

***Region 6***  
***Corrective Action Strategy***  
***(CAS)***

***February 2015***

Prepared by

U. S. EPA  
Region 6  
Multimedia Planning  
and Permitting Division  
Dallas, TX 75202

**NOTICE**

The policies and procedures set forth in the United States Environmental Protection Agency (EPA) Region 6 Corrective Action Strategy (CAS) are provided as guidance for the implementation of Resource Conservation and Recovery Act (RCRA) corrective action at sites with releases of hazardous waste or hazardous waste constituents. The CAS could also apply cross-programmatically to other cleanup programs (*e.g.* Brownfields, Superfund, LUST, Solid Waste, and voluntary cleanup programs.) This version of the CAS incorporates EPA policy and guidance and focuses on the completion of corrective action at facilities subject to RCRA.

The CAS is based, in part, on policies referred to in the Advanced Notice for Proposed Rulemaking (ANPR) Subpart S, published on May 1, 1996 (61 *Federal Register* 19432) and the National Oil and Hazardous Substances Pollution Contingency Plan (NCP), published on March 8, 1990 (55 *Federal Register* 8666).

The CAS provides guidance to EPA Region 6 and the states in Region 6 as one way to implement and complete RCRA corrective action. It also provides guidance to the public and to the regulated community on how EPA Region 6 and states may exercise its discretion in implementing its regulations. The CAS is meant to supplement, not replace, previous guidance issued by EPA regarding RCRA corrective action and is not meant to supersede State- legislated cleanup programs.

All decisions regarding corrective action at a particular facility should be based on the applicable statutes and regulations. The February 2015 CAS is intended to replace the November 2000 and the November 2008 CAS.

***How to contact us;***

RCRA Corrective Action Team  
US EPA Region 6  
Multimedia Planning and Permitting Division  
Mail Code: 6PD-C  
1445 Ross Avenue  
Dallas, Texas 75202

## Contents

<b>1.0 INTRODUCTION</b> .....	6
<b>1.1 PURPOSE AND SCOPE OF THE CORRECTIVE ACTION STRATEGY (CAS)</b> .....	6
<b>1.2 EPA AUTHORITY, POLICY AND GUIDANCE</b> .....	9
<b>1.2.1 Groundwater Policy Issues</b> .....	9
<b>1.2.2 Sustainable Remediation</b> .....	10
<b>1.3 ORGANIZATION OF THE CAS GUIDANCE</b> .....	10
<b>2.0 OVERVIEW OF THE CAS</b> .....	11
<b>2.1 KEY ELEMENTS OF THE CAS</b> .....	11
<b>2.2 PERFORMANCE STANDARDS</b> .....	12
<b>2.3 RESPONSIBILITIES OF THE FACILITY AND ADMINISTRATIVE AUTHORITY</b> .....	14
<b>2.4 STEPS FOR IMPLEMENTING THE CAS</b> .....	15
<b>2.4.1 Beginning the CAS</b> .....	15
<b>2.4.1.1 Notice of Intent</b> .....	15
<b>2.4.1.2 Scoping Meeting</b> .....	16
<b>2.4.2 CAS Work Plan</b> .....	18
<b>2.4.3 Evaluating and Prioritizing Impacts from Releases</b> .....	19
<b>2.4.3.1 Risk-Based Screening</b> .....	19
<b>2.4.3.2 Site-Specific Risk Assessment</b> .....	19
<b>2.4.3.3 Ecological Exclusion Screening</b> .....	20
<b>2.4.3.4 Risk Evaluation Report</b> .....	20
<b>2.4.4 Risk Management Plan</b> .....	21
<b>2.5 COMPLETING THE CAS</b> .....	22
<b>3.1 SYSTEMATIC PLANNING - ESTABLISHING DATA QUALITY OBJECTIVES</b> .....	24
<b>3.0 SYSTEMATIC PLANNING AND THE CONCEPTUAL SITE MODEL</b> .....	24
<b>3.2 ELEMENTS OF THE CAS CONCEPTUAL SITE MODEL (CSM)</b> .....	25
<b>3.3 DATA QUALITY CONSIDERATIONS FOR THE CAS</b> .....	28
<b>3.3.1 Identification of Contaminants of Potential Concern (COPCs)</b> .....	28
<b>3.3.2 Quality Considerations for Existing Data</b> .....	29
<b>3.3.3 Quality Considerations for New Data Collection</b> .....	30
<b>3.3.4 Release Characterization Techniques</b> .....	30
<b>4.0 RISK-BASED SCREENING</b> .....	32
<b>4.1 BACKGROUND AND PURPOSE OF RISK-BASED PRIORITIZATION</b> .....	32
<b>4.2 LAND USE AND RECEPTORS</b> .....	33
<b>4.3 EXPOSURE SCENARIOS AND PATHWAYS</b> .....	34
<b>4.4 STEPS TO CONDUCTING RISK-BASED SCREENING</b> .....	36
<b>5.0 REMEDY EVALUATION</b> .....	41

**February 2015 CAS**

<b>5.1</b>	<b>EVALUATING AND PROPOSING A REMEDY</b> .....	<b>41</b>
<b>5.1.1</b>	<b>Risk Management Planning</b> .....	<b>41</b>
<b>5.1.2</b>	<b>Corrective Action Objectives (CAOs)</b> .....	<b>43</b>
<b>5.2</b>	<b>REMEDATION</b> .....	<b>45</b>
<b>5.3</b>	<b>REVIEW OF INTERIM MEASURES/PRESUMPTIVE REMEDIES</b> .....	<b>46</b>
<b>5.4</b>	<b>USE OF INSTITUTIONAL CONTROLS</b> .....	<b>46</b>
<b>6.0</b>	<b>COMPLETING THE CAS/IMPLEMENTING A PERFORMANCE-BASED REMEDY</b> .....	<b>48</b>
<b>6.1</b>	<b>PERFORMANCE MONITORING PROGRAM PLAN</b> .....	<b>48</b>
<b>6.2</b>	<b>PERFORMANCE REVIEWS</b> .....	<b>51</b>
<b>6.2.1</b>	<b>Summarizing the Effectiveness of the Remedy in a Performance Review Plan</b> .....	<b>51</b>
<b>6.2.2</b>	<b>Verification of Fate and Transport Models as part of Performance Reviews</b> .....	<b>52</b>
<b>6.3</b>	<b>CONTINGENCY PLANS</b> .....	<b>53</b>
<b>6.4</b>	<b>SUMMARY/ MOVING TOWARDS SUSTAINABILITY</b> .....	<b>53</b>

<b><u>Acronyms</u></b>	<b>5</b>
------------------------	----------

**Figures**

<b>Figure 1</b>	<b>CAS Philosophy</b>	<b>8</b>
<b>Figure 2</b>	<b>Calculation of Cumulative Carcinogenic Risk</b>	<b>40</b>
<b>Figure 3</b>	<b>CSM Development</b>	<b>44</b>

**Appendices**

<b>Appendix A</b>	<b>CAS Conceptual Site Model (CSM) and Corrective Action Objectives (CAOs)</b>
<b>Appendix B</b>	<b>Ecological Exclusion Checklist</b>

ACRONYMS

ACL	Alternate concentration limit
ANPR	Advanced Notice for Proposed Rulemaking
CAO	Corrective action objective
CAS	Corrective Action Strategy
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act
CMI	Corrective measures implementation
CMS	Corrective measures study
COC	Contaminants of concern
COPC	Contaminants of potential concern
CSM	Conceptual site model
DNAPL	Dense non-aqueous phase liquids
DQO	Data quality objective
EPA	U.S. Environmental Protection Agency
ERA	Ecological risk assessment
HI	Hazard index
HQ	Hazard quotient
IC	Institutional Control
IDSS	Integrated DNAPL Site Strategy
ITRC	Interstate Technology & Regulatory Council
LNAPL	Light non-aqueous phase liquid
LUC	Land Use Control
MCL	Maximum contaminant level
MCLG	Maximum contaminant level goal
MNA	Monitored natural attenuation
NAS	National Academy of Sciences
NCP	National Oil and Hazardous Substances Contingency Plan
NFA	No further action
PAHs	Polycyclic aromatic hydrocarbons
PCBs	Polychlorinated biphenols
POC	Point of compliance
POE	Point of exposure
QA/QC	Quality assurance/Quality control
QAPP	Quality assurance project plan
RAGS	Risk assessment guidance for Superfund
RCRA	Resource Conservation and Recovery Act
RFA	RCRA facility assessment
RFI	RCRA facility investigation
RMP	Risk management plan
SAP	Sampling and analysis plan
SSG	Soil screening guidance
SSRA	Site-specific risk assessment
SWMU	Solid waste management unit
UCL95	95 percent upper confidence level
UST	Underground storage tank
VI	Vapor Intrusion

## 1.0 INTRODUCTION

This chapter describes . . .

the purpose and scope of the CAS

EPA authority, policy and guidance

organization of the CAS guidance

### 1.1 PURPOSE AND SCOPE OF THE CORRECTIVE ACTION STRATEGY (CAS)

The United States Environmental Protection Agency (EPA) Region 6 developed the corrective action strategy (CAS) to expedite corrective action at Resource Conservation and Recovery Act (RCRA) facilities. This document was developed as guidance to help regulators and facilities make meaningful progress toward the completion of corrective action obligations. The CAS primary objectives are to streamline corrective action administrative procedures, to provide tools that aid in the implementation and completion of corrective action, and to focus corrective action on releases that may require remediation, resulting in advancing the protection of human health and the environment.

Although the CAS was developed for the RCRA program, its purpose is consistent with EPA's long-standing goal for EPA's cleanup programs to yield similar remedies in similar circumstances. Therefore, this approach may be useful to those working with Brownfields, Superfund, Underground Storage Tank (UST) programs, solid waste, and voluntary cleanup programs.

This guide describes a risk management approach that can be implemented during any phase of corrective action, to better focus time and money on releases that pose a significant and unacceptable risk. The CAS concepts are compatible with multiple regulatory frameworks (permits, orders, letter agreements, cooperative agreements, voluntary programs, facility-lead corrective action, etc.). Through implementation of the CAS, the main focus can be shifted away from process details and toward risk management and sustainable approaches to remediation.

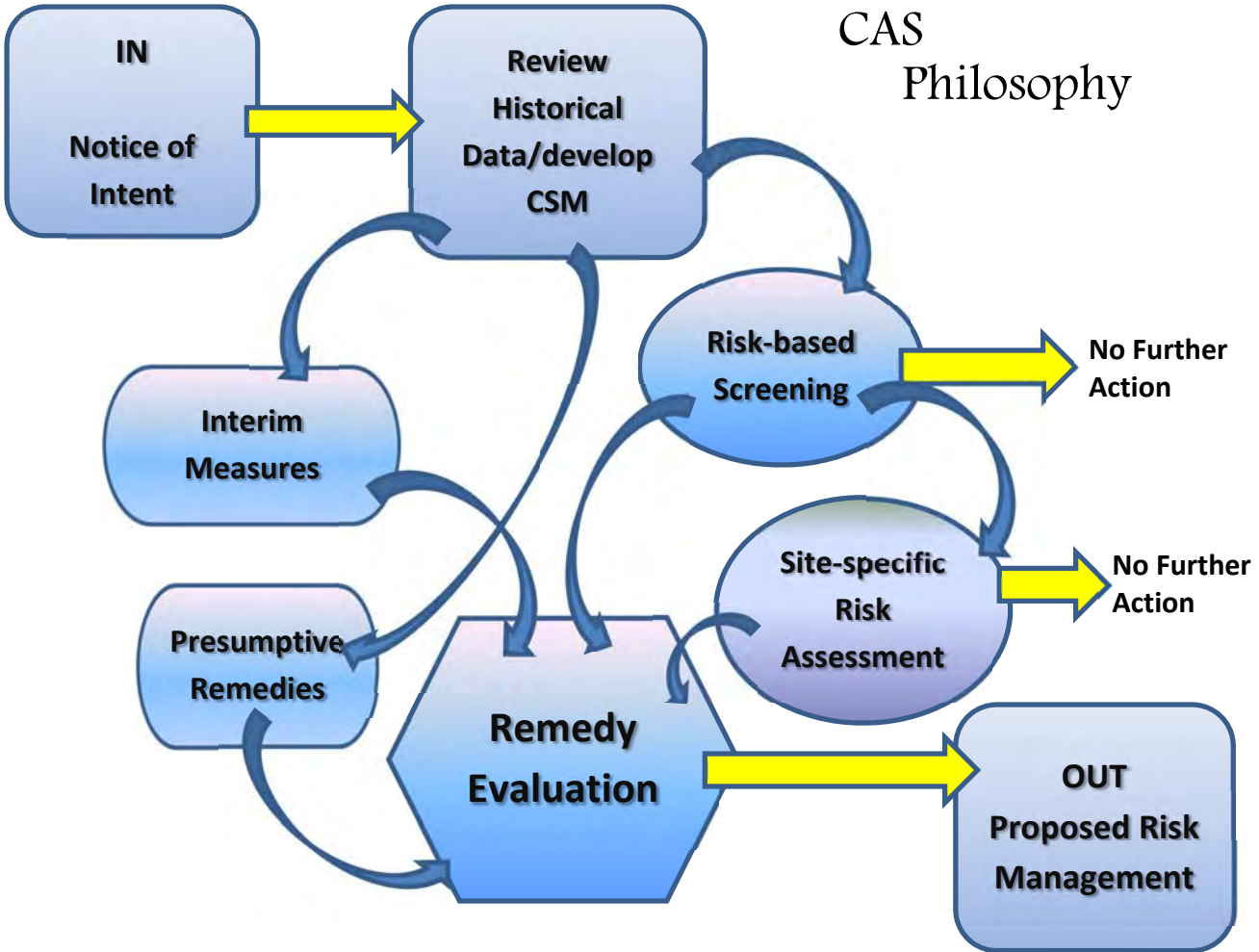
**February 2015 CAS**

The CAS is a performance-based approach that emphasizes *results over process*. Using the systematic planning process, investigations begin with the endpoint in mind. Use of existing and new site-specific information is encouraged. Performance standards are established at the beginning of the CAS, allowing for more focused implementation. Releases are screened to determine the priority of corrective action, and remedial alternatives are selected on the basis of their ability to achieve site-specific corrective action objectives (CAOs) to support the overall performance standards, resulting in protection of human health and the environment. **Figure 1** is a graphical representation of the non-process approach of the CAS. Site-specific conditions determine the overall process to achieve site cleanup.

The CAS was designed as a performance-based tool for all stakeholders (EPA, states, facilities, and the public) involved in site remediation activities and complements, not supersedes, existing Federal, state, and local regulations.

For states that have promulgated waste cleanup programs and have established human-health and/or environmental cleanup criteria, those criteria will be used during the implementation of corrective action. Where appropriate and allowed by State regulation, however, EPA suggests that the philosophy and elements of the CAS be applied to help expedite the decision-making process.

The traditional RCRA corrective action process steps and reports such as RCRA facility investigations, (RFI), Corrective Measures Study (CMS), and various associated work plans are not elements of the CAS. The traditional process steps are not regulatory or statutory-mandated, but use of any information from the RFI or CMS completed at a facility should be used as valuable input for the conceptual site model (CSM). The intention of the CAS is to provide an alternative approach to corrective action by using the inherent flexibility in the RCRA statute, federal and State regulations, and remedial guidance.



**Figure 1** illustrates the philosophical concept of the CAS. There is no one specific path to proceed from investigation to cleanup. The administrative authority (*i.e.*, the regulator) focuses on whether the established performance standards are met, ultimately achieving the primary goal to protect human health and the environment. The CAS philosophy emphasizes the options and flexibility available to evaluate and address risk at a site.



## 1.2 EPA AUTHORITY, POLICY AND GUIDANCE

EPA's authority to require facility-wide corrective action comes from RCRA statute sections §§3004(u)&(v), 3005(c)(3), 3008(h), 3013, and 7003. EPA's regulatory provisions for corrective action at permitted facilities are found primarily in 40 CFR Part 264 Subpart F – Releases from Solid Waste Management Units (SWMUs). Several EPA policies have been adopted that can directly affect corrective action at sites. The following topics are an overview of policy discussions.

### 1.2.1 Groundwater Policy Issues

Groundwater investigation, migration, and protection issues are always a major concern for cleanup activities at remedial sites. Confusion over the appropriate level of detail in dealing with groundwater issues at sites can slow down progress if not dealt with clearly at the beginning stages of corrective action. Some states with promulgated corrective action programs may define groundwater classification, land use, point of compliance (POC) point of exposure (POE) and appropriate groundwater cleanup standards, therefore, state programs should first be consulted regarding groundwater policies.

In November 2012, the National Academy of Sciences released a report on the future of groundwater remediation efforts at sites with complex groundwater issues. The report, "Alternatives for Managing the Nation's Complex Contaminated Groundwater Sites," calls for a transition assessment to be conducted to reduce the life-cycle cost of long-term remedies.

The transition assessment is to occur at the point of diminishing returns – *i.e.*, when continuing expenditures no longer reduce risk because the levels of contaminants of concern (COCs) have stalled above the drinking water standards. In the CAS, this type of transition assessment is the Performance Review. Since the CAS is performance-based, the remedy includes a plan for performance reviews of the remedy to occur at intervals decided by the administrative

#### Groundwater POC/POE

Under the CAS, the POC is equivalent to the POE for all groundwater designated as a drinking water source (current and in the reasonably expected future) and/or a beneficial resource. In the case where groundwater is used as a drinking water source, groundwater restoration must be throughout-the-plume/unit boundary to drinking water standards. For instances where groundwater is not a current or potential future drinking water source, or total restoration is not practical for near-term goals, the expectation is that human health and the environment *must* be protected at the POE. Where groundwater beneath a facility cannot be remediated to drinking water standards in the near-term, the POE may be placed at the facility boundary. Protection of receptors, both ecological and human, still would occur at the new POE.

### **February 2015 CAS**

authority. The purpose of the Performance Review is to measure the effectiveness and efficiency of the remedy. If the remedy is focused on meeting CAOs, the flexibility to change from one remedy to another (*i.e.*, active remedy to a passive remedy) is in place.

## **1.2.2 Sustainable Remediation**

Using the CAS approach provides a means to implement sustainable solutions to environmental cleanup at any site. Although the CAS is focused on managing risk, there are opportunities to optimize both social and economic benefits throughout the CAS process. In 2011 the National Research Council of the National Academy of Sciences published "*Sustainability and the US EPA*" with the goal of presenting tools and processes to support incorporating sustainability into the EPA decision-making process. The report recommends EPA develop sustainability tools that will broaden the analysis of environmental and human health to a more comprehensive analyses including social and economic factors. Within the CAS approach, there are two valuable tools that have a sustainability component; 1) the CAS CSM which is built to assist decision- making throughout all stages of cleanup, and 2) the performance-based remedy with performance reviews that can include an economic cost/benefit analysis. Since the inception of the CAS process in 2000, the CSM has been used as a tool to facilitate communication with the public.

In July 2011, the EPA published a Best Management Practice (BMP) for the effective use of the Project Life Cycle Conceptual Site Model (EPA 542-F-11-011) found on the web at <http://www.epa.gov/superfund/remedytech/pubichar.htm> starting with the preliminary CSM to compile data and going through a sequence of stages as the CSM evolves. The published report describes how the CSM can be used to foster communication to build a consensus among all stakeholders at each stage of the cleanup process. (Appendix A)

## **1.3 ORGANIZATION OF THE CAS GUIDANCE**

The CAS is organized into six chapters. **Chapter 2** describes the CAS in greater detail and identifies the steps for implementing the CAS, such as establishing performance standards and recommendations for deliverables necessary for documenting progress. **Chapter 3** addresses systematic planning for site characterization and the development and use of the CSM to define data needs. **Chapter 4** is a brief description of screening techniques currently in use to prioritize releases, and **Chapters 5 and 6** address the final stages of the CAS once the CSM is complete. **Appendix A** is a short guide to the CSM and CAOs, and **Appendix B** is the Ecological Exclusion Checklist.

## 2.0 OVERVIEW OF THE CAS

This chapter describes . . .

- key elements of the CAS
- performance standards
- responsibilities of the facility and administrative authority
- steps for implementing the CAS
- completing the CAS

### 2.1 KEY ELEMENTS OF THE CAS

The steps in this chapter describe a flexible cleanup approach. Key elements in this approach are establishing performance standards at the beginning of the process; developing data quality objectives (DQOs) and data types to support the CSM; screening releases to determine prioritization of corrective action or if corrective action is necessary; performing a site-specific risk assessment, when warranted; and evaluating, selecting, and monitoring performance of the remedy. The end result of the CAS process is a facility-specific prioritized risk management plan for releases that pose risk to human health and the environment.

There is an overriding goal of the CAS:

***to protect human health and the environment.***

To accomplish this goal, performance standards should be established as close to the beginning of the cleanup process as possible. Through the application of the performance standards, the facility and administrative authority determine whether a release must be addressed through corrective action, and whether implemented corrective actions are protective of human health and the environment warranting a finding of no further action (NFA).

## 2.2 PERFORMANCE STANDARDS

EPA's expectations for the outcome of corrective action at a facility are established in the CAS by three overarching performance standards for cleanup. The performance standards are not new; however, the CAS ensures that they are applied consistently at an early stage of the corrective action process. Performance standards established at the beginning of the CAS should streamline the corrective action process by focusing activities toward a specific endpoints and allowing facilities to anticipate corrective action costs. The performance standards combine existing policy and regulatory requirements with a risk-based goal of protectiveness.

The three CAS performance standards are:

- 1. Source Control Performance Standard:** Source control refers to the control of materials that contain hazardous wastes or hazardous constituents and that act as a continuing reservoir for migration of contamination to soil, sediment, groundwater, surface water, air, or as a source for direct exposure. Sources are not always stationary, but can migrate from a landfill or surface impoundment where contamination originally was released. Contaminated groundwater plumes are not generally considered a source material, although non-aqueous phase liquids (NAPL) in the groundwater generally would be viewed as source material *Rules of Thumb for Superfund Remedy Selection*, August 1997, EPA/540/R-97/013 at <http://www.epa.gov/superfund/policy/remedy/rules/rulesthm.pdf>
- 2. Statutory and Regulatory Performance Standard:** Each facility will be subject to certain statutes and regulations, whether Federal or State which may dictate media-specific contaminant levels that must be achieved, such as maximum contaminant levels (MCLs) in drinking water, or human-health and /or environmental cleanup criteria established by state waste cleanup programs. The requirements may be specified in Federal, State, and local laws and regulations and should be identified for each release site.
- 3. Final Risk Goal Performance Standard:** The final risk goal is the standard of protection to be achieved and maintained by the facility. The final risk goal is agreed upon as early in the process as possible and established by the administrative authority based on land use, special sub-populations, contaminant concentrations associated with acceptable risk, location at which the concentrations are measured, and the remediation time frame required to achieve these goals.

