

SUPERFUND:

Building on the Past, Looking to the Future

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Acronyms

ARAR	applicable or relevant and appropriate requirement
ASTSWMO	Association of State and Territorial Solid Waste Management Officials
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act of 1980
CLP	Contract Laboratory Program
DOJ	U.S. Department of Justice
EPA	U.S. Environmental Protection Agency
EPM	Environmental Programs and Management
FTE	full-time equivalent
FY	fiscal year
LAG	Interagency Agreement
IGMA	Integrated Grants Management System
LTRA	long-term response action
NPL	National Priorities List
OARM	(U.S. EPA) Office of Administration and Resources Management
OCFO	(U.S. EPA) Office of the Chief Financial Officer
OECA	(U.S. EPA) Office of Enforcement and Compliance Assurance
OIG	(U.S. EPA) Office of Inspector General
OSC	on-scene coordinator
OSWER	(U.S. EPA) Office of Solid Waste and Emergency Response
PRP	potentially responsible party
RCRA	Resource Conservation and Recovery Act
RI/FS	remedial investigation/feasibility study
ROD	record of decision
RPM	remedial project manager
SACM	Superfund accelerated cleanup model

Glossary

Construction Complete: a site at which the physical construction of all cleanup actions is complete, all immediate threats have been addressed, and all long-term threats are under control.

Environmental Programs and Management: appropriation that supports all regulation development and implementation, administrative support and non-research activities for the non Trust Fund programs (Superfund, LUST, and Oil programs)

Five-Year Reviews: reviews done every five years to ensure remedies remain protective of human health and the environment

Long-Term Response Action: long-term cleanup work at sites, e.g., operation of ground water restoration systems for up to 10 years following completion of construction; states assume responsibility for system operations after 10 year period

National Remedy Review Board: A national board consisting of EPA personnel that evaluates all remedies which cost more than \$20 million or where the proposed remedy would cost more than twice the next ARAR compliant remedy. The board evaluates the remedy to see if there is a less expensive, equally protective remedy and makes non-binding recommendations.

Non-Time Critical Removal: a removal action that, based on a site evaluation, the lead agency determines does not need to be initiated within the next six months.

Orphan Sites: sites where there are no identified responsible parties or none with the financial capability to pay for a remedy.

Pipeline: is the process of cleaning up a Superfund site and covers all of the activities from listing through remedy design. This includes the remedial investigation and feasibility study, selection of remedy, and its design.

Potentially Responsible Parties: an individual, business, or other organization that is potentially liable for cleaning up a site.

Record of Decision: the public document in where EPA identifies the cleanup alternative to be used at a site.

Remedial Action: the actual construction or implementation of a remedy at an NPL site or portion thereof.

Remedial Investigation/feasibility study: site studies that involve gathering data to determine the type and extent of contamination at a site (or portion thereof), establishing cleanup criteria, and analyzing the feasibility and costs of alternative cleanup methods.

The study can be conducted by EPA, contractors, state agencies, or potentially responsible parties.

Science and Technology: appropriation that supports all science and research activities carried out by the Office of Research and Development and program office laboratories

Superfund Alternative Site: a site which resembles an NPL site in the scope and magnitude of its contamination, and is cleaned up by PRPs using processes which are equivalent to those required under the National Contingency Plan, but never listed on the NPL.

Time-Critical Removal Action: a removal action that, based on a site evaluation, the lead agency determines must be initiated within six months.

Executive Summary

In November 2003, Acting Deputy Administrator Stephen L. Johnson requested that a small work group be established to conduct a relatively quick internal review (approximately 120 days) of the Superfund program. The main objective of this review was to identify opportunities for program efficiencies that would enable the Agency to begin and ultimately complete more long term cleanups, also known as remedial actions, with current resources. This internal study is intended to complement the work being done by the Superfund subcommittee of the Agency's National Advisory Council for Environmental Policy and Technology (NACEPT).

The Agency currently has a backlog of sites that are ready for long term cleanup, but lacks adequate funding to begin the remedial action. To a large extent the shortfall is the direct result of the evolution and maturation of the program, with the universe of Superfund sites expanding in both number and type. Sites now entering the long term cleanup phase tend to be larger, require multiple remedies and are more complex than those originally placed on the National Priorities List (NPL).

This new and expanded universe has put increased demands on the program overall. Funding needs have increased further as a greater proportion of the sites have progressed through the study phase and into the typically more costly cleanup phase. A significant challenge before the Agency and Congress, therefore, is how best to navigate this period when there are high funding needs for long term cleanup. The extraordinary demands of the especially large sites make this challenge all the more difficult.

Congressional Action in FY 2004

Over the last several years, EPA's senior managers have expressed concern about the Agency's inability to fund all of the Superfund long term cleanups that otherwise are ready to proceed. While EPA continues to address immediate public health threats through its short-term, emergency cleanup program, the Agency lacks adequate funds to address the growing number of sites that are ready for long term cleanups each year.

The House and Senate Appropriations Committees, and stakeholders outside of EPA, have also been concerned about this problem. Congress most recently expressed its concern during the Agency's FY 2004 appropriation in the following ways:

- The House Appropriations Committee in its FY 2004 report directed the EPA Inspector General to evaluate Superfund expenditures in EPA headquarters and

the Regions and to recommend options for increasing resources directed to cleanup while minimizing administrative costs.

- In its FY 2004 report, the Senate Appropriations Committee noted that the Agency was spending only 16 percent of the annual appropriation on site construction and long-term response actions, and directed the Agency to direct no less than 22 percent of the annual appropriation to site construction.

When the Conference Committee completed work on the Agency's FY 2004 budget, it did not direct the Agency to increase its percentage of funding for site construction. Rather, the Conference Committee made clear its expectation that the Agency direct the maximum amount possible to long term cleanup activities. The percentages in question represent how the Agency chose to distribute a portion of the Regions' funding. Those decisions on funding allocation were not intended to represent all funding dedicated to long term cleanup, though it is clear the Agency did not adequately communicate that fact.

This percentage understates the true amount the Agency spends on cleanups, reflecting only the extramural portion (what the Agency spends on cleanup contractors and other federal agencies), and does not include the cost of EPA staff necessary to manage the projects. The percentage also does not include short term, emergency cleanup actions taken at sites which contribute to the ultimate long term construction or the technical assistance required during the long term construction; and the EPA staff that support all of these activities.

In addition, at this point in the program, over 70 percent of Superfund cleanups are performed by potentially responsible parties (PRPs) as a result of EPA's enforcement program. The value of this work over the life of the program is more than \$18 billion as of September 30, 2003. Also not included is the cost of enforcement and oversight of potentially responsible parties (PRP) who are conducting cleanup

The use of a simple percentage measure like this also fails to consider the costs of all of the necessary steps that must occur before a site reaches the cleanup phase, both for sites funded by EPA and by PRPs. Those steps include investigation of the site, identification and testing to determine the extent of the problem, development of an acceptable cleanup plan, and coordination with the local community.

Study Findings and Recommendations

The Superfund 120-Day Study is a short term, overall program review conducted by a team of EPA headquarters and regional staff who have knowledge and experience in the program, but are not all currently working in the program. Analyses of information from Agency data systems helped to frame areas for analysis. This was followed by additional data requests and an extensive number of interviews with Superfund program managers in headquarters and the Regions, as well as with selected outside experts. To supplement

the information gathered in the interviews, the study team prepared and sent out tailored questionnaires to gather program-specific information.

What became apparent to the study team as it spoke to a wide spectrum of Superfund practitioners across the country is that this is a complex, viable cleanup program with an effective enforcement component. Over time, the program has improved how it measures its progress, how it describes its work and achieves environmental results; however, there is still room for further improvement.

The Superfund program has two primary foci: the long term cleanup of contaminated sites, and the emergency response program. The emergency response program was originally designed to provide for rapid cleanup of sites to eliminate immediate threats to human health and the environment. Over the years, that response capability has evolved and expanded so that today, Superfund's emergency response mission involves not only waste sites, but train derailments, biological contamination of Senate office buildings, debris cleanup from the Colombia Shuttle disaster, and hazard assessment and cleanup at the World Trade Center after 9/11. EPA has to prepare for its ever expanding role in preparedness for counter terrorism response and Homeland Security such as continuity for operations plans and continuity of Government functions. Like a fire department, Superfund has to expend significant resources in staff, training and infrastructure simply to be prepared to respond when needed. The program has evolved as well as it addresses an ever changing list of Superfund sites which require long term cleanups, ranging from drum disposal sites and landfills, to abandoned smelters, sediments in rivers and harbors, and hard rock mining sites.

In addition, the program is complex administratively. Due to the need to track all of the Agency's costs at a site in order to recover those costs from potentially responsible parties, the Superfund program has a level of administrative complexity that does not exist anywhere else within EPA. This investment in the development of cost recovery cases has resulted in settlements with potentially responsible parties of \$3.9 billion as of September 30, 2003. The Agency has also worked closely with PRPs over the years to ensure that funds they submit pursuant to cash-out agreements are only used at specific sites or even specific portions of those sites. While these administrative requirements are burdensome, they give the Agency and PRPs confidence that the Agency is using the funds appropriately.

The recommendations on improving resource utilization can make the Superfund program even stronger and, if implemented aggressively, will measurably increase the resources available for remedial action construction, perhaps by tens of millions of dollars annually. Program policy recommendations also hold the potential to reduce future out-year funding needs by a similar order of magnitude. However, it is unrealistic to conclude that the recommendations of this report, however aggressively they are implemented, will fully address the projected funding shortfall of this changing program.

The most important recommendations on Superfund policies, with regard to the program's resource needs, are those that work to minimize the Agency's response funding needs. Key among these is:

- collaborating effectively with other federal and state cleanup programs under an integrated cleanup approach,
- using the NPL and Fund-financed actions as effective tools to leverage cleanups by others,
- maintaining a consistently strong enforcement program, and
- applying cost-conscious decision making in all facets of the program.

The study's findings fall into six key areas. They include:

- **Provide Leadership and Vision**

To address cross-office issues more effectively, the study team recommends the creation of an overarching internal Superfund Board of Directors to provide enhanced program leadership, program coordination and accountability. In addition, with the growing complexity of the program coupled with tightening of resources, the Office of Solid Waste and Emergency Response (OSWER) needs to more clearly articulate the hierarchy of cleanup goals. Headquarters offices and the Regions also need to reinforce these clear goals with several new or more focused performance measures.

- **Build on Past Successes**

After more than 20 years of operational experience and numerous program evaluations that have resulted in many improvements along the way, the Agency has many successes and lessons learned upon which it can build. The program is strongest when it integrates a variety of cleanup approaches and authorities into the overall response program. Much of the cleanup progress across the nation results from PRPs conducting over 70 percent of site work. To continue or enhance those results requires that the program continues to list sites on the NPL where appropriate, provide adequate funding for EPA to do the work where responsible parties are recalcitrant, and continue aggressive enforcement and cost recovery programs.

- **Continue to Develop a Better, More Effective Cleanup Program**

There are opportunities for further cost and time savings through such programmatic changes as reviewing and updating specific records of decision and broadening the scope of the National Remedy Review Board to drive down remedy costs. Other recommendations include improving the cost-effectiveness of the analytical support program, improving cost analysis capabilities, and possibly developing national standards for a limited number of high-priority

contaminants. OSWER has already been working with the Regions on a series of cost management initiatives.

- **Improve the Use and Management of Agency Resources**

The measures the study team identified to reduce demands on appropriated funds include improving the use of special accounts; speeding up the closeout of interagency agreements, grants, and contracts; and improving the timeliness of Superfund State Contract billing, obligations, reimbursements, and deobligations. Other suggestions include reviewing interagency agreements for possible cost efficiencies, such as negotiating consistent nationwide overhead rates with other federal agencies.

- **Improve Communications and Program Accountability**

The study team recommends that the Agency review how it is tracking Superfund's milestones and program accomplishments to ensure it is providing a comprehensive picture of today's Superfund program, especially to Congress. There is also value in conducting focused benchmarking studies to improve performance in individual Regions; this will foster innovation, competition, and use of agency-wide baseline standards.

- **Make Purposeful Resource Shifts to Better Link Organizational Structure with Program Needs**

Over the last 24 years, the Superfund program has grown both in scope and complexity. In the early years of the program, the focus of cleanup operations was on "traditional" uncontrolled hazardous waste sites; i.e., Love Canal or Valley of the Drums. Now the program is responsible not only for cleaning up these types of sites, but also for addressing more complex sites as well as responding effectively to complex 9/11 type of emergencies.

At issue is whether the program has maintained pace with changing program needs. With the evolution and maturation of the program, opportunities exist to use resources more effectively and efficiently, if not innovatively. Examples include but are not limited to, sharing work across Regions, relying upon focused areas of expertise (e.g. Centers for Applied Science among the Regional labs), and consolidating some support functions.

Together, the recommendations of this report can build on past successes and create a better, more efficient way to implement the changing Superfund program. They are intended to improve upon a program that is working well, not one that is broken and requires fixing. These recommendations represent the best current thinking on what EPA can do with existing authorities and resources to efficiently implement the Superfund program, toward the goal of increasing the pace of site cleanup.

Moving Forward

Consistent with the numerous previous studies and analyses of the Superfund program, information collected during the study affirmed that Superfund is an inherently complicated and complex program, dealing with cleanup requirements that have been changing almost since it began 24 years ago. At the same time, Superfund has achieved a high level of success as it has carried out its mission.

Despite the Superfund program's complexity, and its unique administrative structure, it has made and continues to make significant strides in addressing abandoned and uncontrolled releases of hazardous substances across the country. With long term cleanups complete at nearly 900 NPL sites and more than 7,000 emergency cleanups conducted since its inception, the program is providing widespread benefits in terms of both human health and environmental risk reduction and providing opportunities for future beneficial land use.

Part of the program's success is due to its willingness to assess its strengths and weaknesses on an ongoing basis and to make modifications to improve cleanup approaches and administrative processes. Even now, as stated earlier, OSWER and the Regions are beginning to implement a series of cost- and time-saving recommendations, a number of which were affirmed through the study team's independent analysis. Likewise, the Office of Administration and Resources Management has been working with Agency senior managers to improve the management of grants and interagency agreements.

Nonetheless, the study team found opportunities for greater efficiency in the use of Superfund's current resources. There are several tangible, near-term opportunities for stretching existing resources further, and there are other promising means to move toward more efficiently using the existing level of resources in the longer term. If the recommendations of this study are aggressively implemented, this already strong and effective program will be even better.

While many of the implementation details will take time to work out, the Acting Deputy Administrator has confirmed his expectation that the Agency will move forward with two key aspects of implementation of the report's recommendations. First, the Acting Deputy Administrator will set up an internal Superfund Board of Directors. OSWER and the Office of Enforcement and Compliance Assurance Assistant Administrators will co-chair the board, whose members will include representatives from headquarters offices that have Superfund responsibilities and from the Regions.

The role of the Board of Directors will be to enhance overall leadership and coordination of all elements of the Agency involved with the Superfund program. Second, the new Board will be responsible for preparing, coordinating and executing an action plan(s) that addresses the recommendations contained in the following report. There are numerous recommendations in the report; however, the Study Team identified the top recommendations that would strengthen the leadership of the program and be most likely

to result in additional funding for long term cleanups. These recommendations also provide a blueprint for action for the new internal Board of Directors, and are identified in the last chapter of the study – Agenda for Moving Ahead.

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Introduction

Study Background

Over the last several years, EPA's senior management has been concerned about the Agency's inability to fund all of the Superfund long term cleanups that are otherwise ready to proceed. While Superfund has become a mature program, it continues to have very high resource demands, as sites added to the National Priorities List (NPL) more than a decade ago have reached the most costly phase of the program: long term cleanup or remedial actions.

In 1999, at the direction of Congress, EPA contracted with Resources for the Future (RFF) to conduct a study and prepare a report that predicted, at current funding levels, Superfund would soon face response funding shortfalls of \$100–\$300 million annually for the next several years, with a cumulative funding shortfall in excess of \$1 billion. The report predicted the annual shortfall might last until only 2007 or could extend well beyond 2009.¹ Subsequent to the RFF report, members of Congress requested that the Inspector General provide a report on the program's funding shortfall. For FY 2003, the EPA Inspector General reported a site-specific funding shortfall of almost \$175 million.

In July 2001, the EPA Deputy Administrator directed the development of an action plan to address the recommendations in the RFF report. The primary recommendations from the report were the following: (1) review and clarify the purpose of the NPL; (2) assess the level of program management, policy, and administrative support resources needed to implement the Superfund program; (3) improve the management of and financial systems for tracking Superfund progress and costs; and (4) give higher priority to post-construction activities.

Specifically, the plan called for the creation of a Superfund Subcommittee under the auspices of the Agency's National Advisory Council for Environmental Policy and Technology (NACEPT). The overall intent of the Subcommittee's work was to assist in identifying the future direction of the Superfund program in the context of other federal and state waste and cleanup programs that have developed since Superfund was enacted. The NACEPT Superfund Subcommittee has been focusing in particular on: (1) the role of the NPL in hazardous site response; (2) the unique needs of mega sites, which RFF defined as sites costing \$50 million or more; and (3) measures of success for Superfund.

¹ Katherine N. Probst and David M. Konisky, *Superfund's Future: What Will It Cost?* (Resources for the Future, 2001), p. 159.

In November 2003, to complement NACEPT's work, Acting Deputy Administrator Stephen L. Johnson commissioned this internal Superfund study. As envisioned, the study would be a brief (approximately 120-day) Agency self-assessment of Superfund resource use and management issues. The main objective of this review was to identify opportunities for program efficiencies that would enable the Agency to complete more long term cleanups with current resources. The Acting Deputy Administrator directed that the study be conducted by a team of individuals with Superfund knowledge and experience but not all currently in the program, thereby providing both expertise for the study and a degree of independence and objectivity.

When the House and Senate acted on the Agency's FY 2004 appropriation, the House directed the EPA Inspector General to evaluate Superfund expenditures in EPA headquarters and the regions and to recommend options for increasing resources directed to cleanup while minimizing administrative costs. The Senate Appropriations Committee, in its FY 2004 report, noted that the Agency was spending only 16 percent of the annual appropriation on site construction and long-term response actions, and directed the Agency to direct no less than 22 percent of the annual appropriation to site construction. This report also directed the Inspector General to conduct a comprehensive audit of FY 2002 and 2003 Superfund expenditures.

When the Conference Committee completed its work on the Agency's FY 2004 budget, it did not direct the Agency to target a specific percentage of funding to site construction. However, the final language did direct the Inspector General to conduct an evaluation of the Superfund program. The Office of Inspector General's final report is due to both Appropriations Committees in December 2004.

Information on Past Studies

The 120-day study has benefited from a number of previous reviews of the Superfund program. In the last decade alone, over a dozen studies have been conducted by EPA staff, other government agencies, and outside organizations. This 120 day study was preceded by a 90 day study in 1989 and a 30 day study in 1991. In 1994, EPA conducted a "base review," which outlined an investment and disinvestment strategy for redirecting resources into priority areas. More recently, EPA's Office of Solid Waste and Emergency Response (OSWER) commissioned an evaluation of the U.S. Army Corps of Engineer's (Corps) support of the Superfund program. This 2003 study presented eight recommendations for improving how EPA and the Corps work together on Superfund cleanups.

A majority of the outside reviews of the program have been initiated by Congress. Members of Congress have frequently asked the General Accounting Office (GAO) to examine specific aspects of the Superfund program. For example, GAO has reviewed, through separate studies, EPA's progress toward recovering unspent Superfund contract monies, efforts to monitor Superfund expenditures, success in implementing prior administrative reforms, and use of performance measures. EPA's Office of the Inspector General has also devoted significant time to reviewing the Superfund program. Most recently, as noted above, the Office of the Inspector General looked at the sufficiency of funding for long term cleanup at nonfederal sites.

The above-mentioned RFF study, *Superfund's Future: What Will It Cost?*, is one of the larger and better-known evaluations of the Superfund program. Funded by EPA at the direction of Congress, the RFF study examined the future costs of various aspects of the Superfund program, including the costs of cleaning up sites, particularly megasites, implementing long-term response actions, and administering the program.

Study Methodology

The Study Team collected information from the major data systems, analyzed this data and identified needed follow-up, and interviewed Superfund program managers in headquarters and the Regions. Interviews with selected outside experts who have or had high-level involvement in the Superfund program added to the study's knowledge base. The over 50 individual interviews conducted by the study team included current and former EPA employees, private industry managers and legal counsel who represent the PRP community, current and former state environmental directors, Superfund researchers, Department of Justice attorneys, and managers and examiners from the Office of Management and Budget. Within the Agency, the team has spoken with numerous people at every level of the offices involved with Superfund, including OSWER, the Office of Enforcement and Compliance Assurance, the Office of the Chief Financial Officer, the Office of Administration and Resources Management, and the Office of Research and Development.

Individuals from the study team visited eight of the ten regions to interview Superfund Division Directors and their program staffs, policy and management divisions, laboratory managers, enforcement and cost recovery staffs, and Regional Counsels. For those Regions the Study Team did not visit, the team interviewed Deputy Regional Administrators during their trips to Washington, D.C., and held phone interviews with the Division Directors along with any staff they wished to have present. To supplement the information gathered in the interviews, the study team prepared and sent out tailored questionnaires to gather program-specific information.

While the study's primary focus was on resource and financial management, in the course of interviewing such a broad array of Superfund experts within and outside EPA, a wide range of ideas and recommendations emerged. The study's conclusions, while maintaining an eye toward resource issues, reflect the broadened scope of the interviews, in particular suggesting opportunities for enhancing program effectiveness.

What This Study Is Not

Although the study team spoke to a large number of people and gathered a great deal of data in a very short time, this study is not a comprehensive audit, nor is it a formal program evaluation. It is also not the independent contract review currently being contemplated by NACEPT as a recommendation in its report. Many of the findings, recommendations, and options presented in this study are suggested by the data, the interviews, and the study team's analysis of this information. Given the short duration of

the study, in some cases the Study Team has recommended additional analysis by Headquarters and the Regions prior to implementing certain recommendations.

The study team fully expects that some of the themes and issues identified in this report will be analyzed in the evaluation being conducted by the Office of the Inspector General. While the study team heard a number of far-reaching suggestions, the report's recommendations mainly stay within the existing authorities and organization.

Study Findings

The Study Team found that this is a complex, viable cleanup program with an effective strong enforcement component. It also found that the program has improved how it measures its progress and how it communicates its accomplishments and environmental results. However, as with all environmental programs, there is still room for further improvement.

Despite the program's complexity, it has made and continues to make significant progress in cleaning up Superfund sites. Without Superfund, abandoned and uncontrolled releases of hazardous substances would continue unabated across the country. With construction completed at nearly 900 NPL sites and more than 7,000 emergency cleanups since its inception, the program is providing widespread benefits by reducing risks to human health and the environment and is providing opportunities for future beneficial land use of once derelict properties.

The success of the Superfund program is due in no small part to the Agency's continuing efforts to assess the program's strengths and weaknesses and to make appropriate modifications to improve cleanup approaches and administrative processes. The program has evolved almost continuously since its inception, adopting ideas proposed by Agency staff and external reviewers alike. In the beginning, the emphasis was simply on starting long term cleanups at as many sites as possible. Even then, the Agency recognized that it could not start all of them at once, and the "worst sites first" initiative was born. Soon after this, a renewed emphasis on "enforcement first" arose. Subsequently, in response to criticisms that the Agency was not removing enough sites from the NPL, the emphasis again shifted to stress completing construction at entire sites, i.e., finishing the long term cleanup, rather than simply focusing on the worst parts of the worst sites. Today, the Agency continues to stress enforcement first, as its rate of PRP participation demonstrates, while also addressing the worst sites first. The work of the priority panel for remedial funding and the extensive use of the removal program at NPL sites demonstrate this.

Readers familiar with prior evaluations of the Superfund program may recognize a number of the findings and recommendations in this report that have been considered previously or may be seen as variations on a theme. In addition, some of the best practices cited are approaches that have been tried, but perhaps not applied as broadly or with as much energy as appears warranted, although some are new. This study has

sought to examine a wide array of options suggested either by the data examined or by the people interviewed, and to present them as clearly as possible.

OSWER and the Regions have begun to implement a series of cost- and time-saving recommendations, a number of which were affirmed through the study team's independent analysis. Likewise, the Office of Administration and Resources Management has been working with Agency's senior managers to improve the management of all Agency grants and interagency agreements. The willingness of current senior-level Superfund program managers to engage with the Study Team, both at headquarters and in the Regions, clearly demonstrates a high level of interest in building on past successes and continuing to improve this already successful program.

The study team did find opportunities for greater efficiency in the use of Superfund's current resources. There are several tangible, near-term opportunities for stretching existing resources further, and there are other promising means to move toward more efficiently using the existing level of resources in the longer term. The study team also has identified a number of important program policy options and recommendations that could serve to reduce the future need for Superfund resources. The Study Team has identified recommendations as being either near term (significant progress or completion can be made within one year of the report) or long term. In some instances the Study Team identified options for Headquarters and the Regions to consider as they implement the program. Appendices A and B contain summary tables of all the Study Team's recommendations and options by Office and Region.

The recommendations of this report can make a significant impact on the Superfund program's current resource dilemma. If implemented aggressively, they will measurably increase the resources available for remedial action construction, perhaps by tens of millions of dollars annually. Together, the recommendations of this report can build on past successes and create a better, more efficient way to implement the Superfund program in the future. They are intended to improve upon a program that is working well, not one that is broken and needs fixing. These recommendations represent the best current thinking on what EPA can do with existing authorities and resources to efficiently implement the Superfund program, toward the goal of increasing the pace of site remediation. They have the potential to significantly reduce the current funding gap. Nevertheless, it is unrealistic to conclude that these recommendations, regardless of how aggressively they are implemented, will fully address the projected funding shortfall.

Outline of the Report

The report is broken into eight chapters and appendices that each contains a discussion and recommendations. The chapters are organized in the following order:

- Chapter 1 discusses the various program activities and resources by Agency office that receives Superfund dollars.
- Chapter 2 looks at those issues that cut across the entire program.

- Chapter 3 addresses the Superfund response program—the removal and remedial programs.
- Chapter 4 discusses the enforcement program.
- Chapter 5 looks at the role of research and technology as support for Superfund work.
- Chapter 6 discusses some overall issues associated with management and support of the Superfund program.
- Chapter 7 looks at ways to optimize the resources used by the Superfund program, considering special accounts, different types of contract mechanisms, and how the Agency works with other federal agencies to cleanup sites.
- Chapter 8 discusses the need for better performance measures for the program.
- Chapter 9 identifies the recommendations that will strengthen the program's accountability and will ultimately result in additional funds for long term cleanups.
- The appendices provide charts on Superfund resources and other supplemental information.

Chapter 1: Superfund Program Activities and Resources

The goal of the Superfund program is to clean up uncontrolled hazardous waste sites that pose unacceptable risks to human health and environment in a manner that restores these sites to uses appropriate for nearby communities. The program was authorized under the Comprehensive Environmental Response, Compensation and Liability Act of 1980. The key program functions involved in achieving this goal are response, enforcement, research, and management and support. Below is a discussion of each of these functions (organized by EPA organization) followed by a discussion of resources devoted to each of these functions for FY 1999 and FY 2003.

Response Activities

Office of Solid Waste and Emergency Response

As the national program manager (NPM), OSWER is responsible for developing, implementing, monitoring, and evaluating the national policies and regulations for cleaning up uncontrolled hazardous waste sites. In conjunction with the EPA Regions, states, tribes, and other federal agencies, OSWER develops the policies, procedures and methodologies for: (1) assessing sites to determine whether they meet the criteria for federal Superfund response actions; (2) preventing, minimizing, or mitigating significant threats at Superfund sites through removal actions; (3) generating accurate risk assessment and cost performance data critical to providing the technical foundation for decisions made in environmental cleanup programs; (4) identifying and marketing cost-effective site assessment, monitoring, and cleanup technologies; and (5) identifying Superfund cleanup research needs. OSWER is also responsible for managing the contract laboratory program (CLP), which provides the Regions with sampling and analytical capability for all phases of the program, and for collecting and managing key program information through the Comprehensive Emergency Response, Compensation and Liability Information System to monitor and evaluate program progress.

OSWER is the designated program lead responsible for ensuring that EPA as a whole is prepared to respond to nationally significant events such as those which occurred on 9/11, or the chemical and biological contamination on Capitol Hill. OSWER coordinates the Agency's response to national emergencies; serves as the Agency's focal point for coordinating internal activities; represents EPA with interagency organizations, committees, and workgroups to coordinate federal activities; and ensures that EPA's

programs and activities are consistent with the Department of Homeland Security's national strategy.

The Regions with their state partners are responsible for cleaning up uncontrolled hazardous waste sites, through either removal or remedial actions. Removal actions are taken at sites when there is an immediate threat to human health and the environment, or when removal actions would be the most cost-effective approach to address a particular site. Remedial actions, conversely, occur at sites where removal actions have already occurred, or where a longer term risk to human health and the environment exists. Remedial cleanup activities take much longer and occur at sites that have been placed on the Agency's National Priorities List (NPL). Cleanup can be performed either by the Agency using Superfund resources (EPA personnel, contractors, states or other federal agencies) or by potentially responsible parties (PRPs). In the latter case, EPA oversees the cleanup of the site and is reimbursed for all of its work.

The Regions, in conjunction with their state partners, are responsible for identifying potential uncontrolled hazardous waste sites; conducting a preliminary investigation to determine the risks posed by sites and whether the sites score high enough to be potentially placed on the NPL; and, in conjunction with EPA headquarters and the appropriate state, determining if the sites will be placed on the NPL for subsequent remedial action. In addition, the Regions identify parties potentially responsible for creating the uncontrolled sites and seek to have them perform all cleanup work necessary at the site.

Once a site is on the NPL, either EPA or a PRP is responsible for conducting a detailed remedial investigation (RI) and subsequent feasibility study (FS) to determine the nature and extent of the contamination, and to identify possible cleanup options that would address the risks posed by the site. Following this, a decision is made and documented in a record of decision (ROD). The ROD summarizes the results of the investigation and describes how the site will be cleaned up. The process of remedy selection includes robust community involvement, so that those most affected by the site can have a significant role in choosing the solution.

After a remedy is selected, a design is completed, and actual construction to clean up the site finally occurs. The time it takes from final listing on the NPL to construction completion is about eight years, although this can vary considerably based on the site's complexity.

This cleanup effort is under the direction of a remedial project manager (RPM), with assistance from other individuals with specialties in risk assessment, hydrogeology, sampling and analysis, and enforcement. Construction of the selected remedy is conducted by qualified private-sector firms under contract with the Agency, or through interagency agreements with other federal agencies, such as the U.S. Army Corps of Engineers. In a few instances the work has been done by the state where the site is located, in which case EPA awards a grant to the state to fund the project.

EPA Regional Laboratories

The EPA regional laboratories also play an important role in supporting the Superfund program by conducting special sampling and analyses at removal or remedial sites, as well as developing the analytical methodologies to be used to take special samples or analyze special samples taken at sites. The laboratories also often manage the samples for the CLP and perform the quality assurance and quality control tasks necessary for this program.

Federal Facilities Response Program

Several federal facilities across the nation are contaminated with hazardous waste, military munitions, radioactive waste, fuels, and a variety of other toxic contaminants. These facilities include many different types of sites, such as formerly used defense sites; active, closing, and closed installations; abandoned mines; nuclear weapons production facilities; fuel distribution areas; and landfills. In many cases, federal facilities face unique challenges with types of contamination (e.g., radiation, military munitions); the size of the facility (e.g., the Department of Energy's Hanford facility spans more than 500 square miles—the size of Rhode Island); and the complexities of environmental issues related to reuse (e.g., base closure).

OSWER works with the Department of Defense (DOD), the Department of Energy (DOE), other federal agencies, states, tribes, and the public to find protective, creative, and cost-effective cleanup solutions, while encouraging restoration and property reuse. The Federal Facilities program provides technical and regulatory oversight at federal sites to ensure protection of human health, effective program implementation, and meaningful public involvement. The Agency encourages citizen involvement by working with DOD to establish Restoration Advisory Boards and with DOE to establish Site-Specific Advisory Boards.

Office of Air and Radiation

OAR provides enhanced expertise, field support, and site-specific analyses to the Regions, particularly with respect to issues associated with radiation at sites across the country. Another important area is OAR's support for the Agency's emergency response and counterterrorism activities, acting as the lead office for the Radiological Emergency Response Team (a special team under the National Contingency Plan), providing technical support for emergency response at radiologically contaminated removal sites, and sponsoring training exercises and events, such as the annual On-Scene Coordinator (OSC) Readiness Conference.

Other Federal Agencies

Several federal agencies provide support to the Superfund response program.

U.S. Coast Guard—Through its Captain of the Port network, the USCG provides OSCs in coastal areas and in that capacity leads the federal response to oil spills and releases of hazardous materials. The USCG Strike Teams, which operate out of three locations nationally, support both EPA OSCs in inland emergencies and USCG OSCs in coastal responses. The Strike Teams are composed of highly trained personnel available 24/7 who, in addition to emergency response, can support EPA with training, health, and safety advice and on-scene monitoring at Superfund removal actions. At oil spills they can also assist with investigating spill reports, identifying PRPs, and documenting actions for cost recovery.

Department of the Interior—Several bureaus within DOI assist the Agency in carrying out its Superfund program. The Bureau of Land Management and U.S. Fish and Wildlife Service assist EPA on technical issues associated with the impacts of Superfund sites on natural resources. The Bureau of Reclamation serves a role similar to that of the Corps of Engineers in managing construction, and the U.S. Geological Survey often provides technical assistance on groundwater issues. As a natural resource trustee, DOI also has an independent role in calculating the value of natural resource damages and seeking to recoup those claims. The Department also coordinates with Regional Response Teams (RRTs), particularly on major oil spills.

National Oceanic and Atmospheric Administration—NOAA, which is also a natural resource trustee, addresses coastal resource issues, particularly sediment chemistry and toxicity in coastal ecosystems. NOAA also provides support to RRTs and states in the areas of contingency planning, preparedness evaluation, and training.

Federal Emergency Management Agency (now part of the Department of Homeland Security)—FEMA manages and coordinates training programs for state and local governments and participates on the National Response Teams (NRTs) and RRTs. FEMA also works closely with OSCs during floods and other natural disasters, and supports the National Contingency Plan (NCP) and national response system through preparedness exercises.

Department of Labor—DOL's Occupational Safety and Health Administration assists the NRTs and RRTs, and supports enforcement efforts on issues associated with worker health and safety for both removal and remedial actions.

Enforcement Activities

Office of Enforcement and Compliance Assurance

OECA is responsible for developing, implementing, monitoring, and evaluating the national policies and procedures for maximizing the number of Superfund cleanups conducted by PRPs. The objective of OECA's efforts is to ensure that in getting responsible parties to clean up sites the enforcement program is fair. Almost the entire enforcement program is implemented by the EPA Regions under OECA's guidance and policy.

The Superfund program's focus on "enforcement first"—finding and entering into consent order agreements with PRPs to fund both studies and cleanups at sites where they contributed to the contamination—has proven critical to accomplishing the program's overall mission: cleaning up contaminated sites. In recent years, EPA has successfully encouraged or compelled PRPs to fund or undertake cleanup at more than 70 percent of new cleanup work at nonfederal facility sites. The enforcement program also recoups from responsible parties monies spent by the Agency on cleanup activities. By leveraging private resources, the Superfund program is able to direct its limited response budget toward high-priority orphan sites (sites with no viable PRPs). EPA also enters into Federal Facility Agreements to encourage and oversee progress at federally owned sites.

Department of Justice

DOJ also plays an important role in supporting the Agency's Superfund enforcement activities by litigating and settling cleanup agreements and cost recovery cases in support of OECA and OSWER activities. DOJ also defends EPA against citizen suits, pre-enforcement review cases, reimbursement claims, and challenges to EPA administrative civil decisions.

Appendix C provides a summary of major response and enforcement accomplishments.

Research Activities

Office of Research and Development

ORD conducts both site-specific and national research and development activities. More specifically, ORD supports the Superfund program by providing analytical tools, techniques, and technologies to assess risks to health and the environment from uncontrolled hazardous waste sites, and by developing technologies for cost-effective characterization and remediation. Superfund long-term research focuses on five program areas: (1) reducing uncertainties associated with soil and groundwater sampling and analysis; (2) reducing the time and cost associated with site characterization and site remediation activities; (3) evaluating the magnitude of the risks posed by contaminants to human health and ecosystems, as well as the contributions of multiple exposure pathways, the bioavailability of adsorbed contaminants and treatment residuals, and the toxicological properties of contaminant mixtures; (4) developing and demonstrating more effective and less costly remediation technologies involving complex sites and hard-to-treat wastes; and (5) generating accurate risk assessment and cost-performance data critical to providing the technical foundation for decisions made in environmental cleanup programs.

The ORD laboratories provide direct technical support to regional staff working on Superfund sites in a number of ways. At the staff's request, ORD assists in evaluating the efficiency and effectiveness of potential cleanup technologies, reviewing cleanup plans, supporting the Regions in characterizing the nature and extent of multimedia site

contamination, and developing quick-turn-around methodologies to assess potential risks at sites. ORD also conducts national seminars on particular issues of concern, such as contaminated groundwater and contaminated sediments, and provides technical support materials to the Regions on particular subjects. In addition, ORD research scientists are on call 24/7 to respond to questions from regional staff and other key stakeholders.

Management and Support Activities

Several EPA offices in headquarters and the Regions support the Superfund program in such areas as budget, financial management, contracts management, grants administration, human resources, legal counsel, information management, and facilities management.

Office of Administration and Resources Management

OARM is responsible for providing the management and support services necessary for all other EPA offices to operate efficiently and effectively. Headquarters and regional offices support the Superfund program by hiring and training Superfund staff and ensuring they work in a healthy, safe, and secure environment. OARM headquarters develops and implements the contracts, grants, and interagency policies and procedures necessary to support the program. The Regions and headquarters award and assist in the monitoring and closeout of grants and interagency agreements. Headquarters and regional contracting officers work closely with the Superfund program to plan and procure contractual support for the removal, remedial, and enforcement programs. Headquarters also develops and implements the necessary financial systems to monitor contract, grant, and interagency agreement obligations and expenditures.

Facilities operations include rent paid to the General Services Administration and others; use of space; preventive maintenance of existing space; security and property management; printing services; postage and mail services; transportation services; Agency recycling; and health, safety, and environmental compliance activities, including medical monitoring, audits, and training.

Office of the Chief Financial Officer

OCFO manages Superfund budget formulation, justification, and execution, as well as financial cost recovery. Headquarters and the Regions provide the Superfund program with the day-to-day services that other programs receive. However, in addition, the Regions support the financial requirements that are unique to the Superfund program. Working with the Cincinnati Financial Management Office, the Regions establish, monitor, manage, and close out special accounts (funds that the Regions have negotiated as part of consent decrees from PRPs for site-specific work). The Regions also work with their program counterparts to collect and obligate funds on remedial actions from the states as part of the Superfund State Contracts. OCFO also manages oversight billings for Superfund site cleanups (the cost of overseeing PRPs' cleanup activities) and refers oversight debts to the Department of Justice when the Agency is not paid.

OCFO works to maintain the strongest budget possible for the program, maximize returns to the Trust Fund, account accurately for Superfund resources, and associate program costs and results in meaningful ways to communicate Superfund's effectiveness and efficiencies to the public.

OCFO systems (financial management, payroll, etc.) converge in a data warehouse that provides Superfund managers with timely, easily accessed reports about program costs to support their day-to-day decision making.

OCFO senior managers and staff also invest considerable time and effort providing information about Superfund resource management to oversight organizations, including the General Accounting Office and the Office of the Inspector General. These activities, as a whole, relieve OSWER and OECA of many time- and labor-intensive administrative tasks, thus enabling the program to concentrate on programmatic work.

Office of Environmental Information

Established in FY 2000, OEI ensures that accurate, timely, and usable environmental information is made available to program and regional offices within EPA, as well as states, tribes, industry, and others responsible for protecting human health and the environment. OEI headquarters and regional staff support the Superfund program by providing telecommunications services, such as Local Area Network services, network and application server administration, Internet and Intranet web access operations and maintenance, and secure system administration. OEI works with the rest of the Agency to ensure that system standards are in place.

Office of the General Counsel

OGC supports both headquarters and regional offices by ensuring that national policies and individual site decisions are consistent with both the intent of the Superfund statute and associated regulations promulgated in the NCP.

Office of the Inspector General

OIG is responsible for conducting audits and investigations of Superfund administrative and financial activities to ensure that the program is delivered effectively, efficiently, and economically and is in compliance with applicable laws and regulations. OIG audits and investigations assist the Agency in identifying areas of potential risk and necessary improvements that can significantly contribute to EPA's fulfilling its complex mission.

OIG also investigates alleged fraud, waste, abuse, or other illegal activities by EPA employees, contractors, and grantees. Investigations may result in referrals for criminal prosecution and civil actions; indictments and convictions; fines, restitutions, and civil recoveries; suspensions, debarments, and other administrative actions; identification of systemic vulnerabilities and improvements in programs and operations; and savings or

economic benefits. Fraud awareness briefings are held to increase the awareness of integrity issues throughout the Agency.

Program Resources

Table 1 provides a summary of Agency resources devoted to Superfund activities by function for FY 1999 and FY 2003; all numbers are from the Agency's enacted operating plan. As seen, \$1.27 billion and 3,458 work years (FTE) were allocated to Superfund activities in FY 2003. This represents a decrease of \$234 million and 281 FTE from FY 1999 resource levels, or decreases of 15.6% in total dollars and 7.5% in FTE, respectively. Because some of this change was a result of the Brownfields Program being funded out of other EPA appropriations in FY 2003, the actual decreases to the Superfund program were \$143.9 million (10.2% reduction) and 208.3 FTE (5.7% reduction).

Within these overall resource levels, the following changes occurred between FY 1999 and FY 2003:

- The response function consists of two offices -- the Office of Solid Waste and Emergency Response (OSWER) and the Office of Air and Radiation (OAR).
 - OSWER (both headquarters and the Regions) decreased by 11.1% percent in total dollars and 3.7% in FTE.
 - OAR decreased by 4.3% in total dollars; OAR's FTE increased by 3 or 25%.
 - These numbers exclude resources allocated to other federal agencies, the Brownfields program, Base Restoration and Closure, and Homeland Security.
- The enforcement function consists of the Office of Enforcement and Compliance Assurance. OECA (both headquarters and the Regions) decreased by 1.9% in total dollars and 3.1% in FTE.
 - These also excluded resources devoted to homeland security, the Brownfields program, and funding for the Department of Justice.
- The management and support function consists of six offices -- the Office of Administration and Resources Management (OARM), the Office of the Chief Financial Officer (OCFO), the Office of Environmental Information (OEI), the Office of General Counsel (OGC), the Office of the Administrator (OA), and the Office of Policy, Economics and Innovation (OPEI). The total function increased by 8.5% in total dollars and decreased by 19.5% in FTE. Since this function is composed of multiple offices, it is best to look at the changes in the individual offices -- which only can be accomplished by examining the changes between FY 2000 (when the Office of Environmental Information (OEI) was established) and FY 2003. For more detailed resource charts that include FY 2000 funding, see Appendices D, E and F.
 - OARM's total dollars have increased by \$6.6 million from FY 2000 to FY 2003 or 8.5%. However, part of this increase is due to the rent increase of \$2.8 million over this same time period. OARM's FTE decreased by 2.5%.

- From FY 2000 through FY 2003, OEI's Superfund total dollars have increased by \$4.6 million, or 32.1%, while FTE decreased by 2.4%.
 - The Office of the Chief Financial Officer's total funding has increased by \$3.2 million, or 12.6%, from FY 2000 through FY 2003, while FTE decreased by 3.5%.
 - These reductions do not include funding for the Office of the Administrator and the Office of Policy, Planning and Evaluation. These offices did not receive Superfund resources after FY 2000.
 - These numbers excluded resources allocated for the Brownfields program.
- The Superfund program's research function decreased by 9.8% percent in total dollars and 14.5% in FTE. (The Office of Research and Development receive resources for their Superfund work in the Science and Technology appropriation).
 - This excludes resources devoted to homeland security.
 - The Office of the Inspector General's total funding increased by 17.6% and its FTE decreased by 4.9% from FY 1999 to FY 2003. (The Office of the Inspector General receive their resources in the Inspector General appropriation).

A more detailed summary of Agency resources devoted to the Superfund program can be found in Appendices D, E and F. Appendix D summarizes Superfund resources by national program manager (NPM). NPM includes resources managed by both headquarters and regional organizations. Appendix E summarizes Superfund resources managed by EPA Headquarters organizations while Appendix F provides a summary of Superfund resources managed by the EPA Regions. Each of the tables found in these appendices provide detailed FTE and dollar resources data, including information on payroll, travel and contracts.

Table 1: Superfund Program Resources (FTE and Total Dollars)*
FY 1999 and FY 2003

Function/Organization	FY 1999 OP Plan				FY 2003 Op Plan				% FTE Change FY99-FY03	% \$ total Change FY99-FY03
	FTE	\$Total	FTE (% of Total)	\$ (% of Total)	FTE	\$Total	FTE (% of total)	\$ (% of Total)		
RESPONSE										
OSWER Hdqtrs	228.9	\$ 140.00	6.1%	9.3%	219.8	\$ 121.20	6.4%	9.6%	-4.0%	-13.4%
Regions	1287.3	\$ 772.90	34.4%	51.6%	1239.8	\$ 690.40	35.8%	54.6%	-3.7%	-10.7%
Sub-Total	1516.2	\$ 912.90	40.5%	60.9%	1459.6	\$ 811.60	42.2%	64.2%	-3.7%	-11.1%
Homeland Security										
Hdqtrs			0.0%	0.0%	22.0	\$ 22.20	0.6%	1.8%		
Regions			0.0%	0.0%	33.0	\$ 15.80	1.0%	1.2%		
Sub-total			0.0%	0.0%	55.0	\$ 38.00	1.6%	3.0%		
Brownfields										
Hdqtrs	17.4	\$ 30.30	0.5%	2.0%						
Regions	56.9	\$ 59.70	1.5%	4.0%						
Sub-total	74.3	\$ 90.00	2.0%	6.0%						
Other Federal Agencies										
DOI		\$ 1.00		0.1%		\$ 1.00		0.1%		0.0%
FEMA		\$ 1.10		0.1%		\$ 1.10		0.1%		0.0%
USCG		\$ 4.80		0.3%		\$ 5.50		0.4%		14.6%
NOAA		\$ 2.40		0.2%		\$ 2.40		0.2%		0.0%
OSHA		\$ 0.70		0.0%		\$ 0.70		0.1%		0.0%
NIEHS		\$ 60.00		4.0%				0.0%		-100.0%
ATSDR		\$ 76.00		5.1%				0.0%		-100.0%
Sub-Total		\$ 146.00		9.7%		\$ 10.70		0.8%		-92.7%
Base Restoration & Closure	143.0				77.5					
OAR	12.0	\$ 2.30	0.3%	0.2%	15.0	\$ 2.20	0.4%	0.2%	25.0%	-4.3%
TOTAL RESPONSE	1745.5	\$ 1,151.20	46.7%	76.8%	1607.1	\$ 862.50	46.5%	68.2%	-7.9%	-25.1%
ENFORCEMENT										
OECA Hdqtrs	199.3	\$ 32.50	5.3%	2.2%	197.8	\$ 35.60	5.7%	2.8%	-0.8%	9.5%
Regions	959.3	\$ 112.20	25.7%	7.5%	925.3	\$ 106.40	26.8%	8.4%	-3.5%	-5.2%
Sub-Total	1158.6	\$ 144.70	31.0%	9.7%	1123.1	\$ 142.00	32.5%	11.2%	-3.1%	-1.9%
Homeland Security										
Hdqtrs			0.0%	0.0%	6.0	\$ 0.80	0.2%	0.1%		
Regions			0.0%	0.0%			0.0%	0.0%		
Sub-Total			0.0%	0.0%	6.0	\$ 0.80	0.2%	0.1%		
Brownfields										
Hdqtrs										
Regions	5.8	\$ 0.40	0.2%	0.0%						
Sub-Total	5.8	\$ 0.40	0.2%	0.0%						
DOJ Transfer		\$ 29.00	0.0%	1.9%		\$ 28.00	0.0%	2.2%		-3.4%
Total ENFORCEMENT	1164.4	\$ 174.10	31.1%	11.6%	1129.1	\$ 170.80	32.6%	13.5%	-3.0%	-1.9%
MANAGEMENT & SPT										
OARM										
OARM Hdqtrs	115.6	\$ 57.50	3.1%	3.8%	105.9	\$ 62.80	3.1%	5.0%	-8.4%	9.2%
Regions	197.3	\$ 31.20	5.3%	2.1%	124.5	\$ 21.80	3.6%	1.7%	-36.9%	-30.1%
Sub-total	312.9	\$ 88.70	8.4%	5.9%	230.4	\$ 84.60	6.7%	6.7%	-26.4%	-4.6%
Brownfields										
Regions	1.3	\$ 0.10								
Total OARM	314.2	\$ 88.80	8.4%	5.9%	230.4	\$ 84.60	6.7%	6.7%	-26.7%	-4.7%
OEI										
OEI Hdqtrs			0.0%	0.0%	4.5	\$ 8.80	0.1%	0.7%		
Regions			0.0%	0.0%	27.7	\$ 10.20	0.8%	0.8%		
Total OEI			0.0%	0.0%	32.2	\$ 19.00	0.9%	1.5%		

Function/Organization	FY 1999 OP Plan				FY 2003 Op Plan				% FTE Change FY99-FY03	% \$ total Change FY99-FY03
	FTE	\$Total	FTE (% of Total)	\$ (% of Total)	FTE	\$Total	FTE (% of total)	\$ (% of Total)		
OCFO										
OCFO Hdqtrs	84.7	\$ 14.80	2.3%	1.0%	76.9	\$ 14.10	2.2%	1.1%	-9.2%	-4.7%
Regions	158.3	\$ 10.50	4.2%	0.7%	144.1	\$ 14.40	4.2%	1.1%	-9.0%	37.1%
Sub-total	243.0	\$ 25.30	6.5%	1.7%	221.0	\$ 28.50	6.4%	2.3%		
Brownfields										
Regions	0.8	\$ 0.10	0.0%	0.0%						
Total OCFO	243.8	\$ 25.40	6.5%	1.7%	221.0	\$ 28.50	6.4%	2.3%	-9.4%	12.2%
OGC										
OGC Hdqtrs	8.2	\$ 1.30	0.2%	0.1%	4.4	\$ 0.80	0.1%	0.1%		
Regions	21.1	\$ 1.90	0.6%	0.1%			0.0%	0.0%	-100.0%	-100.0%
Sub-total	29.3	\$ 3.20	0.8%	0.2%	4.4	\$ 0.80	0.1%	0.1%		
Brownfields										
Regions	1.1	\$ 0.10	0.0%	0.0%						
Total OGC	30.4	\$ 3.30	0.8%	0.2%	4.4	\$ 0.80	0.1%	0.1%	-85.5%	-75.8%
OA										
OA Hdqtrs	11.8	\$ 1.00								
Regions		\$ 3.10								
Total OA	11.8	\$ 4.10								
OPPE										
Brownfields	5.9	\$ 0.90	0.2%	0.1%						
TOTAL OPPE	5.9	\$ 0.90	0.2%	0.1%						
TOTAL M&S	606.1	\$ 122.50	16.2%	8.2%	488.0	\$ 132.90	14.1%	10.5%	-19.5%	8.5%
OIG	99.0	\$ 10.80	2.6%	0.7%	94.1	\$ 12.70	2.7%	1.0%	-4.9%	17.6%
ORD	124.9	\$ 39.80	3.3%	2.7%	106.8	\$ 35.90	3.1%	2.8%	-14.5%	-9.8%
Homeland Security			0.0%	0.0%	33.2	\$ 49.70	1.0%	3.9%	0.0%	0.0%
Total Research	124.9	\$ 39.80	3.3%	2.7%	140.0	\$ 85.60	4.0%	6.8%	12.1%	115.1%
Grand Total	3739.9	\$ 1,498.40	100.0%	100.0%	3458.3	\$ 1,264.50	100.0%	100.0%	-7.5%	-15.6%
Grand Total (w/o BRAC)	3596.9	\$ 1,498.40			3380.8	\$ 1,264.50			-6.0%	-15.6%

*Total dollars do not include carryover from previous year

** Numbers may not add due to rounding

RENT was \$34.3 million in FY 1999 and \$42.7 million in FY 2003

Chapter 2: **Improving Superfund Program Integration and Communication**

The success of the Superfund program has been and is dependent upon the partnership and collaboration of many of the Agency Offices and all of the Regions. The issues identified in this section of the study are those issues which could both strengthen this partnership and affect all offices that have Superfund responsibilities and resources. In addition, the Study team has identified some global program issues which could impact multiple offices. Some of these issues may have more detailed recommendations in other chapters.

Improving Overarching Leadership

Several interviewees suggested a need for greater overall program coordination and integration of the efforts among the various offices (including the Regions) with Superfund responsibilities. With resources spread broadly across multiple EPA headquarters offices and the Regions, efforts end up less focused and less mutually supportive because different parts of the organization see themselves as beholden to their own program areas, rather than responsible for achieving overarching programmatic goals and mandates.

Recommendation 1: The Deputy Administrator should create an internal Superfund Board of Directors to improve program coordination, integration and accountability. The Office of Solid Waste and Emergency Response (OSWER) Assistant Administrator would chair this board which will be made up of EPA Assistant Administrators who manage Superfund resources and functions. The board would be co-chaired by the Office of Enforcement and Compliance Assurance (OECA) Assistant Administrator. Regional input would be secured at a minimum through the participation of the lead Region for Superfund. The board would address cross-cutting issues, set overarching Agency policies and priorities, and provide analytical support on cross-cutting management issues. (A rotating staff—detailed for six months at a time—could conduct analyses like those identified in this report, and the board could then act upon the findings.) (Near term)

The study team has identified four additional options as alternatives to the above recommendation:

Option 1: Designate a Senior Superfund Program Manager with responsibility and authority across all Superfund resources. Under this proposal, this individual would report directly to the Deputy Administrator, and the function would be the person's sole duty. The Senior Superfund Program Manager would focus on overall Agency-wide management issues, rather than on response execution (i.e., not oversight/review of remedy selection).

Option 2: Fulfill the same function as in Option 1 through a multi-office Deputy Assistant Administrator-level Board of Directors that includes regional representation. This approach recognizes that because several EPA headquarters offices and Regions have a stake in decisions and a role in their implementation, having broad input and shared decision-making responsibility is appropriate. Under this option, leadership of this board would rotate regularly.

Option 3: As a hybrid of Options 1 and 2, establish the Senior Superfund Program Manager position and designate a Superfund Board of Directors. The Senior Superfund Program Manager would chair the board and serve on behalf of the Deputy Administrator.

Option 4: In lieu of a Senior Superfund Program Manager, designate or delegate as much responsibility and authority for the Superfund program as possible to the OSWER Assistant Administrator, who would be responsible for setting Agency-wide Superfund policy spanning response, enforcement, research and development, and resource management, with all the staff working in these areas taking policy direction from this single Assistant Administrator.

Articulating the Goals and Measuring Progress of Today's Superfund Program

A clear strength of the Superfund program is its ability to mobilize a range of technical and programmatic assets to accomplish a variety of tasks. Far from a one-dimensional cleanup program, Superfund has continued to apply new approaches, like the use of Superfund Alternative Sites, and adopt new ways of leveraging other authorities and resources to achieve cleanups.

One reason the Superfund program has evolved in this way is the significant change in the type and number of sites. Today's Superfund sites are far more varied than sites like Love Canal and Valley of the Drums, which provided the initial impetus for the program's formation. Listing such a wide variety of sites has, in turn, created the expectation among many groups that Superfund will virtually always be a safety net to provide cleanups when other response mechanisms or programs cannot achieve them. This strength has created an expectation that Superfund will rise to the task when new or significant problems arise. Perhaps the most recent example is the application of EPA's capability to respond to terrorist incidents and the *Columbia* space shuttle disaster.

The availability of so many options and permutations, however, also can be a weakness if the goals of the Superfund program are not clearly identified and articulated. Currently,

with respect to National Priorities List (NPL) sites alone, the program is seeking to meet at least four different goals: completing all construction at a site, maintaining work at all ongoing remedial actions, addressing worst sites first for new starts, and making sites ready for reuse. Also, some EPA Regions have an additional and significant commitment to cleaning up Superfund Alternative Sites. All of these goals are competing for the same limited resources. The study team's sense from discussing the Superfund program with a wide spectrum of interested parties is that, at present, program leadership needs to more finely hone the program's goals and more clearly articulate the relative priority among these goals.

Recently, even the emphasis on directing more resources to remedial actions (the focus of this report) suggests an opportunity to improve how the Agency tracks and communicates both internally and externally the accomplishments of the Superfund program. For example, if a traditional remedial action, a non-time-critical removal, a Superfund Alternative Site cleanup, and a state voluntary cleanup program remedy motivated by a threat of potential NPL listing all achieve substantially the same result, why is the Agency not more accomplished at gathering data on these actions and reporting them collectively as a success story? EPA has begun to do this by reporting Superfund Alternative Site completions in the same way as NPL completions, but until the Agency can report on the full impact of Superfund, its observers, including members of Congress, will not understand how much the program has actually accomplished.

Discussions during many of the interviews conducted by the study team, and the regional responses to interview questions, suggest that Superfund performance measures often do not encourage program coordination, cooperation, and collaboration. This is part of the reasoning behind the recommendation for the Superfund Board of Directors presented in the previous section, but it also points to the need for more clearly defined and articulated goals for the program.

Recommendation 2: Senior program managers should evaluate the program's current goals and objectives and clearly communicate the hierarchy among these goals to ensure that Superfund resources are properly directed to achieve the Agency's most important goals. This action is critical in the area of NPL site cleanups to ensure that the limited funds available for long term cleanups (remedial actions) are maximized and appropriately allocated. (Near term)

Recommendation 3: OSWER and the lead Region should spearhead an effort to develop performance measures that are consistent with the newly articulated hierarchy of goals. For example, if the Agency decides to count cleanups, no matter what the source, the performance measure should include NPL construction completions, Superfund Alternative Site completions, removal actions that complete all of the work at an NPL site, and voluntary cleanups. (Near term)

Clarifying the Role of the NPL

The study team's interviews support the view that a strong federal Superfund program—which includes listing, studies, and cleanups, as necessary—is vital to the success of the Brownfields and state voluntary cleanup programs. A robust federal program provides a powerful incentive for private parties to do work under state regulatory and voluntary programs. The continued listing of sites on the NPL is needed to create the “gorilla in the closet” effect, which increases the effectiveness of these other programs. A strong and balanced federal program also encourages responsible parties to undertake cleanup, whether at an NPL or non-NPL site.

In addition, if the Agency artificially constrains NPL listing, it is not accurately depicting for Congress or the public the true magnitude of the potential Superfund universe. Although fewer sites today than at the program's inception require NPL listing, many of the people interviewed by the study team fully expect the need for listing to continue. The challenge is to create a list of sites that truly need to be addressed, while being mindful of the potential to create a backlog of NPL sites that lie dormant due to a lack of funds.

Recommendation 4: OSWER and the Regions should work together to maintain a sufficient rate of listing on the NPL to provide a clear incentive for potentially responsible parties (PRPs) to perform work under the Superfund program as well as other programs or authorities. (Near term)

Using Fund-Lead Work as an Enforcement Lever

Individuals inside and outside EPA have noted the importance of managing the annual appropriation so that it is clear to PRPs that sufficient funds are always available for starting cleanup work, if they fail to. Without those funds (and a general awareness of those funds), PRPs have less of an incentive to negotiate with the Agency to conduct work at sites, and the recalcitrant behavior of some PRPs is not quickly addressed.

Recommendation 5: OSWER should allocate resources to start Fund-lead actions (work conducted at Superfund sites by EPA) at every step in the Superfund pipeline, thereby motivating PRPs to commit to taking on work and freeing up appropriated dollars over the longer term. (Near term)

Supporting EPA's One Cleanup Goal

The One Cleanup Program is EPA's vision for managing its various cleanup programs so that at all levels of government can work together to improve the coordination, speed, and effectiveness of cleanups at contaminated sites. The program envisions similar outcomes for similar site situations, regardless of whether EPA is cleaning up a Superfund site, a Resource Conservation and Recovery Act (RCRA) corrective action site, or a leaking underground storage tank. For the same pollutants in a similar situation, the program should achieve an equivalent result.

To achieve this goal, EPA is implementing and promoting management activities that require coordination and planning among the various EPA, state, tribal, federal, and local cleanup programs. EPA is also developing information systems that will allow different programs to easily share and communicate cleanup information to the public. Finally, EPA is collaborating with its partners to develop better performance measures that demonstrate the overall effectiveness and benefit of the nation's combined cleanup efforts.

Recommendation 6: OSWER should promote the One Cleanup Program more aggressively and set more ambitious targets for policy and guidance development in order to continue to improve the coordination, speed, and effectiveness of cleanups. (Near term)

Recommendation 7: OSWER and OECA should build upon their work to improve and strengthen performance measurement by establishing measures that encourage the various cleanup approaches to complement each other. For example, OSWER could adopt a measure that treats a Superfund Alternative Site completion like an NPL construction completion, and an NPL construction completion like a fully protective removal action. OSWER should also consider broadening this measure to incorporate RCRA corrective actions under a “one cleanup” umbrella. (Near term)

Measuring Performance

At one time in the past, tracking and reporting Superfund accomplishments were overemphasized, and virtually every milestone in the cleanup process was closely monitored. Regions were able to assert that the administrative burden of this work hardly justified the trade-off in available time to perform work more directly related to actual cleanups. Today, although many of these measures remain, EPA is recognizing the need for more integrated performance measures and monitoring tools. Consequently, the Superfund program is developing useful and appropriate efficiency measures. This effort was selected to receive additional support through the Office of the Chief Financial Officer/Office of Policy, Economics and Innovation (OCFO/OPEI) Measures Development competition. To date, the program has convened a workgroup to brainstorm and study a wide variety of potential efficiency measures, including long-term efficiency, annual efficiency, and program management types of measures. Current efforts are focused on the feasibility, appropriateness, and usefulness of the identified potential measures. The program plans to select and implement at least one new measure for FY 2005.

