



Superfund Program Management Manual

Fiscal Year 1991 Volume 2 --- Final

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APPENDIX A

**SUPERFUND COMPREHENSIVE ACCOMPLISHMENTS PLAN(SCAP)/
STRATEGIC TARGETED ACTIVITIES FOR RESULTS SYSTEM(STARS)
METHODOLOGIES FOR TARGETS AND MEASURES**

APPENDIX A

This appendix provides the FY92 methodologies for deriving preliminary SCAP/STARS targets and projection measures.

If the application of the methodologies result in preliminary targets above the national budget, a proportional calibration back to budget will be applied. This appendix should be used as a tool for understanding the initial SCAP targets/measures issued to each region by HQ.

For all activities, final targets and projection measures will be established after HQ/ regional negotiations.

If there are any questions as to applicability of a particular activity to a target/measure, please refer to Appendix D SCAP/STARS Activity Definitions.

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SITE ASSESSMENT METHODOLOGIES

Preliminary Assessment (PA) Completions

METHODOLOGY: The PA completion measure for Fiscal Year (FY) 1992 reflects the number of expected PA completions in the budget.

A PA completion measure for a particular Region is established through the following procedures:

- 1) Tabulate the number of sites in the Comprehensive Environmental Response, Compensation, and Liability Information System (CERCLIS) in each Region.
- 2) Project the number of sites to be added to CERCLIS in FY92 and add this number to the number of sites in CERCLIS. The projected number of sites is determined by the number of sites added to CERCLIS between November 1989 and November 1990.
- 3) Subtract the number of sites with actual PA completions and the FY91 PA completion planning estimate. The result supplies the universe of sites without PA completions.
- 4) Determine each Region's percentage of sites without PA completions.
- 5) Multiply that percentage by the national budget number.

DIFFERENCE FY91-FY92:

Screening Site Inspections (SSI) Completions

METHODOLOGY: The SSI completion target for FY92 was established as a reasonable goal given the Agency's program priorities.

Regional SSI completion targets are derived through the following procedures:

- 1) Determine the number of sites in CERCLIS in each Region.
- 2) Subtract 1) the sites which have an SSI recorded in CERCLIS; 2) sites with no further action PA completions; and 3) FY91 SSI completion targets. The results provide the universe of current sites without SSI completions in each Region.

- 3) Add to the universe of current sites without SSI completions a projection on the number of sites that will need SSIs as a result of the FY91 PA effort. The projection is based on the FY91 PA completion planning estimate multiplied by the Region's No Further Remedial Action Planned (NFRAP) rate. (Sites with PA completions divided by sites with NFRAP completion). This total represents the complete universe of sites without SSI completions in each Region.
- 4) Calculate regional percentages and apply these percentages to the FY92 national budget target to determine preliminary FY92 regional targets.

DIFFERENCE FY91-FY92: This methodology assumes all Regions met the SARA SSI goals in FY91.

REMEDIAL METHODOLOGIES

REMEDIAL INVESTIGATION/FEASIBILITY STUDY (RI/FS)

First RI/FS Starts — Fund, Potentially Responsible Party (PRP) and PS-Lead

METHODOLOGY: The national target for first RI/FS starts is based on the FY92 budget. The regional targets are determined as a function of 1) unaddressed sites and 2) regional performance in signing Record of Decisions (RODs). Following is the methodology:

- 1) Multiply the national RI/FS start target by 0.5.
- 2) Determine the number of unaddressed sites in each Region. The number of unaddressed sites is determined by subtracting from the total number of National Priorities List (NPL) sites 1) the number of Federal Facility sites, 2) sites with SR and SN lead RI/FS, 3) sites where a remedial event (RI/FS, Remedial Design (RD), Remedial Action (RA)) was started between FY80 and FY90 and 4) FY91 first RI/FS starts target.
- 3) Calculate each Region's percentage of the unaddressed sites.
- 4) Multiply steps 1 and 3 to determine regional target based on unaddressed sites.
- 5) Determine the regional ROD performance rate in FY89 and FY90. To determine performance rate, add total RODs signed in the Region in FY89 and FY90 and divide by the total number of RODs signed nationally (both numbers include first and subsequent RODs).
- 6) Multiply step 1 and 5 to determine regional target based on ROD performance.
- 7) Add steps 4 and 6 to determine total regional first RI/FS start target projection.
- 8) Multiply step 7 by the national percentage of Fund-financed vs. RP-lead to determine program specific FY92 regional projections.

PS-lead:

- A) The number of PS-lead RI/FS first starts is determined by adjusting the number of projected PS-lead sites in CERCLIS to meet the FY92 budget.
- B) Each Region which plans a PS-lead site in CERCLIS shall receive at least one PS-lead RI/FS.

DIFFERENCE FY91-FY92: Regional performance on first and subsequent RODs was factored into the methodology. The calculation of the regional ROD performance rate was revised.

Subsequent RI/FS Starts — Fund and PRP

METHODOLOGY: The target for subsequent RI/FS starts is based on the FY92 budget. Following is the methodology:

- 1) Determine the number of planned subsequent RI/FS starts identified in CERCLIS.
- 2) Calculate the percentage each Region's subsequent RI/FS starts represents of the total number of subsequent starts in CERCLIS. Divide the number of candidates for each Region by the sum of all candidates.
- 3) Multiply the regional percentage by the Fund-financed and RP-lead budget ceiling for subsequent RI/FS starts to determine FY92 regional projections.

DIFFERENCE FY91-FY92:

RI/FS To Public — Fund and PRP

METHODOLOGY: The initial regional target for RI/FS to public equal the number of RODs planned between second quarter FY92 and first quarter FY93 multiplied by the regional FY90 ROD performance rate — not to exceed 100%. FY90 regional ROD performance rate equals the number of RODs signed in FY90 divided by the number of RODs targeted in FY90.

DIFFERENCE FY91-FY92:

First RODs — Fund and PRP

METHODOLOGY: The initial regional target for first ROD equals the number of Fund and RP-lead first RODs planned in CERCLIS, multiplied by regional FY90 first ROD performance rate—not to exceed 100%. FY90 regional ROD performance rate equals the number of first RODs signed in FY90 divided by the number of first RODs targeted in FY90.

DIFFERENCE FY91-FY92:

Subsequent RODs — Fund and PRP

METHODOLOGY: The initial regional target for subsequent RI/FS completions equals the number of subsequent RODs planned in CERCLIS, multiplied by the regional FY90 subsequent ROD performance rate—not to exceed 100%. FY90 regional subsequent ROD performance rate equals the number of subsequent RODs signed in FY90 divided by the number of subsequent RODs targeted in FY90.

DIFFERENCE FY91-FY92:REMEDIAL DESIGN (RD)First RD Starts — Fund and PRP

METHODOLOGY: The national target for first RD starts is based on the Regions' projected first RD starts in CERCLIS.

The methodology used to derive regional first RD start targets is as follows:

- A) Initial first RD starts in each Region is equal to the first RD starts in FY92 multiplied by the regional FY90 RD performance rate. FY90 regional RD performance rate equals the number of FY90 first RD start accomplishments divided by the number of first RDs targeted in FY90.
- B) Fund-lead:
 - 1) The historical rate of PRP takeovers from a Fund or state lead first ROD is calculated for each Region. The rate of takeover is derived by calculating the number of FY89 and FY90 Fund and state lead first RODs resulting in PRP first RD starts.
 - 2) The Region's Fund-lead first RD starts identified in Step A are multiplied by the historical rate of PRP takeovers. This results in the projected RP-lead first RD starts.
 - 3) Subtract the projected RP-lead first RD starts from the Fund-lead first RD starts identified in Step A.
 - 4) Calculate the regional percentage of first Fund-lead RD starts based on the remaining events.
 - 5) Multiply the regional percentage by the Fund-financed ceiling.

- C) RP-lead:
- 1) Add the projected RP-lead first RD starts (Step B2) to the RP-lead first RD starts identified in Step A
 - 2) Calculate the regional percentage of first RP-lead RD starts.
 - 3) Multiply the percentage by the national RP-lead budget target.

DIFFERENCE FY91-FY92: Regional performance was factored into methodology.

Subsequent RD Starts — Fund and PRP

METHODOLOGY: The national target for subsequent RD starts is based on the Region's projected subsequent RD starts identified in CERCLIS.

- 1) The initial target for regional subsequent RD starts are based on CERCLIS projections for subsequent RD starts scheduled in FY92.
- 2) Calculate each Region's percentage of Fund and RP-lead subsequent RD starts identified in CERCLIS.
- 3) Multiply these percentages by the national budget targets for Fund and RP-lead subsequent RD starts.

DIFFERENCE FY91-FY92:

RD Completions — Fund and PRP

METHODOLOGY: The initial national and regional targets for RD completions are based on projected FY92 RD completions in CERCLIS.

DIFFERENCE FY91-FY92:

REMEDIAL ACTION (RA)

Targets for Fund-lead first, subsequent and final RA starts will be determined during negotiations in July based on the results of the RA environmental priority setting panel meeting.

RA Starts — RP-Lead

METHODOLOGY: Target for RP-lead RA starts through obligation of funds equals 100% of the Regions' projected first and subsequent RA starts in FY92 in CERCLIS adjusted to budget level.

DIFFERENCE FY91-FY92:

Award of RA Contract (First and Subsequent) — Fund and PRP

METHODOLOGY: Targets for first and subsequent RA starts through contract award equal 100% of the Regions' projected first and subsequent RA starts through contract award in FY92 in CERCLIS adjusted to budget levels. Adjustments may also be made based on the regional Fund-financed target for RA starts through obligation of funds.

DIFFERENCE FY91-FY92: Fund-financed projections may be adjusted based on the regional target for RA start through obligation of funds.

RA Completions (First, Subsequent and Final) — Fund and PRP

METHODOLOGY: Targets for RA completions equal 100% of the candidate sites for first, subsequent or final RA completions recorded in CERCLIS.

DIFFERENCE FY91-FY92:

NPL Deletion Initiation

METHODOLOGY: Targets for NPL deletion initiation equal the projected deletions in FY92 in CERCLIS.

DIFFERENCE FY91-FY92:

REMOVAL METHODOLOGIES

NPL Removal Starts - Fund and PRP

METHODOLOGY: The national target for Fund and RP-lead NPL removal starts is determined as follows:

- 1) Determine each Region's percentage of the combined number of Fund and PRP NPL removal starts for FY88 through FY90. This is done by adding the number of Fund and RP-lead (under an enforcement order or decree) removal starts by Region and dividing each regional total by the sum of all regional totals.
- 2) Multiply this percentage by the national Fund-lead NPL removal start target and by the national RP-lead removal start target to obtain the preliminary NPL regional removal target.

DIFFERENCE FY91-FY92: Using PRP removal starts rather than completions to determine target.

Non-NPL Removal Starts — Fund and PRP

METHODOLOGY:

- 1) Determine each Region's percentage of FY88 - FY90 non-NPL Fund and PRP removal starts.
- 2) Multiply this percentage by the national Fund-lead non-NPL removal starts target and by the national RP-lead non-NPL removal start target to obtain the preliminary regional targets.

