

# CONTENTS

<i>Preface</i>	<i>xxiii</i>
<i>Acknowledgments</i>	<i>xxvii</i>
<b>1 ENVIRONMENTAL CRIME</b>	<b>1</b>
<b>A. SUPPORT FOR CRIMINAL SANCTIONS</b>	<b>2</b>
<b>B. THE REGULATORY FRAMEWORK</b>	<b>3</b>
1. Federal Legislation	4
2. Regulation	5
3. Enforcement	5
Kathleen F. Brickey, <i>Environmental Crime at the Crossroads: The Intersection of Environmental and Criminal Law Theory</i>	6
<b>C. FRAMING THE CRIMINAL ENFORCEMENT DEBATE</b>	<b>8</b>
1. The Nature of Environmental Law	9
Kathleen F. Brickey, <i>Environmental Crime at the Crossroads: The Intersection of Environmental and Criminal Law Theory</i>	9
2. Core Criminal Law Concepts	13
a. Harm	13
b. Culpability	15
c. Deterrence	16

3. The Merits of Criminal Enforcement	17
a. Criminal Law Perspective	17
Kathleen F. Brickey, <i>Charging Practices in Hazardous Waste Prosecutions</i>	18
b. Environmental Law Perspective	19
Richard J. Lazarus, <i>Assimilating Environmental Protection into Legal Rules and the Problem with Environmental Crime</i>	20
4. The Civil/Criminal Wrong Distinction	21
John C. Coffee, Jr., <i>Does “Unlawful” Mean “Criminal”? : Reflections on the Disappearing Tort/Crime Distinction in American Law</i>	23

## **2 MENS REA** **25**

### **A. OVERVIEW OF MENTAL STATES** **25**

### **B. KNOWLEDGE** **26**

1. Facts Versus Law	27
a. Factual Elements	28
<i>United States v. Ahmad</i>	28
Discussion Questions	32
b. Knowledge of Jurisdictional Elements	33
Discussion Questions	36
c. Knowledge of Illegality	36
<i>United States v. Sinsky</i>	36
Discussion Questions	41
2. Willful Blindness	44
<i>United States v. Hopkins</i>	44
Discussion Questions	48
3. Collective Knowledge	49

### **C. NEGLIGENCE** **50**

1. Standard of Care	50
<i>United States v. Ortiz</i>	50
Discussion Questions	54
2. Causation	56
a. Causation in Fact	56

b. Causation in Law	56
c. Causation and Mens Rea	57
THE CASE OF THE RUPTURED PIPELINE	58
<b>D. STRICT LIABILITY</b>	<b>58</b>
THE CASE OF THE LOCKED SLOP CHUTES	59
<b>3 INDIVIDUAL AND ORGANIZATIONAL LIABILITY</b>	<b>61</b>
<b>A. INDIVIDUAL LIABILITY</b>	<b>62</b>
1. Direct and Indirect Participation	64
Discussion Questions	66
2. Responsible Corporate Officers	68
<i>United States v. Park</i>	69
Discussion Questions	78
THE CASE OF THE FDA IMPOSTER	78
THE CASE OF EMPLOYEE SABOTAGE	79
THE CASE OF THE UNENCLOSED WAREHOUSE	79
<i>United States v. Iverson</i>	80
Discussion Questions	84
THE CASE OF THE TOWBOAT BURN BARRELS	84
<b>B. ORGANIZATIONAL LIABILITY</b>	<b>85</b>
1. Principles of Liability	85
Discussion Questions	89
2. Policy Considerations	89
Francis T. Cullen, Gray Cavender, William J. Maakestad & Michael L. Benson, <i>Corporate Crime Under Attack: The Fight         to Criminalize Business Violence</i>	90
Discussion Questions	92

<b>4 WATER POLLUTION</b>	<b>95</b>
<b>A. THE CLEAN WATER ACT</b>	<b>95</b>
<b>B. KEY CONCEPTS</b>	<b>96</b>
1. Discharge	96
2. Point Source	97
<i>United States v. Plaza Health Laboratories, Inc.</i>	99
Discussion Questions	105
3. Pollutants	106
4. Navigable Waters	107
Discussion Questions	108
5. Applying the Concepts	109
THE CASE OF THE RECYCLED FISH	109
<b>C. PERMIT VIOLATIONS</b>	<b>110</b>
1. The Permit System	110
<i>United States v. Frezzo Brothers, Inc.</i>	112
Discussion Questions	115
2. An Alternative Regulatory Regime	116
<b>D. KNOWING ENDANGERMENT</b>	<b>117</b>
1. Protected Parties	118
<i>United States v. Borowski</i>	118
Discussion Questions	124
2. Willful Blindness	125
Discussion Question	126
3. Imminent Danger	127
THE CASE OF THE BEACHED BLOOD VIALS	127
<b>E. WETLANDS</b>	<b>128</b>
Kathleen F. Brickey, <i>Wetlands Reform and the Criminal Enforcement Record: A Cautionary Tale</i>	128
<i>Northern California River Watch v. City of Healdsburg</i>	134
Discussion Questions	140

