on the method, should such consultation be needed. b) Once an Agency-approved method is available, OSRTI will alert site managers that they should apply the new method at sites where toxaphene was disposed. Corrective Action 2: No OW action needed.

[2006-P00016-168](#) EPA's Management Strategy for Contaminated Sediments

Past Due Comments: For Recommendations 2, 4, 8 and 9, an action plan is being developed and is expected to be complete by September 2008. The dates for when commitments under these recommendations will be met will be determined once the action plan is completed. Recommendation 3 is complete, there is no more action required. On recommendation 5, the coordination continues but, not certain if the MOU was renewed. Hopefully OSWER addressed the issue of coordination specifically on CERCLA sites since they would know best.

OFFICE OF ENFORCEMENT & COMPLIANCE ASSURANCE

[2001-P00006-180](#) ENF AGREEMENT COMPLIANCE

Past Due Comments: In mid-2006 OECA developed a final draft performance measure related to the monitoring of compliance with judicial consent decrees and submitted it to the Agency's Measures Review Board for approval, which is required prior to implementation. The Measures Review Board requested additional information regarding how the necessary information will be captured in the agency's enforcement data systems and monitored before approving the proposal. When developing Guidance for the entry and tracking of this information in the ICIS data system it became apparent that not all of the information which should be captured is capable of being monitored using the existing data system.

In March 2006 OECA sought to develop interim performance measures to be used pending modifications to the data system necessary to fully implement the final draft performance measure. OECA staff determined in September 2007 that implementation of the interim performance measures would be overly cumbersome for enforcement staff, not likely to result in useful information for enforcement managers, and would not advance the goals of greater accountability with respect to consent decree implementation. Therefore, OECA has established a goal of securing approval of the final draft performance measure by the Agency's Measures Review Board by March 31, 2008. This approval will constitute the final step in establishing the performance measure that OECA committed to in response to the IG Report.

[2001-P00013-180](#) STATE ENFORCEMENT EFFECTIVENESS - NATIONAL AUDIT

Past Due Comments: There are a total of 17 corrective actions for this report. Five (5) corrective actions have been fully implemented/completed, and the required documentation for all actions are maintained in the official files. The remaining 12 corrective actions are pending completion of rule making and activity to develop a compliance monitoring strategy. All corrective actions will be completed no later than October 31, 2008.

[2004-P00021-180](#) Evaluation of EPA's Petroleum Refinery Enforcement and Compliance

Past Due Comments: This report had 17 corrective actions. TO date, OECA has completed 16 actions. The single corrective action will require OECA to develop a lessons learned initiative. This effort is currently underway, and completion is expected no later than March 2008.

[2005-P00024-180](#) Priority Enforcement and Compliance Assurance Universe

Past Due Comments: There are a total of seven corrective actions for this report. OECA completed five corrective actions, and a copy of the supporting documentation is maintained in the OECA official files. There are two (2) corrective actions pending which

OECA will need to work collaboratively with states to develop a policy for data to be collected and tracked by states, and to update the performance based strategy. All actions are planned for completion no later than September 2008.

[2006-P00006-180](#) Performance Measurement and Reporting for Enforcement and Compliance

Past Due Comments: The contractor was late in submitting the draft report, but expects to deliver it by the end of October 2007. This will also delay submission of the final report and OECA's review process.

Revised Projected completion dates:

May 15, 2007 Final Methodology:

May 30, 2007 Field Test Plan

July 15, 2007 Field Test Completion

October 31, 2007 Draft Report (revised)

November 30, 2007 Final Report (revised)

All recommendations are planned for completion by 12/31/2007.

REGION 5

[2005-300114-350](#) North Lawrence Water Authority, FY 2003

Past Due Comments: The Grantee's response states that to correct the finding (i.e. must fund a reserve fund) requires a rate increase. The Grantee further states that it expects to fully fund its debt service reserve within four years from the date the increase in rates becomes effective. Target date for resolution is June 1, 2010.

REGION 9

[2005-300212-390](#) Yavapai Apache Nation FY 2003

Past Due Comments: The corrective action in the FDL set January 31, 2006 as the original target date and was later revised to July 31, 2007 to complete the tribe's Accounting policies and procedures. The tribe has been working with its CPA firm to make revisions to a "best-fit" "real world model". However, the Chief Financial Officer had a severe health event that has delayed the final corrective action. The new target date is December 31, 2007.

[2005-300211-390](#) Yavapai Apache Nation FY 2002

Past Due Comments: The corrective action in the FDL set January 31, 2006 as the original target date and was later revised to July 31, 2007 to complete the tribe's Accounting policies and procedures. The tribe has been working with its CPA firm to make revisions to a "best-fit" "real world model". However, the Chief Financial Officer had a severe health event that has delayed the final corrective action. The new target date is December 31, 2007.