Recommendation 8: All national program managers (NPMs) with Superfund resources, with their Lead Regions, should adopt and track a manageable number of meaningful regionally specific performance measures; ensure data systems are in place to facilitate timely and accurate reporting; and consider using measures beyond traditional cleanup milestones, including financial management, resource utilization, and cost recovery effectiveness. (Near term)

Recommendation 9: OSWER and OECA should consider adopting goals that cut across different program activities (e.g., cleanup completions through use of any tool or combination of tools) to improve teamwork and gain full recognition for all work that produces similar outcomes. (Near term)

Preventing Future Sites

The prevention of a continually expanding Superfund site universe will depend largely upon a strong RCRA program. Some sites are on the NPL that as a direct result of insufficient financial assurances to fund the cleanup necessary when the facility at that location ceased operation. Similarly, removal actions occur at RCRA generators, which are not required to provide financial assurances. The Agency eventually lists some of these sites on the NPL.

A number of interviewees think that certain decisions made in the RCRA program may result in the need for additional future cleanups under Superfund. For example, there is a fairly broadly held belief that EPA could substantially reduce future Superfund workload if it revamped regulations and policies that enable the start-up and continuation of operations that handle hazardous wastes, but whose financial and/or technical wherewithal to prevent or respond to releases is questionable.

Recommendation 10: OSWER should evaluate the history of NPL listings and removal actions to determine what percent were RCRA treatment, storage, and disposal facilities or hazardous waste generators and to what extent these facilities present a continuing burden to the Superfund program. (Near term)

Recommendation 11: If the evaluation confirms a high correlation with RCRA-regulated facilities, OSWER and OECA should examine different approaches to financial assurance under the RCRA program to reduce the likelihood of RCRA-regulated facilities becoming part of the future Superfund universe. (Long term)

Recommendation 12: For facilities not covered under RCRA, OSWER should study whether promulgating new regulations under CERCLA's broad financial assurance authorities could reduce the future needs of the Superfund program. (Long term)

Communicating Program Funding Within and Outside of EPA

Congress and others outside the Agency have expressed concern that the Agency is not spending enough money on cleaning up Superfund sites. In its FY 2004 report, the Senate Appropriations Committee noted that the Agency was spending only 16 percent of the annual appropriation on site construction and long term response actions and directed the Agency to spend no less than the 22 percent of the annual appropriation. When the Conference Committee completed its work on the Agency's 2004 budget, it did not direct the Agency to target a specific percentage of funding to site construction.

A concern within EPA is that expenditures for long term cleanups (remedial actions) and long term response actions do not represent all of the funding being spent on cleanups. The percentage referenced by the Senate Appropriations Committee understates the true amount invested in cleanup because it only represents the money going to contractors and other federal agencies. But more importantly, it does not include other key activities that are speeding up all long term cleanups at Superfund sites. (The Agency does not estimate specific payroll costs each year for these individual activities. Therefore, the Agency could only capture these costs after the year ends.)

The cost of cleanup should include:

- The cost of short term cleanups (removals) at NPL sites;
- The cost of long term cleanups (remedial actions) and post construction work at NPL sites;
- The cost of overseeing potentially responsible parties (PRPs) cleanup actions; and
- The EPA payroll costs associated with these actions.

Even the costs described above do not capture the very real costs of all of the necessary steps that must occur before a site reaches the cleanup phase. These costs include:

- The cost of addressing immediate public health concerns (removal actions) at non-NPL sites;
- The cost of discovering, listing, and studying sites to choose the right cleanup approach;
- The cost of gathering analytical data to support the science behind the cleanup;
- The costs that support the identification of, and negotiations and settlements with, PRPs to conduct feasibility studies and site designs; and
- The cost of technical assistance from the Office of Research and Development for site characterization and remedy selection.

Over 70 percent of Superfund cleanups are currently performed by PRPs as a result of the Agency's vigorous enforcement program. The costs of the enforcement program typically are not included as part of the cost of cleanups.

Recommendation 13: The Agency should collect data at the end of the budget year on the amount of funds spent on cleanup or on those activities that are necessary to get to the cleanup phase and communicate the cost of cleanups more effectively. (These amounts would include the contract and payroll costs associated with the activities defined above). (Near Term)

Allocating Superfund Dollars Effectively

As part of its internal budget allocation process, EPA set up distinctions and definitions for Superfund dollars, which are used today by Congress and the Office of Management and Budget (OMB). However, these definitions have become self-imposed limitations, resulting in unnecessary internal transaction costs when money needs to be moved around

or funds “transformed” for different uses. For example, in FY 2004, for response activities, the Regions now receive four separate allocations of contract funds in addition to a separate allocation for payroll.

Recommendation 14: OSWER and the Regions, in coordination with OCFO, should work together to identify ways to simplify the internal budget structure. If needed, the Agency can work with OMB and Congress to implement the new structure so that funds can be used as efficiently as possible. (Long term)

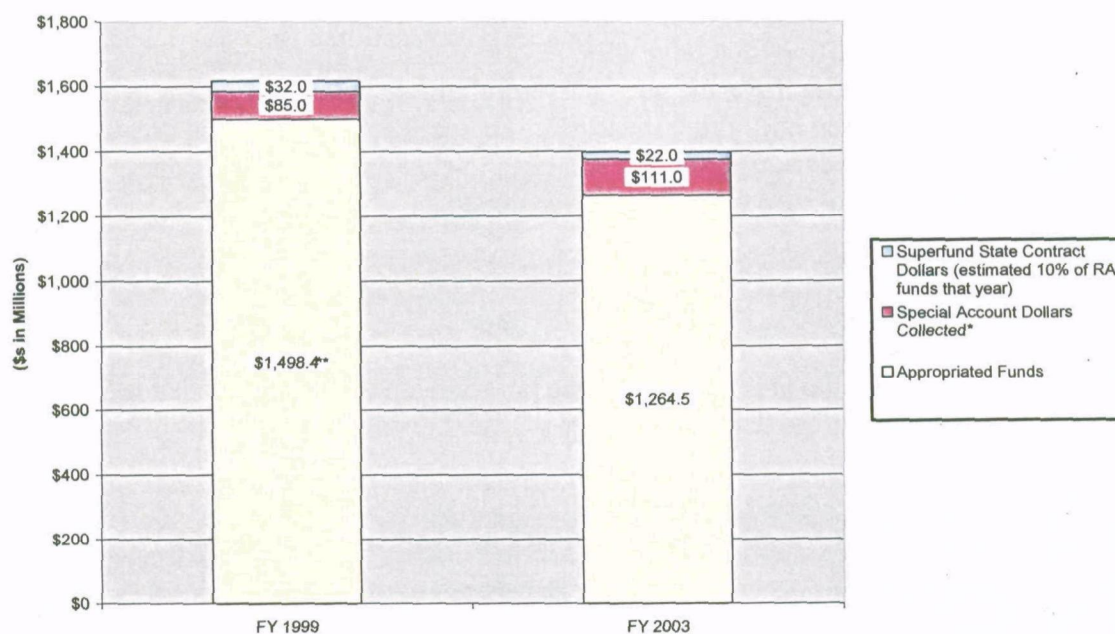
Improving Understanding of Funding Availability

Individuals inside and outside the Agency expressed a range of opinions on how Superfund funding has been allocated and spent over the years. These perceptions include a belief that only certain portions of the program have been cut by the President, Congress, or as part of the development of the Agency’s Operating Plan. In addition, some people feel that EPA offices or Regions have not always spent the funds they have received. Several people outside the Agency strongly expressed the opinion that the original allocations made at the Superfund program’s inception need to be examined closely to determine if they still meet the needs of the program as it has evolved.

To complicate the issue further, the program has not always communicated the total dollars available to conduct its work. For example, the Agency began establishing special accounts many years ago, and the states are statutorily required to provide 10 percent of the funding for remedial actions. These dollars, however, are not identified as a part of the Agency’s funding to conduct its program.

Recommendation 15: OSWER and OECA should include special account and state cost share as they allocate funds internally and communicate funding availability. (Near term)

Figure 1: Superfund Dollars for FY 1999 & 2003 from Appropriations, Special Accounts, and Superfund State Contracts
(\$ in millions)



*Dollars may only be used consistent with the consent decree.

**The FY 1999 operating plan included funding for the Brownfields program (\$90 million) and ATSDR and NIEHS (\$130 million). These programs were funded by other appropriations in FY 2003.

Reducing Costs to Meet Numerical Targets

As discussed earlier, the Superfund program in recent years has lacked the funds to start all long term cleanups that are ready to begin. While this shortfall cannot be overcome by programmatic and resource changes alone, on numerous occasions, interviewees noted that the Superfund program lacks an "always look for the most cost-effective approach" culture. Although this critique is difficult to confirm or refute empirically, it seems likely that across such a large budget, there is room for improvement if the pressure is there to find it. Several individuals suggested the need to establish specific numerical budget-reduction targets as a forcing mechanism to motivate innovation and creativity within the appropriated budget. The notion is that mandated, tangible reductions that can be set and tracked are much more likely to result in meaningful or innovative cost-saving efforts than general encouragement or direction. The program could then direct resources from the mandated reductions to identified priorities (e.g., remedial action funding or enforcement contracts). This approach offers several options for achieving reductions:

Option 1: *Pro rata cut* – The Agency should execute an across-the-board, pro rata cut based on an estimated need for remedial action funding, and should make exceptions only on an extremely limited basis. (Near term)

Once the cut is made, each organization can propose how it intends to implement the reduction. This approach assumes there is enough leeway in all major areas supported by Superfund dollars to make an across-the-board cut possible without weakening the program, and also maximizes “sharing of the pain.” On the other hand, this approach will seem inequitable to offices that have adopted cost-conscious practices, and will effectively reward those that have not. Therefore, this approach may need to be in addition to—not in lieu of—other measures. To avoid actually slowing down cleanup progress due to these cuts, the Agency will need to examine where efficiency improvements can make up for decreased resources.

Option 2: *Targeted cut* – The Agency should mandate specified numerical reductions, but target the reductions by amount and organization. (Near term)

This approach offers the ability to recognize program areas and offices that have already received reductions or are striving for more efficient resource utilization.

Option 3: *Hybrid approach* – The Agency should set numerical targets in a tiered structure, to achieve a hybrid between Option 1 and Option 2. (Near term)

Under this option, the Agency would establish both a relatively low-percentage, across-the-board cut, as in Option 1, and additional percentage cuts tailored to specific functions or organizations. This hybrid approach would acknowledge the distinction between leaner, more efficient areas and areas that appear to be capable of sustaining steeper reductions, while also preserving the notion that everyone is required to participate.

Option 4: *No initial cuts* – The Agency should make no cuts initially until it has implemented some of the programmatic and management recommendations. (Long term)

Sharing Regional FTEs and Resources across Regions

Nationally, the Superfund program has the skills and resources that have resulted in cleaning up almost 900 NPL sites and over 7000 removal actions. However, since the FTE distribution has remained relatively unchanged by Region since the early 1990’s, some Regions have been able to complete more of their Superfund workload than other Regions.

In addition, programmatic needs have change. For example, the emergency response program has focused its work more nationally since September 11, 2001, with emergency response assets in each Region strategically aligned to help respond to larger-scale emergencies in other Regions. Work at sites after construction has been completed has also grown significantly as more and more sites are completed.

Also, Region 7's acquisition branch also services Region 10. While the savings of this consolidation have not been quantified, Region 10 believes that the benefits clearly outweigh the costs. It seems reasonable to assume that further consolidation of contracts administration or other administrative functions (e.g., human resources, grants management) would yield additional benefits.

Certain Regions clearly have developed strong programmatic capabilities in certain key areas (e.g., PRP searches and contracting) relative to other Regions. In some instances, one Region has a strong capability, but over time forecasts a decreasing need for that capability, while another Region has that same need but has fewer FTE to do the work.

The interviews suggest that in the longer term, the overall FTE allocation among the Regions needs to be revisited more fundamentally. In the early 1990's, the Agency chose to no longer redistribute staff positions across the Regions on an annual basis, effectively "freezing" the number of positions each Region receives. Therefore, baseline FTE allocation has not been adjusted even though workloads have changed. A strong perception – at the very least – remains that some Regions continue to reap a windfall from this freezing of the FTE allocation.

The Agency has begun to develop workforce strategies that will assist every organization with evaluating its current workforce's skills and abilities and planning for the Superfund program's short and long term needs. For example, in the interviews, many managers talked about the current and future issues that they and their staff are addressing, including needing a better understanding of insurance and learning how to accelerate cost recovery as the number of bankruptcies increases. Another emerging area is post-construction care or assuring proper long term operations and maintenance at completed sites. Many sites, although the responsibility of the states (for funding operation and maintenance) or run by PRPs, will continue to require Agency attention. Many sites where construction is complete have institutional controls in place to restrict access because waste has been left on site. Monitoring and conducting the statutorily required reviews of these sites will require expertise and resources, but much of this work, unlike remedy selection and construction, could reasonably be shared between Regions.

Recommendation 16: All national program managers with Superfund resources should evaluate and pursue opportunities for greater resource or work sharing among Regions, especially in support areas. Where appropriate, the Agency should establish consolidation targets, such as a specific number of contract management "centers" to support all ten Regions, or specific types of analytical support being conducted by the regional laboratories. (Long term)

Recommendation 17: The lead Region should facilitate a process that takes advantage of capabilities already developed and demonstrated in areas of programmatic specialization by encouraging Regions with needs in these areas to obtain support from the Regions with the capability and capacity to take on more work. No actual FTE adjustment is necessarily envisioned to implement this measure. Rather, the Region with the established competency would be allowed to keep its FTE in return for assuming

work to fill its capacity, while the Region with the need would be expected to transfer its work, rather than receive more resources to acquire or develop its own competency. Work for consideration could include a full range of activities from PRP searches and technical assistance to cleaning up an entire site. (Long term)

Recommendation 18: The Agency should conduct benchmarking studies of regional performance in both management and programmatic areas to ensure that all aspects of the program are focusing on improving performance. Once an activity is benchmarked, relevant offices should develop measures to ensure that underperforming Regions improve their performance to benchmarked levels. Those measures could then be used as standards for performance. (Long term)

Recommendation 19: The Agency should execute other smaller-scale adjustments as appropriate, and begin setting the stage now for redistributing staff positions in FY 2007, after the consolidations, specializations, and results of benchmarking have been reviewed and incorporated. (Near term)

Evaluating Headquarters FTEs

By design, the Regions conduct the bulk of the Superfund program. When Superfund was in its infancy, it was appropriate for regional implementation to be supported and guided by a strong, centralized programmatic policy and oversight apparatus. Although headquarters offices have reduced staffing levels in recent years, the question arises as to whether the current level of headquarters staffing and skill mix is appropriate, now that the program has matured.

Recommendation 20: The Agency should evaluate headquarters Superfund FTE and make every effort to redirect resources to activities that more directly contribute to site cleanups. (Near term)

Moving Funding via Immediate, One-time Opportunities

Interviews and data reviews have helped identify a number of one-time opportunities to gain access to sums of money that could be distributed to remedial action work or other priorities. Despite a number of years with total deobligations in the \$100 million range, significant amounts of money remain underutilized. Some Regions appear to be holding this money as a hedge against tough financial times; the impetuses for this study suggest that the Superfund program is experiencing these tough financial times. Three potential areas for consideration include:

LAGs, Grants, and Contracts—Even with the increased focus in recent years on grants and contracts management, opportunities continue to exist across the country for closing out LAGs, grants, and expired contracts. Reinforcing established policies on when to process actions in conjunction with some enhanced incentives (e.g., setting aside a central pool of money to address indirect cost rate adjustments or other trailing costs, and simplifying the return of money

to the deobligating Region for priority work) could encourage Regions to free up funds for deobligation.

Superfund State Contracts—A review of site financial data and responses by interviewees revealed that in a number of cases the Agency has deferred the resolution of potentially tough issues related to Superfund State Contracts. In some cases, the Agency has been slow in returning to states overpayments of state matches. In other cases, the Agency has been equally slow to collect required state match payments. It also appears that the remedy selection process, through the use of interim records of decision, has deferred starting the clock for state take-over of potentially expensive long-term response actions. As a result, the program does not appear to have established and reinforced a clear expectation for the timely definition and completion of the appropriate state share of cleanup costs.

Special Accounts—In addition to discussions elsewhere in this report regarding utilization of funds from special accounts, in some cases special account dollars remain unobligated or unspent, even after a significant time beyond when work at a site has been completed. At present, there does not appear to be particular attention or pressure to identify and take the necessary steps to mobilize these funds to help complete priority work.

While the majority of the actions required to free up monies in these three areas may be routine, some of them may require policy and procedure revisions or clarifications. The keys to success in reviewing obligated funds for possible deobligations are leadership by one office and partnership across all offices and Regions. Over the last several years, OSWER has taken a leadership role bringing together OECA, the Office of Administration and Resources Management, OCFO and the Regions to focus on deobligating available funds from contracts. This partnership has been successful and is being expanded to include grants and interagency agreements. Also, while these one-time savings are important, and freeing up this money will help with the shortfall now being experienced for funding long term cleanups, this effort alone will not close the funding gap for these remedial actions. Without a clear definition of expectations for managing these funds and tracking of their management, significant funds could again accumulate in these accounts.

Recommendation 21: EPA Regions and Headquarters should establish a schedule for FY 2004 deobligations and initiate actions immediately so the funds will be available during this fiscal year. (Near term)

Recommendation 22: OSWER and OECA should review guidance and policies to ensure that they are addressing current and future needs and follow up with the Regions on using the guidance and policies. For example, the guidance on Superfund State Contracts is 14 years old and may need to be revisited to improve the timeliness of receipt, obligation, and expenditure of funds. (Near term)

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Chapter 3: Capitalizing on Lessons Learned for Cleanup Actions

As the heart of Superfund, the response program houses the staff and the resources needed to clean up sites, including both short-term removal actions and longer-term cleanups, known as remedial actions. Both parts of the response program have evolved to meet an ever-changing list of Superfund sites, ranging from drum disposal sites to landfills, abandoned smelters, and hard-rock mining sites. Today, in addition to conducting removals at National Priorities List (NPL) sites and traditional emergencies, on-scene coordinators (OSCs) are responding to events like the anthrax contamination on Capitol Hill or the *Columbia* Space Shuttle incident. Remedial project managers (RPMs) must also be prepared to handle new contaminants that have never been encountered on a site before, along with more common sites such as landfills, abandoned chemical plants and pesticide manufacturers.

The following discussion covers the different facets of the response program. Many of the recommendations are designed to build on the past success, experience, and lessons learned over Superfund's two-decade history. For example, increasing in-house work or reexamining the records of decisions (RODs) for certain sites are two recommendations that depend upon a mature response program. The ultimate success of several of these recommendations is assisted by a series of cost management initiatives that have already been initiated by the Office of Solid Waste and Emergency Response (OSWER). OSWER's initiatives include updating the National Remedy Review Board (NRRB) policy to expand the scope of the NRRB and encouraging the Regions to do more value engineering during site design. This study recommends very similar reforms.

Using the NPL as an Incentive for Voluntary Cleanup Work

In light of funding shortages for long term cleanups for existing NPL sites, there has been discussion in recent years that reducing the number of NPL listings is necessary in order to focus resources on existing sites. Much attention has also been given to maximizing the use of other state and federal cleanup authorities. While this is a sensible way to manage the program, most of the leaders interviewed who are involved with Superfund program implementation insist that the need to list sites on the NPL continues. Knowledgeable practitioners across the entire spectrum interviewed by the study team maintain that the legitimate potential of NPL listing encourages potentially responsible parties (PRPs) to clean up sites under various state and federal programs. Without this leverage, state Superfund and voluntary cleanup programs are less effective, and where PRPs are unwilling to step forward, sites can still be cleaned up by EPA.

Recommendation 23: OSWER should maintain a sufficient rate of listing on the NPL to function as an incentive for PRPs to perform work under the Superfund program as well as other programs or authorities. NPL listing is needed to relieve pressure on EPA response funds by ensuring that PRPs fund work that is needed sooner rather than later. (Long term)

Using Fund-Lead Work as an Enforcement Lever

Modest but meaningful investment in Fund-financed remedial investigation/feasibility studies (RI/FSs) in certain situations at NPL sites encourages PRPs to do the up-front studies and conduct subsequent remedial actions. Experience shows that in circumstances where PRPs are actively resisting doing work at a site, allocating some funds to enable EPA to conduct RI/FSs actually increases PRP participation overall. Greater PRP participation reduces the need for Fund-financed responses by EPA. Such an approach allows the Agency to deal swiftly and early with recalcitrance, sets the tone for later activity, and ensures there is no reward to PRPs for waiting for EPA to do the work.

When given a second chance after initially declining the opportunity to participate in—and thus help shape—site work, many PRPs reassess the potential benefits of conducting the remedy. They believe that they can perform the construction faster and more cost effectively than the government, and that they have greater control over the outcome. Because the Agency can recover its costs plus treble damages for any work it performs, knowing that EPA can and will conduct the work encourages activity and funding by PRPs. This is true not only prior to listing, but also increases the likelihood of PRP participation throughout the remedial process once a site is listed. PRP involvement historically tends to increase as projects move through the cleanup program. This may be due to a greater knowledge of the status of PRPs and/or the increased certainty once the remedy is selected.

Recommendation 24: While continuing to stress early PRP search activity and maximizing PRP involvement, OSWER should continue to target funds for Regions to begin RI/FS work early where PRP recalcitrance is evident. (This is analogous to the process used for remedial action funding.) (Near term)

Pursuing the Superfund Alternative Sites Approach

Under the Superfund Alternative Sites approach, EPA oversees PRP response actions at sites that are eligible for NPL listing but not listed. The benefits of this approach are prompt cleanup of high-risk sites, reduced need for EPA funding, and savings in time and energy otherwise required for site listing. Nevertheless, EPA still expends resources for oversight and, in many cases, for some of the site characterization (RI/FS). Such use of resources may take assets from NPL cleanups in the Region or elsewhere in the country. Moreover, because the Alternative Sites have not been subjected to any national priority ranking process, EPA generally has not demonstrated clearly the appropriateness of

addressing Alternative Sites relative to funding work at existing NPL sites. Superfund managers are quick to acknowledge the potential benefits of a properly formulated and managed Superfund Alternative Sites policy, but stress the need to ensure effective resource use by explicitly balancing the risks across the universe of NPL and non-NPL sites.

Currently, Regions vary in their use of Superfund Alternative Sites. Some promote the approach strongly, while others view it cautiously or find it too confining to be worth pursuing. PRP groups support some sort of alternative to the NPL, but because the current Superfund Alternative Sites approach closely mirrors the National Contingency Plan process with little perceived benefit to them, they do not support it enthusiastically. Among the criticisms heard during interviews were a lack of transparency on site assessment and information on pre-scoring, and inconsistency among Regions, leading some interviewees to characterize the approach as being subject to abuse. From their perspective, at least an NPL site goes through rigorous quality control and due process before listing. Many believe that clearer expectations and criteria should be established nationally for Superfund Alternative Sites.

Table 2: Percentage of NPL sites that are construction complete in a Region vs. number of Superfund Alternative Sites

Region	NPL listings as of 3/11/04*	CC as of 12/4/03	% of sites completed	# of SAS initiated as of 11/2003
1	112	53	47	1
2	262	120	46	8
3	206	119	58	1
4	210	128	61	20
5	300	221	74	39
6	120	65	54	6
7	81	43	53	16
8	67	26	39	9
9	126	55	44	0
10	99	60	61	9
total	1583	890	56	109

*Listing includes proposed, final and deleted

Beyond or instead of the formalized Superfund Alternative Sites approach, some Regions engage in work at other sites that are not listed on the NPL. For instance, on occasion a community may come to a Region with strong concerns about a state's performance at a site under its state Superfund program. The site may or may not qualify for the NPL, but the Region may deem it appropriate to invest significant remedial project manager (RPM) and other technical oversight resources to track the state's work and ensure community

concerns are being addressed. Some Regions consider having this kind of discretion important for the program's overall effectiveness and responsiveness.

Recommendation 25: OSWER should revise the Superfund Alternative Site policy to ensure that criteria for being a Superfund Alternative Site are uniform and that the Regions provide the PRPs and other interested parties with transparent site assessment and pre-scoring information. (Near term)

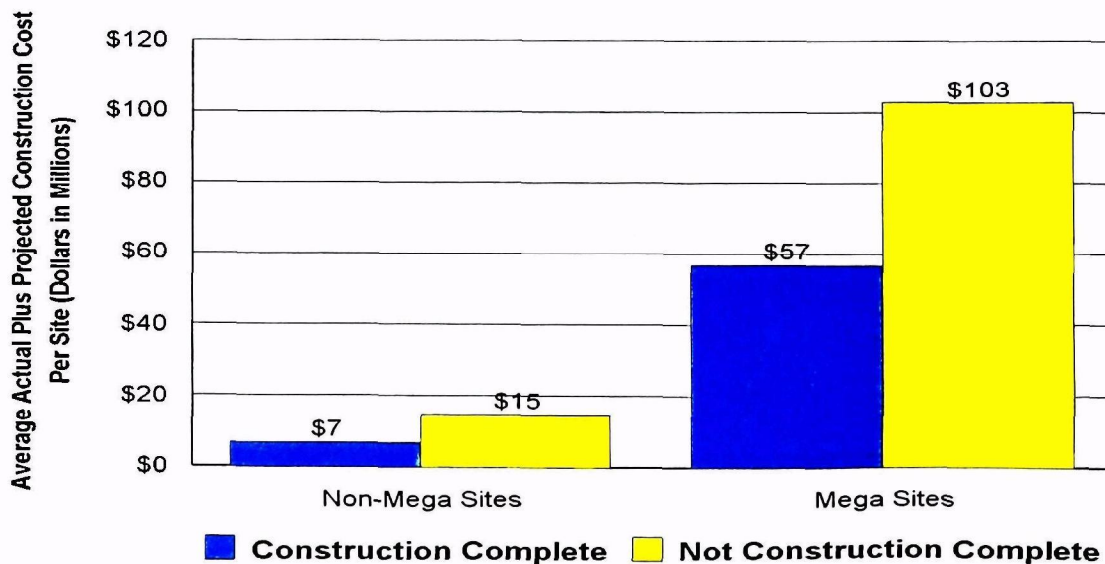
Recommendation 26: The Regions should establish and implement a process by which Superfund alternative sites are prioritized along with their NPL sites to ensure that response funds are being spent on the sites with the highest risk. Working on Superfund Alternative Sites would depend on the needs of, risks from, and progress on existing NPL sites. (Near term)

Recommendation 27: OSWER and the lead Region should work together to ensure all site cleanup work (including work completed under the Alternative Site program) is tracked and reported internally and externally to ensure the accomplishments of the national program are appropriately communicated to the public and Congress. (Long term)

Defining the Scope of Mega Sites Specifically and Early

When the Agency embarks upon listing a particular site on the NPL, the true scope of the problem often is not clear, particularly for potential mega sites. The risk to the program is that a relatively small number of very large and/or costly sites can encumber a significant percentage of the Agency's remedial action budget for many years to come.

Figure 2: Cost of Remaining Fund-Lead NPL Sites vs. Cost of Completed Sites



IFMS and FY 2003 CERCLIS Obligation Data for End of FY 2002
Costs Not Adjusted for Inflation

Several program managers discussed the need to establish the true scope of such sites more specifically as early in the process as possible. This could occur during the site assessment process or soon after NPL listing, especially where the cost to address all sources of risk may be beyond the program's resources. The longer the scope of such sites is left undefined (and therefore left broad by default), the greater is the likelihood that high expectations for a more expansive characterization and cleanup will arise and become solidified. Early attention is needed to ensure EPA makes well thought-out decisions about the scope of its intended remediation early enough in the response process to reduce the prospect of creating unachievable public expectations, and committing resources to relatively lower-risk problems at the expense of delayed response to higher-risk sites.

Recommendation 28: OSWER should work with the Regions to establish a process for national review of the scope of potential megasites at the time of listing to ensure that sites are properly characterized as early as possible so that out year funding needs can be more accurately forecast as part of the development of the President's budget. This process should also institute an approach to monitoring changes in the scope as the characterization work proceeds. (Long term)

Integrating Site Assessment Programs

With the creation and rapid growth of EPA and state Brownfields programs, issues have been raised about whether the Superfund site assessment program warrants changes. Is there still a need for the number of NPL listing-oriented assessments that are being conducted, given the site assessment program under the Brownfields program? Could the two site assessment programs work together in a more complementary way to enhance program effectiveness and reduce costs? If so, how?

Another area where better integration would be beneficial is prior to NPL listing. When RI/FS work and "enforcement first" activities can proceed prior to NPL listing, the Agency can make progress at sites much more quickly. For example, data gathering that is planned and conducted with a view not simply to listing the site but also to selecting a remedy represents a more efficient use of resources. To the extent the program gathers more of the necessary data the first time, it can speed up work on the site much more quickly and address site risks or other community concerns. The art lies in discerning likely NPL sites early enough in the pre-remedial stage to judge where to invest the additional resources sooner than would be typical. In an effort to do this, some Regions use a team approach for certain sites so that site assessment managers (SAM) and RPMs develop the data they need concurrently. In other Regions, the states do all of the site assessments and have integrated voluntary and traditional site assessment programs.

Best Practice: In Region 4, EPA and the state of South Carolina meet on a quarterly basis to assess all of the hazardous waste sites in the State, both NPL and non-NPL and jointly decide what are the most efficient methods to achieve clean up. Based on skills, capacity, and funding, the State and EPA decide who and how each site will be managed. By including good business principles in their joint decisions, sites are cleaned up with

timeliness and efficiency. Other Regions use a similar approach with some of their states.

Recommendation 29: OSWER should examine its site assessment criteria to ensure that the Regions are integrating the Brownfields site assessment objectives into the Superfund site assessment process in order to capitalize on potential programmatic efficiencies and resource savings. The Regions should continue to coordinate grant funding for site assessment work under the Brownfields program and state programs. (Near term)

Recommendation 30: The Regions should continue to make a standard practice of integrating site assessment work more fully with early-stage remedial work to expedite remedial activities and save resources. At the regional level, give greater support to the use of SAM/RPM teams in order to move targeted pre-NPL sites more quickly and appropriately into the remedial pipeline. (Near term)

Recommendation 31: OSWER should encourage more Regions to adopt the best practice (or "one list") approach to help ensure that the collective resources of EPA and the states are being utilized to achieve the greatest benefits. (Near term)

Expediting Cleanups Using Removal Program Authorities

The Agency has made substantial progress in encouraging the use of removal and remedial tools to address sites. Nevertheless, while the appropriate and judicious use of removal authorities can expedite cleanups at NPL sites or prevent sites from reaching the NPL, the Agency's current management and accountability systems and methodology for reporting to Congress do not fully recognize these benefits. Current performance measures do not track the combination of these activities, nor do they allow the Agency to take credit for the results of good intra-program management and coordination. For instance, when a removal at an NPL site addresses longer-term remediation goals, it is reported as a removal, and the dollars spent are not counted toward the totals spent for remedial actions. The reporting and "credit" gap is particularly notable when the removal program assists in achieving key outputs, such as completing construction at a site, or when a removal addresses the entire site and NPL listing is not necessary. In such cases, the Agency needs to consider how the significance of this work can be tracked and accounted for better.

To realize more fully the potential benefits of removal actions at NPL sites, the Agency may need to further reduce the organizational and procedural barriers to a cohesive team approach between removal and remedial programs. As stated in *Chapter 2: Improving Superfund Program Integration and Communication*, the funding categories currently used create impediments and may limit the Superfund program's ability to respond quickly and efficiently. For example, at a site where the remedy is obvious, such as a residential lead soil removal, the actual work may be accomplished more efficiently using removal authorities. Current policy limits to \$6 million the amount of funding spent on a site under the removal program. This may limit the scope of what the Agency can accomplish quickly and efficiently.

In cases where the cleanup methodology is known based on experience, the additional time and resources spent to list a site on the NPL may not be warranted. Moreover, communities may have a preference to have a site addressed without NPL listing. Across the country there appear to be divergent approaches to this issue. Some Regions prefer to list a site, while others see greater benefits in cleaning sites up through the removal program. National leadership is needed to maximize and balance the benefits of the removal and remedial programs coherently.

One current disadvantage of removals is the lack of state matching funds. Region 6 has adopted the practice of pursuing a 10 percent state cost share for removals that are not time critical. This approach ensures coordination of priorities with state counterparts and reduces the potential for appearing to circumvent the 10 percent cost share requirements of remedial actions. However, there is no statutory or regulatory requirement for this cost sharing, even though in such a circumstance it seems both fair and reasonable.

Recommendation 32: Since some sites have high risks but do not require an extensive study, OSWER should clarify the process for obtaining an exemption to the current dollar limit for cleanups under removals or re-circulate the current guidance. (Near term)

Option 1: To capture the benefits of removal program activities, OSWER should consider developing new ways of tracking and reporting removal actions. This would include work that (1) speeds cleanups at NPL sites and (2) completes cleanup of a site that typically would be listed on the NPL. (Near term)

Option 2: OSWER should explore adopting a consistent national approach that encourages Regions to ask states for a 10 percent cost share for non-time-critical removals to ensure buy-in from states on priority cleanups and to conserve federal resources for use at other high-priority sites in the Region. (Long term)

Balancing Competing Priorities with Homeland Security

Much of the same workforce that responds to emergencies and oil spills and conducts time-critical and non-time-critical removals also supports important homeland security responsibilities. Some of the interviewees stated that On-Scene Coordinators (OSCs) are being pressed into action for homeland security preparedness and response activities, taking time away from classic emergency response and removal activities. The affected Regions also noted that when multiple events of national significance occur, the removal program in the affected Region virtually shuts down. In addition, there is an impact on the removal program nationwide as supporting Regions send OSCs to assist in staffing the events.

During this same time, five additional staff positions were given to each Region to compensate for the increased homeland security workload. While large national incidents have virtually depleted some Regions of their staff, much of the actual costs of the incidents has been reimbursed. (The costs of responding to the World Trade Center,

Capitol anthrax problem, and the space shuttle *Columbia* were all reimbursed). In recognition of this depletion of staff at the time of an event, the Regions have begun to develop a response corps that draws on the expertise in other programs (e.g., RPMs, Resource Conservation and Recovery Act (RCRA) corrective action staff, and drinking water staff). Although contract money and additional staff have been provided to the Superfund program for homeland security, the Regions have stated that they have not been funded adequately for the training, equipment, and travel needed for the response capability expected of the Agency as specified in the Federal Response Plan. EPA has to prepare for its expanding role in preparedness for counter terrorism response and Homeland Security such as development of Continuity of Operation Plans and continuity of Government functions.

Recommendation 33: The Agency needs to find a permanent fix for the high-priority funding needed for the 50 homeland security FTEs that the Regions were required to hire. One approach is over the next two years, the Administrator could reduce the Superfund FTE in headquarters offices (excluding OSWER) to obtain the necessary funding for the 50 Regional homeland security FTE. (OSWER has already redirected 5 FTEs to support this effort). (Long term)

Recommendation 34: As part of the next budget process, the Agency should evaluate whether, above and beyond the initial FTE, the Agency needs more dollars and FTE to prepare for nationally significant incidents. (Long term)

Recommendation 35: Building upon the development of the Regional Response Teams, OSWER and the Regions should support more cross training among OSCs, RPMs, and SAMs to support removal efforts while OSCs are addressing nationally significant incidents. (Near term)

Preventing Potential Future Superfund Sites

During the more than 20 years of the Superfund program's existence, more than 7,000 removal actions have been conducted. There now should be sufficient data to perform a historical analysis of these actions to determine if any patterns are apparent. For example, are particular types of industry or businesses are more likely to require a removal action (or be listed on the NPL)? If certain categories repeatedly require removal actions, the Agency should evaluate what, if any, changes should be made to regulations, policies, or guidance.

Recommendation 36: OSWER should conduct an evaluation of historical removal actions to determine whether patterns exist in certain industries (Standard Industrial Classification codes). If the evaluation reveals that certain industries repeatedly end up on the NPL, the effort could go on to identify available or needed mechanisms by all authorities to address recurring issues. (Near term)

Examining the Role of the National Remedy Review Board and the Cost of Site Work

The selection of high-dollar remedies lead to the formation of a National Remedy Review Board (NRRB). While the board has reduced the cost of newly selected remedies, interviewees believe greater savings could be achieved if the board reviewed a broader universe of sites and site remedies. In addition, after remedies are selected (with or without NRRB review), selected remedies are not revisited to monitor the success and cost of their implementation. Sites that are reviewed by the board are not analyzed with an eye as to whether the remedy is being implemented in the most cost-effective manner. Both OSWER and the Study Team are examining the role of the NRRB; both groups appear to be reaching similar conclusions.

One common practice utilized by the construction industry to achieve greater cost efficiency is value engineering during the design stage. What value engineering adds to the process is a third party review of the detailed design to determine if there are any ways to accomplish the same goal at a lesser overall cost. The Superfund program has at times used value engineering, but its application is made much more complex by the statutory requirement to comply with all applicable and relevant and appropriate requirements (ARARs). These ARARs, particularly those which are only relevant and appropriate, often add cost to the remedy which a value engineering review quickly highlights as unnecessary. The selected remedy is required by law to meet these requirements. This makes the use of value engineering at Superfund site, while potentially helpful, very difficult to achieve in practice.

A mid-process review of costs can optimize long-term response actions and thus reduce costs. The initial Pump-and-Treat “Optimization Reviews” have been well received by both EPA and the states, and there appears to be value in expanding the expectation for these project reviews. Lessons learned in one Region or at one site need to be shared across the nation so that the same benefits can be realized across the program as quickly as possible.

The NRRB serves in an advisory nature to the Regions, per the charter, and submits recommendations for consideration. These recommendations are often incorporated into the remedy, but are at the discretion of the Regions. Comments were received that suggested there should be consultation with OSWER when a Region deviates from the board’s recommendations.

Recommendation 37: The work of the NRRB has resulted in reduced costs for selected remedies. OSWER should re-evaluate the criteria for identifying sites for scrutiny by the Board, with an eye toward expanding the number of sites undergoing review. One approach for expanding the number of sites may be to lower the estimated remedy cost threshold, while another may be to look at factors beyond a cost threshold, perhaps to include technology types, site uniqueness factors, or issues of national significance. (Near term)

Recommendation 38: Since the recommendations of the NRRB are optional for the Regions to implement, the charter of the board regarding accountability for implementing its recommendations made to the Regions should be revisited in light of the maturation of the program and the board's changing role. (Long term)

Recommendation 39: To ensure cost-efficient engineering of remedies, OSWER should require value engineering (review of design detail for cost efficiency) as a requirement for all remedies above a certain dollar level. As an example, particular attention should be paid to the energy and staffing costs of various designs for groundwater pump-and-treat facilities. (Near term)

Recommendation 40: OSWER should consider cost reviews of every site with a long-term response action (LTRA) to reduce remedy costs. Cost saving approaches should be shared across the regions. (Long Term)

Reviewing Specific Records of Decisions

One of the most significant decisions that the Agency makes in cleaning up a site is the remedy selection. Some sites with remedies selected many years ago, prior to Remedy Review Board and other Superfund remedy reforms, have not been constructed. New technology and experience may warrant a different, more efficient cleanup approach. At PRP-lead sites, remedy modifications have been common because the PRPs have great incentives to consider and evaluate potential cost efficiencies that achieve cleanup goals. Many EPA project and program managers have not perceived the same incentives to re-evaluate selected remedies at Fund-lead sites.

Now, as budgets have become tighter, looking closely at selected remedies and considering appropriate updates is a potentially critical activity. (Time and resources would have to be invested to review and, where appropriate, update decisions.) Some individuals are concerned that states and communities would object to revisiting the ROD (re-ROD) at a site. While this objection has not surfaced in the vast majority of re-RODs for PRP-lead sites, potential community opposition and state resistance to re-RODs are definite disincentives to considering remedy revisions. Some individuals are concerned that re-RODs generally will result in additional dollar needs for sites. Although higher costs certainly are a possibility, after a review of approximately 30 RODs, Region 5 reported a small number of those resulted in higher costs. This is another area that OSWER has been reviewing as part of their cost management initiatives.

Recommendation 41: OSWER should set up a review team of headquarters and regional staff to make sure that the selected remedies at sites incorporate new technology and the most cost-efficient cleanup approach based on experience since the remedies' selection. This team could be similar to the priority panel. (The priority panel consists of program experts who evaluate the risk at NPL sites with respect to human health and the environment in order to assist the Agency in establishing funding priorities for all new cleanup construction projects in the Superfund program.)

Possible approaches could include: (1) examining sites that are close to completion to see if the remedy for the final operable unit needs to be revisited; (2) examining sites where the ROD designated particular technologies that have improved and have become more cost-effective since the ROD was signed; and (3) look at sites where the ROD was signed more than five years ago and has not been implemented. (Near term)

Establishing National Standards and Action Levels

The Regions spend a significant amount of resources developing site-specific risk assessments and remedies. Some sites, however, may lend themselves to a more streamlined/standardized methodology for response decisions and cleanup. National action levels for cleanup may be one option for ensuring greater consistency nationally and conserving risk assessment resources, although some flexibility should remain for site-specific situations and innovative approaches.

Option: Headquarters and the Regions should identify the five or ten contaminants most commonly encountered in soil and sediment at sites across the country in order to conserve resources and utilize the experience and risk information developed since the inception of the Superfund program. They could also convene a workgroup to evaluate the efficacy of various approaches to promote greater consistency in establishing action levels for these contaminants, including the option of establishing a limited number of national standards. (Long term)

Using Presumptive Remedies and Generic Designs

The Agency has made strides in identifying and providing guidance on presumptive remedies that save time and money in the study phases. The presumptive remedies do not preclude the need for an RI/FS and a ROD, but they do reduce remedy costs. The process still requires time and money to select obvious remedies, such as caps for landfills, rather than going directly to design. The Agency could take the next step to moving more quickly to design and construction by more fully using generic or tested designs that can be shared among similar sites with relatively little modification. For such remedies as the removal of volatile organic compounds from groundwater, instead of the current approach to develop a unique design for each site, the Agency could develop some standard designs that can be adapted to a particular site, water chemistry, and suite of chemicals. The current process pays for the same design (or variations of it) repeatedly, which does not seem to be the most cost-effective approach.

Option 1: To determine how the Agency has historically developed presumptive remedies, OSWER or the Regions should conduct a lessons learned analysis of how previously identified presumptive remedies were developed and disseminated and determine if those lessons learned can help today. (Long term)

Option 2: OSWER should expand presumptive remedy guidance to include more detailed technical designs to speed cleanup and reduce study and design costs. (Long term)

Recommendation 42: OSWER and the Regions should identify a limited number of common site types and successful designs, and make them available to the Regions for remedies at similar sites. They should also set high expectations for contractors whose reliance on these designs is expected to reduce the time and cost of design work. (Long term)

Choosing a Funding Mechanism and Providing Oversight

To clean up a site, the Agency has four options: (1) use a current EPA contract, such as a remedial action contract; (2) award a new site-specific contract; (3) enter into an interagency agreement (IAG) with another federal agency; or (4) award an assistance agreement to a state. When selecting a mechanism, EPA should take into account the needs of each particular site, the available capacity for the work, the capability of the provider, and the overall cost of the various approaches. Recent data suggest that Regions are using all these options. In FY 2003, the Agency obligated approximately 56 percent of its remedial action funding to IAGs, 36 percent to contracts, and 8 percent in grants to states.

In many Regions, it appears that RPMs decide whether an IAG, contract, or grant will be used to clean up a site. Because of the importance of this decision to the total cost of a site and the effect on many other areas including regional contract capacity and state relations, many interviewees suggested that senior regional managers should be more consistently involved in this selection decision. By approaching these decisions from a broader perspective, managers can fully consider how to best use limited Superfund resources while at the same time address the needs of a site.

In addition, several interviewees felt strongly that to keep costs of construction under control, it is important that RPMs actively monitor construction at their sites. By visiting the site regularly, the RPM can determine first hand how the work is being conducted, and will be better prepared to deal with any cost or work issues raised by contractors or personnel from other federal agencies. Without this regular site presence, the RPM could be dependent on the contractor or personnel from the other federal agencies for information on site conditions and issues, and it could appear that either the contractor or another federal agency, rather than EPA, is responsible for the site work. Field oversight work cannot be entirely delegated to organizations outside EPA if the Agency is to ensure maximum project management and cost efficiencies.

EPA is now closely scrutinizing its limited remedial funds; the study team is recommending that EPA evaluate its existing agreements with other Federal agencies involved in remedial work to re-examine the associated costs in order to seek out greater efficiencies. A recommendation is also being made to look at existing clean up contracts to explore other types of contracts which could result in greater cost efficient remediation. These recommendations and corresponding discussions appear in the Optimizing the Use of Superfund Dollars Chapter.

The States have played a vital role in Superfund since the program's inception, and that role has changed and fluctuated over time. States have also played a major part in setting clean up standards for Superfund sites. In addition, state staffs have taken the lead on community relations at many sites. The listing and non-listing of NPL sites has been greatly influenced by states and they have put forth additional state funds, beyond their 10% share, in cleaning up sites.

States have desired varying degrees of independence in the implementation of the program. Many states now have their own Superfund or hazardous waste programs. EPA established a grant program to build state Superfund capacity. However, even with this funding, states vary tremendously in their capacity to clean up and manage waste sites. Some are national leaders while other states, often due to budget decisions and programmatic choices, have little or no response capability. Likewise, EPA has seen varying degrees of success when states serve as the lead Agency for NPL remedial activities.

EPA should re-examine its NPL State-lead sites to determine if these are the most cost effective mechanism for site remediation. This, most likely, will vary tremendously by individual states. The use of State-lead in NPL site remediation should be based solely on good business decisions, such as cost effectiveness, past experiences and timeliness, etc. This review of State-lead NPL responses should in no way impact the ongoing role the States and EPA enjoy in voluntary cleanups, the Brownfields program, non NPL sites and the traditional role the State plays in all NPL sites (i.e. ARARS, community relations etc).

Best Practice: In one Region, a management level team that includes the Superfund Division Director; the Assistant Regional Administrator for Policy and Management; the chiefs of the contracts, remedial, and response branches; and the contracts counsel decides how the cleanup will be conducted (contract, grant, IAG). RPMs submit a recommendation to the team, which is reviewed based on a number of criteria, including special site needs and how they should be addressed, how best to monitor the site's progress, cost, and contract capacity.

Recommendation 43: Regional senior management should be involved in selecting the cleanup mechanism (e.g. other Federal Agency, Remedial Action Contractor (RAC), or state) to ensure that funds are being managed as effectively as possible. Ways to do this include:

Option 1: elevate the funding decision to senior management, possibly by using the best practice described above, or

Option 2: develop standard operating procedures to ensure that this decision is consistently based on specific factors, including cost, contract capacity, and site needs. (Near term)

Recommendation 44: Regional management should encourage RPMs to conduct appropriate on-site oversight during construction to monitor the activities performed by contractors, other federal or state agencies. (Near term)

Recommendation 45: OSWER, OECA, and the Regions should re-examine existing policies relating to State-lead clean up. In the process an evaluation should be conducted to determine if the policy includes areas such as capability, past experience, cost and timeliness. EPA should consider if the state role should be determined using similar criteria as that used for choosing a remediation contractor or other Federal agencies. (Long term)

Recommendation 46: OSWER, OECA, and the Regions should re-examine existing state lead sites to determine if the remediation is being conducted in a timely and cost efficient manner. (Near term)

Option: OSWER should conduct a study of sites to determine where State-lead cleanups at NPL sites was very successful and transfer the lessons learned to other states and regions.

Increasing In-House Work

With the number of sites moving from RI/FS and design to construction and in light of funding constraints, some managers believe more activities should be accomplished by RPMs and other staff in the Regions, rather than by contractors. In some Regions, the Superfund program appears to have grown used to relying heavily upon contractors or other federal agencies. One issue that was raised in talking to the Regions is that when similar work is done under RCRA or in the EPA Water program, more of the work is performed in-house. Increased direct oversight of response activities by RPMs also can strengthen the RPMs' technical and managerial skills.

Recommendation 47: The Regions should evaluate options for completing all work at each site, making the fullest appropriate use of in-house capabilities, to maximize the use of contract dollars and resources and support staff professional development. (Near term)

Adopting a Multi-year Funding Plan and Funding Allocation

A number of interviewees cited the inefficiency and cost growth introduced by the uncertainty regarding available funding for ongoing projects. The inability to proceed without funding disruption from year to year—or even within the same construction season—seems to be unaddressed in the national framework for providing funding. Adopting a multi-year funding plan approach for projects would allow Regions to more fully describe their needs and allow OSWER to make more informed funding allocations. At the same time, the funding plans could be used as a tool for tracking site progress and for keeping the Regions accountable for timely results with allocated dollars. For example, OSWER would make its best effort to satisfy a funding plan once it has been agreed upon, but the Regions would have to make a renewed proposal to justify funding

beyond the initial timeline. An obvious challenge would be designing a framework that allows to the extent possible for the elements of the budget process beyond EPA's control (e.g., timing).

Another alternative to consider is providing each Region with funding for remedial actions based on multi-year needs for all remedial actions within that Region. This idea, to provide known, stable funding over the long term, was raised by numerous Regions to encourage cost efficiencies during implementation.

Option 1: To get the best price for a cleanup action, OSWER should provide Regions with a budget that funds activities over a period of years, with enough flexibility for unexpected adjustments. For remedial actions above a certain threshold, OSWER should establish a national requirement to create multi-year funding plans to guide the distributions of funds. Regional accountability for project completions should be part of these plans and schedules. (Long term)

Option 2: To maximize resources for multi-year plans and provide incentives for cost efficiencies during implementation, OSWER should consider funding the Regions one allocation for all response activities. (Long term)

Evaluating the Need for Core Cooperative Agreements (Grants)

The Agency has built state Superfund program capacity through funds provided as Core Cooperative Agreements. The Superfund program is now more than 20 years old, and the goals for continued Core funding are not entirely clear. Different states and Regions use the CORE program differently, both in the funding amounts provided and in the expectations for its use. There is no formula allocating these resources across the Regions. Although this is a difficult time for state as well as federal government funding, the question of whether the Agency is getting its money's worth for these expenditures remains very real. Also, recent Brownfields funding under Section 308 for state response programs overlaps with the authorized uses of the Core program. There appear to be large balances of Core cooperative agreement funding in some states agreements. At a national level, there needs to be a dialogue with the Association of State and Territorial Solid Waste Management Officials (ASTSWMO) regarding the future of these agreements.

To leverage more fully the large amount of money invested in developing state capacity, some Regions work systematically with their states to identify projects that are appropriate for State-lead work or other significant state involvement. There may be benefits for all Regions to re-examine how to receive the best return on the Agency's investment in state partnerships.

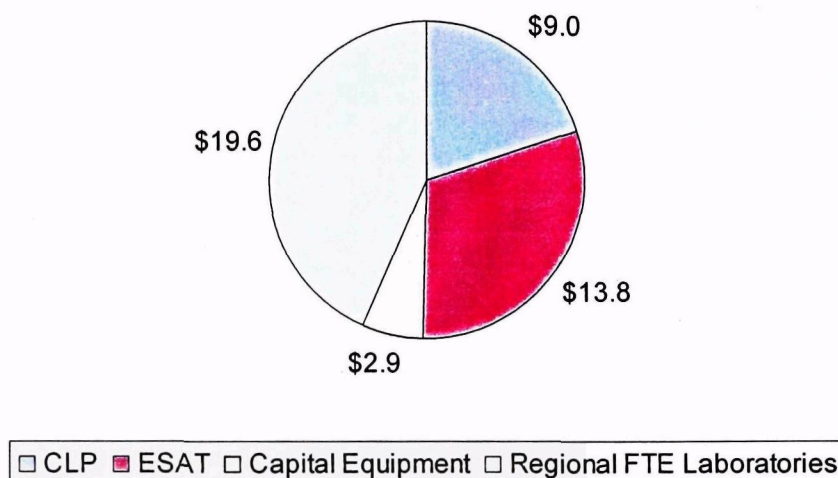
Recommendation 48: OSWER should evaluate the need, the overall funding levels, and the priorities for state cleanup programs given the Section 308 program and the original goal of the Core program to build state capacity. Working with ATSWMO and

collaborating with individual states, the Agency should communicate the goal and results of the evaluation. (Long term)

Superfund Analytical Support

Several organizations, such as the Contract Lab Program (CLP), EPA's regional laboratories, the Environmental Services Assistance Team (ESAT), Regional Response contractors, and other federal agencies, conduct laboratory analyses to support the Superfund program.

Figure 3: Breakout of Annual Average Dollars for Analytical Superfund Support* (\$ in millions)

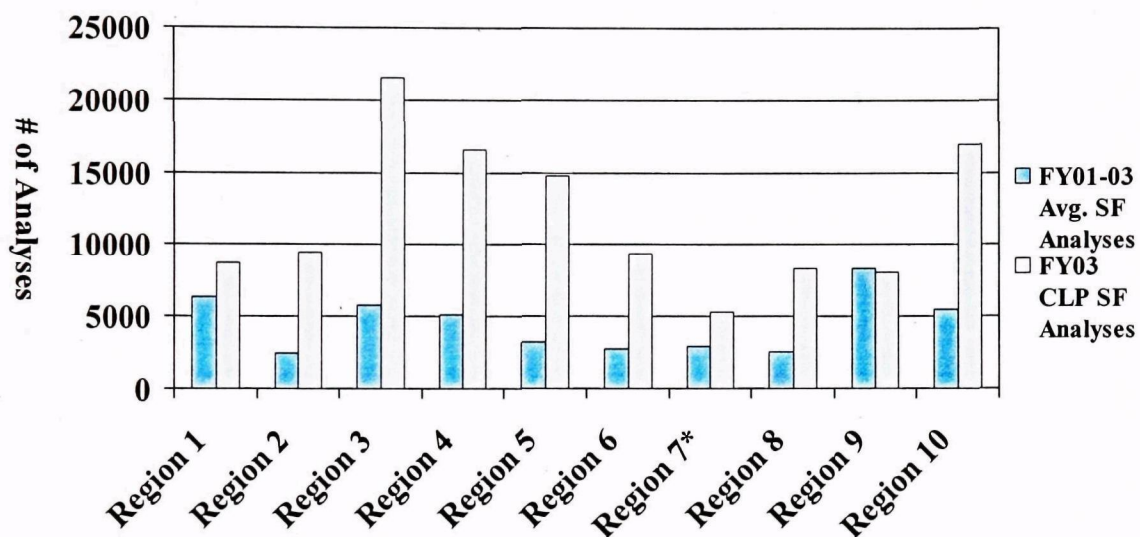


*Does not include costs for analyses conducted by RAC contractors, other federal agencies or grantees.

As illustrated in Figure 3, the Superfund program invests approximately \$45 million every year in analytical support. Making the most effective use of these dollars is critical to the program. As a whole, the analytical program appears to be making good use of its overall resources, though individual Regions may have opportunities for improving the efficiency of their operations. In FY 1999, EPA headquarters and the Regions established a tiering process under the Field and Analytics Services Teaming Advisory Committee (FASTAC) to provide guidance to the Regions. Under this approach, the CLP is the preferred option for routine analytical services and, due to economies of scale, is one of the most cost-efficient and best-quality approaches for conducting analysis. The EPA regional laboratories and their support contractors, such as ESAT, are the preferred option for special analytical services that the CLP does not provide. The least cost effective options for all analytical services are the use of remedial action contracts (RACs), other federal agencies or grantees to conduct the analysis, since these options can be expensive and the laboratories receive less direct Agency oversight.

Each year, OSWER obligates approximately \$9 million to support the CLP. Although the CLP labs and regional labs count analyses somewhat differently (as noted in Figure 2), these numbers together are the best indicator of the Superfund program's analytical workload. In FY 2003, the CLP supported 94,962 field analyses run in production laboratories. Figure 4 shows the number of analyses conducted in FY 2003 by the CLP and the FY01-03 average for the regional laboratories. (The numbers for the regional laboratories include samples analyzed by both EPA employees and the ESAT contractors who work in the regional laboratories.)

Figure 4: Superfund Laboratory Analyses



Definition of analysis: An analysis is one analytical test run through one instrument. The sample is run through the entire process and results are reported to the customer. Analyses include field samples (e.g. field blanks, field duplicates field spikes field controls and external performance evaluation samples). The Regional Laboratories do not include laboratory calibrations, dilutions reruns or QC (e.g. laboratory blanks, duplicates, spikes or controls). The CLP total sample analyses does include these items.

*Used FY01-02 SF data due to new lab construction

The EPA regional labs support the Superfund program by analyzing samples, conducting quality assurance, supporting field activities (field analysis to sample collection), conducting ecological and risk assessments, coordinating samples, and supporting EPA criminal investigations. From FYs 2001 through 2003, the regional laboratories conducted an average of 43,416 Superfund analyses, or 54 percent of the total analyses conducted by the Regions. The regional labs also conducted 1,734 field analyses in FY 2003, 1,600 of which supported the Superfund program.

The regional labs have approximately 470 full-time-equivalent (FTE) positions (funded by the Superfund and other programs) that perform laboratory analyses and support functions related to these analyses. In FY 2003, 42 percent (197 FTE) of the regional lab FTE was charged to the Superfund program. At the national level, these FTE charges appear to be in line with the number of Superfund analyses (54 percent) conducted by the regional labs. Similarly, the Regions receive capital equipment funds from the Office of

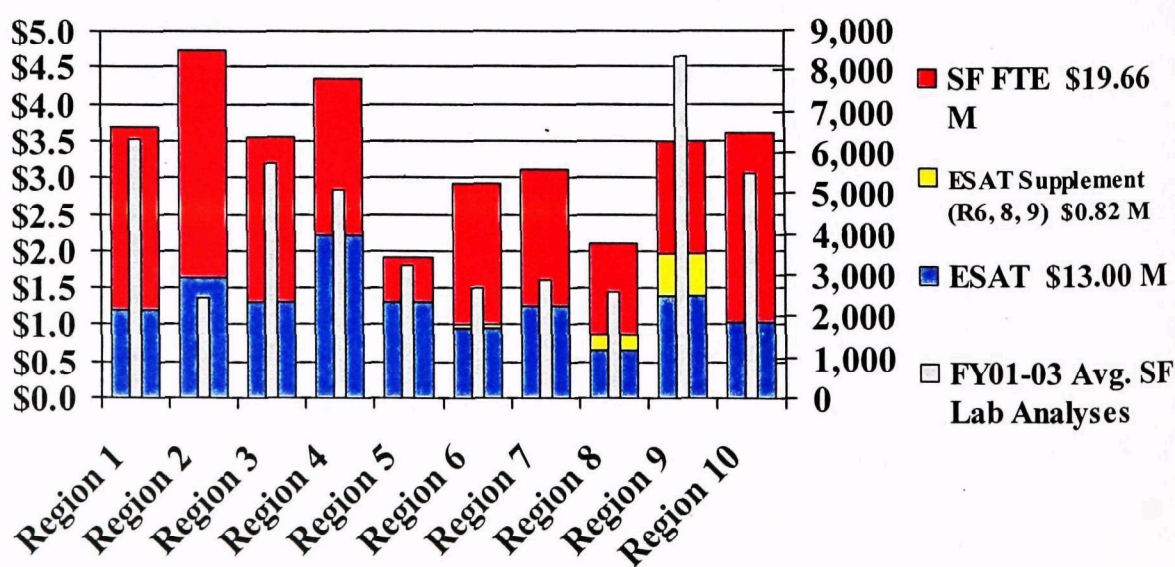
Regional Operations within the Office of the Administrator and the Office of Solid Waste and Emergency Response (OSWER). OSWER provides the regional labs with 51 percent of the capital equipment budget. Compared with the number of Superfund analyses, it appears that capital equipment costs are in proportion to funding.

Nationally, the Superfund program's FTE use looks proportionate. However, the number of FTE dedicated to laboratory analysis and support varies significantly in each Region, with a high of 31 Superfund lab FTE in Region 2 and a low of 6 in Region 5. The reasons for this variation differ across the country. One explanation for the difference is the type of analysis needed in each Region. For example, a Region that had several large dioxin sites early in the program would be expected to have more robust capabilities in this area. Some labs, in a conscious effort toward cost efficiency, have emphasized work on the most expensive type of analysis. Another factor is the level of resources available when the lab was built and staffed. Regional senior management teams have also made different choices about how to support lab activities.

Complementing EPA staff at the regional laboratories are ESAT contractors, who provide a wide variety of services, including laboratory analysis and quality assurance of sample CLP analyses. In FY 2003, OSWER provided the Regions \$13 million to fund ESAT contractors. Also, three Regions have provided \$820 thousand in additional ESAT support out of their own program funds.

The Regions use ESAT contractors differently. Some use them for sample analysis, and others use them for quality assurance and sample preparation only. Figure 5 compares the ESAT and FTE resources by Region to the total number of analyses.

Figure 5: FY 03 Superfund ESAT/FTE Budget Expenditures Comparison by Region with Number of Analyses (\$ in Millions)



While all of the Regions use the CLP, some have stated that their needs between the CLP and ESAT vary by year. They believe that greater flexibility in the use of the funds between the two contracts would enhance the cost-effectiveness of analytical support. If greater flexibility is not possible on a yearly basis, there may be opportunities to set up a process to review ESAT and CLP regional needs every two years. Several Regions raised the issue of the high cost of analysis of PCBs and dioxin. When the current contract with the CLP expires, headquarters may want to investigate more cost-effective approaches to meeting this analytical need.

The regional laboratories have collaborated on establishing Centers of Applied Science that address the Agency's non-Superfund analytical needs. This model could be replicated in the Superfund program. This strategic use of Agency resources would ensure that Superfund program needs are addressed and would strengthen the Agency's overall analytical programs. Conceptually, this would mean that specific laboratories would specialize in analyzing specific contaminants of concern. This would avoid duplication of equipment and should reduce overall costs.

The study team interviews revealed that the Regions are not all implementing the tiering approach consistently. While the study team was unable to capture the exact number of analyses that the Regions sent to the RAC contractors, it did find that some Regions have made a conscious decision to send samples only to the CLP and their laboratory. Another Region reported that in FY 2003 its remedial project managers sent 30 percent of their samples to the Region's RAC contractors for analysis. While certain situations may warrant the use of RACs for analytical support, this use should be limited and consistent with the tiering approach.