**February 2015 CAS**

It is paramount for the facility to determine if source material is present. While the CAS is primarily a risk management approach, it identifies source control as a priority performance standard. The CAS expects that facilities will make identification and prioritized corrective action on source material a primary activity, while also prioritizing other releases, as discussed in Chapter 4. Removal, containment, treatment, or a combination of the three, should be evaluated on a case-by-case basis and balanced against factors such as effectiveness, implementability and cost. In some situations, treatment (in-situ or ex-situ) of source material may be the most appropriate way to achieve the performance standard. In other situations, removal of the source material may be appropriate, eliminating long-term costs associated with containment or monitoring. Containment coupled with institutional controls at a facility may be effective when the source material, once contained, no longer poses a continuing threat to human health or other environmental media. Combinations of approaches may be appropriate, with containment and/or monitoring warranted for treatment residuals to achieve the final risk goal performance standard.

**Source Control**

The EPA expects identification of and prioritized corrective action on sources. EPA's continuing emphasis on source control reflects the Agency's strong preference for remedies that are protective in the long term. For groundwater, source control is critical to returning our nation's contaminated ground waters to their maximum beneficial use in a reasonable time frame, and to ensuring that uncontaminated ground water is available for future generations.

Applicable statutory and regulatory requirements should be identified at the beginning of the CAS and will become part of the performance standards for the facility. These applicable requirements may be Federal, state, and/or local requirements (*e.g.*, federally-established and/or state-endorsed maximum contaminant levels [MCLs] for groundwater). For states that have their own waste cleanup programs that apply to releases of contaminants into the environment and have established human-health and /or environmental cleanup standards, those criteria should be the performance standards for the corrective action implemented. When statutory or regulatory requirements are known at the beginning, it helps establish the appropriate level of data collection necessary at the site and affects setting of final risk goals.

The final risk goal is primarily based on site-specific issues, such as release and receptor characteristics, current or future land use, and beneficial resources. One final risk goal may apply to the entire facility, but it is more likely that different releases will require different final risk goals due to variations in location of releases, current or future land use,

### **February 2015 CAS**

proximity of receptors, etc. Although regulatory programs (RCRA, Superfund, voluntary) may have different ways of evaluating the particular performance standards described above, cleanup standards are typically in the  $1 \times 10^{-4}$  to  $1 \times 10^{-6}$  range excess lifetime cancer risk from exposure to carcinogenic hazardous constituents and a 1.0 hazard quotient for exposure to non-carcinogens. The final risk goal may vary, but should be developed on sound risk assessment methodologies, such as EPA's Superfund risk assessment guidance *Risk Assessment Guidance for Superfund: Volume I - Human Health Evaluation Manual (Part A)*, December 1989, EPA/540/1-89/002 at [http://www.epa.gov/oswer/riskassessment/ragsa/pdf/rags\\_a.pdf](http://www.epa.gov/oswer/riskassessment/ragsa/pdf/rags_a.pdf).

The EPA expects that all applicable performance standards will be achieved and maintained by the facility. The objective of screening releases is to determine areas that require either immediate response or further evaluation from those that are a lower risk or long-term threat with the ultimate goal of completing all corrective action obligations and revitalizing the property, if and when appropriate. Remedial alternatives for corrective action are then selected on the basis of their ability to achieve and maintain the performance standards.

## **2.3 RESPONSIBILITIES OF THE FACILITY AND ADMINISTRATIVE AUTHORITY**

For the CAS to be effective, the responsibilities of the facility and the administrative authority must be clear. The facility proposes performance standards to the administrative authority for approval. The facility will justify the proposed performance standards through evaluation and documentation of land use, groundwater designation (current and reasonably expected future use), types of receptors present, and exposure pathways, or as deemed necessary in state-promulgated cleanup programs. The administrative authority will then approve the performance standards proposed by the facility or establish the final risk goals that it determines are adequate based on the data presented in the CSM.

The responsibilities of the facility and administrative authority are as follows:

- The facility must perform adequate investigation to develop a robust CSM to propose performance standards for the site. The proposed standards must be justified by scientific, risk-based criteria, or regulatory requirements applicable to the site. The facility then has the responsibility to achieve and maintain the performance standards approved by the administrative authority.
- The administrative authority has the responsibility to ensure that the actions undertaken by the facility are protective of human health and the environment, by establishing performance standards consistent with their applicable statutes and regulations and consistent with the current and future uses at the site.

## 2.4 STEPS FOR IMPLEMENTING THE CAS

The following sections provide the facility and the administrative authority with a suggested road map for implementing the CAS.

### 2.4.1 Beginning the CAS

To begin a CAS project, a facility should submit to the administrative authority a notice of its intent to conduct corrective action using the CAS. EPA and/or the state will review the notice of intent and respond whether a Federal and/or state project should be initiated. Preliminary discussions between a facility and the administrative authority will help determine whether the facility is a good candidate for using a streamlined approach, such as the CAS.

#### 2.4.1.1 Notice of Intent

The notice of intent need not be longer than a few of pages and should state the following in a concise manner:

- commitment to conduct corrective action voluntarily, under a formal agreement, permit, or other enforceable document
- request to conduct corrective action using the CAS
- brief general information regarding site location
- brief general information regarding the facility's operational history
- general discussion on how the facility will proceed through the CAS
- brief description of proposed performance standards for corrective action, and a
- request for a scoping meeting between the facility and the administrative authority.

For a facility currently conducting corrective action under an existing RCRA permit or other enforceable document, the CAS can be used as the means to expedite a facility's corrective action obligations. The formal agreement, permit, or other enforceable document should be structured to include the performance standards to be achieved by the facility, the data quality requirements necessary to attain them (as required by the state) and necessary institutional controls. The CAS scope of work is included, along with an implementation schedule. It is important to also note that the requirement for financial assurance applies in this situation as well. EPA issued an "Interim Guidance

### **February 2015 CAS**

on Financial Responsibility for Facilities Subject to RCRA Corrective Action” in the September 30, 2003 EPA Memorandum, located on the internet at <http://www2.epa.gov/sites/production/files/documents/interim-fin-assur-cor-act.pdf>. In this guidance, the EPA explains that financial assurance is a requirement; however, federal regulations for financial assurance for corrective action were not promulgated. The EPA does encourage owners and operators of RCRA-regulated facilities to demonstrate financial assurance for early stages of the corrective action process on a site-specific basis, including upfront discussions on financial assurance during the site investigation. Regulators may also structure financial assurance so that the amount can be reconsidered at regular intervals or at the various stages of corrective action. At the remedy selection stage, a review of the financial assurance requirements is necessary to include cost estimates for engineered controls. For a facility interested in voluntary corrective action, permission from the state would be necessary before implementing the CAS approach.

#### **2.4.1.2 Scoping Meeting**

The scoping meeting should serve as the first CAS milestone where the facility and administrative authority identify expectations concerning the CAS implementation. The meeting may need to be scheduled over the course of a few days, depending on the complexity of the site. The purpose for the meeting is to bring the administrative authority and facility representatives together early in the process so that an agreement on land use, groundwater classification and short and long-term expectations of corrective action can be discussed. At the scoping meeting, the facility should present the following:

- preliminary CSM, including current and anticipated land use, and issues relating to POE for human and ecological receptors
- history of corrective action at the facility, including investigations conducted, risk evaluations or risk assessments, interim measures/stabilization and final remedies implemented
- discussion on how the facility will use the CAS to meet its corrective action obligations, including permitting and compliance issues
- proposed performance standards for the facility with justification, both risk-based cleanup goals and regulatory requirements
- the design for a risk evaluation which will be used to meet the proposed performance standards, as well as potential risk management approaches for achieving them
- a strong communication strategy (*i.e.*, how the facility and administrative authority will share information about the site - progress reports, conference calls, routine meetings, etc.)
- site-specific concerns (*i.e.*, sensitive environments or special sub-populations)
- interim measures or stabilization activities, if necessary



**February 2015 CAS**

- schedule for submission of the CAS Work Plan and proposed schedule for conducting and completing CAS elements, and
- special considerations for public participation, as needed.

It is suggested that the scoping meeting be held at the facility for the following reasons:

- the facility can demonstrate the accuracy of the information contained in the preliminary CSM in support of the proposed performance standards using all existing in-house data
- the administrative authority can confirm, firsthand, the information contained in the preliminary CSM, aiding in the approval of the performance standards, and
- release areas with potential NFA status may be reviewed and inspected.

**Corrective Action Objectives (CAOs)**

Once performance standards are agreed upon and releases which require corrective action are identified, CAOs should be developed. The performance standards represent policy and regulatory requirements with an over-arching goal of protectiveness, and the CAOs are site-specific, media-specific, risk-based "endpoints" for corrective action for a facility.

Remedies cannot be truly performance-based without establishing CAOs as a metric. The development of CAOs is described further in 5.1.2 and Appendix A.

Following the scoping meeting, the administrative authority may either approve the performance standards proposed by the facility or establish performance standards that the administrative authority deems necessary to protect human health and the environment. Once the CSM is well established, the facility and the administrative authority can agree upon specific preliminary CAOs that will be documented in the Risk Management Plan (Section 2.4.4). The administrative authority can include the CAOs in the final decision document that goes out for public review and comment. Should an impasse occur between the facility and the administrative authority in developing the CAOs to support the performance standards, the administrative

authority may consider mechanisms for implementing corrective action other than the CAS.

In the event the facility representatives and/or the administrative authority do not know enough about the facility (the elements of the CSM) or the extent of corrective action obligations to propose performance standards, a pre-scoping meeting could be useful to serve as the first step in the implementation of corrective action using the CAS. At the pre-scoping meeting, many of the same issues that are outlined for discussion at the scoping meeting will be

## February 2015 CAS

introduced and a set of action items will be developed. Once all action items from this pre-scoping meeting have been satisfied, the facility is prepared to continue using the CAS to expedite required corrective action.

### 2.4.2 CAS Work Plan

The facility should prepare a CAS work plan that describes the activities the facility intends to conduct to collect data necessary for data gaps identified during the scoping meeting. The scope of the CAS work plan should be based on the conclusions of the scoping meeting as well as any significant input from public participation and should include, but not be limited to, the following:

- Preliminary CAOs for each release area with supporting facility-specific information
- All known and potential releases listed and described (information regarding historical corrective action activities need only be included if releases require further investigation)
- DQOs needed for achieving the CAOs
- proposed or planned release characterization activities, including, but not limited to:
  - evaluating existing data and determining whether additional data are necessary
  - conducting any necessary investigation and data collection (sampling analysis plan and quality assurance project plan), including process for identifying additional data gaps and data collection until adequate data is available
  - implementing interim measures or stabilization of releases, if warranted
- describing how the facility intends to proceed through the CAS (see Figure 1)
- a proposed schedule of all facility activities for conducting and completing the CAS

The CAS Work Plan should also provide any and all data necessary to demonstrate that the proposed performance standards will protect human health and the environment and that planned characterization activities are sufficient to support the performance standards. Data collected using the work plan will be used to formulate the risk management plan for the site, including remedy evaluation and design, and, therefore, must be of high quality and sufficient to produce a comprehensive CSM.

Concepts from EPA's Superfund program use of Dynamic Workplans may be incorporated into parts of the CAS workplan. Information is provided in the publication *Dynamic Field Activities for On-Site Decision Making: A Guide for Project Managers* May 2003, EPA/540/R-03/002 at <http://epa.gov/superfund/programs/dfa/guidoc.htm> . Dynamic

### **February 2015 CAS**

Workplans focus on the collection of real-time data and real-time decision-making. The guideline for Dynamic Workplans is found on the web at <http://www.epa.gov/swertiol/download/char/dynwkpln.pdf>

## **2.4.3 Evaluating and Prioritizing Impacts from Releases**

Under the CAS, impacts to human health and the environment may be evaluated through the use of risk-based screening of releases (Chapter 4). Exposure scenarios may be determined specific to commercial/industrial facilities, applicable (current or future) land uses, and/or through site-specific risk assessment. Ecological risk is addressed using an exclusion worksheet that allows a facility to exclude ecologically insignificant portions of a site from further evaluation and also provides an assessment checklist for areas that require further examination. (Appendix B)

### **2.4.3.1 Risk-Based Screening**

In order to quickly prioritize releases of contaminants that pose higher risk to human health and the environment, the CAS includes a discussion of risk-based screening. Updated information on national screening criteria is described in greater detail in Chapter 4. Screening is an integral component of the CAS. The primary objective of screening releases is to identify releases at the facility that pose the highest risk or threat from contaminants in soil and groundwater, and to allow the administrative authority and facilities to focus on achieving maximum risk reduction in a reasonable time frame. The degree of impact at the POE then can be quickly evaluated. The CAS suggests that all facilities initially screen to evaluate their releases, using either state-established criteria or EPA's screening tables, as this is the fastest and most cost-effective way to evaluate relative site risk. Use of EPA's screening tables may eliminate the need to carry each release through completion of a site-specific risk assessment, though some sites or releases may wish to base their prioritization on site-specific evaluations. Another objective of screening is to allow facilities to identify releases that pose minimal risk from contaminants in soil and groundwater. However, for the *de minimus* releases to be considered for NFA, state concurrence is necessary.

### **2.4.3.2 Site-Specific Risk Assessment**

The CAS includes a site-specific risk assessment component to further define impacts from releases where necessary. The site-specific risk assessment can aid in evaluating potential risks not considered in the screening of releases or more precisely define ecological risks. Specifically, facilities have greater flexibility to evaluate contaminant fate and transport, re-evaluate exposure scenarios that were not previously or adequately covered in the screening

### **February 2015 CAS**

process, exclude certain pathways from consideration, and evaluate concentrations of contaminants of potential concern (COPCs) in background media. If a facility has already initiated or has completed a site-specific risk assessment, the screening step can still be done to quickly identify releases that need to be addressed first, or the risk assessment process may be completed and the facility can move to the risk management evaluation process.

#### **2.4.3.3 Ecological Exclusion Screening**

The CAS contains an Ecological Exclusion Criteria Worksheet and Ecological Assessment Checklist to help facilities and the administrative authority determine whether or not further ecological evaluation is necessary at an affected property where corrective action is being pursued.

Ecological screening under the CAS is a relatively simple process. Use of the exclusion criteria worksheet, general information about the facility, its operation, physical site characteristics, ecological habitats and receptors will help identify incomplete or insignificant exposure pathways that exist at the affected property, thus eliminating the need for further ecological evaluation at these areas. If an area cannot be excluded from further ecological evaluation, additional information about ecological areas can be obtained using the assessment checklist to assist in further ecological risk evaluations, including a possible site-specific ecological risk assessment. If site specific ecological risk data exists at the facility, it may be used to evaluate potential exposure scenarios at a site (Appendix B).

#### **2.4.3.4 Risk Evaluation Report**

The facility should prepare a Risk Evaluation Report that describes the activities the facility conducted for release characterization, as described in the CAS Work Plan, and the evaluation of impacts and prioritization of these releases. The Risk Evaluation Report is submitted to the administrative authority as documentation of site risks but is not approved unless required by the administrative authority.

The Risk Evaluation Report should include, but not be limited to, the following:

- release characterization activities and results, including specific identification of media impacted
- exposure scenario evaluation, including the identification of points of exposure
- results of screening
- identification and summation of release sites that will require further risk evaluation along with a schedule for implementation

- interim measures/stabilization implemented during the course or as a result of the release characterization
- results of any previously conducted risk assessments, and
- proposed revisions to performance standards, if warranted.

The Risk Evaluation Report is a summary report that documents whether releases need additional response actions. The Risk Evaluation Report should concisely summarize the relevant data for risk decision making but should not be a compilation of all data collected during the course of all corrective action activities. For states with tiered risk screening, the Risk Evaluation Report should include a summary of the risk-screening results for all identified release areas, including SWMUs and areas of concern (AOCs).

The Risk Evaluation Report can be submitted to the administrative authority after the initial screening to document the differentiation between releases that are a high risk or high threat from releases that are lower risk or long-term threats, and should include a proposal for release areas that have sufficient data to show NFA is warranted. For other higher-risk release sites that warrant a site-specific risk assessment or an Ecological Risk Assessment, the Risk Evaluation Report should reflect that information.

If data collection and release characterization reveal new information that may have an effect on the performance standards that were agreed upon with the administrative authority (e.g., change in land use, difference in expected receptors and/or exposure, or other differences in site conditions), the facility will need to notify and meet with the administrative authority to discuss making adjustments to the performance standards.

#### 2.4.4 Risk Management Plan

After the facility has determined which releases do not meet the performance standards (i.e., source control, statutory/regulatory requirements, final risk goal) as established by the administrative authority, it should evaluate and propose appropriate risk management activity(ies). A Risk Management Plan should be prepared to describe and justify the facility's intended actions (specific remedies) that will meet each CAO. Because the administrative authority is responsible for ensuring that the actions undertaken by the facility are protective of human health and the environment, the administrative authority should review and approve the Risk Management Plan.

### **February 2015 CAS**

The Risk Management Plan should describe and justify risk management activities for releases that failed the screening process, releases that failed to meet the performance standards, and other releases that the facility chooses to address in the near term. In addition, releases that pose a lower risk or a long-term threat should be identified in the Risk Management Plan along with a schedule for their evaluation.

The Risk Management Plan should include, but not be limited to, the following:

- Site-specific CAO's to support the performance standards
- Planned risk management activity (remedy proposal) [Describe and justify determinations that risk can be managed, and/or reduced to achieve performance standards. The risk management activity(ies) for each release should be specifically identified and described (*i.e.*, remediation, engineering controls, and/or institutional controls) with corresponding CAO's]
- Presentation of the final CSM supporting the Risk Management Plan [Identify the location of releases that did not meet the performance standards and that are addressed by a risk management activity, including concentrations that are representative of the long-term fate and transport of residual COCs. Identify exposure pathways affected by a risk management activity and the performance monitoring locations]
- Performance monitoring, performance review and contingency plans [Identify specific criteria (such as land use changes, fate and transport model verification and constructed remedy performance) that will be evaluated to demonstrate that the risk management activity implemented will remain protective. Establish a schedule for periodic performance review (such as monitoring data summaries, possibly including trend analyses using graphical and statistical data) to demonstrate that the implemented activities are consistently achieving and maintaining desired results. Establish contingency plans in the event the implemented action does not achieve and maintain the CAOs and performance standards], and a
- Schedule for implementation.

## **2.5 COMPLETING THE CAS**

The Risk Management Plan, as approved by the administrative authority, should contain all elements and activities necessary to achieve compliance with the CAOs and overall performance standards. Therefore, the CAS should be complete when all activities specified in the approved Risk Management Plan have been implemented, and the performance standards and supporting CAOs have been achieved and are being maintained, including appropriate monitoring and performance review activities (Chapter 6).

**February 2015 CAS**

For facilities being addressed under the RCRA statute (under a permit, administrative order or other enforceable document), it is EPA policy, and may be a state regulatory requirement for the administrative authority to write a decision document on the final site-wide remedy for public review and comment. EPA's term for the RCRA corrective action decision document is the "Statement of Basis". If corrective action is conducted as part of the facility's RCRA permit, the public review and comment period can be concurrent to the permit renewal or permit modification process. The CAS supports close communication between the facility and the administrative authority further ensuring that all elements for the decision document are in the Risk Management Plan, making the final steps of corrective action a smooth process.

The CAS also supports cleanup activities that follow sustainable measures. For facilities addressed under the RCRA statute, there is a regulatory requirement for implementing a Community Relations Plan concurrent to the implementation of the final remedy for the site. The Community Relations Plan presents an opportunity to expand the conversation on the environmental cleanup to include the economic and social benefits to the community.

## 3.0 SYSTEMATIC PLANNING AND THE CONCEPTUAL SITE MODEL

This chapter describes . . .

systematic planning - establishing data quality objectives (DQOs)

elements of the CAS conceptual site model (CSM)

data quality considerations for the CAS.

### 3.1 SYSTEMATIC PLANNING - ESTABLISHING DATA QUALITY OBJECTIVES

One of the key objectives of the CAS is the use of appropriate and relevant data to evaluate releases, and identify those releases that pose a threat to human health and the environment in order to design, construct, and implement remedies. Therefore, data should not be collected or compiled until the end use of the data is defined. When the end use or quality is not considered, too much data can be as detrimental as too little, and the wrong kind of information can be as significant a problem as the lack of data.

DQOs are qualitative and quantitative statements that specify the data required supporting remedy decisions. The DQO approach is not limited to laboratory quality control criteria for sample analysis (precision, accuracy, representativeness, completeness, and comparability). DQOs are determined based on the end use of the data to be collected, and the DQO development process should be integrated into the CAS workplan and refined throughout the CAS implementation. The EPA has developed guidance regarding systematic planning as part of the EPA Quality System found on the web at: <http://www.epa.gov/quality/dqos.html>.

DQOs should be used to ensure that environmental data are scientifically valid, defensible, and of an appropriate level of quality given the intended use of the data. Furthermore, site investigations can be expedited considerably when DQOs are carefully established during project planning. For example, if the objective of an initial investigation is to define an area of gross contamination, a DQO for this investigation may include a higher method



### **February 2015 CAS**

detection limit provided by a cost-effective field screening technology for analysis of samples. In contrast, a very low method detection limit would be an appropriate DQO to determine if contamination is present in groundwater used as drinking water.

Traditionally, environmental investigations have used the development of quality assurance project plans (QAPP) to specify DQOs and quality control protocols. QAPPs are valuable tools for facilities and administrative authorities in providing direction and requirements to ensure that the data obtained is usable for the intended objectives. The EPA has developed extensive QAPP guidance under various programs, and the following guidance documents can be found on EPA's web site for QA Project Plans (<http://www.epa.gov/quality/qapps.html>)

The CAS Work Plan (Section 2.4.2) is required to have DQOs that are developed to support the performance standard for each release, therefore, the QAPP should be included in the CAS Work Plan. DQOs will also be developed during performance monitoring (after remedy selection) to ensure data of adequate quality is obtained to assess progress toward achieving the CAOs.