DIFFERENCE FY91-FY92: Using starts rather than completions for PRP lead removals to determine target.

Removal Completions — Fund and PRP

METHODOLOGY: The initial target for removal completions is based on projected FY92 completions in CERCLIS. Completion targets should closely match the NPL and non-NPL start targets.

DIFFERENCE FY91-FY92:

NPL Site Completions through Removal Action—Fund and PRP

METHODOLOGY: The initial target for NPL site completions through removal action is based on projected FY92 completions in CERCLIS.

DIFFERENCE FY91-FY92:

ENFORCEMENT METHODOLOGIES

Non-NPL PRP Search Start

METHODOLOGY: Projections equal 90% of all non-NPL removal starts targeted.

DIFFERENCE FY91-FY92: The percentage was changed from 100% to 90%.

NPL PRP Search Start

METHODOLOGY: Projections equal the number of sites targeted for a first RI/FS start (Fund and RP-lead) in FY92.

DIFFERENCE FY91-FY92: Changed from all RI/FS starts to first RI/FS starts.

RI/FS Negotiation Starts

METHODOLOGY: Projections equal 90% of the target for FY92 first RI/FS starts (Fund and RP-lead) and 50% of the target for FY92 subsequent RI/FS starts (Fund and RP-lead).

DIFFERENCE FY91-FY92: The percentage for subsequent RI/FS starts was added.

RD/RA Negotiation Starts

METHODOLOGY: Targets equal 70% of the Fund and PRP FY92 ROD targets. This methodology is based on the following principles:

- RD/RA negotiations begin the same quarter the ROD is signed;
- No PS, SR, SN or FF lead RI/FS completions will be included; and
- 30% of the RODs will be at sites where there are no viable and liable PRPs and will not require negotiations.

DIFFERENCE FY91 - FY92: The percentages applied changed from 90% to 70% of the Fund and PRP RODs and 10% to 30% of the RODs where there are no viable or liable PRPs.

Completion of RD/RA Negotiations

METHODOLOGY: Targets equal 70% of the Fund and PRP RODs targeted for completion 91/3 - 92/2. This methodology is based on the following principles:

- RD/RA negotiations begin the same quarter the ROD is signed and end two quarters post-ROD;
- No PS, SR, SN or FF lead RI/FS completions will be included; and
- 10% of the RODs will be at sites where there are no viable or liable PRPs and will not require negotiations.

DIFFERENCE FY91 - FY92: The percentage applied changed from 90% to 70% of the Fund and PRP RODs.

Administrative Cost Recovery Settlements

METHODOLOGY: Each Region receives a target of one. The remainder of the budget ceiling is allocated based on the regional percentage of the sites contained in the Cost Recovery Category Report (CRCR) Universe 1, categories 9 and 10.

DIFFERENCE FY91 - FY92:

Section 107 Referrals/Settlements <\$200,000

METHODOLOGY: Projections equal 5% of the unaddressed removal cost recovery universe <\$200,000 as identified in the CRCR, Universe 1, categories 9, 10, 11 and 12.

DIFFERENCE FY91 - FY92:

Section 107 Pre-RA (Removal) Referrals/Settlements >\$200,000

METHODOLOGY: Each Region will receive a target of at least one.*The remaining targets will be distributed based on the total unaddressed pre-RA (removal) cost recovery universe >\$200,000 as identified in the CRCR, Universe 2. All potential Statute of Limitation (SOL) cases will be targeted.

DIFFERENCE FY91 - FY92:

Section 107 RA Referrals/Settlements >\$200,000

METHODOLOGY:

- 1) An initial universe of candidates is identified in the CRCR, Universe 2.
- 2) From step 1 above, the Regions should subtract SOL cases identified for no further cost recovery actions.
- 3) The total of step 1 minus step 2 is the baseline target. The baseline target will be adjusted to the budget levels as necessary.
- 4) If resources exceed the baseline target (step 3), targets will be negotiated with the Regions based on the sites available and the dollar value of those sites. Priority will be given to large value cases near SOL.

DIFFERENCE FY91-FY92: All calculations are based on the CRCR, Universe 2.

Section 106 or Section 106/107 Referrals for RD/RA with settlement

METHODOLOGY: Targets equal 50% of RD/RA negotiation completions targeted in FY92.

DIFFERENCE FY91-FY92: The percentage changed from 75% to 50%.

Unilateral Administrative Orders (UAOs) issued for RD/RA

METHODOLOGY: Targets equal 30% of RD/RA negotiation completions targeted in FY92.

DIFFERENCE FY91-FY92: Percentage applied changed from 25% to 30%.

Section 106 or Section 106/107 Referrals for RD/RA without settlement

METHODOLOGY: Targets equal 5% of RD/RA negotiation completions targeted in FY92. It is presumed that 5% of negotiations fail.

DIFFERENCE FY91-FY92: Percentage applied changed from 10% to 5% for presumed negotiation failures.

Section 106, 106/107 or 107 Case Resolution

METHODOLOGY: Projections equal the number of 106, 106/107, or 107 case resolutions scheduled in CERCLIS.

DIFFERENCE FY91-FY92:

Section 104 (e) Referrals

METHODOLOGY: Two referrals projected per Region.

DIFFERENCE FY91-FY92: No longer based on a percentage.

Section 104 (e) Case Resolutions

METHODOLOGY: Projections equal the number of 104(e) case resolutions scheduled in CERCLIS.

DIFFERENCE FY91-FY92:

FEDERAL FACILITY METHODOLOGIES

REMEDIAL INVESTIGATION/FEASIBILITY STUDIES (RI/FS)

Federal Facility RI/FS Start

METHODOLOGY: Targets for Federal Facility RI/FS starts equal the number of projected RI/FS starts for FY92 in CERCLIS adjusted to the budget target.

DIFFERENCE FY91-FY92:

Federal Facility RI/FS Completion (ROD)

METHODOLOGY: Targets for Federal Facility RODs equal the number of projected Federal Facility RODs in CERCLIS.

DIFFERENCE FY91-FY92:

REMEDIAL DESIGN (RD)

Federal Facility RD Starts

METHODOLOGY: Targets for Federal Facility RD starts equal the number of projected RD starts for FY92 in CERCLIS adjusted to the budget target.

DIFFERENCE FY91-FY92:

Federal Facility RD Completion

METHODOLOGY: Targets for Federal Facility RD completions equal the number of projected RD completions for FY92 in CERCLIS.

DIFFERENCE FY91-FY92: New methodology for FY92.

REMEDIAL ACTION (RA)

Federal Facility RA Starts

METHODOLOGY: Targets for Federal Facility RA starts equal the number of projected

RA starts for FY92 in CERCLIS adjusted to the budget target.

DIFFERENCE FY91-FY92:

Federal Facility RA Completion

METHODOLOGY: Targets for Federal Facility RA completions equal the number of projected RA completions for FY92 in CERCLIS.

DIFFERENCE FY91-FY92:

ENFORCEMENT

Interagency Agreements (IAG) at NPL Sites

METHODOLOGY: Targets for IAGs at NPL sites (proposed or final) equal the number of proposed or final NPL sites without a signed IAG.

DIFFERENCE FY91-FY92:

OIL SPILL PROGRAM METHODOLOGIES

Oil Spills Cleaned Up Using Clean Water Act (CWA) Funds

METHODOLOGY: Determine each Region's percentage of FY88-FY90 spill cleanups. Multiply this by the national total to establish the Region's share.

DIFFERENCE FY91-FY92:

On-Scene Monitoring of Responses to Oil Spills

METHODOLOGY: Determine each Region's percentage of FY88-FY90 monitoring actions. Multiply this by the national total to establish the Region's share.

DIFFERENCE FY91-FY92:

Spill Prevention, Control, and Countermeasure (SPCC) Inspections/Reviews

METHODOLOGY: Determine each Region's percentage of FY88-FY90 SPCC inspections. Multiply this by the national total to establish the Region's share.

DIFFERENCE FY91-FY92:

APPENDIX B

APPLICABILITY OF THE FREEDOM OF INFORMATION ACT TO SCAP

APPENDIX B

APPLICABILITY OF THE FREEDOM OF INFORMATION ACT TO SCAP

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APPENDIX B
APPLICABILITY OF THE FREEDOM OF
INFORMATION ACT TO SCAP

CERCLIS REPORTS RELEASABLE UNDER FOIA

There is a set of CERCLIS-generated reports that have sensitive information (records or information that are protected under FOIA and cannot be released to the public) removed and may be released under FOIA. It includes:

- SCAP-11 (Public SCAP NPL Site Summary);
- SCAP-12 (Public SCAP Non-NPL Site Summary);
- SCAP-22 Target Candidate List;
- List-1(Site Location);
- List-3 (Site/Alias Crosswalk);
- List-4 (Site/Alias Location);
- List-8 (Site/Event Status);
- AUDT-11 (Final and Proposed NPL Sites); and
- STAT-3 (Program/Event Plans and Accomplishments).

SENSITIVE SCAP-RELATED INFORMATION

FOIA is intended as a disclosure law, not a withholding law. In handling all FOIA requests, there should be a presumption in favor of releasing information. There are certain types of information, particularly enforcement information, that have been designated as confidential and therefore not releasable to the public because disclosure could cause significant harm to the Agency. The following information fits into this category:

- Section 106 and 107 litigation and CDs and all related information where the planning information indicates that the action has or will be referred to HQ or to DOJ. If the case is filed, the information may be released.
- PRP lead RI/FS projects and all related information where only planning data exist. If there is an actual PRP RI/FS start, the planned completion date (FY/Q) can be released. However, no subsequent response dates are releasable.
- RD/RA-AO/CD and all related information where only planning data exist. This information is only releasable where an actual completion date exists.

- Planned obligation amounts related to Case Budget activity associated with the following activities:
 - Litigation (106, 106/107, 107) support;
 - Removal negotiations;
 - Non-NPL and NPL PRP search;
 - RI/FS negotiations;
 - RD/RA negotiations; and
 - Cost recovery negotiations.
- RD and RA planned events where the lead is the RP with no actual starts. When there is an actual start, the planned completion can be released.
- RI/FS and RD/RA negotiations planned start and completion dates. When there is an actual start, the planned completion can be released.
- Compliance code and status indicator.
- Planned removal/remedial obligations.
- All planned activities for sites that have not been designated as final or proposed NPL sites in the Federal Register.
- Information of the financial viability of PRPs.

This information is protected from mandatory disclosure by the following FOIA exemptions and provisions:

- EXEMPTION 7: Records or information compiled for law enforcement purposes. Specifically, EXEMPTION 7 (a) - Could reasonably be expected to interfere with enforcement proceedings.

Exemption 7 — Records or Information Compiled For Law Enforcement Purposes

This exemption provides that records or information compiled for law enforcement purposes need not be disclosed in six specific instances. Even though a document falls under Exemption 7, the Agency, in its discretion, encourages release of the document unless release would significantly harm the Agency. Under this section, records or information can be exempted if:

- Exemption 7(a) — Disclosure could reasonably be expected to interfere with enforcement proceedings. Harm to the

government's case in court by premature release of evidence or information or damage to the Agency's ability to conduct an investigation constitutes interference under the exemption.