Best Management Practices: In some Regions, the Superfund Division Director regularly meets with the Regional Science and Technology Director to develop a strategy for the Region's Superfund analytical needs. Other Regions develop memoranda of agreement between the regional cleanup division and the regional labs, which has been an effective approach. Some Regions have established a sample/analysis broker to evaluate and help choose the most appropriate approach for laboratory analysis, including where the analysis should be conducted—CLP, regional lab, etc.

Recommendation 49: The Regions should fully and consistently implement the approach proposed by the Field and Analytics Services Teaming Advisory Committee (FASTAC) for cost effective analytic support for both the remedial and removal programs. One way to do this is to establish a sample broker or liaison within the Superfund Division, whose responsibility would be to monitor the use of this approach. (Near term)

Recommendation 50: OSWER and the Regions need to have a national dialogue to pursue flexibility between resources allocated between CLP and ESAT contracts to encourage greater cost-effectiveness. (Near term)

Recommendation 51: The Superfund Division Directors and the regional laboratories should forecast the long-term analytical needs for the program, and should investigate whether the Centers of Applied Science approach would be appropriate for the program. Wherever possible, they should encourage the sharing of expertise and equipment purchases among Regions. (Long term)

Chapter 4: Enhancing Enforcement

The long-term success and financial viability of the Superfund program depend in large part on a robust enforcement program. According to the Office of Enforcement and Compliance Assurance (OECA), every dollar spent on Superfund's civil enforcement program returns approximately eight dollars to the program.

In recent years, the EPA Regions have placed more focus on enforcement, particularly following the inception of the "enforcement first" initiative. As shown in Table 1, this emphasis has paid off. Over the life of the program, responsible parties have funded more than \$18.1 billion in remedial actions at National Priorities List (NPL) sites. Also, the program has secured commitments for an additional \$3.9 billion in cost recovery settlements. Special accounts have generated \$177 million in interest from the \$1.1 billion collected.

Table 3: Superfund Enforcement Accomplishments* (Dollars in Millions)

Measures of Success	FY 1998	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	Program to Date
Value of PRP response work (work & cash-outs)	\$806.2	\$552.5	\$1,335.5	\$1,329.1	\$501.3	\$904.3	\$18.1 billion
Value of cost recovery settlements	\$229.6	\$232.8	\$145.8	\$413.6	\$126.1	\$225.8	\$3.9 billion
Total value of PRP commitments	\$1,035.8	\$785.3	\$1,481.3	\$1,742.7	\$627.4	\$1,130.1	\$22.0 billion
Funds collected in special accounts		\$87.0	\$80.0	\$311.0	\$132.0	\$111.0	\$1.1 billion
Interest earned					\$23.0	\$21.0	\$177.0 million

* Data provided by OECA is as of September 30, 2003.

While these results are impressive, improvements in management and performance measurement would increase the effectiveness of the enforcement program. These areas include closer attention to individual regional performance, better measures of cost

recovery success, and early efforts to locate responsible parties. Additionally, several resource issues require immediate attention.

Addressing Underutilized Enforcement FTE and Contract Support

In 1996, at about the time the former Office of Waste Programs Enforcement moved from the Office of Solid Waste and Emergency Response (OSWER) to the newly formed OECA, a crucial enforcement definition was changed. This change redefined the oversight of responsible party remedial actions from an enforcement activity to a response activity. In the Regions, where the oversight work is conducted, this change eventually would cause a significant shift in workload. However, because the impact of this redefinition was not immediately apparent, no full-time equivalent (FTE) positions were transferred to the response program. This is primarily because the level of potentially responsible party (PRP) involvement was lower in 1996 than it is today, meaning that fewer demands were placed on the Region's oversight resources.

Today, with nationwide PRP involvement at 70 percent for remedial actions, the consequences of this change are more obvious. By moving the oversight of PRP remedial actions to response, the program has consistently underutilized enforcement FTE and dollars and overutilized response FTE and dollars. Moreover, the response program has had to use contract dollars from remedial investigation/feasibility studies and remedial designs to cover oversight payroll needs.

While the change in definition has made operations more difficult for response, it has inadvertently helped OECA cover a budget shortfall. Between FY 1999 and FY 2003, OECA's new enforcement contract dollars were cut by over 50 percent. OECA has been able to make up for a majority of this reduction by using the unused payroll dollars made available because oversight was moved to response.

Recommendation 52: The Enforcement program should return to a definition that includes oversight of PRP actions as an enforcement activity which will improve FTE utilization. This change will not require any movement of FTEs or dollars. It could, however, free up an annual average of \$5 million nationwide in pipeline dollars that were used to cover the payroll shortages in the response program. Finally, including PRP oversight as an enforcement activity will increase site-specific charging of the regional enforcement FTE.

Implementing this change will require that additional contract funding be provided to OECA to make up for the shortfall now being filled by payroll carryover. These contracts support the Regions in several critical areas—including responsible party searches, ability-to-pay analyses, and waste allocations—and are thus critical to maintaining a high percentage of responsible party work at Superfund sites. With the historically high return on investment from enforcement, maintaining stable funding in this area makes sense. (Near term)

Continuing to Increase Responsible Party Involvement

The current high level of responsible party involvement in NPL remedial actions is a notable success that has taken a great deal of pressure off of appropriated funds. This study found that the Regions with the highest rates of responsible party work at sites share a strong organizational or cultural commitment to enforcement first. In some Regions, a separate and distinct team dedicated to responsible party searches forms the foundation for this commitment. In contrast, this study found that when a PRP search group is structured as an ancillary operation within a cost recovery section, enforcement actions are focused nearly exclusively on supporting litigation to recover money spent by the Agency. As a result, responsible parties are found too late to obtain their involvement in response actions.

This study also found that successful teams include a mix of skills, such as trained civil investigators who can spend time in the field. While some Regions have turned to former compliance officers, remedial project managers, on-scene coordinators (OSCs), and attorneys to conduct search work, the unique background of trained civil investigators brings a key expertise to a successful team. In addition, the Regions with the greatest success in this area rarely use contractors to perform this type of work. While contractors appear to do well on routine tasks, such as title searches or developing databases, they often do not have the investigative skills or commitment necessary to find responsible parties. This use of civil investigators in a PRP search team appears to be a regional best practice. Even in Regions where a strong PRP search group exists, excellent communication and coordination among the remedial, removal, enforcement, and financial management programs and the regional attorneys remains key to program effectiveness.

OECA has taken a first step toward institutionalizing best practices for finding PRPs through its recently published responsible party search manual. While this is an important step, it requires follow-up to ensure that organizational structures are changed to emphasize early and thorough responsible party searches—not just cost recovery—and that PRP search teams have the appropriate skill mix.

Increasing PRP Involvement in Removal Actions

The success of the Superfund program also depends on strong enforcement within the removal program. In fact, since many NPL sites begin as a removal action, then move to remedial action for completion, enforcement needs to be an integral part of both processes. Over the life of the program, the percentage of PRP leads at removal sites has been consistently lower than the level achieved at remedial sites. In part, this reflects the nature of the work, which often requires the Agency to act first and look for PRPs later. Fortunately, as shown in Table 2, the national trend of data shows improvement.

Table 4: Percentage of PRP-Lead Removal Actions by Region

REGION	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	5-Year Average
1	12	6	52	46	45	45
2	21	9	4	12	15	12
3	41	52	61	44	44	49
4	49	57	54	66	70	59
5	24	44	51	45	50	44
6	4	39	0	71	68	42
7	39	23	24	26	19	26
8	29	42	24	29	43	32
9	0	20	47	40	50	35
10	25	47	36	20	40	35
Average	30	37	41	46	49	41

As with performance in the remedial area, several Regions have made strides to increase responsible party involvement in removal actions, but the rate is not consistent across the country. Almost 80 percent of the removal actions in the Region with the highest PRP involvement have no enforcement agreement of any kind. Several Regions use this approach, but not nearly to this extent.

More consistent application of enforcement first in the removal program will not only save response dollars, but also free up cost recovery resources, which can be used to conduct PRP searches. Increasing the level of removal enforcement may require the Agency to develop incentives, such as providing a temporary funding bridge, to help Regions shift to a PRP search emphasis without creating a cost recovery backlog. According to several sources, an increasing number of bankruptcies are occurring after removal actions, and the Agency needs to position itself to pursue remaining assets quickly to recoup its expenditures. The study team found that coordinating enforcement work with site assessment work is critical to ensuring that PRP potential is evaluated for removal actions. As with remedial PRP searches, early involvement of civil investigators and other search staff is also key to a successful removal enforcement program.

Recommendation 53: To continue to increase the percentage of PRP cleanups and take further pressure off appropriated funds, OECA should conduct responsible party search benchmarking to identify strong regional programs. This benchmarking should be combined with PRP search audits to identify ways to strengthen regional PRP search programs. (Long term)

Recommendation 54: OECA and OSWER should work with the Lead Regions to develop goals similar to those in the remedial program for enforcement first in the removal program to increase the percentage of PRP-conducted removal actions. Regions with historically lower PRP percentages should be given some time to develop the proper employee skill mix and procedures before they are held accountable for achieving these new goals. (Near term)

Recommendation 55: OSWER should identify a management liaison who can work with OECA to facilitate and support enforcement first for the removal program. (Near term)

Exploring Other Sources for Funding Response Activities

Since the early days of Superfund, some amount of the PRP response actions has been funded by claims against insurance policies. Many of the early complaints about the high transaction costs of Superfund had more to do with legal wrangling between PRPs and insurers who did not want to pay for cleanups, than with costs attributable to the Agency. At this point in the program, a majority of the disputes about the meaning of insurance policy language have been resolved. However, the Agency has been reluctant to explore one area: the search for old insurance policies at what are now considered orphan sites, those sites with no identified responsible parties. A number of interviewees have raised this issue and suggested that the enforcement program needs to take a closer look at this area as a possible source of revenue. Agency expertise in this field, known as insurance archeology, is extremely limited. Several states have done this work at sites and have had some success in finding liable insurers. Outside assistance may be required to carry this out, which means an investment of Agency resources. The benefits, however, could be substantial.

Recommendation 56: OECA, in consultation with the Department of Justice (DOJ), should explore ways to access or gain greater expertise in the area of insurance-related cost recovery (i.e., insurance archaeology), and sponsor several pilot programs across the country to increase potential sources of funding for orphan sites. (Long term)

Improving Measures for Enforcement Success

Although the enforcement program has achieved notable results, most of the measures of success employed focus on national targets and cannot identify regional successes or needs for improvement. In fact, PRP involvement is most often represented by one national figure. As shown in Table 5, some regions exceed the national target of 70 percent, while others lag behind it. Because information is not presented at a regional level, the program is unable to share successful approaches in high-performing Regions or address shortfalls in Regions with lower rates of PRP involvement. Since the enforcement program can vary significantly from year to year, this information is portrayed over five years. It should be noted that the percentages for FY 2003 in particular are slightly higher because a number of potential Fund-lead sites were not funded that year.

Table 5: Percentage of PRP-Lead Remedial Actions by Region

REGION	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	5-Year Average
1	75	67	50	100	50	71
2	69	55	54	60	92	63
3	79	93	88	100	100	90
4	100	64	86	40	100	75
5	89	80	100	86	100	90
6	67	75	---	50	50	59
7	57	50	50	50	100	61
8	89	67	40	80	86	76
9	75	75	100	100	100	86
10	100	50	50	50	89	72
Average	81	68	67	73	88	75

Similarly, as Table 3 demonstrates, while large amounts of money from past costs have been recovered, the Agency has never compared total recoverable costs to total costs recovered, either regionally or nationally. In part, this comparison is difficult because the Fund was established to clean up orphan sites with few or no viable PRPs. Thus, no matter how robust its enforcement program is, EPA will always have unrecoverable costs. Nevertheless, at sites with viable PRPs, the Agency should compare dollars actually recovered to dollars potentially recoverable. Without such a comparison, the program is relying upon an incomplete measure of success. As responsible parties continually press the Agency to write off past costs, EPA needs some way of ensuring that it is not compromising too much on past cost claims. Such a measure could also begin to reveal what, if any, money is written off because a Region or other entity is conducting activities inconsistent with the National Contingency Plan—costs that are not recoverable.

Recommendation 57: To improve individual regional performance, OECA and the lead Region should evaluate current enforcement measures and develop additional regional site-specific measures that provide a more accurate picture of the program's success and provide an incentive to improve performance. (Near term)

Realizing Cost Savings through Collaboration with Responsible Parties

Overseeing remedial action work at a Superfund site can present a significant cost to the Agency, and ultimately to the PRP who must eventually reimburse EPA for these costs. Many Regions have been able to reduce the cost of oversight by eliminating costly deliverables and using team meetings in place of the exchange of documents to move the cleanup along. By moving to a more collaborative relationship with PRPs, the Agency has achieved better oversight at a lower cost.

There are two key determinants of the cost of oversight: the level of work performed, and whether the work is done by contractors or by EPA staff. Other Agency programs without the resources of Superfund (e.g., the hazardous waste programs) rely much more on Agency in-house staff and the regulated community to provide the appropriate oversight. Several years ago, OECA initiated a reform designed to re-evaluate the Agency's oversight of work conducted by responsible parties. Some Regions have been very receptive to this reform. By placing greater reliance upon the built-in incentive PRPs have to complete work properly (or else pay to redo), in conjunction with appropriate levels of oversight, these Regions have been able to reduce the cost of oversight. However, a number of interviewees, including the Superfund Settlements Group, told the study team that several Regions continue to have high levels of oversight and rely heavily upon contractors to do this work.

Where the Agency has negotiated an enforcement agreement with PRPs, it can recover its costs soon after the money is spent. In cases where no agreement is reached and the Agency issues a unilateral order, the money expended for oversight must be recovered later in the process by filing a cost recovery case. In both cases, however, the Agency must first spend its own money. Thus, any appropriate reduction in oversight costs would be beneficial.

Recommendation 58: OECA and the Regions should develop procedures that encourage continued collaboration with PRPs in site cleanups in order to decrease the need for EPA's expenditure of oversight resources. (Near term)

Continuing Emphasis on the Cost Recovery Program

Cost recovery is a critical Agency activity. Without this work, no funds spent by the program for removal or remedial actions would be returned to the Trust Fund to defray the costs of future work. Currently, the cost recovery program is driven by the statute of limitations (SOL). Many of the individual cases come from removal actions at orphan sites. The Agency has three years from the end of the removal to file its cost recovery action. For NPL sites, the Agency has slightly more time—six years from the beginning of remedial action. Even though the program tracks the SOL carefully, dollars have been lost to data or definitional errors, which cause the SOL to be missed.

One of the critical aspects of cost recovery is cost documentation. Although documenting costs is a critical activity, it can conflict with the very nature of time-critical removals. OSCs need to make quick on-the-spot decisions, which can lead to a lack of complete documentation. These incomplete records hinder future cost recovery actions, or increase the time and effort needed to prepare a case. To ensure that OSCs do what they do best—focus on cleaning up a site—some Regions have established field administrative specialists, who support OSCs by tracking and ensuring the proper paperwork exists for every transaction at a removal site. The value of having these specialists was evident in the Capitol Hill anthrax response, where though the Region's costs were closely examined by many auditors, the response costs were well documented.

Recommendation 59: Senior management within EPA and the DOJ should affirm their commitment to cost recovery. A joint memorandum to the Regions will re-enforce this message to Agency staff and to the responsible parties. (Near term)

Recommendation 60: To improve the tracking and recovery of removal costs, Regions that have not invested in field administrative specialists should develop this expertise, or find other ways to accomplish the same goal. (Long term)

Using Special Accounts Effectively

As important as it is to strengthen and maintain cost recovery programs across the country, it should be an even higher priority to take advantage of opportunities to reduce the need for future cost recovery actions and to focus cost recovery efforts where they are needed the most. Establishing and effectively using special accounts is one such opportunity. The Regions have done an excellent job of negotiating with PRPs to include special account provisions in consent decrees. In fact, a few Regions have established special accounts for nearly every settlement they reached in the last year. However, when it comes to using the money in special accounts, there appears to be fairly significant variability in the Regions' understanding of appropriate uses and the potential benefits. For example, one Region was surprised to learn that special account funds could be used to pay site-related Agency payroll expenses.

Opportunities to improve resource utilization of special account funds are discussed later in this report in the chapter on Optimizing the Use of Superfund Dollars.

Recommendation 61: OECA and the Regions should discuss the current special account guidance to determine if additional clarification is necessary to maximize the use of special account dollars. Particular emphasis should be placed on older special accounts to free up money for current work. (Near term)

Recommendation 62: Regions should track and periodically report to headquarters how much special account money they are using annually and how they are using it. (Near term)

Chapter 5: **Examining the Role of Superfund Research and Technology**

Many large companies have research units that develop new or improved products. From a business perspective, research organizations are viewed as overhead, in that they provide no direct revenues to the company. In fact, they are supported by the company's profits. Nevertheless, a successful research organization can create benefits for the company far outweighing any costs if it markets its product ideas successfully. Some would argue that the success or failure of a company is often a function of the success or failure of its research units.

Government research organizations are somewhat different. Instead of developing new products to enhance the viability of the company through increased profits, their goal is to produce products or services that can be successfully used to benefit society at large. ORD's Superfund research program and OSWER's technology innovation program (TIP) can both be viewed through this lens.

The research program's objectives are to reduce the cost of cleaning up Superfund sites, improve the efficiency of characterizing and remediating sites, and reduce the scientific uncertainties to improve decision making at Superfund sites. Through a close partnership with OSWER, research program resources are allocated to address the most significant scientific uncertainties, highest cost elements, and most complex aspects of cleaning up Superfund sites.

Conversely, the goal of TIP is to *advocate* more effective and/or less costly approaches to assess and cleanup contaminated waste sites, soil, and groundwater. TIP seeks to break down the barriers to the acceptance and adoption of new approaches for measuring and cleaning up contaminated soil and groundwater by developing and providing pertinent information to federal and state project managers, consulting engineers, responsible parties, and new technology developers.

Therefore, the key difference between the Agency's research and Superfund technology innovation efforts is that ORD develops, tests, and applies innovative technologies for contaminated sites, while Superfund's TIP complements ORD's research and development efforts by perfecting market information, benchmarking technology approaches, partnering for technology development, and disseminating information.

ORD is organized into three national laboratories, three national centers, and two offices located in 14 facilities around the country and in Washington, DC. These labs, centers,

and offices provide information and technical support to EPA program offices and Regions; state, municipal, and tribal governments; and other agencies performing environmental research, assessment, and risk management. ORD scientists also collaborate with private-sector partners to address important environmental issues.

ORD's Superfund research program consists of four program areas: (1) providing technical support to the Regions; (2) conducting Superfund innovative technology evaluations; (3) conducting longer-term research through academic institutions; and (4) conducting contaminated site research. In FY 1999, 125 full-time-equivalent (FTE) positions and \$39.8 million were devoted to Superfund research. In FY 2003, the research program received 107 FTE and \$35.9 million, a decrease of 14.5 and 9.8 percent, respectively. In addition, 33 FTE and approximately \$50 million were allocated to ORD in FY 2003 to support homeland security research, primarily in the area of addressing risks to human health and the environment from buildings contaminated with biological or chemical warfare agents.

In FY 2003, TIP's budget was \$6.1 million and 20 FTE. Of this amount, \$2.4 million was devoted to providing training and technical support to the Regions, \$1.5 million was devoted to conducting studies that benchmark innovative technologies, and \$1.2 million was devoted to developing and maintaining partnerships with key technology stakeholders involved in developing innovative technologies.

Research Program Observations

Whether independent of this study, or possibly as a result of it, ORD and OSWER are addressing many of the observations and recommendations in this section. The study team commends ORD and OSWER for taking the initiative to improve the effectiveness of the Superfund research program.

ORD's effectiveness in providing technical support to the Regions is directly related to ORD's building program expertise over time through its longer-term research program. The two go hand in hand. Since researchers who are experienced with hazardous waste issues are key to providing technical assistance, ORD is concerned that eliminating or greatly reducing long-term research will result in a diminished capacity to provide effective technical assistance.

ORD has two primary customers for its products and services: OSWER and the Regions. OSWER is responsible for establishing Superfund cleanup goals and objectives, and developing the policies and procedures to achieve those goals and objectives. EPA's ten regional offices are responsible for implementing the cleanup programs. Both organizations have a need for ORD's products and services, although the Regions have a much more immediate need for technical support services because of the operational nature of the program—i.e., its responsibility for cleaning up uncontrolled hazardous waste sites.

OSWER plays a key role in identifying research program needs in conjunction with the lead Region, which works with the other Regions in identifying needs. OSWER representatives and the lead Region representative interviewed felt quite strongly that, overall, an effective planning process exists with ORD. However, discussions with regional staff and management clearly suggested problems with incorporating regional needs and a disconnect between the planning process and communicating results to Superfund practitioners.

For the most part, the Regions had much praise for ORD's responding effectively to their technical support requests from remedial project managers (RPMs) or technical specialists, such as risk assessors or hydrogeologists. These requests focus on resolving problems at a particular site, and are usually of short duration, although some requests can be quite extensive and can take longer than a year. In contrast, the Regions voiced significant concerns about the utility of ORD's longer-term research program in supporting cleanup operations. In particular, both staff and management expressed concerns about the large number of projects underway that would not be completed within two to four years of identifying a problem at the sites—their window of opportunity before a cleanup decision had to be made.

Based upon this feedback, collectively ORD, OSWER, and the Regions recognized that improvements are needed in the following areas: (1) establishing a better process to ensure that practitioners are involved in setting the research agenda; (2) educating RPMs and regional management on the value and utility of longer-term research; (3) better clarifying and communicating the link between longer-term research project outputs and potential technical assistance activities; and (4) providing additional technical assistance to the Regions.

More specifically, OSWER's number one research priority is for ORD to provide technical support to the Regions in the cleanup of Superfund sites. Therefore, ORD should strive to maximize technical support to the Regions without jeopardizing its longer-term research program.

RPMs focus on the cleanup of the site(s) they are responsible for, particularly in identifying solutions to cleanup problems within certain key decision time frames—usually two to four years. While some research projects meet this window of opportunity, others may not. In those latter cases, ORD, in conjunction with OSWER headquarters, must communicate the long-term benefits of the research to the overall Superfund program.

Similarly, longer-term research projects usually include interim outputs that may be able to assist RPMs in resolving short-term, site-specific problems. ORD, in developing its research program, should strive to identify interim outputs that may benefit RPMs. As part of this effort, ORD should work with OSWER headquarters and the lead Region to identify and implement the most effective tools for communicating these interim outputs to the Regions.

Finally, better communication among ORD, OSWER headquarters, and regional management is necessary. Discussions indicate that longer-term Superfund research activities and priorities are not as clearly identified or as closely linked with the needs of regional management as they could or should be. Based upon the discussions between the two offices, the following changes have begun to be implemented:

- To establish a better process to ensure that practitioners are involved in setting the research agenda, ORD has been convening meetings with academic institutions that conduct Superfund research in each Region and with Superfund practitioners. (ORD has currently convened meetings in 6 of the 10 Regions). The objective of these meetings is to initiate a dialogue on the Superfund program's research needs.
- To ensure that RPMs and regional managers are better educated about the value and utility of longer-term research, OSWER and ORD are identifying venues, such as regional Superfund Division Director meetings, that allow ORD to discuss high-priority research needs, how the needs will be addressed, and key findings from research from previous years. (Key ORD staff attended the last Superfund Division Director meeting).
- To ensure that ORD works closer with the Superfund divisions on clarifying and communicating the link between longer-term research project outputs and potential technical assistance activities, ORD Superfund technical liaisons should be placed in the Regions so that they can (1) more effectively understand the research needs of the Regions, (2) be in a better position to support the lead Region in identifying regional research needs, and (3) be in a position to more readily communicate research products to regional management and staff.

Technology Innovation Observations

Discussions with OSWER indicate a well thought out process for undertaking new technology innovation projects. Every project is demand-oriented—i.e., driven from problems in the field. Also, although this process does not appear to incorporate a rigorous quantitative cost–benefit analysis for choosing projects, a sampling of projects reveals that the benefits in cleanup costs, timeliness of decisions, etc., derived from undertaking TIP projects considerably outweigh investment costs. See Appendix G for a description of some of these projects.

Also the greatest challenge to program success is fostering technology innovation in the field. Because RPMs must communicate their decisions to the public, they desire certainty. Implementing new technologies, despite much testing and evaluation, can reduce that certainty. Thus, some RPMs may be reluctant to try new approaches. Because the ultimate benefits of technology innovation can only occur if implemented in the field, this reluctance may raise the question of whether investments in this area are worthwhile. The sample projects in Appendix G demonstrate that tangible benefits are being realized, but additional benefits may be possible.

Performance measures do not appear to exist for technology innovation activities. Developing and implementing performance measures in this important area would provide a better understanding of how many sites were cleaned up with new technologies, and what the potential benefits to the program were in terms of site cleanup savings, reduction in cleanup time, and potential reductions in risk to human health and the environment.

Recommendation 63: ORD, OSWER, and the Regions should work together to survey Superfund managers and RPMs by June 2005 to discover if the actions taken above have addressed the concerns of the Regions about having input into the Agency's research agenda and the value and utility of long-term research.

Recommendation 64: The Assistant Administrators and/or Deputy Assistant Administrators for ORD and OSWER should meet with the Deputy Administrator no later than June 10, 2004, to discuss improvements both organizations intend to implement to improve the effectiveness of the Superfund research program. Topics to be discussed should include the items identified above.

Recommendation 65: OSWER should examine the feasibility of using a more quantitative cost-benefit methodology for selecting technology innovation projects, since resources are so limited in order to further improve program effectiveness.

Option: To maximize TIP benefits, OSWER should conduct a study (if not already conducted) that examines why certain RPMs are willing to utilize a new or innovative technology, while others are not. Such a study might determine the extent systemic reasons resulted in a particular decision versus site-specific reasons.

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Chapter 6: **Evaluating Superfund's Share of Management and Support Costs**

When the Superfund program first was established, EPA decided that the program should pay its fair share of management and support costs. Initially this support was concentrated on the work required to build a new program (e.g., hiring staff, setting up financial system capabilities, setting up site specific charging accounts, and establishing Superfund site activity codes, etc.). Over the last 24 years, as the program has evolved, its management and support needs have changed as well.

The successful management of today's Superfund program depends upon a number of specialized tasks, including collecting site-specific charging information, developing detailed cost recovery documentation packages for referral to the Department of Justice, collecting Superfund State Contract funding from the states, billing potentially responsible parties for oversight costs, and establishing and managing special accounts. Some of these tasks were not needed in the early years of the program; other tasks were not anticipated. Special accounts are a particularly good example of a significant, new Superfund requirement. In FY 1994, the Agency established five special accounts. Between Fiscal Years 2000 and 2004, the Regions established 258 new special accounts (an average of 50 new accounts a year). As of the end of September 2003, the regions were managing 388 special accounts, which have collected approximately \$1.3 billion in collections and interest.

At the same time, Superfund has come to need less support in specific areas. For example, the Agency's focus on "enforcement first," along with the increased use of special accounts for the cost of overseeing PRPs, is resulting in the need to develop fewer cost recovery packages for remedial sites. (The cost recovery workload for the removal program has stayed relatively constant).

(Every effort has been made to make the following issues clear to all readers of this study; however, some issues are very specific to the Agency and the Superfund program and may be difficult for those individuals without a working knowledge of the subject area).

While it is clear that Superfund's management and support needs have changed over time, there is some disagreement about whether today's costs of this support accurately reflect these changes. One way to assess the appropriateness of current management and support costs is to compare what Superfund pays for management and support to the costs assumed by other Agency appropriations. In the FY 1999 operating plan, 24% of

the combined Environmental Programs and Management (EPM) and Science and Technology (S&T) appropriations were management and support costs. In the same year, 8.2 % of Superfund's appropriation funded management and support. Management and support's share grew between FY 1999 and 2003. In the combined EPM and S&T appropriations, management and support grew to 25.6%. In Superfund, it grew to 10.5% of the appropriation.

However, the total dollars for management and support grew more sharply in the combined EPM and S&T appropriations. From FY 1999 to 2003, the management and support costs grew over \$100 million or 15%. The growth in management and support costs for the Superfund appropriation was much smaller - \$10 million on a base of \$122 million or 8%. These numbers suggest that, when compared to the other Agency appropriations, Superfund management and support costs have grown at a slower rate than the rest of the Agency's management and support costs.

However, there continues to be concern about management and support funding since these offices have grown while the other offices have taken cuts. Because the Office of Environmental Innovation (OEI) was established in FY 2000, the following numbers compare Fiscal Years 2000 to 2003 (elsewhere in this report FY 1999 is used as the base year).

- OEI's portion of the Superfund operating plan grew by 32.1 percent (from \$14.4 million to \$19.0 million) for payroll and contract increases.
- The Office of the Chief Financial Officer's (OCFO) Superfund funding grew by 12.6 percent (from \$25.3 million to \$28.5 million) for payroll increases.
- The Office of the General Counsel's (OGC's) portion of the Superfund operating plan decreased by 76 percent (from \$3.4 million to \$839 thousand) due to a significant reduction in their staffing.
- The Office of Administration and Resources Management's (OARM) portion of the Superfund operating plan grew by 9 percent (from \$78.0 million to \$84.7 million). However, since the Superfund share of the rent increased by about \$3 million over this same time period, OARM's non rent funding increased by 4.7%.
- The Office of the Administrator did not receive funding from the Superfund appropriation after FY 1999.

Charging Superfund for Administrative Functions

Early in the program, it became clear that charging Superfund directly for all of the administrative goods and services (e.g., utilities, facility operations, and computers) needed to run the program would be difficult. Most of the funds for these goods and services were provided from OARM, with a smaller amount from the Office of Solid Waste and Emergency Response (OSWER), in what is collectively known as the Regional Support Account (RSA).

Today, OEI also contributes to the RSA. When a purchase is made from the RSA that supports both the Superfund program and EPA's non-Superfund work, the purchase is

accounted for in one of two ways: either through a direct charge to each appropriation, or through a process known as the Superfund Layoff. (OCFO developed methodologies and guidance for all Superfund charging). In general, the Regions and Headquarters offices use direct charging for specific information technology transactions or when an individual transaction can be specifically linked to a response or enforcement activity.

The Superfund Layoff process is used in areas, such as facilities, to account for purchases that support both the EPM and the Superfund appropriations. The initial charges for the goods or services purchased are made to the EPM appropriation, and then at specific intervals (monthly, bimonthly, quarterly) these charges are cumulatively “laid off” to the Superfund appropriation, based upon a predetermined methodology. This methodology, in turn, is usually based upon the Region’s or Office’s actual FTE utilization at the time of the layoff. Each time the Superfund layoff is calculated, all past charges are recalculated to reflect the latest actual FTE percentages, thus ensuring that each appropriation is charged its fair share.

As part of this study, the team asked each Region and relevant headquarters offices to provide their layoff rates (for the overall organization and the regional laboratory). As demonstrated in Table 6, there is a wide variation across the regions. Although it is understood that layoff methodologies should differ based upon local factors, it is not clear that these unique circumstances fully account for the range of layoff rates.

Recommendation 66: OCFO should analyze the Superfund charging across the Agency to ensure the use of approved methodologies and gain a better understanding of the variations.

Table 6: Regional Superfund Layoff Rates

Organization	Overall Layoff EPM/Superfund	Regional Lab Layoff EPM/Superfund
EPA Regions		
Region 1	69/29	63/37
Region 2	60/40	22/78
Region 3	66/34	30/70
Region 4	70/30	62/38
Region 5	67/33	67/33
Region 6	80/20	80/20
Region 7	70/30	70/30
Region 8	69/31	65/35
Region 9	73/27	70/30
Region 10	75/25	75/25

Long-term Approach to Management and Support

Viewing management and support costs from a longer-term perspective facilitates consideration of whether larger, more systemic changes might provide a permanent way of allocating those costs in a less burdensome way. One approach is to stop charging to Superfund all management and support activities that mirror the rest of the Agency's activities. Such an approach would create clear and easy to track distinctions between program and support activities, while also reducing the burden of funding many comparable activities in multiple appropriations. In addition, the Agency would need to consider ways for collecting costs for activities that are unique to Superfund (e.g., special accounts, cost recovery) so that these costs can be captured for cost recovery purposes.

Option: EPA could begin work on developing a long term plan for transferring some or all Superfund management and support costs to the EPM appropriation. A change of this magnitude would require a lengthy phase-in process. The Agency would need to work very closely with the Office of Management and Budget and Congress while developing this plan, to ensure that EPA is not placed in the untenable position of absorbing these costs if the resulting budget request were not approved.

Chapter 7: **Optimizing the Use of Superfund Dollars**

A principal objective of the study is to identify short- and long-term opportunities for improving the Superfund program's use of its resources. While the study identified many areas for improvement, it also noted the program's consistent record of improved management approaches. EPA headquarters offices have diligently pursued new policies and approaches to maximize resource utilization. The Regions also have proved to be a great source of best practices and ideas that should be shared across the country. The issues and recommendations identified and highlighted in this section will help the Superfund program achieve greater efficiencies and cost-effectiveness. However, the gap between the current construction project funding needs and what can be realistically obtained through greater efficiencies will remain significant and well beyond the ability of EPA to address internally.

Every effort has been made to make the following issues clear to all who may read this chapter. However, some issues are very specific in nature and maybe difficult for those without a working knowledge of the subject area.

Improving and Increasing Site-specific Charging

The Regions perform many activities that are charged site-specifically. Consistent and accurate site-specific charging strengthens the program's cost recovery by ensuring that potentially responsible parties (PRPs) pay their fair share (neither more nor less) of site cleanup costs. It also helps EPA demonstrate to Congress and to the public that the Agency is using its Superfund funding to conduct site-specific work, as opposed to costs that cannot be allocated to specific Superfund sites, like the rent or research. Within EPA, increasing site-specific charging will reduce overhead by properly accounting for hours and will reveal resource misallocations or adjustments that may be needed.

Historically, remedial project managers (RPMs) and on-scene coordinators (OSCs) are most likely to charge time site-specifically, since their day-to-day assignments involve this type of work. Staff whose work is closely associated with RPMs and OSCs, whether for technical support (e.g., toxicologists, hydrologists, and ecologists) or legal support (e.g., attorneys, paralegals), would also be expected to have higher rates of site-specific charging. Other work, particularly administrative work does not tend to be charged site specifically.

In the early years of the program, before the unique nature of Superfund support work was fully developed, this approach made sense. Today, however, it appears that some of the administrative work legitimately can and should be charged site-specifically. At present, most Regions charge to sites work done on contracts or for cost documentation and billing, but not work done on site-specific interagency agreements (IAGs), grants, and special accounts. The Superfund program may also have opportunities for charging for site-specific assistance provided by the Regional or headquarters staff who work with members of state governments or Congress.

Based on the Office of Enforcement and Compliance Assurance's (OECA's) report for FY 2003 on the regional use of enforcement and response full-time-equivalent (FTE) positions, overall site-specific charging varies from a low of just below 23 percent to a high of 39 percent. The highest site-specific charging occurs in Region 10, and appears to be attributable to higher site-specific charging in the laboratory and management divisions, which is an anomaly across the other Regions.

Because of the varying regional organizations and budget structures, however, making a precise comparison is very difficult. Site-specific charging for response work ranges from about 30 to 60 percent, while charging for enforcement work ranges from about 10 to 20 percent. The lower rate for enforcement reflects a change in work definitions made in the mid-1990s. (A recommendation on the change in work definition is discussed in the *Chapter 4: Enhancing Enforcement*).

Most EPA offices and support divisions that assist the Superfund program have much lower site-specific charging rates than the Superfund program divisions. For example, data from the OECA report reveal that the divisions providing analytical support charge virtually nothing to site-specific enforcement accounts and 10–20 percent to response accounts. Site-specific charges from the Offices of Regional Counsel range from 20 to 47 percent.

Headquarters and the Regions are concerned that the Agency's new payroll system will hinder attempts to improve site-specific charging, since it does not appear to have the reporting capabilities of the current system. The current system has Superfund accounts preloaded, which allows the user to select the appropriate account and enter the time worked. All necessary calculations are performed by the system. The new system does not have preloaded account numbers. Users who need to allocate time to a specific account must enter the account themselves. The Office of the Chief Financial Officer (OCFO), with the assistance of OECA, the Office of Solid Waste and Emergency Response (OSWER), and the Regions, needs to monitor this issue closely as the Agency transitions to the new system.

As with many of the issues covered in this study, an important first step toward improvement is better information. Currently, OECA sends a monthly report on site-specific charging to the budget coordinators in the regional program offices. According to OECA, these reports are then forwarded to the Superfund Division Directors. Regions that have improved site-specific charging have developed detailed reports on the charging

of each individual in a division that supports the Superfund program, and management monitors these reports.

Best Practice: Region 3 sends out a biweekly reminder to RPMs, OSCs and other Superfund program personnel required to submit timesheets, and provides a monthly report on who has (or has not) charged site specifically. The same Region also provides a quarterly report that breaks down for each organization the actual charging by individual, so that corrective action can be taken where warranted.

Recommendation 67: OECA should set a site-specific charging goal (e.g., XX percent) tailored for each Region. To ensure progress toward that goal, OECA should ask the Regions to submit three-year implementation plans and establish a system to track the performance of those plans. (Near term)

Recommendation 68: Key program offices (OCFO, OECA, and OSWER) should review the new payroll system to determine if there are opportunities to make site-specific charging easier and more user-friendly. (Near term)

Improving Cost Analysis

A few Regions have an established process or expertise for good cost analysis for remedial and removal actions. In recent years, other Regions have begun working to improve their ability to estimate these costs. These skills are necessary in several arenas: initially preparing an independent government cost estimate (IGCE), reviewing bids as part of the remedial action contract (RAC) negotiations, and monitoring and controlling cost growth at sites with ongoing construction. While rigorous cost analysis can make the overall Superfund program more efficient and less costly, this work requires specific experience and knowledge. Many Regions have been building capacity in this area by: (1) seeking out experience within the Region; (2) enhancing training for RPMs and OSCs on cost analysis; (3) hiring new employees or Senior Environmental Employees with this experience; and (4) tasking the U.S. Army Corps of Engineers (Corps) or contractors to conduct third-party reviews. OSWER has already come to similar conclusions and has begun to work with the Regions to address this issue.

Best Practice: Region 5 has a generic task order with the Corps to conduct a third-party review of each IGCE to ensure that costs are fully reviewed. Each review generally costs a few thousand dollars.

Recommendation 69: The Regions should continue to build cost analysis expertise through the approaches identified above. (Long term)

Option: OSWER should help the Regions by preparing and distributing a “cost cookbook” describing frequent construction tasks and estimates of the hours needed to complete these tasks. This cookbook could include both good and bad examples and experiences from the Regions. (Long term)

Revising Deobligation Policies

Over the last several years, OSWER has lead an Agency-wide effort to deobligate excess funds on contracts or funds on expired contracts. This effort has deobligated a significant amount of money—\$219 million in FY 2002 and \$109 million in FY 2003. OSWER recently began to focus on IAGs, especially those with the Corps (the federal agency EPA partners with most). The Agency's approach to deobligations should focus both on near-term, one-time opportunities and on longer-term procedural changes that would achieve a consistently higher rate of utilization of obligated funds, so that fewer and smaller deobligations are needed.

The current policy places 75 percent of the resources deobligated by the Regions into a national deobligations pool that OSWER manages. The Regions retain the flexibility to use 25 percent of regional deobligations to fund other response activities. Many Regions believe that changing the headquarters/regional ratio and dedicating a greater amount to work at National Priorities List (NPL) sites (remedial and removal) could speed up the completion of construction work.

The policy memoranda and guidance regarding the Brownfields program are another potential area of change. Deobligation policy documents for Brownfields grants were written prior to the enactment of the Small Business Liability Relief and Brownfields Revitalization Act (SBLRBRA) of 2002. These documents directed the Regions to review and take action on older grants where funds had not been expended. In December 2003, upon reviewing all the funds obligated for Brownfields activity since 1993, the study team found that a substantial number of grants with obligated funds still had no expenditures. While the Regions have begun the process of reviewing these grants, resulting in deobligations and better utilization of the grant funds, the Regions should carefully review all remaining grants to ensure the work will occur. Further, OSWER should review the existing policies and guidance to determine if they should be updated in light of the SBLRBRA.

Option: OSWER, working with the Regions, should revise the deobligation policy to increase the ratio of deobligated dollars returned to Regions (e.g., to 50/50), with the proviso that a high percentage of the funds be directed to remedial action or removals at NPL sites. (Near term)

Recommendation 70: OSWER should review and potentially revise the Brownfields deobligation policy documents in light of statutory changes and the progress made in reviewing older grants. (Near term)

Recommendation 71: OSWER and the Regions should evaluate the unexpended dollars on older Brownfields grants to determine if those funds can be used for the original award purpose. (Near Term)

Billing and Closeouts of Grants, IAGs, and Contracts

Timely and efficient billing and closeouts of grants, IAGs, and contracts is key to the program's successful management, as well as to the efficient use of Superfund resources. When looking at this area, the study team found that the efficiency of the billing and closeout process differs for each funding mechanism. Because contractors have a built-in business incentive to provide EPA with clear and prompt invoices, this process tends to work the smoothest. Contracts management also benefits from a fully automated billing and payment system, which is not now available for grants and IAGs.

In recent years, grants management has improved due to a series of measures initiated by the Office of Administration and Resources Management (OARM) and implemented by Senior Resource Officials. These measures included developing a national plan for managing grants, updating policies, and improving training. However, there is still one major hindrance to grant closeouts in the Superfund program. Several Regions are having difficulty getting some of their states to submit final financial status reports. This may be due to a variety of factors, including budget cuts in the states and lack of incentives.

The study team received the most input in the IAG area. It appears that improvements are needed by both EPA and the EPA partner agencies. Many Regions are concerned that other federal agencies will routinely submit lump-sum invoices, which make it extremely difficult for a project officer to review and approve work completed. There also appears to be confusion among some Regions regarding procedures for invoicing from the Corps. Since March 1990, EPA and the Corps have had a payment process in place called Direct Cite. The Corps sends certified invoices for contractor costs and Corps in-house costs directly to EPA's Cincinnati Financial Management Center, which pays the invoices upon receipt. Any issues that an RPM has with an invoice are discussed with the Corps project manager, and any adjustments are made to later invoices. Under this process, the only invoice requiring prior approval from the RPM before payment is the invoice marked "final." Based on regional interviews, it appears that not all Regions are aware of this policy. This payment issue was also raised in the August 2003 internal report for OSWER, *Evaluation of the Performance of the Corps of Engineers in Support of EPA's Superfund Program*. One of the report's recommendations was that the Direct Cite document should be re-circulated among the Regions.

Another issue raised was the inability to close out IAGs and contracts quickly. Closeouts for IAGs are delayed primarily because of other federal agencies' inability to provide a final bill or technical report. Contracts are slow to be closed out because of late subcontractor billings or disputes, various contractors' claims and protests, adjustments to overhead rates, final audits, etc. Consequently, the Regions do not deobligate funding on contracts or are unable to do so for IAGs, sometimes for many years beyond the completion of construction. Regions are reluctant to deobligate any funds prior to closeout of contracts or IAGs because they are concerned that any trailing costs or adjustments to overhead rates would come out of their current year funding. These

concerns discourage any attempt to deobligate funds prior to closeout, which needlessly ties up funds that could be used on current remedial or removal actions at NPL sites.

Recommendation 72: For programmatic contracts and IAGs, OSWER should immediately establish a pool of \$5 million to cover indirect cost rate adjustments and late bills for Headquarters and Regional response contracts and additional bills for IAGs. This pool will give the Regions and headquarters more incentive to deobligate funds after a contract or IAG expires. Once the pool is formally established, OARM and the Regions could begin deobligating funds from older expired contracts. In addition, formal establishment of this pool may assist in convincing other federal agencies to agree to close out or reduce the dollars available on expired IAGs. (Near term)

Recommendation 73: OCFO and OARM should work together to develop standard operating procedures for resolving billing issues with other federal agencies. (Near term)

Recommendation 74: If it has not already done so, OSWER should circulate the Direct Cite payment process document to the Regions and ensure that staff members are properly educated on the process. It may be prudent for OSWER and the Regions to review the process to determine if changes need to be made. (Near term)

Recommendation 75: OARM and OCFO, in consultation with the Grants Management Council, should review the current IAG closeout policy to determine if any revisions to the guidance are needed. (Near term)

Recommendation 76: Common grant closeout issues should be discussed at the Grants Management Council, and the Agency should establish consistent approaches to these problems. (Long term)

Recommendation 77: Headquarters and the Regions should identify which other federal agencies they are having difficulty with managing and closing out IAGs. They should communicate the issues and problems to OARM and OCFO, who will contact their counterparts at the other federal agencies to resolve them. (Near term)

Recommendation 78: For IAGs, grants, and contracts, OARM should establish appropriate closeout performance measures and send quarterly reports to Senior Resource Officials with outstanding closeouts, including the amount of outstanding dollars. (Near term)

Gaining Efficiencies Through Alternative Contract Mechanisms

There have been efforts throughout the years to make all Superfund contracts more cost effective and efficient. For example, over time the number of remedial action contracts (RACs) has been greatly reduced. Agency policy is to award two RACs to support each Region. However, there continues to be discussion about whether the existing contracts are used effectively and are appropriately funded, whether different contract types should

be used more frequently (e.g., performance-based and site-specific contracts), and whether contracting functions should be consolidated among the Regions.

OARM recently conducted an analysis of the current RACs and sent it to the Regions, asking them to identify their needs and unique issues. The analysis revealed a wide variation in the amount of funding that Regions had placed in their RACs. Some of the Regions, at their present expenditure rate, had placed enough funding on their RACs to be able to utilize them for several years in the future without placing additional funds on the contracts. This availability of funds ranged from 1.2 years to 4.6 years in the future. The details on how each Region obligated their funds is not known, however, it would seem prudent that funding for two years or less would be appropriate given the Agency's appropriation process and the current demands for Agency funds for site cleanup. Ultimately, this RAC analysis will result in better utilization of funds in the RAC contracts by addressing additional site work and/or deobligating funds.

The Agency continues to explore ways to obtain cost savings and efficiencies through different contract types. Because of the high dollar value of contracts within the Superfund program, pursuing alternative contract types could result in significant cost savings. While pursuing alternative types of contracts (i.e., performance-based, site-specific, and task order contracts) will require a greater investment in Agency and Superfund program time and personnel, done properly, these different contract types can result in significant cost savings to the program. OARM has been exploring alternative contract types for several years, and now conducts performance-based contract training on a case-by-case basis when an office prepares a new contract procurement. Because many of the alternative types of contracts are new to contracting officers and project officers, increased training and oversight will be necessary. It is also important for senior management to gain an understanding of these alternative types of contracts to ensure that they are considered when contracting decisions are made.

In addition to exploring different types of contract vehicles, OARM and the Regions should consider the value of consolidating the contracting function in fewer locations. These "centers of excellence" could service contract needs for two or more Regions. Regions 10 and 7 consolidated their contracting functions several years ago.

An issue that was discussed during the regional interviews is the importance of the experience of the RPM overseeing the RAC work assignment. Ensuring that RPMs can successfully manage the complexities of the RACs requires appropriate training and oversight of RPMs. OSCs receive more rigorous contract training than RPMs because the nature of their work requires them to make on-the-spot decisions that can affect a contract. It may be useful for OSWER to evaluate whether portions of OSC contract training should be incorporated into RPM contract training. Another option is to conduct peer reviews of work assignments and IGCEs developed by less experienced RPMs as needed. Even with appropriate training and oversight, an RPM needs to spend time in the field monitoring the contractor at the site. Without a field presence, the cost of the work being conducted at a site can easily increase.

Greater contract efficiencies may also be obtained by creating or enhancing partnerships between the contracting officer and the project officer. This will help ensure that all parties are aware of issues that arise and are handled appropriately and in a timely manner.

Best Practices: Region 3 has been able to use its existing RACs built-in incentives and disincentives to have subcontractors conduct performance-based work. This required defining the work and developing a surveillance plan. The Region followed this approach in two instances: first, at a site where it decommissioned a dam and treatment plant, and second at a site involving long-term response action. This best practice entails substantial upfront work the first time it is tried for a "new" kind of site. For example, for a pump-and-treat system, it is necessary to spend about a year gathering the data needed to define the performance desired before a good surveillance plan can be developed.

Recommendation 79: OARM, OSWER, and the Regions should work together to encourage the use of alternative contract types. Other types of contracts beyond those mentioned could be piloted to determine whether they would be appropriate options for Superfund work. (Near term)

Recommendation 80: OARM and regional contracting officers should offer regular training for contract personnel, RPMs, OSCs, and project officers in alternative contract mechanisms. (Long term)

Recommendation 81: OARM and the Assistant Regional Administrators should conduct an analysis to determine if cost efficiencies and programmatic benefits can be obtained by consolidating contract functions. (Long term)

Recommendation 82: OSWER, with support from OARM, should provide increased contract management training. Increased training or peer reviews could focus on development of work assignments and IGCEs, reviewing invoices, and overseeing contractors. (Near term)

Recommendation 83: OARM and OSWER should work closely with the Regions to monitor contracts to ensure that the Regions have not funded their contracts into the future to an extent where they cannot appropriately use the funds during the contract period. (Near term)

Increasing Efficiencies for Grants and IAGs

The Superfund program uses IAGs to obtain a variety of services to assist with site work and other work associated with site cleanup. Examples of services that a Region may obtain through an IAG are design and construction at sites, real estate assistance (buying property or obtaining easements), and ecological risk assessments. Because of the amount of work that the Superfund program has performed through IAGs, the issue of whether the process could be made more efficient was raised during the study.

In addition, the Regions manage a wide variety of Superfund grants. They include technical assistance grants awarded to communities and citizen groups, core grants to states and tribes to support their capacity building, multi-site cooperative agreements to states for site assessments and other work at multiple sites, and site-specific grants to states to conduct cleanups or support EPA or PRP cleanup.

Another issue raised during interviews was the number of newer grants going to states that still have large sums of money remaining on existing grants for the same type of work. Some Regions have begun to address this problem by not issuing new grants for the same activities until the money on older grants is expended and the grants are closed out.

Regional managers and staff expressed a need for the proper tools and reports to be able to manage IAGs better. The Agency has some systems already in place, and others that may only need to be expanded to address this and other issues regarding better IAG management. One system is the Integrated Grants Management System (IGMS). Another possibility is ORBIT, a new system currently being launched by OCFO. Some Regions felt strongly that IGMS would assist them in monitoring and closing out IAGs.

Some of the issues involving IAGs may result from a lack of training, specifically on IAGs. Issues that may need to be included are emphasizing deliverables and milestones as part of an IAG and defining appropriate criteria for when to extend the project period for an IAG. Numerous IAGs have had their durations extended, some more than once. The Agency needs to establish a consistent process for how and when changes in durations to IAGs are addressed as well as for grants. These long periods of performance can make it difficult to manage and close out a grant or IAG.

OARM has been working with Senior Resource Officials to improve how the Agency is managing its assistance agreements. While much has been done in the grants arena, IAGs are just beginning to receive attention. The following recommendations are intended to build upon the work that has begun.

Recommendation 84: In the near term, the OSWER Senior Resource Official should establish policies for the durations of grants and IAGs. For the long term, OARM should work with the Agency to establish Agency policies for the durations of all types of grants and IAGs. (For the older grant and IAGs that have had their periods of performance extended on multiple occasions, the Senior Resource Official should monitor those agreements carefully and work with OARM to close them out as soon as possible). For new grants and IAGs, these assistance agreements should be closely monitored to ensure that they do not exceed the new durations, whose length may vary depending on type of activity. (Near term/long term—two-part recommendation)

Recommendation 85: OARM and the Regions should analyze the different types of grants to determine their current funding levels and draw-down histories and establish criteria that will be used to evaluate grants that need increased monitoring. (Near term)

Recommendation 86: OARM should continue its commitment to create an improved overall training course for project officers and IAG specialists focusing solely on IAGs. Topics that may need to be included are emphasizing deliverables and milestones as part of an IAG, outlining criteria for when to extend the project period, managing billing issues, and emphasizing proactive monitoring of IAGs. (Near term)

Recommendation 87: OARM should continue to build upon the improvements already undertaken to better monitor grants in the areas of billing, deliverables, and milestones, and should ensure that the proper monitoring tools are available to managers and staff. As part of training for new project officers and recertification training, OARM should continue to ensure that all staff members are fully trained on using available tools, such as the Financial Data Warehouse and OARM databases. (Long term)

Recommendation 88: OARM should provide status updates to project officers and managers on the future deployment of the IAG module of IGMS. (Near term)

Collection of a Match for Superfund State Contracts

Based upon a short analysis, there appears to be variation in how the Regions manage Superfund state contracts (SSCs). Established between the Agency and states, SSCs specify how states will provide their 10 percent cost share for cleanup at Fund-lead sites. Some Regions set up payment schedules for the states, while others appear to collect the funding after the construction has been completed. Waiting until after a cleanup is completed to collect a state's share ties up appropriated dollars that could be used on other remedial actions. By correcting slow collections from states, the Agency can use more appropriated money sooner for remedial actions.

The most recent guidance for SSCs, *Classic Two-Party Superfund State Contract (SSC) Model Clauses*, was finalized in August 1990. This document primarily consists of model clauses for SSCs, and also includes guidance on such areas as cost sharing. Based on the varied interpretations among the Regions on SSCs and the age of the present guidance, it may be prudent for OSWER to evaluate whether the document needs updating.

Recommendation 89: OSWER should evaluate and update, if necessary, national policy on state cost share, payment policy, and refund policy. If this guidance does not need to be updated, the 1990 guidance should be recirculated. (Near term)

Recommendation 90: OSWER and OCFO, if needed, should work together to establish monthly reports that staff and managers can use to better track SSC collections, obligations, and expenditures. (Near term)

Recommendation 91: OSWER and the Regions should work together to establish performance measures for SSCs which could address the timeliness of collecting funds and returning excess funds to states. (Long term)

Doing Business with Other Federal Agencies

The Superfund program has come to rely heavily on the Corps and other federal agencies to manage the cleanup of large Fund-lead sites. During interviews with regional and headquarters personnel, various issues were raised regarding IAGs with other federal agencies. Many of the issues raised were focused on IAGs with the Corps because the Corps has the overwhelming number of IAGs with the Superfund program. However, the recommendations apply to all IAGS.

Table 7: Number of Superfund IAGs Active & Expired as of 3/10/04 with a Current Balance

	Total IAGs	Corps IAGs	Other Agency IAGs	% w/Corps
Region 1	92	65	27	71
Region 2	167	140	27	84
Region 3	99	58	41	59
Region 4	49	33	16	67
Region 5	54	31	23	57
Region 6	32	22	10	69
Region 7	18	7	11	39
Region 8	54	11	43	20
Region 9	71	45	24	63
Region 10	30	20	5	67
OSWER	98	8	90	8
Total	764	440	227	58

Table 8: Dollars Obligated on Superfund IAGs Active and Expired as of 3/10/04 with a Current Balance

	Total Dollars Obligated on IAGs*	Dollars Obligated on COE IAGs*	Dollars Obligated on Other Agency IAGs*	% of Dollars Obligated on COE IAGs
Region 1	\$ 615	\$ 583	\$ 32	95
Region 2	\$ 1,037	\$ 1,020	\$ 17	98
Region 3	\$ 350	\$ 328	\$ 22	94
Region 4	\$ 153	\$ 136	\$ 17	89
Region 5	\$ 151	\$ 108	\$ 43	72
Region 6	\$ 179	\$ 156	\$ 23	87
Region 7	\$ 12	\$ 8	\$ 4	67
Region 8	\$ 232	\$ 63	\$ 169	27
Region 9	\$ 185	\$ 124	\$ 61	67
Region 10	\$ 187	\$ 182	\$ 5	97
OSWER	\$ 466	\$ 38	\$ 428	8
Total	\$ 3,567	\$ 2,746	\$ 821	77

*Dollars in millions

Some of the issues that were raised included the following:

- The Agency needs to manage IAGs with other federal agencies better, particularly billing and oversight.
- There is a perception in the Agency that some Regions are using IAGs as a default vehicle instead of deliberately choosing an IAG because of the unique capabilities of the other federal agency or specific cost issues.
- The overhead rates charged by the Corps and by other federal agencies appear to vary widely. Frustration with the IAG billing process is widespread, both in terms of lump-sum invoices submitted and long delays in resolving outstanding billing issues.

In IAGs specifically with the Corps, there appears to be a wide variation in costs that the individual Corps districts include in the IAGs. Some districts require that their Project Planning and Management Division (PPMD) services be included, while others do not. The value of including PPMD is not clear to all Regions. Some Regions report that PPMD's inclusion appears to delay reports generated by the construction, engineering, and real estate groups, sometimes for several months, thus preventing them from reaching EPA in a timely fashion.

The issues raised during interviews reinforced the findings and recommendations from the *Evaluation of the Performance of the Corps of Engineers in Support of EPA's Superfund Program*, which concluded that, on the whole, "the Corps is viewed as having done a good job assisting EPA to manage the Superfund program." However, several

regions are concerned about certain aspects of the Corps' performance. The following recommendations are primarily geared toward strengthening coordination between the Corps and EPA, improving oversight of field programs, and establishing Corps performance incentives. They complement the Report recommendations, while providing a particular focus on cost savings.

The following recommendations refer to IAGs with the Corps, primarily because most of the IAGs for site cleanup are with the Corps. Nevertheless, these recommendations should be applied to IAGs with all federal agencies where applicable.

Recommendation 92: OSWER and OARM should analyze how much EPA is paying other federal agencies in indirect cost rate, PPMD, and other costs. For Corps IAGs, these costs should be analyzed at the district level—not just at the national level. (Near term)

Recommendation 93: EPA headquarters should negotiate a national overhead rate for all IAGs depending on the results of the (above) analysis. In addition to eliminating the tremendous variability in overhead rates charged to the Regions, this single, national rate should be negotiated with the intent of minimizing costs to EPA. (Long term)

Recommendation 94: The Regions should continue or should re-establish regular meetings between regional senior managers and their counterparts to discuss project milestones, deliverables status, and opportunities to minimize cost growth. (Near term)

Taking Full Advantage of Special Accounts

On the whole, as discussed in the enforcement findings chapter, the Regions have done an excellent job establishing special accounts. However, there is significant variability in the Regions' understanding of the uses and benefits of special accounts. The Agency currently has approximately 390 special accounts on which it has collected and received \$1.38 billion in interest as of March 12, 2004 (67 percent of these accounts have been created since FY 2000). Approximately \$680 million of this total has been obligated. The \$700 million still available must be obligated for specific sites consistent with the agreements with the PRPs.

The Agency has established these accounts for a multitude of purposes, including:

- use by PRPs to conduct work at a site or an operable unit;
- holding funds when PRPs “cash out” for an entire site or an operable unit prior to construction at a site (those who “cash out” may be a *de minimis* PRP, have a limited ability to pay, or pay their fair share);
- oversight of work at the site (some Regions do not start using those funds until one year after the establishment of the special account); and
- future work at the site.

In the last two cases, the PRPs may also have provided funds for past costs at the site.

The increased establishment of special accounts in recent years has been an important development in the Superfund program. Special accounts free up appropriated funds so they can be used for other program or enforcement priorities, and reduce the transaction costs (obligations and deobligations) associated with cost recovery. However, because each account must be managed consistent with the requirements of the consent decree, special accounts have greatly expanded the administrative workload under the Superfund program. (See *Chapter 4: Enhancing Enforcement* for a discussion and recommendations regarding policy issues surrounding special accounts.)

Best Practice: Region 3 holds an annual site-specific planning meeting to discuss the use of special accounts. The meeting involves the branch chief, the RPM, and individuals from the enforcement and comptroller's offices. These meetings ensure that special account dollars are used in a timely and appropriate manner and that any questions regarding the account can be addressed early in the process.

Recommendation 95: OCFO should develop fact sheets on setting up special accounts, utilizing special account dollars, and closing out the accounts. (Near term)

Recommendation 96: OECA and OCFO should design reports that clearly describe the use and status of special accounts, and should provide them to managers in the Regions and headquarters on a regular basis. (Long term)

Recommendation 97: OECA should identify the oldest special accounts and then meet with the Regions to discuss uses of those dollars and progress toward using them. Because many of the older special accounts may not have had the benefit of model consent decree language and may be more complex in terms of their use and closeout, these accounts may need specific attention. OECA may want to review model consent decree language to make sure it maximizes the Agency's flexibility (for use at the specific site as well as other sites). (Near term)

Enhancing Management Tools

To successfully manage a complex environmental program with multiple sources of funding, managers and staff need easy access to information. Superfund managers need programmatic and management (finance, grants, contracts, etc.) reports. RPMs and OSCs need site-specific information, contract and IAG information, etc. All parts of the program have a need for easy access to information that is presented in a way that is useful to them. Various tools are currently being used or being developed within the Agency that can facilitate access to program information. These tools should be shared across the program to avoid duplicative efforts.

Across the Agency, programs are developing tools to make the older systems (financial and programmatic systems) more useful to staff and managers. For example, OCFO has developed ORBIT, a web-based financial, administrative, and operations reporting tool that is designed to expand significantly the integration of Agency, financial,

administrative, and program performance information. ORBIT will enhance the ability of EPA managers to make more informed decisions about their programs and operations.

EPA is also working to modernize some of its agency-wide systems. For example, OARM is continuing its development and deployment of the IGMS, which when completed, will allow the Agency to award, manage, and close out grants and interagency agreements electronically.

The Superfund program is reviewing its own systems. Currently, the program is addressing three areas: (1) re-engineering the Comprehensive Environmental Response, Compensation and Liability Information System by evaluating the whole system from how it handles information to what should actually be stored in the system; (2) creating the Institutional Controls Tracking System, which will document and track parts of the remedy (e.g., deed controls) and the protectiveness of the remedy; and (3) reviewing the whole range of OSWER information technology (IT) systems and applications to determine how they might be modified to most logically and effectively relate to each other and to Agency-wide IT resources.