## **3.2 ELEMENTS OF THE CAS CONCEPTUAL SITE MODEL (CSM)**

Investigations and remedy implementation are most successful when based on a comprehensive CSM; therefore, the first critical step in implementing the CAS is the development of a CSM. A CSM is a three-dimensional "picture" of site conditions at a discrete point in time (a snapshot) that conveys what is known or suspected about the facility, releases, release mechanisms, contaminant fate and transport, exposure pathways, potential receptors, and risks. The CSM does not have to be based on a mathematical or computer model, although these tools often help to visualize current information and predict future conditions. The CSM should be documented by written descriptions of site conditions and supported by maps, geologic cross sections, analytical data, site diagrams that illustrate actual or potential receptors, and any other descriptive, graphical, or tabular illustrations necessary to present site conditions.

The preliminary CSM should be built based on existing site data and should be developed before initiating any field activities. It should also be used to aid in the scoping of future investigations. Facilities that have not conducted field investigations can develop a CSM by making use of process knowledge, current and historical waste management operations, aerial photographs, topographic maps, land use maps, and published information on local and regional climate, soils, geology, hydrogeology and ecology (such as physical characterization of the facility).

**February 2015 CAS**

The CSM, developed through systematic planning, can be used to identify data gaps in current site knowledge and focus future investigative activities for making risk-based decisions. The CSM is dynamic and should be tested and refined from the initial stages of the CAS, to the point at which the site has been remediated and no longer presents unacceptable risks to human health and the environment (see Figure 3 in Chapter 5). Additional information on the development and use of the CSM is available in ITRC's *Technical and Regulatory Guidance for the Triad Approach: A New Paradigm for Environmental Project Management* December 2003 at [www.itrcweb.org/GuidanceDocuments/SCM-1.pdf](http://www.itrcweb.org/GuidanceDocuments/SCM-1.pdf). ITRC is the Interstate Technology and Regulatory Council, a coalition of private and public entities working to reduce barriers to the use of innovative technologies that maximize cleanup efficacy and reduce costs.

When preparing a CSM, the facility should decide the scope, quantity, and relevance of information to be included, balancing the need to present a complete model that documents site conditions and justifies risk management actions, with the need to focus the information on that necessary to perform risk-based screening. The facility may solicit advice from the administrative authority regarding the scope of information to be presented and how the CSM will be used to establish CAOs. The CAS presents six profiles to be addressed in the CSM: facility profile, land use and exposure profile, physical profile, release profile, ecological profile and risk management profile, described below. During initial development of the CSM, each profile serves as a placeholder in the preliminary CSM, as all relevant information may not be available for all profiles. However, as a facility progresses through the CAS, additional information will become available and should be used to update the CSM and complete each profile. (Appendix A is written as a guide to developing and presenting a CSM and final CAOs.)

The CAS CSM is a comprehensive set of profiles, including:

**Facility Profile**

The facility profile describes the various man-made features present on or near the site, including facility structures, property boundaries, process areas, SWMUs, and historical features that are no longer present but may have impacted actual or potential releases.

**The CAS CSM**

The CAS approach uses the CSM as a way to continually update documentation of site activities; such as new land acquisition, land use changes, and needed changes to remedy implementation when CAOs are not met. The CSM can be the “go to” document for site inspections, once a remedy is in place. The Risk Management Profile can document performance monitoring and performance reviews to show that risk is being reduced.

### **Land Use and Exposure Profile**

In the screening of releases, the land use information is evaluated to determine the applicable exposure scenarios for the facility and surrounding properties. The determinations of appropriate exposure scenarios also are addressed. After this evaluation is complete, the applicable exposure scenarios should be incorporated into the CSM. If onsite or offsite land use changes, the land use profile in the CSM should be updated to reflect those changes.

### **Ecological Profile**

The information captured in the ecological profile will be critical in completing the Ecological Exclusion Criteria Worksheet and Ecological Assessment Checklist (Appendix B). The exclusion worksheet was developed to help facilities and the administrative authority identify incomplete or insignificant exposure pathways that exist at the affected property, thus eliminating the need for a formal Ecological Risk Assessment.

### **Physical Profile**

The physical profile should concentrate on the environmental setting information (such as geologic and hydrologic data) in the absence of a release. The physical profile information will generally be integrated with information from the release profile to describe the behavior of contaminants in the environment. The initial development of the physical profile will begin with some preliminary understanding of the environmental setting. Data gaps can then be identified and used to design future investigations or remedial actions.

### **Release Profile**

As with the other profiles, the release profile will be developed over time as information is obtained. At the beginning of the CAS, the release profile may consist of the potential source locations, but at the completion of the CAS, it should contain site-specific information on release characteristics. The contaminant migration and fate and transport aspects of the release profile should be integrated with the geologic and hydrogeologic information developed for the physical profile. This information can also aid in the development of the performance monitoring for risk management activities implemented under the CAS.

### **Risk Management Profile**

The risk management profile will represent the risk of the selected risk management activity(ies). This profile also can provide a basis for determining appropriate performance monitoring locations and establishing contingency plans to ensure protectiveness. During the development of the preliminary CSM, the profile may serve as a placeholder. As the facility progresses through the CAS, the information contained in the risk management profile will

### **February 2015 CAS**

be augmented and refined and will ultimately demonstrate how facility risk will be managed. Following remedy implementation, this profile serves as a place to update activities from the Risk Management Plan (Section 2.4.4).

## **3.3 DATA QUALITY CONSIDERATIONS FOR THE CAS**

This section describes data quality considerations in developing DQOs for use in the CAS for the identification of COPCs, data reporting limits, use of existing information, data collection, and release characterization techniques.

### **3.3.1 Identification of Contaminants of Potential Concern (COPCs)**

COPCs are constituents (including transformation or daughter products and companion products) likely to be present in media affected by a release. The COPC evaluation process will involve screening the initial COPCs based on the findings of release characterization activities. COPCs should be identified through existing information regarding the process, product, or waste from which the release originated, and by characterization of the release. The two-step process listed below should be followed.

**Step 1: Evaluate the types of product or waste handled at the source from which the release originated.**

For example, if a potential source area is a permitted waste pile that historically managed materials that included nitroaromatic compounds, the list of COPCs should include nitroaromatic compounds. If a storm water basin is a potential source area, the list of COPCs should include all known and potential compounds based on the industrial activity in the area that drains into the storm water basin (*i.e.*, raw feed materials, finished products, waste by-products). In cases where the site history is incomplete or the quality of information is uncertain, laboratory analyses should include a broader spectrum of compounds to characterize the release. The range of COPCs may be reduced if available information indicates that certain compounds or classes of compounds such as polychlorinated biphenyls (PCBs), etc. consistently are absent from the source and release media.

**Step 2: Evaluate any COPCs that may be of concern due to other site-specific factors such as community and regulatory issues.**

The community or administrative authority may be concerned about specific chemicals or analytes not identified during Step 1. If it can be determined that the chemical or analyte may not be present, documentation

**February 2015 CAS**

should reflect this fact. The process of identifying COPCs will provide the information necessary to conclude that the facility has not overlooked a chemical or analyte which may pose a risk at the POE. The initial list of COPCs can be refined during and after release characterization to more accurately reflect any constituent(s) that may be present.

### 3.3.2 Quality Considerations for Existing Data

When the potential use of existing data during implementation of the CAS is evaluated, the data quality should be characterized and its relevance established based on present objectives, DQOs and other applicable requirements for collection of new data. The use of historical or existing data should not be limited only to information collected under the direction and oversight of the administrative authority. Before this information can be considered useable for risk management activities, the following factors should be reviewed:

- Objectives: What were the objectives of the original data collection and are they consistent with the DQOs of the current characterization activities? Data needs likely would be significantly different if historical data were collected to establish that a release occurred versus the data needs for characterization of associated risk and hazard for a receptor population based on contact with impacted environmental media.
- Relevance: Are the historical data relevant given current site conditions? Data collected from a unit that has been remediated or has undergone an interim measure (*i.e.*, excavation, removal action and backfill) may not be relevant for establishing protective concentrations under current site conditions. What changes have occurred at the facility since historical data were collected? Will contaminant-specific factors, site conditions, and time impact the reliability of historical data to make it questionable for current assessment?
- Quality: Were adequate quality assurance/quality control (QA/QC) procedures in place at the time of sampling, and if so, did the program meet the objectives? Were QA/QC procedures consistent with current practices? Were the methods and analyses used to generate the data capable of achieving the DQOs required by the CAS? Is the documentation sufficient to adequately reconstruct the sampling procedures and associated information (locations, depths, and analytical detection limits)? Can the limitations which affect usability be adequately defined?
- Confirmation: Upon review, are the historical data valid or is confirmatory sampling necessary to establish relevance and data quality?

The historical data review should determine if the data is valid, if confirmatory sampling to validate historical data is needed, if the data are valid for limited purposes or if the data is not usable.

### General guidelines for the use of existing or historical data

#### Questionable or unknown quality data may be used to:

- Establish if a release has occurred
- Plan sample locations for new data collection
- Identify initial COPCs
- Develop the preliminary CSM

#### Questionable or unknown quality data should NOT be used to:

- Identify COPCs for a risk assessment
- Eliminate a release from consideration
- Restrict new sampling activities
- Support critical risk management decisions
- Determine exposure concentrations

#### Data verified by confirmatory sampling at identical locations, using comparable sampling and analytical methods may be used to:

- Establish representativeness, comparability, and completeness between sets of data
- Evaluate contaminant fate and transport
- Establish the relevance of historical data to current site conditions.

### 3.3.3 Quality Considerations for New Data Collection

The facility should consider the following issues when developing DQOs for the collection of new data:

- Selected sampling and analytical methods should ensure analysis for, and detection of, COPCs at or below the contaminant-specific data reporting limits. If COPCs cannot be identified based on historical data, a broad suite of analytical methods (*e.g.*, analysis of total metals, organic constituents, pesticides, etc.) should be used.
- Sampling locations should be selected within each medium at probable locations of a release to ensure that all media impacted by the release are identified. Media properties, conditions and contaminant behavior in the media should be considered to ensure that the data collected are representative, reproducible, and complete.

### 3.3.4 Release Characterization Techniques

Release characterization techniques are those methods and activities used to collect current information about site conditions so that COPCs can be identified and impacts can be evaluated. Release characterization can include

**February 2015 CAS**

collection and analysis of environmental media samples; remote sensing and non-invasive procedures to estimate physical properties of the site or potential release areas predicated on historical land use (aerial photographs indicating historical operations); and other field measurements to obtain data for purposes such as groundwater modeling.

The ITRC has developed innovative approaches and 'next-generation' technologies using high resolution field techniques for sampling, characterization, and monitoring (<http://www.itrcweb.org/Guidance>). ITRC guidance documents provide a valuable resource when developing project plans for cleanup. Another reference for acquiring technically defensible data using innovative characterization tools and strategies is the Triad approach found at [www.triadcentral.org](http://www.triadcentral.org). Remediation technology reviews, case studies and training can be found at EPA's Contaminated Site Clean-up information (clu-in) web site (<http://www.clu-in.org>.)

## 4.0 RISK-BASED SCREENING

This chapter describes . . .

- background and purpose
- land use and receptors
- exposure scenarios and pathways
- steps to conducting risk-based screening

### 4.1 BACKGROUND AND PURPOSE OF RISK-BASED PRIORITIZATION

The CAS presents a simplified approach to prioritize corrective action at a facility through the use of risk-based priority screening. The primary objective of screening releases is to quickly identify the highest risk releases at a facility and to focus limited corrective action resources (time and money) on these areas in order to obtain the maximum risk reduction in the shortest time frame.

The CAS suggests that all facilities initially screen their releases using either state-established criteria or EPA's regional screening level (RSL) tables as this is the fastest and most cost-effective way to evaluate relative site risk to human health. EPA's RSL tables are now found on the web at [http://www.epa.gov/reg3hwmd/risk/human/rb-concentration\\_table/index.htm](http://www.epa.gov/reg3hwmd/risk/human/rb-concentration_table/index.htm). The RSL tables provide comparison values for residential and commercial/industrial exposures to soil, air, and tapwater (drinking water). The unified use of the RSLs to screen chemicals promote national consistency. The web site provides tables of risk-based screening levels calculated using the latest toxicity values, default exposure assumptions and physical and chemical properties, and a calculator where default parameters can be changed to reflect site-specific risk. The result of initial screening should be the differentiation of releases that have the highest relative risk and warrant immediate expenditure of resources (to ensure the protection of human health) from releases that pose lower risk or long-term threat and can be considered a lower priority.



### **February 2015 CAS**

For those releases that pose lower risk, additional evaluation may be warranted to determine if the release actually requires corrective action or if the risk is *de minimus*. For the *de minimus* releases to be considered for NFA, however, state concurrence is necessary.

In order to further prioritize releases, it is necessary to evaluate them for potential cumulative contaminant risk that could exceed  $1 \times 10^{-4}$  for carcinogens and a hazard index of 1 for non-carcinogens. Sites that have multiple contaminants that exceed these risks or hazards should also be categorized as high-priority or "Address Now" sites for immediate consideration. Figure 2 in Section 4.4 provides a simple algorithm for calculating the cumulative risk or hazard for these releases.

In the event that a facility does not have releases that are in the high-priority or "Address Now" category, their corrective action efforts should shift to evaluating the low-priority category releases to determine if they meet the performance standards for the facility.

## **4.2 LAND USE AND RECEPTORS**

The accurate classification of current and future land use at a facility is essential in order to identify the kinds of human receptors that may be present and the types of activities in which they are likely to engage. This identification goes beyond simply designating a category of land use (e.g., residential, industrial or agricultural). Risk from contamination at a site is a function of the specific activities that receptors are assumed to undertake and the exposures to contaminants that are associated with those activities. The activities can vary considerably, even across sites that fall within the same land use category; thus, it is critical that the assumptions regarding receptor activities accurately reflect the land use and exposure profiles presented within the CSM.

### ***Ecological Risks***

The CAS prioritizes action first for all releases that present a risk to human health. This prioritization is not intended to ignore or dismiss any environmental risks which may be present at a site. In fact, failure to address environmental impacts in a timely fashion may result in the growth or compounding of possible ecological damage at the site. The CAS contains an Ecological Exclusion Criteria Worksheet and Ecological Assessment Checklist to help determine if significant habitat and/or receptors are present at a facility and assess the need for a more thorough ecological assessment. (Appendix B). These tools are simply aids and do not substitute for the judgment or requirements of the administrative authority or natural resource trustees who may be responsible for the site.

### **February 2015 CAS**

Current land use conditions should be emphasized when evaluating exposures at commercial/industrial facilities because for most of these facilities, current land use is assumed to continue into the foreseeable future. If a different land use has been planned or may be reasonably anticipated for the facility (or a portion of the facility), then this future land use should be evaluated during the CAS screening process. The two primary land use categories in the CAS screening process are non-residential and residential. However, if other land use categories exist (e.g., agricultural or recreational), then evaluations of risk from these exposure scenarios can be assessed or should be addressed through a site-specific risk assessment. Caution is recommended when screening using an evaluation of land uses other than those upon which the screening values were based, because each of the land use categories is associated with a specific and potentially unique set of exposure assumptions.

- Non-residential land use - encompasses commercial/industrial site uses. Under the CAS screening process, the receptors for the commercial/industrial scenario are limited to generic on-site workers. There is no requirement under this land use category to evaluate exposure to members of the public. Access to industrial facilities is generally restricted (workers often being the only receptors), and even though the public may have access to commercial sites (e.g., customers, delivery people, etc.), screening values that are protective of workers are assumed to be protective of a customer who visits the site on an infrequent basis.
- Residential land use - encompasses evaluation of adult and child receptors with regard to on-site contaminants associated with known or potential future residential use of the property or parts of the property. In addition, off-site residential receptors may be considered when construction activities at a site may impact off-site areas with fugitive dust and/or volatile emissions. Off-site receptors also should be evaluated when contamination from the site has migrated off-site to a residential land use setting from soil or groundwater.

If a future commercial/industrial land use is likely to involve substantial exposure to the public (i.e., where the current or future use involves housing, education, and/or care of children, the elderly, or other sensitive sub-populations), the exposure should be evaluated under the residential risk screening scenario.

## **4.3 EXPOSURE SCENARIOS AND PATHWAYS**

The exposure scenarios routinely associated with activities found at and around facilities undergoing corrective action should be evaluated. A facility is not required to evaluate environmental data against all exposure scenarios available in the screening table or calculator. This comparison should be limited to the receptors and exposure pathways that exist or potentially exist at the facility based on current land use and reasonable future land use

**February 2015 CAS**

assumptions (e.g., ambient air or ingestion of groundwater or surface water would not be evaluated where contaminants are not present or exposure pathways are incomplete).

The focus for most facilities will be on current land use, because most cleanups at industrial facilities will be based on industrial exposure assumptions (assuming the current land use continues into the foreseeable future). Institutional controls may be required to ensure that environmental conditions are protective of human health and the environment over the long term, but should not be assumed to be in place at the time the CAS initial screening process. Exposure scenarios other than residential or industrial that are not sufficiently similar to either of these should be evaluated under a site-specific risk assessment. Screening values for groundwater that is a current or reasonably expected future source of drinking water are included in the RSLs. Facilities should consult with state and local authorities on the designated use and classification of underlying groundwater to determine whether the water bearing unit beneath or adjacent to the facility is a potential drinking water source or has another designated beneficial use.

The state will make the determination as to what level the aquifer is to be protected. If the state has not made a determination on the use of the aquifer, then the facility should consult with the state on using the EPA aquifer classification designation. EPA prefers to rely on states to develop groundwater use designations and will generally defer to a state's designation of groundwater classification and use. These designations may be part of an EPA-endorsed Comprehensive State Groundwater Protection

***Indoor Air***

Where volatile contaminants are present in soil or ground water under or near an existing structure, consideration should be given to the inhalation of volatiles for indoor air exposure in a site-specific risk assessment. EPA has developed a document for indoor air exposure using screening tools like EPA's Vapor Intrusion Screening Level Calculator. EPA has developed a web site that provides key information on the vapor intrusion (VI) pathway including technical documents and other tools for the assessment, management, and treatment of vapor intrusion into building structures. The web site can be found at <http://www.epa.gov/oswer/vaporintrusion/>

***Groundwater Use Designation***

State regulatory programs have a primary responsibility to manage ground water resources under their control. EPA prefers to rely on states to develop ground water use designations and will generally defer to the state designation of ground water classification and use when developing cleanup objectives.

EPA has an expectation to return usable ground waters to their beneficial uses where practical, within a time frame that is reasonable given the particular circumstances of the facility. When restoration of ground water to beneficial use is not practical, EPA has an expectation that a facility will minimize further migration of existing plumes, prevent exposure to the contaminated water, and perform additional risk reduction as necessary.

**February 2015 CAS**

Program (CSGWPP) that provides for facility-specific decisions or may rely on an alternate state groundwater use designation system and/or Federal groundwater guidelines.

If a water-bearing zone is not a drinking water resource, does not impact indoor air, does not contaminate surface water, or does not contaminate a drinking water aquifer, then the level of protection [e.g., MCL or alternate concentration limit (ACL)] to be met will be determined in consultation with the administrative authority.

## 4.4 STEPS TO CONDUCTING RISK-BASED SCREENING

There are six steps in evaluating releases against the risk-based screening values:

*Step 1. Compile risk relevant data from the site-specific CSM.*

Development of a site-specific CSM is the first step in the CAS screening process at a facility. The CSM is a comprehensive three-dimensional representation of the facility that documents current site conditions. It initially is developed from existing facility data, but should be revised continually as new site investigations produce updated and more accurate information. The CSM identifies and characterizes the distribution of contaminant concentrations across the facility, release mechanisms, fate and transport/migration routes, complete or potentially complete exposure pathways and receptors of concern.

Chapter 3 of the CAS describes the development of a CSM. There are six profiles used in the CAS to build a CSM, two of which are specific to the screening process. The land use and exposure profile consists of information used to identify and evaluate applicable exposure scenarios and receptor locations and the release profile consists of information used to confirm the exposure area, COPCs and their distribution and magnitude.

*Step 2. Verify that the exposure assumptions and scenarios in the CSM are consistent with (and comparable to) the assumptions upon which the screening values are based.*

The next step in the CAS screening process is to compare the complete or potentially complete exposure scenarios presented in the CSM to the generic exposure assumptions used to develop screening values presented in the screening tables. The exposure scenarios included in the screening tables routinely are associated with the types of

**February 2015 CAS**

activities found at and around facilities. The facility is not required to evaluate all of the receptors, rather, this analysis is limited to the receptors that exist or may potentially exist at the facility based on current land use and reasonable future land use assumptions. This comparison is designed to determine whether the releases, exposure pathways, and receptors outlined in the site-specific CSM are sufficiently similar to the generic exposure scenarios used in the calculation of the screening values to allow a defensible screening comparison. If the basic exposure pathways are not sufficiently similar (whether through omission of a complete exposure pathway, or receptor population, or whether an exposure parameter used in the screening table tends to underestimate exposure), screening is not appropriate and the facility should evaluate the release areas through a site-specific risk assessment.

*Step 3. Evaluate existing data set to determine if it is adequate for use in the CAS screening process and then determine additional data collection needs, if necessary.*

Areas that are unlikely to be contaminated based on historical documentation of the location, storage, handling, or disposal of hazardous materials at a facility may be eliminated from further evaluation at this stage after consultation with the administrative authority. The necessity for collecting confirmation samples in these areas will depend upon the level of confidence in historical information concerning the potential release site(s). In order to use the screening table, existing data should be sufficient to adequately characterize the release as described in Chapter 3 (Section 3.3.2) under the DQO process. Existing data also may be used to identify data gaps and focus data collection needs.

A sampling and analysis plan should be developed (as part of the CAS Work Plan) before any new sampling activities are initiated to ensure that the data collected will fill data gaps and are of sufficient quality and quantity, based on the intended use of the data. The sampling approach should be designed to reflect the data needs specific to the complete or potentially complete exposure pathways identified in the CSM. The types of receptors identified in the site-specific CSM may vary in terms of rate of contact and sources. For example, while indirect exposures associated with inhalation of volatiles from subsurface contamination may impact all receptors located on-site, direct contact to subsurface contamination may be limited to outdoor workers conducting excavation activities.