- Exemption 7(b) — Disclosure would deprive a person of a right to fair trial.
- Exemption 7(c) — Disclosure could reasonably be expected to constitute an unwarranted invasion of personal privacy.
- Exemption 7(d) — Disclosure could reasonably be expected to disclose the identity of a confidential source. This includes protection of information provided by the source on a criminal law enforcement investigation.
- Exemption 7(e) — Disclosure would reveal a special technique or procedure for law enforcement investigations or prosecutions.
- Exemption 7(f) — Disclosure could reasonably be expected to endanger the life or safety of any person.

As a result of 1986 Amendments to FOIA Exemption 7, the general coverage of Exemption 7 is no longer investigatory records but records or information compiled for law enforcement purposes. As long as some law enforcement authority exists and the record meets the threshold test for Exemption 7, the record need no longer reflect or result from specifically focused inquiries by the Agency.

- EXEMPTION 5: Privileged Interagency or Intra-Agency Memoranda. Specifically, EXEMPTION 5, Privilege 1- Deliberate Process Privilege, and EXEMPTION 5, Privilege 4 - Government Commercial Information Privilege.

Exemption 5 — Privileged Interagency or Intra-Agency Memoranda

Intra-agency records include reports prepared by outside consultants at the request of the Agency. Recommendations from state officials to EPA may be considered intra-agency records when EPA has solicited state comments, has a formal relationship with the state, and the records concern a specific deliberative process.

This exemption allows the Agency to withhold from disclosure inter-agency or intra-agency memoranda or letters which fall under the following privileges:

- The Deliberative Process Privilege protects the quality of the Agency's decision-making process (i.e., to protect against premature disclosure of proposed policies before they are adopted), to encourage candid and frank discussions among Agency officials, and to avoid premature disclosure which could mislead the public.

Only pre-decisional, deliberative documents may be withheld. These are written prior to the Agency's final decision, and are not likely to be those that are written by a person with final decision-making authority. Drafts of documents usually fall under this category, and documents transmitted between the government and third parties during settlement negotiations are occasionally protected under this privilege.

The deliberative process privilege does not allow the withholding of purely factual portions of documents. These portions must be released if they can be segregated from the remainder of the document (partial denial). This requirement presents a problem where the facts themselves reflect on the Agency's deliberative process; in this instance, the factual portions may be withheld.

- The Attorney-Work Product Privilege allows the withholding of documents prepared in anticipation of possible litigation. Litigation need not have commenced but it must be reasonably contemplated. This privilege does not extend to purely factual documents unless they reflect the results of an attorney's evaluation.
- The Attorney-Client Privilege applies to confidential communications between attorney and client, including communications between an Agency attorney and an Agency employee.
- The Government Commercial Information Privilege is available to the government for information it generates in the process leading up to the award of a contract. This privilege expires once the contract is awarded or upon withdrawal of the contractual offer. An example of this privilege is cost estimates prepared by the government and used to evaluate the construction proposals of private contractors.
- The Expert Witness Privilege is commonly invoked to allow the withholding of records generated by an expert witness.
- The Confidential Witness Statement Privilege allows statements obtained from confidential witnesses to be withheld.

The Agency encourages the discretionary release of documents falling under any of the privileges, unless release would significantly harm the Agency's decision-making process. All of the privileges may be waived if the Agency has disclosed the document to third parties.

The sensitive information listed above covers the information restricted from public disclosure as of the compilation of this Manual. Additional information may be added to this category and information may be restricted in specific instances (though the prior disclosure rule must be satisfied). If requested information is potentially able to be restricted under a FOIA provision (in this case, under Exemptions 5, or 7), the official receiving the request should contact the appropriate FOIA office to determine whether the information should be restricted.

AD HOC REPORTING

In general, all regional requests for ad hoc reporting — a special request for records or information that is not part of the approved public SCAP reports — should be referred to the OWPE CERCLA Enforcement Division Director immediately. The regional official receiving the request should inform the requestor of this policy and advise the requestor to contact HQ for a decision on whether this information may be released. If the requested information is only available from a specific Region, and HQ has decided to release this information, HQ will inform the responsible Region that the information should be compiled and disclosed to the requestor.

Ad hoc reporting requests should be treated like FOIA requests. This includes the following:

- If the information is protected under one of the FOIA exemptions, the information will not be disclosed (except in cases of discretionary release).
- Absent FOIA exemption protection, the information will be disclosed if it can be compiled or obtained in a reasonable amount of time by an Agency employee familiar with the subject area.
- Fees for ad hoc reporting requests will be charged in accordance with the fee structure used for FOIA requests.

APPENDIX C
CERCLIS CROSSWALK FOR
ENFORCEMENT
ACTIVITIES AND REMEDIES

Complete guidance on Enforcement activities will be forwarded to the Regions at the beginning of FY91.

APPENDIX D

SUPERFUND COMPREHENSIVE ACCOMPLISHMENTS PLAN (SCAP)/
STRATEGIC TARGETED ACTIVITIES FOR RESULTS SYSTEM
(STARS) TECHNICAL DEFINITIONS

Section I

SCAP/STARS DEFINITIONS FOR TARGETS AND MEASURES

The definitions contained in this Appendix are those that were available at the time the Manual went to the printer. Every effort has been made to ensure that the definitions contained herein for SCAP and STARS targets and measures were consistent. If there are inconsistencies, the STARS definition is the official definition. If STARS definitions are revised during the year, an addendum to the Superfund Program Management Manual will be published.

The term "activity" as used in the definitions applies to a specific action. It does not relate to the CERCLIS use of the term "activity" which is applied to enforcement actions.

The term "CERCLIS" is used to encompass the CERCLIS, CER-HELP and WasteLAN data systems.

APPENDIX D

SCAP/STARS TECHNICAL DEFINITIONS

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SCAP/STARS DEFINITIONS FOR TARGETS AND MEASURES

SITE ASSESSMENT DEFINITIONS

INTRODUCTION

The site assessment targets/measures track the initial events at Superfund sites. Four site assessment events are projected and tracked through the SCAP/STARS process:

- Preliminary Assessment (PA) Completions;
- Screening Site Inspection (SSI) Completions;
- Listing Site Inspection (LSI) Starts; and
- Percent SSI Candidates Requiring Further Action.

PA completions and LSI starts are SCAP measures only; no corresponding STARS target or measure is set. SSI completion targets are set on a quarterly basis. LSI starts are established on an annual basis. Regions propose targets for all site assessment activities in the CERHELP data system. Funds for site assessment activities are included in the other response Advice of Allowance (AOA).

ACTIVITY: PA Completions

DEFINITION: A PA is the first stage of site assessment which determines whether a site should be recommended for further Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA) action. Federal, state, and local government files, geological and hydrological data, and data concerning site practices are reviewed to complete the PA report. A site reconnaissance is also conducted.

DEFINITION OF ACCOMPLISHMENT: A PA is complete when the report is reviewed and approved by the Region and CERCLIS contains the PA completion date and the decision on further activities is shown in the Event Qualifier Field. Although a site can have multiple PAs, only the first completed PA with an 'S' or 'F' lead counts toward the target.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: For budget and resource allocations, separate projections must be made for Environmental Protection Agency/Field Investigation Team (EPA/FIT) vs. state PA completions. Accomplishments are reported site specifically in the Comprehensive Environmental Response, Compensation, and Liability Information System (CERCLIS).

ACTIVITY: SSI Completions (S/F-1)

DEFINITION: The SSI involves collection of field data from a hazardous substance site for the purpose of characterizing the magnitude and severity of the hazard posed by the site and/or to support enforcement. An SSI should provide adequate data to determine the site's Hazard Ranking System (HRS) score.

DEFINITION OF ACCOMPLISHMENT: An SSI is complete when the SSI report is reviewed and approved by the Region and CERCLIS contains the SSI completion date and the decision on further activities is shown in the Event Qualifier Field. Although a site can have multiple SSIs, only the first completed SSI with an 'S' or 'F' lead counts toward the target. Federal Facility SSIs are not included.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: Commitments are made based on the sum of the EPA/FIT and state conducted SSIs. However, for budget and resource allocations, separate projections must be made for EPA/FIT vs. state SSI completions. Regions propose targets in the CERHELP non-site data system. Accomplishments are reported site specifically in CERCLIS.

ACTIVITY: LSI Starts

DEFINITION: LSIs involve the collection and analysis of additional site data including information pertinent to hazardous waste resources, migration pathways, and receptors. LSIs are reserved for sites that require the installation of monitoring wells in order to obtain information to support an HRS groundwater route.

DEFINITION OF ACCOMPLISHMENT: An LSI start is credited when EPA approves the workplan for the LSI.

CHANGES IN DEFINITION FY90-FY91: LSIs will no longer be used to fully characterize a site prior to National Priorities List (NPL) proposal.

SPECIAL PLANNING REQUIREMENTS: Planned obligations must be associated with those candidate sites where state conducted LSIs are expected. Accomplishments are reported site specifically in CERCLIS.

ACTIVITY: Percent SSI Candidates Requiring Further Action (S/F-1a)

DEFINITION: The number of SSI candidates is determined by 1) the number of sites in CERCLIS that have not had a PA completion and 2) based on PA completions that have not been classified as "No Further Remedial Action." The number of SSIs completed to date is divided into the number of candidates to determine the percent of SSIs completed to date.

DEFINITION OF ACCOMPLISHMENT: Same as definition.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: CERCLIS will automatically calculate this percentage and place it in the CERHELP Targets and Accomplishments file.

SITE ASSESSMENT DEFINITIONS

PLANNING REQUIREMENTS	PA	SSI	LSI	% SI Reg. Further Action
STARS COMMITMENT?	NO	YES	NO	YES
SCAP COMMITMENT?	YES	YES	YES	NO
TARGET OR MEASURE?	MEASURE	TARGET	MEASURE	MEASURE
ANNUAL TARGETS/MEASURES SET?	YES	YES	YES	NO
QUARTERLY TARGETS/MEASURES SET?	YES	YES	NO	NO
IF YES, WHEN?	PRIOR TO FY	PRIOR TO FY		
PLANNED SITE SPECIFICALLY?	NO	NO	YES	NO
IF YES, WHEN?			PRIOR TO FY	
PLANNED/REPORTED ON OPERABLE UNIT OR WHOLE SITE BASIS?	WHOLE SITE	WHOLE SITE	WHOLE SITE	WHOLE SITE
REPORTED ON COMBINED PROGRAM LEAD OR ON A PROGRAM SPECIFIC BASIS?	N/A	N/A	N/A	N/A
REPORTED SITE SPECIFICALLY OR IN NON-SITE PORTION OF CERCLIS?	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	NON-SITE SPECIFIC
AOA CATEGORY?	OTHER RESPONSE	OTHER RESPONSE	OTHER RESPONSE	N/A
BASIS FOR AOA?	NON-SITE PLANS	NON-SITE PLANS	SITE SPEC. PLANS	N/A

REMEDIAL DEFINITIONS

INTRODUCTION

The remedial program consists of on-site response actions beginning with the first Remedial Investigation and Feasibility Study (RI/FS) and proceeding through Remedial Design (RD) and Remedial Action (RA) to eventual deletion of the site from the NPL. All remedial response actions are planned site specifically with quarterly and annual targets set prior to the beginning of the Fiscal Year (FY). Remedial response actions at sites are Fund or PRP.