REGION 10

[2003-300117-410](#) Stevens Village Council

Past Due Comments: This audit cannot be closed until disallowed costs of \$46,614 are collected. Collection on this audit has been combined with collection on audit 2003-300047 (one billing document covers both audit collections) and the grantee has entered into a monthly repayment agreement with EPA. Final payment is expected by July 30, 2012.

[2002-300009-410](#) Iliama Village Council

Past Due Comments: This audit cannot be closed until funds of \$45,481 are collected. On March 8, 2006 collection on this audit has been combined with collection on audit 2002-3-00042 (one billing document which covers both audits. Region 10 appeal board reduced amount due on both audit actions to \$60,449.59. The amount due from this audit has been reduced by \$18,063.14, to \$27,417.86. The grantee was billed for revised amount. Grantee may: a) elect to pay the full amount; b) request a repayment agreement; c) appeal to the Asst. Administrator for the appropriate program. On May 3, 2006, the grantee has been issued a payment agreement: \$503.75 per month for 120 months (10 years). The final payment is due on April 30, 2016.

[2002-300042-410](#) Lliamna Village Council

Past Due Comments: This audit cannot be closed until funds of \$37,559 are collected from the grantee. On March 8, 2006 collection on this audit has been combined with collection on audit 2002-3-00009 (one billing document which covers both audits. Region 10 appeal board reduced amount due on both audit actions to \$60,449.59. The amount reduced on this audit is \$4,527.75, revising the collectable total to \$33,031.75. The grantee was billed for revised amount. Grantee may: a) elect to pay the full amount; b) request a repayment agreement; c) appeal to the Assistant Administrator for the appropriate program. On March 3, 2006 The grantee has been issued a payment agreement: \$503.75 per month for 120 months (10 years) With final payment due April 30, 2016

[2003-300047-410](#) Stevens Village Council

Past Due Comments: This audit cannot be closed until disallowed costs of \$52,365 are repaid. Collection on this audit has been combined with collection on audit 2003-300117 (one billing document which covers both audits) and a monthly repayment agreement was signed by the grantee. Final payment is expected by July 30, 2012.

[2003-300145-410](#) CIRCLE VILLAGE COUNCIL

Past Due Comments: This audit cannot be closed out until all repayment amounts have been received. On May 10, 2004 Circle Village entered into a yearly repayment agreement with EPA. Final payment was expected by May 31, 2006. On August 31, 2006 the grantee defaulted on payment agreement. Collection via Treasury Offset has been requested by the region.

[2004-300011-410](#) Northway Village Council

Past Due Comments: This audit cannot be closed until the \$75,000 is collected from the grantee. On January 25, 2004 the billing was referred to the Headquarters Finance Office for collection via Treasury offset. Region 10 is working with HQ to find out about collection via Treasury offset. Expected final action March 15, 2005. On April 3, 2006 a Collection via Treasury Offset was requested by the region. No further action can be taken by EPA at this time. If Treasury is able to collect, funds will be remanded to EPA. At that time, EPA will be able to record a final action.

[2005-300084-410](#) Hoonah Indian Association - FY 2002

Past Due Comments: Even though the OIG entered this audit into the system on February 9, 2005, we did not actually receive a copy of the audit until July 6, 2005. Since

that time, the Region has been working with the grantee to resolve this audit. As of September 6, 2005, having received no response from the grantee regarding the audit issues, the Region declared them High Risk and their grant has been suspended. They have until October 6, 2005 to appeal the Region's actions & furnish us with a status of corrective action. We expect to resolve this audit by Oct. 30, 2005. On September 19, 2005, the Region requested OIG close this audit, as enforcement action is planned. On January 10, 2006, the Region issued a demand letter for repayment of entire grant amount of \$238,648. On June 13, 2006, this debt was referred for collection by treasury offset.

[2005-300218-410](#) Chalkyitsik Village Council

Past Due Comments: Collection of amount due has been referred to Treasury.

[2005-300239-410](#) Chalkyitsik Village Council

Past Due Comments: Payment agreement calls for payments of \$331.15 per month, for a term of three years, beginning on December 31, 2005. However, agreement and payment has not received. Referring this to Treasury.

[2006-300085-410](#) Stevens Village Council FY 2003

Past Due Comments: September 19, 2007 - Because of the numerous audit-related enforcement actions pending against this grantee, Region 10 is waiting collection action on the disallowed amount from this audit pending resolution of the appeal of the collection action for audit 2006-3-00014. This has been delayed due to administrative issues. Resolution is expected within the next 90 days. In the meantime no further awards are being made to this grantee.