In addition, the facility also should consider the collection of information on site-specific soil characteristics (e.g., soil texture, dry bulk density, organic carbon content, pH, etc.) during sampling. This information may provide an additional level of accuracy at the site-specific risk assessment stage, if it becomes necessary. Chapter 3 (Section 3.3.3) under the DQO process provides more information on quality considerations for the collection of new data.

*Step 4. Collect and analyze additional samples, if necessary.*

Analytical results for individual chemicals, if the quality is sufficient, will be compared to screening values presented in the screening table. Analytical results help define the nature, extent, and rate of migration of contaminants from a release. Upon receipt of these data, the assumptions (e.g., exposure assumptions) outlined in the site-specific CSM should be reviewed to ensure that they still are valid, and include any additional components indicated by the most recent results.

*Step 5. Identify appropriate site receptors and exposure pathway(s) for comparison to the screening table.*

Determine which, if any, of the receptors and exposure pathways presented in the screening table are appropriate for comparison against site chemical release results based on the presence or absence of contamination in a given media. Certain exposure pathways presented in the screening table may be eliminated from consideration when the pathway is not complete or reasonably expected to be complete. An example would be where the groundwater pathway would not be evaluated when groundwater is not considered a current or future drinking water source and does not create an impact at other relevant POE (e.g. indoor air, surface water used as a drinking water source, connect to a drinking water aquifer).

*Step 6. Compare release data against screening values for site-specific receptors.*

After the appropriate screening values have been identified, they are compared to the measured concentrations of COPCs. At this point, it is important to again review the CSM to confirm the actual site data that were evaluated or collected during the initial screening process ensuring that the screening values are applicable to the site.

Generally, for most new and existing data sets, the 95th percent upper confidence limit (UCL<sub>95</sub>) of the arithmetic mean concentration of each contaminant is compared directly to the corresponding screening value. For certain releases with small aerial distributions and low toxicity contaminants, it may be more advantageous and cost

**February 2015 CAS**

effective to collect a limited number of samples and compare the maximum contaminant concentration from the release area to the screening values. When this approach is used, it is essential to ensure that the samples collected from the release area will reasonably contain the highest contaminant concentrations to conservatively characterize risk. A facility may opt to collect additional samples from the release area and calculate a UCL<sub>95</sub> for comparison to the screening values to more accurately characterize release concentrations. The EPA's *Supplemental Guidance to RAGS: Calculating the Concentration Term*, May 1992 (EPA Publication 9285.7-081) at <http://rais.ornl.gov/documents/UCLsEPASupGuidance.pdf> provides additional guidance on statistical methods for accurately determining exposure point concentrations. EPA has also developed a statistical software package (ProUCL) which serves as a guidance for calculating comparisons for environmental data which can be found on the internet at <http://www.epa.gov/osp/hstl/tsc/software.htm>.

Sites may need to be evaluated for their cumulative risk or hazards using the algorithm presented in **Figure 2**. Once releases are identified and comparisons made between site concentrations of COPCs and the screening table, the screening results should be used to help prioritize releases, so the most significant release areas are addressed. This, too, is where in the process the actual COCs are identified. Using the results of the comparison, releases may be categorized as; 1) HIGH priority, 2) WARRANTS further evaluation, or 3) NFA .

The CAS suggests that all facilities initially use screening tables to evaluate their releases as this is the most expeditious and cost-effective way to evaluate site risk thus categorizing releases as high priority, releases that may warrant further evaluation, or NFA for human health (ecological risks must be evaluated before making a final determination).

## Figure 2

*Calculation of **cumulative carcinogenic risk** for releases with multiple contaminants that exceed the screening value.*

### Background on risk calculations:

For the purposes of this calculation - Intake = Intake x Toxicity Criteria

Risk = Intake x Concentration

thus: Concentration = Risk/Intake

### Example calculation:

The contaminant specific screening values are based on a target risk of  $1 \times 10^{-6}$ . Assume that the soil screening value for Contaminant Z is 50 mg/kg. Solving for Intake:

Intake = Risk/Concentration

Intake =  $1 \times 10^{-6}/50$

Intake =  $2 \times 10^{-8}$

Let's say the concentration of Contaminant Z in soil at Site A is 89 mg/kg. To determine the risk associated with the concentration detected in soil, substitute the 89 mg/kg for the value of 50 mg/kg and solve for the (target) risk.

Risk = Intake x Concentration

Risk =  $2 \times 10^{-8} \times 89$

Risk =  $1.78 \times 10^{-6}$

Do this for each of the contaminants which exceed its corresponding screening value, sum the risks and you have total cumulative carcinogenic risk for a particular release area. If the cumulative cancer risk is greater than  $1 \times 10^{-4}$ , the release is categorized as a high priority release area.

*Calculation of **non-cancer risk (Hazard Index)** for releases with multiple contaminants that exceed the screening value.* For the purposes of release prioritization under the CAS, the non-cancer hazards associated with multiple chemicals will be conservatively evaluated by summing the hazard quotient for all chemicals of concern, regardless of target organ or response, to obtain the hazard index.



## 5.0 REMEDY EVALUATION

This chapter describes . . .

- evaluating and proposing a remedy
- remediation
- review of Interim Measures/Presumptive Remedies
- use of institutional controls

### 5.1 EVALUATING AND PROPOSING A REMEDY

This chapter describes the process of evaluating and proposing risk management activities that will reduce risk to human health and the environment by addressing releases that do not meet the performance standards (*i.e.*, source control, statutory/regulatory requirements, and final risk goal), as established by the administrative authority.

#### 5.1.1 Risk Management Planning

The range of potential risk management activities evaluated will depend on the results of risk-based screening, any site-specific risk assessments conducted, and ecological risk assessments if warranted.

At this point in the process, all sites deemed NFA, are identified and summarized in the Risk Evaluation Report (Chapter 2.4.3.4). For remaining release sites that need to be

addressed, the facility will evaluate and propose a risk management activity or combination of activities. The facility

#### ***Risk Management Activities***

RCRA regulations provide great latitude to facility owners on how to meet the overall corrective action goal of protecting human health and the environment.

EPA has found through Superfund and other programs that removal and treatment, while initially expensive, is often best to permanently and dramatically reduce environmental liability.

Engineering controls may initially cost less, but also carry with them ongoing operations and maintenance costs and continuing liability. Institutional controls are often initially the lowest cost risk management activity, but the effectiveness over the long term is much less certain and does not reduce environmental liability as effectively.

**February 2015 CAS**

should consider many factors, including cost, in evaluating potential risk management activities; however, the primary criterion in proposing a risk management activity is the demonstration that the activity will achieve and maintain the performance standards.

In the final RCRA Corrective Action Plan (May 1994/EPA-520-R-94-004), five general decision factors are discussed for evaluating remedial alternatives (i.e., risk management activities) to factor into remedy selection. Along with the five general decision factors (long-term reliability and effectiveness, reduction in toxicity, mobility or volume of wastes, short-term effectiveness, implementability and cost), the administrative authority must also consider state and community acceptance of the final remedy. In the traditional process of remedy selection, all criteria are weighed against specific remedial actions. In the performance-based approach, remedies are selected and designed to meet specific performance measures defined by the CAOs. In the performance review, real data is generated to measure the general decision factors, then the remedy is optimized for effectiveness and efficiency.

Additionally, opportunities for the evaluation of risk management activities that incorporate options to maximize the net environmental benefit of the corrective while minimizing negative environmental impacts (i.e., green remediation) and/or allow for revitalization should be explored.

The completion of a comprehensive CSM (Chapter 3) is necessary before the risk management activities can truly be evaluated. Risk management planning may also require other activities such as field investigations to characterize hydrogeologic conditions and monitor meteorological conditions. Innovative technologies may need to be evaluated through bench-scale or pilot testing. A pilot test may be performed at any time during the corrective action process and may provide valuable information for risk management activity selection. Pilot testing of innovative in-situ treatments are particularly useful because of their potential to replace or supplement the conventional pump and treat method for remediating contaminated groundwater.

**Communication Strategy**

For large complex sites, facilities need a strong communication strategy with the administrative authority. Face-to-face meetings and monthly conference calls through the evaluation of remedial alternatives process give the administrative authority a level of assurance that they are providing input into the final risk management activities proposed in the Risk Management Plan.

### **February 2015 CAS**

When the facility has developed a course of action, the Risk Management Plan will be prepared to justify the facility's intended actions to ensure protection of human health and the environment. Because the administrative authority is responsible for making sure that actions undertaken by the facility are protective of human health and the environment, as established by performance standards, the administrative authority will review and approve the Risk Management Plan.

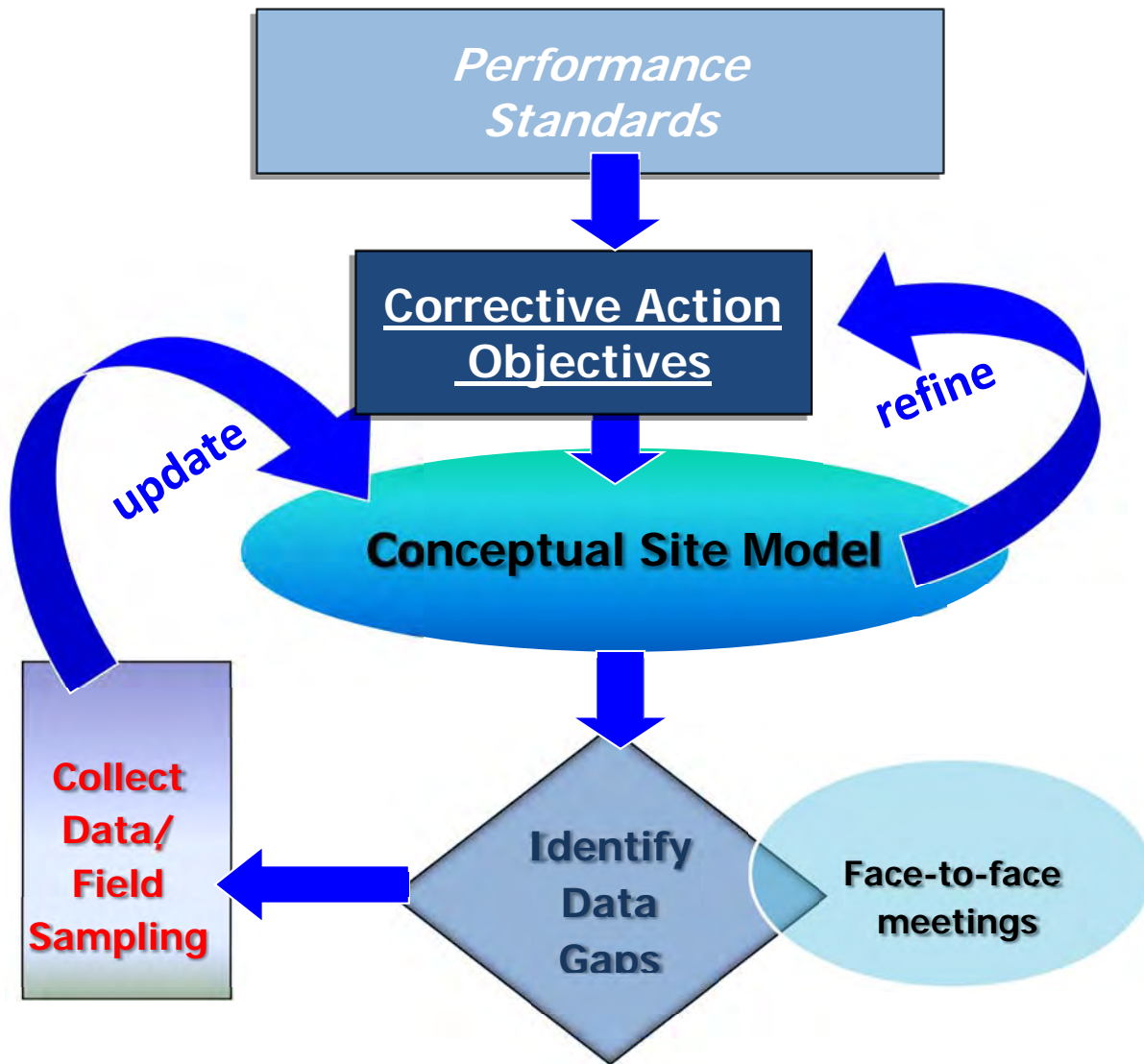
The approval process for the Risk Management Plan likely will be similar to that used currently for approving corrective action reports. The plan should be developed in accordance with all current and applicable laws and regulations, including public participation. Upon approval of the Risk Management Plan, the facility can begin implementation.

## **5.1.2 Corrective Action Objectives (CAOs)**

The ultimate performance of a remedy is defined by its ability to achieve and maintain the performance standards of all implemented risk management activities over time. It is dependent upon the long-term reliability of established exposure scenarios and land use assumptions, the validity of fate and transport modeling results, and the physical performance of the remedy or engineered control. CAOs are established to support the performance standards once the CSM is fully developed. CAOs can be refined through the corrective action process as the CSM is updated (**Figure 3**). The performance standards represent existing policy and regulatory requirements with a risk-based goal of protectiveness and the CAOs are site-specific, media-specific, risk-based "endpoints" for corrective action for a facility.

In a performance-based remedy the emphasis is on the attainment of the site-specific CAOs. This allows the administrative authority to approve the proposed risk management activities in the Risk Management Plan as the final selected remedy without the worry that a chosen technology will prove itself over time. The performance-based approach uses contingency plans which can include trying new technologies to meet the CAOs for remedy performance.

CAOs are written narrative statements that are media-specific; they may have numeric cleanup goals, exposure prevention measures, they may specify the performance standard it supports, such as removal, treatment or containment, or the CAO may specify that a media (such as surface water) will continue to be monitored for COCs.



**Figure 3:** CAOs allow you to begin with the end use in mind. As the CSM develops, the CAOs are refined and documented in the final Risk Management Plan. Ultimately, the performance-based goal is to develop risk management activities that will meet and maintain the final CAOs.

The ITRC Remediation Process Optimization Team authored a reference that uses the term “remedial action objectives” which are equivalent to the CAS CAOs in *Exit Strategy-Seeing the Forest Beyond the Trees*, March 2006 at <http://www.itrcweb.org/Guidance/GetDocument?documentID=80>. For CAOs developed under a RCRA permit, they can be incorporated into the permit through the permit modification process which includes public participation. Once incorporated into the permit the CAOs then become enforceable conditions of the permit. The ITRC DNAPL Team supports the use of SMART (Specific Measureable Attainable Relevant and Time-bound) objectives in the November 2011 *Integrated DNAPL Site Strategy* (IDSS) found at: [http://www.itrcweb.org/GuidanceDocuments/IntegratedDNAPLStrategy\\_IDSSDoc/IDSS-1.pdf](http://www.itrcweb.org/GuidanceDocuments/IntegratedDNAPLStrategy_IDSSDoc/IDSS-1.pdf) in Chapter 3. The development of the remediation objectives is essential to making valid decisions for successful remedy implementation. One concept emphasized in the IDSS is to keep the remediation approach flexible over time. Performance monitoring data collected and analyzed in data trends and life-cycle analyses may indicate the need to transition to a new technology.

## 5.2 REMEDIATION

Remediation is the process of removing or reducing the concentrations of COCs, as determined from risk-based screening or site-specific risk assessment, to lessen or eliminate impacts at locations where unacceptable exposure exists (*i.e.*, risk reduction).

The priority of assessing remedial alternatives to address source material is removal, treatment, then containment. At most sites, the final remedy will include a combination of all three. Good site characterization is key in determining if source removal is viable. Treatment can be accomplished by ex-situ or in-situ applications. Some ex-situ treatment systems have been criticized for poor energy efficiency. More innovative in-situ treatments are considered “green” technologies, and there are a variety of new applications for chlorinated solvents, as well as petroleum hydrocarbons.

Containment may be achieved through the use of engineered controls. Engineered controls can be used to prevent or minimize impacts at the POE. Engineered controls are risk management tools that are physical structures designed and constructed (such as caps, horizontal or vertical barriers, and hydraulic controls) to prevent migration of

### **February 2015 CAS**

COCs to locations where unacceptable exposure may occur, or prevent exposure to a COC. Pump and treat systems for groundwater remediation are classified as both a removal and treatment approach with a measure of hydraulic containment if the extraction or recovery wells are engineered in a way to maximize the capture zone of contamination.

## **5.3 REVIEW OF INTERIM MEASURES/PRESUMPTIVE REMEDIES**

Most facilities that have been in the corrective action process for some time are implementing interim measures as a way to mitigate releases to the environment. The first remedy evaluation should include a review of the interim measures in place to see if performance standards have been attained or can be attained within a reasonable amount of time. Also, if the system(s) in place can be optimized with minimal effort, this might prove to be the best alternative for the final site-wide remedy.

Another evaluation that might be worthwhile is a review of available presumptive remedies. During development of the CSM, a facility may identify a release that could be addressed through a streamlined approach using presumptive remedies. The use of presumptive remedies for RCRA corrective action sites should be similar to those used for CERCLA sites, as noted in the ANPR. There are several EPA guidance documents outlining the use of presumptive remedies at CERCLA sites for specific contaminants in soils and sediments, and presumptive response strategies for the restoration of groundwater. While their use is not required for RCRA, they may be useful in remedy selection. EPA's presumptive remedies can be found at

<http://www.epa.gov/superfund/policy/remedy/presump/pol.htm>.

## **5.4 USE OF INSTITUTIONAL CONTROLS**

Institutional control refers to non-engineering measures which restrict the use of land and other resources and which are often a key element of environmental cleanup. Institutional controls are legal or administrative tools intended to influence human activities in such a way as to prevent or reduce exposure to hazardous wastes or hazardous constituents. The types of institutional controls include governmental controls (*e.g.* zoning, ordinances), proprietary controls (*e.g.* legal instruments placed in the chain of title for property), enforcement and permit tools with the proper components, and informational devices (*e.g.* state registries, deed notices). Institutional controls often are used in conjunction with, or as a supplement to, other measures such as remediation or engineering controls to prevent or reduce exposure. An institutional control or a group of institutional controls, under appropriate circumstances, though rare, may serve as the sole remedy at a facility. Institutional controls, however, are not intended to be used as

**February 2015 CAS**

secured abandonment (*i.e.*, physically securing a site and preventing exposure while making little or no effort to ensure that COCs do not migrate to and beyond the property boundary). In fact, institutional controls can be an integral part of the risk management approach that allows property to be put back into productive use while being protective.

As with the evaluation of institutional controls for an onsite remedy, the evaluation of institutional controls for offsite property should include a determination of the appropriateness, feasibility, and long-term effectiveness in protecting human health and the environment afforded by the institutional control. An institutional control cannot be placed on neighboring property without first negotiating and receiving consent of the property owner. Although the administrative authority bears no responsibility in these negotiations, they need to ensure that the resulting agreement or settlements are protective of human health and the environment.

**Documentation of Institutional Controls**

Onsite ICs such as excavation permits or water well use may be memorialized in a **Site Management Plan**. If offsite ICs are in place to control groundwater use, the ICs may be documented in a **Land Use Control (LUC) Plan**. Both of these documents can be reviewed for adequacy and effectiveness at each periodic remedy performance review (Section 6.2.1)

EPA has developed guidance on the use of institutional controls at cleanup sites, and the guidance should be consulted for additional information concerning applicability and use.

There are several guidance documents on the use of institutional controls at the EPA Superfund policy web site. This guidance, *Institutional Controls: A Guide to Planning, Implementing, Maintaining and Enforcing Institutional Controls Contaminated Sites*, December 2012, EPA-540-R-09-001, can be found at

[http://www.epa.gov/oerrpage/superfund/policy/ic/guide/ICIAP%20guidance%20\(FINAL\)%20-%2012.04.2012.pdf](http://www.epa.gov/oerrpage/superfund/policy/ic/guide/ICIAP%20guidance%20(FINAL)%20-%2012.04.2012.pdf).

## 6.0 COMPLETING THE CAS/IMPLEMENTING A PERFORMANCE-BASED REMEDY

This chapter describes . . .

- Performance Monitoring Program Plan
- Performance Review Plan
- Contingency Plans
- Summary/Moving towards Sustainability

### 6.1 PERFORMANCE MONITORING PROGRAM PLAN

The success of a performance-based remedy relies on performance monitoring, periodic performance reviews and well-established contingency plans. Therefore, the facility should develop performance metrics defined in a performance monitoring program. Specific performance metrics are used to evaluate if CAO's are being achieved and, if not, to trigger appropriate contingency plans. For instance, a simple performance metric might be that groundwater concentrations at POC wells must be at or below applicable drinking water standards (*e.g.* MCLs).

The performance monitoring guidelines described in the following subsections are specific to the CAS, and are intended to complement, but not replace, monitoring requirements specified by statute, regulation, or other program components (*e.g.*, permits required for the discharge of treated wastewater or air emissions).

The administrative authority is responsible for reviewing and approving the Risk Management Plan, and ensuring that the actions undertaken by the facility are protective of human health and the environment. Depending on the complexities at a site, the performance monitoring program may be subsections of the RMP or may be submitted as the following separate documents: (1) Performance Monitoring Plan (generally has a SAP/QAPP as an appendix), (2) Performance Review Plan, (3) Contingency Plan, and (4) Community Relations Plan. Optional plans that can be part of the performance monitoring program may include a (1) Land Use Control (LUC) Plan when institutional controls are needed to support the final remedy, and (2) a Site Management Plan, including a description of onsite



**February 2015 CAS**

institutional controls such as excavation permits and a description of positive air pressure systems in buildings above groundwater plumes where indoor air is a concern.

A performance monitoring plan will outline a clear definition of the monitoring frequency, sampling parameters and locations and initial data interpretation. The performance metrics should be specific to concentrations and distributions of COCs, and identify the POE and other physical parameters directly relevant to monitoring and measuring the protectiveness of the selected risk management activity. All performance metrics should; (1) focus on demonstrating that the CAOs are maintained once achieved; (2) be based on site-specific conditions and implemented risk management activities; and (3) provide specific detail to clearly measure an exceedence to trigger contingency plans to ensure protectiveness.