Because of cost recovery requirements, the Superfund program probably has more experience with electronic record keeping than many other Agency programs. The benefits of electronic record keeping include reducing the growth of on-site paper storage costs, increasing accuracy, reducing research time for users, improving Freedom of Information Act response times, and allowing faster analysis of data.

Some examples of systems developed by the Regions to assist with electronic record keeping are the Web-Integrated Superfund Document Management System (WISDMS) and ReportLink. WISDMS was developed by Region 6 and is now being used by other Regions and the Office of Site Remediation and Technology Innovation. This system stores scanned electronic documents in a web-based environment. ReportLink was developed by Region 1 and will be available to all Regions in the summer of 2004. ReportLink is a "report library" that allows Superfund program staff to print various reports.

Recommendation 98: OARM and OCFO should work with Senior Resource Officials to communicate the development and deployment status of new Agency-wide systems (financial management, grants and IAG management). (Near term)

Recommendation 99: OSWER and the Regions should evaluate which systems and tools currently exist or are under construction and should circulate this information in order to avoid duplication of data systems and tools. OSWER should also establish a process by which future plans and systems are communicated across the program. (Long term)

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Chapter 8: **Reviewing Existing Performance Measures**

This chapter describes the performance measures EPA's Superfund program is currently using to monitor and evaluate program performance. As described below, and elsewhere in this report, the study team commends the work all the programs are doing to strengthen their performance measures. Even so, the team has identified several specific areas for additional review and encourages the use of benchmarking as a way to identify opportunities for improvement.

GPRA Superfund Performance Measures

EPA primarily uses two types of performance measures to foster accountability. One series of measures is in response to the Government Performance Results Act (GPRA). These measures are highly visible and must be reported annually to Congress in the President's Budget. "GPRA measures hold federal agencies accountable for using resources wisely and achieving program results. GPRA requires agencies to develop plans for what they intend to accomplish, measure how well they are doing, make appropriate decisions based on the information they have gathered, and communicate information about their performance to Congress and to the public."² The other types of performance measures are used internally by each program office to measure performance.

Currently, GPRA Superfund performance measures exist for the Office of Solid Waste and Emergency Response (OSWER), the Office of Enforcement and Compliance Assurance (OECA), and the Office of Research and Development (ORD). These measures are found under the strategic goal Land Preservation and Restoration. (See Appendix X for complete set of Superfund GPRA measures.)

Over the years, the performance measures the Superfund program uses have shifted focus from tracking outputs to outcome-oriented, or results-oriented, measures (e.g., Superfund Environmental Indicators). This is particularly true for OSWER. This evolution continues with new GPRA measures in FY 2004 that focus on outcome-oriented measures.³

² *Superfund Program Implementation Manual FY 04/05*, Appendix G: Government Performance Results Act (GPRA), OSWER Directive 9200-3-14-IG-Q, April 7, 2003, page G- 2

³ *Ibid*, page G-1

While its strategic measures are still evolving, OSWER has identified seven measures under the above strategic goal for FY 2004:

1. performing site assessments and making final assessment decisions,
2. initiating removal response actions,
3. selecting final remedies designed to clean up contamination to risk levels that are protective of human health and the environment and appropriate for reasonably anticipated future land use,
4. completing construction of the selected remedies,
5. protecting the public from the health effects of exposure to contamination,
6. controlling the migration of contaminated groundwater, and
7. returning land to productive uses by cleaning up contamination to risk levels appropriate for reasonably anticipated future land uses.⁴

Of these strategic targets, (3) and (7) were added in FY 2004 while (5) and (6) were introduced in FY 2002. Discussions with OSWER staff indicate that their ultimate goal is to be able to develop measures that are more outcome-oriented, such as “lives saved” and other future-oriented outcome measures that result from program site assessment and cleanup activities.

Under this strategic goal, OECA has two GPRA measures with the following targets:

1. Each year through 2008, reach a settlement or take an enforcement action before the start of a remedial action at 90 percent of Superfund sites having viable, liable responsible parties other than the federal government.
2. Each year through 2008, address all statute of limitations cases for Superfund sites with unaddressed total past costs equal to or greater than \$200,000.

Finally, ORD has two GPRA targets and associated measures:

1. Provide Science to Preserve and Remediate Land. Through 2008, provide sound science and constantly integrate smarter technical solutions and protection strategies that enhance EPA’s ability to preserve land quality and remediate contaminated land for beneficial reuse.
2. Conduct Research to Support Land Activities. Through 2008, conduct sound, leading-edge scientific research to provide a foundation for preserving land quality and remediating land. Research will result in documented methods, models, assessments, and risk management options for program and regional offices, facilitating their accurate evaluation of effects on human health and the environment, understanding of exposure pathways, and implementation of effective risk management options. Conduct research affecting Indian country in partnership with tribes.

⁴Ibid, page G-2

Specific Superfund GPRA measures and associated targets do not exist for the Agency's management and support functions.

Superfund Internal Performance Measures

EPA program offices also use numerous internal measures to track performance. For example, OSWER tracks Superfund program outputs, such as:

- number of sites (i.e., total National Priorities List (NPL) sites, proposed for listing, final, and deleted);
- NPL pipeline (e.g., constructions completed);
- starts (e.g., remedial investigation/feasibility studies (RI/FSs), remedial designs);
- completions (e.g., records of decisions, NPL removals);
- starts and completions by fiscal year; and
- number of ongoing projects (RI/FSs, remedial designs, and remedial actions).

OECA has a long list of internal measures to track performance, some of which are:

- potentially responsible party (PRP) search starts;
- PRP search completions;
- maximizing PRP involvement/enforcement first;
- using special accounts for site cleanup; and
- ensuring compliance with orders/settlements.

A complete list of measures appears in Appendices H, I and J.

ORD also has several internal performance measures built around completing research projects in particular areas. These include:

- By 2010, improve the range and scientific foundation for remedy selection options for contaminated sediments by improving risk and site characterization and increasing understanding of different remedial options, in order to optimize protection of human health and the environment and the cost-effectiveness of remedial decisions.
- By 2010, provide documented performance and cost information for at least 8 alternatives to pump-and-treat remedies and at least 6 tools for characterization and assessment that the program office can incorporate in guidance.
- By 2010, provide 25 tools and methods that will allow the Agency to accurately and efficiently assess, remediate, and manage the soil and land in a healthy, productive, and sustainable state.
- By 2010, provide 40 scientific tools, methods, and models, as well as technical support to: (1) characterize the nature and extent of multimedia site contamination; (2) assess, predict, and communicate risks to human health and the environment; (3) evaluate innovative characterization and remediation options;

(4) develop testing protocols and risk management strategies; and (5) identify the fate and effects of oil spills.

Although not specific to Superfund, all of the management and support offices have internal performance measures that affect the program's efficiency and effectiveness.

Observations Regarding Program Performance Measures

An OSWER workgroup is currently exploring a variety of options to measure environmental outcomes as well as the use of efficiency measures. OSWER also is using analytical tools to initiate discussions with the Regions regarding program performance. OSWER does not appear to have internal performance measures for some of its functions, such as technology innovation and information management.

ORD's current performance measures do not appear to be results- or outcome-oriented. Instead, ORD's measures focus on completing sound research projects. However, the study team understands that ORD is in the process of examining their current measures and modifying where appropriate to become results- or outcome-oriented.

The study team does not know whether the performance measures of EPA's management and support organizations are consistent with the needs of the organizations' clients. The study team did not address this issue, but a review may be appropriate.

This project also has recommended several areas where additional measures could be used to enhance the performance of the Superfund program. As described elsewhere, they include:

- OSWER and the lead Region should lead an effort to develop performance measures that are consistent with the established (program) goals. For example, if the Agency decides to count cleanups, no matter what the source, the performance measure would include NPL construction completions, Superfund Alternative Site completions, removals that encompass all work necessary to clean up an NPL site, and voluntary cleanups.
- OSWER and OECA should build upon their work to improve and strengthen performance measurement by establishing measures that encourage the various cleanup approaches to complement each other. For example, OSWER should consider adopting a measure that treats a Superfund Alternative Site completion like an NPL construction completion, and an NPL construction completion like a fully protective removal action. OSWER should consider broadening this measure to incorporate Resource Conservation and Recovery Act corrective actions under a "one cleanup" umbrella.
- To complement key program goals, all national program managers with Superfund resources should adopt and track a manageable number of meaningful measures; ensure data systems are in place to facilitate timely and accurate

reporting; and consider using measures beyond traditional cleanup milestones, including financial management, resource utilization, cost recovery effectiveness, and site-specific charging.

- OSWER and OECA should consider adopting goals that cut across different program activities (e.g., cleanup completions through use of any tool or combination of tools) to improve teamwork and gain full recognition for the Agency's work.
- OECA and the lead Region should evaluate current enforcement measures and develop additional regional site-specific measures that provide a more accurate picture of program success.
- OECA should establish a performance measure for tracking the establishment of special accounts in conjunction with PRP settlements.
- OSWER and the Regions need to work together to establish performance measures for Superfund state contracts.

Program or Functional Efficiencies

Employing and tracking program or functional efficiencies appear to be just getting started within the Agency. As part of the Office of Management and Budget's Performance Assessment Rating Tool (PART) initiative, program offices must now develop efficiency and program outcome measures. Other than anecdotal references (plus common sense), the Superfund program does not currently appear to have a mechanism for quantitatively measuring whether program efficiencies have occurred, and if so, where, to what extent, and why.

To comply with OMB's PART initiative, the Superfund program has developed measures for the removal program in the PART and is working on developing measures for the remedial program. The PART requires an agency to identify measures addressing program purpose and design, strategic planning, program management, and program results and accountability. These areas are tracked and scored on a yearly basis.

Similar efficiency measures could also be used possibly for enforcement, lab support, and management and support activities. While management and support activities are much more difficult to measure than other activities, they are not impossible to measure, particularly in such areas as contracts management and grants management. OARM is already tracking certain performance measures. Additional measures could include efficiency measures associated with the number of full-time-equivalent (FTE) positions required for each new contract acquisition, and the potential cost savings to the government for new versus replaced contracts.

Benchmarking Studies

Benchmarking can be defined as the continuous process of measuring producers, services, and practices against strong competitors or recognized industry leaders. This ongoing activity, which is intended to improve performance, can be applied to all facets of an operation. Benchmarking studies could prove very useful in not only measuring efficiency, but also fostering a sense of competition and innovation.

Benchmarking requires a mechanism for identifying and measuring performance and differences in performance. It focuses on comparing best practices among organizations with similar functions or dissimilar organizations with similar functions.

Benchmarking enables organizations to identify who is performing well and, with subsequent research, why. By understanding why, other organizations performing similar functions can identify and possibly adopt best practices to foster continuous improvements throughout their organizations.

Benchmarking does not appear to be a common practice within EPA. However, discussions indicate an OSWER workgroup is currently exploring options concerning efficiency measures, including possibly using benchmarking within the program.

While benchmarking is quantitatively oriented, it need not always be. By posing the right questions, organizations can identify the processes that are fostering improvement or lack of improvement, and modify their processes to achieve the desired outcomes.

At issue is the importance of measuring the efficiency of operations within EPA and, in particular, the Superfund program. On the one hand, benchmarking particular functions or operations to establish baselines of performance and incremental changes can foster a sense of competition, incentives, innovation, and accountability. On the other hand, these efforts do not come cheaply, nor are they easy to implement without careful planning. To a great extent, incorporating benchmarking into an organizational culture can be difficult to implement without strong and continuous leadership.

Recommendations for Superfund Performance Measures

The performance measures used by the EPA program offices appear to be relevant, for the most part, to achieving the goals of the Superfund program. However, as with every organization, improvements appear possible. At issue are the costs and benefits of investing in this area relative to other program activities.

The objectives of ORD's Superfund research program are to reduce the cost of cleaning up Superfund sites, improve the efficiency of characterizing and remediating sites, and reduce the scientific uncertainties for improved decision making at Superfund sites. ORD could build upon these objectives and possibly develop results-oriented or even outcome-oriented measures.

For instance, ORD has highlighted that the Superfund Innovative Technology Evaluation program has resulted in \$2.4 billion over the years in cleanup cost savings through EPA and PRPs utilizing innovative technologies evaluated by them. ORD could set a target of \$X in cleanup cost savings per year. Similarly, ORD could apply a measure showing the reduced time required to characterize or remediate sites as a result of implementing models or methodologies developed by them. Finally, ORD provides the Regions with site-specific technical support. ORD could set a target of providing technical support to X sites per year resulting in \$X saved in cleanup costs, or X amount of time in characterizing sites, or X number of sites with reduced risks to human health or the environment as a result of their technical support.

Recommendation 100: ORD should continue their internal review and revise, where appropriate, their Superfund performance measures to become more program results-oriented.

Similarly, OSWER should examine the feasibility of developing outcome-oriented performance measures for its technology innovation activities.

The study team recognizes OSWER's efforts toward developing efficiency measures for the Superfund program. Whether through benchmarking, use of efficiency measures, or other approaches, the objectives are the same: foster a sense of continuous improvement, understand the factors that influence variations in performance, foster innovation, share those observations or best practices, and ultimately foster greater program effectiveness and efficiency.

Recommendation 101: OSWER and OECA (and possibly other offices as well) should initiate a benchmarking study associated with an important Superfund operation or function, such as RI/FSSs or PRP searches in order to improve the Superfund program's efficiency, foster opportunities for innovation, and adopt best management practices.

Recommendation 102: EPA's management and support offices should meet with their Superfund response and enforcement clients to review current measures and possibly establish new performance measures specific to the Superfund program, such as on special accounts and cost recovery in order to increase the Superfund program's integration and efficiency.

Chapter 9: Agenda for Moving Forward

As stated earlier in the report, the Deputy Administrator is creating an internal Superfund Board of Directors to improve program coordination, integration and accountability. The OSWER Assistant Administrator will chair this board which will be made up of Assistant Administrators who manage Superfund resources and responsibilities. The board will be co-chaired by the Assistant Administrator for the Office of Enforcement and Compliance Assurance. Regional participation, at a minimum, will include the Lead Regions for Superfund and Enforcement.

The Board's first task will be to develop an action plan(s) for the implementation of this study. The study provides a blueprint for action for the Board of Directors. Attached in Appendices A and B are summaries of the recommendations and options identified in the study and the offices responsible for implementation.

In addition, the study team has identified some near term and long term actions which can focus attention on one of the key goals of the study – identifying additional funds which can be used for long term cleanups. This short list of recommendations does not represent the highest priority recommendations of the overall study, but a starting point for the Board of Directors. The activities which can be initiated within this fiscal year have been marked with an asterisk even though some of them may take longer than one year to complete.

The individual chapters of the report provide background and context for these recommendations, and in some cases, additional recommendations on the subject. The recommendations are grouped by subject area.

Improving Overarching Leadership and Program Accountability

- Far from a one-dimensional cleanup program, Superfund has continued to evolve over the years and has developed and applied new approaches. Senior program managers should evaluate the Superfund program's current goals and objectives and clearly communicate the hierarchy among the goals to ensure that Superfund resources are properly directed to achieve the Agency's most important goals. This action is critical in the area of National Priorities List (NPL) site cleanups to ensure that the limited funds available for long term cleanups are maximized and appropriately allocated.

Recommendation 2

Continuing to Increase Potentially Responsible Party (PRP) Involvement

- *Using Fund-Lead Work as an Enforcement Lever – While continuing to stress early PRP search activity and maximizing PRP involvement, OSWER should set aside funds for Regions to begin RI/FS work early where PRP recalcitrance is evident. (Near Term) ***Recommendation 24***
- Using NPL as an Incentive for Voluntary Cleanup Work – OSWER should maintain a sufficient rate of listing on the NPL to function as an incentive for PRPs to perform work under the Superfund program as well as other programs and authorities. ***Recommendation 23***
- *Increasing PRP Involvement in Removal Actions - OECA and OSWER should work with the Lead Regions to develop goals similar to those in the remedial program for enforcement first in the removal program to increase the percentage of PRP conducted removal actions. ***Recommendation 54***

Developing a Better, More Effective Cleanup Program

- Defining the Scope of Mega Sites Specifically and Early – OSWER should work with the Regions to establish a process for national review of the scope of potential megasites at the time of listing to ensure that sites are properly characterized as early as possible so that out-year funding needs can be more accurately forecast. ***Recommendation 28***
- *Examining the Role of the National Remedy Review Board (NRRB) and the Cost of Site Work ***Recommendations 37 & 40***
 - The work of the NRRB has resulted in reduced costs for selected remedies. OSWER should re-evaluate the criteria for identifying sites for scrutiny by the Board, with an eye toward expanding the number of sites undergoing review.
 - OSWER should consider cost reviews of every site with a long term response action (LTRA) to minimize remedy costs. Cost saving approaches should be shared across the regions.
- Reviewing Specific Records of Decisions – OSWER should set up a review team of headquarters and regional staff to make sure that the selected remedies at sites incorporate new technology and the most cost efficient cleanup approach based on experience since the remedies' selection. ***Recommendation 41***
- Pursuing Superfund Alternative Sites Approach – The Regions should establish and implement a process by which Superfund alternative sites are prioritized along with their NPL sites to ensure that response funds are being spent on the sites with the highest risk. ***Recommendation 26***
- *Funding Mechanism and Providing Oversight – Regional senior management should ensure that they are involved in selecting the cleanup mechanism (e.g.

other federal agency, state or remedial action contractor) to ensure that funds are being managed as effectively as possible. ***Recommendation 43***

- *Superfund Analytical Support - The Regions should fully and consistently implement the approach proposed by the Field and Analytics Services Teaming Advisory Committee (FASTAC) for cost effective analytic support for both the remedial and removal programs. (This approach generally allows the Regions to chose the lowest cost laboratory support for particular analytical needs).

Recommendation 49

- *Superfund Research - The Assistant Administrators and/or Deputy Assistant Administrators for ORD and OSWER should meet with the Deputy Administrator no later than June 10, 2004, to discuss improvements both organizations intend to implement to improve the effectiveness of the Superfund research program. ***Recommendation 64***

Better Utilization of Dollars and FTE

- Reducing Costs to Meet Numerical Targets - The study identifies a series of options for the Administrator and Deputy Administrator to review as they make decisions about approaches (i.e. targeted or pro rata cuts) to finding additional funding for long term cleanups. ***Options 1-4***
- *Make Purposeful Resource Shifts to Address Programmatic Needs – The lead Region should facilitate a process that takes advantage of capabilities already developed and demonstrated in areas of programmatic specialization by encouraging regions with needs in these areas to obtain support from the Regions with the capability and capacity to take on more work. An example is one Region conducting post construction work at completed sites for another region. ***Recommendation 17***
- Addressing Underutilized Enforcement FTE and Contract Support – The Enforcement program should return to a definition that includes oversight of PRP actions as an enforcement activity which will improve FTE utilization. Implementing this change will require that additional contract funding will be provided to OECA to make up for the shortfall now being filled by payroll carryover. ***Recommendation 52***
- *Using Special Accounts Effectively – OECA and the Regions should discuss the current special account guidance to determine if additional clarification is necessary to maximize the use of special account dollars. ***Recommendation 61***
- *In FY 2003, the Agency deobligated over \$100 million from expired and active contracts, IAGs and grants. ***Recommendations 21, 72, 73 and 78***

To continue this approach to better utilizing funds:

--EPA Regions and Headquarters should establish a schedule for FY 2004 deobligations and initiate actions immediately so the funds will be available during this fiscal year.

-- For programmatic contracts and IAGs, OSWER should immediately establish a pool of \$5 million to cover indirect cost rate adjustments and late bills for Headquarters and Regional response contracts and additional bills for IAGs. This pool will give the Regions and Headquarters more incentive to deobligate funds after a contract or IAG expires.

-- OCFO and OARM should work together to develop standard operating procedures for resolving billing issues with other federal agencies.

-- For IAGs, grants and contracts, OARM should establish appropriate closeout performance measures and send quarterly reports to Senior Resource Officials with outstanding closeouts, including the amount of outstanding dollars.

Measuring Performance

- **Measuring Performance - *Recommendations 8 & 91***

-- All National Program Managers with Superfund resources, with their Lead Regions, should adopt and track a manageable number of meaningful regionally specific performance measures to ensure greater accountability; ensure data systems are in place to facilitate timely and accurate reporting; and consider using measures beyond traditional cleanup milestones, including financial management, resource utilization and cost recovery effectiveness.

--OSWER and the Regions should work together to establish performance measures for Superfund State Contracts, which could address the timeliness of collecting funds and returning excess funds to states.

Preventing Potential Future Superfund Sites

- **Preventing Potential Future Superfund Sites - OSWER should conduct an evaluation of historical removal actions to determine whether patterns exist in certain industries (using Standard Industrial Classification codes).**

Recommendation 36

Appendix A: Summary of Recommendations Table

Recommendation	OSWER	OECA	ORD	OARM	OCFO	OEI	OAR	Regions
Improving Integration and Communication Recommendations								
1. The Deputy Administrator should create a Superfund Board of Directors to improve program coordination, integration and accountability.	X	X	X	X	X	X	X	X
2. Senior program managers should evaluate the program's current goals and objectives and clearly communicate the hierarchy among these goals to ensure that Superfund resources are properly directed to achieve the Agency's most important goals	X							X
3. OSWER and the lead Region should spearhead an effort to develop performance measures that are consistent with the newly articulated hierarchy of goals.	X	X	X	X	X	X	X	X
4. OSWER and the Regions should work together to maintain a sufficient rate of listing on the NPL to provide a clear incentive for potentially responsible parties (PRPs) to perform work under the Superfund program as well as other programs or authorities.	X							X
5. OSWER should allocate resources to start Fund-lead actions at every step in the Superfund pipeline, thereby motivating PRPs to commit to taking on work and freeing up appropriated dollars over the longer term.	X							
6. OSWER should promote the One Cleanup Program more aggressively and set more ambitious targets for policy and guidance development in order to continue to improve the coordination, speed, and effectiveness of cleanups.	X	X						X

Recommendation	OSWER	OECA	ORD	OARM	OCFO	OEI	OAR	Regions
7. OSWER and OECA should build upon their work to improve and strengthen performance measurement by establishing measures that encourage the various cleanup approaches to complement each other.	X	X						X
8. All national program managers (NPMs) with Superfund resources should adopt and track a manageable number of meaningful performance measures and ensure data systems are in place to facilitate timely and accurate reporting.	X	X	X	X	X	X	X	X
9. OSWER and OECA should consider adopting goals that cut across different program activities (e.g., cleanup completions through use of any tool or combination of tools) to improve teamwork and gain full recognition for all work that produces similar outcomes.	X	X						X
10. OSWER should evaluate the history of NPL listings and removal actions to determine what percent were RCRA treatment, storage, and disposal facilities or hazardous waste generators and to what extent these facilities present a continuing burden to the Superfund program.	X							
11. If the evaluation confirms a high correlation with RCRA-regulated facilities, OSWER and OECA should examine different approaches to financial assurance under the RCRA program to reduce the likelihood of RCRA-regulated facilities becoming part of the future Superfund universe.	X							
12. For facilities not covered under RCRA, OSWER should study whether promulgating new regulations under CERCLA's broad financial assurance authorities could reduce the future needs of the Superfund program.	X							
13. The Agency should collect data at the end of the budget year on the amount of funds spent on direct cleanup or on those activities that are necessary to get to the cleanup phase and communicate the cost of cleanups more effectively.	X	X			X			X

Recommendation	OSWER	OECA	ORD	OARM	OCFO	OEI	OAR	Regions
14. OSWER and the Regions, in coordination with OCFO, should work together to identify ways to simplify the internal budget structure.	X				X			X
15. OSWER and OECA should include special account and state cost share as they allocate funds internally and communicate funding availability.	X	X						X
16. All national program managers with Superfund resources should evaluate and pursue opportunities for greater resource or work sharing among Regions, especially in support functional areas.	X	X	X	X	X	X	X	X
17. The lead Region should facilitate a process that takes advantage of capabilities already developed and demonstrated in areas of programmatic specialization by encouraging Regions with needs in these areas to obtain support from the Regions with the capability and capacity to take on more work.	X	X		X	X	X		X
18. The Agency should conduct benchmarking studies of regional performance in both management and programmatic areas to ensure that all aspects of the program are focusing on improving performance.	X	X	X	X	X	X	X	X
19. The Agency should execute other smaller-scale adjustments as appropriate, and begin setting the stage now for redistributing staff positions for FY 2007, after the consolidations, specializations, and benchmarking have been reviewed and incorporated.	X	X	X	X	X	X	X	X
20. The Agency should evaluate headquarters Superfund FTEs and make every effort to redirect resources to activities that more directly contribute to site cleanups.	X	X	X	X	X	X	X	
21. EPA Regions and headquarters should establish a schedule for FY 2004 deobligations and initiate actions immediately so the funds will be available during this fiscal year.	X	X	X	X	X	X	X	X

Recommendation	OSWER	OECA	ORD	OARM	OCFO	OEI	OAR	Regions
22. OSWER and OECA should review guidance and policies to ensure that they are addressing current and future needs and follow up with the Regions on using the guidance and policies.	X	X						X
Capitalizing on Lessons Learned for Cleanup Actions Recommendations								
23. OSWER should maintain a sufficient rate of listing on the NPL to function as an incentive for PRPs to perform work under the Superfund program as well as other programs or authorities.	X							
24. While continuing to stress early PRP search activity and maximizing PRP involvement, OSWER should continue to target funds to begin RI/FS work where PRP recalcitrance is evident.	X							X
25. OSWER should revise the Superfund Alternative Site policy to ensure that criteria for being a Superfund Alternative Site are uniform and that the Regions provide the PRPs and other interested parties with transparent site assessment and pre-scoring information.	X							X
26. The Regions should establish and implement a process by which Superfund Alternative Sites are prioritized along with their NPL sites to ensure that response funds are being spent on the sites with the highest risk.								X
27. OSWER and the lead Region should work together to ensure all site cleanup work (including work completed under the Alternative Site program) is tracked and reported internally and externally to ensure accomplishments of the national program are appropriately communicated to the public and Congress.	X							X

Recommendation	OSWER	OECA	ORD	OARM	OCFO	OEI	OAR	Regions
28. OSWER should work with the Regions to establish a process for national review of the scope of potential mega sites at the time of listing in order to ensure that sites are properly characterized as early as possible so that out year funding can needs be more accurately forecast as part of the development of the President's budget.	X							X
29. OSWER should examine its site assessment criteria to ensure that the Regions are integrating the Brownfields site assessment objectives into the Superfund site assessment process in order to capitalize on potential programmatic efficiencies and resource savings.	X							X
30. The Regions should continue to make a standard practice of integrating site assessment work more fully with early-stage remedial work in order to expedite remedial activities and save resources.								X
31. OSWER should encourage more Regions to adopt the best practice (or "one list") approach to help ensure that the collective resources of EPA and the states are being utilized to achieve the greatest benefits.	X							X
32. Since some sites have high risks but do not require an extensive study, OSWER should clarify the process for obtaining an exemption to the current dollar limit for cleanups under removals or recirculate the current guidance.	X							
33. The Agency needs to find a permanent fix for the high-priority funding needed for the 50 homeland security FTE that the Regions were required to hire.	X				X			X
34. As part of the next budget process, the Agency should evaluate whether, above and beyond the initial FTE, the Agency needs more dollars and FTE to address preparation for nationally significant incidents.	X				X			

Recommendation	OSWER	OECA	ORD	OARM	OCFO	OEI	OAR	Regions
35. Building upon the development of the Regional Response Teams, OSWER and the Regions should support more cross training among OSCs, RPMs, and SAMs to support removal efforts while OSCs are addressing nationally significant incidents.	X							X
36. OSWER should conduct an evaluation of historical removal actions to determine whether patterns exist in certain industries (Standard Industrial Classification codes).	X							X
37. The work of the NRRB has resulted in reduced costs for selected remedies. OSWER should re-evaluate the criteria for identifying sites for scrutiny by the Board, with an eye toward expanding the number of sites undergoing review.	X							X
38. Since the recommendations of the NRRB are optional for the Regions to implement, the charter of the board regarding accountability for implementing its recommendations made to the Regions should be revisited in light of the maturation of the program and the board's changing role.	X							X
39. To ensure cost-efficient engineering of remedies, OSWER should require value engineering (review of design detail for cost efficiency) as a requirement for all remedies above a certain dollar level.	X							
40. OSWER should consider cost reviews of every site with a long term response action (LTRA) to reduce remedy costs. Cost saving approaches should be shared across the regions.	X							X
41. OSWER should set up a review team of headquarters and regional staff to make sure that the selected remedies at sites incorporate new technology and the most cost-efficient cleanup approach based on experience since the remedies' selection.	X							X

Recommendation	OSWER	OECA	ORD	OARM	OCFO	OEI	OAR	Regions
42. OSWER and the Regions should identify a limited number of common site types and successful designs, and make them available to the Regions for remedies at similar sites.	X							X
43. Regional senior management should be involved in selecting the cleanup mechanism (e.g. other Federal Agency, Remedial Action Contractor (RAC), or state) to ensure that funds are being managed as effectively as possible.								X
44. Regional management should encourage RPMs to conduct appropriate on-site oversight during construction to monitor the activities performed by contractors, other federal or state agencies.								X
45. OSWER, OECA, and the Regions should re-examine existing policies relating to state lead clean up.	X	X						X
46. OSWER, OECA, and the Regions should re-examine existing state lead sites to determine if the remediation is being conducted in a timely and cost efficient manner.	X	X						X
47. The Regions should evaluate options for completing all work at each site, making the fullest appropriate use of in-house capabilities to maximize the use of contract dollars and resources.								X
48. OSWER should evaluate the need, the overall funding levels, and the priorities for state cleanup programs given the Section 308 program and the original goal of the Core program to build state capacity.	X							X
49. The Regions should fully and consistently implement the approach proposed by the Field and Analytics Services Teaming Advisory Committee (FASTAC) for cost effective analytic support for both the remedial and removal programs.								X

Recommendation	OSWER	OECA	ORD	OARM	OCFO	OEI	OAR	Regions
50. OSWER and the Regions need to have a national dialogue to pursue flexibility between resources allocated between CLP and ESAT contracts to encourage greater cost-effectiveness.	X							X
51. The Superfund Division Directors and the regional laboratories should forecast the long-term analytical needs for the program, and should investigate whether the Centers of Applied Science approach would be appropriate for the program.								X
Enhancing Enforcement Recommendations								
52. The Enforcement Program should return to a common-sense definition that includes oversight of PRP actions as an enforcement activity which will improve FTE utilization.		X						X
53. To continue to increase the percentage of PRP cleanups and take further pressure off appropriated funds, OECA should conduct responsible party search benchmarking to identify strong regional programs.		X						X
54. OECA and OSWER should work with the Lead Regions to develop goals similar to those in the remedial program for enforcement first in the removal program to increase the percentage of PRP-conducted removal actions.	X	X						X
55. OSWER should identify a management liaison who can work with OECA to facilitate and support enforcement first for the removal program.	X	X						X
56. OECA, in consultation with the Department of Justice (DOJ), should explore ways to access or gain greater expertise in the area of insurance-related cost recovery (i.e., insurance archaeology), and sponsor several pilot programs across the country to increase potential sources of funding for orphan sites.		X						

Recommendation	OSWER	OECA	ORD	OARM	OCFO	OEI	OAR	Regions
57. To improve individual regional performance, OECA and the lead Region should evaluate current enforcement measures and develop additional regional site-specific measures that provide a more accurate picture of the program's success and provide an incentive to improve performance.		X						X
58. OECA and the Regions should develop procedures that encourage continued collaboration with PRPs in site cleanups in order to decrease the need for EPA's expenditure of oversight resources.		X						X
59. Senior management within EPA and the DOJ should affirm their commitment to cost recovery.		X						
60. To improve the tracking and recovery of removal costs, Regions that have not invested in field administrative specialists should develop this expertise, or find other ways to accomplish the same goal.								X
61. OECA and the Regions should discuss the current special account guidance to determine if additional clarification is necessary to maximize the use of special account dollars.		X						X
62. Regions should track and periodically report to headquarters how much special account money they are using annually and how they are using it.		X						X
Examining the Role of Research and Technology Recommendations								
63. ORD, OSWER, and the Regions should work together to survey Superfund managers and RPMs by June 2005 to discover if the actions taken above have addressed the concerns of the Regions about having input into the Agency's research agenda and the value and utility of long-term research.	X		X					

Recommendation	OSWER	OECA	ORD	OARM	OCFO	OEI	OAR	Regions
64. The Assistant Administrators and/or Deputy Assistant Administrators for ORD and OSWER should meet with the Deputy Administrator no later than June 10, 2004, to discuss improvements both organizations intend to implement to improve the effectiveness of the Superfund research program.	X		X					
65. OSWER should examine the feasibility of using a more quantitative cost-benefit methodology for selecting technology innovation projects, since resources are so limited in order to further improve program effectiveness.	X							
Evaluating Superfund's share of Management and Support Recommendations								
66. OCFO should analyze the Superfund charging across the Agency to ensure the use of approved methodologies and get a better understanding of the variations.	X	X	X	X	X	X	X	X
Optimizing the Use of Superfund Dollars Recommendations								
67. OECA should set a site-specific charging goal (e.g., XX percent) tailored for each Region.		X						X
68. Key program offices (OECA, OSWER, and OCFO) should review the new payroll system to determine if there are opportunities to make site-specific charging easier and more user-friendly.	X	X			X			
69. The Regions should continue to build cost analysis expertise.	X							X
70. OSWER should review and potentially revise the Brownfields deobligation policy documents in light of statutory changes and the progress made in reviewing older grants.	X							

Recommendation	OSWER	OECA	ORD	OARM	OCFO	OEI	OAR	Regions
71. OSWER and the Regions should evaluate the unexpended dollars on older Brownfields grants to determine if those funds can be used for the original award purpose.	X							X
72. For programmatic contracts and IAGs, OSWER should immediately establish a pool of \$5 million to cover indirect cost rate adjustments and late bills for Headquarters and Regional response contracts and additional bills for IAGs	X							X
73. OCFO and OARM should work together to develop standard operating procedures for resolving billing issues with other federal agencies.				X	X			
74. If it has not already done so, OSWER should circulate the Direct Cite payment process document to the Regions and ensure that staff members are properly educated on the process.	X							X
75. OARM and OCFO, in consultation with the Grants Management Council, should review the current IAG closeout policy to determine if any revisions to the guidance are needed.				X	X			
76. Common grant closeout issues should be discussed at the Grants Management Council, and the Agency should establish consistent approaches to these problems.				X				
77. Headquarters and the Regions should identify which other federal agencies they are having difficulty with managing and closing out IAGs.	X			X	X			X
78. For IAGs, grants, and contracts, OARM should establish appropriate closeout performance measures and send quarterly reports to Senior Resource Officials with outstanding closeouts, including the amount of outstanding dollars.				X				
79. OARM, OSWER, and the Regions should work together to encourage the use of alternative contract types.	X			X				X

Recommendation	OSWER	OECA	ORD	OARM	OCFO	OEI	OAR	Regions
80. OARM and regional contracting officers should offer regular training for contract personnel, RPMs, OSCs, and project officers in alternative contract mechanisms.				X				
81. OARM and the Assistant Regional Administrators should conduct an analysis to determine if cost efficiencies and programmatic benefits can be obtained by consolidating contract functions.				X				X
82. OSWER, with support from OARM, should provide increased contract management training.	X			X				X
83. OARM and OSWER should work closely with the Regions to monitor contracts to ensure that the Regions have not funded their contracts into the future to an extent where they cannot appropriately use the funds during the contract period.	X			X				X
84. In the near term, the OSWER Senior Resource Official should establish policies for the durations of grants and IAGs. For the long term, OARM should work with the Agency to establish Agency policies for the durations of all types of grants and IAGs.	X	X	X	X	X	X	X	X
85. OARM and the Regions should analyze the different types of grants to determine their current funding levels and draw-down histories and establish criteria that will be used to evaluate grants that need increased monitoring.				X				X
86. OARM should continue its commitment to create an improved overall training course for project officers and IAG specialists focusing solely on IAGs				X				
87. OARM should continue to build upon the improvements already undertaken to better monitor grants in the areas of billing, deliverables, and milestones, and should ensure that the proper monitoring tools are available to managers and staff.				X				

Recommendation	OSWER	OECA	ORD	OARM	OCFO	OEI	OAR	Regions
88. OARM should provide status updates to project officers and managers on the future deployment of the IAG module of IGMS.				X				
89. OSWER should evaluate and update, if necessary, national policy on state cost share, payment policy, and refund policy. If this guidance does not need to be updated, the 1990 guidance should be re-circulated.	X							
90. OSWER and OCFO, if needed, should work together to establish monthly reports that staff and managers can use to better track SSC collections, obligations, and expenditures.	X				X			
91. OSWER and the Regions should work together to establish performance measures for SSCs, which could address the timeliness of collecting funds and returning excess funds to states.	X							X
92. OSWER and OARM should analyze how much EPA is paying other federal agencies in indirect, PPMD, and other costs.	X			X				
93. EPA headquarters should negotiate a national overhead rate for all IAGs depending on the results of the (above) analysis	X			X				
94. The Regions should continue or should reestablish regular meetings between regional senior managers and their counterparts to discuss project milestones, deliverables status, and opportunities to minimize cost growth.								X
95. OCFO should develop fact sheets on setting up special accounts, utilizing special account dollars, and closing out the accounts.					X			
96. OECA and OCFO should design reports that clearly describe the use and status of special accounts, and should provide them to managers in the Regions and headquarters on a regular basis.		X			X			

Recommendation	OSWER	OECA	ORD	OARM	OCFO	OEI	OAR	Regions
97. OECA should identify the oldest special accounts and then meet with the Regions to discuss uses of those dollars and progress toward using them.		X						X
98. OARM and OCFO should work with Senior Resource Officials to communicate the development and deployment status of new Agency-wide systems (financial management, grants and IAG management).				X	X			
99. OSWER and the Regions should evaluate which systems and tools currently exist or are under construction and should circulate this information in order to avoid duplication of data systems and tools	X							X
Reviewing Existing Performance Measures Recommendations								
100. ORD should continue their internal review and revise, where appropriate, their Superfund performance measures to become more program results-oriented.			X					
101. OSWER and OECA (and possibly other offices as well) should initiate a benchmarking study associated with an important Superfund operation or function, such as RI/FSs or PRP searches in order to improve the Superfund program's efficiency, foster opportunities for innovation, and adopt best management practices.	X	X						X
102. EPA's management and support offices should meet with their Superfund response and enforcement clients to review current measures and possibly establish new performance measures specific to the Superfund program, such as on special accounts and cost recovery in order to increase the Superfund program's integration and efficiency.				X	X			X
TOTALS	68	34	13	29	24	11	10	70

Appendix B: Summary of Options Table

OPTIONS	Deputy Admin.	OSWER	OECA	ORD	OARM	OCFO	OEI	OAR	Regions
Improve Program Integration & Communications Options									
Under Recommendation 1									
1. Designate a Senior Superfund Program Manager with responsibility and authority across all Superfund resources.	X								
2. Fulfill the same function as in Option 1 through a multi-office Deputy Assistant Administrator-level Board of Directors that includes regional representation.		X	X	X	X	X	X	X	X
3. As a hybrid of Options 1 and 2, establish the Superfund Senior Superfund Program Manager position and designate a Superfund Board of Directors.	X								
4. In lieu of a Senior Superfund Program Manager, designate or delegate as much responsibility and authority for the Superfund program as possible to the OSWER Assistant Administrator, who would be responsible for setting Agency-wide Superfund policy spanning response, enforcement, research and development, and resource management, with all the staff working in these areas either reporting to or taking policy direction from this single Assistant Administrator.	X								
Under Section: Reducing Costs to Meet Numerical Targets									

OPTIONS	Deputy Admin.	OSWER	OECA	ORD	OARM	OCFO	OEI	OAR	Regions
1. <i>Pro rata cut</i> – The Agency should execute an across-the-board, pro rata cut based on an estimated need for remedial action funding, and should make exceptions only on an extremely limited basis.	X					X			
2. <i>Targeted cut</i> – The Agency should mandate specified numerical reductions, but target the reductions by amount and organization.	X					X			
3. <i>Hybrid approach</i> – The Agency should set numerical targets in a tiered structure, to achieve a hybrid between Option 1 and Option 2.	X					X			
4. <i>No initial cuts</i> – The Agency should make no cuts initially until it has implemented some of the programmatic and management recommendations.	X					X			
RESPONSE Options									
Under Recommendation 32									
1. To capture the benefits of removal program activities, OSWER should consider developing new ways of tracking and reporting removal actions. This would include work that (1) speeds cleanups at NPL sites and (2) completes cleanup of a site that typically would be listed on the NPL.		X							
2. OSWER should explore adopting a consistent national approach that encourages Regions to ask states for a 10 percent cost share for non-time-critical removals to ensure buy-in from states on priority cleanups and to conserve federal resources for use at other high-priority sites in the Region.		X							

OPTIONS	Deputy Admin.	OSWER	OECA	ORD	OARM	OCFO	OEI	OAR	Regions
Under Section: Establishing National Standards and Action Levels									
Headquarters and the Regions should identify the five or ten contaminants most commonly encountered in soil and sediment at sites across the country in order to conserve resources and utilize the experience and risk information developed since the inception of the Superfund program.		X							X
Under Section: Using Presumptive Remedies and Generic Designs									
1. To determine how the Agency has historically developed presumptive remedies, OSWER or the Regions should conduct a lessons learned analysis of how previously identified presumptive remedies were developed and disseminated and determine if those lessons learned can help today.		X							X
2. OSWER should expand presumptive remedy guidance to include more detailed technical designs to speed cleanup and reduce study and design costs.		X							
Under Recommendation 43									
1. Elevate the funding decision to senior management, possibly by using the best practice described above, or		X							
2. Develop standard operating procedures to ensure that this decision is consistently based on certain factors, including cost, contract capacity, and site needs.		X							
Under Recommendation 46									
OSWER should conduct a study of sites to determine where state lead cleanups at NPL sites was very successful and transfer the lessons learned to other states and regions.		X							

OPTIONS	Deputy Admin.	OSWER	OECA	ORD	OARM	OCFO	OEI	OAR	Regions
Under Section: Adopting a Multi-year Funding Plan and Funding Allocation									
1. To get the best price for a cleanup action, OSWER should provide Regions with a budget that funds activities over a period of years, with enough flexibility for unexpected adjustments.		X							X
2. To maximize resources for multi-year plans and provide incentives for cost efficiencies during implementation, OSWER should consider funding the Regions one allocation for all response activities.		X							
RESEARCH AND TECHNOLOGY Options									
Under Recommendation 65									
To maximize TIP benefits, OSWER should conduct a study (if not already conducted) that examines why certain RPMs are willing to utilize a new or innovative technology, while others are not.		X							
MANAGEMENT AND SUPPORT Options									
Under section: Long-term Approach to Management and Support									
EPA could begin work on developing a long-term plan for transferring Superfund management and support costs to the EPM appropriation.					X	X			
RESOURCES MANAGEMENT Options									

OPTIONS	Deputy Admin.	OSWER	OECA	ORD	OARM	OCFO	OEI	OAR	Regions
Under Recommendation 69									
OSWER should help the Regions by preparing and distributing a “cost cookbook” describing frequent construction tasks and estimates of the hours needed to complete these tasks.		X							X
Under Section: Revising Deobligation Policies									
OSWER, working with the Regions, should revise the deobligation policy to increase the ratio of deobligated dollars returned to Regions (e.g., to 50/50), with the proviso that a high percentage of the funds be directed to remedial action or removals at NPL sites.		X							X

APPENDIX C: Program Accomplishments

The Superfund program's workload is tracked through a series of site and project milestones that are referred to as the "Superfund pipeline." This term is most often used in reference to the Superfund remedial program, encompassing the activities that flow from analysis and characterization of the site's contamination to the selection, design, and construction of the site's remedial actions. For purposes of simplicity, most of this discussion focuses on the remedial investigation/feasibility study (RI/FS), the Record of Decision (ROD), remedial design (RD), and remedial action (RA). For all pipeline activities, the numbers of Fund-financed and potentially responsible party (PRP)-lead actions, and the total Fund/PRP actions are reported. In addition, the numbers of construction completions at NPL sites and five-year reviews are discussed. While Superfund has more outcome-oriented measures of success that are discussed at the end of this section, pipeline activity measures provide the best gauge of workload trends.

In recent years, the traditional Superfund site and project work has been complemented with additional "Superfund alternative" site actions, which are the substantive equivalent of National Priorities List (NPL) remedial activities. While the RI/FS work may be conducted as a Fund-financed action, RD/RA work at Superfund alternative sites is always conducted by the PRPs.

The Superfund enforcement workload closely tracks with remedial program activities, and can also be summarized using site and project milestones. The RD/RA negotiation completion milestone, de minimis settlements, and cost recovery actions for past costs over \$200,000 addressed are presented to provide an overview of the enforcement program's unique workload.

The Superfund removal program has a streamlined cleanup process, with most actions completed in less than a year. The removal program workload is reported here using two measures: NPL removal starts and non-NPL removal starts. Over and above its site cleanup accomplishments, the removal program serves as EPA's focus for emergency preparedness and response. In recent years, the program has been the conduit for EPA's primary contributions to the nation's homeland security initiatives. The program's most noteworthy activities include responding to the attacks on the World Trade Center, cleaning up the anthrax contamination of the Hart Senate Office Building, and recovering debris from the space shuttle *Columbia*.

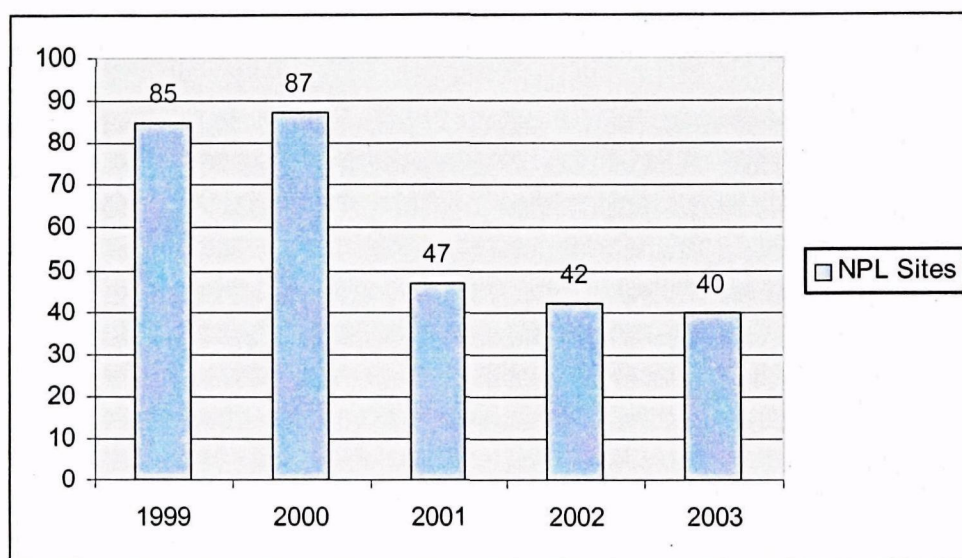
Remedial Pipeline Accomplishments

Since the Superfund program's establishment in 1980, 1,518 sites have been placed on the NPL (274 have since been deleted from the NPL). The majority of final NPL sites were listed in the early years of the Superfund program, and by 1992, the final list contained over 1,200 sites. Since that year, NPL listing has averaged approximately 30 sites annually. As would be expected, after an initial surge of listings, the program would slowly achieve a steady-state at a much lower level of annual listings than at its inception.

Of the 1,518 final NPL sites, 177 are federal facility sites where EPA does not fund the remediation. For this reason, in the balance of this section, data reporting will focus on the nonfederal facility (privately owned) NPL sites. All data are reported as of the end of FY 2003 (September 30, 2003).

Since the early 1990s, EPA has focused its reporting of NPL accomplishments on achievement of “construction completion”--the completion of cleanup at a site. This measure is a critical indicator of overall program progress, and is the culmination of years of work moving sites through the Superfund pipeline. Accordingly, this section describes the accomplishments and trends in the response and enforcement activities that led to those completions.

Figure 6: Construction Completes



Remedial pipeline activities are reported using the total number of activities, the percentage of NPL sites that number represents, and the average annual workload for the Fiscal Years 1999 through 2003 timeframe. Any clear trends evident during that timeframe are also reported. Overall, remedial activity levels are reduced from the peak levels of the 1990s; early pipeline activities (RI/FS, ROD, and RD starts) show the greatest reductions, while the ongoing remedial action construction workload remains very high.

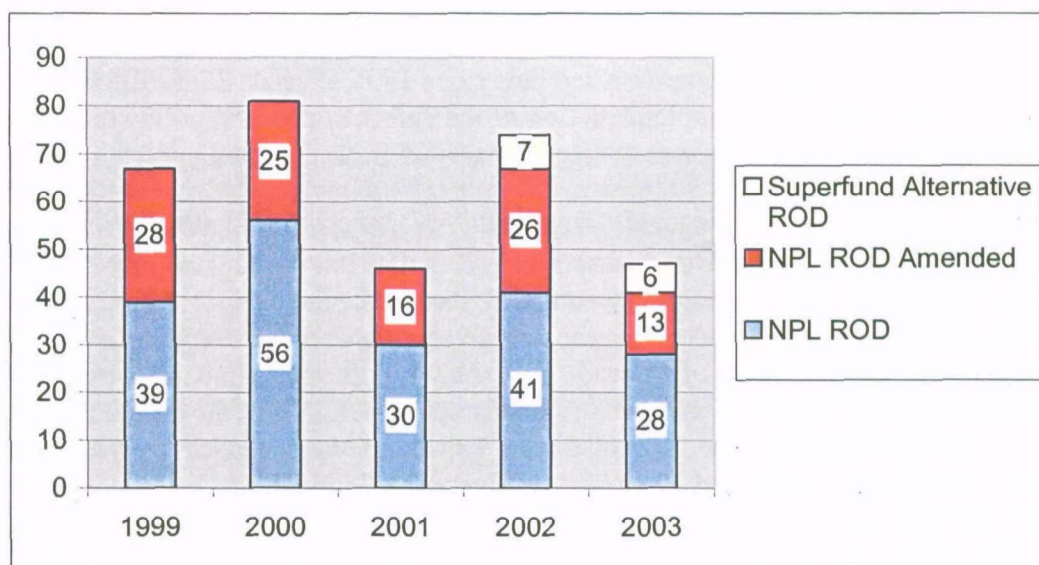
Studies and Records of Decisions

Of 1,395 (private) NPL sites, 1,334 (96 percent) have begun their RI/FS work, and 2,300 RI/FS actions have begun at these NPL sites. (Given the size of some sites or site complexity, the Agency may conduct multiple studies at a site). In recent years, an average of 51 RI/FS projects were begun annually, and the rate of RI/FS starts has declined by approximately 35 percent over the past five years. This reflects the maturing

of the program as many sites listed at the beginning of Superfund move through the pipeline.

At this point in time, the earlier phases of the pipeline are focusing on a reduced number of new sites. Selection of the remedy, in a ROD, represents the culmination of the RI/FS. A total of 1,164 sites (83 percent) have had one or more RODs signed, for a total of 1,718 RODs. During Fiscal Years 1999 through 2003, an average of 41 RODs were signed annually, and an additional 18 ROD amendments were signed annually. For both RI/FS starts and RODs, current activity levels are a much lower than the levels of ten years ago, when approximately 100 RI/FS were initiated and 140 RODs were signed annually. This reflects that initially the Superfund program had to identify the “backlog” of sites, assess them, list them and begin to clean them up. This task was successfully completed in the early years of the program, and now it continues to identify and list new sites as they arise.

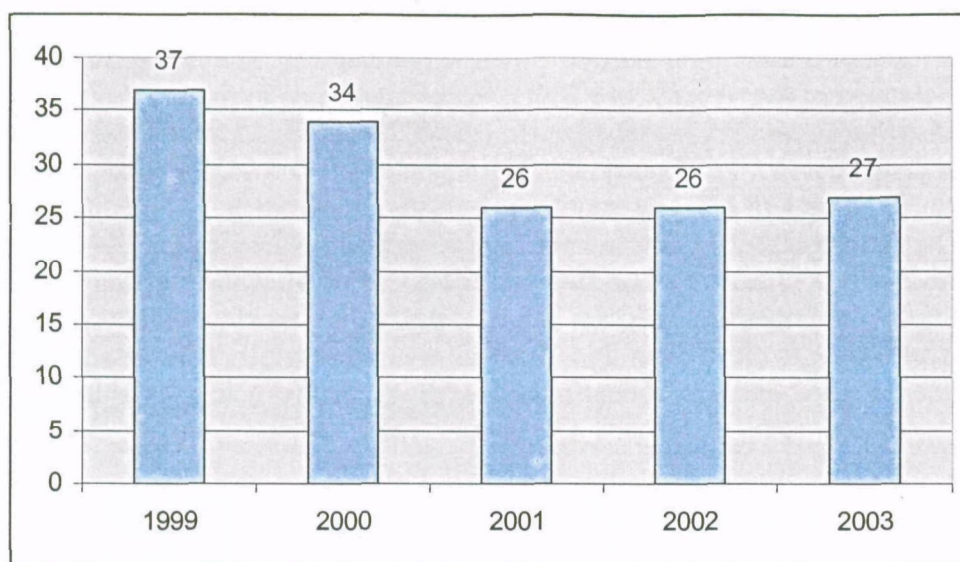
Figure 7: ROD and ROD amendments



RD/RA Negotiations and Remedial Design

Except for the small minority of sites that have no identifiable PRPs, EPA conducts RD/RA negotiations after remedy selection and before initiating the RD. This is part of the Agency’s enforcement first initiative. If unsuccessful, the RD project will be funded by appropriated dollars; if successful, RD/RA activities will be conducted by the potentially responsible party (PRP). These negotiations, and the PRP search work that precedes them, have enabled EPA to successfully pursue its goal of having PRPs take the lead at 70 percent of all RD/RA work. Based on the annual average of 42 RODs in recent years, EPA has completed an average of 31 RD/RA negotiations a year.

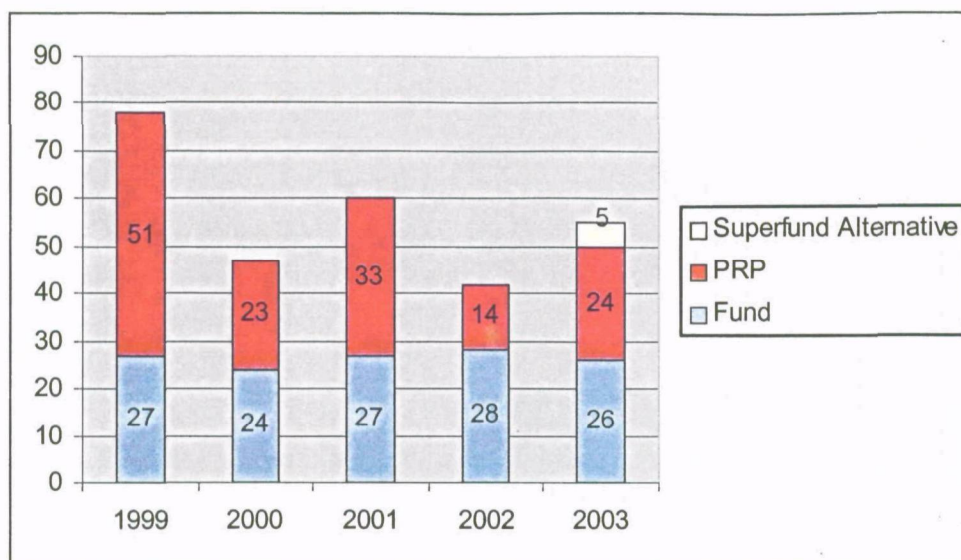
Figure 8: RD/RA Negotiations with PRPs Completed



The total value of Superfund response settlements since 1995 exceeds \$7.5 billion, reflecting the highly successful implementation of the enforcement-first policy that has been in place since 1989. Settlements averaged nearly \$1 billion annually during FY 2000–2003.

A total of 2,085 RD projects were started at 1,030 NPL sites (74 percent of the NPL) during 1999–2003, and EPA averaged 56 annual RD starts for the period. The annual average for RD starts has declined during the past five years, and current RD start levels are approximately half the levels of a decade ago. As with other pipeline measures, this decrease reflects the program's attainment of steady state operation in the earlier phases of the work required to clean up a Superfund site. During the most recent five years, PRP-lead RD starts have averaged 29 a year, relative to 27 Fund RD starts, or approximately 53 percent of the total.

Figure 9: Remedial Designs Started

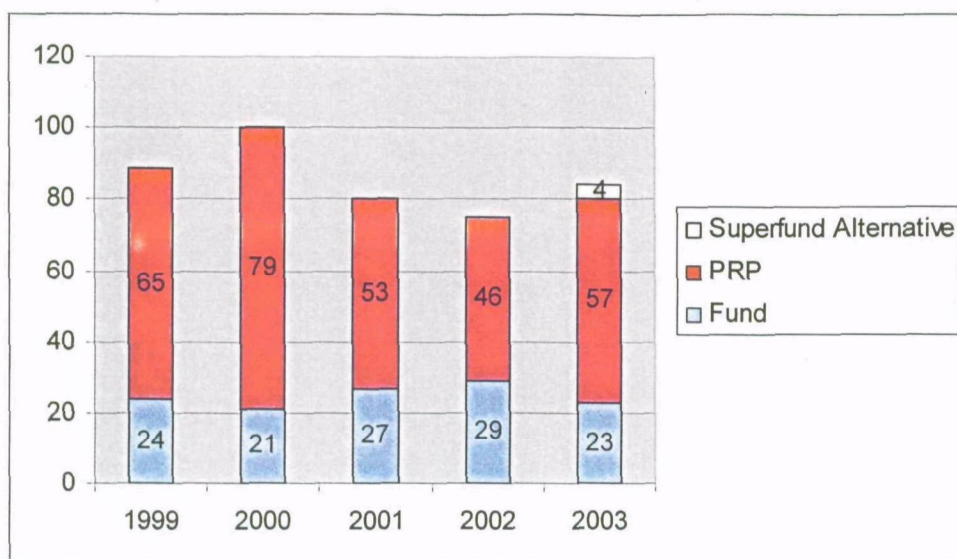


Remedial Actions

The final major stage of the remedial process is construction of the remedial action. RA projects have been initiated at 990 sites (71 percent of the private NPL sites), and 1,881 RAs have begun at these sites. RA starts have averaged 72 a year during 1999–2003, with an average of 18 Fund-led and 54 PRP-led RA projects started each year. Because many RA projects take several years to complete, reporting RA completions is important for determining workload trends.

A total of 1,431 RA projects have been completed at 815 NPL sites, which represents 58 percent of private NPL sites with at least one RA project completed. (The RA completion milestone occurs after construction completion and includes additional administrative tasks including a detailed report on the work completed at the site.) In recent years, an average of 85 RA projects have been completed annually, with this average being divided between 24 Fund-led and 61 PRP-led projects. Unlike the earlier stages of the remedial pipeline, RA starts and completions remain at levels close to their high-water mark of the mid-1990s, when an average of 90 RA projects were completed every year.

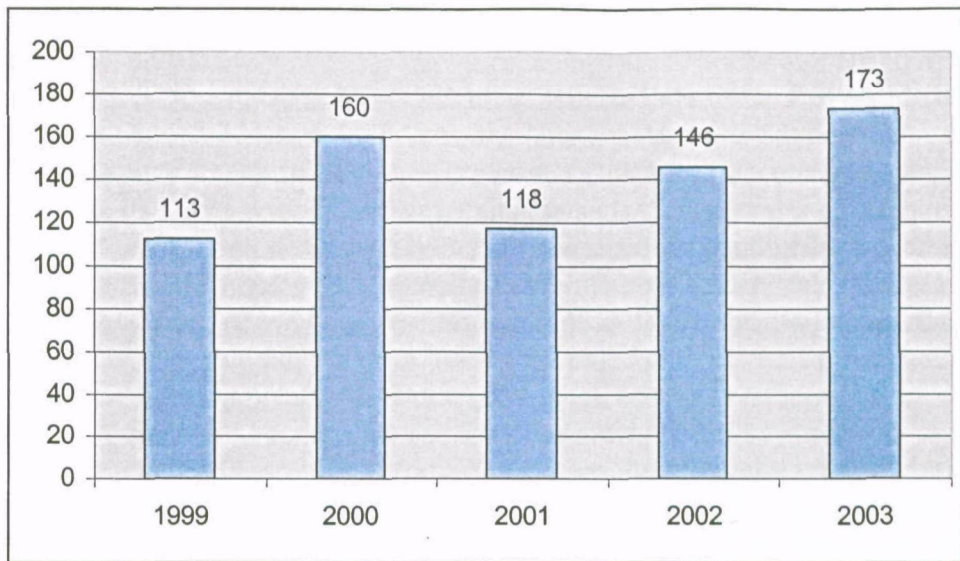
Figure 10: Remedial Actions Completed



All of this work leads to completing construction at an NPL site. At the end of FY 2003, construction was completed at 63 percent of private NPL sites (886 sites). From an annual high of 85 construction completions, EPA is currently completing construction at about 40 NPL sites a year. The high rate of completions in the 1990s was possible because the majority of sites added to the NPL in the first five years of the Superfund program were close to completion when the new measure was created. The new emphasis on completions allowed the Agency to finish a large number of sites in a very short time. Prior to making construction completion a measure of program success, the emphasis had been on starting work at the worst sites. An unintended consequence of this strategy was that it often left necessary but lower priority work at nearly completed sites unfinished. By stressing completing sites, this work was quickly accomplished and many sites completed. In addition by FY 2000, the lower rate of NPL listing during the 1990s had resulted in a reduced number of sites moving through design and construction to completion.

With the majority of NPL sites having completed construction, the “post-construction” workload of five-year reviews (required for all sites where any wastes above the applicable health-based standard remain contained on site) and long-term response actions (LTRAs -- the first ten-year operational period for Fund-financed Groundwater Pump and Treatment systems for restoration) is at record levels. Five-year reviews were completed at some 134 sites annually during Fiscal Years 1999 through 2003, and at the end of FY 2003, the Regions had initiated 84 LTRA projects. The exact dimensions of this post-construction workload are still developing, although it is clear that the vast majority of NPL sites will need continuing care for years to come.