REMEDIAL INVESTIGATION/FEASIBILITY STUDIES (RI/FS)

Following are the SCAP and STARS events tracked for RI/FS:

- First RI/FS Starts;
- Subsequent RI/FS Starts;
- Percent NPL Sites Addressed;
- Treatability Studies;
- Sites Nominated for the Superfund Innovative Technology Evaluation (SITE) Program;
- RI/FS to Public;
- First RI/FS Completion (Record of Decision (ROD)); and
- Subsequent RI/FS Completion (ROD).

RI/FS completions (RODs) are a STARS and SCAP target. First RI/FS Starts or First NPL Removal Starts are a combined target under STARS measure S/C-2 Number of Sites where Activity has Started. Separate program targets are established in SCAP. Percent NPL sites addressed is a STARS measure and includes remedial, removal, enforcement or Federal Facility actions taken. Treatability studies and sites nominated for the SITE program are SCAP measures. All other RI/FS activities are SCAP targets.

All commitments are made on a combined Fund, Potentially Responsible Party (PRP) and Federal Facility financed basis. Separate Fund-financed and PRP goals for RI/FS starts are set prior to the FY and there is a limit on the number of RI/FS starts during the FY. All RI/FS activities are planned on a site, Operable Unit (OU) and project-specific basis and entered into CERCLIS. Funds for RI/FS projects are in the RI/FS AOA.

For the definitions below, first and subsequent RI/FS starts have been combined, as have first and subsequent RI/FS completion. The definition for percent NPL sites addressed is found in the Response Definitions section.

ACTIVITY: RI/FS Start — First and Subsequent

DEFINITION: The RI/FS is an investigation designed to characterize the site, assess the nature and extent of the contamination, evaluate potential risk to human health and the environment, and develop and evaluate potential remediation alternatives. In order for the RI/FS to be counted as a first start it must not have had previous RI/FS activity at the site, a prior CERCLA settlement or prior Fund obligation for RI, FS, or RI/FS. In order for the RI/FS to be counted in the STARS target S/E-2, Number of NPL sites where a removal action or RI/FS has started, it must not have had previous RI/FS or removal activity at the site. Forward planning, community relations and/or other support activities do not constitute an RI/FS start. A subsequent RI/FS is any RI/FS that starts after the first one.

DEFINITION OF ACCOMPLISHMENT:

Fund-financed (Including F and S lead events.) - A Fund RI/FS start is counted when funds are obligated. Funds are obligated when:

- A contract has been signed by the Contracting Officer (CO);
- An Interagency Agreement (IAG) has been signed by the other Federal Agency;
or
- A Cooperative Agreement (CA) has been signed by the Regional Administrator or his designee to conduct an RI/FS; and
- Obligations have been recorded in CERCLIS.

If a subsequent RI/FS is initiated without a new obligation of funds, the start date is defined as EPA approval of the workplan for the subsequent RI/FS.

PRP-financed (Includes RP-, MR-, and PS- lead events) - A RP-lead RI/FS start counts when one of the following enforcement actions occurs:

- An Administrative Order (AO) is signed by the last appropriate official or party. The RI/FS start date is the AO completion date (last signature date);
- A Unilateral Administrative Order (UAO) is signed by the last appropriate EPA official. The RI/FS start date is the date the PRPs give EPA a notice of intent to comply, either in writing or by any other documentable means;
- A Consent Decree (CD) is referred by the Region to DOJ or HQ. The RI/FS start date is the date the PRPs give EPA notice they will be starting the RI/FS by complying with the CD;
- A state order or a state CD is signed by the last appropriate official or party and the site is covered by one of the following:
 - State enforcement CA that covers the site; or

- Superfund Memorandum of Agreement (SMOA) containing a schedule for RI/FS work at the site; or
- Other state/EPA agreement.

The RI/FS start date is the date the state order or state CD is signed by the last appropriate official.

If a subsequent RI/FS is initiated without a new or amended AO, CD, state order, or state CD, the start date for the RI/FS is defined as EPA's or the state's approval of the workplan for the subsequent RI/FS.

If an AO, a state order, or a state CD is amended for the subsequent RI/FS, the start date is the date the last official signs the amendment. If an EPA CD is amended, the start date is the date the PRPs give EPA notice they will be starting the RI/FS by complying with the CD.

EP-lead - An EP-lead RI/FS counts when the Region begins preparation of the workplans following the initial scoping meeting.

CHANGES IN DEFINITION FY90-FY91: State consent decree was added. The definition for situations where a CD is negotiated was changed from referral date to date PRPs give EPA notice they will be starting the RI/FS by complying with the CD.

SPECIAL PLANNING REQUIREMENTS: First RI/FS starts or first NPL removal starts are a combined target under STARS. Individual targets are established in SCAP for budget purposes. RI/FS starts include Fund-financed, RP-lead or Federal Facility activities. Separate Fund-financed, RP-lead and Federal Facility RI/FS start goals will be established in SCAP prior to the FY. A limit will be placed on the number of Fund-financed, RP and PS lead RI/FS that can be started during the FY. Targets are established site specifically. For first RI/FS starts, "to be determined" sites are allowed. The Federal Facility RI/FS start definition can be found with the Federal Facility Definitions.

A shift between a Fund or PRP RI/FS can occur. If a PRP takes over a RI/FS before or at the RI/FS workplan approval stage, the lead at this site should be changed from Fund to PRP. If the PRP begins the RI/FS and it is subsequently taken over by the Fund the same criteria apply.

Regions cannot receive credit for a site under STARS S/C-2, Number of sites where activity has started, if an RI/FS or NPL removal began or was conducted at the site in a previous year. Regions also cannot receive credit for both an RI/FS start and a NPL removal if they are started in the same year. Credit is given for the first activity started and a site can receive credit only once. Therefore, historical data must be reviewed prior to reporting accomplishments in STARS. Regions can receive credit for both individual events in SCAP.

ACTIVITY: Treatability Study

DEFINITION: Treatability studies are the field efforts to support the evaluation of alternatives to determine their applicability for the site.

DEFINITION OF ACCOMPLISHMENT: The start of the treatability study is the obligation of funds specifically for the study. If unexpended RI/FS or RD funds are used for the treatability study, the start date is the date of EPA approval, as reflected in CERCLIS, of the treatability study workplan. The completion is the approval of the report on the results of the treatability study.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: Planned and actual start and completion dates are required in CERCLIS. Funds are planned site specifically.

ACTIVITY: Sites Nominated for SITE Program

DEFINITION: The SITE program assess new technologies for the treatment of hazardous waste. Technologies enter the program through an annual solicitation. Once technologies are selected, it is necessary to find demonstration sites. Three dates will be tracked for the SITE program:

- Nomination of sites by the Regions;
- Start of a SITE demonstration project at a site; and
- Completion of the demonstration project.

DEFINITION OF ACCOMPLISHMENT: Nomination for the SITE program is accomplished when the Region sends a memorandum to HQ formally submitting the site for consideration as a location for a demonstration project. An in-house (EP-lead) treatability study ("TS") with an Activity/Event Planning Status (C2110) of Alternate ("A") is entered into CERCLIS. The date of the memorandum nominating the site is placed in the planned start data field (C2130).

The start of the demonstration project is defined as the planning meeting between EPA and the demonstrator to discuss the site and the project. The date of the meeting is entered into CERCLIS with the "TS" event and the Activity/Event Planning Status is changed from "A" (alternate) to "P" (primary).

The demonstration project is complete when the reports documenting the results of the project are finalized.

CHANGES IN DEFINITION: New definition for FY91

SPECIAL PLANNING REQUIREMENTS: Planned dates are not required. Accomplishments are reported site specifically. Fund-financed or RP-lead sites may be submitted for consideration.

ACTIVITY: RI/FS to Public

DEFINITION: The RI/FS is released to the public when the contamination at the site has been characterized and alternatives for remediation have been evaluated.

DEFINITION OF ACCOMPLISHMENT: An RI/FS to public is accomplished the date the proposed plan is available to the public, and the public comment period on the RI/FS report begins.. This date must be recorded in CERCLIS (C3101) with the ROD event under subevent code "CF".

CHANGES IN DEFINITIONS FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: Commitments are made based on first and subsequent RI/FS released to the public regardless of lead.

ACTIVITY: RI/FS Completion (ROD) — First and Subsequent (S/C-3)

DEFINITION: A RI/FS completion is defined as the signature by the AA SWER, Regional Administrator/Deputy Regional Administrator on the Record of Decision (ROD). A ROD is the document prepared after completion of the public comment period on the RI/FS which identifies the Agency's selected remedy for a site or phase of site cleanup.

DEFINITION OF ACCOMPLISHMENT: The date the ROD is signed by the Regional Administrator/Deputy Regional Administrator or the AA SWER is the completion date. This completion date must be entered in CERCLIS with both the RI/FS and ROD events.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: Commitments are made based on RODs that result from F, S, EP, MR, FF, RP, or PS lead RI/FS. Separate SCAP targets are established for Federal Facility RODs. The definition for a Federal Facility ROD can be found in the Federal Facility Definitions section. RI/FS completion date and ROD completion date are the same. Planned and actual dates must be entered with both events in CERCLIS.

REMEDIAL DEFINITIONS
Remedial Investigation/Feasibility Studies

PLANNING REQUIREMENTS	FIRST RI/FS START	SUB. RI/FS START	RI/FS TO PUBLIC	FIRST RI/FS COMP.	SUBS. RI/FS COMP.	TREATABILITY STUDIES	Sites Nominated for SITE
STARS COMMITMENT?	NO*	NO	NO	YES**	YES**	NO	NO
SCAP COMMITMENT?	YES	YES	YES	YES	YES	YES	YES
TARGET OR MEASURE?	TARGET	TARGET	TARGET	TARGET	TARGET	MEASURE	MEASURE
ANNUAL TARGETS/MEASURES SET?	YES	YES	YES	YES	YES	NO	NO
QUARTERLY TARGETS/MEASURES SET?	YES	YES	YES	YES	YES	NO	NO
IF YES, WHEN?	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY		
PLANNED SITE SPECIFICALLY?	YES	YES	YES	YES	YES	YES	NO
IF YES, WHEN?	PRIOR TO FY***	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	
PLANNED/REPORTED ON OPERABLE UNIT OR WHOLE SITE BASIS?	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT
REPORTED ON COMBINED PROGRAM LEAD OR ON A PROGRAM SPECIFIC BASIS?	COMBINED#	COMBINED#	COMBINED	COMBINED	COMBINED	COMBINED	COMBINED
REPORTED SITE SPECIFICALLY OR IN NON-SITE PORTION OF CERCLIS?	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC
AOA CATEGORY IF FUND FINANCED ACTION?	RI/FS	RI/FS	N/A	N/A	N/A	OTHER RESPONSE	N/A
AOA CATEGORY FOR PRP OVERSIGHT?	ENFORCEMENT	ENFORCEMENT	N/A	N/A	N/A	ENFORCEMENT	N/A
BASIS FOR AOA?	SITE SPEC. PLANS	SITE SPEC. PLANS	N/A	N/A	N/A	SITE SPEC. PLANS	N/A

* FIRST RI/FS START OR FIRST NPL REMOVAL ARE A COMBINED TARGET UNDER STARS

** THESE ARE A COMBINED TARGET UNDER STARS AND INCLUDE FUND, PRP, AND FEDERAL FACILITY RODS.

*** "TO BE DETERMINED" SITES ARE ALLOWED.

GOALS ARE ESTABLISHED ON A PROGRAM SPECIFIC BASIS.