Analytical parameters selected for monitoring should be based on the COCs that are predicted to most significantly impact the POE of the media being monitored. While it may be convenient to monitor for all COCs, indicator compounds can be identified to provide a cost-effective validation of the model, as approved by the administrative authority. At a minimum, the parameters to be monitored should include:

- COCs that are expected to travel the fastest
- COCs that are expected to travel the longest distance, including degradation and transformation products
- COCs that have the greatest impact (risk) at the POE being evaluated (including cases where contaminants may migrate from one media to another, *e.g.*, the POE is determined from a groundwater to surface water pathway)

DQOs for the sample analysis should be established to ensure that adequate quantification is achieved so that potential and actual impacts can be determined with respect to the CAOs. Performance monitoring may include measuring COC concentrations in various media or measuring physical parameters, such as aquifer gradients.

The rationale for selecting where and how the performance monitoring should be conducted is based solely on demonstrating that the selected risk management activity (a remedy or an engineered control) meets the design criteria and objectives. Monitoring objectives should adhere to the following:

#### **February 2015 CAS**

- performance should be monitored along the COC transport route from the source area to the POE
- performance should be monitored at vertical locations within a media column where a particular COC would most likely occur and at the POE
- multiple monitoring points should be used as necessary
- performance should be monitored at the areas where the remedy or engineered structure is subject to greatest stress
- performance monitoring metrics should be based on appropriate COCs and other analytical and physical measurements specific to the system being monitored
- monitoring frequency should allow adequate time for correcting potential problems and maintaining protectiveness at the POE
- monitoring intervals should provide adequate time to identify, design, and implement a response action that would ensure protectiveness in the event that performance monitoring indicates a system failure

An optimization of monitoring well systems may be necessary in order to ensure effective monitoring. The optimization program will also make sure that monitoring wells are screened in proper intervals for the detection of COCs. In April 2004, the EPA published a guidance document entitled *Performance Monitoring of MNA Remedies for VOCs in Groundwater* (EPA/600/R-04/027) and it is available at <http://nepis.epa.gov/Adobe/PDF/10004FKY.pdf>. When an optimization review determines that a remedy in place can no longer function efficiently, this should be reported in the periodic performance review and the contingency plan may provide options to transition to another technology.

Performance monitoring for a risk management activity should continue until residual COCs no longer pose unacceptable risks at the POE, and no potential exists for off-site migration of, or cross-media contamination from, residual COCs. These situations should be verified by field studies and actual measurements, rather than predictive modeling.

## 6.2 PERFORMANCE REVIEWS

### 6.2.1 Summarizing the Effectiveness of the Remedy in a Performance Review Plan

Even when risk management activities have been implemented and it can be demonstrated that the performance standards have been achieved and are being maintained, a periodic review is critical to assess the overall performance of the remedy. In the CERCLA program, this type of review occurs at 5-year intervals and for RCRA-permitted facilities a performance review is part of the permit renewal process (every 10 years). Performance reviews should be based on the complexities of risk management activities at the site. A performance review might take place annually or every three years. In its simplest form, a periodic review can consist of monitoring data summaries accompanied by graphical and statistical analyses, if necessary, to demonstrate whether the implemented activities are consistently achieving and maintaining desired results. For complicated remedial and engineering projects, a more thorough evaluation of overall performance may be warranted. In September 2012, EPA released a national strategy to expand optimization practices (from site assessment to site completion) at Superfund sites; however, these practices could apply to any type of cleanup site. EPA defines remedy optimization as the systematic site review by a team of independent technical experts, to identify opportunities to improve remedy protectiveness, effectiveness and cost efficiency, and to facilitate progress toward completion of site work. Guidance and tools to assist with remedy optimization can be found at <http://www.epa.gov/superfund/cleanup/postconstruction/optimize.htm>.

A performance review plan can be part of the final Risk Management Plan or submitted separately. It provides a clear decision logic that defines alternate contingency plans to implement when CAOs are not being met, and a phase-out of performance monitoring as risk is reduced. For facilities that are relying on land use controls (*i.e.*, institutional controls) to ensure that exposures are not incurred, the CAS recommends a review of land use controls as part of the performance review to document their adequacy and effectiveness. Changes in the land use after a risk management activity has been implemented can influence both the types of receptors affected and the location of their exposure, thus, the exposure scenario evaluated under the previous land use may not adequately characterize the site risks. The performance review is the mechanism in place that checks to make sure the land use at the time of the remedy selection remains unchanged over time. It also identifies changes in land use and re-evaluates the impacts. For sites with extensive institutional controls including land use controls on off-site areas, the facility may want to

**February 2015 CAS**

document all site-specific information into a separate Land Use Control (LUC) plan which is reviewed during the performance review to make sure the off-site ICs remain in place.

Only certain types of institutional controls have mechanisms for limiting land use changes (*i.e.*, easements or land use restrictions). Institutional controls lacking such mechanisms should have alternative mechanisms for monitoring and maintaining land use. Although the CAS does not recommend specific mechanisms for maintaining and monitoring land use changes, land use monitoring is critical and should be maintained until a potential change in land use would no longer result in unacceptable risk at the POE.

**Land Use Changes**

If the land use should change so that the remedy does not address exposures to new receptors, the administrative authority performing oversight may need to re-issue the Statement of Basis (decision document) for public review and comment. The new decision document will propose viable risk management activities for the new land use that will be protective of human health and the environment.

## 6.2.2 Verification of Fate and Transport Models as part of Performance Reviews

The fate and transport of COCs in groundwater, surface water, and air should be monitored to demonstrate the validity and representativeness of the model if conducted as part of a site-specific risk assessment. This is particularly critical in demonstrating the protectiveness of the selected risk management activity if it includes monitored natural attenuation (MNA) for groundwater contamination or if the POE is at the facility boundary. Also included in the performance reviews is a trend analysis which may include the calculated half-life for specific COCs. This allows the project manager to compare the calculations from one performance review to the next to see if estimations for COC degradations remain on target.

Monitoring should be conducted at locations that will validate the performance of the predictive model, and the values of key fate and transport parameters. The verification monitoring location should be along the route that a COC would most likely follow when being transported between the source area and the POE based on the site-specific risk evaluation. Consideration also should be given to the vertical pathways of likely migration. For example, a monitoring well intended to validate the predicted migration of groundwater contamination should be screened in the zone where preferential migration would occur based on the physical and chemical properties of the COCs.

### **February 2015 CAS**

The monitoring frequency should allow adequate time for making adjustments to the risk management activity implemented. If fate and transport parameters must be revised based on the monitoring results, it may be necessary to re-evaluate the risk at the POE and to develop, design, and implement changes to the risk management activity to maintain protection of human health and the environment. The duration of verification monitoring for fate and transport of selected COCs should be based on establishing a high degree of confidence that the modeled performance has been validated by field conditions (*i.e.*, the COC concentrations predicted by the model are representative of what is actually happening at the site).

## **6.3 CONTINGENCY PLANS**

The periodic performance review process includes a decision logic diagram illustrating additional risk management activities in the event the implemented risk management action does not maintain the established CAOs. The facility has the ongoing responsibility for maintaining protectiveness (in case of remedy failure) and should be prepared to implement contingency plans, as appropriate. Contingency plans can be part of the final Risk Management Plan that will be reviewed and approved by the administrative authority, or for more complex sites, it can be submitted as a separate document. It describes response actions to address any new release or poor performance of the selected risk management activity. Failure to achieve the CAOs will trigger implementation of a contingency plan to correct the course of the remedy or to re-assess performance measures. Examples of contingency measures might include: 1) additional treatment/removal of source areas to further reduce contaminant concentrations in soil or groundwater, 2) installation of filtrations systems at the POE, 3) implementation of wellhead protection programs, 4) changes to pumping systems to divert groundwater gradients (irrigation wells, or golf course watering systems), or 5) installation of cut-off trenches to intercept shallow groundwater flow.

## **6.4 SUMMARY/ MOVING TOWARDS SUSTAINABILITY**

Successful implementation of the CAS depends on up-front agreements between the administrative authority and the facility and a comprehensive CSM used to facilitate sound remedy decisions. The CAS performance-based approach allows for a flexible remedy that can change over time. The CAS philosophy emboldens the administrative authority to clearly define the CAOs for site cleanup in agreement with industry partners and with input from the affected community. The CAS CSM is a great tool to facilitate communication with the public and gives the facility project manager a “go-to” document to keep all site activities (such as land use changes) in one up-to-date document. As all cleanup programs move toward sustainable solutions, a Community Relations Plan (a requirement in RCRA

**February 2015 CAS**

corrective action) can provide a means by which the facility keeps the public informed on the progress and overall effectiveness of the remedy. Community leaders may participate in Community Advisory Panels and attend quarterly or semi-annual meetings conducted by the facility, allowing for continuing dialog between the community, facility and administrative authorities thus strengthening partnerships. Overall, use of CAS elements can bring about a cohesiveness to the cleanup process leading to successful remediation.

As cleanup programs move beyond the traditional foundation of environmental protection to a more integrated cross-program approach towards sustainability, the overall benefits for all stakeholders will become clear. Shifting the focus to a broader perspective to include conserving natural resources, improving resource efficiency and improving community health and well-being will ensure a more sustainable future for our communities. Benefits for facilities include not only the adoption of optimal uses of resources which will increase operating efficiency, but also a potential for reductions in long-term costs for regulatory compliance.



## GLOSSARY

### ***Administrative Authority***

The approved state program or EPA.

### ***Beneficial Resource***

Beneficial resource describes natural resources that are useful to human and ecological receptors. Individual states may establish statutes or regulations that identify certain environmental components, such as specific groundwater or surface water sources, as beneficial resources, and as such these beneficial resources may be entitled to greater protection from contamination.

### ***Cancer Risk***

EPA expresses cancer risk in terms of the likelihood that a person might develop cancer from exposure to contaminants from a facility. For example, a risk assessment might say that a receptor has an upper bound cancer risk of  $1 \times 10^{-4}$ . The numerical estimate means that if 10,000 people received this level of exposure averaged over a 70-year lifetime, no more than one would have a probability of developing cancer from exposure to contaminants from a facility.

### ***Contaminants of Concern (COC)***

After the application of a risk-based priority screen described in Chapter 4, the contaminants of potential concern (COPCs) that pose a significant risk are then labeled as COCs. Some COPCs may drop out from further evaluation. The remaining lists of COPCs are COCs.

### ***Contaminants of Potential Concern (COPC)***

Chemicals from hazardous waste and hazardous constituents that are potentially site related and have data are of sufficient quality for use in the screen process (Chapter 4) or a site-specific risk assessment. The facility should compile a list of COPCs for each release based on existing sampling data, waste analysis reports, etc.

### ***Conceptual Site Model (CSM)***

The CSM is part of the data quality objective (DQO) process that presents a three-dimensional picture of site conditions at a discrete point in time that conveys what is known about the facility, releases, release mechanisms, contaminant fate and transport, exposure pathways, potential receptors, and risks. The information for the CSM is documented into six profiles (Chapter 3 and Appendix A). The CSM evolves as data gaps in the profiles become more complete, and will be refined based upon results of site characterization data. The final CSM is documented in the CAS Risk Management Plan.

### ***Corrective Action***

Corrective action is the process of identifying, evaluating, and, if necessary, remediating releases of hazardous constituents from waste management units and release areas to ensure protection of human health and the environment. Corrective action requirements apply to all solid waste management units (SWMUs) and areas of concern (AOCs) at a facility needing a permit under RCRA. Corrective action is triggered when there is a documented release of hazardous constituents to the environment.

### ***Corrective Action Objectives (CAOs)***

Corrective action objectives are site-specific objectives that support the performance standards. They are medium-specific and must be linked to a metric (cleanup standard) in order to measure remedy performance.

## **February 2015 CAS**

### ***Cross-Media Transfer***

The movement of contaminants from one environmental medium to a different environmental medium (e.g., the movement of contaminants from soil to groundwater).

### ***Data Quality Objective (DQO)***

DQOs are qualitative and quantitative statements derived from the output of each step of the DQO process. DQOs are used in the CAS to help clarify performance standards. The facility will use the DQO process as a guide to ensure quality data and defensible risk decisions.

### ***Data Quality Objective (DQO) Process***

A series of planning steps as part of a systematic planning tool based on the scientific method that are designed to ensure that the type, quantity, and quality of environmental data used in decision making is appropriate for the intended application. With the CAS, the DQO Process involves evaluation of available data, developing a conceptual site model, identifying problems to be solved, identifying data quantity and quality needs, and evaluating the data collection approach.

### ***Ecological Exclusion Criteria Worksheet and Ecological Assessment Checklist (ECO Screen Appendix B)***

This is a tool to help facilities and the administrative authority determine if an ecological risk assessment is necessary for a site or portion of a site where corrective action is being pursued. The exclusion criteria refer to those conditions at an affected property which preclude the need for a formal ecological risk assessment because there are incomplete or insignificant ecological exposure pathways due to the nature of the affected property setting and/or the condition of the affected property media.

### ***Engineering Controls***

Physical structures designed and constructed (such as caps, horizontal or vertical barriers, and hydraulic controls) to prevent migration of COCs to locations where unacceptable exposure may occur, or prevent exposure to a COC.

### ***Environmental Medium***

All materials, such as surface and subsurface soil, sediment, groundwater, surface water, and air.

### ***Exposure Pathway***

The course a chemical or physical agent takes from a source to an exposed receptor. A unique mechanism by which an individual or population is exposed to chemical or physical agents at, or originating from, a site. Each exposure pathway (e.g. groundwater, soil vapor) includes a source or release from a source, an exposure point, and an exposure route. If the exposure point differs from the source, a transport/exposure medium (e.g., air) or media also is included.

### ***Exposure Route***

The way a chemical or physical agent comes in contact with a receptor (i.e, by ingestion, inhalation, dermal contact).

### ***Exposure Scenario***

The setting of potential exposure, as described by exposure pathways and routes, that affect a particular receptor.

### ***Fate and Transport Modeling***

The use of scientific models derived from mathematical formulas that simulate the movement and distribution of contaminants in environmental media over a given period of time.



**Facility**

For purposes of defining the unit requiring a permit, the definition of facility includes all contiguous land, and structures, other appurtenances, and improvements on the land, used for treating, storing, or disposing of hazardous waste. A facility may consist of several treatment, storage, or disposal operation units (e.g. one or more landfills, surface impoundments, or some combination thereof). For the purpose of implementing corrective action under CFR 264.101, it includes all contiguous property under the control of the owner or operator seeking a permit under subtitle C of RCRA. This definition also applies to facilities implementing corrective action under RCRA Section 3008(h).

**Final Risk Goal**

A risk-based performance standard. The final risk goal is based on site-specific factors, such as land use, special sub-populations, contaminant concentrations based on acceptable risk, location at which the levels are to be measured and achieved, and the remediation time frame. This performance standard can be proposed by the facility, but is established by the administrative authority following the scoping meeting. Once the final risk goal has been evaluated and established, it becomes the level of protectiveness to be achieved and maintained by the facility.

**Hazard Index (HI)**

Assess potential for toxicity following exposure to multiple contaminants. It is equal to the sum of the hazard quotients. However, where information is available to identify the critical toxic effect from non-carcinogens, only hazard quotients with associated similar critical effects (target organs) are combined.

**Hazard Quotient (HQ)**

EPA expresses non-cancer health risk as a ratio, known as the HQ, which is defined as the calculated exposure from a single contaminant in a single medium divided by a reference dose. The reference dose is the level of exposure that EPA believes will be without adverse effect in human populations, including sensitive individuals. Note that some contaminants (chemicals) may be associated with both carcinogenic and non-carcinogenic effects (such as kidney or liver disease).

**Institutional Control**

A non-engineering measures intended to influence human activities in such a way as to prevent or reduce exposure to hazardous wastes or hazardous constituents. The types of institutional controls include governmental controls (e.g. zoning, ordinances), proprietary controls (e.g. legal instruments placed in the chain of title for property), enforcement and permit tools with the proper components, and informational devices (e.g. state registries, deed notices). Institutional controls should be rigorously evaluated during the remedy selection process to determine their appropriateness, feasibility, and long-term effectiveness in protecting human health and the environment.

**Interim Measures**

Actions undertaken by a facility or administrative authority to prevent or mitigate exposure, or in some instances, the migration of contaminants from a release. Generally, interim measures can be stabilization measures implemented before formal remedy evaluation is complete and after sufficient information is available to indicate that unacceptable risks and hazards are present.

**Performance Metric**

An "end-point" measurement used to assess an activity toward reaching a goal or requirement. Performance metrics serve as specific targets against which results are compared. In corrective action, a performance metric could be a

### **February 2015 CAS**

specific cleanup value or other target measurement in alignment to a corrective action objective (CAO). In some cases, a performance metric might need to be clearly defined to support the CAO.

### **Performance Standard**

Performance standards describe EPA's expectation for the outcome of corrective action at a facility; the performance standards are to be achieved and maintained in order to protect human health and the environment. The three performance standards in the CAS (*i.e.*, source control, statutory/regulatory requirements, and final risk goal) combine existing policy and regulatory requirements with a risk-based goal for protectiveness. Under the CAS, the performance standards applicable to releases at a facility are established early in the corrective action process.

### **Point of Compliance (POC)**

For RCRA-regulated units, the point of compliance is described as the location closest to the waste management area (which can be one or more SWMUs) where the cleanup standard must be met. For risk-based corrective action, the POC is the point at which the risk-based cleanup standard must be met. In groundwater corrective action, the POC is often described as the point at which the facility must meet MCLs – which may be at the facility boundary or at another defined point of exposure. In these cases, an ACL (or other risk-based number) is met at the closest location to the waste management area.

### **Point of Exposure (POE)**

The location within an environmental medium where a receptor is assumed to have a reasonable potential to come into contact with the COCs. EPA expects at the POE that protection of human health and the environment will be achieved.

### **Profile**

A particular aspect, or view, of the conceptual site model that facilitates understanding of site conditions. The CAS describes several potential profiles, including the facility profile, land use and exposure profile, ecological profile, physical profile, release profile, and risk management profile.

### **Release and Release Area**

EPA has interpreted the term *release* to mean, "any spilling, leaking, pumping, pouring, emitting, emptying, discharging, injecting, escaping, leaching, dumping or disposing into the environment" (50 FR 2873, July 15, 1985). This definition also includes abandoned or discarded barrels, containers, and other closed receptacles containing hazardous wastes or constituents. In the CAS, the term *release area* refers to areas of concern, SWMUs, or groups of SWMUs at a facility where there has been a release or there is a potential for a release of hazardous waste constituents to the environment.

### **Release Characterization**

The collection of current information and possible additional sampling data to identify COPCs, and the evaluation of potential adverse effects. Sampling and analytical techniques should be selected based on the ability to obtain the necessary data to meet DQOs for each release.

### **Risk Management Plan**

The report a facility uses to document the work performed and risk management activities to be implemented.

### **Site Management Plan**

This plan is one of the remedy implementation reports that may be used to document onsite institutional controls, such as excavation permits, etc.

***Site-Specific Risk Assessment***

The site-specific risk assessment is a risk management tool that allows facilities to take a closer look at release areas that pose a significant risk after the application of a risk-based screen. The facility should consider evaluating receptors under a site-specific risk assessment in order to adequately characterize their exposures, when appropriate. Facilities are allowed to input site-specific data into fate and transport models to more accurately predict the concentration of contaminants at points of exposure to evaluate risk.

***Solid Waste Management Unit (SWMU)***

Any discernible unit at which solid wastes have been placed at any time, irrespective of whether the unit was intended for the management of solid or hazardous waste. Such units include any area at a facility at which solid wastes have been routinely and systematically released.

***Source Material***

Source material is defined as material that includes or contains hazardous wastes or hazardous constituents that act as a reservoir for migration of contamination to soil, to groundwater, to surface water, to air, or act as a source for direct exposure. Sources are not always stationary, but can migrate from a location like a landfill or surface impoundment where contamination originally was released. Contaminated groundwater plumes are generally not considered a source material, although non-aqueous phase liquids (NAPL) in the groundwater generally would be viewed as source material (*Rules of Thumb for Superfund Remedy Selection*, August 1997, EPA/540/R-97/013)

**February 2015 CAS  
References**

Interstate Technical and Regulatory Council (ITRC). November 2011. Integrated DNAPL Site Strategy (IDSS).

Interstate Technical and Regulatory Council (ITRC). March 2006. Exit Strategy – Seeing the Forest Beyond the Trees.

Interstate Technical and Regulatory Council (ITRC). December 2003. Technical and Regulatory Guidance for the Triad Approach: A New Paradigm for Environmental Project Management.

National Academy of Sciences (NAS). November 2012. Alternatives for Managing the Nation’s Complex Contaminated Groundwater Sites.

National Research Council (NRC). 2011. Sustainability and the US EPA.

EPA. December 1989. Risk Assessment Guidance for Superfund: Volume I – Human Health Evaluation Manual (Part A). EPA/540/1-89/002.

EPA. March 8, 1990. National Oil and Hazardous Substances Pollution Contingency Plan (NCP) *55 Federal Register* 8666.

EPA. May 1992. Supplemental Guidance to RAGS: Calculating the Concentration Term. EPA publication 9285.7-081.

EPA. May 1994. RCRA Corrective Action Plan. EPA-520-R-94-004.

EPA. May 1, 1996. Advanced Notice for Proposed Rulemaking (ANPR) Subpart S. *61 Federal Register* 19432.

EPA. August 1997. Rules of Thumb for Superfund Remedy Selection. EPA/540/R-97/013.

EPA. May 2003. Dynamic Field Activities for On-Site Decision Making: A Guide for Project Managers. EPA/540/R-03/002.

EPA Memorandum. September 30, 2003. Interim Guidance on Financial Responsibility for Facilities Subject to RCRA Corrective Action.

EPA. April 2004. Performance Monitoring of MNA Remedies for VOCs in Groundwater. EPA/600/R-04/027.

EPA. July 2011. Best Management Practice (BMP) for the effective use of the Project Life Cycle Conceptual Site Model. EPA 542-F-11-011.

EPA. December 2012. Institutional Controls: A Guide to Planning, Implementing, Maintaining and Enforcing Institutional Controls and Contaminated Sites. EPA-540-R-09-001.