Figure 11: 5-year Reviews



What remains to be completed is a group of sites that on average are more complex and costly, and are weighted more heavily toward the RA phase of the pipeline than the program workload of the earlier years of the Superfund program. At the end of FY 2003, 375 RA projects were underway, while only 230 RD projects were awaiting completion. This represents a much greater share of ongoing work in the most costly RA stage than has previously been the case.

Federal Facility Accomplishments

Most federal facility sites were added to the NPL in the late 1980s and early 1990s, about six to eight years later than most private sites. In addition to being added to the NPL later, many federal facility sites are larger and more complex than privately owned sites. The Agency has separate federal facility programs in both the Office of Enforcement and Compliance Activities and the Office of Solid Waste and Emergency Response to manage the interaction that culminates in the signing of interagency memoranda of agreement that establish enforceable response schedules. Without EPA attention, it is unlikely that these sites would be moving through the remediation process at their current rate.

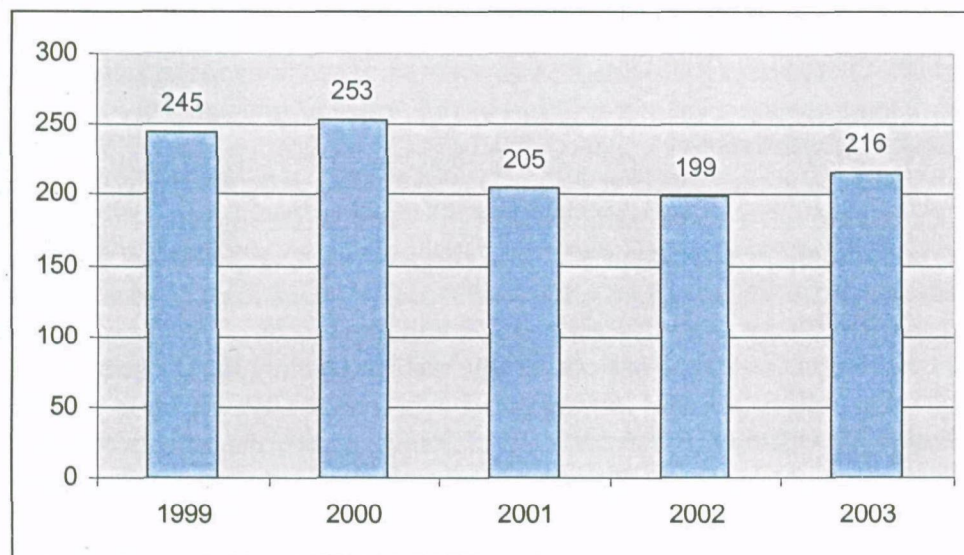
The federal facility NPL program grew from 120 sites in 1992 to 177 sites today. During this timeframe, the number of ongoing federal facility RI/FS projects has grown from 279 to 503. However, the increased workload for the RA phase most clearly demonstrates the tremendous growth of the federal facility remedial program. Ongoing RA projects increased from 13 to 230, and completed RA projects increasing from 10 to 584. While much work remains at these often very large, complex sites, much progress is evident, with 40 federal facility sites having completed construction.

Additional Enforcement Accomplishments

The high ratio of remedial pipeline work conducted by PRPs is the clearest accomplishment of the Superfund Enforcement program. It is also noteworthy to briefly highlight some of the work performed to resolve the liability issues of smaller parties (de minimis settlements) and the enforcement actions that address past costs in excess of \$200,000 through cost recovery actions. Since increasing its emphasis on fairness in enforcing the Superfund program, EPA has negotiated with companies which contributed lower amounts or less toxic wastes to sites and has offered de minimis settlements to resolve their liability. A total of 539 de minimis settlements have been completed since FY 1987, with an annual average of 22 de minimis settlements from Fiscal Years 1999 through 2003.

Some 226 annual decisions have been reached in the past five years to address past costs at NPL and non-NPL sites where EPA's costs incurred were in excess of \$200,000. Superfund cost recovery settlements have totaled \$3.9 billion over the history of the Superfund program. During Fiscal Years 1999 through 2003, they averaged more than \$200 million per year.

Figure 12: Cost Recovery Final Decisions (Past Costs > \$200K)



While quite rare only ten years ago, establishing and managing special accounts has recently been an area of emphasis and growth in recent years. Special accounts result from consent decrees between the Agency and settling PRPs where funds from a PRP are placed in an account to be used for Agency past or future costs or PRP use. Since the Superfund program began, \$1.38 billion in cash receipts has been collected through special accounts, and over \$700 million has been collected in the past five years. Negotiating with PRPs to establish special accounts has become a significant Superfund

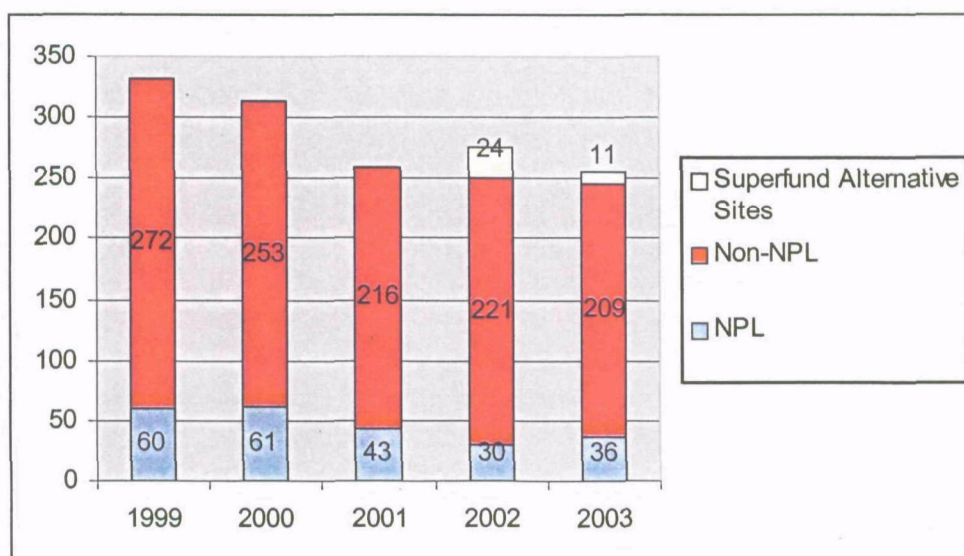
enforcement workload, and are providing a critical source of response funding for ongoing and future response actions.

Superfund alternative sites are another accomplishment that links best to the enforcement program. These sites are important to acknowledge because they have been determined through Superfund site assessments to be eligible for listing on the NPL, therefore, they would typically require extensive response action. While sometimes jump-started by funding the RI/FS with appropriated funds, the remedial design and remedial action for these sites is always conducted by a PRP. In addition, past costs are commonly recovered, and/or special accounts are established to finance future EPA activities including oversight. Work at a total of 109 Superfund alternative sites has been initiated in recent years, and the program has incorporated activities at these sites into its detailed progress reporting measures. During FY 2002, 35 removal actions were conducted at Superfund alternative sites, and another 28 RI/FS projects were begun and 13 RODs were completed. While most Superfund Alternative sites are still early in the response process, 9 RA projects were started and 5 RA projects were completed at these sites during FYs 2002 and 2003. Some of this work occurred prior to 2002, but it was not tracked in the Agency's management systems.

Superfund Removal Program

More than 7,000 removal actions have been started at more than 5,000 sites since the inception of the Superfund program. Removals occur at both NPL and non-NPL sites, and are generally short-term, limited-cost response actions taken to address more urgent and clear-cut public health risks than remedial actions at NPL sites. During Fiscal Years 1999 through 2003, an average of 49 removals at NPL sites and over 240 removals at non-NPL were initiated annually. These actions have made NPL sites safe in the short-term so that long-term remedial activities may proceed without undue risk to public health. For the more than 4,000 sites not on the NPL, the removal action has either stabilized or fully cleaned up the property so that no additional federal action is necessary.

Figure 13: Removals Completed



Unlike the Superfund remedial program, where typically 70 percent of response actions are implemented by PRPs, only one-third of removal actions have been conducted by PRPs historically. A very positive trend toward more PRP-lead removal actions is evident during the past five years, with the national share growing steadily from 30 percent in FY 1999 to 49 percent in FY 2003. There is a great deal of variation across the EPA regions, however, with the Fiscal Years 1999 through 2003 average rate of PRP-lead removals ranging from a low of 12 percent to a high of 59 percent.

Additional Measures of Success

Superfund pipeline, enforcement, and removal activities are important measures of workload, and reflect the detailed internal tracking of the Superfund program's progress that is essential to the program's internal management. However, these measures do not necessarily communicate the successes of the program, or the outcomes of resource expenditures.

The number of NPL sites where response actions prevent unacceptable human exposure to site contaminants is one example of such a measure of success. At the end of FY 2003, 82 percent of all NPL sites had controls in place to prevent such exposures. Most Superfund sites have a combination of surface contamination and contaminated groundwater, and groundwater typically takes much longer to address. At the end of FY 2003, 65 percent of NPL sites with contaminated groundwater had controls in place to prevent the spread of this contamination within the affected aquifer. While this percentage may seem low, the Superfund program addresses immediate threats to public health or the environment with its removal program. This allows the remedial program the time necessary to focus on selecting the proper long-term alternative. Part of the time required to do this is not only the scientific study necessary, but also the robust community involvement at the heart of the remedy selection process.

APPENDIX D: Superfund Resource Tables by National Program Manager (NPM)

Superfund Resource and FTE Breakout
FY1999 thru FY2003
IG
National Program
(All \$ in Thousands)

													% Change			
	FY1999 Pres. Bud	FY1999 Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	FY2000 Operating Plan	FY2000 Actuals	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	FY2003 Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total		99.0	84.7	14.3		100.0	80.8	19.2		94.1	89.9	4.2	-4.9%	6.1%	-5.9%	11.3%
<i>Superfund FTE</i>		99.0	84.7	14.3		100.0	80.8	19.2		94.1	89.9	4.2	-4.9%	6.1%	-5.9%	11.3%
<i>Brownfields FTE</i>				0.0				0.0								
Resources Total	\$10,753.1	\$10,753.1	\$9,279.9	\$1,473.2	\$10,753.1	\$11,000.0	\$10,131.4	\$868.6	\$12,742.0	\$12,659.1	\$12,110.4	\$548.7	17.7%	30.5%	15.1%	19.5%
<i>Payroll</i>	\$0.0	\$8,205.0	\$7,092.8	\$1,112.2		\$7,433.9	\$7,264.0	\$169.9	\$0.0	\$10,208.7	\$9,543.3	\$665.4	24.4%	34.5%	37.3%	31.4%
<i>Travel</i>	\$0.0	\$496.0	\$294.1	\$201.9		\$635.3	\$548.8	\$86.5		\$555.0	\$629.7	(\$74.7)	11.9%	114.1%	-12.6%	14.7%
<i>Contracts / Grants</i>	\$0.0	\$1,542.9	\$1,351.5	\$191.4		\$2,061.6	\$1,323.8	\$737.8	\$0.0	\$1,283.4	\$1,077.5	\$205.9	-16.8%	-20.3%	-37.7%	-18.6%
<i>Other</i>	\$0.0	\$509.2	\$541.5	(\$32.3)		\$869.2	\$994.8	(\$125.6)	\$0.0	\$612.0	\$859.9	(\$247.9)	20.2%	58.8%	-29.6%	-13.6%
Fiscal Year Appropriation		\$10,753.1				\$11,000.0	\$8,812.0	\$2,188.0		\$12,659.1	\$7,905.5	\$4,753.6				-10.3%
<i>Payroll</i>		\$8,205.0				\$7,433.9	\$6,853.8	\$580.1		\$10,208.7	\$7,370.4	\$2,838.3				7.5%
<i>Travel</i>		\$496.0				\$635.3	\$269.6	\$365.7		\$555.0	\$184.5	\$370.5				-31.6%
<i>Contracts / Grants</i>		\$1,542.9				\$2,061.6	\$1,181.8	\$879.8		\$1,283.4	\$127.2	\$1,156.2				-89.2%
<i>Other</i>		\$509.2				\$869.2	\$506.8	\$362.4		\$612.0	\$223.4	\$388.6				-55.9%
Carryover							\$1,319.4				\$4,204.9					
<i>Payroll</i>							\$410.2				\$2,172.9					
<i>Travel</i>							\$279.2				\$445.2					
<i>Contracts / Grants</i>							\$142.0				\$950.3					
<i>Other</i>							\$488.0				\$636.5					
Homeland Security																
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																
Brownfields																
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																
Brownfields Carryover																
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																

*Resources Total for FY 1999, 2000, and 2003 Operating Plan includes all the resources in the N2 Superfund IG transfer sub-appropriation of the IG appropriation

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

Superfund Resource and FTE Breakout
FY1999 thru FY2003
OA
National Program
(All \$ In Thousands)

	FY1999				FY2000				FY2003				% Change	
	FY1999 Pres. Bud	Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	Operating Plan	FY2000 Actuals	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals
FTE Total		11.8	7.2	4.6		15.8	19.7	(3.9)					-100.0%	-100.0%
<i>Superfund FTE</i>		11.8	7.2	4.6		9.9	14.1	(4.2)					-100.0%	-100.0%
<i>Brownfields FTE</i>		0.0	0.0	0.0		5.9	5.6	0.3						
Resources Total	\$4,381.7	\$4,137.5	\$1,285.8	\$2,851.7	\$4,288.5	\$2,213.7	\$3,246.9	(\$1,033.2)						-100.0%
<i>Payroll</i>		\$1,079.3	\$655.8	\$423.5	\$0.0	\$1,293.4	\$1,207.5	\$85.9						-100.0%
<i>Travel</i>		\$38.3	\$7.4	\$30.9	\$0.0	\$36.1	\$16.0	\$20.1						-100.0%
<i>Contracts / Grants</i>		\$667.7	\$103.5	\$564.2	\$0.0	\$629.4	\$544.8	\$84.6						-100.0%
<i>Other</i>		\$2,352.2	\$519.1	\$1,833.1	\$0.0	\$254.8	\$1,478.6	(\$1,223.8)						-100.0%
Fiscal Year Appropriation		\$4,137.5				\$868.7								
<i>Payroll</i>		\$1,079.3				\$810.4								
<i>Travel</i>		\$38.3				\$25.6								
<i>Contracts / Grants</i>		\$667.7				\$0.0								
<i>Other</i>		\$2,352.2				\$32.7								
Carryover						\$221.2								
<i>Payroll</i>														
<i>Travel</i>														
<i>Contracts / Grants</i>						\$0.0								
<i>Other</i>						\$221.2								
Homeland Security														
<i>Payroll</i>														
<i>Travel</i>														
<i>Contracts / Grants</i>														
<i>Other</i>														
Brownfields						\$1,023.8	\$535.3							
<i>Payroll</i>						\$483.0	\$121.9							
<i>Travel</i>						\$10.5	\$4.5							
<i>Contracts / Grants</i>						\$529.4	\$398.3							
<i>Other</i>						\$0.9	\$10.6							
Brownfields Carryover						\$100.0								
<i>Payroll</i>														
<i>Travel</i>														
<i>Contracts / Grants</i>						\$100.0								
<i>Other</i>														

*Resources Total Includes Carryover and Homeland Security

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*FY 1999 Operating Plan does not include carryover

*FY 2000 and 1999 Actuals include carryover, even though it is not broken out on the chart

Superfund Resource and FTE Breakout
FY1999 thru FY2003
OAR
National Program
(All \$ in Thousands)

													% Change			
	FY1999 Pres. Bud	FY1999 Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	FY2000 Operating Plan	FY2000 Actuals	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	FY2003 Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total		13.0	12.4	0.6		15.4	15.5	(0.1)		15.0	15.4	(0.4)	15.4%	24.2%	-2.6%	-0.6%
<i>Superfund FTE</i>																
<i>Brownfields FTE</i>		13.0	12.4	0.6		15.4	15.5	(0.1)		15.0	15.4	(0.4)	15.4%	24.2%	-2.6%	-0.6%
Resources Total	\$2,290.7	\$2,375.0	\$2,204.0	\$171.0	\$2,278.3	\$2,280.2	\$2,184.4	\$95.8	\$2,234.3	\$2,267.1	\$2,138.0	\$129.1	-4.5%	-3.0%	-0.6%	-2.1%
<i>Payroll</i>	\$0.0	\$1,031.2	\$965.2	\$66.0		\$1,180.4	\$1,251.3	(\$70.9)	\$0.0	\$1,443.8	\$1,442.2	\$1.6	40.0%	49.4%	22.3%	15.3%
<i>Travel</i>	\$0.0	\$101.8	\$98.0	\$3.8		\$102.8	\$84.9	\$17.9		\$101.8	\$89.8	\$12.0	0.0%	-8.4%	-1.0%	5.8%
<i>Contracts / Grants</i>	\$0.0	\$1,141.0	\$691.0	\$450.0		\$897.0	\$590.8	\$306.2	\$0.0	\$522.7	\$429.8	\$92.9	-54.2%	-37.8%	-41.7%	-27.3%
<i>Other</i>	\$0.0	\$101.0	\$449.8	(\$348.8)		\$100.0	\$257.4	(\$157.4)	\$0.0	\$198.8	\$176.2	\$22.6	96.8%	-60.8%	98.8%	-31.5%
Fiscal Year Appropriation	\$2,290.7	\$2,375.0			\$2,280.2				\$0.0	\$2,218.8	\$2,092.7	\$126.1	-6.6%		-2.7%	
<i>Payroll</i>		\$1,031.2				\$1,180.4				\$1,443.8	\$1,442.2	\$1.6	40.0%		22.3%	
<i>Travel</i>		\$101.8				\$102.8				\$101.8	\$89.8	\$12.0	0.0%		-1.0%	
<i>Contracts / Grants</i>		\$1,141.0				\$897.0				\$474.4	\$384.9	\$89.5	-58.4%		-47.1%	
<i>Other</i>		\$101.0				\$100.0				\$198.8	\$175.8	\$23.0	96.8%		98.8%	
Carryover										\$48.3	\$45.3	\$3.0				
<i>Payroll</i>																
<i>Travel</i>												\$0.0				
<i>Contracts / Grants</i>										\$48.3	\$44.9	\$3.4				
<i>Other</i>											\$0.4	(\$0.4)				
Homeland Security																
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																
Brownfields																
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																
Brownfields Carryover																
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																

*FY 2000 and 1999 Actuals include carryover, even though it is not broken out on the chart

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

Superfund Resource and FTE Breakout
FY1999 thru FY2003
OARM
National Program
 (All \$ in Thousands)

(All \$ in Thousands)																			% Change						
	FY1999 Pres. Bud	FY1999 Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	FY2000 Operating Plan	FY2000 Actuals	Difference (OP Plan - Actuals)	FY2001 Pres. Bud	FY2001 Operating Plan	FY2001 Actuals	Difference (OP Plan - Actuals)	FY2002 Pres. Bud	FY2002 Operating Plan	FY2002 Actuals	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	FY2003 Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals	
FTE Total		\$14.2	\$42.3	(28.1)		\$37.8	\$46.8	(9.0)		\$38.3	\$38.2	(.1)		\$31.6	\$38.9	(7.3)		\$30.4	\$39.8	(9.4)		-26.7%	-29.9%	-3.1%	-2.8%
Superfund FTE		\$12.9	\$42.3	(29.4)		\$30.3	\$46.4	(16.1)		\$35.1	\$33.5	1.6		\$30.4	\$39.8	(9.4)		\$30.4	\$27.8	(2.6)		-26.4%	-27.6%	-2.6%	-2.7%
Brownfields FTE		1.3	0.0	1.3		1.8	0.2	1.3		1.2	4.7	(3.5)		1.2	0.1	1.1		0.0	12.0	(12.0)		-100.0%	-100.0%	-100.0%	-100.0%
Resources Total	\$98,007.9	\$88,742.9	\$80,825.8	(\$2,082.9)	\$93,718.8	\$81,762.4	\$85,599.4	(\$3,837.0)	\$98,899.8	\$85,644.2	\$31,695.8	\$53,948.4		\$92,408.6	\$85,091.8	\$8,316.8		\$89,302.0	\$85,497.6	\$82,232.7	(\$2,735.1)	-3.7%	-2.9%	-4.4%	1.1%
Payroll	\$0.0	\$21,126.0	\$20,375.2	(\$5,249.2)	\$0.0	\$18,556.9	\$20,710.1	(\$1,143.2)	\$0.0	\$20,946.3	\$23,604.7	\$3,658.4		\$0.0	\$22,165.8	\$22,561.5	(\$394.7)		\$24,206.7	\$23,511.2	\$695.5	14.6%	-11.9%	23.7%	19.5%
Travel	\$0.0	\$1,081.5	\$752.8	\$328.7	\$0.0	\$1,784.2	\$1,079.3	\$704.9		\$1,132.5	\$1,191.1	(\$58.6)		\$0.0	\$1,258.8	\$1,417.7	\$157.1		\$1,919.5	\$749.7	\$1,169.8	22.9%	-5.4%	-28.2%	-36.6%
Contracts / Grants	\$0.0	\$17,966.9	\$16,402.3	\$1,564.6	\$0.0	\$12,041.4	\$14,427.1	(\$2,385.7)		\$12,651.6	\$12,831.6	(\$180.0)		\$0.0	\$14,974.8	\$12,617.7	\$2,357.1		\$54,191.4	\$13,431.5	\$40,759.9	201.6%	-15.2%	565.1%	14.8%
Other	\$0.0	\$48,568.5	\$47,295.5	\$1,273.0	\$0.0	\$48,309.9	\$49,362.9	(\$1,053.0)		\$57,811.9	\$50,513.8	\$7,298.1			\$53,982.4	\$50,070.9	\$3,911.5		\$4,781.0	\$90,279.3	(\$41,238.3)	-88.1%	5.7%	-89.1%	1.4%
Fiscal Year Appropriation		\$88,649.5				\$78,035.1				\$82,520.0				\$63,097.2	\$69,310.7	\$63,499.0	\$5,811.7		\$84,658.2	\$84,658.3	(\$0.1)	-4.5%		8.6%	
Payroll		\$21,032.6				\$19,169.0				\$20,685.5				\$21,962.4	\$22,424.0	(\$461.6)			\$24,156.7	\$23,911.2	\$245.5	14.4%	27.8%	27.8%	
Travel		\$1,081.5				\$1,809.8				\$1,324.0				\$1,297.8	\$638.6	\$659.2			\$1,319.5	\$749.7	\$569.8	22.4%	-15.6%		
Contracts / Grants		\$17,966.9				\$11,096.4				\$11,899.4				\$13,487.0	\$11,269.2	\$2,217.8			\$51,012.8	\$11,019.5	\$40,003.3	273.6%	519.4%		
Other		\$48,568.5				\$45,969.7				\$48,514.1				\$52,563.4	\$48,983.2	\$3,580.2			\$5,169.2	\$48,739.9	(\$11,620.7)	-89.4%	-27.6%		
Carryover						\$2,351.3				\$1,736.2				\$3,075.0	\$2,598.8	\$476.1			\$838.4	\$3,574.4	(\$2,785.0)			-62.3%	
Payroll						\$76.8				\$151.6				\$304.4	\$177.6	\$126.8			\$0.0	\$0.0					
Travel						\$174.1				\$0.0				\$1.0	\$3.1	(\$2.1)			\$0.0	\$0.0					
Contracts / Grants						\$743.1				\$780.3				\$1,401.6	\$1,348.5	\$53.1			\$179.6	\$2,251.0	(\$2,116.2)				
Other						\$1,357.3				\$824.3				\$1,376.0	\$1,107.7	\$271.2			\$610.8	\$1,272.4	(\$561.6)				
Homeland Security															\$0.0	\$0.0	\$0.0								
Payroll																									
Travel																									
Contracts / Grants																									
Other																									
Brownfields		\$93.4				\$1,218.3	\$1,183.7			\$1,388.0	\$1,708.8				\$0.0										
Payroll		\$93.4				\$134.4	\$100.6			\$109.2	\$118.5														
Travel						\$0.5	\$0.2			\$0.5	\$7.4														
Contracts / Grants						\$31.5	\$30.4			\$94.0	\$133.6														
Other						\$1,051.9	\$1,052.5			\$1,175.4	\$1,229.3														
Brownfields Carryover						\$157.7																			
Payroll						\$157.7																			
Travel																									
Contracts / Grants																									
Other																									

*FY 2000 and 1999 Actuals include carryover, even though it is not broken out on the chart

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*Difference between FY2000 and FY 2003 primarily reflects the establishment of the Office of Environmental Information in FY2000

*Rent for 1999 was \$34,349.9 thousand. Rent for FY2003 was \$42,651.7 thousand. That is an increase of \$8,301.8 thousand and 24.2%.

Superfund Resource and FTE Breakout
FY1999 thru FY2003
OCFO
National Program
(All \$ in Thousands)

													% Change			
	FY1999 Pres. Bud	FY1999 Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	FY2000 Operating Plan	FY2000 Actuals	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	FY2003 Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total		243.8	230.6	13.2		230.4	221.5	8.9		221.0	214.3	6.7	-9.4%	-7.1%	-4.1%	-3.3%
<i>Superfund FTE</i>		243.0	230.6	12.4		228.9	221.3	7.6		221.0	214.3	6.7	-9.1%	-7.1%	-3.5%	-3.2%
<i>Brownfields FTE</i>		0.8	0.0	0.8		1.5	0.2	1.3		0.0	0.0	0.0	-100.0%	-100.0%	-100.0%	-100.0%
Resources Total	\$29,479.4	\$25,419.3	\$23,158.7	\$2,260.6	\$28,553.5	\$27,405.1	\$24,683.2	\$2,721.9	\$28,419.4	\$29,143.3	\$27,125.5	\$2,017.8	14.7%	17.1%	6.3%	9.9%
<i>Payroll</i>	\$0.0	\$15,582.8	\$14,840.9	\$721.9	\$0.0	\$16,012.2	\$16,111.9	(\$99.7)		\$19,321.8	\$18,499.6	\$822.2	24.2%	24.7%	28.7%	14.8%
<i>Travel</i>	\$0.0	\$506.0	\$198.4	\$307.6	\$0.0	\$618.5	\$200.6	\$417.9		\$435.0	\$294.5	\$140.5	-14.0%	48.4%	-29.7%	46.8%
<i>Contracts / Grants</i>	\$0.0	\$3,005.8	\$3,315.0	(\$309.2)	\$0.0	\$5,347.5	\$3,762.0	\$1,585.5		\$3,917.2	\$4,188.2	(\$271.0)	30.3%	28.3%	-28.7%	11.3%
<i>Other</i>	\$0.0	\$6,344.7	\$4,804.4	\$1,540.3	\$0.0	\$5,426.9	\$4,608.7	\$818.2		\$5,469.3	\$4,143.2	\$1,326.1	-13.8%	-13.8%	0.8%	-10.1%
Fiscal Year Appropriation		\$25,365.4				\$25,277.1				\$28,461.1	\$26,330.3	\$2,130.8	12.2%		12.6%	
<i>Payroll</i>		\$15,508.9				\$15,891.7				\$19,225.4	\$18,499.6	\$725.8	24.0%		21.0%	
<i>Travel</i>		\$506.0				\$367.6				\$435.0	\$294.5	\$140.5	-14.0%		18.3%	
<i>Contracts / Grants</i>		\$3,005.8				\$3,683.3				\$3,331.4	\$3,463.0	(\$131.6)	10.8%		-9.6%	
<i>Other</i>		\$6,344.7				\$5,334.5				\$5,469.3	\$4,073.2	\$1,396.1	-13.8%		2.5%	
Carryover						\$1,927.9				\$682.2	\$795.2	(\$209.4)			-64.6%	
<i>Payroll</i>						\$17.2				\$96.4		\$0.0			460.5%	
<i>Travel</i>						\$250.7									-100.0%	
<i>Contracts / Grants</i>						\$1,632.0				\$585.8	\$725.2	(\$139.4)			-64.1%	
<i>Other</i>						\$28.0					\$70.0	(\$70.0)			-100.0%	
Homeland Security																
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																
Brownfields		\$53.9				\$200.1	\$185.9									
<i>Payroll</i>		\$53.9				\$103.3	\$88.9									
<i>Travel</i>						\$0.2										
<i>Contracts / Grants</i>						\$32.2	\$48.0									
<i>Other</i>						\$64.4	\$49.0									
Brownfields Carryover																
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																

*FY 2000 and 1999 Actuals include carryover, even though it is not broken out on the chart

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

Superfund Resource and FTE Breakout
FY1999 thru FY2003
OECA
National Program
(All \$ in Thousands)

												% Change				
	FY1999 Pres. Bud	FY1999 Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	FY2000 Operating Plan	FY2000 Actuals*	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	FY2003 Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total		1164.4	1124.8	39.6		1144.9	1073.5	71.4		1129.1	1074.3	54.8	-3.0%	-4.5%	-1.4%	0.1%
Superfund FTE		1158.6	1115.0	43.6		1144.9	1072.7	72.2		1129.1	1074.3	54.8	-2.5%	-3.7%	-1.4%	0.1%
Brownfields FTE		5.8	9.8	(4.0)		0.0	0.8	(0.8)					-100.0%	-100.0%		-100.0%
Resources Total	\$185,568.4	\$174,090.9	\$182,538.8	(\$8,447.9)	\$176,750.7	\$173,837.3	\$172,225.0	\$1,612.3	\$171,787.3	\$177,431.2	\$174,181.1	\$3,250.1	1.9%	-4.6%	2.1%	1.1%
Payroll		\$95,338.5	\$89,336.7	\$6,001.8		\$95,963.4	\$91,775.9	\$4,187.5		\$114,916.5	\$110,958.7	\$3,957.8	20.5%	24.2%	19.8%	20.9%
Travel		\$3,053.1	\$1,714.1	\$1,339.0		\$2,910.5	\$1,363.9	\$1,546.6		\$2,545.0	\$1,923.9	\$621.1	-16.6%	12.2%	-12.6%	41.1%
Contracts / Grants		\$38,367.5	\$53,291.2	(\$14,923.7)		\$39,124.5	\$42,569.6	(\$3,445.1)		\$22,468.6	\$25,395.8	(\$2,927.2)	-41.4%	-52.3%	-42.6%	-40.3%
Other		\$8,331.8	\$9,196.8	(\$865.0)		\$7,175.4	\$7,852.1	(\$676.7)		\$9,534.1	\$7,935.7	\$1,598.4	14.4%	-13.7%	32.9%	1.1%
DOJ		\$29,000.0	\$29,000.0	\$0.0	\$28,663.5	\$28,663.5	\$28,663.5	\$0.0	\$28,150.0	\$27,967.0	\$27,967.0	\$0.0	-3.6%	-3.6%	-2.4%	-2.4%
Fiscal Year Appropriation	\$183,635.8	\$173,651.9			\$0.0	\$168,656.6			\$170,074.0	\$163,700.3	\$6,373.7		-2.1%		0.8%	
Payroll		\$94,919.9				\$95,963.4			\$114,916.5	\$110,372.8	\$4,543.7		21.1%		19.8%	
Travel		\$3,041.3				\$2,904.2			\$2,545.0	\$1,793.6	\$751.4		-16.3%		-12.4%	
Contracts / Grants		\$38,367.4				\$35,424.5			\$16,382.1	\$16,610.9	(\$228.8)		-57.3%		-53.8%	
Other		\$8,323.3				\$5,701.0			\$8,263.4	\$6,956.0	\$1,307.4		-0.7%		44.9%	
DOJ Transfer	\$29,663.5	\$29,000.0			\$28,663.5	\$28,663.5	\$28,663.5	\$0.0	\$28,150.0	\$27,967.0	\$27,967.0	\$0.0	-3.6%		-2.4%	
Carryover					\$5,174.4				\$6,586.5	\$10,119.7	(\$3,533.2)					
Payroll									\$0.0	\$363.0						
Travel									\$0.0	\$0.0						
Contracts / Grants						\$3,700.0			\$6,086.5	\$8,783.7	(\$2,697.2)					
Other						\$1,474.4			\$500.0	\$973.0	(\$473.0)					
Homeland Security									\$770.7	\$361.1	\$409.6					
Payroll										\$222.9	(\$222.9)					
Travel										\$130.3	(\$130.3)					
Contracts / Grants										\$1.2	(\$1.2)					
Other									\$770.7	\$6.7	\$764.0					
Brownfields	\$1,932.6	\$439.0			\$0.0	\$6.3	\$55.8	(\$49.5)								
Payroll		\$418.6					\$45.3									
Travel		\$11.8				\$6.3	\$9.7									
Contracts / Grants		\$0.1														
Other		\$8.5					\$0.8									

*Carryover data is not included in the **Resources Total** for FY 1999 Operating Plan

*All Data was extracted from BAS

*Travel does not include site travel, which is included in *Other*

*Homeland Security FTE are included in the FY 2003 OP Plan Totals

*DOJ Transfer taken out of Contracts / Grants line

*FY 2000 and 1999 Actuals include carryover, even though it is not broken out on the chart

*Fiscal Year Appropriation does not include Brownfields

Superfund Resource and FTE Breakout
FY1999 thru FY2003
OEI*
National Program
(All \$ in Thousands)

FTE in Resources											% Change					
	FY1999 Pres. Bud	FY1999 Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	FY2000 Operating Plan	FY2000 Actuals	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	FY2003 Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total						33.2	42.0	(8.8)		32.2	42.4	(10.2)	N/A	N/A	-3.0%	1.0%
Superfund FTE						33.0	42.0	(9.0)		32.2	42.4	(10.2)	N/A	N/A	-2.4%	1.0%
Brownfields FTE						0.2	0.0	0.2				0.0	N/A	N/A	-100.0%	
Resources Total						\$15,406.4	\$9,230.1	\$6,176.3	\$18,992.6	\$19,668.7	\$18,545.2	\$1,123.5	N/A	N/A	27.7%	100.9%
Payroll						\$3,125.9	\$3,351.0	(\$225.1)		\$3,227.9	\$4,009.4	(\$781.5)	N/A	N/A	3.3%	19.6%
Travel						\$53.2	\$47.2	\$6.0		\$97.7	\$51.4	\$46.3	N/A	N/A	83.6%	8.9%
Contracts / Grants						\$8,217.7	\$3,090.8	\$5,126.9		\$11,046.1	\$10,236.6	\$809.5	N/A	N/A	34.4%	231.2%
Other						\$4,009.6	\$2,741.1	\$1,268.5		\$5,297.0	\$4,247.8	\$1,049.2	N/A	N/A	32.1%	55.0%
Fiscal Year Appropriation						\$14,410.7				\$19,035.3	\$17,791.0	\$1,244.3	N/A		32.1%	
Payroll						\$2,624.4				\$3,227.9	\$4,009.4	(\$781.5)	N/A		23.0%	
Travel						\$45.1				\$97.7	\$51.4	\$46.3	N/A		116.6%	
Contracts / Grants						\$7,791.9				\$10,456.0	\$9,738.2	\$717.8	N/A		34.2%	
Other						\$3,949.3				\$5,253.7	\$3,992.0	\$1,261.7	N/A		33.0%	
Carryover						\$980.5				\$633.4	\$715.1	(\$81.7)			-35.4%	
Payroll						\$486.5									-100.0%	
Travel						\$7.9						\$0.0			-100.0%	
Contracts / Grants						\$425.8				\$590.1	\$459.3	\$130.8			38.6%	
Other						\$60.3				\$43.3	\$255.8	(\$212.5)			-28.2%	
Homeland Security											\$39.1	(\$39.1)				
Payroll												\$0.0				
Travel												\$0.0				
Contracts / Grants											\$39.1	(\$39.1)				
Other												\$0.0				
Brownfields						\$15.2	\$19.8	(\$4.6)								
Payroll						\$15.0	\$19.8	(\$4.8)								
Travel						\$0.2		\$0.2								
Contracts / Grants																
Other																
Brownfields Carryover																
Payroll																
Travel																
Contracts / Grants																
Other																

*The Office of Environmental Information was established in FY 2000

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*FY 2000 actuals include carryover, even though it is not broken out on the charts

Superfund Resource and FTE Breakout
FY1999 thru FY2003
OGC
National Program
(All \$ in Thousands)

													% Change			
	FY1999 Pres. Bud	FY1999 Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	FY2000 Operating Plan	FY2000 Actuals	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	FY2003 Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total		30.4	24.9	5.5		30.3	24.8	5.5		4.4	4.5	(0.1)	-85.5%	-81.9%	-85.5%	-81.9%
Superfund FTE		29.3	24.6	4.7		29.2	24.5	4.7		4.4	4.5	(0.1)	-85.0%	-81.7%	-84.9%	-81.6%
Brownfields FTE		1.1	0.3	0.8		1.1	0.3	0.8					-100.0%	-100.0%	-100.0%	-100.0%
Resources Total	\$3,551.5	\$3,276.9	\$2,964.3	\$312.6	\$3,518.2	\$3,651.2	\$3,088.9	\$562.3	\$844.5	\$868.6	\$781.4	\$87.2	-73.5%	-73.6%	-76.2%	-74.7%
Payroll	\$0.0	\$2,825.1	\$2,401.6	\$423.5		\$3,202.3	\$2,567.9	\$634.4		\$621.9	\$653.8	(\$31.9)	-78.0%	-72.8%	-80.6%	-74.5%
Travel	\$0.0	\$44.0	\$28.1	\$15.9		\$84.7	\$24.5	\$60.2		\$25.7	\$2.8	\$22.9	-41.6%	-90.0%	-69.7%	-88.6%
Contracts / Grants	\$0.0	\$370.2	\$469.8	(\$99.6)		\$315.5	\$455.1	(\$139.6)		\$167.7	\$80.0	\$87.7	-54.7%	-83.0%	-46.8%	-82.4%
Other	\$0.0	\$37.6	\$64.8	(\$27.2)		\$48.7	\$41.4	\$7.3		\$53.3	\$44.8	\$8.5	41.8%	-30.9%	9.4%	8.2%
Fiscal Year Appropriation		\$3,178.3				\$3,439.0				\$839.0	\$778.0	\$61.0	-73.6%		-75.6%	
Payroll		\$2,726.7				\$3,040.0				\$621.9	\$653.8	(\$31.9)	-77.2%		-79.5%	
Travel		\$44.0				\$82.4				\$5.7	\$0.5	\$5.2	-87.0%		-90.9%	
Contracts / Grants		\$370.2				\$291.3				\$167.7	\$80.0	\$87.7	-54.7%		-42.4%	
Other		\$37.4				\$45.3				\$43.7	\$43.7	\$0.0	16.8%		-3.5%	
Carryover						\$14.9				\$29.6	\$3.4	\$26.2			98.7%	
Payroll						(\$30.6)									-100.0%	
Travel						\$21.3				\$20.0	\$2.3	\$17.7			-8.1%	
Contracts / Grants						\$24.2									-100.0%	
Other						\$0.0				\$9.6	\$1.1	\$8.5				
Homeland Security																
Payroll																
Travel																
Contracts / Grants																
Other																
Brownfields		\$98.6				\$118.5	\$29.0									
Payroll		\$98.4				\$116.4	\$28.3									
Travel							\$0.7									
Contracts / Grants																
Other		\$0.2				\$0.1										
Brownfields Carryover						\$80.8										
Payroll						\$76.5										
Travel						\$1.0										
Contracts / Grants						\$3.3										
Other																

*FY 2000 and 1999 Actuals include carryover, even though it is not broken out on the chart

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

Superfund Resource and FTE Breakout
FY1999 thru FY2003
OPPE
National Program
(All \$ in Thousands)

	FY1999				FY2000				FY2003				% Change	
	FY1999 Pres. Bud	Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	Operating Plan	FY2000 Actuals	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals
FTE Total		5.9	4.6	1.3									-100.0%	-100.0%
<i>Superfund FTE</i>		0.0	0.0	0.0										
<i>Brownfields FTE</i>		5.9	4.6	1.3									-100.0%	-100.0%
Resources Total	\$1,014.8	\$932.9	\$902.0	\$30.9	\$1,008.7								-100.0%	-100.0%
<i>Payroll</i>	\$0.0	\$378.4	\$367.0	\$11.4									-100.0%	-100.0%
<i>Travel</i>	\$0.0	\$10.5	\$11.5	(\$1.0)									-100.0%	-100.0%
<i>Contracts / Grants</i>	\$0.0	\$516.9	\$522.7	(\$5.8)									-100.0%	-100.0%
<i>Other</i>	\$0.0	\$27.1	\$0.8	\$26.3									-100.0%	-100.0%
Fiscal Year Appropriation	\$19.6	\$19.6												
<i>Payroll</i>		\$0.0												
<i>Travel</i>		\$0.0												
<i>Contracts / Grants</i>		\$0.0												
<i>Other</i>		\$19.6												
Carryover														
<i>Payroll</i>														
<i>Travel</i>														
<i>Contracts / Grants</i>														
<i>Other</i>														
Homeland Security														
<i>Payroll</i>														
<i>Travel</i>														
<i>Contracts / Grants</i>														
<i>Other</i>														
Brownfields	\$995.2	\$913.3			\$989.1									
<i>Payroll</i>		\$378.4												
<i>Travel</i>		\$10.5												
<i>Contracts / Grants</i>		\$516.9												
<i>Other</i>		\$7.5												
Brownfields Carryover														
<i>Payroll</i>														
<i>Travel</i>														
<i>Contracts / Grants</i>														
<i>Other</i>														

*Resources Total includes Carryover and Homeland Security

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*FY1999 Operating Plan does not include carryover

*FY 2000 and 1999 Actuals include carryover, even though it is not broken out on the chart

Superfund Resource and FTE Breakout
FY1999 thru FY2003
ORD
National Program
(All \$ in Thousands)

													% Change			
	FY1999 Pres. Bud.	FY1999 Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	FY2000 Operating Plan	FY2000 Actuals	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	FY2003 Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total		124.9	128.4	(3.5)		123.9	131.6	(7.7)		140.0	137.2	2.8	12.1%	6.9%	13.0%	4.3%
<i>Superfund FTE</i>		124.9	128.4	(3.5)		123.9	131.6	(7.7)		140.0	137.2	2.8	12.1%	6.9%	13.0%	4.3%
<i>Brownfields FTE</i>																
Resources Total	\$40,200.8	\$39,800.0	\$29,604.1	\$10,195.9	\$37,271.4	\$37,493.8	\$40,828.6	(\$3,334.8)	\$111,168.0	\$85,607.9	\$49,869.5	\$35,738.4		68.5%	128.3%	22.1%
<i>Payroll</i>	\$0.0	\$10,700.7	\$10,301.4	\$399.3	\$0.0	\$10,578.2	\$11,111.8	(\$533.6)	\$0.0	\$14,109.8	\$14,650.8	(\$541.0)		42.2%	33.4%	31.8%
<i>Travel</i>	\$0.0	\$327.8	\$295.6	\$32.2	\$0.0	\$422.4	\$421.4	\$1.0		\$567.8	\$638.0	(\$70.2)		116%	34%	51%
<i>Contracts / Grants</i>	\$0.0	\$26,744.4	\$17,859.4	\$8,885.0	\$0.0	\$24,314.1	\$26,464.2	(\$2,150.1)	\$0.0	\$65,270.7	\$31,807.1	\$33,463.6		78%	168%	20%
<i>Other</i>	\$0.0	\$2,027.1	\$1,147.7	\$879.4	\$0.0	\$2,179.1	\$2,831.2	(\$652.1)	\$0.0	\$5,659.6	\$2,773.6	\$2,886.0		142%	160%	-2%
Fiscal Year Appropriation		\$39,800.0				\$37,493.8	\$27,953.6	\$9,540.2	\$36,168.0	\$35,932.7	\$40,460.0	(\$4,527.3)	-10%		-4%	45%
<i>Payroll</i>		\$10,700.7				\$10,578.2	\$10,717.9	(\$139.7)		\$11,029.9	\$14,146.3	(\$3,116.4)	3%		4%	32%
<i>Travel</i>		\$327.8				\$422.4	\$390.8	\$31.6		\$369.1	\$571.3	(\$202.2)	13%		-13%	46%
<i>Contracts / Grants</i>		\$26,744.4				\$24,314.1	\$15,121.4	\$9,192.7		\$18,903.9	\$23,330.6	(\$4,426.7)	-29%		-22%	54%
<i>Other</i>		\$2,027.1				\$2,179.1	\$1,723.5	\$455.6		\$5,629.8	\$2,411.8	\$3,218.0	178%		158%	40%
Carryover						\$12,875.0				\$0.0	\$9,409.5	(\$9,409.5)				
<i>Payroll</i>						\$393.9					\$504.5	(\$504.5)				
<i>Travel</i>						\$30.6					\$66.7	(\$66.7)				
<i>Contracts / Grants</i>						\$11,342.8					\$8,476.5	(\$8,476.5)				
<i>Other</i>						\$1,107.7					\$361.8	(\$361.8)				
Homeland Security									\$75,000.0	\$49,675.2						
<i>Payroll</i>										\$3,079.9						
<i>Travel</i>										\$198.7						
<i>Contracts / Grants</i>										\$46,366.8						
<i>Other</i>										\$29.8						
Brownfields																
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																
Brownfields Carryover																
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																

*FY 2000 and 1999 Actuals include carryover, even though it is not broken out on the chart

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*Resources Total for FY 1999 and 2000 Operating Plan includes all the resources in the C3 Superfund research transfer sub-appropriation of the S&T appropriation

*FY 1999 Actuals includes \$2,647 and that was spent in the Superfund Appropriation

*FY 2003 includes \$390.3 that was spent in the Superfund appropriation

*Homeland Security FTE are included in FY 2003 OP Plan FTE totals

Superfund Resource and FTE Breakout
FY1999 thru FY2003
OSWER
National Program
(All \$ in Thousands)

														% Change			
FY1999 Pres. Bud*		FY1999 Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	FY2000 Operating Plan	FY2000 Actuals	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	FY2003 Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals	
FTE Total		1733.1	1688.3	44.8		1686.5	1695.7	(9.2)		1592.1	1607.1	(15.0)	-8.1%	-4.8%	-5.6%	-5.2%	
Superfund FTE		1659.2	1612.1	47.1		1610.7	1619.9	(9.2)		1592.1	1600.8	(8.7)	-4.0%	-0.7%	-1.2%	-1.2%	
Brownfields FTE		73.9	76.2	(2.3)		75.8	75.8	0.0		0.0	6.3	(6.3)	-100.0%	-91.7%	-100.0%	-91.7%	
Resources Total		\$1,725,496.7	\$1,148,787.5	\$1,221,107.1	(\$72,319.6)	\$1,140,377.1	\$1,004,661.1	\$1,223,550.3	(\$218,889.2)	\$840,398.1	\$861,429.1	\$964,863.3	(\$103,454.2)	-25.0%	-21.0%	-14.3%	-21.1%
Payroll		\$0.0	\$120,012.2	\$122,988.7	(\$2,976.5)	\$0.0	\$132,968.7	\$133,606.7	(\$638.0)		\$151,993.1	\$164,004.9	(\$2,011.8)	26.6%	25.2%	14.3%	15.3%
Travel		\$0.0	\$4,689.6	\$4,388.3	\$301.3	\$0.0	\$5,659.3	\$4,429.6	\$1,229.7		\$5,601.0	\$5,427.8	\$173.2	19.4%	23.7%	-1.0%	22.5%
Contracts / Grants		\$0.0	\$749,761.3	\$925,857.4	(\$176,096.1)	\$0.0	\$712,620.1	\$1,064,804.0	(\$352,183.9)		\$681,139.8	\$761,131.7	(\$79,991.9)	-9.2%	-17.8%	-4.4%	-28.5%
Other		\$0.0	\$128,324.4	\$21,872.7	\$106,451.7	\$0.0	\$13,413.0	\$20,710.0	(\$7,297.0)		\$12,019.2	\$33,705.9	(\$21,686.7)	-90.6%	54.1%	-10.4%	62.8%
USCG Transfer		\$4,801.0	\$4,800.0	\$4,800.0	\$0.0		\$4,800.0	\$4,800.0	\$0.0		\$5,487.9	\$5,455.5	\$32.4	14.3%	13.7%	14.3%	13.7%
FEMA Transfer		\$1,100.0	\$1,100.0	\$1,100.0	\$0.0		\$1,100.0	\$1,100.0	\$0.0		\$1,097.4	\$1,090.9	\$6.5	-0.2%	-0.8%	-0.2%	-0.8%
NOAA Transfer		\$2,932.0	\$2,450.0	\$2,450.0	\$0.0		\$2,450.0	\$2,450.0	\$0.0		\$2,444.5	\$2,430.1	\$14.4	-0.2%	-0.8%	-0.2%	-0.8%
DOI Transfer		\$1,000.0	\$1,000.0	\$1,000.0	\$0.0		\$1,000.0	\$1,000.0	\$0.0		\$997.7	\$991.8	\$5.9	-0.2%	-0.8%	-0.2%	-0.8%
OSHA Transfer		\$660.0	\$650.0	\$650.0	\$0.0		\$650.0	\$650.0	\$0.0		\$648.5	\$644.7	\$3.8	-0.2%	-0.8%	-0.2%	-0.8%
NIEHS Transfer		\$48,526.7	\$60,000.0	\$60,000.0	\$0.0		\$60,000.0	\$60,000.0	\$0.0								
ATSDR Transfer		\$64,000.0	\$76,000.0	\$76,000.0	\$0.0		\$70,000.0	\$70,000.0	\$0.0								
Fiscal Year Appropriation		\$1,638,966.8	\$1,058,868.5			\$1,053,055.0	\$892,520.7			\$822,247.5	\$844,682.2	(\$22,434.7)		-22.3%		-7.9%	
Payroll			\$114,216.9				\$123,221.5			\$148,775.6	\$152,455.1	(\$3,679.5)		30.3%		20.7%	
Travel			\$4,332.5				\$5,241.6			\$5,340.9	\$4,815.0	\$525.9		23.3%		1.9%	
Contracts / Grants			\$666,520.4				\$611,347.0			\$645,775.1	\$646,589.2	(\$81.1)		-3.1%		5.6%	
Other			\$127,798.7				\$12,710.6			\$11,679.9	\$30,209.9	(\$18,530.0)		-90.9%		-8.1%	
USCG Transfer		\$4,801.0	\$4,800.0	\$4,800.0	\$0.0		\$4,800.0	\$4,800.0	\$0.0		\$5,487.9	\$5,455.5	\$32.4	14.3%		14.3%	
FEMA Transfer		\$1,100.0	\$1,100.0	\$1,100.0	\$0.0		\$1,100.0	\$1,100.0	\$0.0		\$1,097.4	\$1,090.9	\$6.5	-0.2%		-0.2%	
NOAA Transfer		\$2,932.0	\$2,450.0	\$2,450.0	\$0.0		\$2,450.0	\$2,450.0	\$0.0		\$2,444.5	\$2,430.1	\$14.4	-0.2%		-0.2%	
DOI Transfer		\$1,000.0	\$1,000.0	\$1,000.0	\$0.0		\$1,000.0	\$1,000.0	\$0.0		\$997.7	\$991.8	\$5.9	-0.2%		-0.2%	
OSHA Transfer		\$660.0	\$650.0	\$650.0	\$0.0		\$650.0	\$650.0	\$0.0		\$648.5	\$644.7	\$3.8	-0.2%		-0.2%	
NIEHS Transfer		\$48,526.7	\$60,000.0	\$60,000.0	\$0.0		\$60,000.0	\$60,000.0	\$0.0								
ATSDR Transfer		\$64,000.0	\$76,000.0	\$76,000.0	\$0.0		\$70,000.0	\$70,000.0	\$0.0								
Carryover							\$22,400.7			\$1,139.1	\$110,675.5	(\$109,536.4)					
Payroll			\$3,346.4				\$3,346.4				\$130.0	\$140.5	(\$10.5)				
Travel			\$0.0				\$0.0			\$1,009.1	\$110,056.1	(\$109,047.0)					
Contracts / Grants			\$18,873.1				\$18,873.1				\$0.0	\$478.9	(\$478.9)				
Other			\$181.2				\$181.2										
Homeland Security										\$38,042.5	\$9,525.6	\$28,516.9					
Payroll										\$3,217.5	\$1,549.8	\$1,667.7					
Travel										\$130.1	\$472.3	(\$342.2)					
Contracts / Grants										\$34,355.6	\$4,486.4	\$29,869.2					
Other										\$339.3	\$3,017.1	(\$2,677.8)					
Brownfields		\$86,530.1	\$89,919.0			\$87,322.1	\$87,731.7	\$91,268.5	(\$3,536.8)								
Payroll			\$5,795.3				\$6,360.8	\$6,273.6	\$87.2								
Travel			\$357.1				\$410.7	\$451.5	(\$40.8)								
Contracts / Grants			\$83,240.9				\$80,439.0	\$84,182.3	(\$3,743.3)								
Other			\$525.7				\$521.2	\$361.1	\$160.1								
Brownfields Carryover							\$2,008.0										
Payroll							\$40.0										
Travel							\$7.0										
Contracts / Grants							\$1,981.0										
Other							\$0.0										

* FY 1999 President's Budget includes \$500 Million for Kalamazoo, Michigan cleanup
* All Data was extracted from BAS
* Travel does not include site travel, which is included in Other
* Carryover data is not included in the Resources Total for FY 1999 Operating Plan
* FY 2000 and 1999 Actuals include carryover, even though it is not broken out on the chart
* Transfers to other Federal Agencies were taken out of the Contracts/ Grants line

Superfund Resource Breakout
National Programs
Dollars

(All \$ in Thousands)

													% Change			
	FY 1999 Pres. Budget	FY1999 Op Plan	FY1999 Actuals	Difference (Op Plan Actuals)	FY 2000 Pres. Budget	FY2000 Op Plan	FY2000 Actuals	Difference (Op Plan - Actuals)	FY2003 Pres. Budget*	FY2003 Op Plan	FY2003 Actuals	Difference	1999 to 2003 Op Plan	1999 to 2003 Actuals	2000 to 2003 OP Plan	2000 to 2003 Actuals
Resources Total																
Total Superfund	\$2,092,745.0	\$1,498,316.0	\$1,563,949.8	(\$65,033.8)	\$1,500,000.0	\$1,359,711.2	\$1,576,384.4		\$1,292,655.6	\$1,274,572.6	\$1,337,267.1	(\$63,294.5)	-14.9%	-14.5%	-6.3%	-15.1%
Response	\$1,727,787.4	\$1,151,162.5	\$1,223,311.1	(\$72,148.8)	\$1,142,855.4	\$1,006,941.3	\$1,225,734.7	(\$218,793.4)	\$842,632.4	\$863,096.2	\$967,021.3	(\$103,325.1)	-25.0%	-21.0%	-14.2%	-21.1%
OSWER	\$1,600,186.3	\$1,002,787.5	\$1,075,107.1	(\$72,319.8)	\$1,140,377.1	\$804,861.1	\$1,083,550.3	(\$218,889.2)	\$840,398.1	\$850,753.1	\$954,270.3	(\$103,517.2)	-25.0%	-21.0%	-14.2%	-21.1%
OAR	\$2,290.7	\$2,375.0	\$2,204.0	\$171.0	\$2,278.3	\$2,280.2	\$2,184.4	\$95.8	\$2,234.3	\$2,287.1	\$2,138.0	\$129.1	-4.5%	-3.0%	-0.6%	-2.1%
USCG	\$4,801.0	\$4,800.0	\$4,800.0	\$0.0		\$4,800.0	\$4,800.0	\$0.0		\$5,487.9	\$5,455.5	\$32.4	14.3%	13.7%	14.3%	13.7%
FEMA	\$1,100.0	\$1,100.0	\$1,100.0	\$0.0		\$1,100.0	\$1,100.0	\$0.0		\$1,097.4	\$1,090.9	\$6.5	-0.2%	-0.8%	-0.2%	-0.8%
NOAA	\$2,932.0	\$2,450.0	\$2,450.0	\$0.0		\$2,450.0	\$2,450.0	\$0.0		\$2,444.5	\$2,430.1	\$14.4	-0.2%	-0.8%	-0.2%	-0.8%
DOI	\$1,000.0	\$1,000.0	\$1,000.0	\$0.0		\$1,000.0	\$1,000.0	\$0.0		\$997.7	\$991.8	\$5.9	-0.2%	-0.8%	-0.2%	-0.8%
OSHA	\$660.0	\$650.0	\$650.0	\$0.0		\$650.0	\$650.0	\$0.0		\$648.5	\$644.7	\$3.8	-0.2%	-0.8%	-0.2%	-0.8%
NIEHS	\$48,526.7	\$60,000.0	\$60,000.0	\$0.0		\$60,000.0	\$60,000.0	\$0.0		\$0.0	\$0.0	\$0.0	-100.0%	-100.0%	-100.0%	-100.0%
ATSDR	\$64,000.0	\$76,000.0	\$76,000.0	\$0.0		\$70,000.0	\$70,000.0	\$0.0		\$0.0	\$0.0	\$0.0	-100.0%	-100.0%	-100.0%	-100.0%
Enforcement	\$185,868.4	\$174,090.9	\$182,538.8	(\$8,447.9)	\$179,750.7	\$173,837.3	\$172,225.0	\$1,812.3	\$171,787.3	\$177,431.2	\$174,181.1	\$3,250.1	1.9%	-4.8%	2.1%	1.1%
OECA	\$157,418.4	\$148,123.9	\$154,571.8	(\$8,447.9)	\$148,087.2	\$145,173.8	\$143,561.5	\$1,812.3	\$143,637.3	\$148,404.2	\$146,214.1	\$3,250.1	1.9%	-4.8%	3.0%	1.8%
DOJ	\$28,150.0	\$27,967.0	\$27,967.0	\$0.0	\$28,663.5	\$28,663.5	\$28,663.5	\$0.0	\$28,150.0	\$27,967.0	\$27,967.0	\$0.0	1.9%	-4.8%	-2.4%	-2.4%
Management & Support	\$128,435.3	\$122,509.5	\$119,136.6	\$3,372.9	\$131,087.7	\$130,438.8	\$125,848.5	\$4,590.3	\$134,558.5	\$135,178.2	\$134,684.8	\$493.4	10.3%	13.1%	3.6%	7.6%
OARM	\$90,007.9	\$88,742.9	\$90,825.8	(\$2,082.9)	\$93,718.8	\$81,782.4	\$85,599.4	(\$3,837.0)	\$86,302.0	\$85,487.6	\$88,232.7	(\$2,735.1)	-3.7%	-2.9%	4.0%	3.1%
OCFO	\$29,479.4	\$25,419.3	\$23,158.7	\$2,260.6	\$28,553.5	\$27,405.1	\$24,683.2	\$2,721.9	\$28,419.4	\$29,143.3	\$27,125.5	\$2,017.8	14.7%	17.1%	6.3%	9.9%
OEI				\$0.0	\$0.0	\$15,406.4	\$9,230.1	\$6,176.3	\$18,992.6	\$19,688.7	\$18,545.2	\$1,123.5			27.7%	100.9%
OGC	\$3,551.5	\$3,276.9	\$2,064.3	\$312.6	\$3,518.2	\$3,651.2	\$3,088.9	\$562.3	\$844.5	\$868.8	\$781.4	\$87.2	-73.5%	-73.6%	-76.2%	-74.7%
OA	\$4,381.7	\$4,137.5	\$1,285.8	\$2,851.7	\$4,288.5	\$2,213.7	\$3,246.9	(\$1,033.2)	\$0.0	\$0.0	\$0.0	\$0.0			-100.0%	-100.0%
OPPE	\$1,014.8	\$932.9	\$902.0	\$30.9	\$1,008.7				\$0.0	\$0.0	\$0.0	\$0.0				
Executive Steering Committee					\$1,481.7											
Research	\$40,200.8	\$39,800.0	\$29,604.1	\$10,195.9	\$37,271.4	\$37,493.8	\$40,828.6	(\$3,334.8)	\$111,168.0	\$85,697.9	\$49,869.5	\$35,738.4	115.1%	68.5%	128.3%	22.1%
Inspector General	\$10,753.1	\$10,753.1	\$9,279.9	\$1,473.2	\$10,753.1	\$11,000.0	\$10,131.4	\$868.6	\$12,742.0	\$12,059.1	\$12,110.4	\$548.7	17.7%	30.5%	15.1%	19.5%
Fiscal Year Appropriation																
Total Superfund	\$2,003,287.1	\$1,406,798.8	\$0.0	\$1,061,243.5	\$1,411,688.8	\$1,233,981.9				\$1,176,125.7	\$1,188,398.3	(\$12,272.6)	-16.4%		-4.7%	
Response	\$1,641,257.3	\$1,061,243.5	\$0.0	\$1,061,243.5	\$1,055,333.3	\$894,800.9			\$0.0	\$824,468.3	\$848,774.9	(\$22,306.6)	-22.3%		-7.9%	
OSWER	\$1,516,428.9	\$912,868.5		\$912,868.5	\$1,053,055.0	\$752,520.7			\$0.0	\$811,571.5	\$834,069.2	(\$22,497.7)	-11.1%		7.8%	
OAR	\$2,290.7	\$2,375.0		\$2,375.0	\$2,278.3	\$2,280.2				\$2,218.8	\$2,092.7	\$126.1	-6.6%		-2.7%	
USCG	\$4,801.0	\$4,800.0		\$4,800.0		\$4,800.0				\$5,487.9	\$5,455.5	\$32.4	14.3%		14.3%	
FEMA	\$1,100.0	\$1,100.0		\$1,100.0		\$1,100.0				\$1,097.4	\$1,090.9	\$6.5	-0.2%		-0.2%	
NOAA	\$2,450.0	\$2,450.0		\$2,450.0		\$2,450.0				\$2,444.5	\$2,430.1	\$14.4	-0.2%		-0.2%	
DOI	\$1,000.0	\$1,000.0		\$1,000.0		\$1,000.0				\$997.7	\$991.8	\$5.9	-0.2%		-0.2%	
OSHA	\$660.0	\$650.0		\$650.0		\$650.0				\$648.5	\$644.7	\$3.8	-0.2%		-0.2%	
NIEHS	\$48,526.7	\$60,000.0		\$60,000.0		\$60,000.0				\$0.0	\$0.0	\$0.0	-100.0%		-100.0%	
ATSDR	\$64,000.0	\$76,000.0		\$76,000.0		\$70,000.0				\$0.0	\$0.0	\$0.0	-100.0%		-100.0%	
Enforcement	\$183,835.8	\$173,651.9	\$0.0	\$0.0	\$176,750.7	\$168,658.6	\$0.0		\$0.0	\$170,074.0	\$163,700.3	\$6,373.7	-2.1%		0.6%	
OECA	\$154,635.8	\$173,651.9			\$148,087.2	\$139,993.1				\$142,107.0	\$135,733.3	\$6,373.7	-18.2%		1.5%	
DOJ	\$29,000.0	\$0.0		\$28,663.5	\$28,663.5	\$28,663.5	\$0.0		\$28,150.0	\$27,967.0	\$27,967.0	\$0.0			-2.4%	
Management & Support	\$127,440.1	\$121,350.3	\$0.0	\$0.0	\$130,098.6	\$122,030.6	\$0.0			\$132,993.6	\$129,557.6	\$3,436.0	9.9%		9.0%	
OARM	\$90,007.9	\$88,849.5			\$93,718.8	\$78,035.1				\$84,658.2	\$84,658.3	(\$0.1)	-4.5%		0.5%	
OCFO	\$29,479.4	\$25,385.4			\$28,553.5	\$25,277.1				\$28,481.1	\$26,330.3	\$2,130.8	12.2%		12.6%	
OEI		\$0.0			\$0.0	\$14,410.7				\$19,035.3	\$17,791.0	\$1,244.3	7.2%		32.1%	
OGC	\$3,551.5	\$3,178.3			\$3,518.2	\$3,439.0				\$939.0	\$778.0	\$161.0	-73.8%		-75.6%	
OA	\$4,381.7	\$4,137.5			\$4,288.5	\$668.7				\$0.0	\$0.0	\$0.0	-100.0%		-100.0%	
OPPE	\$19.8	\$19.8			\$19.8	\$0.0				\$0.0	\$0.0	\$0.0	-100.0%		-100.0%	
Executive Steering Committee					\$1,481.7											
Research	\$40,200.8	\$39,800.0		\$0.0	\$37,271.4	\$37,493.8	\$27,953.6		\$38,168.0	\$35,932.7	\$40,460.0		-9.7%		-4.2%	44.7%
Inspector General	\$10,753.1	\$10,753.1		\$0.0	\$10,753.1	\$11,000.0	\$8,812.0			\$12,059.1	\$7,905.5		17.7%		-10.3%	

													% Change			
	FY 1999 Pres. Budget	FY1999 Op Plan	FY1999 Actuals	Difference (Op Plan Actuals)	FY 2000 Pres. Budget	FY2000 Op Plan	FY2000 Actuals	Difference (Op Plan - Actuals)	FY2003 Pres. Budget*	FY2003 Op Plan	FY2003 Actuals	Difference	1999 to 2003 Op Plan	1999 to 2003 Actuals	2000 to 2003 Op Plan	2000 to 2003 Actuals
Carryover																
Total Superfund						\$33,070.9				\$9,958.5	\$139,543.0	(\$129,584.5)				-69.9%
Response						\$22,400.7				\$1,187.4	\$110,720.8	(\$109,533.4)				-94.7%
OSWER						\$22,400.7				\$1,138.1	\$110,675.5	(\$109,537.4)				-94.5%
OAR						\$0.0				\$48.3	\$45.3	\$3.0				
Enforcement						\$5,174.4				\$5,586.5	\$10,119.7	(\$3,533.2)				27.3%
OECA						\$5,174.4				\$5,599.5	\$10,119.7	(\$3,533.2)				27.3%
Management & Support						\$5,495.8				\$2,184.8	\$5,088.1	(\$2,903.5)				-60.2%
OARM						\$2,351.3				\$839.4	\$3,574.4	(\$2,735.0)				-64.3%
OCFO						\$1,627.9				\$882.2	\$795.2	(\$87.0)				-84.6%
OEI						\$980.5				\$933.4	\$715.1	(\$218.3)				-25.4%
OGC						\$14.9				\$29.6	\$3.4	\$26.2				98.7%
OA						\$221.2										-100.0%
Research							\$12,875.0			\$0.0	\$9,409.5	(\$9,409.5)				-28.9%
Inspector General							\$1,318.4			\$0.0	\$4,204.9					215.7%
Homeland Security																
Total Superfund										\$88,488.4	\$9,925.8	\$78,562.6				
Response										\$39,042.5	\$9,525.8	\$29,516.9				
OSWER										\$38,042.5	\$9,525.8	\$28,516.9				
Enforcement										\$770.7	\$381.1	\$409.6				
OECA										\$770.7	\$381.1	\$409.6				
Management & Support											\$39.1					
OEI											\$39.1					
Research										\$75,000.0	\$49,875.2					
Brownfields																
Total Superfund	\$89,457.9	\$91,517.2			\$88,311.2	\$90,311.9	\$93,278.0	(\$2,966.1)					-1		-100.0%	-100.0%
Response	\$86,530.1	\$89,919.0			\$87,322.1	\$87,731.7	\$91,268.5	(\$3,536.8)					-1		-100.0%	-100.0%
OSWER	\$86,530.1	\$89,919.0			\$87,322.1	\$87,731.7	\$91,268.5	(\$3,536.8)					-100.0%		-100.0%	-100.0%
Enforcement	\$1,932.6	\$439.0			\$0.0	\$8.3	\$55.8	(\$49.5)					-1		-100.0%	-100.0%
OECA	\$1,932.6	\$439.0			\$0.0	\$8.3	\$55.8	(\$49.5)					-100.0%		-100.0%	-100.0%
Management & Support	\$995.2	\$1,159.2			\$989.1	\$2,573.9	\$1,953.7	\$620.2					-1		-100.0%	-100.0%
OARM		\$83.4				\$1,218.3	\$1,183.7	\$34.6					-100.0%		-100.0%	-100.0%
OCFO		\$53.9				\$200.1	\$185.9	\$14.2					-100.0%		-100.0%	-100.0%
OEI		\$0.0				\$15.2	\$19.8	(\$4.6)					-100.0%		-100.0%	-100.0%
OGC		\$98.6				\$118.5	\$29.0	\$87.5					-100.0%		-100.0%	-100.0%
OA		\$0.0				\$1,023.8	\$535.3	\$488.5					-100.0%		-100.0%	-100.0%
OPPE	\$995.2	\$913.3			\$989.1											
Brownfields Carryover																
Total Superfund						\$2,348.5										
Response						\$2,008.0										
OSWER						\$2,008.0										
Management & Support						\$338.5										
OARM						\$157.7										
OGC						\$80.8										
OA						\$100.0										

*FY 1999 Op Plan does not include carryover

*FY 2000 and 1999 Actuals include carryover, even though it is not broken out on the chart

*OEI was established in FY2000, and includes resources from the S&T, Superfund and IG appropriations

*Differences between Op Plan and Actuals are due to the obligation of carryover and / or prior year money that has been deobligated

* Management & Support does not include ORD and IG

*FY2000 Actuals include \$1,616.2 in Unallocated Agency funds that were added to the resources total Superfund total

*FY2003 President's Budget included \$19,967 in Unallocated Agency funds.