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REMEDIAL DESIGN (RD)

RD activities are planned site, OU and project specifically and reported in CERCLIS. Initial schedules for RD are established when the RI/FS for the site is initiated. These initial schedules must be updated in CERCLIS as better planning data become available. The funds for Fund-financed RDs are pulled directly from CERCLIS and are allocated in the RD AOA. Three separate SCAP and STARS activities are tracked:

- First RD Start;
- Subsequent RD Start; and
- RD Completions.

Separate targets for first and subsequent and Fund and PRP RD starts are established in SCAP prior to the FY. Like the RI/FS starts there is a limit on the number of Fund-financed RDs that can be started during the FY. RD completions is a STAR target. RD completion targets are made on a combined first and subsequent, and Fund-financed, RP-lead or Federal Facility basis.

In the definitions below, first and subsequent RD starts and first and subsequent RD completions have been combined.

ACTIVITY: RD Starts — First and Subsequent

DEFINITION: An RD is the process of developing plans and specifications for the selected remedy. Design assistance or technical assistance do not constitute an RD start. Under certain circumstances, an RD may be prepared by other parties (i.e., water lines where the city already prepared plans and specifications); or the plans developed for one site may be used at a similar site. Subsequent RD starts occur at NPL sites where previous RD activity has taken place.

DEFINITION OF ACCOMPLISHMENT:

Fund-financed (Includes F and S lead events.) - The date of the RD obligation is considered the definition of accomplishment. An obligation is made when:

- The CO signs the Procurement Request (PR);
- A CA is signed by the Regional Administrator or his designee; or
- An IAG is signed by the other Federal agency.

In those instances where RD activities are conducted prior to ROD signature, or there is not a new obligation of funds for a subsequent RD, the start of RD is defined as the approval of the workplan to conduct these activities. When an RD already exists that can be used for the site, the RD start is defined as the RA start.

PRP-financed (Includes MR, RP, and PS lead events) - For MR and RP lead, pursuant to a judgment, CD, UAO or the pre-existing AO, the start is credited on the date the RD contract is awarded by the PRPs for the RD or RD/RA work specified in the ROD. If the work is being done under an existing contract, the start date is the notice to proceed with the RD specified in the ROD. The appropriate date must be entered in CERCLIS.

For PS lead sites, credit will be given based on the issuance of a state order or state CD for RD (or RD/RA) or, if the RD is covered by a pre-existing state order, the RD notice to proceed date.

If PRPs are doing the work “in-house” pursuant to an enforcement settlement document, the start date is the notice to proceed.

CHANGES IN DEFINITION FY90-FY91: Definition for RP-lead has changed

SPECIAL PLANNING REQUIREMENTS: Separate first and subsequent start targets are established. Separate Fund and PRP financed RD start goals are established prior to the FY. A limit will be placed on the number of RDs that can be started during the FY. The date of the judgment, UAO or CD referral for RD must also be recorded in CERCLIS. Funds for oversight of RP-lead RDs can be obligated prior to the RD start if the PRPs have initiated work at the site.

ACTIVITY: RD Completions — First and Subsequent (S/C-5)

DEFINITION: An RD is complete when the final plans and specifications and, in the case of a Fund-financed RD, a Fund-financed RA solicitation package for the selected remedy are developed.

DEFINITION OF ACCOMPLISHMENT:

Fund-financed (Includes F and S lead events) - An RD completion is the date that EPA concurs on or approves and accepts the final plans, specifications and RA solicitation package.

PRP-financed (Includes MR, RP, and PS lead events) - An RD is complete on the date that EPA concurs on or approves and accepts the final plans and specifications. For PS-lead RDs, the RD is complete when the state concurs on or approves and accepts the final plans and specifications.

For Fund and PRP financed RDs, the state should concur on the design prior to EPA concurrence or approval.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: Under STARS, the RD completion commitment includes Fund-financed, RP-lead or Federal Facility first and subsequent RD completions. Separate targets are established in SCAP for first vs. subsequent RD completions. Separate SCAP targets are also established for Federal Facility RD completions. The Federal Facility RD completion definition can be found in the Federal Facility Definitions section.

REMEDIAL DEFINITIONS
Remedial Design

PLANNING REQUIREMENTS	FIRST RD START	SUB. RD START	FIRST RD COMP.	SUB. RD COMP.
STARS COMMITMENT?	NO	NO	YES*	YES*
SCAP COMMITMENT?	YES	YES	YES	YES
TARGET OR MEASURE?	TARGET	TARGET	TARGET	TARGET
ANNUAL TARGETS/MEASURES SET?	YES	YES	YES	YES
QUARTERLY TARGETS/MEASURES SET?	YES	YES	YES	YES
IF YES, WHEN?	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY
PLANNED SITE SPECIFICALLY?	YES	YES	YES	YES
IF YES, WHEN?	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY
PLANNED/REPORTED ON OPERABLE UNIT OR WHOLE SITE BASIS?	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT
REPORTED ON COMBINED PROGRAM LEAD OR ON A PROGRAM SPECIFIC BASIS?	COMBINED#	COMBINED#	COMBINED	COMBINED
REPORTED SITE SPECIFICALLY OR IN NON-SITE PORTION OF CERCLIS?	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC
AOA CATEGORY IF FUND FINANCED ACTION?	REMEDIAL DESIGN	REMEDIAL DESIGN	N/A	N/A
AOA CATEGORY FOR PRP OVERSIGHT?	OTHER RESPONSE	OTHER RESPONSE	N/A	N/A
BASIS FOR AOA?	SITE SPEC. PLANS	SITE SPEC. PLANS	N/A	N/A

* THESE ARE A COMBINED TARGET UNDER STARS AND INCLUDE FUND, PRP AND FEDERAL FACILITY RD COMPLETIONS.

GOALS ARE ESTABLISHED ON A PROGRAM SPECIFIC BASIS.

REMEDIAL ACTION (RA)

Following are the SCAP and STARS activities tracked for RA:

- First RA Start Through Obligation of Funds;
- First Award of RA Contract;
- Subsequent RA Start;
- Subsequent Award of RA Contract;
- RA On-site Construction;
- First RA Completion;
- Subsequent RA Completion;
- Final RA Completion; and
- NPL Deletion Initiation.

RAs are planned site, OU and project specifically and reported in CERCLIS. Initial schedules for RA are established when the RI/FS for the site is initiated. These initial schedules must be updated in CERCLIS as better planning data become available. Funds are allocated site specifically in the RA AOA.

Award of RA contract and RA completions are combined STARS targets. Separate targets are established in SCAP for first and subsequent award of RA contract and for first, subsequent and final RA completions. Final RA completions and NPL sites completions through removal actions are a combined SCAP measure NPL sites where all remedial/removal implementation completed. Separate targets are also established in SCAP for Fund, PRP and Federal Facility Award of RA contract and RA completions. RA starts is a SCAP target. Individual targets are established for first vs subsequent and Fund vs PRP RA start targets. RA on-site construction and NPL deletion initiation are SCAP measures.

In the definitions below, first and subsequent RA starts and first, subsequent and final RA completions have been combined.

ACTIVITY: RA Start — First and Subsequent

DEFINITION: An RA start is the first step toward implementation of the remedy selected in the ROD.

DEFINITION OF ACCOMPLISHMENT:

Fund-financed (F or S lead events) - Credit for an RA start through obligation of funds is given on the date a contract, IAG or CA is awarded and funds are obligated. This date is entered into CERCLIS with the RA event.

PRP-financed (RP, MR or PS lead events) - Credit for an RA start is given when one of the following occurs and has been recorded in CERCLIS:

- If work is performed by the PRPs under a CD or AO, the RA start is the date EPA approves the PRP RD package;
- If the PRP is doing work under a state order or CD, and the site is covered by a state enforcement cooperative agreement or Superfund Memorandum of Agreement (SMOA) with a schedule for RA work at the site, and EPA approved the ROD, the RA start is the date EPA approves the PRP RD package;
- Where the Fund performed the RD and the PRPs are doing the RA under the terms of a CD, UAO or judgment, the RA start is the date on which the PRPs provide notice of intent to comply with the UAO (C2801 = "NC) or the date the CD is referred to HQ or DOJ (as recorded in CERCLIS). Where the PRP is in significant non-compliance with the UAO, credit will be withdrawn.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: A limit will be placed on the number of Fund-financed RAs that can be started during the FY.

ACTIVITY: Award of RA Contract (S/C-6)

DEFINITION: Award of RA contract is the initiation of on-site construction activities for the remedy selected in the ROD.

DEFINITION OF ACCOMPLISHMENT:

Fund-financed (F or S lead events) - Credit is given for an award of RA contract when the EPA, a state, U.S. Army Corps of Engineers (USACE) or Bureau of Reclamation (BUREC) has awarded a contract to initiate a Fund-financed RA. This date must be entered into CERCLIS subevent (C3101) "AC" (RA contract award).

PRP-financed (RP, MR or PS lead events) - Credit is given for the award of RA contract when the PRPs have begun substantial and continuous physical action, which is equivalent to an EPA contract award, or where the PRP has taken equivalent action with its own work force. This date should be entered in CERCLIS with the AC subevent.

CHANGES IN DEFINITION FY90-FY91: New definition for FY91

SPECIAL PLANNING REQUIREMENTS: First and subsequent, Fund, PRP and Federal Facility RA contract awards are a single target. Individual targets are negotiated in SCAP.

The definition for a Federal Facility award of RA contract can be found in the Federal Facilities Definitions section.

ACTIVITY: RA On-Site Construction

DEFINITION: RA on-site construction begins when the EPA, USACE, BUREC or state contractor for a Fund-financed RA, PRP or PRP's contractor for a PRP RA, mobilizes to start implementation of the selected remedy.

DEFINITION OF ACCOMPLISHMENT: The date of mobilization must be placed in CERCLIS against the RA subevent (3101) "RO" (on-site construction).

CHANGES IN DEFINITION FY90-FY91: New definition for FY91.

SPECIAL PLANNING REQUIREMENTS: Planned RA on-site construction dates for Fund-financed RAs must be placed in CERCLIS when the RA contract is awarded. This date is used for planning cost recovery actions and establishing Statute of Limitations (SOL) dates.