## ***Appendix A***

### ***Conceptual Site Model (CSM) and Corrective Action Objectives (CAOs)***

**Section 1.0 CAS CSM**

**Section 2.0 CAS CSM Profiles**

**Section 3.0 Using the Preliminary CSM to determine Performance Standards**

**Section 4.0 Using the Systematic Planning Process for Field Investigations – to complete the CSM**

**Section 5.0 CAOs to Support the Performance Standards and Examples**

**Appendix A**

**Conceptual Site Model (CSM) and Corrective Action Objectives (CAOs)**

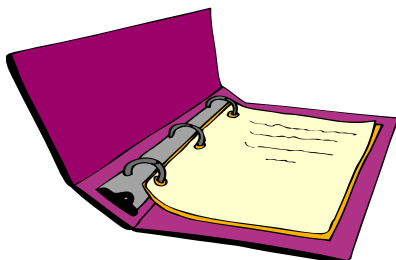
**Section 1.0 CAS CSM**

Successful implementation of the CAS relies on the development of a complete, yet concise CSM. The CAS places great emphasis on the CSM because it provides the facility and the administrative authority with a broad view of the potential releases to the environment and the proximity of receptors and sensitive environments. The “big picture” approach provides information necessary for:

- performance-based project management
- cost-effective investigations
- risk characterizations and risk management decisions
- development of data quality objectives (DQOs)
- monitored natural attenuation (MNA) determinations, when appropriate
- technical impracticability (TI) waiver determinations, when appropriate
- and sound remedy selection decisions.

Use of the CSM provides a means of documenting and periodically updating all general facility information, *i.e.*, land use changes, new release information, etc. Keeping the CSM updated allows the facility and the administrative authority to use the CSM as the “go to” document for future site inspections, and to document site conditions as risk is reduced through remedy implementation. The CSM is a three-dimensional representation of site conditions that conveys what is known or suspected, at a discrete point in time, about the sources, releases, release mechanisms, contaminant fate and transport, exposure pathways, potential receptors and risks.

The CAS CSM is unique in that it provides a way to organize all components of a CSM into a document that can be used as a “stand alone” deliverable. As site conditions change, it provides the facility manager with a means to keep all pertinent site information in one document.



- Facility Profile
- Physical Profile
- Land Use and Exposure Profile
- Release Profile
- Ecological Profile
- Risk Management Profile

The CAS CSM includes the following profiles; 1) Facility Profile, 2) Physical Profile, 3) Land Use and Exposure Profile, 4) Release Profile, 5) Ecological Profile, and 6) the Risk Management Profile (Figure A-1).

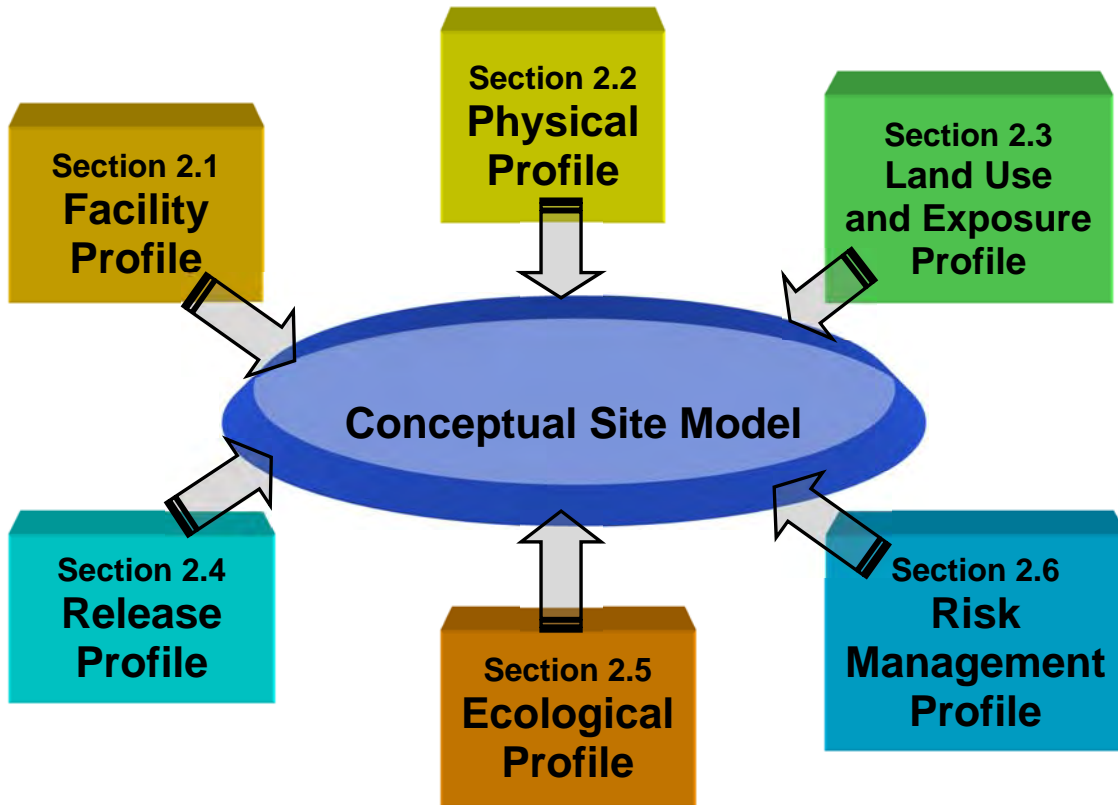


Figure A-1 CAS CSM Profiles

The CAS CSM is focused on putting together the “nuts and bolts” of a comprehensive model that depicts current site conditions. To expand on how the CSM evolves through the life-cycle of site characterization through remediation, please refer to the EPA Best Management Practice (BMP) paper on the “Effective Use of the Project Life Cycle Conceptual Site Model” (EPA 542-F-11-011) July 2011. (<http://epa.gov/tio/download/remed/csm-life-cycle-fact-sheet-final.pdf>)

All CAS profiles are documented by written descriptions supported by maps, geological cross sections, tables, diagrams and other illustrations to depict site conditions. Before the Scoping Meeting, the facility and the administrative authority will discuss and agree upon the scope, quantity, and relevance of information to be included,

## February 2015 CAS Appendix A

balancing the need to present as complete a picture as possible to document current site conditions and justify risk management decisions, and keep the information focused without becoming extraneous or irrelevant.

The first step for the project manager is to identify known releases, or other potential sources and incorporate all available information into the six profiles. At this point, the risk manager will need to identify all potential receptors, sensitive environments or other special subpopulations. Once this information is compiled, the team has a preliminary CSM that can be presented at the Scoping Meeting.

As the Preliminary CSM is presented at the Scoping Meeting, the administrative authority and facility managers can discuss and agree upon land use, groundwater use and classification.

### **Section 2.0 CAS CSM Profiles**

#### **2.1 The Facility Profile**

The facility profile describes the various manmade features present on or near the site, including:

- facility structures, including sewer systems, underground lines, etc.
- process areas, including historical processing sites
- solid waste management units (SWMUs) or other potential source areas identified by a routine and systematic release of hazardous constituents to the environment (i.e. truck or railcar loading/unloading areas)
- historical features that may be potential release areas because of past waste management practices, (i.e., old dump sites).

The facility profile may provide information on potential source areas and identify buildings or process structures that may affect site characterization or remedy implementation. The location of facility structures and process areas relative to a release is important in identifying contaminants of potential concern (COPCs) during the screening process (Chapter 4).

#### **2.2 Physical Profile**

The physical profile describes the factors that may affect releases, fate and transport, and receptors;



## February 2015 CAS Appendix A

- topographical features, such as hills, gradients, surface vegetation or pavement
- surface water features such as drainage routes, surface water bodies, wetlands, and watershed parameters and characteristics
- surface geology including soil types and parameters, outcrops, and faulting
- subsurface geology including stratigraphy, continuity, and connectivity
- hydrogeologic information identifying the water-bearing zones, hydrologic parameters, and impermeable strata
- soil boring and monitoring well logs and locations

The physical profile should concentrate on site-specific environmental setting information in the absence of a release. The physical profile information will generally be integrated with information from the release profile to describe the behavior of contaminants in the environment. The initial development of the physical profile will begin with some preliminary understanding of the environmental setting. Data gaps can then be identified and used to design future investigations.

### 2.3 Land Use and Exposure Profile

The land use and exposure profile consists of information used to identify and evaluate the applicable exposure scenarios and receptor locations, including:

- land use on the facility and adjacent properties (including specific land use categories, i.e., single-family homes, recreational, agricultural, or commercial/industrial uses)
- beneficial resource determination (groundwater classification, protected natural resources, wetlands, etc.)
- resource use locations (water supply wells, surface water intakes, etc.)
- subpopulation types and locations (schools, hospitals, day care centers, etc.)
- applicable exposure scenarios
- applicable exposure pathways identifying the specific sources, releases, migration mechanisms, exposure medium, exposure routes and receptors.

To develop the land use and exposure profile, the facility should begin by evaluating the types of land use and determining the beneficial resources on and around the facility. In addition, information on potential receptors (surface water bodies, water wells, and residences) should be incorporated into the CSM for each release. For example, the

## *February 2015 CAS Appendix A*

identification of surface water bodies at locations in the assessment area indicates the potential for exposure from ingestion of fish and possible drinking water sources. Also, receptor information is vital in demonstrating complete or incomplete exposure pathways during screening (Chapter 4).

### **2.4 Release Profile**

The release profile should describe the nature of contaminants in the environment, including the following:

- identification of source materials (LNAPL or DNAPL)
- identification of contaminants of potential concern (COPC) and contaminants of concern (COC), as appropriate
- potential source locations
- source locations where a release has been confirmed
- delineation of the release area (including soil sampling and monitoring well locations)
- distribution and magnitude of COPC and COC in release areas
- migration routes and mechanisms, and
- fate and transport modeling results, if appropriate.

As with the other profiles, the release profile will be developed over time as information is obtained. At the beginning of the CAS, the release profile may consist of the potential source locations, but at the completion of the CAS, it should contain site-specific information on release characteristics. The contaminant migration and fate and transport aspects of the release profile should be integrated with the geologic and hydrogeologic information developed for the physical profile; this information can also aid in the development of the performance monitoring for risk management activities implemented under the CAS.

### **2.5 Ecological Profile**

The ecological profile consists of information concerning the physical relationship between the developed and undeveloped portions of the site, the use and level of disturbance of the undeveloped property, and the type of ecological receptors present in relation to completed exposure pathways. The following information should be included in the ecological exposure profile (some of this information already may be available from other CSM profiles):

## February 2015 CAS Appendix A

- description of the developed property on the site, including but not limited to, structures, process areas, waste management units, property boundaries, and historical uses (reference to a facility map)
- description of the undeveloped property on the site, including but not limited to, sensitive environmental areas (Federal or state parks or protected areas) habitat type (wetland, grassy area, forested, pond, stream, etc.), primary use, degree and nature of disturbance, ornamental areas, drainage ditches, creeks, and landfill areas (reference to a facility map)
- description of site receptors in relation to habitat type, including but not limited to, endangered or protected species, mammals, birds, fish, etc.
- description of the relationship of releases to potential habitat areas, contaminants of potential concern present or suspected, media contaminated, sampling data summary, potential or likely routes of migration or exposure of potential receptors, etc.

The information captured in the ecological profile will be critical in completing the Ecological Exclusion Criteria Worksheet and Ecological Assessment Checklist (Appendix B). The exclusion worksheet was developed to help facilities and the administrative authority identify incomplete or insignificant exposure pathways that exist at the affected property, thus potentially eliminating the need for a formal Ecological Risk Assessment.

### 2.6 Risk Management Profile

The risk management profile is used to illustrate the relationship between releases and risks. It illustrates how the release-risk relationship can be altered by implementing risk management activities. The risk management profile can include:

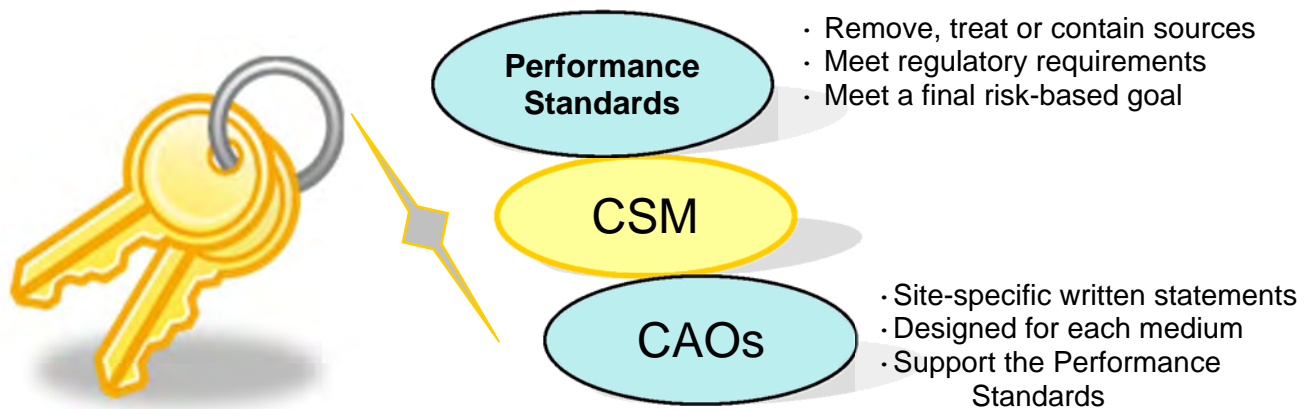
- a summary of risks
- the impact of a risk management activity on release and exposure characteristics
- performance monitoring locations and media, and
- contingency plans in the event performance monitoring criteria is exceeded.

The risk management profile will represent the risk of the selected risk management activity(ies). This profile is the basis for determining appropriate performance monitoring locations and establishing contingency plans to ensure

protectiveness. During the development of the preliminary CSM, the profile may serve as a placeholder. As the facility progresses through the CAS, the information contained in the risk management profile will be augmented and refined and will ultimately demonstrate how facility risk will be managed in the Risk Management Plan (RMP).

### **Section 3.0 Using the Preliminary CSM to determine Performance Standards**

Using the CSM enhances focused data collection, thus saving time and money during field activities. Instead of determining the nature and extent of releases without consideration of the end use of the data, investigations are streamlined with DQOs which clearly define the needed outcome. The performance standards give a broad general direction for cleanup activities. Site and source area characteristics must be evaluated in order to determine if sources can be removed, or if the best option is treatment (in-situ or ex-situ) or containment. **Figure A-2** illustrates the key elements of the CAS used for successful remedy selection.



**Figure A-2 Keys to Successful Remedy Selection**

A preliminary CSM is also used to document the groundwater classification, which can direct the selection of performance standards. For instances where groundwater is not a current or potential future drinking water source, or in instances in which restoration is not practical, the expectation is that human health and the environment must be protected at the point of exposure (POE). If a state does not consider groundwater beneath a facility to be a current or potential future drinking water source, the POE may be placed at the facility boundary. (See **Figures A-3 through A-5.**) Protection of groundwater and receptors, both ecological and human, would occur at the new POE. In all cases, decisions on attainment of source control through removal, treatment or containment is paramount and will precede the development of final CAOs.

**Section 4.0 Using the Systematic Planning Process for Field Investigations – to complete the CSM**

Once the project manager selects appropriate performance standards for a facility, they are proposed at the scoping meeting. The project manager will then want to use the systematic planning approach to ensure focused data collection to achieve the objectives of the data end use. Using this approach will enhance the data collection design to develop the SAP/QAPP needed for the CAS workplan.

**First Define the End Use of Data Collection**

Systematic Planning = Data Quality Objectives (DQOs)

Systematic planning has been described as the thread that connects all performance-based tools, *i.e.*, the CSM, the CAS workplan and CAOs. Additional information on the systematic planning process and use of DQOs can be found at the following EPA web site: <http://www.epa.gov/QUALITY/dqos.html>. The CAS supports the use of the Triad approach of using the systematic planning process (use of DQOs) and real-time measurement technologies as developed in *dynamic work plans*. The CAS workplan can be written as a dynamic workplan to further streamline data collection. The overall CAS workplan objective is to fill in data gaps identified in the preliminary CSM – with the goal of attaining the most complete CSM for making sound remedy decisions. ITRC developed a guidance document on the use of the Triad approach, “Technical and Regulatory Guidance for the Triad Approach: A New Paradigm for Environmental Project Management”. December 2003. This guidance document has also been supplemented with the following ITRC guide: “Triad Implementation Guide”. May 2007.

<http://www.itrcweb.org/Documents/SCM-3.pdf>

**Section 5.0 CAOs to Support the Performance Standards**

Once the CSM is complete (all known data gaps resolved), the project manager is ready to propose site-specific corrective action objectives for the final remedy to attain. ITRC documents such as “Exit Strategy – Seeing the Forest Beyond the Trees” ( March 2006) <http://www.itrcweb.org/Documents/RPO-3.pdf> use the term ‘remedial action objectives’ (RAOs) in lieu of CAOs. The CAS considers the terms equivalent.

CAOs will be media-specific, and they will define the “endpoints” for corrective action at the site. As stated earlier, the selected performance standards will address source control through removal, treatment or containment (or a combination). For supporting CAOs, it will be necessary to finalize site-specific and appropriate points of exposure

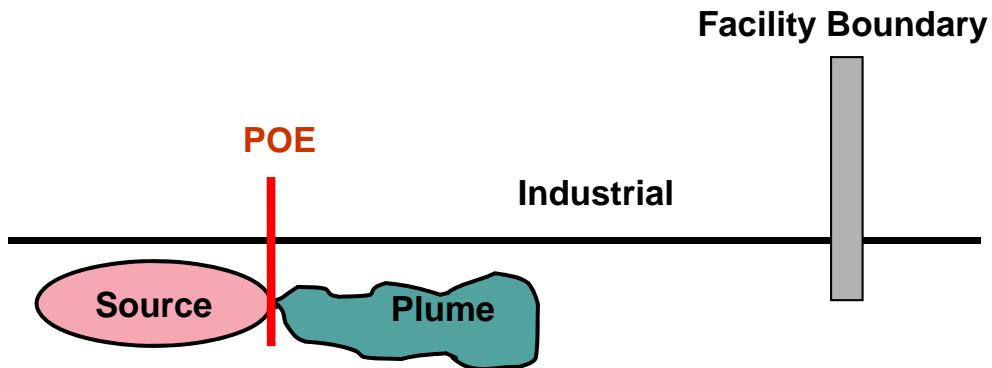
(POE). In the CAS, we consider the POE to be the same as the point of compliance (POE = POC). Performance metrics to measure the success of the selected remedy will be the cleanup values to attain at the POE.

To assist in making determinations for the POE, the CAS has developed four scenarios including land use and groundwater classification. **Figure A-3** illustrates a case where groundwater is currently used for primary drinking water, therefore the POE is at the source boundary. In **Figure A-4** and **Figure A-5** groundwater is a beneficial resource, but not a primary drinking water source. In **Figure A-4** the POE is determined to be at the facility boundary, land use is industrial and offsite land use beyond the facility boundary is residential. **Figure A-5** illustrates a case where a POE is determined to be inside the facility boundary where on-site undeveloped property is classified as residential. The only case where the POC is not the POE is for RCRA regulated units operating under a permitted detection monitoring program or compliance monitoring program. In this case the POC is at the edge of the waste management area.

CAOs must include monitoring of performance metrics (or final cleanup numbers). During Performance Reviews of the final remedy, the facility will report on how well the implemented technology is attaining the performance metrics in the CAOs. With the performance-based approach to remedy implementation, the emphasis is on attaining the CAOs, and monitoring and measuring whether a risk management activity is achieving the goal (see Chapter 6). The administrative authority determines the frequency of the Performance Reviews, depending on the complexity of the groundwater contamination, hydrogeology and proximity to receptors.

Figure A-3

# POE at Source Boundary...



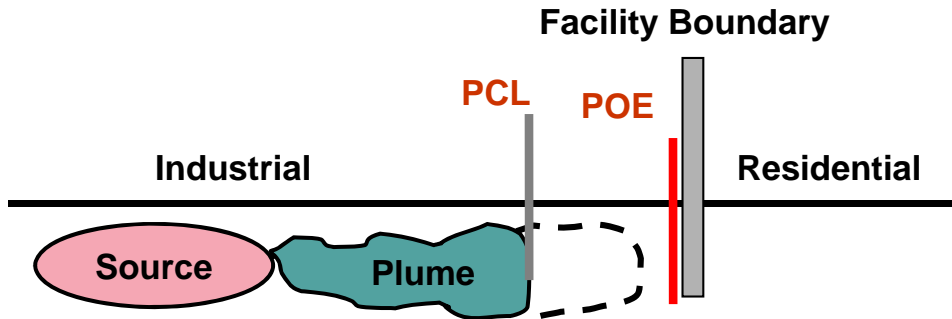
- Groundwater is a primary drinking water source

### CAOs:

- Treat/remove sources
- Meet MCLs throughout the plume

Figure A-4

# POE at Facility Boundary...



- Groundwater is a beneficial resource, but not a primary drinking water source

## CAOs:

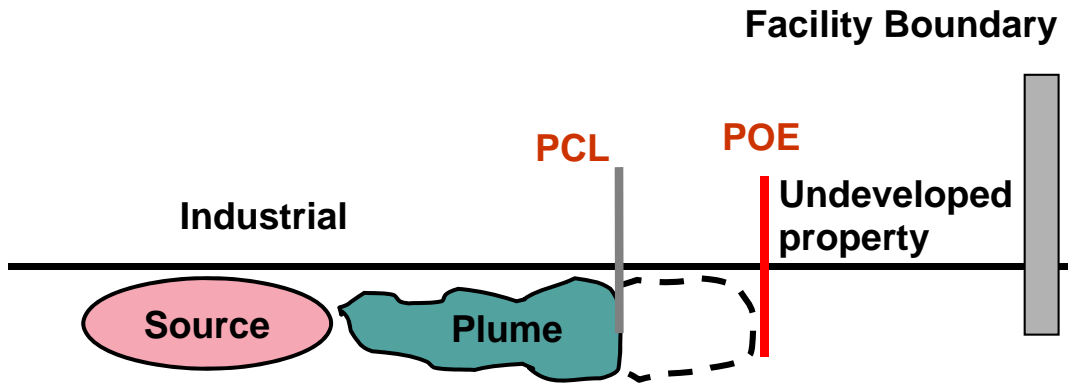
- Treat/remove/contain sources
- Meet MCLs at the facility boundary (POE)
- Meet PCL at edge of plume to show that the plume is stable or shrinking

Where the POE is designated at the facility boundary as in **Figure A-4**, the administrative authority may choose to manage the further migration of the groundwater plume by designating a protective concentration level (PCL) to maintain at the edge of the plume. The new PCL must be derived from calculations that support the attainment of MCLs at the facility boundary.