**Superfund Resource Breakout
National Programs
FTE***

	Difference (Op			Difference (Op			Difference (Op Plan - Actuals)	% Change					
	FY1999 Op Plan	FY1999 Actuals	Plan - Actuals)	FY 2000 Op Plan	FY 2000 Actuals	Plan - Actuals)		1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Op Plan	2000 to 2003 Actuals		
Total Superfund and Brownfields	3740.5	3648.2	92.3	3618.2	3551.7	66.5	3458.3	3424.9	33.4	-7.5%	-8.1%	-4.4%	-3.6%
ORD	124.9	128.4	-3.5	123.9	131.6	-7.7	140	137.2	2.8	12.1%	6.9%	13.0%	4.3%
IG	99	84.7	14.3	100	80.8	19.2	94.1	89.9	4.2	-4.9%	6.1%	-5.9%	11.3%
Response	1746.1	1700.7	45.4	1701.9	1711.2	-9.3	1607.1	1622.5	-15.4	-8.0%	-4.6%	-5.6%	-5.2%
OSWER	1733.1	1688.3	44.8	1686.6	1695.7	-9.2	1592.1	1607.1	-15	-8.1%	-4.8%	-5.6%	-5.2%
OAR	13	12.4	0.6	15.4	15.5	-0.1	15	15.4	-0.4	15.4%	24.2%	-2.6%	-0.6%
Enforcement	1164.4	1124.8	39.6	1144.9	1073.5	71.4	1129.1	1074.3	54.8	-3.0%	-4.5%	-1.4%	0.1%
Management & Support	606.1	609.6	-3.5	547.5	554.6	-7.1	488	501	-13	-19.5%	-17.8%	-10.9%	-9.7%
OARM	314.2	342.3	-28.1	237.8	246.6	-8.8	230.4	239.8	-9.4	-26.7%	-29.9%	-3.1%	-2.8%
OCFO	243.8	230.6	13.2	230.4	221.5	8.9	221	214.3	6.7	-9.4%	-7.1%	-4.1%	-3.3%
OEI	0	0	0	33.2	42	-8.8	32.2	42.4	-10.2				
OGC	30.4	24.9	5.5	30.3	24.8	5.5	4.4	4.5	-0.1	-85.5%	-81.9%	-85.5%	-81.9%
OA	11.8	7.2	4.6	15.8	19.7	-3.9							
OPPE	5.9	4.6	1.3	0	0	0							
Total Superfund	3651.7	3557.3	94.4	3532.2	3468.8	63.4	3458.3	3418.6	39.7	-5.3%	-3.9%	-2.1%	-1.4%
ORD	124.9	128.4	-3.5	123.9	131.6	-7.7	140	137.2	2.8	12.1%	6.9%	13.0%	4.3%
IG	99	84.7	14.3	100	80.8	19.2	94.1	89.9	4.2	-4.9%	6.1%	-5.9%	11.3%
Response	1672.2	1624.5	47.7	1626.1	1635.4	-9.3	1607.1	1616.2	-9.1	-3.9%	-0.5%	-1.2%	-1.2%
OSWER	1659.2	1612.1	47.1	1610.7	1619.9	-9.2	1592.1	1600.8	-8.7	-4.0%	-0.7%	-1.2%	-1.2%
OAR	13	12.4	0.6	15.4	15.5	-0.1	15	15.4	-0.4	15.4%	24.2%	-2.6%	-0.6%
Enforcement	1158.6	1115	43.6	1144.9	1072.7	72.2	1129.1	1074.3	54.8	-2.5%	-3.7%	-1.4%	0.1%
Management & Support	597	604.7	-7.7	537.3	548.3	-11	488	501	-13	-18.3%	-17.1%	-9.2%	-8.6%
OARM	312.9	342.3	-29.4	236.3	246.4	-10.1	230.4	239.8	-9.4	-26.4%	-29.9%	-2.5%	-2.7%
OCFO	243	230.6	12.4	228.9	221.3	7.6	221	214.3	6.7	-9.1%	-7.1%	-3.5%	-3.2%
OEI	0	0	0	33	42	-9	32.2	42.4	-10.2				
OGC	29.3	24.6	4.7	29.2	24.5	4.7	4.4	4.5	-0.1	-85.0%	-81.7%	-84.9%	-81.6%
OA	11.8	7.2	4.6	9.9	14.1	-4.2							
OPPE	0	0	0	0	0	0							
Total Brownfields	88.8	90.9	-2.1	88	82.9	3.1	0	0	0	-100.0%	-100.0%	-100.0%	-100.0%
ORD	0	0	0	0	0	0	0	0	0				
IG	0	0	0	0	0	0	0	0	0				
Response	73.9	76.2	-2.3	75.8	75.8	0	0	0	0	-100.0%	-100.0%	-100.0%	-100.0%
OSWER	73.9	76.2	-2.3	75.8	75.8	0	0	0	0	-100.0%	-100.0%	-100.0%	-100.0%
OAR	0	0	0	0	0	0	0	0	0				
Enforcement	5.8	9.8	-4	0	0.8	-0.8	0	0	0	-100.0%	-100.0%		
Management & Support	9.1	4.9	4.2	10.2	6.3	3.9	0	0	0	-100.0%	-100.0%		
OARM	1.3	0	1.3	1.5	0.2	1.3	0	0	0	-100.0%			
OCFO	0.8	0	0.8	1.5	0.2	1.3	0	0	0	-100.0%			
OEI	0	0	0	0.2	0	0.2	0	0	0				
OGC	1.1	0.3	0.8	1.1	0.3	0.8	0	0	0	-100.0%	-100.0%		
OA	0	0	0	5.9	5.6	0.3							
OPPE	5.9	4.6	1.3	0	0	0							

APPENDIX E: Superfund Resource Tables by Headquarters Offices

Superfund Resource and FTE Breakout
FY1999 thru FY2003
IG
Headquarters
(All \$ in Thousands)

													% Change			
	FY1999 Pres. Bud	FY1999 Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	FY2000 Operating Plan	FY2000 Actuals	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	FY2003 Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total		99.0	84.7	14.3		100.0	80.8	19.2		94.1	89.9	4.2	-4.9%	6.1%	-5.9%	11.3%
Superfund FTE		99.0	84.7	14.3		100.0	80.8	19.2		94.1	89.9	4.2	-4.9%	6.1%	-5.9%	11.3%
Brownfields FTE				0.0				0.0								
Resources Total	\$10,753.1	\$10,753.1	\$9,279.9	\$1,473.2	\$10,753.1	\$11,000.0	\$10,131.4	\$868.6	\$12,742.0	\$12,659.1	\$12,110.4	\$548.7	17.7%	30.5%	15.1%	19.5%
Payroll	\$0.0	\$8,205.0	\$7,092.8	\$1,112.2		\$7,433.9	\$7,264.0	\$169.9	\$0.0	\$10,208.7	\$9,543.3	\$665.4	24.4%	34.5%	37.3%	31.4%
Travel	\$0.0	\$496.0	\$294.1	\$201.9		\$635.3	\$548.8	\$86.5		\$555.0	\$629.7	(\$74.7)	11.9%	114.1%	-12.6%	14.7%
Contracts / Grants	\$0.0	\$1,542.9	\$1,351.5	\$191.4		\$2,061.6	\$1,323.8	\$737.8	\$0.0	\$1,283.4	\$1,077.5	\$205.9	-16.8%	-20.3%	-37.7%	-18.6%
Other	\$0.0	\$509.2	\$541.5	(\$32.3)		\$869.2	\$994.8	(\$125.6)	\$0.0	\$612.0	\$859.9	(\$247.9)	20.2%	58.8%	-29.6%	-13.6%
Fiscal Year Appropriation		\$10,753.1				\$11,000.0	\$8,812.0	\$2,188.0			\$7,905.5					-10.3%
Payroll		\$8,205.0				\$7,433.9	\$6,853.8	\$580.1			\$7,370.4					7.5%
Travel		\$496.0				\$635.3	\$269.6	\$365.7			\$184.5					-31.6%
Contracts / Grants		\$1,542.9				\$2,061.6	\$1,181.8	\$879.8			\$127.2					-89.2%
Other		\$509.2				\$869.2	\$506.8	\$362.4			\$223.4					-55.9%
Carryover							\$1,319.4				\$4,204.9					
Payroll							\$410.2				\$2,172.9					
Travel							\$279.2				\$445.2					
Contracts / Grants							\$142.0				\$950.3					
Other							\$488.0				\$636.5					
Homeland Security																
Payroll																
Travel																
Contracts / Grants																
Other																
Brownfields																
Payroll																
Travel																
Contracts / Grants																
Other																
Brownfields Carryover																
Payroll																
Travel																
Contracts / Grants																
Other																

*Resources Total for FY 1999, 2000, and 2003 Operating Plan includes all the resources in the N2 Superfund IG transfer sub-appropriation of the IG appropriation

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

Superfund Resource and FTE Breakout
FY1999 thru FY2003
OA
Headquarters
(All \$ in Thousands)

	FY1999				FY2000				FY2003				% Change	
	FY1999 Pres. Bud	Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	Operating Plan	FY2000 Actuals	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals
FTE Total		11.8	5.9	5.9		15.8	19.7	(3.9)					-100.0%	-100.0%
<i>Superfund FTE</i>		11.8	5.9	5.9		9.9	14.1	(4.2)					-100.0%	-100.0%
<i>Brownfields FTE</i>						5.9	5.6	0.3						
Resources Total	\$1,381.7	\$1,028.2	\$567.4	\$460.8	\$1,288.5	\$2,213.7	\$1,726.7	\$487.0						-100.0%
<i>Payroll</i>		\$982.7	\$541.9	\$440.8		\$1,293.4	\$1,207.5	\$85.9						-100.0%
<i>Travel</i>		\$25.6	\$5.1	\$20.5		\$36.1	\$16.0	\$20.1						-100.0%
<i>Contracts / Grants</i>			\$0.0	\$0.0		\$629.4	\$398.4	\$231.0						#DIV/0!
<i>Other</i>		\$19.9	\$20.4	(\$0.5)		\$254.8	\$104.8	\$150.0						-100.0%
Fiscal Year Appropriation		\$1,028.2				\$868.7								
<i>Payroll</i>		\$982.7				\$810.4								
<i>Travel</i>		\$25.6				\$25.6								
<i>Contracts / Grants</i>						\$0.0								
<i>Other</i>		\$19.9				\$32.7								
Carryover						\$321.2								
<i>Payroll</i>														
<i>Travel</i>														
<i>Contracts / Grants</i>						\$100.0								
<i>Other</i>						\$221.2								
Homeland Security														
<i>Payroll</i>														
<i>Travel</i>														
<i>Contracts / Grants</i>														
<i>Other</i>														
Brownfields						\$1,023.8	\$535.3							
<i>Payroll</i>						\$483.0	\$121.9							
<i>Travel</i>						\$10.5	\$4.5							
<i>Contracts / Grants</i>						\$529.4	\$398.3							
<i>Other</i>						\$0.9	\$10.6							
Brownfields Carryover						\$0.0								
<i>Payroll</i>														
<i>Travel</i>														
<i>Contracts / Grants</i>														
<i>Other</i>														

*Fiscal Year Appropriation does not include Brownfields

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*FY 1999 Operating Plan does not include carryover

*FY 2000 and 1999 Actuals include carryover, even though it is not broken out on the chart

Superfund Resource and FTE Breakout
FY1999 thru FY2003
OAR
Headquarters
(All \$ in Thousands)

													% Change			
	FY1999 Pres. Bud	FY1999 Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	FY2000 Operating Plan	FY2000 Actuals	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	FY2003 Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total		12.0	12.3	(0.3)		15.4	15.5	(0.1)		15.0	15.4	(0.4)	25.0%	25.2%	-2.6%	-0.6%
<i>Superfund FTE</i>		12.0	12.3	(0.3)		15.4	15.5	(0.1)		15.0	15.4	(0.4)	25.0%	25.2%	-2.6%	-0.6%
<i>Brownfields FTE</i>																
Resources Total	\$2,290.7	\$2,290.7	\$2,190.9	\$99.8	\$2,278.3	\$2,277.2	\$2,184.4	\$92.8	\$2,234.3	\$2,264.3	\$2,138.0	\$126.3	-1.2%	-2.4%	-0.6%	-2.1%
<i>Payroll</i>	\$0.0	\$949.9	\$952.9	(\$3.0)		\$1,180.4	\$1,251.3	(\$70.9)	\$0.0	\$1,443.8	\$1,442.2	\$1.6	52.0%	51.3%	22.3%	15.3%
<i>Travel</i>	\$0.0	\$99.8	\$97.3	\$2.5		\$99.8	\$84.9	\$14.9		\$99.0	\$89.8	\$9.2	-0.8%	-7.7%	-0.8%	5.8%
<i>Contracts / Grants</i>	\$0.0	\$1,141.0	\$691.0	\$450.0		\$897.0	\$590.8	\$306.2	\$0.0	\$522.7	\$429.8	\$92.9	-54.2%	-37.8%	-41.7%	-27.3%
<i>Other</i>	\$0.0	\$100.0	\$449.7	(\$349.7)		\$100.0	\$257.4	(\$157.4)	\$0.0	\$198.8	\$176.2	\$22.6	98.8%	-60.8%	98.8%	-31.5%
Fiscal Year Appropriation	\$2,290.7	\$2,290.7				\$2,277.2			\$2,231.5	\$2,216.0	\$2,092.7	\$123.3	-3.3%		-2.7%	
<i>Payroll</i>		\$949.9				\$1,180.4				\$1,443.8	\$1,442.2	\$1.6	52.0%		22.3%	
<i>Travel</i>		\$99.8				\$99.8				\$99.0	\$89.8	\$9.2	-0.8%		-0.8%	
<i>Contracts / Grants</i>		\$1,141.0				\$897.0				\$474.4	\$384.9	\$89.5	-58.4%		-47.1%	
<i>Other</i>		\$100.0				\$100.0				\$198.8	\$175.8	\$23.0	98.8%		98.8%	
Carryover										\$48.3	\$45.3	\$3.0				
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>										\$48.3	\$44.9	\$3.4				
<i>Other</i>											\$0.4	(\$0.4)				
Homeland Security																
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																
Brownfields																
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																
Brownfields Carryover																
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																

*FY 2000 and 1999 Actuals include carryover, even though it is not broken out on the chart

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*Fiscal Year Appropriation does not include Brownfields

Superfund Resource and FTE Breakout
FY1999 thru FY2003
OARM
Headquarters
(All \$ in Thousands)

	FY1999				FY2000				FY2003				% Change			
	FY1999 Pres. Bud	FY1999 Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	FY2000 Operating Plan	FY2000 Actuals	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	FY2003 Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total		115.6	114.8	0.8		109.2	103.0	6.2		105.9	113.8	(7.9)	-8.4%	-0.9%	-3.0%	10.5%
<i>Superfund FTE</i>		115.6	114.8	0.8		108.7	103.0	5.7		105.9	113.8	(7.9)	-8.4%	-0.9%	-2.6%	10.5%
<i>Brownfields FTE</i>						0.5									-100.0%	
Resources Total	\$59,946.1	\$57,484.3	\$56,617.4	\$866.9	\$63,859.9	\$59,034.1	\$58,933.6	\$100.5	\$64,166.1	\$62,817.2	\$64,776.8	(\$1,959.6)	9.3%	14.4%	6.4%	9.9%
<i>Payroll</i>	\$0.0	\$10,037.7	\$9,951.7	\$86.0	\$0.0	\$9,026.8	\$9,636.3	(\$609.5)		\$12,212.3	\$11,988.0	\$224.3	21.7%	20.5%	35.3%	24.4%
<i>Travel</i>	\$0.0	\$206.7	\$176.9	\$29.8	\$0.0	\$210.2	\$188.8	\$21.4		\$262.6	\$234.7	\$27.9	27.0%	32.7%	24.9%	24.3%
<i>Contracts / Grants</i>	\$0.0	\$8,131.5	\$6,257.3	\$1,874.2	\$0.0	\$6,192.8	\$4,986.5	\$1,206.3		\$48,675.8	\$7,022.1	\$41,653.7	498.6%	12.2%	686.0%	40.8%
<i>Other</i>	\$0.0	\$39,108.4	\$40,231.5	(\$1,123.1)	\$0.0	\$43,604.3	\$44,122.0	(\$517.7)		\$1,686.5	\$45,532.0	(\$43,865.5)	-95.7%	13.2%	-96.2%	3.2%
Fiscal Year Appropriation		\$57,484.3				\$57,421.8				\$62,817.2	\$61,952.1	\$865.1	9.3%		9.4%	
<i>Payroll</i>		\$10,037.7				\$8,987.9				\$12,212.3	\$11,988.0	\$224.3	21.7%		35.9%	
<i>Travel</i>		\$206.7				\$196.0				\$262.6	\$234.7	\$27.9	27.0%		34.0%	
<i>Contracts / Grants</i>		\$8,131.5				\$6,161.3				\$48,675.8	\$4,929.4	\$43,746.4	498.6%		690.0%	
<i>Other</i>		\$39,108.4				\$42,076.6				\$1,666.5	\$44,800.0	(\$43,133.5)	-95.7%		-96.0%	
Carryover						\$490.0				\$0.0	\$2,824.7	(\$2,824.7)			-100.0%	
<i>Payroll</i>															#DIV/0!	
<i>Travel</i>						\$14.2						\$0.0			-100.0%	
<i>Contracts / Grants</i>											\$2,092.7	(\$2,092.7)			#DIV/0!	
<i>Other</i>						\$475.8					\$732.0	(\$732.0)			-100.0%	
Homeland Security																
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																
Brownfields		\$0.0				\$1,122.3	\$1,082.9									
<i>Payroll</i>						\$38.9										
<i>Travel</i>																
<i>Contracts / Grants</i>						\$31.5	\$30.4									
<i>Other</i>						\$1,051.9	\$1,052.5									
Brownfields Carryover						\$0.0										
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																

*FY 2000 and 1999 Actuals include carryover, even though it is not broken out on the chart

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

* Difference between FY2000 and FY 2003 primarily reflects the establishment of the Office of Environmental Information in FY2000

*Rent for 1999 was \$34,349.9 thousand. Rent for FY2003 was \$42,651.7 thousand. That is an increase of \$8,301.8 thousand and 24.2%.

*Fiscal Year Appropriation does not include Brownfields

Superfund Resource and FTE Breakout
FY1999 thru FY2003
OCFO
Headquarters
(All \$ In Thousands)

													% Change			
	FY1999 Pres. Bud	FY1999 Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	FY2000 Operating Plan	FY2000 Actuals	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	FY2003 Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total		84.7	90.6	(5.9)		81.3	83.5	(2.2)		76.9	76.3	0.6	-9.2%	-15.8%	-5.4%	-8.6%
<i>Superfund FTE</i>		84.7	90.6	(5.9)		80.5	83.5	(3.0)		76.9	76.3	0.6	-9.2%	-15.8%	-4.5%	-8.6%
<i>Brownfields FTE</i>				0.0			0.8	0.8							-100.0%	#DIV/0!
Resources Total	\$16,704.2	\$14,803.4	\$14,029.1	\$774.3	\$15,805.7	\$15,183.2	\$14,005.7	\$1,177.5	\$14,221.7	\$14,637.2	\$13,750.6	\$886.6	-1.1%	-2.0%	-3.6%	-1.8%
<i>Payroll</i>		\$6,806.5	\$6,537.3	\$269.2		\$6,455.5	\$6,541.6	(\$86.1)		\$7,149.2	\$6,809.3	\$339.9	5.0%	4.2%	10.7%	4.1%
<i>Travel</i>		\$76.0	\$74.3	\$1.7		\$80.3	\$76.5	\$3.8		\$74.5	\$78.5	(\$4.0)	-2.0%	5.7%	-7.2%	2.6%
<i>Contracts / Grants</i>		\$2,053.3	\$2,819.3	(\$766.0)		\$3,723.9	\$3,433.1	\$290.8		\$2,738.0	\$3,224.7	(\$486.7)	33.3%	14.4%	-26.5%	-6.1%
<i>Other</i>		\$5,867.6	\$4,598.2	\$1,269.4		\$4,923.5	\$3,954.5	\$969.0		\$4,675.5	\$3,638.1	\$1,037.4	-20.3%	-20.9%	-5.0%	-8.0%
Fiscal Year Appropriation		\$14,803.4				\$13,921.8				\$14,051.4	\$12,955.4	\$1,096.0	-5.1%		0.9%	
<i>Payroll</i>		\$6,806.5				\$6,399.9				\$7,149.2	\$6,809.3	\$339.9	5.0%		11.7%	
<i>Travel</i>		\$76.0				\$77.3				\$74.5	\$78.5	(\$4.0)	-2.0%		-3.6%	
<i>Contracts / Grants</i>		\$2,053.3				\$2,585.5				\$2,152.2	\$2,499.5	(\$347.3)	4.8%		-16.8%	
<i>Other</i>		\$5,867.6				\$4,859.1				\$4,675.5	\$3,568.1	\$1,107.4	-20.3%		-3.8%	
Carryover						\$1,109.2				\$585.8	\$795.2	(\$209.4)			-47.2%	
<i>Payroll</i>						\$3.0						\$0.0			#DIV/0!	
<i>Travel</i>						\$1,106.2				\$585.8	\$725.2	(\$139.4)			-47.0%	
<i>Contracts / Grants</i>											\$70.0	(\$70.0)			#DIV/0!	
<i>Other</i>																
Homeland Security																
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																
Brownfields		\$0.0				\$152.2	\$134.1									
<i>Payroll</i>						\$55.6	\$37.1									
<i>Travel</i>																
<i>Contracts / Grants</i>						\$32.2	\$48.0									
<i>Other</i>						\$64.4	\$49.0									
Brownfields Carryover																
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																

*FY 2000 and 1999 Actuals include carryover, even though it is not broken out on the chart

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*Fiscal Year Appropriation does not include Brownfields

Superfund Resource and FTE Breakout
FY1999 thru FY2003
OECA
Headquarters
(All \$ in Thousands)

													% Change			
	FY1999 Pres. Bud	FY1999 Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	FY2000 Operating Plan	FY2000 Actuals*	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	FY2003 Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total	199.3	218.5	218.5	(19.2)	203.3	199.2	199.2	4.1	203.8	204.4	204.4	(0.6)	2.3%	-6.5%	0.2%	2.6%
<i>Superfund FTE</i>	199.3		218.5	(19.2)	203.3		199.2	4.1	203.8		204.4	(0.6)	2.3%	-6.5%	0.2%	2.6%
<i>Brownfields FTE</i>																
Resources Total	\$62,701.0	\$61,488.1	\$65,322.3	(\$3,834.2)	\$176,750.7	\$74,663.2	\$60,695.1	\$13,968.1	\$77,051.6	\$71,004.4	\$60,009.1	\$10,995.3	15.5%	-8.1%	-4.9%	-1.1%
<i>Payroll</i>		\$17,201.2	\$19,134.2	(\$1,933.0)		\$18,642.3	\$18,630.6	\$11.7		\$22,211.0	\$23,158.4	(\$947.4)	29.1%	21.0%	19.1%	24.3%
<i>Travel</i>		\$935.6	\$746.2	\$189.4		\$937.1	\$618.0	\$319.1		\$926.8	\$819.7	\$107.1	-0.9%	9.8%	-1.1%	32.6%
<i>Contracts / Grants</i>		\$9,050.4	\$12,423.1	(\$3,372.7)		\$21,740.5	\$8,863.2	\$12,877.3		\$13,462.5	\$4,455.8	\$9,006.7	48.8%	-64.1%	-38.1%	-49.7%
<i>Other</i>		\$5,300.9	\$4,018.8	\$1,282.1		\$4,679.8	\$3,919.8	\$760.0		\$6,437.1	\$3,608.2	\$2,828.9	21.4%	-10.2%	37.6%	-7.9%
<i>DOJ</i>		\$29,000.0	\$29,000.0	\$0.0	\$28,663.5	\$28,663.5	\$28,663.5	\$0.0	\$28,150.0	\$27,967.0	\$27,967.0	\$0.0	-3.6%	-3.6%	-2.4%	-2.4%
Fiscal Year Appropriation	\$62,200.9	\$61,488.1			\$0.0	\$70,888.8			\$64,417.9	\$59,069.1	\$53,348.8		4.8%		-9.1%	
<i>Payroll</i>		\$17,201.2				\$18,642.3				\$22,211.0	\$22,935.5	(\$724.5)	29.1%		19.1%	
<i>Travel</i>		\$935.6				\$937.1				\$926.8	\$689.4	\$237.4	-0.9%		-1.1%	
<i>Contracts / Grants</i>		\$9,050.4				\$18,040.5				\$7,376.0	\$4,375.7	\$3,000.3	-18.5%		-59.1%	
<i>Other</i>		\$5,300.9				\$4,605.4				\$5,937.1	\$3,101.5	\$2,835.6	12.0%		28.9%	
<i>DOJ Transfer</i>	\$29,663.5	\$29,000.0			\$28,663.5	\$28,663.5		\$28,663.5	\$28,150.0	\$27,967.0	\$27,967.0	\$0.0	-3.6%		-2.4%	
Carryover					\$3,774.4				\$6,586.5	\$578.9	\$6,007.6					
<i>Payroll</i>												\$0.0				
<i>Travel</i>												\$6,007.6				
<i>Contracts / Grants</i>						\$3,700.0				\$6,086.5	\$78.9	\$6,007.6				
<i>Other</i>						\$74.4				\$500.0	\$500.0	\$0.0				
Homeland Security										\$0.0	\$361.1	(\$361.1)				
<i>Payroll</i>											\$222.9	(\$222.9)				
<i>Travel</i>											\$130.3	(\$130.3)				
<i>Contracts / Grants</i>											\$1.2	(\$1.2)				
<i>Other</i>											\$6.7	(\$6.7)				
Brownfields	\$500.1															
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																

* Carryover data is not included in the Resources Total for FY 1999 Operating Plan

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*DOJ Transfer taken out of Contracts / Grants line

*FY 2000 and 1999 Actuals include carryover, even though it is not broken out on the chart

*Fiscal Year Appropriation does not include Brownfields

Superfund Resource and FTE Breakout
FY1999 thru FY2003
OEI*
Headquarters
(All \$ in Thousands)

(All \$ in thousands)												% Change				
	FY1999 Pres. Bud	FY1999 Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	FY2000 Operating Plan	FY2000 Actuals	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	FY2003 Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total						4.6	3.8	0.8		4.5	4.8	(0.3)	N/A	N/A	-2.2%	26.3%
Superfund FTE						4.6	3.8	0.8		4.5	4.8	(0.3)	N/A	N/A	-2.2%	26.3%
Brownfields FTE													N/A	N/A		
Resources Total						\$4,438.0	\$1,453.3	\$2,984.7	\$8,987.9	\$8,838.2	\$7,559.8	\$1,278.4	N/A	N/A	99.1%	420.2%
Payroll						\$425.2	\$374.6	\$50.6		\$526.9	\$532.0	(\$5.1)	N/A	N/A	23.9%	42.0%
Travel						\$17.4	\$4.8	\$12.6		\$13.3	\$7.6	\$5.7	N/A	N/A	-23.6%	58.3%
Contracts / Grants						\$3,969.2	\$1,049.8	\$2,919.4		\$6,712.6	\$5,489.4	\$1,223.2	N/A	N/A	69.1%	422.9%
Other						\$26.2	\$24.1	\$2.1		\$1,585.4	\$1,530.8	\$54.6	N/A	N/A	5951.1%	6251.9%
Fiscal Year Appropriation						\$4,126.8				\$8,818.6	\$7,501.1	\$1,317.5	N/A		113.7%	
Payroll						\$425.2				\$526.9	\$532.0	(\$5.1)	N/A		23.9%	
Travel						\$13.4				\$13.3	\$7.6	\$5.7	N/A		-0.7%	
Contracts / Grants						\$3,662.0				\$6,698.5	\$5,450.3	\$1,248.2	N/A		82.9%	
Other						\$26.2				\$1,581.9	\$1,511.2	\$70.7	N/A		5937.8%	
Carryover						\$311.2				\$19.6	\$19.6	\$0.0			-93.7%	
Payroll															#DIV/0!	
Travel						\$4.0						\$0.0			-100.0%	
Contracts / Grants						\$307.2				\$16.1		\$16.1			-94.8%	
Other										\$3.5	\$19.6	(\$16.1)			#DIV/0!	
Homeland Security											\$39.1	(\$39.1)				
Payroll												\$0.0				
Travel												\$0.0				
Contracts / Grants											\$39.1	(\$39.1)				
Other												\$0.0				
Brownfields						\$0.0	\$0.0	\$0.0								
Payroll								\$0.0								
Travel								\$0.0								
Contracts / Grants																
Other																
Brownfields Carryover																
Payroll																
Travel																
Contracts / Grants																
Other																

*The Office of Environmental Information was established in FY 2000
 *All Data was extracted from BAS
 *Travel does not include site travel, which is included in Other
 *FY 2000 Actuals include carryover, even though it is not broken out on the charts
 *Fiscal Year Appropriation does not include Brownfields

Superfund Resource and FTE Breakout
FY1999 thru FY2003
OGC
Headquarters
(All \$ in Thousands)

													% Change			
	FY1999 Pres. Bud	FY1999 Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	FY2000 Operating Plan	FY2000 Actuals	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	FY2003 Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total		8.2	6.9	1.3		8.2	6.6	1.6		4.4	4.5	(0.1)	-46.3%	-34.8%	-46.3%	-31.8%
<i>Superfund FTE</i>		8.2	6.9	1.3		8.2	6.6	1.6		4.4	4.5	(0.1)	-46.3%	-34.8%	-46.3%	-31.8%
<i>Brownfields FTE</i>																
Resources Total	\$1,324.1	\$1,279.7	\$1,286.3	(\$6.6)	\$1,290.8	\$1,327.9	\$1,281.0	\$46.9	\$844.5	\$868.6	\$781.0	\$87.6	-32.1%	-39.3%	-34.6%	-39.0%
<i>Payroll</i>		\$878.4	\$757.2	\$121.2		\$964.5	\$777.6	\$186.9		\$621.9	\$653.4	(\$31.5)	-29.2%	-13.7%	-35.5%	-16.0%
<i>Travel</i>		\$5.7	\$9.1	(\$3.4)		\$23.2	\$9.6	\$13.6		\$25.7	\$2.8	\$22.9	350.9%	-69.2%	10.8%	-70.8%
<i>Contracts / Grants</i>		\$369.8	\$469.8	(\$100.0)		\$300.2	\$454.8	(\$154.6)		\$167.7	\$80.0	\$87.7	-54.7%	-83.0%	-44.1%	-82.4%
<i>Other</i>		\$25.8	\$50.2	(\$24.4)		\$40.0	\$39.0	\$1.0		\$53.3	\$44.8	\$8.5	106.6%	-10.8%	33.3%	14.9%
Fiscal Year Appropriation	\$1,279.7				\$1,286.2				\$839.0	\$777.6	\$61.4		-34.4%		-34.8%	
<i>Payroll</i>		\$878.4				\$964.5				\$621.9	\$653.4	(\$31.5)	-29.2%		-35.5%	
<i>Travel</i>		\$5.7				\$5.7				\$5.7	\$0.5	\$5.2	0.0%		0.0%	
<i>Contracts / Grants</i>		\$369.8				\$276.0				\$167.7	\$80.0	\$87.7	-54.7%		-39.2%	
<i>Other</i>		\$25.8				\$40.0				\$43.7	\$43.7	\$0.0	69.4%		9.3%	
Carryover					\$41.7				\$29.6	\$3.4	\$26.2				-29.0%	
<i>Payroll</i>																
<i>Travel</i>						\$17.5				\$20.0	\$2.3	\$17.7			#DIV/0!	14.3%
<i>Contracts / Grants</i>						\$24.2				\$9.6	\$1.1	\$8.5			-100.0%	
<i>Other</i>																
Homeland Security																
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																
Brownfields	\$0.0				\$0.0	\$0.0										
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																
Brownfields Carryover					\$0.0											
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																

*FY 2000 and 1999 Actuals include carryover, even though it is not broken out on the chart

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*Fiscal Year Appropriation does not include Brownfields

Superfund Resource and FTE Breakout
FY1999 thru FY2003
OPPE
Headquarters
(All \$ In Thousands)

	FY1999				FY2000				FY2003				% Change	
	FY1999 Pres. Bud	Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	Operating Plan	FY2000 Actuals	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals
FTE Total		5.9	4.6	1.3									-100.0%	-100.0%
<i>Superfund FTE</i>		0.0	0.0	0.0										
<i>Brownfields FTE</i>		5.9	4.6	1.3									-100.0%	-100.0%
Resources Total	\$1,014.8	\$932.9	\$902.0	\$30.9	\$1,008.7								-100.0%	-100.0%
<i>Payroll</i>	\$0.0	\$378.4	\$367.0	\$11.4									-100.0%	-100.0%
<i>Travel</i>	\$0.0	\$10.5	\$11.5	(\$1.0)									-100.0%	-100.0%
<i>Contracts / Grants</i>	\$0.0	\$516.9	\$522.7	(\$5.8)									-100.0%	-100.0%
<i>Other</i>	\$0.0	\$27.1	\$0.8	\$26.3									-100.0%	-100.0%
Fiscal Year Appropriation	\$19.6	\$19.6												
<i>Payroll</i>		\$0.0												
<i>Travel</i>		\$0.0												
<i>Contracts / Grants</i>		\$0.0												
<i>Other</i>		\$19.6												
Carryover														
<i>Payroll</i>														
<i>Travel</i>														
<i>Contracts / Grants</i>														
<i>Other</i>														
Homeland Security														
<i>Payroll</i>														
<i>Travel</i>														
<i>Contracts / Grants</i>														
<i>Other</i>														
Brownfields	\$995.2	\$913.3			\$989.1									
<i>Payroll</i>		\$378.4												
<i>Travel</i>		\$10.5												
<i>Contracts / Grants</i>		\$516.9												
<i>Other</i>		\$7.5												
Brownfields Carryover														
<i>Payroll</i>														
<i>Travel</i>														
<i>Contracts / Grants</i>														
<i>Other</i>														

*Fiscal Year Appropriation does not include Brownfields

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*FY1999 Operating Plan does not include carryover

*FY 2000 and 1999 Actuals include carryover, even though it is not broken out on the chart

Superfund Resource and FTE Breakout
FY1999 thru FY2003
ORD
Headquarters
(All \$ in Thousands)

													% Change			
	FY1999 Pres. Bud	FY1999 Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	FY2000 Operating Plan	FY2000 Actuals	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	FY2003 Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2003 to 2000 Operating Plan	2003 to 2000 Actuals
FTE Total		124.9	128.4	(3.5)		123.9	131.6	(7.7)		140.0	137.2	2.8	12.1%	6.9%	13.0%	4.3%
<i>Superfund FTE</i>		124.9	128.4	(3.5)		123.9	131.6	(7.7)		140.0	137.2	2.8	12.1%	6.9%	13.0%	4.3%
Resources Total	\$40,200.8	\$39,800.0	\$29,604.1	\$10,195.9	\$37,271.4	\$37,493.8	\$40,828.6	(\$3,334.8)	\$111,168.0	\$85,607.9	\$49,869.5	\$35,738.4		68.5%	128.3%	22.1%
<i>Payroll</i>	\$0.0	\$10,700.7	\$10,301.4	\$399.3	\$0.0	\$10,578.2	\$11,111.8	(\$533.6)	\$0.0	\$14,109.8	\$14,650.8	(\$541.0)		42.2%	33.4%	31.8%
<i>Travel</i>	\$0.0	\$327.8	\$295.6	\$32.2	\$0.0	\$422.4	\$421.4	\$1.0		\$567.8	\$638.0	(\$70.2)		116%	34%	51%
<i>Contracts / Grants</i>	\$0.0	\$26,744.4	\$17,859.4	\$8,885.0	\$0.0	\$24,314.1	\$26,484.2	(\$2,150.1)	\$0.0	\$65,270.7	\$31,807.1	\$33,463.6		78%	168%	20%
<i>Other</i>	\$0.0	\$2,027.1	\$1,147.7	\$879.4	\$0.0	\$2,179.1	\$2,831.2	(\$652.1)	\$0.0	\$5,659.6	\$2,773.6	\$2,886.0		142%	160%	-2%
Fiscal Year Appropriation		\$39,800.0				\$37,493.8	\$27,953.6	\$9,540.2	\$36,168.0	\$35,932.7	\$40,460.0	(\$4,527.3)	-10%		-4%	45%
<i>Payroll</i>		\$10,700.7				\$10,578.2	\$10,717.9	(\$139.7)		\$11,029.9	\$14,146.3	(\$3,116.4)		3%	4%	32%
<i>Travel</i>		\$327.8				\$422.4	\$390.8	\$31.6		\$369.1	\$571.3	(\$202.2)		13%	-13%	46%
<i>Contracts / Grants</i>		\$26,744.4				\$24,314.1	\$15,121.4	\$9,192.7		\$18,903.9	\$23,330.6	(\$4,426.7)		-29%	-22%	54%
<i>Other</i>		\$2,027.1				\$2,179.1	\$1,723.5	\$455.6		\$5,629.8	\$2,411.8	\$3,218.0		178%	158%	40%
Carryover						\$12,875.0				\$0.0	\$9,409.5	(\$9,409.5)				
<i>Payroll</i>						\$393.9					\$504.5	(\$504.5)				
<i>Travel</i>						\$30.6					\$66.7	(\$66.7)				
<i>Contracts / Grants</i>						\$11,342.8					\$8,476.5	(\$8,476.5)				
<i>Other</i>						\$1,107.7					\$361.8	(\$361.8)				
Homeland Security									\$75,000.0	\$49,675.2						
<i>Payroll</i>										\$3,079.9						
<i>Travel</i>										\$198.7						
<i>Contracts / Grants</i>										\$46,366.8						
<i>Other</i>										\$29.8						
Brownfields																
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																
Brownfields Carryover																
<i>Payroll</i>																
<i>Travel</i>																
<i>Contracts / Grants</i>																
<i>Other</i>																

*FY 2000 and 1999 Actuals include carryover, even though it is not broken out on the chart

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*Resources Total for FY 1999 and 2000 Operating Plan includes all the resources in the C3 Superfund research transfer sub-appropriation of the S&T appropriation

*FY 1999 Actuals includes \$2,647 and that was spent in the Superfund Appropriation

*FY 2003 includes \$390.3 that was spent in the Superfund appropriation

Superfund Resource and FTE Breakout
FY1999 thru FY2003
OSWER
Headquarters
(All \$ in Thousands)

	FY1999				FY2000				FY2003				% Change			
	FY1999 Pres. Bud	FY1999 Operating Plan	FY1999 Actuals	Difference (OP Plan - Actuals)	FY2000 Pres. Bud	FY2000 Operating Plan	FY2000 Actuals	Difference (OP Plan - Actuals)	FY2003 Pres. Bud	FY2003 Operating Plan	FY2003 Actuals	Difference (OP Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total		310.3	253.0	57.3		243.6	239.4	4.2		248.2	238.8	11.4	-20.0%	-6.4%	1.8%	-1.1%
Superfund FTE		293.3	235.6	57.7		226.6	224.0	2.6		248.2	236.8	11.4	-16.4%	6.5%	8.5%	5.7%
Brownfields FTE		17.0	17.4	(0.4)		17.0	15.4	1.6				0.0	-100.0%	-100.0%	-100.0%	-111.1%
Resources Total	\$318,828.5	\$316,259.9	\$243,311.7	\$72,948.2	\$296,421.0	\$253,642.3	\$255,125.8	(\$1,483.5)	\$840,398.1	\$155,238.3	\$155,683.4	(\$445.1)	-50.9%	-36.0%	-38.8%	-33.0%
Payroll	\$0.0	\$21,378.8	\$21,560.0	(\$181.2)	\$0.0	\$22,810.4	\$22,092.7	\$517.7		\$26,445.8	\$26,484.0	(\$38.4)	23.7%	22.8%	17.0%	19.9%
Travel	\$0.0	\$1,184.5	\$1,077.4	\$107.1	\$0.0	\$1,191.4	\$1,100.8	\$90.6		\$1,343.7	\$1,578.9	(\$235.2)	13.4%	46.5%	12.8%	43.5%
Contracts / Grants	\$0.0	\$138,651.0	\$69,653.5	\$68,997.5	\$0.0	\$82,947.1	\$83,886.8	(\$738.7)		\$111,451.2	\$105,009.6	\$6,441.6	-19.6%	50.8%	34.4%	25.5%
Other	\$0.0	\$9,045.6	\$5,020.8	\$4,024.8	\$0.0	\$8,893.4	\$8,246.7	(\$1,353.3)		\$5,321.8	\$11,997.9	(\$6,676.1)	-41.2%	139.0%	-22.5%	45.5%
USCG Transfer	\$4,801.0	\$4,800.0	\$4,800.0	\$0.0		\$4,800.0	\$4,800.0	\$0.0		\$5,487.9	\$5,455.5	\$32.4	14.3%	13.7%	14.3%	11.7%
FEMA Transfer	\$1,100.0	\$1,100.0	\$1,100.0	\$0.0		\$1,100.0	\$1,100.0	\$0.0		\$1,097.4	\$1,090.9	\$6.5	-0.2%	-0.8%	-0.2%	-0.6%
NOAA Transfer	\$2,932.0	\$2,450.0	\$2,450.0	\$0.0		\$2,450.0	\$2,450.0	\$0.0		\$2,444.5	\$2,430.1	\$14.4	-0.2%	-0.8%	-0.2%	-0.8%
DOI Transfer	\$1,000.0	\$1,000.0	\$1,000.0	\$0.0		\$1,000.0	\$1,000.0	\$0.0		\$997.7	\$991.8	\$5.9	-0.2%	-0.8%	-0.2%	-0.8%
OSHA Transfer	\$660.0	\$650.0	\$650.0	\$0.0		\$650.0	\$650.0	\$0.0		\$648.5	\$644.7	\$3.8	-0.2%	-0.8%	-0.2%	-0.8%
NIEHS Transfer	\$48,526.7	\$60,000.0	\$60,000.0	\$0.0		\$60,000.0	\$60,000.0	\$0.0								
ATSDR Transfer	\$64,000.0	\$76,000.0	\$76,000.0	\$0.0		\$70,000.0	\$70,000.0	\$0.0								
Fiscal Year Appropriation	\$263,904.5	\$286,009.7			\$266,061.9	\$199,602.0			\$154,123.5	\$154,099.2	\$145,914.3	\$8,184.9	-46.1%		-22.6%	
Payroll		\$19,902.5				\$20,341.3				\$26,445.8	\$25,961.7	\$483.9	32.9%		30.0%	
Travel		\$1,090.5				\$1,080.4				\$1,213.7	\$1,068.2	\$145.5	11.3%		11.3%	
Contracts / Grants		\$110,288.3				\$31,578.6				\$110,442.1	\$98,510.6	\$11,931.5	0.1%		249.7%	
Other		\$8,728.4				\$8,590.7				\$5,321.8	\$9,780.8	(\$4,439.0)	-39.0%		-19.3%	
USCG Transfer	\$4,801.0	\$4,800.0	\$4,800.0	\$0.0		\$4,800.0	\$4,800.0	\$0.0		\$5,487.9	\$5,455.5	\$32.4	14.3%		14.3%	
FEMA Transfer	\$1,100.0	\$1,100.0	\$1,100.0	\$0.0		\$1,100.0	\$1,100.0	\$0.0		\$1,097.4	\$1,090.9	\$6.5	-0.2%		-0.2%	
NOAA Transfer	\$2,932.0	\$2,450.0	\$2,450.0	\$0.0		\$2,450.0	\$2,450.0	\$0.0		\$2,444.5	\$2,430.1	\$14.4	-0.2%		-0.2%	
DOI Transfer	\$1,000.0	\$1,000.0	\$1,000.0	\$0.0		\$1,000.0	\$1,000.0	\$0.0		\$997.7	\$991.8	\$5.9	-0.2%		-0.2%	
OSHA Transfer	\$660.0	\$650.0	\$650.0	\$0.0		\$650.0	\$650.0	\$0.0		\$648.5	\$644.7	\$3.8	-0.2%		-0.2%	
NIEHS Transfer	\$48,526.7	\$60,000.0	\$60,000.0	\$0.0		\$60,000.0	\$60,000.0	\$0.0								
ATSDR Transfer	\$64,000.0	\$76,000.0	\$76,000.0	\$0.0		\$70,000.0	\$70,000.0	\$0.0								
Carryover						\$21,481.1				\$1,139.1	\$6,160.2	(\$5,021.1)				
Payroll						\$647.0										
Travel						\$0.0				\$130.0	\$140.5	(\$10.5)				
Contracts / Grants						\$20,834.1				\$1,009.1	\$5,882.7	(\$4,873.6)				
Other										\$137.0		(\$137.0)				
Homeland Security										\$0.0	\$3,608.9	(\$3,608.9)				
Payroll											\$522.3	(\$522.3)				
Travel											\$370.2	(\$370.2)				
Contracts / Grants											\$616.3	(\$616.3)				
Other											\$2,100.1	(\$2,100.1)				
Brownfields	\$54,924.0	\$30,250.2	\$30,657.1	(\$406.9)	\$30,359.1	\$32,512.2	\$33,340.4	(\$828.2)								
Payroll		\$1,476.3	\$1,454.2	\$22.1		\$1,582.1	\$1,405.3	\$176.8								
Travel		\$94.0	\$95.8	(\$1.8)		\$94.0	\$79.8	\$14.2								
Contracts / Grants		\$28,362.7	\$28,803.6	(\$440.9)		\$30,533.4	\$31,854.1	(\$1,120.7)								
Other		\$317.2	\$303.5	\$13.7		\$302.7	\$201.4	\$101.3								
Brownfields Carryover						\$47.0										
Payroll						\$40.0										
Travel						\$7.0										
Contracts / Grants																
Other																

*Fiscal Year Appropriation does not include Brownfields

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*Carryover data is not included in the Resources Total for FY 1999 Operating Plan

*FY 2000 and 1999 Actuals include carryover, even though it is not broken out on the chart

*Transfers to other Federal Agencies were taken out of the Contracts/ Grants line

Headquarters FTE for FY 1999 and FY 2003 reflect final distribution of reimbursable Base Restoration & Closure FTE

Superfund Resource Breakout
Head Quarters
Dollars
(All \$ in Thousands)

	FY 1999 Pres.				FY 2000 Pres.				FY 2003 Pres.				% Change			
	Budget	FY1999 Op Plan	FY1999 Actuals	Difference (Op Plan - Actuals)	Budget	FY2000 Op Plan	FY2000 Actuals	Difference (Op Plan - Actuals)	Budget*	FY2003 Op Plan	FY2003 Actuals	Difference	1999 to 2003 Op Plan	1999 to 2003 Actuals	2000 to 2003 Op Plan	2000 to 2003 Actuals
Resources Total																
Total Superfund	\$515,145.0	\$506,120.3	\$423,190.4	\$82,929.9	\$608,209.8	\$461,273.4	\$446,365.6		\$1,151,781.6	\$413,935.2	\$366,678.6	\$47,256.6	-18.2%	-13.4%	-10.3%	-17.9%
Response	\$321,119.2	\$318,550.6	\$245,502.6	(\$72,148.6)	\$298,699.3	\$255,919.5	\$257,310.2	(\$1,390.7)	\$842,632.4	\$157,502.6	\$157,821.4	(\$318.8)	-50.6%	-35.7%	-38.5%	-38.7%
OSWER	\$195,808.8	\$170,259.9	\$97,311.7	\$72,948.2	\$298,421.0	\$113,642.3	\$115,125.8	(\$1,483.5)	\$840,398.1	\$144,562.3	\$145,070.4	(\$508.1)	-15.1%	49.1%	27.2%	26.0%
OAR	\$2,290.7	\$2,290.7	\$2,190.9	\$99.8	\$2,278.3	\$2,277.2	\$2,184.4	\$92.8	\$2,234.3	\$2,264.3	\$2,138.0	\$126.3	-1.2%	-2.4%	-0.6%	-2.1%
USCG	\$4,801.0	\$4,800.0	\$4,800.0	\$0.0		\$4,800.0	\$4,800.0	\$0.0		\$5,487.9	\$5,455.5	\$32.4	14.3%	13.7%	14.3%	13.7%
FEMA	\$1,100.0	\$1,100.0	\$1,100.0	\$0.0		\$1,100.0	\$1,100.0	\$0.0		\$1,097.4	\$1,090.9	\$6.5	-0.2%	-0.8%	-0.2%	-0.8%
NOAA	\$2,932.0	\$2,450.0	\$2,450.0	\$0.0		\$2,450.0	\$2,450.0	\$0.0		\$2,444.5	\$2,430.1	\$14.4	-0.2%	-0.8%	-0.2%	-0.8%
DOI	\$1,000.0	\$1,000.0	\$1,000.0	\$0.0		\$1,000.0	\$1,000.0	\$0.0		\$997.7	\$991.8	\$5.9	-0.2%	-0.8%	-0.2%	-0.8%
OSHA	\$660.0	\$650.0	\$650.0	\$0.0		\$650.0	\$650.0	\$0.0		\$648.5	\$644.7	\$3.8	-0.2%	-0.8%	-0.2%	-0.8%
NIEHS	\$48,526.7	\$60,000.0	\$60,000.0	\$0.0		\$60,000.0	\$60,000.0	\$0.0		\$0.0			-100.0%	-100.0%	-100.0%	-100.0%
ATSDR	\$64,000.0	\$76,000.0	\$76,000.0	\$0.0		\$70,000.0	\$70,000.0	\$0.0		\$0.0			-100.0%	-100.0%	-100.0%	-100.0%
Enforcement	\$62,701.0	\$61,488.1	\$65,322.3	(\$3,834.2)	\$176,750.7	\$74,663.2	\$60,695.1	\$13,968.1	\$77,051.6	\$71,004.4	\$60,009.1	\$10,995.3	15.5%	-8.1%	-4.9%	-1.1%
OECA	\$34,551.0	\$33,521.1	\$37,355.3	(\$3,834.2)	\$148,087.2	\$45,999.7	\$32,031.6	\$13,968.1	\$48,901.6	\$43,037.4	\$32,042.1	\$10,995.3	28.4%	-14.2%	-6.4%	0.0%
DOJ	\$28,150.0	\$27,967.0	\$27,967.0	\$0.0	\$28,663.5	\$28,663.5	\$28,663.5	\$0.0	\$28,150.0	\$27,967.0	\$27,967.0	\$0.0	0.0%	0.0%	-2.4%	0.0%
Management & Support	\$80,370.9	\$75,528.5	\$73,402.2	\$2,126.3	\$83,253.6	\$82,196.9	\$77,400.3	\$4,796.6	\$88,220.2	\$87,181.2	\$86,868.2	\$293.0	15.4%	18.3%	6.0%	12.2%
OARM	\$59,946.1	\$57,484.3	\$56,617.4	\$866.9	\$63,859.9	\$59,034.1	\$58,933.6	\$100.5	\$64,166.1	\$62,817.2	\$64,776.8	(\$1,959.6)	9.3%	14.4%	6.4%	9.9%
OCFO	\$16,704.2	\$14,803.4	\$14,029.1	\$774.3	\$15,805.7	\$15,183.2	\$14,005.7	\$1,177.5	\$14,221.7	\$14,637.2	\$13,750.6	\$886.6	-1.1%	-2.0%	-3.6%	-1.8%
OEI	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$4,438.0	\$1,453.3	\$2,984.7	\$8,987.9	\$8,838.2	\$7,559.8	\$1,278.4			99.1%	420.2%
OGC	\$1,324.1	\$1,279.7	\$1,286.3	(\$6.6)	\$1,290.8	\$1,327.9	\$1,281.0	\$46.9	\$844.5	\$868.6	\$781.0	\$87.6	-32.1%	-39.3%	-34.6%	-39.0%
OA	\$1,381.7	\$1,028.2	\$587.4	\$460.8	\$1,288.5	\$2,213.7	\$1,726.7	\$487.0	\$0.0	\$0.0	\$0.0	\$0.0	-100.0%	-100.0%	-100.0%	-100.0%
OPPE	\$1,014.8	\$932.9	\$902.0	\$30.9	\$1,008.7				\$0.0	\$0.0	\$0.0	\$0.0				
Executive Steering Committee					\$1,481.7											
Research	\$40,200.8	\$39,800.0	\$29,604.1	\$10,195.9	\$37,271.4	\$37,493.8	\$40,828.6	(\$3,334.8)	\$111,168.0	\$85,607.9	\$49,869.5	\$35,738.4	115.1%	68.5%	128.3%	22.1%
Inspector General	\$10,753.1	\$10,753.1	\$9,279.9	\$1,473.2	\$10,753.1	\$11,000.0	\$10,131.4	\$868.6	\$12,742.0	\$12,659.1	\$12,110.4	\$548.7	17.7%	30.5%	15.1%	19.5%
Fiscal Year Appropriation																
Total Superfund	\$458,725.7	\$474,956.8	\$0.0	\$288,300.4	\$576,861.6	\$398,887.1				\$355,851.1	\$338,627.8	\$17,223.3	-25.1%		-10.8%	
Response	\$266,195.2	\$288,300.4	\$0.0	\$288,300.4	\$268,340.2	\$201,879.2			\$154,123.5	\$156,315.2	\$148,007.0	\$8,308.2	-45.8%		-22.6%	
OSWER	\$140,884.8	\$140,009.7		\$140,009.7	\$266,061.9	\$59,602.0			\$154,123.5	\$143,423.2	\$135,301.3	\$8,121.9	2.4%		140.6%	
OAR	\$2,290.7	\$2,290.7		\$2,290.7	\$2,278.3	\$2,277.2				\$2,216.0	\$2,092.7	\$123.3	-3.3%		-2.7%	
USCG	\$4,801.0	\$4,800.0		\$4,800.0		\$4,800.0				\$5,487.9	\$5,455.5	\$32.4	14.3%		14.3%	
FEMA	\$1,100.0	\$1,100.0		\$1,100.0		\$1,100.0				\$1,097.4	\$1,090.9	\$6.5	-0.2%		-0.2%	
NOAA	\$2,932.0	\$2,450.0		\$2,450.0		\$2,450.0				\$2,444.5	\$2,430.1	\$14.4	-0.2%		-0.2%	
DOI	\$1,000.0	\$1,000.0		\$1,000.0		\$1,000.0				\$997.7	\$991.8	\$5.9	-0.2%		-0.2%	
OSHA	\$660.0	\$650.0		\$650.0		\$650.0				\$648.5	\$644.7	\$3.8	-0.2%		-0.2%	
NIEHS	\$48,526.7	\$60,000.0		\$60,000.0		\$60,000.0				\$0.0	\$0.0	\$0.0	-100.0%		-100.0%	
ATSDR	\$64,000.0	\$76,000.0		\$76,000.0		\$70,000.0				\$0.0	\$0.0	\$0.0	-100.0%		-100.0%	
Enforcement	\$62,200.9	\$61,488.1	\$0.0	\$0.0	\$176,750.7	\$70,888.8	\$0.0		\$0.0	\$64,417.9	\$59,069.1	\$5,348.8	4.8%		-9.1%	
OECA	\$33,200.9	\$61,488.1			\$148,087.2	\$70,888.8				\$36,450.9	\$31,102.1	\$5,348.8	-40.7%		-48.6%	
DOJ	\$29,000.0	\$0.0		\$28,663.5	\$28,663.5	\$0.0	\$28,663.5		\$28,150.0	\$27,967.0	\$27,967.0	\$0.0				
Management & Support	\$79,375.7	\$74,615.2			\$82,264.5	\$77,625.3				\$86,526.2	\$83,186.2	\$3,340.0	0.159632		11.5%	
OARM	\$59,946.1	\$57,484.3			\$63,859.9	\$57,421.8				\$62,817.2	\$61,952.1	\$865.1	9.3%		9.4%	
OCFO	\$16,704.2	\$14,803.4			\$15,805.7	\$13,921.8				\$14,051.4	\$12,955.4	\$1,096.0	-5.1%		0.9%	
OEI	\$0.0	\$0.0			\$0.0	\$4,126.8				\$8,818.6	\$7,501.1	\$1,317.5			113.7%	
OGC	\$1,324.1	\$1,279.7			\$1,290.8	\$1,286.2				\$839.0	\$777.6	\$61.4	-34.4%		-34.8%	
OA	\$1,381.7	\$1,028.2			\$1,288.5	\$868.7							-100.0%		-100.0%	
OPPE	\$19.6	\$19.6			\$19.6	\$0.0							-100.0%		-100.0%	
Executive Steering Committee					\$1,481.7											
Research	\$40,200.8	\$39,800.0	\$0.0	\$0.0	\$37,271.4	\$37,493.8	\$27,953.6		\$36,168.0	\$35,932.7	\$40,460.0		-9.7%		-4.2%	44.7%
Inspector General	\$10,753.1	\$10,753.1	\$0.0	\$0.0	\$10,753.1	\$11,000.0	\$8,812.0			\$12,659.1	\$7,905.5		17.7%		-10.3%	

													% Change			
	FY 1999 Pres. Budget	FY1999 Op Plan	FY1999 Actuals	Difference (Op Plan - Actuals)	FY 2000 Pres. Budget	FY2000 Op Plan	FY2000 Actuals	Difference (Op Plan - Actuals)	FY2003 Pres. Budget*	FY2003 Op Plan	FY2003 Actuals	Difference	1999 to 2003 Op Plan	1999 to 2003 Actuals	2000 to 2003 OP Plan	2000 to 2003 Actuals
Carryover																
Total Superfund						\$27,528.8				\$8,408.9	\$24,041.7	(\$15,632.8)			-69.5%	
Response						\$21,481.1				\$1,187.4	\$8,205.5	(\$5,018.1)			-94.5%	
OSWER						\$21,481.1				\$1,139.1	\$8,160.2	(\$5,021.1)			-94.7%	
OAR						\$0.0				\$48.3	\$45.3	\$3.0				
Enforcement						\$3,774.4				\$6,586.5	\$578.9	\$6,007.6			74.5%	
OECA						\$3,774.4				\$6,586.5	\$578.9	\$6,007.6			74.5%	
Management & Support						\$2,273.3				\$635.0	\$3,642.9	(\$3,007.9)			-72.1%	
OARM						\$490.0				\$0.0	\$2,824.7	(\$2,824.7)			-100.0%	
OCFO						\$1,109.2				\$585.8	\$795.2	(\$209.4)			-47.2%	
OEI						\$311.2				\$19.6	\$19.6	\$0.0			-93.7%	
OGC						\$41.7				\$29.6	\$3.4	\$26.2			-29.0%	
OA						\$321.2									-100.0%	
Research							\$12,875.0			\$0.0	\$9,409.5	(\$9,409.5)			-26.9%	
Inspector General							\$1,319.4			\$0.0	\$4,204.9				218.7%	
Homeland Security																
Total Superfund										\$49,675.2	\$4,009.1	\$45,666.1				
Response										\$0.0	\$3,608.9	(\$3,608.9)				
OSWER										\$0.0	\$3,608.9	(\$3,608.9)				
Enforcement										\$0.0	\$361.1	(\$361.1)				
OECA										\$0.0	\$361.1	(\$361.1)				
Management & Support											\$39.1					
OEI											\$39.1					
Research									\$75,000.0	\$49,675.2						
Brownfields																
Total Superfund	\$56,419.3	\$31,163.5			\$31,348.2	\$34,810.5	\$35,092.7	(\$282.2)					-1		-100.0%	-100.0%
Response	\$54,924.0	\$30,250.2			\$30,359.1	\$32,512.2	\$33,340.4	(\$828.2)					-1		-100.0%	-100.0%
OSWER	\$54,924.0	\$30,250.2			\$30,359.1	\$32,512.2	\$33,340.4	(\$828.2)					-100.0%		-100.0%	-100.0%
Enforcement	\$500.1	\$0.0			\$0.0	\$0.0	\$0.0	\$0.0								
OECA	\$500.1	\$0.0			\$0.0	\$0.0	\$0.0	\$0.0								
Management & Support	\$995.2	\$913.3			\$989.1	\$2,298.3	\$1,752.3	\$546.0					-1		-100.0%	-100.0%
OARM		\$0.0				\$1,122.3	\$1,082.9	\$39.4							-100.0%	-100.0%
OCFO		\$0.0				\$152.2	\$134.1	\$18.1							-100.0%	-100.0%
OEI		\$0.0				\$0.0	\$0.0	\$0.0								
OGC		\$0.0				\$0.0	\$0.0	\$0.0								
OA		\$0.0				\$1,023.8	\$535.3	\$488.5							-100.0%	-100.0%
OPPE	\$995.2	\$913.3			\$989.1											
Brownfields Carryover																
Total Superfund						\$47.0										
Response						\$47.0										
OSWER						\$47.0										
Management & Support						\$0.0										
OARM						\$0.0										
OGC						\$0.0										
OA						\$0.0										

*FY1999 Op Plan does not include carryover

*FY 2000 and 1999 Actuals include carryover, even though it is not broken out on the chart

*OEI was established in FY2000, and includes resources from the S&T, Superfund and IG appropriations

*Differences between Op Plan and Actuals are due to the obligation of carryover and / or prior year money that has been deobligated

* Management & Support does not include ORD and IG

*FY2003 President's Budget included \$19,967 in Unallocated Agency funds.