ACTIVITY: RA Completion — First, Subsequent and Final (S/C-7)

DEFINITION: A first and subsequent RA is complete when construction activities are complete, a final inspection has been conducted, the remedy is operational and functional (see definition for operational and functional in Appendix D, Section II) and an Operable Unit RA Report has been prepared. This report summarizes site conditions and construction activities for the OU. The final RA requires preparation of a Superfund Site Close-Out Report. This report summarizes the site conditions and construction activities and demonstrates that the NCP criteria for deletion has been met. If the only activity remaining is performance monitoring or Long Term Remedial Action (LTRA), an Interim Superfund Site Close-out Report must be prepared.

DEFINITION OF ACCOMPLISHMENT: The date the Regional Administrator signs the Operable Unit RA Report or the Superfund Site Close-Out Report is the accomplishment of the RA completion. The appropriate dates must be recorded in CERCLIS with the event. The date the Regional Administrator signs the Interim Superfund Site Close-Out Report must be recorded in CERCLIS against the RA subevent (C3101) "RC" (RA physical construction completed).

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: Commitments are made on a combined Fund, PRP and Federal Facility basis. First, subsequent and final RA completions are a combined STARS target. Separate targets are established in SCAP for first, subsequent and final RA completions. Separate Federal Facility targets are established in SCAP. The definition for a Federal Facility RA completion can be found in the Federal Facility Definitions section.

ACTIVITY: NPL Deletion Initiation

DEFINITION: The deletion process is initiated when performance monitoring of the completed remedy or remedies for the site has verified the integrity of the action and it has been determined that no further response action is required at the site.

DEFINITION OF ACCOMPLISHMENT: The deletion process is credited when a notice of intent to delete the site is published in the Federal Register.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS:

REMEDIAL DEFINITIONS
Remedial Action

PLANNING REQUIREMENTS	FIRST RA START	SUB. RA START	FIRST RA CONTRACT AWARD	SUB. RA CONTRACT AWARD	ON-SITE CONSTR.	RA COMPL	SUB RA COMPL.	FINAL RA COMPL.	NPL DEL. PROC. INT.
STARS COMMITMENT?	NO	NO	YES*	YES*	NO	YES*	YES*	YES*	NO
SCAP COMMITMENT?	YES	YES	YES	YES	YES	YES	YES	YES	YES
TARGET OR MEASURE?	TARGET	TARGET	TARGET	TARGET	MEASURE	TARGET	TARGET	TARGET	MEASURE
ANNUAL TARGETS/MEASURES SET?	YES	YES	YES	YES	NO	YES	YES	YES	NO
QUARTERLY TARGETS/MEASURES SET?	YES	YES	YES	YES	NO	YES	YES	YES	NO
IF YES, WHEN?	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY		PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	
PLANNED SITE SPECIFICALLY?	YES	YES	YES	YES	YES	YES	YES	YES	NO
IF YES, WHEN?	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	RA CONTRACT AWARD	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	
PLANNED ON OPERABLE UNIT OR WHOLE SITE BASIS?	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT	WHOLE SITE
REPORTED ON COMBINED PROGRAM LEAD OR ON A PROGRAM SPECIFIC BASIS?	COMBINED#	COMBINED#	COMBINED	COMBINED	COMBINED	COMBINED	COMBINED	COMBINED	COMBINED
REPORTED SITE SPECIFICALLY OR IN NON-SITE PORTION OF CERCLIS?	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC
AOA CATEGORY IF FUND FINANCED?	RA	RA	N/A	N/A	N/A	N/A	N/A	N/A	N/A
AOA CATEGORY FOR PRP OVERSIGHT?	OTHER RESPONSE	OTHER RESPONSE	N/A	N/A	N/A	N/A	N/A	N/A	N/A
BASIS FOR AOA?	SITE SPEC. PLANS	SITE SPEC. PLANS	N/A	N/A	N/A	N/A	N/A	N/A	N/A

* THESE ARE A COMBINED TARGET UNDER STARS AND INCLUDE FUND, PRP AND FEDERAL FACILITY ACTIONS
GOALS ARE ESTABLISHED AND REPORTED IN SCAP ON A PROGRAM SPECIFIC BASIS.

RESPONSE DEFINITIONS

INTRODUCTION

There are a subset of FY91 SCAP/STARS targets/measures that reflect the start and completion of response activities and the accomplishment of cleanup goals at NPL sites. Accomplishments for these measures are based on information reported in CERCLIS for removal and/or remedial events. Following are the response activities tracked in SCAP/STARS:

- Number of NPL Sites where a Removal Action or RI/FS has Started;
- Percent of NPL Sites Addressed;
- NPL Sites where All Remedial/Removal Implementation Completed; and
- Type of Media Addressed.

Number of NPL sites where a removal action or RI/FS has started is a STARS target. Percent of NPL sites addressed is a STARS measure. NPL sites where all remedial/removal implementation completed is SCAP measure. Type of media addresses is a STAR measure.

ACTIVITY: Number of NPL Sites where a Removal Action or RI/FS has Started (S/C-2)

DEFINITION: Number of NPL sites (final and proposed) where on-site activity has begun. On-site activity is characterized by either a removal action under the direction of EPA or through an AO, CD or judgment; or implementation of a first RI/FS (Fund, PRP or Federal Facility) at the site, but not both.

DEFINITION OF ACCOMPLISHMENT: See RI/FS start definitions in the Remedial Definitions section and the Federal Facility Definitions section and removal start definition in the Removal Definitions section.

CHANGES IN DEFINITION FY90 - FY91:

SPECIAL PLANNING REQUIREMENTS: First NPL removal starts or first RI/FS starts are a combined target under STARS. Separate targets are negotiated in SCAP for RI/FS starts and removal starts. Regions cannot receive credit under STARS if an RI/FS or NPL removal began or was conducted at the site in a previous year. Similarly, Regions cannot receive credit for both an RI/FS start and a NPL removal if they are started in the same year. Credit is given for the first activity started and a site can only receive credit once. Therefore, historical data must be reviewed prior to targeting and reporting accomplishments in STARS.

ACTIVITY: Percent NPL Sites Addressed (S/C-2a)

DEFINITION: The number of proposed or final NPL sites where a removal action, RI/FS, enforcement action (Section 106 referral or UAO) or Resource Conservation and Recovery Act (RCRA) corrective action has taken place divided by the total number of sites on the NPL.

DEFINITION OF ACCOMPLISHMENT: See Definition.

CHANGES IN DEFINITIONS FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: RI/FS starts include Fund-financed, PRP, Federal Facility, State Enforcement (with or without EPA involvement), and State financed projects. CERCLIS will automatically review the site specific records, calculate the percentage and place it in the CERHELP Targets and Accomplishments file. Regions must contact HQ if site activities are started as a result of RCRA corrective actions.

ACTIVITY: NPL Sites where All Remedial/Removal Implementation Completed

DEFINITION: An NPL site is completed when the conditions specified in the Action Memorandum or ROD have been met and no further remedial or removal response actions are necessary.

DEFINITION OF ACCOMPLISHMENT:

Removal - See definition for removal completions in the Removal Definitions section.

RA - The RA implementation is complete when RA construction activities at the final OU are complete, a final inspection has been conducted, the remedy is operating, and a Superfund Site Close-Out Report has been prepared. If the only remaining activities are performance monitoring, operation and maintenance (O&M) or LTRA an Interim Superfund Site Close-Out Report is prepared. A Superfund Site Close-Out Report is prepared after final RA construction activities are complete, a final inspection has been conducted and the remedy is operational and functional. (See definition of operational and functional in Appendix D, Section II.)

The date the Regional Administrator signs the Interim Superfund Site Close-Out Report or the Superfund Site Close-Out Report is the accomplishment of remedial implementation completion. The date of the Interim Superfund Site Close-Out Report must be entered into CERCLIS against the RA subevent (C3101) "RC" (RA physical construction complete). The date of the Superfund Site Close-Out Report must be recorded in CERCLIS with the RA event.

ROD - The remedial implementation is complete when the ROD for the final OU requires no further action. The date the ROD is signed by the AA SWER, Regional Administrator/Deputy Regional Administrator is the accomplishment date and must be entered into CERCLIS. There should be no RD or RA activities at this OU. The remedial technology type in the Technical Information Qualifier (C3402 through C3411) for the ROD should be "NA" (No Action).

CHANGES IN DEFINITION FY90 - FY91:

SPECIAL PLANNING REQUIREMENTS:

ACTIVITY: Type of Media Addressed (S/C-7a)

DEFINITION: This measure results from the Environmental Indicators program. It reports the type of media where the goal established in the ROD has been achieved through implementation of a RA. This measure applies to those RA activities that completely address the contamination of one or more media. Media addressed for a permanent or interim remedy must be reported. A permanent remedy indicates that all human health and environmental goals for the media have been addressed and completed. Interim remedy is defined as a temporary or partial action that controls exposure or otherwise temporarily protects human health and the environment. The site may need to be revisited for further clean up under the terms of an interim remedy. In reporting the interim remedy, Regions should also report whether the remedy is partial or complete with respect to that pathway. If the remedy does not completely address all of the pathway, the result is a partial action. Otherwise, the remedy is an interim temporary action. (See Volume I, Chapter III for additional information on the Environmental Indicators program.)

DEFINITION OF ACCOMPLISHMENT: Same as definition.

CHANGES IN DEFINITION FY90 - FY91: New definition for FY91.

SPECIAL PLANNING REQUIREMENTS: Accomplishments will be recorded in CERCLIS as part of the regional update of the Environmental Indicators program. The type of media addressed should be reflected in the comment field of the STARS data base.

RESPONSE DEFINITIONS

PLANNING REQUIREMENTS	NPL SITES WHERE REMOVAL OR RI/FS STARTED	% NPL SITES ADDRESSED	NPL SITES WHERE ALL REMEDIAL/REMOVAL IMPLEMENTATION COMPLETED	MEDIA ADDRESSED
STARS COMMITMENT?	YES#	YES*	NO	YES
SCAP COMMITMENT?	NO	NO	YES	NO
TARGET OR MEASURE?	TARGET	MEASURE	MEASURE	MEASURE
ANNUAL TARGETS/MEASURES SET?	YES	NO	NO	NO
QUARTERLY TARGETS/MEASURES SET?	YES	NO	NO	NO
IF YES, WHEN?	PRIOR TO FY			
PLANNED SITE SPECIFICALLY?	YES	NO	NO	NO
IF YES, WHEN?	PRIOR TO FY			
PLANNED ON OPERABLE UNIT OR WHOLE SITE BASIS?	WHOLE SITE	WHOLE SITE	WHOLE SITE	OPERABLE UNIT
PLANNED/REPORTED ON COMBINED PROGRAM LEAD OR ON A PROGRAM SPECIFIC BASIS?	COMBINED	COMBINED	COMBINED	COMBINED
REPORTED SITE SPECIFICALLY OR IN NON-SITE PORTION OF CERCLIS?	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC
AOA CATEGORY?	N/A	N/A	N/A	N/A
BASIS FOR AOA?	N/A	N/A	N/A	N/A

INCLUDES FUND, ENFORCEMENT ACTION, PRP OR FEDERAL FACILITY ACTIVITY.