<b>F. MISCELLANEOUS CWA CRIMES</b>	<b>140</b>
1. Pretreatment Standards	141
2. Discharge of Dangerous Pollutants or Hazardous Substances	141
3. Notification Requirements	142
4. False Statements	144
<b>5 AIR POLLUTION</b>	<b>145</b>
<b>A. THE CLEAN AIR ACT</b>	<b>145</b>
<b>B. KEY CONCEPTS</b>	<b>146</b>
1. Person	147
2. Stationary Source	147
3. Hazardous Pollutant	148
4. National Emissions Standards for Hazardous Pollutants (NESHAPS)	148
<b>C. ASBESTOS DEMOLITION AND RENOVATION</b>	<b>149</b>
1. Owners and Operators	149
<i>United States v. Dipentino</i>	150
Discussion Questions	152
<i>United States v. Pearson</i>	153
Discussion Questions	157
THE CASE OF THE INVISIBLE “VISIBLE EMISSIONS”	159
2. Jurisdiction	161
Discussion Questions	164
3. Parallel State and Federal Enforcement	165
<i>United States v. Louisville Edible Oil Products, Inc.</i>	165
Discussion Questions	168
4. Knowing Violations	168
THE CASE OF THE AMISH WEATHERVANE SHOP	169
<b>D. KNOWING ENDANGERMENT</b>	<b>170</b>
1. The W.R. Grace Prosecution	171

a. Background	172
Andrew Schneider & David McCumber, <i>An Air That Kills</i>	173
b. Indictment	179
<i>United States v. W.R. Grace</i> (Indictment)	180
Discussion Questions	184
2. Negligent Endangerment	185
Discussion Question	186
<b>E. ALTERNATIVE REGULATORY SCHEMES</b>	<b>186</b>
<b>6 HAZARDOUS WASTE</b>	<b>191</b>
<b>A. THE RESOURCE CONSERVATION AND RECOVERY ACT</b>	<b>192</b>
<b>B. KEY CONCEPTS</b>	<b>195</b>
1. Hazardous Waste	195
THE CASE OF THE PESTICIDE RINSEATES	196
Discussion Questions	198
2. Generators	199
<b>C. TREATMENT, STORAGE, OR DISPOSAL</b>	<b>199</b>
<i>United States v. Johnson &amp; Towers, Inc.</i>	200
<i>United States v. Hoflin</i>	204
Discussion Questions	209
THE CASE OF THE MISLABELED PAINT WASTE	210
<b>D. TRANSPORTATION</b>	<b>211</b>
<i>United States v. Hayes International Corp.</i>	211
Discussion Questions	216
THE CASE OF THE CAUSTIC CARBURETOR CLEANER	216
<i>United States v. Fiorillo</i>	217
Discussion Questions	225
<b>E. KNOWING ENDANGERMENT</b>	<b>225</b>
1. Knowledge	225
Discussion Questions	226

THE CASE OF THE CYANIDE SLUDGE	227
Discussion Questions	228
2. Imminent Danger	228
THE CASE OF THE PSYCHO-ORGANIC SYNDROME	228
Discussion Questions	230
THE CASE OF THE CLANDESTINE COCAINE LAB	231
<b>F. DOUBLE JEOPARDY</b>	<b>232</b>
Discussion Questions	233
<b>7 HAZARDOUS AND TOXIC SUBSTANCES</b>	<b>235</b>
<b>A. THE COMPREHENSIVE ENVIRONMENTAL RESPONSE, COMPENSATION, AND LIABILITY ACT</b>	<b>236</b>
<b>B. KEY CONCEPTS</b>	<b>236</b>
1. Release into the Environment	237
a. Release	237
Discussion Question	238
b. Environment	238
Discussion Questions	238
2. Hazardous Substance	239
3. Reportable Quantity	239
Discussion Question	241
4. Vessel or Facility	241
Discussion Questions	242
5. Person in Charge	242
<i>United States v. Carr</i>	243
Discussion Questions	247
THE CASE OF THE CHLORINE CLOUD	247
<b>C. NOTIFICATION REQUIREMENTS</b>	<b>248</b>
1. Knowledge	248
Discussion Questions	249
THE CASE OF THE DECLINING DRUM COUNT	249
2. Immediate Notice	250
THE CASE OF THE CHLORINE CLOUD: TAKE TWO	251