*Fiscal Year Appropriation does not include Brownfields

Superfund Resource Breakout
Headquarters
FTE*

	FY1999			FY2000			FY2003			% Change			
	Op Plan	FY1999 Actuals	Difference (Op Plan - Actuals)	Op Plan	FY2000 Actuals	Difference (Op Plan - Actuals)	Op Plan	FY2003 Actuals	Difference (Op Plan - Actuals)	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Op Plan	2000 to 2003 Actuals
Total Superfund and Brownfields	971.7	919.7	52.0	905.3	883.1	22.2	892.8	883.1	9.7	-8.1%	-4.0%	-1.4%	0.0%
ORD	124.9	128.4	-3.5	123.9	131.8	-7.7	140	137.2	2.8	12.1%	6.9%	13.0%	4.3%
IG	99	84.7	14.3	100	80.8	19.2	94.1	89.9	4.2	-4.9%	6.1%	-5.9%	11.3%
Response	322.3	265.3	57.0	259	254.9	4.1	263.2	252.2	11	-18.3%	-4.9%	1.6%	-1.1%
OSWER	310.3	253	57.3	243.6	239.4	4.2	248.2	236.8	11.4	-20.0%	-6.4%	1.9%	-1.1%
OAR	12	12.3	-0.3	15.4	15.5	-0.1	15	15.4	-0.4	25.0%	25.2%	-2.6%	-0.6%
Enforcement	199.3	218.5	-19.2	203.3	199.2	4.1	203.8	204.4	-0.6	2.3%	-6.5%	0.2%	2.6%
Management & Support	226.2	222.8	3.4	219.1	216.6	2.5	191.7	199.4	-7.7	-15.3%	-10.5%	-12.5%	-7.9%
OARM	115.6	114.8	0.8	109.2	103	6.2	105.9	113.8	-7.9	-8.4%	-0.9%	-3.0%	10.5%
OCFO	84.7	90.6	-5.9	81.3	83.5	-2.2	76.9	76.3	0.6	-9.2%	-15.8%	-5.4%	-8.6%
OEI	0	0	0	4.8	3.8	0.8	4.5	4.8	-0.3				
OGC	8.2	8.9	-1.3	8.2	8.6	-1.6	4.4	4.5	-0.1	-46.3%	-34.8%	-46.3%	-31.8%
OA	11.8	5.9	5.9	15.8	19.7	-3.9							
OPPE	5.9	4.8	1.3	0	0	0							
Total Superfund	948.8	897.7	51.1	881.1	862.1	19	892.8	883.1	9.7	-5.9%	-1.6%	1.3%	2.4%
ORD	124.9	128.4	-3.5	123.9	131.8	-7.7	140	137.2	2.8	12.1%	6.9%	13.0%	4.3%
IG	99	84.7	14.3	100	80.8	19.2	94.1	89.9	4.2	-4.9%	6.1%	-5.9%	11.3%
Response	305.3	247.9	57.4	242	239.5	2.5	263.2	252.2	11	-13.8%	1.7%	8.8%	5.3%
OSWER	293.3	235.6	57.7	226.6	224	2.6	248.2	236.8	11.4	-15.4%	0.5%	9.5%	5.7%
OAR	12	12.3	-0.3	15.4	15.5	-0.1	15	15.4	-0.4	25.0%	25.2%	-2.6%	-0.6%
Enforcement	199.3	218.5	-19.2	203.3	199.2	4.1	203.8	204.4	-0.6	2.3%	-6.5%	0.2%	2.6%
Management & Support	220.3	218.2	2.1	211.9	211	0.9	191.7	199.4	-7.7	-13.0%	-8.6%	-9.5%	-5.5%
OARM	115.6	114.8	0.8	108.7	103	5.7	105.9	113.8	-7.9	-8.4%	-0.9%	-2.6%	10.5%
OCFO	84.7	90.6	-5.9	80.5	83.5	-3	76.9	76.3	0.6	-9.2%	-15.8%	-4.5%	-8.6%
OEI	0	0	0	4.8	3.8	0.8	4.5	4.8	-0.3				
OGC	8.2	8.9	-1.3	8.2	8.6	-1.6	4.4	4.5	-0.1	-46.3%	-34.8%	-46.3%	-31.8%
OA	11.8	5.9	5.9	9.9	14.1	-4.2							
OPPE	0	0	0	0	0	0							
Total Brownfields	22.9	22	0.9	24.2	21	3.2	0	0	0	-100.0%	-100.0%	-100.0%	-100.0%
ORD	0	0	0	0	0	0	0	0	0				
IG	0	0	0	0	0	0	0	0	0				
Response	17	17.4	-0.4	17	15.4	1.6	0	0	0	-100.0%	-100.0%	-100.0%	-100.0%
OSWER	17	17.4	-0.4	17	15.4	1.6	0	0	0	-100.0%	-100.0%	-100.0%	-100.0%
OAR	0	0	0	0	0	0	0	0	0				
Enforcement	0	0	0	0	0	0	0	0	0	#DIV/0!	#DIV/0!		
Management & Support	5.9	4.6	1.3	7.2	5.6	1.6	0	0	0	-100.0%	-100.0%		
OARM	0	0	0	0.5	0	0.5	0	0	0	#DIV/0!	#DIV/0!		
OCFO	0	0	0	0.8	0	0.8	0	0	0	#DIV/0!	#DIV/0!		
OEI	0	0	0	0	0	0	0	0	0				
OGC	0	0	0	0	0	0	0	0	0				
OA	0	0	0	5.9	5.6	0.3				#DIV/0!	#DIV/0!		
OPPE	5.9	4.6	1.3	0	0	0							

APPENDIX F: Superfund Resource Tables by Region

**Superfund Resource and FTE Breakout
FY1999 thru FY2003
Region 01**

	FY1999			FY2000			FY2003			% Change			
	Operating Plan	FY1999 Actuals	Difference	Operating Plan	FY2000 Actuals	Difference	Operating Plan	FY2003 Actuals	Difference	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total	236.8	232.9	3.9	231.5	223.3	8.2	214.4	209.6	4.8	-9.5%	-10.0%	-7.4%	-6.1%
Response	138.0	136.7	(0.7)	133.7	132.0	1.7	119.4	122.4	(3.0)	-13.5%	-11.8%	-10.7%	-7.3%
Enforcement	64.5	60.7	3.8	64.3	58.3	6.0	63.2	57.0	6.2	-2.0%	-6.1%	-1.7%	-2.2%
Management & Support	34.3	33.5	0.8	33.5	33.0	0.5	31.8	30.2	1.6	-7.3%	-9.9%	-5.1%	-8.5%
Resources Total	\$54,341.7	\$128,853.9	(\$74,512.2)	\$54,833.4	\$113,602.1	(\$58,768.7)	\$64,983.0	\$94,377.3	(\$29,394.3)	19.6%	-26.6%	18.5%	-16.9%
Payroll	\$17,539.2	\$17,607.3	(\$68.1)	\$18,895.6	\$18,217.0	\$678.6	\$22,039.6	\$19,925.5	\$2,114.1	25.7%	13.2%	16.6%	9.4%
Travel	\$666.9	\$466.2	\$200.7	\$710.4	\$526.8	\$183.6	\$631.1	\$329.2	\$301.9	-5.4%	-29.4%	-11.2%	-37.5%
Contracts / Grants	\$33,988.0	\$108,227.3	(\$74,239.3)	\$33,624.2	\$92,929.0	(\$59,304.8)	\$41,074.9	\$70,828.2	(\$29,753.3)	20.9%	-34.6%	22.2%	-23.8%
Other	\$2,147.6	\$2,553.1	(\$405.5)	\$1,603.2	\$1,929.3	(\$326.1)	\$1,237.4	\$3,294.4	(\$2,057.0)	-42.4%	29.0%	-22.8%	70.8%
Response	\$41,530.5	\$116,346.1	(\$63,520.7)	\$43,376.0	\$100,164.0	(\$51,775.3)	\$52,493.2	\$60,680.9	(\$28,187.7)	26.4%	-30.7%	21.0%	-19.5%
Fiscal Year Appropriation	\$40,115.0	\$103,635.7	(\$63,520.7)	\$40,604.1	\$92,379.4	(\$51,775.3)	\$52,493.2	\$64,516.7	(\$12,023.5)	30.9%	-37.7%	29.3%	-30.2%
Payroll	\$8,204.6	\$9,880.4	(\$1,675.8)	\$9,791.4	\$10,107.7	(\$316.3)	\$12,311.4	\$11,218.9	\$1,092.5	50.1%	13.5%	25.7%	11.0%
Travel	\$328.8	\$221.0	\$107.8	\$307.4	\$339.3	(\$31.9)	\$306.7	\$201.9	\$104.8	-6.7%	-8.6%	-0.2%	-40.5%
Contracts / Grants	\$30,822.1	\$91,929.9	(\$61,107.8)	\$30,197.3	\$81,311.0	(\$51,113.7)	\$39,450.7	\$51,197.2	(\$11,746.5)	28.0%	-44.3%	30.6%	-37.0%
Other	\$759.5	\$1,604.4	(\$844.9)	\$308.0	\$621.4	(\$313.4)	\$424.4	\$1,898.7	(\$1,474.3)	-44.1%	18.3%	37.8%	205.6%
Carryover				\$199.1			\$0.0	\$15,541.3	(\$15,541.3)				
Payroll				\$199.1									
Travel													
Contracts / Grants								\$15,541.3	(\$15,541.3)				
Other													
Homeland Security							\$0.0	\$622.9	(\$622.9)				
Payroll								\$232.1	(\$232.1)				
Travel								\$6.2	(\$6.2)				
Contracts / Grants								\$290.1	(\$290.1)				
Other								\$94.5	(\$94.5)				
Brownfields	\$1,415.5	\$12,712.4	(\$11,296.9)	\$2,572.8	\$7,784.6	(\$5,211.8)							
Payroll	\$877.9	\$576.7	\$301.2	\$924.9	\$678.3	\$246.6							
Travel	\$33.6	\$41.3	(\$7.7)	\$31.4	\$21.9	\$9.5							
Contracts / Grants	\$500.1	\$12,094.0	(\$11,593.9)	\$1,600.0	\$7,058.1	(\$5,458.1)							
Other	\$3.9	\$0.4	\$3.5	\$16.5	\$26.3	(\$9.8)							
Enforcement	\$8,816.3	\$8,726.2	\$90.1	\$6,991.9	\$9,121.5	(\$2,129.6)	\$7,922.6	\$11,870.4	(\$3,947.8)	-10.1%	36.0%	13.3%	30.1%
Fiscal Year Appropriation	\$8,783.1	\$8,649.4	\$133.7	\$6,857.9	\$9,105.3	(\$2,247.4)	\$7,922.6	\$7,250.2	\$672.4	-9.8%	-16.2%	15.5%	-20.4%
Payroll	\$6,692.6	\$4,817.3	\$1,875.3	\$5,441.6	\$5,025.5	\$416.1	\$6,565.9	\$5,788.5	\$777.4	-1.9%	20.2%	20.7%	15.2%
Travel	\$181.5	\$122.5	\$59.0	\$170.9	\$49.4	\$121.5	\$169.5	\$48.0	\$121.5	-6.6%	-60.8%	-0.8%	-2.8%
Contracts / Grants	\$1,586.4	\$3,269.6	(\$1,683.2)	\$1,058.0	\$3,588.8	(\$2,532.8)	\$911.5	\$881.5	\$30.0	-42.5%	-73.0%	-13.7%	-75.4%
Other	\$322.6	\$440.0	(\$117.4)	\$189.4	\$441.6	(\$252.2)	\$275.7	\$532.2	(\$256.5)	-14.5%	21.0%	45.6%	20.5%
Carryover				\$134.0			\$0.0	\$2,310.1	(\$2,310.1)				
Payroll								\$34.0	(\$34.0)				
Travel													
Contracts / Grants								\$2,276.1	(\$2,276.1)				
Other				\$134.0									
Brownfields	\$33.2	\$76.8			\$16.2								
Payroll	\$31.2	\$72.7			\$15.3								
Travel	\$0.9	\$2.8			\$0.9								
Contracts / Grants	\$0.1												
Other	\$1.0	\$1.3											
Management & Support	\$3,994.9	\$3,779.6	\$215.3	\$4,465.5	\$4,316.6	\$148.9	\$4,609.7	\$4,234.3	\$375.4	15.4%	12.0%	3.2%	-1.0%
Fiscal Year Appropriation	\$3,974.6	\$3,754.9	\$219.7	\$3,804.8	\$4,252.5	(\$447.7)	\$4,524.7	\$4,037.9	\$486.8	13.8%	7.5%	18.9%	-5.0%
Payroll	\$1,712.6	\$2,235.8	(\$523.2)	\$2,359.1	\$2,326.1	\$33.0	\$3,162.3	\$2,652.0	\$510.3	84.6%	18.6%	34.0%	14.0%
Travel	\$122.1	\$78.3	\$43.8	\$156.6	\$115.3	\$41.3	\$154.9	\$73.1	\$81.8	26.9%	-6.6%	-1.1%	-36.6%
Contracts / Grants	\$1,079.3	\$933.8	\$145.5	\$770.9	\$971.1	(\$200.2)	\$690.5	\$611.1	\$79.4	-36.0%	-34.6%	-10.4%	-37.1%
Other	\$1,060.6	\$507.0	\$553.6	\$518.2	\$840.0	(\$321.8)	\$517.0	\$701.7	(\$184.7)	-51.3%	38.4%	-0.2%	-16.5%
Carryover				\$480.6	\$0.0		\$42.5	\$98.2	(\$55.7)				
Payroll													
Travel				43.5									
Contracts / Grants							22.2	30.9	(\$8.7)				
Other				437.1			20.3	67.3	(\$47.0)				
Brownfields	\$20.3	\$24.7		\$22.4	\$64.1								
Payroll	\$20.3	\$24.4		\$21.8	\$64.1								
Travel		\$0.3		\$0.6									
Contracts / Grants													
Other													
Brownfields Carryover				\$157.7									
Payroll				\$157.7									
Travel													
Contracts / Grants													
Other													

*FY 1999 Operating Plan does not include Carryover, but FY 1999 Actuals do include carryover

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*Homeland Security Resources for FY 2003 Operating Plan are not broken out for each region, but a regional total is included on the Regional Total Sheet
For FY 1999 and FY 2003 RESPONSE FTE includes distribution of reimbursable Base Restoration & Closure FTE

**Superfund Resource and FTE Breakout
FY1999 thru FY2003
Region 02**

	FY1999			FY2000			FY2003			% Change			
	Operating Plan	FY1999 Actuals	Difference	Operating Plan	FY2000 Actuals	Difference	Operating Plan	FY2003 Actuals	Difference	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total	380.4	377.5	2.9	373.7	361.0	12.7	351.0	343.8	7.2	-7.7%	-8.9%	-8.1%	-4.8%
Response	202.2	200.5	1.7	231.1	223.7	7.4	216.1	214.6	1.5	6.9%	7.0%	-6.5%	-4.1%
Enforcement	124.5	127.0	(2.5)	92.6	86.3	6.3	91.1	85.0	6.1	-26.8%	-33.1%	-1.6%	-1.5%
Management & Support	53.7	50.0	3.7	50.0	51.0	(1.0)	43.8	44.2	(0.4)	-18.4%	-11.6%	-12.4%	-13.3%
Resources Total	\$74,735.0	\$178,329.2	(\$103,594.2)	\$86,917.8	\$222,493.7	(\$135,575.9)	\$119,535.1	\$185,128.4	(\$65,593.3)	59.9%	3.8%	37.5%	-16.8%
Payroll	\$28,419.1	\$28,381.3	\$37.8	\$30,102.3	\$29,932.0	\$170.3	\$34,694.4	\$34,659.6	\$34.8	22.1%	22.1%	15.3%	15.8%
Travel	\$1,048.3	\$625.6	\$422.7	\$1,048.3	\$785.8	\$262.5	\$662.3	\$672.0	(\$9.7)	-36.8%	7.4%	-36.8%	-14.5%
Contracts / Grants	\$42,717.7	\$145,462.8	(\$102,745.1)	\$53,222.6	\$189,001.1	(\$135,778.5)	\$81,840.3	\$146,349.0	(\$64,508.7)	91.6%	0.6%	53.8%	-22.6%
Other	\$2,549.9	\$3,859.5	(\$1,309.6)	\$2,544.6	\$2,774.8	(\$230.2)	\$2,338.1	\$3,447.8	(\$1,109.7)	-8.3%	-10.7%	-8.1%	24.3%
Response	\$52,456.7	\$155,348.5	(\$102,891.8)	\$67,761.9	\$202,578.7	(\$134,816.8)	\$99,931.3	\$164,844.1	(\$64,912.8)	90.5%	6.1%	47.5%	-18.6%
Fiscal Year Appropriation	\$51,545.8	\$148,163.8	(\$96,618.0)	\$64,888.7	\$197,921.8	(\$133,033.1)	\$99,911.6	\$149,701.3	(\$49,789.7)	93.8%	1.0%	54.0%	-24.4%
Payroll	\$14,141.7	\$14,210.7	(\$69.0)	\$17,131.4	\$17,535.4	(\$404.0)	\$20,909.9	\$21,292.5	(\$382.6)	47.9%	49.8%	22.1%	21.4%
Travel	\$429.3	\$254.3	\$175.0	\$459.9	\$269.5	\$190.4	\$458.9	\$319.9	\$139.0	6.9%	25.8%	-0.2%	18.7%
Contracts / Grants	\$35,809.8	\$132,655.7	(\$96,845.9)	\$46,844.3	\$179,263.7	(\$132,419.4)	\$77,794.8	\$126,187.2	(\$48,392.4)	117.2%	-4.9%	66.1%	-29.6%
Other	\$1,165.0	\$1,043.1	\$121.9	\$453.1	\$853.2	(\$400.1)	\$748.0	\$1,901.7	(\$1,153.7)	-35.8%	82.3%	65.1%	122.9%
Carryover				\$404.7			\$19.7	\$12,922.5	(\$12,902.8)				
Payroll				\$404.7									
Travel								\$12,902.8	(\$12,902.8)				
Contracts / Grants							\$19.7	\$19.7	\$0.0				
Other													
Homeland Security	\$0.0						\$0.0	\$2,220.3	(\$2,220.3)				
Payroll								\$0.0	\$0.0				
Travel								\$21.7	(\$21.7)				
Contracts / Grants								\$2,198.3	(\$2,198.3)				
Other								\$0.3	(\$0.3)				
Brownfields	\$910.9	\$7,184.7		\$2,468.5	\$4,656.9								
Payroll	\$348.2	\$363.0		\$788.8	\$649.3								
Travel	\$31.5	\$29.1		\$49.4	\$54.0								
Contracts / Grants	\$500.0	\$6,775.0		\$1,600.0	\$3,925.3								
Other	\$31.2	\$17.6		\$30.3	\$28.3								
Enforcement	\$13,701.6	\$14,773.3	(\$1,071.7)	\$9,978.7	\$10,664.0	(\$685.3)	\$10,946.6	\$12,173.7	(\$1,227.1)	-20.1%	-17.6%	9.7%	14.2%
Fiscal Year Appropriation	\$13,423.4	\$14,505.5	(\$1,082.1)	\$9,634.2	\$10,657.4	(\$1,023.2)	\$10,946.8	\$10,593.1	\$353.5	-18.5%	-27.0%	13.0%	-0.6%
Payroll	\$9,798.5	\$9,818.1	(\$19.6)	\$7,879.4	\$7,754.3	\$125.1	\$9,779.0	\$9,285.1	\$493.9	-0.2%	-5.4%	24.1%	19.7%
Travel	\$82.2	\$58.8	\$33.4	\$113.2	\$58.5	\$54.7	\$112.2	\$77.7	\$34.5	21.7%	32.1%	-0.9%	32.8%
Contracts / Grants	\$3,248.8	\$4,086.4	(\$837.6)	\$1,444.2	\$2,604.0	(\$1,159.8)	\$717.0	\$830.0	(\$113.0)	-77.9%	-79.7%	-50.4%	-68.1%
Other	\$283.9	\$542.2	(\$258.3)	\$197.4	\$240.6	(\$43.2)	\$338.4	\$400.3	(\$61.9)	19.2%	-26.2%	71.4%	66.4%
Carryover				\$344.5			\$0.0	\$790.3	(\$779.2)				
Payroll								\$48.1	(\$48.1)				
Travel													
Contracts / Grants								\$731.1	(\$731.1)				
Other				\$344.5				\$11.1					
Brownfields	\$278.2	\$267.8			\$6.6								
Payroll	\$266.1	\$256.6			\$6.0								
Travel	\$5.8	\$2.7			\$0.6								
Contracts / Grants													
Other	\$6.3	\$8.5											
Management & Support	\$8,576.7	\$8,207.4	\$369.3	\$9,177.2	\$9,121.6	\$55.6	\$8,699.7	\$9,068.3	(\$368.6)	1.4%	10.5%	-5.2%	-0.6%
Fiscal Year Appropriation	\$8,529.8	\$8,145.2	\$384.6	\$8,882.9	\$9,061.2	(\$178.3)	\$8,614.7	\$8,733.5	(\$118.8)	1.0%	7.2%	-3.0%	-3.6%
Payroll	\$3,817.9	\$3,670.9	\$147.0	\$3,828.4	\$3,926.6	(\$98.2)	\$4,005.5	\$4,033.9	(\$28.4)	4.9%	9.9%	4.8%	2.7%
Travel	\$489.5	\$280.7	\$208.8	\$425.8	\$403.2	\$22.6	\$91.2	\$252.7	(\$161.5)	-81.4%	-10.0%	-78.6%	-37.3%
Contracts / Grants	\$3,159.1	\$1,945.7	\$1,213.4	\$3,109.5	\$3,208.1	(\$98.6)	\$3,328.5	\$3,499.6	(\$171.1)	5.4%	79.9%	7.0%	9.1%
Other	\$1,063.3	\$2,247.9	(\$1,184.6)	\$1,519.2	\$1,523.3	(\$4.1)	\$1,189.5	\$947.3	\$242.2	11.9%	-57.9%	-21.7%	-37.8%
Carryover				\$224.6			\$42.5	\$167.4	(\$124.9)				
Payroll													
Travel													
Contracts / Grants				\$224.6			42.5	167.4	(\$0.0)				
Other									(\$124.9)				
Brownfields	\$46.9	\$62.2		\$69.7	\$60.4								
Payroll	\$46.7	\$62.0		\$69.6	\$60.4								
Travel													
Contracts / Grants													
Other	\$0.2	\$0.2		\$0.1									
Brownfields Carryover													
Payroll													
Travel													
Contracts / Grants													
Other													

*FY 1999 Operating Plan does not include Carryover, but FY 1999 Actuals do include carryover.

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*Homeland Security Resources for FY 2003 are not broken out for each region, but a regional total is included on the Regional Total Sheet
For FY 1999 and FY 2003, RESPONSE FTE includes distribution of reimbursable Base Restoration & Closure FTE

**Superfund Resource and FTE Breakout
FY1999 thru FY2003
Region 03**

	FY1999			FY2000			FY2003			% Change			
	Operating Plan	FY1999 Actuals	Difference	Operating Plan	FY2000 Actuals	Difference	Operating Plan	FY2003 Actuals	Difference	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total	355.2	338.6	16.6	347.8	345.2	2.6	333.4	325.2	8.2	-6.1%	-4.0%	-4.1%	-5.8%
Response	178.5	175.1	3.4	176.8	179.5	(2.7)	168.9	167.2	1.7	-5.4%	-4.5%	-4.5%	-6.9%
Enforcement	134.0	109.3	24.7	132.7	123.6	9.1	130.5	124.6	5.9	-2.6%	14.0%	-1.7%	0.8%
Management & Support	42.7	54.2	(11.5)	38.3	42.1	(3.8)	34.0	33.4	0.6	-20.4%	-38.4%	-11.2%	-20.7%
Resources Total	\$92,435.8	\$151,355.0	(\$58,919.2)	\$64,117.0	\$107,738.4	(\$43,621.4)	\$69,299.2	\$94,603.2	(\$25,304.0)	-25.0%	-37.5%	8.1%	-12.2%
Payroll	\$25,409.5	\$24,837.4	\$572.1	\$27,839.1	\$27,595.8	\$243.3	\$31,858.5	\$31,087.2	\$771.3	25.4%	25.2%	14.4%	12.7%
Travel	\$542.2	\$526.2	\$16.0	\$1,088.5	\$534.8	\$553.7	\$1,024.0	\$426.2	\$597.8	88.9%	-19.0%	-5.9%	-20.3%
Contracts / Grants	\$62,297.6	\$121,374.3	(\$59,076.7)	\$32,519.1	\$75,564.0	(\$43,044.9)	\$33,460.2	\$58,581.9	(\$25,121.7)	-46.3%	-51.7%	2.9%	-22.5%
Other	\$4,186.5	\$4,617.1	(\$430.6)	\$2,670.3	\$4,043.8	(\$1,373.5)	\$2,956.5	\$4,507.9	(\$1,551.4)	-29.4%	-2.4%	10.7%	11.5%
Response	\$72,187.1	\$131,453.7	(\$55,192.7)	\$43,390.9	\$85,799.4	(\$35,484.7)	\$47,518.0	\$72,779.1	(\$25,261.1)	-34.2%	-44.6%	9.5%	-15.2%
Fiscal Year Appropriation	\$71,306.9	\$126,499.6	(\$55,192.7)	\$40,989.5	\$76,474.2	(\$35,484.7)	\$47,518.0	\$57,683.3	(\$10,165.3)	-33.4%	-54.4%	15.9%	-24.6%
Payroll	\$11,580.5	\$11,936.3	(\$355.8)	\$12,972.1	\$13,412.3	(\$440.2)	\$15,757.7	\$15,524.4	\$233.3	36.1%	30.1%	21.5%	15.7%
Travel	\$245.2	\$385.2	(\$140.0)	\$257.8	\$256.6	\$1.2	\$470.2	\$289.8	\$180.4	91.8%	-24.8%	82.4%	12.9%
Contracts / Grants	\$57,340.1	\$111,056.8	(\$53,716.7)	\$26,810.7	\$61,294.2	(\$34,483.5)	\$30,306.4	\$39,014.3	(\$8,707.9)	-47.1%	-64.9%	13.0%	-36.3%
Other	\$2,141.1	\$3,121.3	(\$980.2)	\$948.9	\$1,511.1	(\$562.2)	\$983.7	\$2,854.8	(\$1,871.1)	-54.1%	-8.5%	3.7%	88.9%
Carryover				\$402.3	\$0.0		\$0.0	\$14,803.0	(\$14,761.0)				
Payroll				\$402.3									
Travel								\$14,761.0	(\$14,761.0)				
Contracts / Grants								\$42.0					
Other													
Homeland Security	\$0.0						\$0.0	\$292.8	(\$292.8)				
Payroll								\$7.8	(\$7.8)				
Travel								\$0.6	(\$0.6)				
Contracts / Grants								\$228.5	(\$228.5)				
Other								\$55.9	(\$55.9)				
Brownfields	\$880.2	\$4,954.1		\$1,999.1	\$9,325.2								
Payroll	\$344.1	\$455.4		\$367.6	\$461.8								
Travel	\$7.3	\$25.8		\$7.2	\$30.0								
Contracts / Grants	\$500.0	\$4,457.6		\$1,600.0	\$8,828.0								
Other	\$28.8	\$15.3		\$24.3	\$5.4								
Enforcement	\$13,820.0	\$13,346.0	\$474.0	\$13,529.4	\$14,492.7	(\$963.3)	\$14,338.9	\$16,426.7	(\$2,087.8)	3.8%	23.1%	6.0%	13.3%
Fiscal Year Appropriation	\$13,820.0	\$13,334.6	\$485.4	\$13,406.0	\$14,492.7	(\$1,086.7)	\$14,338.9	\$13,689.3	\$649.6	3.8%	2.7%	7.0%	-5.5%
Payroll	\$10,538.0	\$8,319.4	\$2,218.6	\$10,684.9	\$10,356.1	\$328.8	\$12,753.9	\$12,192.9	\$561.0	21.0%	46.6%	19.4%	17.7%
Travel	\$208.5	\$55.0	\$153.5	\$212.8	\$62.9	\$149.9	\$113.3	\$79.5	\$33.8	-45.7%	44.5%	-46.8%	26.4%
Contracts / Grants	\$2,900.1	\$4,465.5	(\$1,565.4)	\$2,466.2	\$3,817.2	(\$1,351.0)	\$1,048.8	\$1,042.1	\$67.7	-63.8%	-76.7%	-57.5%	-72.7%
Other	\$173.4	\$494.7	(\$321.3)	\$42.1	\$256.5	(\$214.4)	\$422.9	\$374.8	\$48.1	143.9%	-24.2%	904.5%	46.1%
Carryover				\$123.4			\$0.0	\$1,368.7	(\$1,279.8)				
Payroll								\$76.7	(\$76.7)				
Travel								\$1,203.1	(\$1,203.1)				
Contracts / Grants				\$123.4				\$88.9					
Other													
Brownfields	\$0.0	\$11.4		\$0.0	\$0.0								
Payroll		\$10.8											
Travel													
Contracts / Grants													
Other		\$0.6											
Management & Support	\$6,428.7	\$6,555.3	(\$126.6)	\$7,196.7	\$7,214.2	(\$17.5)	\$7,976.0	\$7,269.6	\$706.4	24.1%	10.9%	10.8%	0.8%
Fiscal Year Appropriation	\$6,413.7	\$6,555.3	(\$141.6)	\$6,832.1	\$7,214.2	(\$382.1)	\$6,908.6	\$6,262.6	\$646.0	7.7%	-4.5%	1.1%	-13.2%
Payroll	\$2,931.9	\$4,115.5	(\$1,183.6)	\$3,047.9	\$3,365.6	(\$317.7)	\$3,346.9	\$3,285.4	\$61.5	14.2%	-20.2%	9.8%	-2.4%
Travel	\$81.2	\$60.2	\$21.0	\$610.4	\$185.3	\$425.1	\$440.5	\$56.3	\$384.2	442.5%	-6.5%	-27.8%	-69.6%
Contracts / Grants	\$1,557.4	\$1,394.4	\$163.0	\$1,842.2	\$1,624.6	\$217.6	\$1,571.3	\$1,958.9	(\$387.6)	0.9%	40.5%	-4.3%	20.6%
Other	\$1,843.2	\$985.2	\$858.0	\$1,531.6	\$2,038.7	(\$507.1)	\$1,549.9	\$962.0	\$587.9	-15.9%	-2.4%	1.2%	-52.8%
Carryover				\$349.4			\$533.7	\$503.5	\$30.2				
Payroll				\$349.4									
Travel													
Contracts / Grants							\$533.7	\$374.0	\$159.7				
Other								\$129.5	(\$129.5)				
Brownfields	\$15.0	\$0.0		\$15.2	\$0.0								
Payroll	\$15.0			\$14.9									
Travel				\$0.3									
Contracts / Grants													
Other													
Brownfields Carryover													
Payroll													
Travel													
Contracts / Grants													
Other													

*FY2000 Actuals include 232.1 in Agency Unallocated resources

*FY 1999 Operating Plan does not include Carryover, but FY 1999 Actuals do include carryover.

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*Homeland Security Resources for FY 2003 are not broken out for each region, but a regional total is included on the Regional Total Sheet

For FY 1999 and FY 2003, RESPONSE FTE includes distribution of reimbursable Base Restoration & Closure FTE

**Superfund Resource and FTE Breakout
FY1999 thru FY2003
Region 04**

	FY1999			FY2000			FY2003			% Change			
	Operating Plan	FY1999 Actuals	Difference	Operating Plan	FY2000 Actuals	Difference	Operating Plan	FY2003 Actuals	Difference	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total	348.8	354.0	(5.2)	341.4	350.5	(9.1)	322.0	328.2	(6.2)	-7.7%	-7.3%	-5.7%	-6.4%
Response	174.7	164.9	9.8	170.7	179.2	(8.5)	156.9	170.4	(13.5)	-10.2%	3.3%	-8.1%	-4.9%
Enforcement	135.1	141.5	(6.4)	132.6	129.0	3.6	130.2	118.2	12.0	-3.6%	-16.5%	-1.8%	-8.4%
Management & Support	39.0	47.6	(8.6)	38.1	42.3	(4.2)	34.9	39.6	(4.7)	-10.5%	-16.8%	-8.4%	-6.4%
Resources Total	\$97,420.8	\$119,008.1	(\$21,587.3)	\$61,267.8	\$112,816.0	(\$51,548.2)	\$83,876.3	\$108,097.6	(\$24,221.3)	-13.9%	-9.2%	38.9%	-4.2%
Payroll	\$24,488.7	\$24,837.7	(\$349.0)	\$25,865.3	\$26,464.5	(\$599.2)	\$29,358.0	\$29,890.2	(\$532.2)	19.9%	20.3%	13.5%	12.9%
Travel	\$927.5	\$562.6	\$364.9	\$993.5	\$542.8	\$450.7	\$849.9	\$622.7	\$227.2	-8.4%	10.7%	-14.5%	14.7%
Contracts / Grants	\$68,759.1	\$90,323.5	(\$21,564.4)	\$32,654.5	\$81,645.4	(\$48,990.9)	\$51,762.0	\$73,634.0	(\$21,872.0)	-24.7%	-18.5%	58.5%	-9.9%
Other	\$3,245.5	\$3,284.3	(\$38.8)	\$1,754.5	\$4,163.3	(\$2,408.8)	\$1,906.4	\$3,950.7	(\$2,044.3)	-41.3%	20.3%	8.7%	-5.1%
Response	\$76,515.6	\$98,096.1	(\$21,580.5)	\$43,874.9	\$95,661.0	(\$51,786.1)	\$65,443.9	\$88,863.4	(\$23,419.5)	-14.5%	-9.4%	49.2%	-7.1%
Fiscal Year Appropriation	\$75,566.2	\$92,662.7	(\$17,096.5)	\$41,969.8	\$89,056.5	(\$47,086.7)	\$65,443.9	\$86,523.8	(\$21,079.9)	-13.4%	-6.6%	55.9%	-2.8%
Payroll	\$11,259.0	\$10,797.6	\$461.4	\$11,929.1	\$12,798.0	(\$868.9)	\$14,223.8	\$15,248.2	(\$1,024.4)	26.3%	41.2%	19.2%	19.1%
Travel	\$426.0	\$351.7	\$74.3	\$454.4	\$335.3	\$119.1	\$420.3	\$495.6	(\$75.3)	-1.3%	40.9%	-7.5%	47.8%
Contracts / Grants	\$61,998.1	\$79,641.7	(\$17,643.6)	\$28,699.7	\$73,531.2	(\$44,831.5)	\$49,831.7	\$68,130.7	(\$18,299.0)	-19.6%	-14.5%	73.6%	-7.3%
Other	\$1,883.1	\$1,871.7	\$11.4	\$886.6	\$2,392.0	(\$1,505.4)	\$968.1	\$2,649.3	(\$1,681.2)	-48.6%	41.5%	9.2%	10.8%
Carryover				\$330.9	\$0.0		\$0.0	\$2,125.2	(\$2,125.2)				
Payroll				\$330.9	\$0.0			\$2,125.2	(\$2,125.2)				
Travel													
Contracts / Grants													
Other													
Homeland Security	\$0.0						\$0.0	\$214.4	(\$214.4)				
Payroll								\$182.7	(\$182.7)				
Travel								\$12.1	(\$12.1)				
Contracts / Grants								\$1.6	(\$1.6)				
Other								\$18.0	(\$18.0)				
Brownfields	\$949.4	\$5,433.4		\$1,574.2	\$6,604.5								
Payroll	\$383.9	\$439.4		\$415.0	\$479.0								
Travel	\$14.8	\$62.7		\$19.0	\$57.3								
Contracts / Grants	\$505.9	\$4,871.1		\$1,100.0	\$6,039.6								
Other	\$44.8	\$60.2		\$40.2	\$28.6								
Enforcement	\$15,694.0	\$15,765.2	(\$71.2)	\$12,334.9	\$12,038.3	\$296.6	\$13,496.8	\$15,384.0	(\$1,887.2)	-14.0%	-2.4%	9.4%	27.8%
Fiscal Year Appropriation	\$15,694.0	\$15,618.3	\$75.7	\$12,150.4	\$12,026.2	\$124.2	\$13,496.8	\$12,694.0	\$802.8	-14.0%	-18.7%	11.1%	5.6%
Payroll	\$9,990.7	\$10,277.0	(\$286.3)	\$10,316.1	\$10,113.8	\$202.3	\$12,226.5	\$11,165.0	\$1,061.5	22.4%	8.6%	18.5%	10.4%
Travel	\$377.7	\$101.5	\$276.2	\$338.1	\$85.2	\$252.9	\$107.5	\$69.0	\$38.5	-71.5%	-32.0%	-68.2%	-19.0%
Contracts / Grants	\$4,941.2	\$4,470.7	\$470.5	\$1,450.4	\$1,223.2	\$227.2	\$739.1	\$805.4	(\$66.3)	-85.0%	-82.0%	-49.0%	-34.2%
Other	\$384.4	\$769.1	(\$384.7)	\$45.8	\$604.0	(\$558.2)	\$423.7	\$654.6	(\$230.9)	10.2%	-14.9%	825.1%	8.4%
Carryover				\$184.5			\$0.0	\$1,345.0	(\$1,235.3)				
Payroll									\$0.0				
Travel													
Contracts / Grants									\$1,235.3				
Other				\$184.5					\$109.7				
Brownfields	\$0.0	\$146.9		\$0.0	\$12.1								
Payroll		\$142.9			\$11.1								
Travel		\$3.7			\$1.0								
Contracts / Grants													
Other		\$0.3											
Management & Support	\$5,211.2	\$5,146.8	\$64.4	\$5,058.0	\$5,038.5	\$19.5	\$4,935.6	\$5,195.2	(\$259.6)	-5.3%	0.9%	-2.4%	3.1%
Fiscal Year Appropriation	\$5,211.2	\$5,146.8	\$64.4	\$4,532.7	\$5,038.5	(\$505.8)	\$4,935.6	\$5,195.2	(\$259.6)	-5.3%	0.9%	8.9%	3.1%
Payroll	\$2,855.1	\$3,180.8	(\$325.7)	\$2,646.0	\$3,062.6	(\$416.6)	\$2,907.7	\$3,294.3	(\$386.6)	1.8%	3.6%	9.9%	7.6%
Travel	\$109.0	\$43.0	\$66.0	\$116.0	\$64.0	\$52.0	\$322.1	\$46.0	\$276.1	195.5%	7.0%	177.7%	-28.1%
Contracts / Grants	\$1,313.9	\$1,340.0	(\$26.1)	\$1,231.1	\$851.4	\$379.7	\$1,191.2	\$1,335.8	(\$144.6)	-9.3%	-0.3%	-3.2%	56.9%
Other	\$933.2	\$583.0	\$350.2	\$539.6	\$1,060.5	(\$520.9)	\$514.6	\$519.1	(\$4.5)	-44.9%	-11.0%	-4.6%	-51.1%
Carryover				\$525.3			\$0.0	\$0.0	\$0.0				
Payroll				\$525.3									
Travel				\$228.2									
Contracts / Grants				\$66.0									
Other				\$173.3					\$0.0				
Brownfields	\$0.0	\$0.0		\$0.0	\$0.0								
Payroll													
Travel													
Contracts / Grants													
Other													
Brownfields Carryover													
Payroll													
Travel													
Contracts / Grants													
Other													

*FY2000 Actuals include 78.2 in Agency Unallocated resources

*FY 1999 Operating Plan does not include Carryover, but FY 1999 Actuals do include carryover.

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*Homeland Security Resources for FY 2003 are not broken out for each region, but a regional total is included on the Regional Total Sheet.

For FY 1999 and FY 2003, RESPONSE FTE includes distribution of reimbursable Base Restoration & Closure FTE

**Superfund Resource and FTE Breakout
FY1999 thru FY2003
Region 05**

	FY1999			FY2000			FY2003			% Change			
	Operating Plan	FY1999 Actuals	Difference	Operating Plan	FY2000 Actuals	Difference	Operating Plan	FY2003 Actuals	Difference	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total	431.1	436.2	(5.1)	422.3	411.2	11.1	402.4	398.3	4.1	-6.7%	-8.7%	-4.7%	-3.1%
Response	204.1	214.3	(10.2)	202.0	195.7	6.3	191.1	189.1	2.0	-6.4%	-11.8%	-5.4%	-3.4%
Enforcement	175.5	171.3	4.2	172.2	165.2	7.0	169.2	164.4	4.8	-3.6%	-4.0%	-1.7%	-0.5%
Management & Support	51.5	50.6	0.9	48.1	50.3	(2.2)	42.1	44.8	(2.7)	-18.3%	-11.5%	-12.5%	-10.9%
Resources Total	\$110,933.4	\$152,060.1	(\$41,126.7)	\$79,490.1	\$139,429.5	(\$59,939.4)	\$88,562.5	\$115,906.5	(\$27,344.0)	-20.2%	-23.8%	11.4%	-16.9%
Payroll	\$30,865.9	\$31,824.4	(\$958.5)	\$32,622.6	\$32,641.0	(\$18.4)	\$38,691.7	\$39,398.6	(\$706.9)	25.4%	23.8%	18.6%	20.7%
Travel	\$1,348.7	\$927.5	\$421.2	\$1,348.7	\$663.6	\$685.1	\$1,292.5	\$1,169.4	\$133.1	-4.2%	25.0%	-4.2%	74.7%
Contracts / Grants	\$73,345.6	\$114,421.4	(\$41,075.8)	\$42,645.1	\$101,954.3	(\$59,309.2)	\$45,859.3	\$71,131.0	(\$25,271.7)	-37.5%	-37.8%	7.5%	-30.2%
Other	\$5,373.2	\$4,886.8	\$486.4	\$2,873.7	\$4,170.6	(\$1,296.9)	\$2,719.0	\$4,217.5	(\$1,498.5)	-49.4%	-13.7%	-5.4%	1.1%
Response	\$86,280.5	\$127,932.3	(\$33,370.8)	\$56,935.8	\$114,403.9	(\$51,736.0)	\$63,215.7	\$86,923.6	(\$23,707.9)	-26.7%	-32.1%	11.0%	-24.0%
Fiscal Year Appropriation	\$85,126.8	\$118,497.6	(\$33,370.8)	\$54,478.0	\$106,214.0	(\$51,736.0)	\$63,215.7	\$83,693.2	(\$20,477.5)	-25.7%	-29.4%	16.0%	-21.2%
Payroll	\$14,122.5	\$14,638.3	(\$515.8)	\$14,447.6	\$14,167.5	\$280.1	\$17,650.0	\$17,845.8	(\$195.8)	25.0%	21.9%	22.2%	26.0%
Travel	\$603.4	\$542.0	\$61.4	\$626.8	\$413.7	\$213.1	\$594.4	\$717.8	(\$123.4)	-1.5%	32.4%	-5.2%	73.5%
Contracts / Grants	\$68,288.6	\$100,984.1	(\$32,695.5)	\$38,140.4	\$90,238.5	(\$52,098.1)	\$44,221.1	\$62,875.4	(\$18,654.3)	-35.2%	-37.7%	15.9%	-30.3%
Other	\$2,112.3	\$2,333.2	(\$220.9)	\$1,263.2	\$1,394.3	(\$131.1)	\$750.2	\$2,254.2	(\$1,504.0)	-64.5%	-3.4%	-40.6%	61.7%
Carryover				\$374.3	\$0.0		\$0.0	\$2,589.1	(\$2,529.1)				
Payroll				\$374.3									
Travel								\$2,529.1	(\$2,529.1)				
Contracts / Grants								\$60.0					
Other													
Homeland Security	\$0.0						\$0.0	\$641.3	(\$641.3)				
Payroll								\$228.3	(\$228.3)				
Travel								\$6.2	(\$6.2)				
Contracts / Grants								\$222.7	(\$222.7)				
Other								\$184.1	(\$184.1)				
Brownfields	\$1,153.7	\$9,434.7	(\$8,281.0)	\$2,083.5	\$8,189.9	(\$6,106.4)							
Payroll	\$620.6	\$674.4	(\$53.8)	\$437.6	\$735.9	(\$298.3)							
Travel	\$18.1	\$40.2	(\$22.1)	\$18.6	\$38.3	(\$19.7)							
Contracts / Grants	\$500.0	\$8,708.3	(\$8,208.3)	\$1,600.0	\$7,399.9	(\$5,799.9)							
Other	\$15.0	\$11.8	\$3.2	\$27.3	\$15.8	\$11.5							
Enforcement	\$0.0	\$17,568.8	(\$17,568.8)	\$0.0	\$17,869.7	(\$17,869.7)	\$19,012.9	\$22,408.2	(\$3,395.3)	#DIV/0!	27.5%	#DIV/0!	25.4%
Fiscal Year Appropriation	\$0.0	\$17,568.8	(\$17,568.8)	\$0.0	\$17,869.7	(\$17,869.7)	\$19,012.9	\$21,721.2	(\$2,708.3)	#DIV/0!	25.1%	#DIV/0!	21.7%
Payroll	\$13,316.9	\$12,544.3	\$772.6	\$13,504.6	\$13,563.9	(\$59.3)	\$16,947.1	\$16,993.7	(\$46.6)	27.3%	35.5%	25.5%	25.3%
Travel	\$567.7	\$283.9	\$283.8	\$582.0	\$147.3	\$434.7	\$578.0	\$365.6	\$212.4	1.8%	28.8%	-0.7%	148.2%
Contracts / Grants	\$3,695.8	\$2,893.2	\$802.6	\$1,923.6	\$2,964.4	(\$1,040.8)	\$959.7	\$3,928.1	(\$2,968.4)	-74.0%	35.8%	-50.1%	32.5%
Other	\$285.4	\$1,643.6	(\$1,358.2)	\$49.2	\$1,176.8	(\$1,127.6)	\$528.1	\$433.8	\$94.3	85.0%	-73.6%	973.4%	-63.1%
Carryover				\$0.0			\$0.0	\$343.5	(\$343.5)				
Payroll								\$99.3	(\$99.3)				
Travel													
Contracts / Grants								\$244.2	(\$244.2)				
Other													
Brownfields	\$0.0	\$203.8		\$0.0	\$17.3								
Payroll		\$189.3			\$9.3								
Travel		\$5.7			\$7.2								
Contracts / Grants													
Other		\$8.8			\$0.8								
Management & Support	\$6,787.1	\$6,559.0	\$228.1	\$6,494.9	\$6,964.4	(\$469.5)	\$6,333.9	\$6,918.2	(\$584.3)	-6.7%	5.5%	-2.5%	-0.7%
Fiscal Year Appropriation	\$6,787.1	\$6,559.0	\$228.1	\$6,193.7	\$6,964.4	(\$770.7)	\$6,333.9	\$6,918.2	(\$584.3)	-6.7%	5.5%	2.3%	-0.7%
Payroll	\$2,805.9	\$3,778.1	(\$972.2)	\$3,858.5	\$4,164.4	(\$305.9)	\$4,094.6	\$4,231.5	(\$136.9)	45.9%	12.0%	8.1%	1.8%
Travel	\$159.5	\$55.7	\$103.8	\$121.3	\$57.1	\$64.2	\$120.1	\$69.8	\$50.3	-24.7%	25.3%	-1.0%	22.2%
Contracts / Grants	\$861.2	\$1,835.8	(\$974.6)	\$679.9	\$1,351.5	(\$671.6)	\$678.5	\$1,331.5	(\$653.0)	-21.2%	-27.5%	-0.2%	-1.5%
Other	\$2,960.5	\$889.4	\$2,071.1	\$1,534.0	\$1,391.4	\$142.6	\$1,440.7	\$1,285.4	\$155.3	-51.3%	44.5%	-6.1%	-7.6%
Carryover				\$301.2			\$0.0	\$0.0	\$0.0				
Payroll													
Travel													
Contracts / Grants				\$301.2					\$0.0				
Other									\$0.0				
Brownfields	\$0.0	\$0.0		\$0.0	\$0.0								
Payroll													
Travel													
Contracts / Grants													
Other													
Brownfields Carryover													
Payroll													
Travel													
Contracts / Grants													
Other													

*FY2000 Actuals include 191.5 in Agency allocated resources

*FY 1999 Operating Plan does not include Carryover, but FY 1999 Actuals do include carryover.

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*Homeland Security Resources for FY 2003 are not broken out for each region, but a regional total is included on the Regional Total Sheet.
For FY 1999 and FY 2003, RESPONSE FTE includes distribution of reimbursable Base Restoration & Closure FTE

**Superfund Resource and FTE Breakout
FY1999 thru FY2003
Region 06**

										% Change			
FY1999				FY2000			FY2003			1999 to 2003	1999 to 2003	2000 to 2003	2000 to 2003
	Operating Plan	FY1999 Actuals	Difference	Operating Plan	FY2000 Actuals	Difference	Operating Plan	FY2003 Actuals	Difference	Operating Plan	Actuals	Operating Plan	Actuals
FTE Total	199.5	201.9	(2.4)	196.0	192.6	3.4	183.8	182.4	1.4	-7.9%	-9.7%	-6.2%	-5.3%
Response	118.1	119.8	(1.7)	116.2	123.5	(7.3)	106.8	109.5	(2.7)	-9.6%	-8.6%	-8.1%	-11.3%
Enforcement	57.7	52.4	5.3	56.7	46.9	9.8	55.8	51.8	4.0	-3.3%	-1.1%	-1.6%	10.4%
Management & Support	23.7	29.7	(6.0)	23.1	22.2	0.9	21.2	21.1	0.1	-10.5%	-29.0%	-8.2%	-5.0%
Resources Total	\$51,810.2	\$100,738.8	(\$48,928.6)	\$43,459.3	\$93,009.8	(\$49,550.5)	\$59,332.4	\$91,161.8	(\$31,829.4)	14.5%	-9.5%	36.5%	-2.0%
Payroll	\$14,086.4	\$14,020.6	\$65.8	\$14,811.4	\$14,472.3	\$339.1	\$17,193.2	\$16,766.0	\$427.2	22.1%	19.6%	16.1%	15.8%
Travel	\$476.7	\$491.0	(\$14.3)	\$662.9	\$504.6	\$158.3	\$547.0	\$509.3	\$37.7	14.7%	3.7%	-17.5%	0.9%
Contracts / Grants	\$34,997.5	\$83,486.0	(\$48,488.5)	\$26,500.1	\$75,689.9	(\$49,189.8)	\$39,988.5	\$71,361.1	(\$31,372.6)	14.3%	-14.5%	50.9%	-5.7%
Other	\$2,249.6	\$2,741.2	(\$491.6)	\$1,484.9	\$2,343.0	(\$858.1)	\$1,603.7	\$2,525.4	(\$921.7)	-28.7%	-7.9%	8.0%	7.8%
Response	\$40,681.1	\$89,256.7	(\$44,673.1)	\$33,400.3	\$82,375.0	(\$45,963.1)	\$49,683.2	\$81,525.3	(\$31,842.1)	22.1%	-8.7%	48.8%	-1.0%
Fiscal Year Appropriation	\$39,816.5	\$84,489.6	(\$44,673.1)	\$31,220.5	\$77,183.6	(\$45,963.1)	\$49,683.2	\$60,503.6	(\$10,820.4)	24.8%	-28.4%	59.1%	-21.6%
Payroll	\$7,728.5	\$7,631.3	\$97.2	\$8,173.7	\$8,573.0	(\$399.3)	\$9,787.2	\$9,760.6	\$26.6	26.6%	27.9%	19.7%	13.9%
Travel	\$224.5	\$374.5	(\$150.0)	\$457.6	\$395.7	\$61.9	\$459.0	\$409.0	\$50.0	104.5%	9.2%	0.3%	3.4%
Contracts / Grants	\$30,704.2	\$74,428.0	(\$43,723.8)	\$21,978.2	\$67,015.1	(\$45,036.9)	\$38,787.8	\$48,537.4	(\$9,749.6)	26.3%	-34.8%	76.5%	-27.6%
Other	\$1,159.3	\$2,055.8	(\$896.5)	\$611.0	\$1,199.8	(\$588.8)	\$649.2	\$1,796.6	(\$1,147.4)	-44.0%	-12.6%	6.3%	49.7%
Carryover				\$158.3	\$0.0		\$0.0	\$20,579.5	(\$20,579.5)				
Payroll				\$90.3									
Travel													
Contracts / Grants								\$20,579.5	(\$20,579.5)				
Other				\$68.0									
Homeland Security	\$0.0						\$0.0	\$442.2	(\$442.2)				
Payroll									\$0.0				
Travel								\$3.6	(\$3.6)				
Contracts / Grants								\$438.6	(\$438.6)				
Other									\$0.0				
Brownfields	\$864.6	\$4,767.1	(\$3,902.5)	\$2,021.5	\$5,191.4	(\$3,169.9)							
Payroll	\$320.1	\$560.8	(\$240.7)	\$348.0	\$407.0	(\$59.0)							
Travel	\$16.6	\$40.4	(\$23.8)	\$50.1	\$37.0	\$13.1							
Contracts / Grants	\$500.0	\$4,165.9	(\$3,665.9)	\$1,600.0	\$4,736.3	(\$3,136.3)							
Other	\$27.9			\$23.4	\$11.1	\$12.3							
Enforcement	\$7,963.2	\$8,594.0	(\$630.8)	\$6,815.5	\$7,332.6	(\$517.1)	\$6,464.6	\$6,867.8	(\$403.2)	-18.8%	-20.1%	-5.1%	-6.3%
Fiscal Year Appropriation	\$7,894.2	\$8,542.6	(\$648.4)	\$6,743.3	\$7,331.9	(\$588.6)	\$6,464.6	\$5,993.2	\$471.4	-18.1%	-29.8%	-4.1%	-18.3%
Payroll	\$4,285.1	\$3,849.9	\$435.2	\$4,542.3	\$3,853.1	\$689.2	\$5,496.8	\$5,074.1	\$422.7	28.3%	31.8%	21.0%	31.7%
Travel	\$137.7	\$51.7	\$86.0	\$54.8	\$37.4	\$17.4	\$45.3	\$61.3	(\$16.0)	-67.1%	18.6%	-17.3%	63.9%
Contracts / Grants	\$3,426.4	\$4,382.4	(\$956.0)	\$2,128.5	\$3,279.2	(\$1,150.7)	\$764.6	\$661.9	\$102.7	-77.7%	-84.9%	-64.1%	-79.8%
Other	\$45.0	\$258.6	(\$213.6)	\$17.7	\$162.2	(\$144.5)	\$157.9	\$195.9	(\$38.0)	250.9%	-24.2%	792.1%	20.8%
Carryover				\$72.2			\$0.0	\$437.3	(\$437.3)				
Payroll									\$0.0				
Travel													
Contracts / Grants								\$437.3	(\$437.3)				
Other				\$72.2									
Brownfields	\$69.0	\$51.4	\$17.6	\$0.0	\$0.7								
Payroll	\$65.0	\$50.2	\$14.8		\$0.7								
Travel	\$4.0	\$1.2	\$2.8	\$0.0	\$0.0								
Contracts / Grants													
Other													
Management & Support	\$3,165.9	\$2,888.1	\$277.8	\$3,243.5	\$3,221.3	\$22.2	\$3,393.6	\$3,415.0	(\$21.4)	7.2%	18.2%	4.6%	6.0%
Fiscal Year Appropriation	\$3,153.3	\$2,873.4	\$279.9	\$2,751.9	\$3,205.5	(\$453.6)	\$2,975.6	\$2,997.0	(\$21.4)	-5.6%	4.3%	8.1%	-6.5%
Payroll	\$1,675.1	\$1,913.7	(\$238.6)	\$1,643.3	\$1,622.9	\$20.4	\$1,909.2	\$1,931.3	(\$22.1)	14.0%	0.9%	16.2%	19.0%
Travel	\$93.9	\$23.2	\$70.7	\$29.7	\$34.3	(\$4.6)	\$42.7	\$35.4	\$7.3	-54.5%	52.6%	43.8%	3.2%
Contracts / Grants	\$366.9	\$509.7	(\$142.8)	\$386.3	\$659.3	(\$273.0)	\$436.1	\$706.4	(\$270.3)	18.9%	38.6%	12.9%	7.1%
Other	\$1,017.4	\$426.8	\$590.6	\$692.6	\$889.0	(\$196.4)	\$587.6	\$323.9	\$263.7	-42.2%	-24.1%	-15.2%	-63.6%
Carryover				\$477.8			\$209.0	\$209.0	\$0.0				
Payroll													
Travel				\$70.7									
Contracts / Grants				\$407.1									
Other							\$209.0	\$209.0	\$0.0				
Brownfields	\$12.6	\$14.7	(\$2.1)	\$13.8	\$15.8	(\$2.0)							
Payroll	\$12.6	\$14.7	(\$2.1)	\$13.8	\$15.6	(\$1.8)							
Travel					\$0.2								
Contracts / Grants													
Other													
Brownfields Carryover													
Payroll													
Travel													
Contracts / Grants													
Other													

*FY2000 Actuals include 80.9 in Agency Unallocated resources

*FY 1999 Operating Plan does not include Carryover, but FY 1999 Actuals do include carryover

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*Homeland Security Resources for FY 2003 are not broken out for each region, but a regional total is included on the Regional Total Sheet.