Figure A-5

# POE inside Facility Boundary...



- Groundwater is a beneficial resource, but not a primary drinking water source
- POE can be at the extent of the “industrial use” institutional control (IC)

### CAOs:

- Treat/remove/contain sources
- Meet MCLs at the POE
- Meet PCL at edge of plume to show that the plume is stable or shrinking

Some examples of site-specific corrective action objectives and the performance standards they support are provided in the boxes below.

**Example 1 scenario: Four defined plumes of DNAPL in groundwater that is not a drinking water source**

***Performance Standard:*** Where complete restoration of groundwater is not practical given the nature of contaminants of concern, the value and vulnerability of the groundwater, and the state's determination of the beneficial resource of the aquifer, the performance standard for groundwater at this release site is to conduct source removal to the extent practicable, and contain COCs within a defined groundwater management area or plume management zone.

***Corrective Action Objective 1:*** The facility must remove source material in subsurface soils that could subsequently migrate to groundwater, and attain a subsurface soil cleanup goal protective of groundwater for the COCs.

***Corrective Action Objective 2:*** The facility must contain COCs such that the existing plumes do not increase in size. Groundwater management units (GWMUs) delineated by sentinel monitoring wells will serve as risk-based compliance wells. Statistical analysis of sentinel monitoring well data must demonstrate that each groundwater plume delineated is shrinking or stable.

***Corrective Action Objective 3:*** The POE is the facility boundary, at which COCs must meet MCLs. (Downgradient compliance wells on the facility boundary must show that MCLs are not exceeded.) If the facility is successful in eliminating the human health exposure pathway (including vapor intrusion) for offsite properties through controls on groundwater use, as agreed by property owners and memorialized in the form of Institutional Controls (ICs), the POE can be moved to the boundary of the area under control.

To achieve this performance standard, and meet the clearly defined CAOs, the administrative authority can require the facility to continue interim measure pump and treat technology (with improvements through an optimization program), remove source material within the delineated source zone, or implement a pilot project to test an appropriate insitu treatment technology in a defined source area to decrease COC concentrations. Periodic Performance Reviews will indicate if CAOs are met and maintained.

**Example 2 scenario: Extensive DNAPL contamination in drinking water aquifer**

**Performance Standard:** Where groundwater is a drinking water source, the groundwater will be restored to its beneficial resource to drinking water quality standards throughout the plume through continuous source removal and pump and treat technology.

***Corrective Action Objective 1:*** Continuously optimize corrective measure systems to decrease the COC concentrations throughout the plume until drinking water standards (MCLs) are obtained.

***Corrective Action Objective 2:*** Control, to the extent practicable, the migration of COCs from source DNAPL areas to groundwater.

***Corrective Action Objective 3:*** Prevent, to the extent practicable, the lateral migration of COCs in groundwater into the surface water bodies at levels that would cause sediment or surface water to pose an unacceptable risk.

***Corrective Action Objective 4:*** Prevent human exposure to groundwater containing COCs at concentrations that exceed the relevant groundwater standards for both water-bearing zones in the Aquifer system.

***Corrective Action Objective 5:*** Control and monitor on-site worker dermal contact with, or ingestion of, COCs in shallow groundwater in accordance with applicable state/OSHA requirements.

In this example the facility and administrative authority have explicit CAOs to meet while trying to attain the long-term performance standard of cleaning up the aquifer to MCLs throughout the plume. Throughout the cleanup process the CAOs are enforceable conditions of the RCRA permit.

**APPENDIX B**

**ECOLOGICAL EXCLUSION SCREENING**

**ECOLOGICAL EXCLUSION CRITERIA WORKSHEET  
AND  
ECOLOGICAL ASSESSMENT CHECKLIST**

## **Ecological Screening**

### Introduction

Region 6 is providing an Ecological Exclusion Criteria Worksheet and Ecological Assessment Checklist to help facilities and regulators determine whether or not further ecological evaluation is necessary at an affected property where corrective action is being pursued. Chapter 2 of the CAS provides additional information on the Ecological Screening process.

Ecological screening under the CAS is a relatively simple process. It involves; 1) collecting general information about the facility, its operation, physical site characteristics, ecological habitats and receptors utilizing the Ecological Exclusion Criteria Worksheet and determining if incomplete or insignificant exposure pathways exist at the affected property that eliminate the need for further ecological evaluation, and 2) if an area cannot be excluded from further evaluation, collecting more detailed information about ecological areas utilizing the Ecological Assessment Checklist to assist in further ecological risk evaluations.

If the affected property meets the exclusion criteria, then the facility should document the site conditions and justification for how the criteria have been met within the risk evaluation report. Upon review and approval of the exclusion by the administrative authority, the facility will not be required to conduct any further evaluation of ecological risk.

If the affected property does not meet the exclusion criteria, then further evaluation is warranted and the facility should address the conduct of additional activities (screening level or detailed risk assessment, interim measures) within the risk management plan. Additional ecological risk screening/assessment should be conducted following EPAs *Risk Assessment Guidance for Superfund: Process for Designing and Conducting Ecological Risk Assessments* dated June 5, 1997 and *Guidelines for Ecological Risk Assessment (EPA/630/R-95/002F)* dated April 1998 or a state approved guidance for ecological risk evaluation. Natural Resources Trustees should also be notified to see if they choose to participate, in order to ensure that natural resources under their jurisdiction are adequately protected.

Additional references and sources of information to aid further ecological assessment follows:

- U.S. EPA. 1999. *Ecological Risk Assessment and Risk Management Principles for Superfund Sites*, Final. OSWER Directive 9285.7-28 P. <http://www.epa.gov/superfund/programs/risk/ecorisk/final99.pdf>
- U.S. EPA. 1999. *ECOTOX Version 2.0*. Office of Research and Development, National; Health and Environmental Effects Lab, Mid-Continent Ecology Division. <http://www.epa.gov/ecotox>
- U.S. EPA. 1998. *Guidelines for Ecological Risk Assessment*, Final. EPA/630/R-95/002F. <http://www.epa.gov/ncea/ecorsk.htm>
- U. S. EPA. 1997. *Ecological Risk Assessment Guidance for Superfund, Process for Designing and Conducting Ecological Risk Assessments*, Interim Final. EPA 540-R-97-006, OSWER Directive # 9285.7-25.

- <http://www.epa.gov/superfund/programs/risk/ecorisk/ecorisk.htm>
- U.S. EPA. 1996. *ECOTOX Thresholds*. ECO Update, Interim Bulletin, Volume 3, Number 2. Washington, D.C. Office of Emergency and Remedial Response, Hazardous Site Evaluation Division; Publication 9345.0-12Fsi EPA/540/F-95/038; NTIS PB95-963324.
  - U.S. EPA. 1996. *Ecological Significance and Selection of Candidate Assessment Endpoints*. ECO Update, Interim Bulletin, Volume 3, Number 1. Washington, D.C. Office of Emergency and Remedial Response, Hazardous Site Evaluation Division; Publication 9345.0-11Fsi; EPA/540/F-95/037; NTIS PB95-963323.
  - U.S. EPA. 1994. *Selecting and Using Reference Information in Superfund Risk Assessments*. ECO Update, Interim Bulletin, Volume 2, Number 4. Washington, D.C. Office of Emergency and Remedial Response, Hazardous Site Evaluation Division; Publication 9345.10; EPA/540/F-94/050; NTIS PB94-963319.
  - U.S. EPA. 1994. *Field Studies for Ecological Risk Assessment*. ECO Update, Interim Bulletin, Volume 2, Number 3. Washington, D.C. Office of Emergency and Remedial Response, Hazardous Site Evaluation Division; Publication 9345.05I; EPA/540/F-94/014; NTIS PB94-963305.
  - U.S. EPA. 1994. *Catalogue of Standard Toxicity Tests for Ecological Risk Assessment*. ECO Update, Interim Bulletin, Volume 2, Number 2. Washington, D.C. Office of Emergency and Remedial Response, Hazardous Site Evaluation Division; Publication 93450-05I; EPA/540/F-94/013; NTIS PB94-963304.
  - U.S. EPA. 1994. *Using Toxicity Tests in Ecological Risk Assessment*. ECO Update, Interim Bulletin, Volume 2, Number 1. Washington, D.C. Office of Emergency and Remedial Response, Hazardous Site Evaluation Division; Publication 9345.05I; EPA/540/F-94/012; NTIS PB94-963303.
  - U.S. EPA. 1992. *Briefing the BTAG: Initial Description of Setting, History and Ecology of a Site*. ECO Update, Interim Bulletin, Volume 1, Number 5. Washington, D.C. Office of Emergency and Remedial Response, Hazardous Site Evaluation Division; Publication 9345.0-05I.
  - U.S. EPA. 1992. *Developing a Work Scope for Ecological Assessments*. ECO Update, Interim Bulletin, Volume 1, Number 4. Washington, D.C. Office of Emergency and Remedial Response, Hazardous Site Evaluation Division; Publication 9345.0-05I.
  - U.S. EPA. 1992. *The Role of the Natural Resource Trustees in the Superfund Process*. ECO Update, Interim Bulletin, Volume 1, Number 3. Washington, D.C. Office of Emergency and Remedial Response, Hazardous Site Evaluation Division; Publication 9345.0-05I.
  - U.S. EPA. 1991. *Ecological Assessment of Superfund Sites: An Overview*. ECO Update, Interim Bulletin, Volume 1, Number 2. Washington, D.C. Office of Emergency and Remedial Response, Hazardous Site Evaluation Division; Publication 9345-0-05I.
  - U.S. EPA. 1991. *The Role of BTAGs in Ecological Assessment*. ECO Update, Interim Bulletin, Volume 1, Number 1. Washington, D.C. Office of Emergency and Remedial Response, Hazardous Site Evaluation Division; Publication 9345-0-05I.

**ECOLOGICAL EXCLUSION CRITERIA WORKSHEET**

The Exclusion Criteria Worksheet is intended to aid facilities and regulators in determining whether or not further ecological evaluation is necessary at an affected property where a response action is being pursued utilizing the CAS. Exclusion criteria refer to those conditions at an affected property which preclude the need for a formal ecological risk assessment (ERA) because there are incomplete or insignificant ecological exposure pathways due to the nature of the affected property setting and/or the condition of the affected property media. The person completing the worksheet should be familiar with the affected property but need not be a professional scientist in order to respond, although some questions will likely require contacting a wildlife management agency (U.S. Fish and Wildlife Service, etc.). The worksheet is designed for general applicability to all affected property; however, there may be unusual circumstances which require professional judgement in order to determine the need for further ecological evaluation (e.g., cave-dwelling receptors). In these cases, it is strongly encouraged to contact your state regulatory agency for additional guidance before proceeding.

The worksheet consists of three major parts. Part 1, identification of the affected property and background information, Part 2, the actual exclusion criteria and supportive information, and Part 3, a qualitative summary statement and certification of the information submitted. Answers to the worksheet should reflect existing conditions and should not consider future remedial actions at the affected property. Completion of the worksheet should lead to a logical conclusion as to whether further ecological evaluation is warranted. Definitions of terms used in the worksheet are provided and users are encouraged to review these definitions before completing the worksheet.

The Exclusion Worksheet has been adapted from and follows the Texas Natural Resources Conservation Commission (TNRCC) Texas Risk Reduction Program (TRRP) Tier 1 Checklist. TNRCC has developed some additional information regarding the use of their Tier 1 Checklist which should also be consulted in completing the CAS Ecological Exclusion Criteria Worksheet. This information can be found in Chapter 2 of TNRCC's Guidance for Conducting Ecological Risk Assessments at Remediation Sites in Texas, Draft Final, August 2000; [http://www.tnrcc.state.tx.us/permitting/remed/techsupp/erag8\\_00.pdf](http://www.tnrcc.state.tx.us/permitting/remed/techsupp/erag8_00.pdf)

**Part 1. Affected Property Identification and Background Information**

- 1) Provide a description of the specific area of the response action and the nature of the release. Include estimated acreage of the affected property and the facility property, and a description of the type of facility and/or operation associated with the affected property. Also describe the location of the affected property with respect to the facility property boundaries and public roadways.

---

---

---

Attach available USGS topographic maps and/or aerial or other affected property photographs to this form to depict the affected property and surrounding area.

\_\_\_ Topo map                      \_\_\_ Aerial photo                      \_\_\_ Other \_\_\_\_\_

2) Identify the environmental media known or suspected to contain chemicals of concern (COCs) at the present time. Check all that apply:

<u>Known/Suspected COC Location</u>	<u>Based on sampling data?</u>	
___ Soil ≤ 5 ft below ground surface	___ Yes	___ No
___ Soil > 5 ft below ground surface	___ Yes	___ No
___ Groundwater	___ Yes	___ No
___ Surface Water/Sediments	___ Yes	___ No

Explain (previously collected information may be referenced):

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

3) Provide the information below for the nearest surface water body which has become or has the potential to become impacted from migrating COCs via surface water runoff, air deposition, groundwater seepage, etc.

Exclude: wastewater treatment facilities and stormwater conveyances/impoundments authorized by permit.

Also exclude: conveyances, decorative ponds, and those portions of the process facilities which are:

- a. Not in contact with surface waters of the State or other surface waters which are ultimately in contact with surface waters of the State; and
- b. Not consistently or routinely utilized as valuable habitat for natural communities including birds, mammals, reptiles, etc.

The nearest surface water body is \_\_\_\_\_ feet/miles from the affected property.

The surface water body is named \_\_\_\_\_

The surface water body is best described as a:

\_\_\_ Freshwater stream:                  \_\_\_ perennial (has water year round)  
    \_\_\_ intermittent (dries up completely for at least one week per year)  
    \_\_\_ intermittent with perennial pools

\_\_\_ Freshwater swamp/marsh/wetland



- Saltwater or brackish swamp/marsh/wetland
- Reservoir, lake or pond; approximate surface acres \_\_\_\_\_
- Drainage ditch
- Tidal stream
- Other (specify) \_\_\_\_\_

Is the water body listed as a State classified segment?

- Yes Segment # \_\_\_\_\_ Use classification: \_\_\_\_\_
- No

If the water body is not a State classified segment, identify the first downstream classified segment.

Name: \_\_\_\_\_

Segment #: \_\_\_\_\_

Use classification \_\_\_\_\_

As necessary, provide further description of surface waters in the vicinity of the affected property:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Part 2. Exclusion Criteria and Supportive Information**

**Subpart A. Surface Water/Sediment Exposure**

- 1) Regarding the affected property where a response action is being pursued, have COCs migrated and resulted in a release or imminent threat of release to either surface waters or to their associated sediments via surface water runoff, air deposition, groundwater seepage, etc.

Exclude: wastewater treatment facilities and stormwater conveyances/impoundments authorized by permit.

Also exclude: conveyances, decorative ponds, and those portions of the process facilities which are:

- a. Not in contact with surface waters of the State or other surface waters which are ultimately in contact with surface waters of the State; and
- b. Not consistently or routinely utilized as valuable habitat for natural communities including birds, mammals, reptiles, etc.

- Yes       No

Explain: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**If the answer is Yes to Subpart A above, the affected property does not meet the exclusion criteria.** (However, complete the remainder of Part 2, to determine if there is a complete and/or significant soil exposure pathway, then complete Part 3, Qualitative Summary and Certification).

**If the answer is No to Subpart A above, go to Subpart B.**

**Subpart B. Affected Property Setting**

In answering Yes to the following question, it is understood that the affected property is not attractive to wildlife or livestock, including threatened or endangered species (i.e., the affected property does not serve as valuable habitat, foraging area, or refuge for ecological communities). May require consultation with management agencies.

- 1). Is the affected property wholly contained within contiguous land characterized by: pavement, buildings, landscaped area, functioning cap, roadways, equipment storage area, manufacturing or process area, or other surface cover or structure, or otherwise disturbed ground?  
 Yes                       No

Explain: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**If the answer is Yes to Subpart B above, the affected property meets the exclusion criteria, assuming the answer to Subpart A was No.** (Skip Subparts C and D and complete Part 3, Qualitative Summary and Certification).

**If the answer is No to Subpart B above, go to Subpart C.**

**Subpart C. Soil Exposure**

- 1) Are COCs which are in the soil if the affected property solely below the first 5 feet beneath ground surface or does the affected property have a physical barrier present to prevent exposure to receptors to COCs in the surface soil?  
 Yes                       No

Explain: \_\_\_\_\_

---

---

**If the answer is Yes to Subpart C above, the affected property meets the exclusion criteria, assuming the answer to Subpart A was No.** (Skip Subpart D and complete Part 3, Qualitative Summary and Certification).

**If the answer is No to Subpart C above, go to Subpart D.**

**Subpart D. DeMinimus Land Area**

In answering Yes to the question below, it is understood that all of the follow conditions apply:

- The affected property is not known to serve as habitat, foraging area, or refuge to threatened/endangered or otherwise protected species. (Will likely require consultation with wildlife management agencies).
  - Similar but unimpacted habitat exists within a half-mile radius.
  - The affected property is not know to be located within one-quarter mile of sensitive environmental areas (e.g., rookeries, wildlife management areas, preserves). (Will likely require consultation with wildlife management agencies).
  - There is no reason to suspect that the COCs associated with the affected property will migrate such that the affected property will become larger than one acre.
- Using human health protective concentration levels as a basis to determine the extent of the COCs, does the affected property consist of one acre or less and does it meet all the conditions described above?

\_\_\_\_\_ Yes                      \_\_\_\_\_ No

Explain how the conditions are/are not met: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**If the answer is Yes to Subpart D, then no further ecological evaluation is needed at the affected property, assuming the answer to Subpart A was No.** (Complete Part 3, Qualitative Summary and Certification).

**If the answer is No to Subpart D, Proceed to an Ecological Risk Evaluation.**

**Part 3. Qualitative Summary and Certification (Complete in all cases)**

Attach a brief statement (1 page or less) summarizing the information you have provided in this form. This summary should include sufficient information to verify that the affected property meets or does not meet

the exclusion criteria. The facility should make the initial decision regarding the need to conduct further ecological evaluation based on the results of this worksheet. However, the State will make a final determination on the need for further ecological assessment.

**Note : the facility has the continuing obligation to re-enter the ERA process if changing circumstances result in the affected property not meeting the exclusion criteria requirements presented in this worksheet.**

Completed by: \_\_\_\_\_ (Typed Name)  
\_\_\_\_\_ (Title)  
\_\_\_\_\_ (Date)

I believe that the information submitted is true, accurate, and complete, to the best of my knowledge.

\_\_\_\_\_ (Typed Name of Person)  
\_\_\_\_\_ (Title of Person)  
\_\_\_\_\_ (Signature of Person)  
\_\_\_\_\_ (Date Signed)

**Definitions** (applicable to Exclusion Worksheet)

**Affected property** - The entire area (i.e., on-site and off-site; including all environmental media) which contains releases of chemicals of concern at concentrations equal to or greater than the assessment level applicable for the land use (i.e., residential or commercial/industrial) and groundwater classification.

**Assessment level** - a critical protective concentration level for a chemical of concern used for affected property assessments where the human health protective concentration level is established by State regulation or guidance .

**Bedrock** - the solid rock (i.e., consolidated, coherent, and relatively hard naturally formed material that cannot normally be excavated by manual methods alone) that underlies gravel, soil, or other surficial material.

**Chemicals of concern** - any chemical that has the potential to adversely affect ecological or human receptors due to its concentration, distribution, and mode of toxicity.

**Community** - an assemblage of plant and animal populations occupying the same habitat in which the various species interact via spatial and trophic relationships (e.g., a desert community or a pond community).

**Complete exposure pathway** - an exposure pathway where a human or ecological receptor is exposed to a chemical of concern via an exposure route (e.g., incidental soil ingestion, inhalation of volatiles and particulates, consumption of prey, etc).

**De Minimus** - the description of an area of affected property comprised of one acre or less where the ecological risk is considered to be insignificant because the small extent of contamination, the absence of protected species, the availability of similar unimpacted habitat nearby, and the lack of adjacent sensitive environmental areas.

**Ecological protective concentration level** - the concentration of a chemical of concern at the point of exposure within an exposure medium (e.g., soil, sediment, groundwater, or surface water) which is determined to be protective for ecological receptors. These concentration levels are intended to be protective for more mobile or wide-ranging ecological receptors and, where appropriate benthic invertebrate communities within waters of the State. These concentration levels are not intended to be directly protective of receptors with limited mobility or ranges (e.g., plants, soil invertebrates, and small rodents), particularly those residing within active areas of a facility, unless these receptors are threatened/endangered species or unless impacts to these receptors result in disruption of the ecosystem or other unacceptable consequences for the more mobile or wide-ranging receptors (e.g., impacts to an off-site grassland habitat eliminate rodents which causes a desirable owl population to leave the area).

**Ecological risk assessment** - a process that evaluates the likelihood that adverse ecological effects may occur or are occurring as a result of exposure to one or more stressors; however, as used in this context, only chemical stressors (i.e., COCs) are evaluated.

**Environmental medium** - a material found in the natural environment such as soil, (including non-waste fill materials), groundwater, air, surface water, and sediments, or a mixture of such materials with liquids, sludges, gasses or solids, including hazardous waste which is inseparable by simple mechanical removal processes, and is made up of primarily of natural environmental material.

**Exclusion criteria** - those conditions at an affected property which preclude the need to establish a protective concentration level for an ecological exposure pathway because the exposure pathway between the chemical of concern and the ecological receptors is not complete or is insignificant.

**Exposure medium** - the environmental medium or biological tissue in which or by which exposure to chemicals of concern by human or ecological receptors occurs.

**Facility** - the installation associated with the affected property where the release of chemicals of concern have occurred.

**Functioning cap** - a low permeability layer or other approved cover meeting its design specifications to minimize water infiltration and chemical of concern migration, and prevent ecological or human receptor exposure to chemical of concern, where design requirements are routinely maintained.