* INCLUDES REMOVAL, RI/FS, ENFORCEMENT ACTION OR RCRA ACTION WITH F, S, RP, FE, SE, PS, SN, SR, MR LEAD.

REMOVAL DEFINITIONS

INTRODUCTION

Requirements for the removal program differ from the remedial program due to the nature of removal activities. The removal program responds to emergency, time-critical and non-time-critical situations at NPL and non-NPL sites. Since so much of the removal work cannot be anticipated in advance, the planning horizon of these activities is significantly shorter than for remedial activities. Thus, quarterly commitments are not required. All SCAP/STARS targets, however, are established on an annual basis. Targets are planned site-specifically prior to the quarter the removal is projected to begin. Site specific removal funding needs are placed in CERCLIS the quarter prior to the expected obligation date. The annual removal commitments are placed in the Targets and Accomplishments portion of the CERHELP non-site data system. **Credit will be given for NPL or non-NPL activities depending on the NPL status recorded in CERCLIS on the date accomplishment reports are pulled.**

REMOVAL ACTIVITIES

The following removal activities are tracked in SCAP and STARS:

- Removal Investigations at NPL Sites;
- NPL Removal Starts;
- Non-NPL Removal Starts;
- Removal Completions;
- NPL Site Completions through Removal Actions; and
- Percent NPL Sites Addressed

First NPL removal starts or first RI/FS starts are a single STARS target under S/C-2 number of sites where activity was started. Separate RI/FS and removal targets are established in SCAP. Percent NPL sites addressed is a STARS measure which includes remedial, removal, enforcement or Federal Facility activities.

Non-NPL and NPL removal starts and NPL site completions through removal actions are SCAP targets. NPL site completions through removal action are combined with final RAs as the SCAP measure NPL sites where all remedial/removal implementation completed. SCAP commitments for removal starts are made on a combined program basis. Separate goals for Fund-financed and RP-lead removals are negotiated prior to the FY. Accomplishments are reported on a combined program basis. Removal investigations and removal completions are SCAP measures.

NPL and non-NPL removal start definitions have been combined. Definitions for removal completions and NPL site completions through removal actions have also been combined. The definition for percent NPL sites addressed is found in the Response Definitions section.

ACTIVITY: Removal Investigations at NPL Sites

DEFINITION: A removal investigation at an NPL site is the process of collecting field data at an NPL site for the purpose of characterizing the magnitude and severity of the problem to determine if a removal action is warranted.

Investigations may be conducted by the state, EPA and/or Technical Assistance Team (TAT), and must include an on-site component, such as a walk around survey or sampling to be counted.

DEFINITION OF ACCOMPLISHMENT: The start of the removal investigation at NPL sites is defined as the date of the site visit. The completion is defined as the signature of an Action Memorandum or the date of a memorandum to the file documenting the decision not to perform a removal action.

CHANGES IN DEFINITION FY90 - FY91:

SPECIAL PLANNING REQUIREMENTS: This is a SCAP reporting measure. Accomplishments should be reported site specifically in CERCLIS.

ACTIVITY: Removal Starts — NPL and Non-NPL

DEFINITION: A removal is a response action taken to prevent or mitigate a threat to public health, welfare or the environment posed by the release or potential release of a CERCLA hazardous substance, or an imminent or substantial risk posed by a pollutant or contaminant. For first removal starts, no prior activity may have occurred, either Fund-financed or under the direction of EPA or through an AO, CD or judgment.

In order for the NPL removal to be counted in the STARS target S/E-2, Number of NPL sites where a removal action or RI/FS has started, it must not have had previous removal or RI/FS activity at the site.

DEFINITION OF ACCOMPLISHMENT:

Fund-financed A Fund-financed removal counts when on-site removal work is begun as documented in a POLREP. Prior to on-site work beginning, the following actions usually occur:

- The Action Memorandum is approved by the On-Scene Coordinator (OSC), Regional Administrator or AA SWER;
- A contract has been signed for an EPA or U.S. Coast Guard (USCG) on-site removal; and
- An obligation for the removal has been recorded in CERCLIS and the Integrated Financial Management System (IFMS) or the OSC activates \$50,000.

PRP-financed - A PRP removal counts when there is on-site removal activity financed by the PRP in compliance with a Federal AO (unilateral or consent), or CD or judgment. The date the PRPs begin actual on-site work (as entered in CERCLIS) is the start date. Where the PRP is in substantial non-compliance, credit will be withdrawn. If the PRPs do not comply with a UAO, credit is not given. No credit will be provided where a PRP is conducting a response without an enforcement document.

CHANGES IN DEFINITION FY90-FY91: Credit is not given if the PRPs do not comply with a UAO; credit is withdrawn if PRPs are in substantial non-compliance.

SPECIAL PLANNING REQUIREMENTS: Plans are made site specifically prior to the quarter the removal is expected to begin; "to be determined" sites are allowed. Annual targets for removals are established in the Targets and Accomplishments portion of the CERHELP data base. Commitments for non-NPL removals are made based on a combined Fund and PRP financed and first and subsequent basis.

First NPL removal starts or first RI/FS starts are a combined target under STARS. Separate targets are established in SCAP for RI/FS starts and removal starts. Regions cannot receive credit for a site under STARS S/C-2, number of sites where activity has started, if an RI/FS or NPL removal began or was conducted at the site in a previous year. Regions also cannot receive credit for both an RI/FS start and a removal if they are started in the same year. Credit is given for the first activity started and a site can receive credit only once. Therefore, historical data need to be reviewed prior to recording accomplishments in STARS. Regions can receive credit for both activities under SCAP.

ACTIVITY: NPL and Non-NPL Removal Completions and NPL Site Completions through Removals

DEFINITION: The definition for removal completion is when the conditions specified in the Action Memorandum have been met even if the OSC determines that additional response work may be necessary.

An NPL site is completed through a removal action when the conditions specified in the Action Memorandum or ROD have been met and no further remedial or removal response actions are necessary.

DEFINITION OF ACCOMPLISHMENT:

Fund-financed Completions are counted on the day the cleanup contractor(s) has demobilized and left the site, as documented in a POLREP and recorded in CERCLIS.

PRP-financed Completions will count when the Region has certified, by entering a date in CERCLIS, that the PRPs or their contractors have completed a removal action and fully met the terms of an AO, CD or judgment.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: Measures are reported based on combined Fund and PRP-financed and first and subsequent NPL and non-NPL removal completions. Projections on the number of NPL removal completions are placed in the Targets and Accomplishments portion of the CERHELP non-site data system. NPL site completions through removal are planned site specifically and include Fund-financed and PRP removals.

REMOVAL PROGRAM DEFINITIONS

PLANNING REQUIREMENTS	NPL REM. START	NON-NPL REM. START	REM. COMP	NPL REMOVAL SITE COMP.	NPL REMOVAL INVESTIGATIONS
STARS COMMITMENT?	NO*	NO	NO	NO	NO
SCAP COMMITMENT?	YES	YES	YES	YES	YES
TARGET OR MEASURE?	TARGET	TARGET	MEASURE	TARGET	MEASURE
ANNUAL TARGETS/MEASURES SET?	YES	YES	YES	YES	NO
QUARTERLY TARGETS/MEASURES SET?	NO	NO	NO	NO	NO
IF YES, WHEN?					
PLANNED SITE SPECIFICALLY?	YES **	YES**	YES	YES	NO
IF YES, WHEN?	PRIOR TO QUART.	PRIOR TO QUART.	PRIOR TO QUART.	PRIOR TO QUART.	
PLANNED/REPORTED ON OPERABLE UNIT OR WHOLE SITE BASIS?	WHOLE SITE	WHOLE SITE	WHOLE SITE	WHOLE SITE	WHOLE SITE
REPORTED ON COMBINED PROGRAM LEAD OR ON A PROGRAM SPECIFIC BASIS?	COMBINED#	COMBINED#	COMBINED	COMBINED	N/A
REPORTED SITE SPECIFICALLY OR IN NON-SITE PORTION OF CERCLIS?	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC
AOA CATEGORY IF FUND FINANCED?	REMOVAL	REMOVAL	N/A	N/A	REMOVAL
AOA CATEGORY FOR PRP OVERSIGHT?	ENFORCEMENT	ENFORCEMENT	N/A	N/A	N/A
BASIS FOR AOA?	SITE SPEC. PLANS & CONTINGENCY	SITE SPEC. PLANS & CONTINGENCY	N/A	N/A	SITE SPECIFIC PLANS

* FIRST RI/FS STARTS OR FIRST NPL REMOVALS ARE A COMBINED TARGET UNDER STARS.

** "TO BE DETERMINED" SITES ARE ALLOWED.

SEPARATE PROGRAM SPECIFIC GOALS ARE ESTABLISHED PRIOR TO THE FY.

A LIMIT IS PLACED ON THE NUMBER OF FUND-FINANCED NPL REMOVAL STARTS.

ENFORCEMENT DEFINITIONS

INTRODUCTION

The planning requirements for RP-lead response activities parallel those used under the remedial and removal programs. These requirements are discussed in the previous sections. Funding for the enforcement targets/measures are provided through the Case Budget. Enforcement definitions have been divided into two categories: PRP Searches and Negotiations, and Settlements, Referrals, and Oversight.

PRP SEARCHES AND NEGOTIATIONS

Following are the search and negotiation activities tracked in SCAP and STARS:

- Issuance of General Notice Letters;
- Issuance of Special Notice Letters;
- Section 104(e) Letter Issued;
- NPL PRP Search Starts;
- Non-NPL PRP Search Starts;
- NPL PRP Search Completions;
- Non-NPL PRP Search Completions;
- RI/FS Negotiation Starts;
- RI/FS Negotiation Completions;
- RD/RA Negotiation Starts; and
- RD/RA Negotiation Completions.

RD/RA negotiation completions is a STARS target. The remainder of the activities are SCAP targets or measures.

The definitions for start of PRP search at NPL and non-NPL sites and the completion of PRP search at NPL and non-NPL sites have been combined.

ACTIVITY: Issuance of General Notice Letters

DEFINITION: Letter sent by EPA under Section 122 of the Superfund Amendments and Reauthorization Act of 1986 (SARA) informing recipients of their potential liability for cleanup actions at the site. It is usually sent out during the PRP search or during preparation for negotiations.

DEFINITION OF ACCOMPLISHMENT: Credit for this activity is given on the date the General Notice letter is signed by the appropriate EPA official.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: This is a SCAP reporting measure and is recorded at the milestone level.

ACTIVITY: Issuance of Special Notice Letters

DEFINITION: A special notice letter is a letter from EPA to the PRPs informing them of their potential liability and inviting them to offer to conduct the planned response action(s) at the site. This letter, under Section 122 of SARA, triggers a negotiation moratorium allowing the PRPs to consider EPA's invitation to negotiate. The moratorium period varies depending on the response action (RI/FS, RD/RA) and can be extended if necessary.