3. The Consolidated Edison Prosecution	252
<i>United States v. Consolidated Edison of New York, Inc.</i> (Indictment)	253
Discussion Questions	260
Sentencing and Corporate Culture	261
Discussion Questions	264
4. Immunity	265

## **8 CONVENTIONAL CRIMINAL STATUTES 267**

<b>A. CONSPIRACY</b>	<b>269</b>
1. General Principles	269
Discussion Questions	271
2. Agreement	271
Discussion Questions	272
3. Knowledge and Intent	273
Discussion Questions	273
THE CASE OF THE SOLVENT-SATURATED SAWDUST	273
Discussion Questions	274
4. Overt Act	275
Discussion Questions	276
5. Vicarious Liability	276
<i>Pinkerton v. United States</i>	277
Discussion Questions	278
6. “Offense” and “Defraud” Clauses	279
Discussion Questions	281
7. Duration	283
<i>United States v. Jimenez Recio</i>	283
Discussion Question	285
<b>B. MAIL FRAUD</b>	<b>285</b>
1. Fraud	286
THE CASE OF THE 100 MILE LIMIT	287
Discussion Questions	288
a. Money or Property	288
Discussion Question	290
b. Intangible Property	290
Discussion Questions	291

c. Licenses	292
Discussion Questions	294
THE CASE OF THE PERGOLA PERMIT	294
Discussion Questions	295
d. Intangible Rights	296
Discussion Questions	298
2. Use of the Mails	300
Discussion Questions	302
3. Jurisdiction	302
4. Wire Fraud	303
Discussion Question	304
<b>C. FALSE STATEMENTS</b>	<b>304</b>
1. Jurisdiction	304
a. Executive Branch	307
<i>United States v. Wright</i>	307
Discussion Questions	309
<i>United States v. Consolidated Edison of New York, Inc. (Indictment)</i>	310
<i>United States v. Consolidated Edison of New York, Inc. (Opinion)</i>	313
Discussion Questions	314
b. Legislative Branch	315
THE CASE OF THE SENATE SUBCOMMITTEE HEARING	316
c. Judicial Branch	317
Discussion Questions	317
2. False Statement	318
a. Misrepresentation	318
Discussion Questions	320
b. Concealment	320
THE CASE OF THE LEVEL SEVEN SCRUB	321
Discussion Questions	322
c. Falsity	322
d. Materiality	322
Discussion Questions	323
3. Mental State	323
Discussion Questions	324
4. Preemption	324
<i>United States v. Shaw</i>	324
Discussion Question	327

5. Perjury	327
<b>D. OBSTRUCTION OF JUSTICE</b>	<b>328</b>
1. Sections 1503 and 1505	328
Discussion Questions	330
a. The W.R. Grace Prosecution	330
Discussion Questions	331
2. Section 1512	332
3. Environmental Statutes	332
Discussion Question	333
<b>9 ENFORCEMENT</b>	<b>335</b>
<b>A. ENFORCEMENT AUTHORITY</b>	337
1. Investigation	337
2. Case Selection	341
<i>Environmental Protection Agency, Memorandum:     The Exercise of Investigative Discretion</i>	342
<b>B. PROSECUTORIAL DISCRETION</b>	346
1. Justice Department Policy	347
<i>Department of Justice, United States Attorneys     Manual: Principles of Federal Prosecution</i>	347
<i>Department of Justice, Factors in Decisions in     Criminal Prosecutions for Environmental     Violations</i>	351
2. Critiques	354
<i>Richard J. Lazarus, Meeting the Demands of     Integration in the Evolution of Environmental     Law: Reforming Environmental Criminal Law</i>	355
<i>Kathleen F. Brickey, The Rhetoric of     Environmental Crime: Culpability, Discretion,     and Structural Reform</i>	357
<i>Kathleen F. Brickey, Wetlands Reform and     the Criminal Enforcement Record: A     Cautionary Tale</i>	361

**C. CRIMINAL ENFORCEMENT RECORD**

- 1. Charging Practices 367
- 2. Outcomes 370

*Table of Cases* 373

*Table of Statutes* 379

*Glossary of Acronyms* 383

*Index* 385