For FY 1999 and FY 2003, RESPONSE FTE includes distribution of reimbursable Base Restoration & Closure FTE

**Superfund Resource and FTE Breakout
FY1999 thru FY2003
Region 07**

	FY1999			FY2000			FY2003			% Change			
	Operating Plan	FY1999 Actuals	Difference	Operating Plan	FY2000 Actuals	Difference	Operating Plan	FY2003 Actuals	Difference	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total	177.6	173.8	3.8	175.0	172.9	2.1	170.0	161.9	8.1	-4.3%	-6.8%	-2.9%	-6.4%
Response	83.3	84.0	(0.7)	82.6	77.4	5.2	78.9	75.4	3.5	-5.3%	-10.2%	-4.5%	-2.6%
Enforcement	66.9	65.8	1.1	65.6	73.6	(8.0)	64.5	62.4	2.1	-3.6%	-5.2%	-1.7%	-15.2%
Management & Support	27.4	24.0	3.4	26.8	21.9	4.9	26.6	24.1	2.5	-2.9%	0.4%	-0.7%	10.0%
Resources Total	\$38,017.5	\$54,492.7	(\$16,475.2)	\$30,196.3	\$49,254.6	(\$19,058.3)	\$34,239.3	\$45,233.9	(\$10,994.6)	-9.9%	-17.0%	13.4%	-8.2%
Payroll	\$12,352.9	\$12,256.9	\$96.0	\$12,802.5	\$12,802.1	\$100.4	\$15,413.6	\$14,759.1	\$654.5	24.8%	20.4%	19.5%	15.3%
Travel	\$593.7	\$262.2	\$331.5	\$593.7	\$345.2	\$248.5	\$517.0	\$492.8	\$24.2	-12.9%	87.9%	-12.9%	42.8%
Contracts / Grants	\$22,614.8	\$39,598.4	(\$16,983.6)	\$15,075.9	\$34,233.2	(\$19,157.3)	\$17,170.6	\$27,334.4	(\$10,163.8)	-24.1%	-31.0%	13.9%	-20.2%
Other	\$2,456.1	\$2,375.2	\$80.9	\$1,624.2	\$1,874.1	(\$249.9)	\$1,138.1	\$2,647.6	(\$1,509.5)	-53.7%	11.5%	-29.9%	41.3%
Response	\$28,561.8	\$44,926.2	(\$16,214.8)	\$20,400.1	\$39,137.3	(\$18,088.5)	\$24,452.0	\$34,848.4	(\$10,396.4)	-14.4%	-22.4%	19.9%	-11.0%
Fiscal Year Appropriation	\$27,820.1	\$42,034.9	(\$14,214.8)	\$19,325.8	\$35,414.3	(\$16,088.5)	\$24,452.0	\$30,206.6	(\$5,754.6)	-12.1%	-28.1%	26.5%	-14.7%
Payroll	\$5,779.1	\$5,856.6	(\$77.5)	\$5,791.7	\$5,555.8	\$235.9	\$7,396.8	\$7,009.3	\$387.5	28.0%	19.7%	27.7%	26.2%
Travel	\$296.8	\$167.0	\$129.8	\$375.7	\$191.9	\$183.8	\$374.7	\$279.7	\$95.0	26.2%	67.5%	-0.3%	45.8%
Contracts / Grants	\$20,598.6	\$34,606.0	(\$14,007.4)	\$12,703.7	\$28,588.4	(\$15,884.7)	\$16,284.8	\$21,516.2	(\$5,231.4)	-20.9%	-37.8%	28.2%	-24.7%
Other	\$1,145.6	\$1,405.3	(\$259.7)	\$454.7	\$1,078.2	(\$623.5)	\$395.7	\$1,401.4	(\$1,005.7)	-65.5%	-0.3%	-13.0%	30.0%
Carryover				\$113.2	\$0.0		\$0.0	\$4,630.4	(\$4,436.2)				
Payroll													
Travel								\$4,436.2	(\$4,436.2)				
Contracts / Grants				\$113.2				\$194.2					
Other													
Homeland Security	\$0.0						\$0.0	\$11.4	(\$11.4)				
Payroll								\$11.4	(\$11.4)				
Travel													
Contracts / Grants													
Other													
Brownfields	\$741.7	\$2,891.3	(\$2,149.6)	\$961.1	\$3,723.0	(\$2,761.9)							
Payroll	\$287.0	\$294.2	(\$7.2)	\$303.8	\$349.4	(\$45.6)							
Travel	\$42.4	\$34.6	\$7.8	\$45.0	\$38.2	\$6.8							
Contracts / Grants	\$400.0	\$2,492.5	(\$2,092.5)	\$600.0	\$3,321.5	(\$2,721.5)							
Other	\$12.3	\$70.0	(\$57.7)	\$12.3	\$13.9	(\$1.6)							
Enforcement	\$6,414.8	\$6,871.2	(\$456.4)	\$6,497.3	\$6,911.2	(\$413.9)	\$6,659.3	\$7,301.6	(\$642.3)	3.8%	6.3%	2.5%	5.6%
Fiscal Year Appropriation	\$6,414.8	\$6,871.2	(\$456.4)	\$6,497.3	\$6,911.2	(\$413.9)	\$6,659.3	\$6,517.0	\$142.3	3.8%	-5.2%	2.5%	-5.7%
Payroll	\$4,883.5	\$4,826.5	\$57.0	\$5,131.4	\$5,465.4	(\$334.0)	\$5,952.2	\$5,789.4	\$162.8	21.9%	20.0%	16.0%	5.9%
Travel	\$127.3	\$30.3	\$97.0	\$60.0	\$56.9	\$3.1	\$59.5	\$80.9	(\$21.4)	-53.3%	167.0%	-0.8%	42.2%
Contracts / Grants	\$900.2	\$1,794.8	(\$894.6)	\$1,059.2	\$1,132.6	(\$73.4)	\$445.2	\$513.4	(\$68.2)	-50.5%	-71.4%	-58.0%	-54.7%
Other	\$503.8	\$219.6	\$284.2	\$246.7	\$256.3	(\$9.6)	\$202.4	\$133.3	\$69.1	-59.8%	-39.3%	-18.0%	-48.0%
Carryover				\$0.0			\$0.0	\$392.3	(\$278.9)				
Payroll								\$35.1	(\$35.1)				
Travel													
Contracts / Grants								\$243.8	(\$243.8)				
Other								\$113.4					
Brownfields	\$0.0	\$0.0		\$0.0	\$0.0								
Payroll													
Travel													
Contracts / Grants													
Other													
Management & Support	\$3,040.9	\$2,695.3	\$345.6	\$3,298.9	\$3,031.8	\$267.1	\$3,128.0	\$3,535.5	(\$407.5)	2.9%	31.2%	-5.2%	16.6%
Fiscal Year Appropriation	\$3,028.2	\$2,682.6	\$345.6	\$2,811.7	\$3,019.1	(\$207.4)	\$3,128.0	\$3,416.9	(\$288.9)	3.3%	27.4%	11.2%	13.2%
Payroll	\$1,390.6	\$1,266.9	\$123.7	\$1,663.7	\$1,418.8	\$244.9	\$2,064.6	\$1,913.9	\$150.7	48.5%	51.1%	24.1%	34.9%
Travel	\$127.2	\$30.3	\$96.9	\$113.0	\$58.2	\$54.8	\$82.8	\$132.2	(\$49.4)	-34.9%	336.3%	-26.7%	127.1%
Contracts / Grants	\$716.0	\$705.1	\$10.9	\$512.7	\$1,190.7	(\$678.0)	\$440.6	\$578.8	(\$138.2)	-38.5%	-17.9%	-14.1%	-51.4%
Other	\$794.4	\$680.3	\$114.1	\$522.3	\$351.4	\$170.9	\$540.0	\$792.0	(\$252.0)	-32.0%	16.4%	3.4%	125.4%
Carryover				\$475.3			\$0.0	\$59.3	(\$59.3)				
Payroll													
Travel													
Contracts / Grants				\$200.3				\$46.0	(\$46.0)				
Other				\$275.0				\$13.3	(\$13.3)				
Brownfields	\$12.7	\$12.7	\$0.0	\$11.9	\$12.7	(\$0.8)							
Payroll	\$12.7	\$12.7	\$0.0	\$11.9	\$12.7	(\$0.8)							
Travel													
Contracts / Grants													
Other													
Brownfields Carryover													
Payroll													
Travel													
Contracts / Grants													
Other													

*FY2000 Actuals include 78.2 in Agency Unallocated resources

*FY 1999 Operating Plan does not include Carryover, but FY 1999 Actuals do include carryover

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*Homeland Security Resources for FY 2003 are not broken out for each region, but a regional total is included on the Regional Total Sheet.

For FY 1999 and FY 2003, RESPONSE FTE includes distribution of reimbursable Base Restoration & Closure FTE

**Superfund Resource and FTE Breakout
FY1999 thru FY2003
Region 08**

	FY1999			FY2000			FY2003			% Change			
	Operating Plan	FY1999 Actuals	Difference	Operating Plan	FY2000 Actuals	Difference	Operating Plan	FY2003 Actuals	Difference	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total	193.1	185.8	7.3	189.7	186.8	2.9	181.4	184.6	(3.2)	-6.1%	-0.6%	-4.4%	-1.2%
Response	101.0	102.3	(1.3)	101.5	106.7	(5.2)	95.9	100.4	(4.5)	-5.0%	-1.9%	-5.5%	-5.9%
Enforcement	59.0	52.4	6.6	65.2	53.5	11.7	64.1	62.4	1.7	8.6%	19.1%	-1.7%	16.6%
Management & Support	33.1	31.1	2.0	23.0	26.6	(3.6)	21.4	21.8	(0.4)	-35.3%	-29.9%	-7.0%	-18.0%
Resources Total	\$48,115.3	\$90,618.2	(\$42,502.9)	\$52,107.3	\$101,952.5	(\$49,845.2)	\$55,036.0	\$102,919.0	(\$47,883.0)	14.4%	13.6%	5.6%	0.9%
Payroll	\$13,954.6	\$14,018.5	(\$63.9)	\$15,682.5	\$15,036.8	\$645.7	\$17,702.0	\$17,375.2	\$326.8	26.9%	23.9%	12.9%	15.6%
Travel	\$543.7	\$503.5	\$40.2	\$618.0	\$503.1	\$114.9	\$565.0	\$512.9	\$52.1	3.9%	1.9%	-8.6%	1.9%
Contracts / Grants	\$31,833.2	\$74,131.2	(\$42,298.0)	\$34,598.4	\$84,040.6	(\$49,442.2)	\$35,341.0	\$82,120.5	(\$46,779.5)	11.0%	10.8%	2.1%	-2.3%
Other	\$1,783.8	\$1,965.0	(\$181.2)	\$1,208.4	\$2,372.0	(\$1,163.6)	\$1,426.0	\$2,910.4	(\$1,484.4)	-19.9%	48.1%	18.2%	22.7%
Response	\$35,473.6	\$77,433.0	(\$38,873.2)	\$40,851.8	\$88,210.6	(\$45,668.8)	\$44,220.3	\$91,418.4	(\$47,198.1)	24.7%	18.1%	8.2%	3.6%
Fiscal Year Appropriation	\$34,607.8	\$73,481.0	(\$38,873.2)	\$39,650.9	\$85,319.7	(\$45,668.8)	\$44,220.3	\$72,181.7	(\$27,961.4)	27.8%	-1.8%	11.5%	-15.4%
Payroll	\$6,943.5	\$7,238.7	(\$295.2)	\$7,546.5	\$8,092.8	(\$546.3)	\$9,261.0	\$9,227.2	\$33.8	33.4%	27.5%	22.7%	14.0%
Travel	\$273.8	\$304.0	(\$30.2)	\$396.8	\$323.2	\$72.6	\$360.6	\$391.3	(\$30.7)	31.7%	28.7%	-8.9%	21.1%
Contracts / Grants	\$26,681.8	\$64,533.8	(\$37,852.0)	\$31,215.2	\$75,138.8	(\$43,923.6)	\$33,901.9	\$60,485.5	(\$26,583.6)	27.1%	-6.3%	8.6%	-19.5%
Other	\$708.7	\$1,404.5	(\$695.8)	\$493.4	\$1,764.9	(\$1,271.5)	\$696.8	\$2,077.7	(\$1,380.9)	-1.7%	47.9%	41.2%	17.7%
Carryover				\$147.5	\$0.0		\$0.0	\$19,073.8	(\$19,073.8)				
Payroll				\$147.5	\$0.0		\$0.0	\$19,073.8	(\$19,073.8)				
Travel													
Contracts / Grants													
Other													
Homeland Security	\$0.0						\$0.0	\$162.9	(\$162.9)				
Payroll									\$0.0				
Travel									\$0.0				
Contracts / Grants								\$44.6	(\$44.6)				
Other								\$118.3	(\$118.3)				
Brownfields	\$865.8	\$3,952.0	(\$3,086.2)	\$1,053.4	\$2,890.9	(\$1,837.5)							
Payroll	\$292.7	\$223.5	\$69.2	\$391.9	\$188.6	\$203.3							
Travel	\$57.4	\$41.0	\$16.4	\$48.0	\$41.7	\$6.3							
Contracts / Grants	\$500.0	\$3,687.0	(\$3,187.0)	\$600.0	\$2,651.8	(\$2,051.8)							
Other	\$15.7	\$0.5	\$15.2	\$13.5	\$8.8	\$4.7							
Enforcement	\$9,789.1	\$10,186.7	(\$397.6)	\$8,577.8	\$10,973.6	(\$2,395.8)	\$7,893.1	\$9,589.9	(\$1,696.8)	-19.4%	-5.9%	-8.0%	-12.6%
Fiscal Year Appropriation	\$9,773.5	\$10,186.7	(\$413.2)	\$8,448.6	\$10,972.5	(\$2,523.9)	\$7,893.1	\$7,873.7	\$19.4	-19.2%	-22.7%	-6.6%	-28.2%
Payroll	\$5,336.4	\$4,547.6	\$788.8	\$6,024.1	\$4,937.4	\$1,086.7	\$6,656.6	\$6,455.2	\$201.4	24.7%	41.9%	10.5%	30.7%
Travel	\$164.6	\$98.2	\$66.4	\$111.8	\$78.8	\$33.0	\$106.0	\$77.1	\$28.9	-35.6%	-21.5%	-5.2%	-2.2%
Contracts / Grants	\$3,816.7	\$5,301.9	(\$1,485.2)	\$2,226.8	\$5,725.1	(\$3,498.3)	\$906.3	\$1,071.8	(\$165.5)	-76.3%	-79.8%	-59.3%	-81.3%
Other	\$455.8	\$239.0	\$216.8	\$85.9	\$231.2	(\$145.3)	\$224.2	\$269.6	(\$45.4)	-50.8%	12.8%	161.0%	16.0%
Carryover				\$129.2			\$0.0	\$858.1	(\$858.1)				
Payroll				\$129.2			\$0.0	\$858.1	(\$858.1)				
Travel									\$0.0				
Contracts / Grants													
Other													
Brownfields	\$15.6	\$0.0		\$0.0	\$1.1								
Payroll	\$15.6	\$0.0		\$0.0	\$1.1								
Travel													
Contracts / Grants													
Other													
Management & Support	\$2,852.6	\$2,998.5	(\$145.9)	\$2,677.7	\$2,668.8	\$8.9	\$3,069.0	\$2,800.6	\$268.4	7.6%	-6.6%	14.6%	4.9%
Fiscal Year Appropriation	\$2,834.0	\$2,981.4	(\$147.4)	\$2,663.6	\$2,651.9	\$11.7	\$2,776.2	\$2,737.0	\$39.2	-2.0%	-8.2%	4.2%	3.2%
Payroll	\$1,347.8	\$1,991.6	(\$643.8)	\$1,558.4	\$1,800.0	(\$241.6)	\$1,638.0	\$1,692.8	(\$54.8)	21.5%	-15.0%	5.1%	-6.0%
Travel	\$47.9	\$60.3	(\$12.4)	\$62.4	\$59.4	\$3.0	\$98.4	\$44.5	\$53.9	105.4%	-26.2%	57.7%	-25.1%
Contracts / Grants	\$834.7	\$608.5	\$226.2	\$556.4	\$524.9	\$31.5	\$532.8	\$586.5	(\$53.7)	-36.2%	-3.6%	-4.2%	11.7%
Other	\$603.6	\$321.0	\$282.6	\$486.4	\$267.6	\$218.8	\$507.0	\$413.2	\$93.8	-16.0%	28.7%	4.2%	54.4%
Carryover				\$0.0			\$146.4	\$31.8	(\$31.8)				
Payroll				\$0.0			146.4	31.8	(31.8)				
Travel													
Contracts / Grants													
Other													
Brownfields	\$18.6	\$17.1	\$1.5	\$14.1	\$16.9	(\$2.8)							
Payroll	\$18.6	\$17.1	\$1.5	\$14.1	\$16.9	(\$2.8)							
Travel													
Contracts / Grants													
Other													
Brownfields Carryover													
Payroll													
Travel													
Contracts / Grants													
Other													

*FY2000 Actuals include 99.5 in Agency Unallocated resources

*FY 1999 Operating Plan does not include Carryover, but FY 1999 Actuals do include carryover.

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*Homeland Security Resources for FY 2003 are not broken out for each region, but a regional total is included on the Regional Total Sheet.

For FY 1999 and FY 2003, RESPONSE FTE Includes distribution of reimbursable Base Restoration & Closure FTE

**Superfund Resource and FTE Breakout
FY1999 thru FY2003
Region 09**

	FY1999			FY2000			FY2003			% Change			
	Operating Plan	FY1999 Actuals	Difference	Operating Plan	FY2000 Actuals	Difference	Operating Plan	FY2003 Actuals	Difference	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total	279.7	265.1	14.6	271.7	266.0	5.7	253.8	254.9	(1.1)	-9.3%	-3.8%	-6.6%	-4.2%
Response	142.3	146.6	(4.3)	147.8	155.5	(7.7)	135.3	143.7	(8.4)	-4.9%	-2.0%	-6.5%	-7.6%
Enforcement	81.6	71.5	10.1	94.7	80.9	13.8	92.8	87.0	5.8	13.7%	21.7%	-2.0%	7.5%
Management & Support	55.8	47.0	8.8	29.2	29.6	(0.4)	25.7	24.2	1.5	-53.9%	-48.5%	-12.0%	-18.2%
Resources Total	\$54,914.1	\$92,438.3	(\$37,524.2)	\$56,366.7	\$126,607.6	(\$70,240.9)	\$56,150.5	\$73,075.3	(\$16,924.8)	2.3%	-20.9%	-0.4%	-42.3%
Payroll	\$19,268.5	\$18,508.0	\$760.5	\$20,768.9	\$20,142.8	\$626.1	\$23,401.6	\$23,234.4	\$167.2	21.5%	25.5%	12.7%	15.3%
Travel	\$372.7	\$354.4	\$18.3	\$815.0	\$378.5	\$436.5	\$771.3	\$605.2	\$166.1	106.9%	70.8%	-5.4%	59.9%
Contracts / Grants	\$33,032.3	\$71,482.8	(\$38,450.5)	\$33,591.0	\$103,676.3	(\$70,085.3)	\$30,255.6	\$45,175.4	(\$14,919.8)	-8.4%	-36.8%	-9.9%	-56.4%
Other	\$2,240.6	\$2,093.1	\$147.5	\$1,191.8	\$2,410.0	(\$1,218.2)	\$1,722.0	\$4,060.3	(\$2,338.3)	-23.1%	94.0%	44.5%	68.5%
Response	\$38,493.3	\$72,813.4	(\$29,891.1)	\$41,159.0	\$106,052.7	(\$62,791.2)	\$39,530.8	\$56,412.7	(\$16,881.9)	2.7%	-22.5%	-4.0%	-46.8%
Fiscal Year Appropriation	\$37,471.1	\$67,362.2	(\$29,891.1)	\$38,904.8	\$101,696.0	(\$62,791.2)	\$39,530.8	\$55,017.2	(\$15,486.4)	5.5%	-18.3%	1.6%	-45.9%
Payroll	\$9,023.3	\$8,705.6	\$317.7	\$9,043.7	\$10,172.6	(\$1,128.9)	\$11,201.6	\$11,916.7	(\$715.1)	24.1%	36.9%	23.9%	17.1%
Travel	\$227.3	\$209.8	\$17.5	\$553.1	\$238.1	\$315.0	\$550.3	\$411.0	\$139.3	142.1%	95.9%	-0.5%	72.6%
Contracts / Grants	\$27,571.5	\$57,459.6	(\$29,888.1)	\$28,916.6	\$90,485.0	(\$61,568.4)	\$27,182.1	\$40,317.3	(\$13,135.2)	-1.4%	-29.8%	-6.0%	-56.4%
Other	\$649.0	\$987.2	(\$338.2)	\$391.4	\$800.3	(\$408.9)	\$596.8	\$2,372.2	(\$1,775.4)	-8.0%	140.3%	52.5%	196.4%
Carryover				\$569.1	\$0.0		\$0.0	\$685.6	(\$685.6)				
Payroll				\$569.1									
Travel								\$685.6	(\$685.6)				
Contracts / Grants													
Other													
Homeland Security	\$0.0						\$0.0	\$709.9	(\$709.9)				
Payroll								\$158.0	(\$158.0)				
Travel								\$21.6	(\$21.6)				
Contracts / Grants								\$144.6	(\$144.6)				
Other								\$385.7	(\$385.7)				
Brownfields	\$1,022.2	\$5,451.2		\$1,685.1	\$4,356.7								
Payroll	\$487.9	\$590.3		\$433.0	\$604.5								
Travel	\$32.4	\$41.1		\$38.0	\$44.5								
Contracts / Grants	\$498.0	\$4,818.9		\$1,200.0	\$3,704.2								
Other	\$3.9	\$0.9		\$14.1	\$3.5								
Enforcement	\$12,258.8	\$15,160.0	(\$2,901.2)	\$11,473.3	\$16,036.3	(\$4,563.0)	\$12,614.5	\$13,652.2	(\$1,037.7)	2.9%	-9.9%	9.9%	-14.9%
Fiscal Year Appropriation	\$12,215.8	\$15,061.8	(\$2,846.0)	\$11,470.3	\$16,034.5	(\$4,564.2)	\$12,614.5	\$11,920.6	\$693.9	3.3%	-20.9%	10.0%	-25.7%
Payroll	\$7,818.3	\$6,222.5	\$1,595.8	\$8,522.9	\$7,095.0	\$1,427.9	\$9,868.9	\$8,905.6	\$963.3	26.2%	43.1%	15.8%	25.5%
Travel	\$71.7	\$69.1	\$2.6	\$179.1	\$68.1	\$111.0	\$180.5	\$138.5	\$42.0	151.7%	100.4%	0.8%	103.4%
Contracts / Grants	\$4,010.3	\$8,401.1	(\$4,390.8)	\$2,853.6	\$8,546.4	(\$5,692.8)	\$2,304.2	\$2,279.5	\$24.7	-42.5%	-72.9%	-13.2%	-73.3%
Other	\$315.5	\$369.1	(\$53.6)	\$114.7	\$325.0	(\$210.3)	\$260.9	\$597.0	(\$336.1)	-17.3%	61.7%	127.5%	63.7%
Carryover				\$0.0			\$0.0	\$865.8	(\$820.4)				
Payroll								\$40.0	(\$40.0)				
Travel													
Contracts / Grants								\$780.4	(\$780.4)				
Other								\$45.4					
Brownfields	\$43.0	\$98.2	(\$55.2)	\$3.0	\$1.8	\$1.2							
Payroll	\$40.7	\$97.0	(\$56.3)		\$1.8	(\$1.8)							
Travel	\$1.1	\$1.2	(\$0.1)	\$3.0		\$3.0							
Contracts / Grants													
Other	\$1.2												
Management & Support	\$4,162.0	\$4,464.9	(\$302.9)	\$3,734.4	\$4,338.3	(\$603.9)	\$4,174.0	\$3,876.2	\$297.8	0.3%	-13.2%	11.8%	-10.7%
Fiscal Year Appropriation	\$4,147.0	\$4,454.5	(\$307.5)	\$3,727.8	\$4,338.3	(\$610.5)	\$3,836.4	\$3,876.2	(\$39.8)	-7.5%	-13.0%	2.9%	-10.7%
Payroll	\$1,883.3	\$2,882.2	(\$998.9)	\$2,193.6	\$2,268.9	(\$75.3)	\$2,331.1	\$2,214.1	\$117.0	23.8%	-23.2%	6.3%	-2.4%
Travel	\$40.2	\$33.2	\$7.0	\$41.8	\$27.8	\$14.0	\$40.5	\$34.1	\$6.4	0.7%	2.7%	-3.1%	22.7%
Contracts / Grants	\$952.5	\$803.2	\$149.3	\$820.8	\$940.7	(\$119.9)	\$769.3	\$968.0	(\$198.7)	-19.2%	20.5%	-6.3%	2.9%
Other	\$1,271.0	\$735.9	\$535.1	\$671.6	\$1,100.9	(\$429.3)	\$695.5	\$660.0	\$35.5	-45.3%	-10.3%	3.8%	-40.0%
Carryover				\$0.0			\$168.8	\$0.0	\$168.8				
Payroll													
Travel													
Contracts / Grants													
Other													
Brownfields	\$15.0	\$10.4	\$4.6	\$6.6	\$0.0	\$6.6							
Payroll	\$15.0	\$10.4	\$4.6	\$6.6		\$6.6							
Travel													
Contracts / Grants													
Other													
Brownfields Carryover													
Payroll													
Travel													
Contracts / Grants													
Other													

*FY2000 Actuals include 180.3 in Agency Unallocated resources

*FY 1999 Operating Plan does not include Carryover, but FY 1999 Actuals do include carryover

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*Homeland Security Resources for FY 2003 are not broken out for each region, but a regional total is included on the Regional Total Sheet.
For FY 1999 and FY 2003, RESPONSE FTE includes distribution of reimbursable Base Restoration & Closure FTE

**Superfund Resource and FTE Breakout
FY1999 thru FY2003
Region 10**

	FY1999			FY2000			FY2003			% Change			
	Operating Plan	FY1999 Actuals	Difference	Operating Plan	FY2000 Actuals	Difference	Operating Plan	FY2003 Actuals	Difference	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total	166.6	162.1	4.5	163.8	159.1	4.7	153.3	152.9	0.4	-8.0%	-5.7%	-6.4%	-3.9%
Response	81.6	89.2	(7.6)	80.5	83.1	(2.6)	74.6	77.6	(3.0)	-8.6%	-13.0%	-7.3%	-6.6%
Enforcement	66.3	54.4	11.9	65.0	57.0	8.0	63.9	57.1	6.8	-3.6%	5.0%	-1.7%	0.2%
Management & Support	18.7	18.5	0.2	18.3	19.0	(0.7)	14.8	18.2	(3.4)	-20.9%	-1.6%	-19.1%	-4.2%
Resources Total	\$42,678.9	\$72,956.9	(\$30,278.0)	\$28,687.8	\$63,010.2	(\$34,322.4)	\$39,999.2	\$60,692.7	(\$20,693.5)	-6.3%	-16.8%	39.4%	-3.7%
Payroll	\$12,355.1	\$11,876.7	\$478.4	\$13,374.1	\$12,765.8	\$608.3	\$14,766.2	\$14,908.7	(\$142.5)	19.5%	25.5%	10.4%	16.8%
Travel	\$459.7	\$283.5	\$176.2	\$566.0	\$361.6	\$204.4	\$520.0	\$405.4	\$114.6	13.1%	43.0%	-8.1%	12.1%
Contracts / Grants	\$28,356.9	\$59,315.6	(\$30,958.7)	\$13,581.7	\$48,319.0	(\$34,737.3)	\$23,359.6	\$43,136.7	(\$19,777.1)	-17.6%	-27.3%	72.0%	-10.7%
Other	\$1,507.2	\$1,481.1	\$26.1	\$1,166.0	\$1,563.8	(\$397.8)	\$1,353.4	\$2,241.9	(\$888.5)	-10.2%	51.4%	16.1%	43.4%
Response	\$33,638.7	\$64,290.2	(\$29,142.2)	\$19,106.0	\$54,313.0	(\$31,877.9)	\$30,113.9	\$50,904.0	(\$20,790.1)	-10.5%	-20.8%	57.6%	-6.3%
Fiscal Year Appropriation	\$32,746.1	\$61,888.3	(\$29,142.2)	\$17,230.1	\$49,108.0	(\$31,877.9)	\$30,113.9	\$38,740.5	(\$8,626.6)	-8.0%	-37.4%	74.8%	-21.1%
Payroll	\$5,613.0	\$6,106.9	(\$493.9)	\$6,053.0	\$6,230.6	(\$177.6)	\$7,048.1	\$7,449.8	(\$401.7)	25.6%	22.0%	16.4%	19.6%
Travel	\$188.6	\$144.5	\$44.1	\$265.7	\$193.8	\$71.9	\$265.0	\$230.8	\$34.2	40.5%	59.7%	-0.3%	19.1%
Contracts / Grants	\$26,448.8	\$54,767.0	(\$28,318.2)	\$10,601.8	\$41,995.1	(\$31,393.3)	\$22,316.3	\$29,817.4	(\$7,501.1)	-15.6%	-45.6%	110.5%	-29.0%
Other	\$495.7	\$869.9	(\$374.2)	\$309.6	\$688.5	(\$378.9)	\$484.5	\$1,242.5	(\$758.0)	-2.3%	42.8%	56.5%	80.5%
Carryover				\$181.2	\$0.0		\$0.0	\$11,564.9	(\$11,538.9)				
Payroll				\$181.2									
Travel													
Contracts / Grants								\$11,538.9	(\$11,538.9)				
Other								\$26.0					
Homeland Security	\$0.0						\$0.0	\$598.6	(\$598.6)				
Payroll								\$207.2	(\$207.2)				
Travel								\$30.1	(\$30.1)				
Contracts / Grants								\$301.1	(\$301.1)				
Other								\$60.2	(\$60.2)				
Brownfields	\$892.6	\$2,401.9		\$1,694.7	\$5,205.0								
Payroll	\$356.6	\$300.8		\$368.1	\$314.5								
Travel	\$9.0	\$1.4		\$10.0	\$9.0								
Contracts / Grants	\$502.0	\$2,078.3		\$1,300.0	\$4,863.5								
Other	\$25.0	\$21.4		\$16.6	\$18.0								
Enforcement	\$6,279.2	\$6,223.4	\$55.8	\$6,627.1	\$6,090.0	\$537.1	\$7,077.5	\$8,038.3	(\$960.8)	12.7%	29.2%	6.8%	32.0%
Fiscal Year Appropriation	\$6,279.2	\$6,223.4	\$55.8	\$6,500.4	\$6,090.0	\$410.4	\$7,077.5	\$6,378.9	\$698.6	12.7%	2.5%	8.9%	4.7%
Payroll	\$5,058.7	\$4,158.7	\$900.0	\$5,273.8	\$4,835.5	\$338.3	\$6,458.6	\$5,787.8	\$670.8	27.7%	39.2%	22.5%	17.3%
Travel	\$178.8	\$79.6	\$97.2	\$144.4	\$91.7	\$52.7	\$148.4	\$106.6	\$39.8	-17.2%	33.9%	1.4%	16.2%
Contracts / Grants	\$791.1	\$1,802.5	(\$1,011.4)	\$975.5	\$825.5	\$150.0	\$209.7	\$221.5	(\$11.8)	-73.5%	-87.7%	-78.5%	-73.2%
Other	\$252.6	\$182.6	\$70.0	\$106.7	\$237.3	(\$130.6)	\$262.8	\$263.0	(\$0.2)	4.0%	44.0%	146.3%	10.8%
Carryover				\$123.4			\$0.0	\$829.7	(\$725.2)				
Payroll								\$29.8	(\$29.8)				
Travel													
Contracts / Grants								\$695.4	(\$695.4)				
Other				\$123.4				\$104.5					
Brownfields	\$0.0	\$0.0	\$0.0	\$3.3	\$0.0	\$3.3							
Payroll			\$0.0			\$0.0							
Travel			\$0.0	\$3.3		\$3.3							
Contracts / Grants													
Other													
Management & Support	\$2,761.0	\$2,443.3	\$317.7	\$2,954.7	\$2,532.6	\$422.1	\$3,184.1	\$2,956.1	\$228.0	15.3%	21.0%	7.8%	16.7%
Fiscal Year Appropriation	\$2,656.2	\$2,406.5	\$249.7	\$2,369.1	\$2,501.1	(\$132.0)	\$2,431.5	\$2,204.1	\$227.4	-8.5%	-8.4%	2.6%	-11.9%
Payroll	\$1,222.0	\$1,275.2	(\$53.2)	\$1,169.6	\$1,254.4	(\$84.8)	\$1,259.5	\$1,434.1	(\$174.6)	3.1%	12.5%	7.7%	14.3%
Travel	\$85.3	\$56.3	\$29.0	\$115.3	\$66.4	\$48.9	\$108.6	\$37.9	\$70.7	27.3%	-32.7%	-5.8%	-42.9%
Contracts / Grants	\$615.0	\$667.8	(\$52.8)	\$623.4	\$634.9	(\$11.5)	\$636.9	\$351.9	\$285.0	3.6%	-47.3%	2.2%	-44.6%
Other	\$733.9	\$407.2	\$326.7	\$460.8	\$545.4	(\$84.6)	\$426.5	\$380.2	\$46.3	-41.9%	-6.6%	-7.4%	-30.3%
Carryover				\$382.9			\$376.3	\$376.0	\$0.3				
Payroll				\$130.0									
Travel				\$26.3									
Contracts / Grants				\$77.7			\$196.7	\$210.5	(\$13.8)				
Other				\$148.9			\$179.6	\$165.5	\$14.1				
Brownfields	\$104.8	\$36.8	\$68.0	\$121.9	\$31.5	\$90.4							
Payroll	\$104.8	\$35.1	\$69.7	\$121.9	\$30.8	\$91.1							
Travel		\$1.7			\$0.7								
Contracts / Grants													
Other													
Brownfields Carryover				\$80.8									
Payroll				\$76.5									
Travel				\$1.0									
Contracts / Grants				\$3.3									

*FY2000 Actuals include 74.6 in Agency Unallocated resources

*FY 1999 Operating Plan does not include Carryover, but FY 1999 Actuals do include carryover.

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*Homeland Security Resources for FY 2003 are not broken out for each region, but a regional total is included on the Regional Total Sheet.

For FY 1999 and FY 2003, RESPONSE FTE includes distribution of reimbursable Base Restoration & Closure FTE

**Superfund Resource and FTE Breakout
FY1999 thru FY2003
Regional Total**

	FY1999			FY2000			FY2003			% Change			
	Operating Plan	FY1999 Actuals	Difference	Operating Plan	FY2000 Actuals	Difference	Operating Plan	FY2003 Actuals	Difference	1999 to 2003 Operating Plan	1999 to 2003 Actuals	2000 to 2003 Operating Plan	2000 to 2003 Actuals
FTE Total	2768.8	2727.9	40.9	2712.9	2688.6	44.3	2565.5	2541.8	23.7	-7.3%	-6.8%	-5.4%	-4.8%
Response	1423.8	1435.4	(11.6)	1442.9	1456.3	(13.4)	1343.9	1370.3	(26.4)	-5.6%	-4.5%	-6.9%	-5.9%
Enforcement	965.1	906.3	58.8	941.6	874.3	67.3	925.3	869.9	55.4	-4.1%	-4.0%	-1.7%	-0.5%
Management & Support	379.9	386.2	(6.3)	328.4	338.0	(9.6)	296.3	301.6	(5.3)	-22.0%	-21.9%	-9.8%	-10.8%
Resources Total	\$982,195.4	\$1,140,851.2	(\$148,655.8)	\$898,395.5	\$1,130,289.8	(\$231,894.3)	\$860,624.5	\$971,195.7	(\$110,571.2)	-13.3%	-14.9%	-4.2%	-14.1%
Payroll	\$198,739.9	\$198,168.8	\$571.1	\$212,864.3	\$210,070.1	\$2,794.2	\$245,118.8	\$242,004.5	\$3,114.3	23.3%	22.1%	15.2%	15.2%
Travel	\$6,980.1	\$5,002.7	\$1,977.4	\$8,445.0	\$5,146.8	\$3,298.2	\$7,380.1	\$5,735.1	\$1,645.0	5.7%	14.6%	-12.6%	11.4%
Contracts / Grants	\$651,883.4	\$907,823.3	(\$255,939.9)	\$658,793.0	\$887,323.8	(\$228,530.8)	\$589,723.0	\$689,652.2	(\$99,929.2)	-9.5%	-24.0%	-10.5%	-22.3%
Other	\$134,592.0	\$29,856.4	\$104,735.6	\$18,293.2	\$27,749.1	(\$9,455.9)	\$18,402.6	\$33,803.9	(\$15,401.3)	-86.3%	13.2%	0.6%	21.8%
Response	\$832,611.6	\$977,898.2	(\$145,772.6)	\$751,021.8	\$968,695.6	(\$217,845.8)	\$706,213.3	\$809,199.9	(\$102,986.6)	-15.2%	-17.3%	-6.0%	-16.5%
Fiscal Year Appropriation	\$772,942.8	\$918,715.4	(\$145,772.6)	\$692,921.7	\$910,767.5	(\$217,845.8)	\$690,385.3	\$698,767.9	(\$8,382.6)	-10.7%	-23.9%	-0.4%	-23.3%
Payroll	\$94,395.7	\$97,002.4	(\$2,606.7)	\$102,880.2	\$106,645.7	(\$3,765.5)	\$124,568.9	\$126,493.4	(\$1,924.5)	32.0%	30.4%	21.1%	18.6%
Travel	\$3,243.7	\$2,954.0	\$289.7	\$4,154.2	\$2,957.1	\$1,197.1	\$4,226.6	\$3,745.8	\$479.8	30.3%	26.8%	1.7%	26.7%
Contracts / Grants	\$556,232.1	\$802,062.6	(\$245,830.5)	\$579,767.4	\$788,861.0	(\$209,093.6)	\$554,892.4	\$548,078.6	\$6,813.8	-0.2%	-31.7%	-4.3%	-30.5%
Other	\$119,071.3	\$16,696.4	\$102,374.9	\$6,119.9	\$12,303.7	(\$6,183.8)	\$6,697.4	\$20,449.1	(\$13,751.7)	-94.4%	22.5%	9.4%	66.2%
Carryover				\$2,880.6	\$0.0		\$19.7	\$104,515.3	(\$104,495.6)				
Payroll				\$2,699.4									
Travel								\$104,173.4	(\$104,173.4)				
Contracts / Grants													
Other				\$181.2			\$19.7	\$341.9	(\$322.2)				
Homeland Security	\$0.0						\$15,808.3	\$5,916.7	\$9,891.6				
Payroll							\$978.6	\$1,027.5	(\$48.9)				
Travel							\$33.5	\$102.1	(\$68.6)				
Contracts / Grants							\$14,796.2	\$3,870.1	\$10,926.1				
Other								\$917.0	(\$917.0)				
Brownfields	\$59,668.8	\$59,182.8	\$486.0	\$55,219.5	\$57,928.1	(\$2,708.6)							
Payroll	\$4,319.0	\$4,478.5	(\$159.5)	\$4,778.7	\$4,868.3	(\$89.6)							
Travel	\$263.1	\$357.6	(\$94.5)	\$316.7	\$371.9	(\$55.2)							
Contracts / Grants	\$54,878.2	\$54,148.6	\$729.6	\$49,905.6	\$52,528.2	(\$2,622.6)							
Other	\$208.5	\$198.1	\$10.4	\$218.5	\$159.7	\$58.8							
Enforcement	\$112,602.8	\$117,214.8	(\$4,612.0)	\$98,885.3	\$111,529.9	(\$12,644.6)	\$106,426.8	\$123,712.8	(\$17,286.0)	-5.5%	5.5%	7.6%	10.9%
Fiscal Year Appropriation	\$112,163.8	\$116,358.5	(\$4,194.7)	\$97,767.8	\$111,474.1	(\$13,706.3)	\$106,426.8	\$104,631.2	\$1,795.6	-5.1%	-10.1%	8.9%	-6.1%
Payroll	\$77,718.7	\$69,381.3	\$8,337.4	\$77,321.1	\$73,100.0	\$4,221.1	\$92,705.5	\$87,437.3	\$5,268.2	19.3%	26.0%	19.9%	19.6%
Travel	\$2,105.7	\$950.6	\$1,155.1	\$1,967.1	\$736.2	\$1,230.9	\$1,618.2	\$1,104.2	\$514.0	-23.2%	16.2%	-17.7%	50.0%
Contracts / Grants	\$29,317.0	\$40,868.1	(\$11,551.1)	\$17,384.0	\$33,706.4	(\$16,322.4)	\$9,006.1	\$12,235.2	(\$3,229.1)	-69.3%	-70.1%	-48.2%	-63.7%
Other	\$3,022.4	\$5,158.5	(\$2,136.1)	\$1,095.6	\$3,931.5	(\$2,835.9)	\$3,097.0	\$3,854.5	(\$757.5)	2.5%	-25.3%	182.7%	-2.0%
Carryover				\$1,111.2			\$0.0	\$9,540.8	(\$9,067.8)				
Payroll								\$363.0	(\$363.0)				
Travel								\$0.0					
Contracts / Grants								\$8,704.8	(\$8,704.8)				
Other				\$1,111.2				\$473.0					
Brownfields	\$439.0	\$856.3	(\$417.3)	\$6.3	\$55.8	(\$49.5)							
Payroll	\$418.6	\$819.5	(\$400.9)		\$45.3	(\$45.3)							
Travel	\$11.8	\$17.3	(\$5.5)	\$6.3	\$9.7	(\$3.4)							
Contracts / Grants	\$0.1				\$0.0								
Other	\$8.5	\$19.5	(\$11.0)		\$0.8								
Management & Support	\$46,981.0	\$45,738.2	\$1,242.8	\$48,249.9	\$48,448.1	(\$198.2)	\$49,503.6	\$49,269.0	\$234.6	5.4%	7.7%	2.6%	1.7%
Fiscal Year Appropriation	\$46,735.1	\$45,559.6	\$1,175.5	\$44,757.2	\$48,246.7	(\$3,489.5)	\$46,465.2	\$46,378.6	\$86.6	-0.6%	1.8%	3.8%	-3.9%
Payroll	\$21,642.2	\$26,310.7	(\$4,668.5)	\$23,868.5	\$25,210.3	(\$1,341.8)	\$26,719.4	\$26,683.3	\$36.1	23.5%	1.4%	11.5%	5.8%
Travel	\$1,355.8	\$721.2	\$634.6	\$1,792.3	\$1,071.0	\$721.3	\$1,501.8	\$782.0	\$719.8	10.8%	8.4%	-16.2%	-27.0%
Contracts / Grants	\$11,456.0	\$10,744.0	\$712.0	\$10,348.5	\$11,957.2	(\$1,608.7)	\$10,275.7	\$11,928.5	(\$1,652.8)	-10.3%	11.0%	-0.7%	-0.2%
Other	\$12,281.1	\$7,783.7	\$4,497.4	\$8,647.9	\$10,008.2	(\$1,360.3)	\$7,968.3	\$6,984.8	\$983.5	-35.1%	-10.3%	-7.9%	-30.2%
Carryover				\$3,217.1			\$1,519.2	\$1,445.2	\$74.0				
Payroll				\$707.6			\$146.4	\$0.0	\$146.4				
Travel				\$206.5			\$0.0	\$0.0	\$0.0				
Contracts / Grants				\$1,384.2			\$752.6	\$661.6	\$91.0				
Other				\$918.8			\$620.2	\$783.6	(\$163.4)				
Brownfields	\$245.9	\$178.6	\$67.3	\$275.6	\$201.4	\$74.2							
Payroll	\$245.7	\$176.4	\$69.3	\$274.6	\$200.5	\$74.1							
Travel	\$0.0	\$2.0		\$0.9	\$0.9								
Contracts / Grants	\$0.0	\$0.0		\$0.0									
Other	\$0.2	\$0.2		\$0.1									
Brownfields Carryover				\$234.2									
Payroll													
Travel				\$1.0									
Contracts / Grants				\$3.3									
Other				\$0.0									

*FY2000 Actuals include Agency Unallocated resources

*FY 1999 Operating Plan does not include Carryover, but FY 1999 Actuals do include carryover

*All Data was extracted from BAS

*Travel does not include site travel, which is included in Other

*Homeland Security Resources for FY 2003 are not broken out for each region, but a regional total is included on the Regional Total Sheet.

*FY 1999 and FY 2003, RESPONSE FTE includes distribution of reimbursable Base Restoration & Closure FTE

Appendix G: Examples of Technology Innovation Projects

Optimizing Pump-and-Treat Systems

A long-standing problem with Superfund cleanups has been the cost of pump-and-treat systems, which entail a long-term, time-consuming, and expensive process. A study conducted by the Technology Innovation Program (TIP) found that upward of 95 percent of groundwater remedies were conventional pump-and-treat systems. A subsequent benchmark study on 32 ongoing and completed groundwater pump-and-treat systems found that the average capital cost of these systems is \$5 million, and the average operating cost is \$770,000. This study highlighted the costs to the Superfund program for Fund-lead projects, and the eventual costs to states that take over their management.

To reduce pump-and-treat costs, in 1999, the Office of Solid Waste and Emergency Response (OSWER) initiated efforts to optimize long-term remediation systems by using optimization software in conjunction with groundwater modeling to determine optimal pumping strategies for these systems. Working with the U.S. Army Corps of Engineers, TIP conducted remedial systems evaluations (RSEs) at 20–25 Superfund sites to better understand remedy and plant performance. The RSE process involves an independent team that evaluates the performance of the remedies and makes recommendations for improving the protectiveness and cost-effectiveness of the remedies. At Fund-lead sites, the RSE process has proved beneficial, yielding approximately 270 recommendations, including approximately 65 cost-effectiveness recommendations and over 70 protectiveness recommendations.

Estimated cost savings from this effort are \$5 million per year, or \$150 million over the 30-year life span of the remedies—assuming the recommendations are implemented. The estimated total cost for the optimization effort is approximately \$1.2 million since 1999. This includes costs for initially demonstrating and evaluating the methodology, conducting all of the RSEs at sites, providing classroom and Internet-based training, and developing the guidance documents.

Reducing the Costs of Sampling and Analysis

Another problem addressed by TIP has been how to reduce the costs of sampling and analysis at sites. In the 1990s, TIP began tracking new field-based methods for sampling, monitoring, and analyzing contamination at sites. These methods offered considerable advantages over the sole use of conventional sampling and off-site fixed laboratories for analysis. The field methods are much cheaper per sample, allowing many more samples for the same budget as fixed-laboratory analysis. They are also real-time methods, and can allow the field technician to “follow the trail” of contamination. This saves money by reducing the need to wait for fixed-laboratory results, then remobilize because more data are needed.

However, TIP also found that conventional procedures for assessing sites (e.g., procurement for a specific number of samples, predetermined sample locations) did not allow for optimal use of these improved field methods. Therefore, the TIP developed the Triad approach as a framework within which to implement the methods. This strategy couples systematic planning, dynamic work strategies, and real-time decision making. Cleanups employing Triad can cost substantially less, can be much faster, and can have much greater certainty that all the contamination is dealt with appropriately.

One example of significant cost savings through the Triad approach is the Wenatchee Tree Fruit Test Plot, where the Triad was implemented in 1997. The approach was used with immuno-assay kits paired with traditional fixed-laboratory methods, to delineate the pesticide-contaminated areas of soil at the site that required incineration (high concentrations) or off-site disposal (lower concentrations). The larger number of soil samples that could be analyzed with the kits allowed much better characterization, and reduced the need to excavate, backfill, transport, and dispose of an estimated 120 tons of soil shown to be clean. The costs without the use of the Triad were estimated to be \$1.2 million, compared to the actual cost of \$589,000—a savings of about 50 percent.

Funding for this project is roughly estimated at \$600,000 for Superfund and \$500,000 for Environmental Programs and Management (EPM) appropriation over the last four years, most of which is for product development, training, and site-specific technical support. Total cost savings should be a direct function of the number of sites that employ the Triad framework.

Reducing the Costs of Superfund's Contract Laboratory Program

The Contract Laboratory Program (CLP) provides the EPA Regions with a readily available means to contract with numerous commercial environmental testing laboratories on a fixed price and performance basis for a variety of analytical services that directly support site cleanups. The program includes inherent quality assessment and control provisions. In addition to providing a streamlined vehicle for gathering information about the presence of contaminants at a site, this program provides for better cost management, control, and recovery over alternative approaches that require the Regions to purchase sampling and analytical services on a Region-by-Region, or site-by-site basis (which results in increased sample management, tracking, and overhead costs).

OSWER provides federal oversight of all CLP activities to ensure that clients receive data of known and documented quality, and can easily produce supporting documentation when needed for enforcement or other reasons. In FY 2003, the CLP provided over 120,000 sample analyses in support of cleanups at Superfund, Brownfields, and other contaminated sites. The CLP also provides other analytical services for the Regions (e.g., over 70,000 analyses in support of the World Trade Center response).

In April 1998, OSWER initiated a series of CLP and related innovations geared to strengthen the CLP infrastructure, improve the quality and breadth of its products, and

facilitate regional access to its analytical services. The following examples highlight the benefits realized from several of these innovations.

Information Technology Innovations—OSWER funded the development of software (FORMS II Lite, or F2L) that automates the creation and printing of labels and Traffic Report/Chain of Custody Records, thereby improving field time management and decreasing documentation and transcription errors. F2L saves approximately 15 minutes of work per sample. If used on all Superfund samples, it has the potential to save up to \$2 million a year.

Data Assessment Tool (DAT)—Significant resources in the Regions (e.g., EPA, its contractors, states, other agencies) are used in the process of evaluating data for usability in site decisions. DAT streamlines the data validation process by providing standard tools and reports to assist in this process. DAT provides customized, PC-compatible reports, spreadsheets, and electronic files of such data directly to the data user within 24 to 48 hours of receipt of the data from the laboratories. Since August 1998, DAT has provided a savings of over \$14 million in data review costs alone (not considering reduced data entry costs).

Web-based Contract Compliance Screening (WebCCS)—This innovation was developed to improve the quality of the data submitted by participating laboratories to EPA. It addresses the historical difficulties laboratories experience when they design data deliverables in accordance with specific analytical contract requirements prior to delivery to EPA. Web CCS provides the laboratories an easily accessible tool to predetermine whether their data deliverables are complete and in compliance with contract requirements (prior to submission to EPA). Based on FY 2001 data, this tool saves an estimated \$977,000 in annual contract compliance review costs.

Web-based Invoicing System (WIS)—OSWER developed WIS to reduce the resources spent on cumbersome paper invoicing for the over 120,000 analyses provided every year. WIS enables CLP laboratories to generate, submit, and resubmit invoices via the use of a secure Internet web site. WIS minimizes the need for resubmission by providing access to previously submitted analytical results, allowing laboratories to create invoices based on those results. Since November 2001, all laboratories submit invoices electronically and are paid electronically. This CLP innovation has resulted in a 96 percent reduction of disallowed invoices. Based on FY 2001 data, this tool saves an estimated \$846,000 in annual invoice processing costs.

The above automated system innovations are modifications or changes in accessibility that were made to the Contract Laboratory Program Support System. This system tracks data from sample scheduling through analysis, contract compliance screening, invoice processing, laboratory performance, reporting, cost recovery, and data storage. The annual cost of the system, including security, is approximately \$3.35 million. The annual cost savings described above clearly suggest the benefits outweigh program investments.

Appendix H: Superfund GPRA Measures

Objective 3.2: Restore Land. By 2008, control the risks to human health and the environment by mitigating the impact of accidental or intentional releases and by cleaning up and restoring contaminated sites or properties to appropriate levels. Within this goal are the following sub-objectives and strategic targets:

Sub-objective 3.2.1: Prepare for and Respond to Accidental and Intentional Releases.

By 2008, reduce and control the risks posed by accidental and intentional releases of harmful substances by improving the nation's capability to prepare for and respond more effectively to these emergencies.

Strategic Targets

- Each year through 2008, improve the Agency's emergency preparedness by achieving and maintaining the capability to respond to simultaneous large-scale emergencies and by increasing response readiness by 10 percent from a baseline established by the end of 2003 using the core emergency response criteria.
- Each year through 2008, respond to 350 hazardous substance releases and 300 oil spills.
- Each year through 2008, minimize the impacts of potential oil spills by inspecting or conducting exercises or drills at 6 percent of approximately 6,000 oil storage facilities required to have Facility Response Plans. (Between FY 1997 and FY 2002, 30 percent of these facilities were inspected.)

Sub-objective 3.2.2: Clean Up and Reuse Contaminated Land. By 2008, control the risks to human health and the environment at contaminated properties or sites through cleanup, stabilization, or other action, and make land available for reuse.

Strategic Targets

- By 2008, perform 88,000 health-based and environmentally based site assessments, make 41,700 final assessment decisions under Superfund, and assess 100 percent (approximately 1,714) of Resource Conservation and Recovery Act (RCRA) baseline facilities. Evaluate the universe of RCRA baseline facilities and, if necessary, adjusted it in FY 2004.
- By 2008, control all identified unacceptable human exposures from site contamination to at or below health-based levels for current land and/or groundwater use conditions at 95 percent (approximately 1,628) of RCRA baseline facilities and 84 percent (1,259) of the 1,494 Superfund human exposure sites (as of FY 2002).

- By 2008, control the migration of contaminated groundwater through engineered remedies or natural processes at 80 percent (approximately 1,371) of RCRA baseline facilities and 65 percent (832) of the 1,275 Superfund groundwater exposure sites (as of FY 2002).
- By 2008, select final remedies (cleanup targets) at 30 percent (approximately 514) of RCRA baseline facilities and approximately 82 percent (1,223) of the 1,498 Superfund sites (as of FY 2002).
- By 2008, clean up and reduce the backlog of approximately 140,000 leaking underground storage tank sites by 50 percent, and complete construction of remedies at 20 percent (approximately 343) of RCRA baseline facilities and approximately 72 percent (1,086) of the 1,498 Superfund sites (as of FY 2002). (Construction completion is a benchmark used to show that all significant construction activity has been completed, even though additional remediation may be needed for all cleanup goals to be met.)

Sub-objective 3.2.3: Maximize Potentially Responsible Party Participation at Superfund Sites. Through 2008, conserve Superfund trust fund resources by ensuring that potentially responsible parties conduct or pay for Superfund cleanups whenever possible.

Strategic Targets

- Each year through 2008, reach a settlement or take an enforcement action before the start of a remedial action at 90 percent of Superfund sites having viable, liable responsible parties other than the federal government.
- Each year through 2008, address all statute of limitations cases for Superfund sites with unaddressed total past costs equal to or greater than \$200,000.

Objective 3.3: Enhance Science and Research. Through 2008, provide and apply sound science for protecting and restoring land by conducting leading-edge research and developing a better understanding and characterization of environmental outcomes under Goal 3.

Sub-objective 3.3.1: Provide Science to Preserve and Remediate Land. Through 2008, provide sound science and constantly integrate smarter technical solutions and protection strategies that enhance the Agency's ability to preserve land quality and remediate contaminated land for beneficial reuse.

Sub-objective 3.3.2: Conduct Research to Support Land Activities. Through 2008, conduct sound, leading-edge scientific research to provide a foundation for preserving land quality and remediating contaminated land. Research will result in documented methods, models, assessments, and risk management options for program and regional

offices, facilitating their accurate evaluation of effects on human health and the environment, understanding of exposure pathways, and implementation of effective risk management options. Conduct research affecting Indian country in partnership with tribes.

Appendix I: Office of Enforcement and Compliance Internal Performance Measures

The internal program measures include:

- potentially responsible party (PRP) search starts
- PRP search completions
- Section 104(e) referrals and orders issued
- issuance of General Notice Letters
- issuance of Special Notice Letters
- starts of expanded site inspections and remedial investigation/feasibility study negotiations
- starts of remedial design/remedial action (RD/RA) negotiations
- completion or termination of negotiations for RD/RA
- completion or termination of negotiations for cleanup (RD/RA, removals, and other)
- percentage of remedial action starts initiated by PRPs at nonfederal facility sites
- total response commitments (including dollar value)
- enforcement settlements/instruments for RD/RA/long-term response (including dollar values)
- *de minimis* settlements and number of parties
- cash-out settlements
- Section 106, 106/107, 107 case resolution
- issuance of Demand Letter
- total cost recovery settlements (including dollar value)
- past costs addressed \geq \$200,000 via settlements, write-offs, or referrals
- recoverable past costs that have been addressed by the program to date via settlements, write-offs, or referrals
- number and amount of Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) penalties assessed
- number and amount of CERCLA supplemental environmental projects
- use of alternative dispute resolution
- number of settlements where EPA settled based on ability-to-pay determinations
- Prospective Purchaser Agreements assessed and finalized
- issuance of Comfort/Status Letters
- orphan share—EPA offer and compensation
- nonexempt *de micromis* settlements and number of parties
- PRP oversight administration
- estimated amount of money PRPs have committed legally to site cleanup compared to the total amount of funds expended by the Superfund enforcement program
- settlements designating deposits to special accounts
- deposits to special accounts
- settlements designating disbursements from special accounts to PRPs

- disbursements from special accounts for response actions
- closure of special accounts
- preremedial enforcement actions at Superfund sites
- windfall liens filed
- windfall liens resolved (assessed and finalized)

Appendix J: Management & Support Internal Performance Measures

Office of Administration and Resources Management (OARM)

Office of Administration

By 2004, EPA will achieve a 16 percent energy consumption reduction from 1990 in its 21 laboratories, which is in line to meet the 2005 requirement of a 20 percent reduction from 1990. This external reported measure includes Green Power purchases.

Office of Grants and Debarments (OGD)

OGD uses numerous internal measures to monitor performance, such as the following:

- By 2005, EPA will improve the quality, effectiveness, and efficiency of assistance management by (1) increasing grant competition; (2) strengthening grant oversight; and (3) ensuring timely grant closeout. Specific performance measures include:
 - percentage of new grants to nonprofit recipients subject to the EPA Grants Competition Order that are competed;
 - percentage of active recipients who receive advanced monitoring (on-site and off-site evaluative reviews);
 - percentage of eligible FY 2003 grants closed out; and
 - percentage of eligible FY 2004 grants closed out.

Office of Human Resources and Organizational Services (OHROS)

OHROS's performance goals include:

- Strengthen EPA's human capital management to address the challenges included in the President's Management Agenda. Specific performance measures include:
 - percentage of reduction of identified current and future skill gaps in mission-critical occupations;
 - percentage of performance appraisals for Agency employees that link to the Agency's mission; and
 - number of Senior Executive Service (SES) Candidate Development Program graduates placed in SES positions.

OHROS also uses customer service measures to measure performance. Areas and examples include:

- Personnel Transactions
 - recruit individuals within 43 days
- Headquarters Benefit Services
 - financial planning retirement within 15 workdays for those retiring within 1–2 years

Office of Administrative Services (OAS)

OAS uses customer service measures of performance. They include:

- Building Maintenance and Repair
 - Call back customer within 24 hours of initial service call
 - Plumbing/electrical repairs within 2 working days
 - Respond to temperature problems within 1 hour
- Printing Services
 - Respond within 24 hours via e-mail to customers requesting a status report on outside printing services
 - Achieve 90 percent or greater customer satisfaction regarding printing services

Office of Acquisition Management (OAM)

OAM uses several customer service measures to monitor performance. Examples include:

- Simplified Acquisition Transactions
 - Complete commodity actions of between \$25,000 and \$100,000 within 26 calendar days of initial request
 - Complete service actions of between \$25,000 and \$100,000 within 45 calendar days of initial request

Office of the Chief Financial Officer (OCFO)

OCFO has the following performance measurement objective:

- Strengthen EPA's management services in support of the Agency's mission, while addressing the challenges included in the President's Management Agenda. Specific measures include:
 - Number of Agency offices using the workforce planning model, which identifies skills and competencies needed by the Agency for strategic recruitment, retention, and developmental training
 - Percentage of total eligible service contracting dollars obligated as performance based in FY 2003

Office of Environmental Information (OEI)

Under the goal, Quality Environmental Information, OEI has the following objectives, sub-objectives, and annual performance goals (APGs):

Objective: Increase Availability of Quality Health and Environmental Information (1)

Sub-objective: Create Information Network for Data Exchange (8)

APG: Improve the quality, comparability, and availability of environmental data for sound environmental decision making through the Central Data Exchange.

Objective: Increase Availability of Quality Health and Environmental Information (1)

Sub-objective: Address Public Right-to-Know Needs (9)

APG: The increased use of TRI-ME will result in a total burden reduction of 5 percent for Reporting Year 2003 from Reporting Year 2002 levels.

Objective: Provide Access to Tools for Using Environmental Information (2)

Sub-objective: Develop Tools to Query Data and Provide Access to New Types of Data

APG: EPA increasingly uses environmental indicators to inform the public and manage for results.

Objective: Improve Agency Information Infrastructure and Security (3)

Sub-objective: Ensure Agency IT Services Meet Industry Standards (4)

APG: Manage Agency-wide information technology assets consistent with the Agency's multi-year strategic IRM plan (Enterprise Architecture) reflecting current Agency mission priorities and resources.

Objective: Improve Agency Information Infrastructure and Security (3)

Sub-objective: Secure Agency Data Against Known Likely Risks (5)

APG: The Office of Management and Budget reports that all EPA information systems meet/exceed established standards for security.