**Landscaped area** - an area of ornamental, or introduced, or commercially installed, or manicured vegetation, which is routinely maintained.

**Off-site property** - all environmental media which is outside the legal boundaries of the on-site property.

**On-site property** - all environmental media within the legal boundaries of a property that has become

subject to corrective action, either through voluntary action, permit or order.

**Physical barrier** - any structure or system, natural or manmade, that prevents exposure or prevents physical migration of chemicals of concern to points of exposure.

**Point of exposure** - the location within an environmental medium where a receptor will be assumed to have a reasonable potential to come into contact with chemicals of concern. The point of exposure may be a discrete point, plane, or an area within or beyond some location.

**Protective concentration level** - the concentration of a chemical of concern which can remain within the source medium and not result in levels which exceed the applicable human health risk based exposure limit considering cumulative risk and hazard index for both carcinogenic and non-carcinogenic effects respectively, or ecological protective concentration level at the point of exposure for that exposure pathway.

**Release** - any spilling, leaking, pumping, pouring, emitting, emptying, discharging, injecting, escaping, leaching, dumping, or disposing into the environment, with the exception of:

- a release that results in an exposure to a person solely within a workplace, concerning a claim that the person may assert against the persons employer;
- an emission from the engine exhaust of a motor vehicle, rolling stock, aircraft, vessel, pipeline pumping station engine;
- a release of source, by product, or special nuclear material a nuclear incident, as those terms identified by the Atomic Energy Act of 1954, as amended (42 USC 2201 et. seq.); if the release area is subject to requirements concerning financial protection established by the Nuclear Regulatory Commission under Section 170 of that Act;
- for the purpose of the environmental response law Section 104, as amended, or other response action, release of source, by-product, or special nuclear material from a processing site designated under Section 102(a)(1) for Section 302(a) of the Uranium Mill Tailings Radiation Control Act of 1978 (42 USC Section 7912 and Section 7942) as amended; and
- the normal application of fertilizer.

**Sediment** - non-suspended particulate material lying below surface waters such as bays, the ocean, rivers, streams, lakes, ponds, or other similar surface water body (including intermittent streams). Dredged sediments which have been removed from surface water bodies and placed on land shall be considered soils.

**Sensitive environmental areas** - areas that provide unique and often protected habitat for wildlife species. These areas are typically used during critical life stages such as breeding, hatching, rearing of young, and overwintering. Examples include; critical habitat for threatened and endangered species, wilderness areas, parks and wildlife refuges.

**Source medium** - an environmental medium containing chemicals of concern which must be removed, decontaminated and/or controlled in order to protect human health and the environment. The source medium may be the exposure medium for some exposure pathways.

**Stressor** - any physical, chemical, or biological entity that can induce an adverse response; however, as used in this context, only chemical entities apply.

**Subsurface soil** - for human health exposure pathways, the portion of the soil zone between the base of the surface soil and the top of the groundwater-bearing unit(s). For ecological exposure pathways, the portion of the soil zone between 0.5 feet and 5 feet in depth.

**Surface cover** - a layer of artificially placed utility material (e.g., shell, gravel).

**Surface soil** - for human health exposure pathways, the soil zone extending from ground surface to 15 feet in depth for residential land use and from ground surface to 5 feet in depth for commercial/industrial land use; or to the top of the uppermost groundwater-bearing unit or bedrock, whichever is less in depth. For ecological exposure pathways, the soil zone extending from ground surface to 0.5 feet in depth.

**Surface water** - any water meeting the definition of surface water as defined by the authorized State.

**ECOLOGICAL ASSESSMENT CHECKLIST**

The evaluation associated with the checklist is intended to be a screening-level survey of the developed and undeveloped/ecological portions of the site. The checklist is patterned after ERAGS Appendix A - Checklist for Ecological Assessment/Sampling, June 1997 and consists of five major sections: 1 - Site Description, 2 - Terrestrial Habitat Checklist, 3 - Aquatic Habitat Checklist (non-flowing systems), 4 - Aquatic Habitat Checklist (flowing systems), and 5 - Wetlands Habitat Checklist. Answers to the checklist should reflect existing conditions and should not consider future remedial actions at the site.

In general, the checklist is designed for applicability to all sites, however, there may be unusual circumstances which require professional judgement in order to determine the need for further ecological evaluation. Sources and general information available for the identification of ecological receptors and habitats may include: the U.S. Fish and Wildlife Service (<http://www.fws.gov>), State Game and Fish Conservation Services, United States Geological Service (USGS), National Wetland Inventory Maps (<http://nwi.fws.gov>) National Audubon Society, National Biological Survey, national and local wildlife clubs, National and State Heritage Programs, State and National Parks System, and tribal organizations.

**Section 1. Site Description**

1. Site Name: \_\_\_\_\_  
Location: \_\_\_\_\_  
\_\_\_\_\_  
County/Parish: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_  
Type of Facility: \_\_\_\_\_

2. Latitude: \_\_\_\_\_ Longitude: \_\_\_\_\_

3. What is the approximate area of the site? \_\_\_\_\_

4. Is this the first site visit? Yes \_\_\_\_ No \_\_\_\_ . If no, attach trip report of previous site visit(s), if available. Date(s) of previous site visit(s): \_\_\_\_\_

5. Please attach to the checklist USGS topographic map(s) of the site, if available.

6. Are aerial or other site photographs available? Yes \_\_\_\_ No \_\_\_\_ . If yes, please attach any available photo(s) to the site map at the conclusion of this section.

7. The land use on the site is:	The area surrounding the site is:
_____ % Urban	_____ mile radius
_____ % Rural	_____ % Urban
_____ % Residential	_____ % Rural
_____ % Industrial __ light __ heavy	_____ % Residential
_____ % Agriculture	_____ % Industrial __ light __ heavy
(Crops: _____)	_____ % Agriculture
_____ % Recreational	(Crops: _____)
(Describe; note if it is a park, etc.)	_____ % Recreational
_____	(Describe; note if it is a park, etc.)
_____	_____
_____ % Undisturbed	_____ % Undisturbed
_____ % Other	_____ % Other

8. Has any movement of soil taken place at the site? Yes \_\_\_\_ No \_\_\_\_ . If yes, please identify the most likely cause of this disturbance:

_____ Agricultural Use	_____ Heavy Equipment	_____ Mining
_____ Natural Events	_____ Erosion	_____ Other

Please describe: \_\_\_\_\_  
\_\_\_\_\_

9. Do any potentially sensitive environmental areas exist adjacent to or in proximity to the site, e.g., Federal and State parks, National and State Monuments, wetlands, prairie potholes? *Remember, flood plains and wetlands are not always obvious; do not answer "no" without confirming information.*

\_\_\_\_\_

10. What type of facility is located at the site?  
\_\_\_\_\_ Chemical \_\_\_\_\_ Manufacturing \_\_\_\_\_ Mixing \_\_\_\_\_ Waste Disposal  
\_\_\_\_\_ Other (specify) \_\_\_\_\_



11. What are the suspected contaminants of concern at the site? If known, what are their maximum concentration levels? \_\_\_\_\_  
\_\_\_\_\_

12. Check any potential routes of off-site migration of contaminants observed at the site:  
\_\_\_\_ Swales                      \_\_\_\_ Depressions                      \_\_\_\_ Drainage ditches  
\_\_\_\_ Runoff                      \_\_\_\_ Windblown particulate                      \_\_\_\_ Vehicular traffic  
\_\_\_\_ Other (specify) \_\_\_\_\_

13. If known, what is the approximate depth to the water table? \_\_\_\_\_

14. Is the direction of surface runoff apparent from site observations? Yes \_\_\_\_ No \_\_\_\_ . If yes, to which of the following does the surface runoff discharge? Indicate all that apply.  
\_\_\_\_ Surface water    \_\_\_\_ Groundwater    \_\_\_\_ Sewer    \_\_\_\_ Collection impoundment

15. Is there a navigable waterbody or tributary to a navigable waterbody? Yes \_\_\_\_ No \_\_\_\_ .  
\_\_\_\_\_

16. Is there a waterbody anywhere on or in the vicinity of the site? If yes, also complete Section 3: Aquatic Habitat Checklist - non-flowing systems and /or Section 4: Aquatic Habitat Checklist - flowing systems.  
Yes \_\_\_\_ (approximate distance \_\_\_\_\_)    No \_\_\_\_ .

17. Is there evidence of flooding? Yes \_\_\_\_ No \_\_\_\_ . *Wetlands and flood plains are not always obvious; do not answer "no" without confirming information.* If yes, complete Section 5: Wetland Habitat Checklist. \_\_\_\_\_  
\_\_\_\_\_

18. If a field guide was used to aid any of the identifications, please provide a reference. Also, estimate the time spent identifying the fauna. (Use a blank sheet if additional space is needed for text).  
\_\_\_\_\_  
\_\_\_\_\_

19. Are any threatened and/or endangered species (plant or animal) known to inhabit the area of the site? Yes \_\_\_\_ No \_\_\_\_ . *If yes, you are required to verify this information with the U.S. Fish and Wildlife Service.* If species identities are known, please list them in the text. \_\_\_\_\_  
\_\_\_\_\_

20. Record weather conditions at the time this checklist was prepared:  
Date: \_\_\_\_\_  
\_\_\_\_\_ Temperature (°C /°F)                      \_\_\_\_\_ Normal daily high temperature  
\_\_\_\_\_ Wind (direction/speed)                      \_\_\_\_\_ Precipitation (rain,snow)  
\_\_\_\_\_ Cloud cover

**Section 1A. Summary of Observations and Site Setting**  
\_\_\_\_\_  
\_\_\_\_\_

---

---

---

---

---

Completed by \_\_\_\_\_ Affiliation \_\_\_\_\_

Additional Preparers \_\_\_\_\_

Site Manager \_\_\_\_\_

Date \_\_\_\_\_

**Section 2. Terrestrial Habitat Checklist**

**Section 2A. Wooded**

1. Are there any wooded areas on the site? Yes \_\_\_\_ No \_\_\_\_\_. If no, go to Section IIB: Shrub/Scrub.

2. What percentage of the area of the site is wooded? (\_\_\_\_ % \_\_\_\_ acres). Indicate the wooded area on the site map which is attached to a copy of this checklist. Please identify what information was used to determine the wooded area of the site. \_\_\_\_\_

3. What is the dominant type of vegetation in the wooded area?  
(Circle one: Evergreen/Deciduous/Mixed) Provide a photograph if available.  
Dominant plant, if known: \_\_\_\_\_

4. What is the predominant size of the trees at the site? Use diameter at breast height.  
\_\_\_\_ 0-6 inches                      \_\_\_\_ 6-12 inches                      \_\_\_\_ > 12 inches

5. Specify type of understory present, if known. Provide a photograph, if available. \_\_\_\_\_

**Section 2B. Shrub/scrub**

1. Is shrub/scrub vegetation present at the site? Yes \_\_\_\_ No \_\_\_\_\_. If no, go to Section IIC: Open Field.

2. What percentage of the site is covered by shrub/scrub vegetation? (\_\_\_\_ % \_\_\_\_ acres). Indicate the acres of shrub/scrub on the site map. Please identify what information was used to determine this area.  
\_\_\_\_\_  
\_\_\_\_\_

3. What is the dominant type of shrub/scrub vegetation, if known? Provide a photograph if available.  
\_\_\_\_\_

4. What is the approximate average height of the shrub/scrub vegetation?  
\_\_\_\_\_ 0-2 feet                      \_\_\_\_\_ 2-5 feet                      \_\_\_\_\_ > 5 feet
5. Based on site observations, how dense is the shrub/scrub vegetation?  
\_\_\_\_\_ Dense                      \_\_\_\_\_ patchy                      \_\_\_\_\_ Sparse

**Section 2C. Open Field**

1. Are there open (bare, barren) field areas present at the site? Yes \_\_\_\_\_ No \_\_\_\_\_. If yes, please indicate the type below:  
\_\_\_\_\_ Prairie/plains      \_\_\_\_\_ Savannah      \_\_\_\_\_ Old field      \_\_\_\_\_ Other (specify) \_\_\_\_\_  
\_\_\_\_\_
2. What percentage of the site is open field? (\_\_\_\_\_ % \_\_\_\_\_ acres). Indicate the open field areas on the site map.
3. What is/are the dominant plant plants? Provide a photograph if available. \_\_\_\_\_  
\_\_\_\_\_
4. What is the approximate average height of the dominant plant? \_\_\_\_\_
5. Describe the vegetation cover: \_\_\_\_\_ Dense      \_\_\_\_\_ Sparse      \_\_\_\_\_ Patchy

**Section 2D. Miscellaneous**

1. Are other types of terrestrial habitats present at the site, other than woods, shrub/scrub, and open field? Yes \_\_\_\_\_ No \_\_\_\_\_. If yes, identify and describe below. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
2. Describe the terrestrial miscellaneous habitat(s) and identify these areas on the site map.
3. What observations, if any, were made at the site regarding the presence and/or absence of insects, fish, birds, mammals, etc? \_\_\_\_\_  
\_\_\_\_\_
4. Review the questions in Section I to determine if any additional habitat checklists should be completed for this site. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Section 3. Aquatic Habitat Checklist – Non-flowing Systems**

*Note: Aquatic systems are often associated with wetland habitats. Please refer to Section 5, Wetland Habitat Checklist.*

1. What type of open-water, non-flowing system is present at the site?

- Natural (pond or lake)
- Artificially created (lagoon, reservoir, canal, impoundment)

2. If known, what is the name(s) of the waterbody(ies) on or adjacent to the site?

\_\_\_\_\_

3. If a waterbody is present, what are its known uses (e.g., recreation, navigation, etc.)?

\_\_\_\_\_

4. What is the approximate size of the waterbody(ies)? \_\_\_\_\_ acre(s).

5. Is any aquatic vegetation present? Yes  No . If yes, please identify the type of vegetation present, if known.

- Emergent
- Submergent
- Floating

6. If known, what is the depth of the water? \_\_\_\_\_

7. What is the general composition of the substrate? Check all that apply.

- Bedrock
- Sand
- Muck (fine/black)
- Boulder (>10 in.)
- Silt (fine)
- Debris
- Cobble (2.5-10 in.)
- Marl (shells)
- Detritus
- Gravel (0.1-2.5 in.)
- Clay (slick)
- Concrete
- Other (specify) \_\_\_\_\_

8. What is the source of water in the waterbody?

- River/Stream/Creek
- Groundwater
- Other (specify) \_\_\_\_\_
- Industrial discharge
- Surface runoff

9. Is there a discharge from the site to the waterbody? Yes  No . If yes, please describe this discharge and its path. \_\_\_\_\_

\_\_\_\_\_

10. Is there a discharge from the waterbody? Yes  No . If yes, and the information is available, identify from the list below the environment into which the waterbody discharges.

- River/Stream/Creek
- onsite
- offsite
- Distance \_\_\_\_\_
- Groundwater
- onsite
- offsite
- Distance \_\_\_\_\_
- Wetland
- onsite
- offsite
- Distance \_\_\_\_\_
- Impoundment
- onsite
- offsite
- Distance \_\_\_\_\_

11. Identify any field measurements and observations of water quality that were made. For those parameters for which data were collected provide the measurement and the units of measure below:

- \_\_\_\_\_ Area
- \_\_\_\_\_ Depth (average)
- \_\_\_\_\_ pH
- \_\_\_\_\_ Dissolved oxygen
- \_\_\_\_\_ Salinity
- \_\_\_\_\_ Turbidity (clear, slightly turbid, turbid, opaque) (Secchi disk depth \_\_\_\_\_)
- \_\_\_\_\_ Other (specify)

12. Describe observed color and area of coloration. \_\_\_\_\_

13. Mark the open-water, non-flowing system on the site map attached to this checklist.

14. What observations, if any were made at the waterbody regarding the presence and/or absence of benthic macroinvertebrates, fish, birds mammals, etc.? \_\_\_\_\_

**Section 4. Aquatic Habitat Checklist – Flowing Systems**

*Note: Aquatic systems are often associated with wetland habitats. Please refer to Section 5, wetland Habitat Checklist.*

1. What type(s) of flowing water system(s) is (are) present at the site?

- |   |                             |                  |
|---|-----------------------------|------------------|
| _____ River                                 | _____ Stream                | _____ Creek      |
| _____ Dry wash                              | _____ Arroyo                | _____ Brook      |
| _____ Artificially created<br>(ditch, etc.) | _____ Intermittent stream   | _____ Channeling |
|   | _____ Other (specify) _____ |                  |

2. If known, what is the name of the waterbody? \_\_\_\_\_

3. For natural systems, are there any indicators of physical alteration (e.g., channeling, debris, etc.)? Yes \_\_\_\_\_ No \_\_\_\_\_. If yes, please describe indicators that were observed. \_\_\_\_\_

4. What is the general composition of the substrate? Check all that apply.

- |                             |                     |                         |
|-----------------------------|---------------------|-------------------------|
| _____ Bedrock               | _____ Sand          | _____ Muck (fine/black) |
| _____ Boulder (>10 in.)     | _____ Silt (fine)   | _____ Debris            |
| _____ Cobble (2.5-10 in.)   | _____ Marl (shells) | _____ Detritus          |
| _____ Gravel (0.1-2.5 in.)  | _____ Clay (slick)  | _____ Concrete          |
| _____ Other (specify) _____ |                     |                         |

5. What is the condition of the bank (e.g., height, slope, extent of vegetative cover)? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

6. Is the system influenced by tides? Yes \_\_\_\_ No \_\_\_\_\_. What information was used to make this determination? \_\_\_\_\_

\_\_\_\_\_

7. Is the flow intermittent? Yes \_\_\_\_ No \_\_\_\_\_. If yes, please note the information that was used in making this determination. \_\_\_\_\_

\_\_\_\_\_

8. Is there a discharge from the site to the waterbody? Yes \_\_\_\_ No \_\_\_\_\_. If yes, please describe the discharge and its path. \_\_\_\_\_

\_\_\_\_\_

9. Is there a discharge from the waterbody? Yes \_\_\_\_ No \_\_\_\_\_. If yes, and the information is available, please identify what the waterbody discharges to and whether the discharge is onsite or off site.

\_\_\_\_\_

\_\_\_\_\_

10. Identify any field measurements and observations of water quality that were made. For those parameters for which data were collected, provide the measurement and the units of measure in the appropriate space below:

- \_\_\_\_\_ Width (feet)
- \_\_\_\_\_ Depth (feet)
- \_\_\_\_\_ Velocity (specify units)
- \_\_\_\_\_ Temperature (depth of the water at which the temperature was taken)
- \_\_\_\_\_ pH
- \_\_\_\_\_ Dissolved oxygen
- \_\_\_\_\_ Salinity
- \_\_\_\_\_ Turbidity (clear, slightly turbid, turbid, opaque)  
(Secchi disk depth \_\_\_\_\_)
- \_\_\_\_\_ Other (specify) \_\_\_\_\_

11. Describe observed color and area of coloration. \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

12. Is any aquatic vegetation present? Yes \_\_\_\_ No \_\_\_\_\_. If yes, please identify the type of vegetation present, if known.

\_\_\_\_\_ Emergent                      \_\_\_\_\_ Submergent                      \_\_\_\_\_ Floating

13. Mark the flowing water system on the attached site map.

14. What observations were made at the waterbody regarding the presence and/or absence of benthic macroinvertebrates, fish, birds, mammals, etc.? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Section 5. Wetland Habitat Checklist**

1. Based on observations and/or available information, are designated or know wetlands definitely present at the site? Yes \_\_\_\_ No \_\_\_\_.

Please note the sources of observations and information used (e.g., USGS Topographic maps, National Wetland Inventory, Federal or State Agency, etc.) to make this determination.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. Based on the location of the site (e.g., along a waterbody, in a floodplain) and site conditions (e.g., standing water; dark, wet soils; mud cracks; debris line; water marks), are wetland habitats suspected? Yes \_\_\_\_ No \_\_\_\_.

If yes, proceed with the remainder of the wetland habitat identification checklist.

3. What type(s) of vegetation are present in the wetland?

- |  |                                   |
|--|-----------------------------------|
| <input type="checkbox"/> Submergument          | <input type="checkbox"/> Emergent |
| <input type="checkbox"/> Shrub/scrub           | <input type="checkbox"/> Wooded   |
| <input type="checkbox"/> Other (specify) _____ |                                   |

4. Provide a general description of the vegetation present in and around the wetland (height, color, etc.). Provide a photograph of the known or suspected wetlands, if available. \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. Is standing water present. Yes \_\_\_\_ No \_\_\_\_.

If yes, is this water: Fresh \_\_\_\_ Brackish \_\_\_\_

What is the approximate area of the water (sq. ft.)? \_\_\_\_\_

Please complete questions 4, 11, 12 in Checklist 3 - Aquatic Habitat -- Non-Flowing Systems.

6. Is there evidence of flooding at the site? What observations were noted?

- |                                      |   |                                     |
|--------------------------------------|---|-------------------------------------|
| <input type="checkbox"/> Buttressing | <input type="checkbox"/> Water marks            | <input type="checkbox"/> Mud cracks |
| <input type="checkbox"/> Debris line | <input type="checkbox"/> Other (describe below) |                                     |

\_\_\_\_\_

7. If known, what is the source of water in the wetland?

- |   |   |
|---|---|
| <input type="checkbox"/> Stream/River/Creek/Lake/Pond | <input type="checkbox"/> Groundwater    |
| <input type="checkbox"/> Flooding                     | <input type="checkbox"/> Surface runoff |

8. Is there a discharge from the site to a known or suspected wetland? Yes \_\_\_\_ No \_\_\_\_\_. If yes, please describe. \_\_\_\_\_  
\_\_\_\_\_

9. Is there a discharge from the wetland? Yes \_\_\_\_ No \_\_\_\_\_. If yes, to what waterbody is the discharge released?

\_\_\_\_\_ Surface stream/River      \_\_\_\_\_ Groundwater      \_\_\_\_\_ Lake/pond      \_\_\_\_\_ Marine

10. If a soil sample was collected, describe the appearance of the soil in the wetland area. Circle or write in the best response.

Color (blue/gray, brown, black, mottled) \_\_\_\_\_

Water content (dry, wet, saturated/unsaturated) \_\_\_\_\_

11. Mark the observed wetland area(s) on the attached site map.