DEFINITION OF ACCOMPLISHMENT: Credit for this activity is given on the date the special notice letter is signed by the appropriate EPA official.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: This is a SCAP reporting measure and is recorded at the milestone level.

ACTIVITY: Section 104(e) Letters Issued

DEFINITION: This is a letter issued under Section 104(e) of SARA. It requests information from PRPs on matters such as: the nature and extent of a release or threatened release at a site; nature and quantity of materials; indemnification; financial ability of PRP to pay for response actions.

DEFINITION OF ACCOMPLISHMENT: Credit for this activity is given on the date the information request letter is signed by the appropriate EPA official.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: This is a SCAP reporting measure and is recorded at the milestone level.

ACTIVITY: PRP Search Starts (NPL and Non-NPL)

DEFINITION: The purpose of the PRP search is to identify PRPs. At NPL sites the PRP search should be initiated at the same time as the LSI or, at the latest, with the listing of the site. It should be completed in time to send general notice which should be approximately two months before the special notice date and at least 90 days prior to the obligation of funds for a RI/FS. At sites where a removal will be conducted, it should be done prior to the start of the action when possible or very soon after the initiation of the emergency response.

DEFINITION OF ACCOMPLISHMENT: If the search is being conducted by a contractor, the start date is considered to be the date the work assignment is procured. If it is conducted by EPA, the start date is the day the EPA staff begins the PRP search activities.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: Removal PRP searches should be planned site specifically to the maximum extent possible. Funds for removal PRP searches are requested in CERHELP. Projections for removal PRP searches should be placed in the Targets and Accomplishments portion of CERHELP. NPL PRP searches are planned and funds requested on a site specific basis. PRP searches should be planned for all sites listed on the NPL and for all removals conducted during the fiscal year.

ACTIVITY: PRP Search Completion (NPL and Non-NPL)

DEFINITION: A PRP search is the action taken by the Region to identify the responsible parties at a site.

DEFINITION OF ACCOMPLISHMENT: The PRP search is complete when:

- The Region has gathered information required by the program guidance including information on generators and necessary information on financial viability, and has sufficient information to mail special notice letters (names and addresses of PRPs, volume and nature of substances contributed by each PRP; volumetric ranking) and, at NPL sites, the outcome of the search has been determined, or
- If no PRPs are found, the date and the outcome of the search are entered into CERCLIS.

This definition applies to both Phase I (single owner, operator site) and Phase II (multi-generator site) PRP search accomplishments.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: NPL PRP searches completions are planned on a site specific basis; removal searches should be planned site-specifically to the maximum extent possible. All targeted non-NPL removal starts should have an associated projection for a removal PRP search. These projections should be placed in the Targets and Accomplishments portion of CERHELP.

ACTIVITY: RI/FS Negotiation Starts

DEFINITION: RI/FS negotiations are discussions between EPA and the PRPs on their liability, willingness, and ability to conduct the RI/FS.

DEFINITION OF ACCOMPLISHMENT: RI/FS negotiations start when:

- The first special notice letter is signed, or
- When a waiver of special notice letter is signed, or
- When the general notice letter that outlines negotiation time frames is signed.

The RI/FS negotiations start date is the date the letter is signed.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: If the Region does not plan to perform RI/FS negotiations at a site, negotiation dates should not be placed in CERCLIS. The start of RI/FS negotiations should be planned site specifically.

ACTIVITY: RI/FS Negotiation Completions

DEFINITION: RI/FS negotiations end when the Region decides how to proceed with the RI/FS activities.

DEFINITION OF ACCOMPLISHMENT: RI/FS negotiations end when:

- A UAO or Administrative Order on Consent (AOC) for RI/FS is signed by the last official;
- A signed CD for RI/FS is referred by the Region to HQ or Department of Justice (DOJ); or
- Funds are obligated for a Fund-financed RI/FS.

The negotiations conclusion date is the order signature date, the date on the transmittal letter referring the CD, or the date funds for RI/FS are obligated.

CHANGES IN DEFINITION FY90-FY91: The conclusion of the negotiation period per special notice was deleted from the definition.

SPECIAL PLANNING REQUIREMENTS: The activity is planned site specifically in CERCLIS.

ACTIVITY: RD/RA Negotiation Starts

DEFINITION: RD/RA negotiations are discussions between EPA and the PRPs on their liability, willingness and ability to implement the remedy selected in the ROD for the site or operable unit.

DEFINITION OF ACCOMPLISHMENT: RD/RA negotiations start when:

- The first special notice letter is signed, or
- When a waiver of special notice letter is signed, or
- When the general notice letter that outlines negotiation time frames is signed.

The RD/RA negotiations start date is the date the letter is signed.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: If the Region does not plan to conduct RD/RA negotiations, dates should not be entered into CERCLIS. The start of RD/RA negotiations is planned site specifically.

ACTIVITY: RD/RA Negotiation Completions (S/C-4)

DEFINITION: RD/RA negotiations end when the Region decides how to proceed with the RD/RA.

DEFINITION OF ACCOMPLISHMENT: RD/RA negotiations end when:

- A signed CD (Section 106 or 106/107 referral with settlement) for RD/RA and 10 point analysis are referred by the Region to either DOJ or HQ;
- A Section 106 or 106/107 referral for RD/RA without settlement is referred to DOJ or HQ;
- A UAO for RD and/or RA to initiate site work is signed and the PRP is in compliance;
- A UAO for RD and/or RA to initiate site work is signed but a non-compliance determination is made; or
- Funds are obligated for a Fund-lead RD, where a UAO has been considered not appropriate.

If RD funds are not available and the Region decides a UAO is not appropriate; and HQ concurs with this decision in writing, the negotiation completion date is the date of the HQ memorandum concurring with the UAO decision.

The negotiation conclusion date is: the date on the transmittal letter for the CD, the date on the transmittal letter with the referral without settlement, the date the PRP sends EPA a notice of intent to comply with the UAO, the date a UAO non-compliance determination is made, or the date funds are obligated.

CHANGES IN DEFINITION FY90-FY91: The definition makes a distinction between situations where a UAO is issued and the PRPs either comply or non-comply with the order. Credit is given when RD funds are awarded only in situations where a UAO is not issued. A completion definition was added in the event RD funds are not available.

SPECIAL PLANNING REQUIREMENTS: The activity is planned site specifically in CERCLIS.

ENFORCEMENT DEFINITIONS
Searches and Negotiations

PLANNING REQUIREMENTS	NPL PRP SEARCH	NON-NPL PRP SEARCH	NPL PRP SEARCH COMP	REMOVAL PRP SEARCH COMP	SEC. 104e LETTERS
STARS COMMITMENT?	NO	NO	NO	NO	NO
SCAP COMMITMENT?	YES	YES	YES	YES	YES
TARGET OR MEASURE?	MEASURE	MEASURE	MEASURE	MEASURE	MEASURE
ANNUAL TARGETS/MEASURES SET?	NO	NO	NO	NO	NO
QUARTERLY TARGETS/MEASURES SET?	NO	NO	NO	NO	NO
IF YES, WHEN?					
PLANNED SITE SPECIFICALLY?	YES	NO	YES	NO	NO
IF YES, WHEN?	PRIOR TO FY		PRIOR TO FY		
PLANNED/REPORTED ON OPERABLE UNIT OR WHOLE SITE BASIS?	WHOLE SITE	WHOLE SITE	WHOLE SITE	WHOLE SITE	WHOLE SITE
REPORTED ON COMBINED PROGRAM LEAD OR ON A PROGRAM SPECIFIC BASIS?	N/A	N/A	N/A	N/A	N/A
REPORTED SITE SPECIFICALLY OR IN NON-SITE PORTION OF CERCLIS?	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC
AOA CATEGORY?	ENFORCEMENT	ENFORCEMENT	N/A	N/A	N/A
BASIS FOR AOA?	SITE SPEC. PLANS	NON-SITE PLANS	N/A	N/A	N/A

ENFORCEMENT DEFINITIONS
PRP SEARCHES AND NEGOTIATIONS

PLANNING REQUIREMENTS	GENERAL NOTICE LETTERS	SPECIAL NOTICE LETTERS	RI/FS NEG START	RI/FS NEG COMP.	RD/RA NEG START	RD/RA NEG COMP
STARS COMMITMENT?	NO	NO	NO	NO	NO	YES
SCAP COMMITMENT?	YES	YES	YES	YES	YES	YES
TARGET OR MEASURE?	MEASURE	MEASURE	MEASURE	MEASURE	TARGET	TARGET
ANNUAL TARGETS/MEASURES SET?	NO	NO	NO	NO	YES	YES
QUARTERLY TARGETS/MEASURES SET?	NO	NO	NO	NO	YES	YES
IF YES, WHEN?					PRIOR TO FY	PRIOR TO FY
PLANNED SITE SPECIFICALLY?	NO	NO	YES	YES	YES	YES
IF YES, WHEN?			PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY
PLANNED/REPORTED ON OPERABLE UNIT OR WHOLE SITE BASIS?	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT
REPORTED ON COMBINED PROGRAM LEAD OR ON A PROGRAM SPECIFIC BASIS?	N/A	N/A	N/A	N/A	N/A	N/A
REPORTED SITE SPECIFICALLY OR IN NON-SITE PORTION OF CERCLIS?	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC
AOA CATEGORY?	ENFORCEMENT	ENFORCEMENT	ENFORCEMENT	N/A	ENFORCEMENT	N/A
BASIS FOR AOA?	SITE/NON SITE SPEC. PLANS	SITE/NON SITE SPEC. PLANS	SITE SPEC. PLANS	N/A	SITE SPEC. PLANS	N/A

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SETTLEMENTS, REFERRALS AND OVERSIGHT

SCAP and STARS track the following enforcement activities:

- Section 104(e) Referrals;
- Administrative Record Compilation Completion (removal and remedial);
- Section 106, 106/107, 107 Case Resolution;
- Cost Recovery Amounts Referred and Settled;
- Section 107 Referrals/Settlements (>\$200,000);
- Section 106 or 106/107 Referrals/Settlements for RD/RA;
- Section 107 Referrals/Settlements (<\$200,000);
- Administrative Orders issued;
- Demand Letters Issued;
- Issue Cost Recovery Decision Document;
- State CDs for RD/RA Issued;
- State orders for RI/FS Issued; and
- De minimus Settlements Achieved.

Section 106 or 106/107 Referrals/Settlements for RD/RA is a SCAP/STARS targeted activity (S/E-4) and a SCAP measure. The definitions are slightly different. Both definitions are presented in this section.

ACTIVITY: Section 104(e) Referrals

DEFINITION: Section 104(e) referrals are enforcement actions to compel parties to respond to EPA requests for information.

DEFINITION OF ACCOMPLISHMENT: Credit is given when the Regional Administrator signs the transmittal letter referring the action to HQ or DOJ. The signature date must be recorded in CERCLIS as the activity start date.

CHANGES IN DEFINITION FY90-FY91: Referrals with settlement and UAOs were eliminated.

SPECIAL PLANNING REQUIREMENTS: Targets are established on a site specific basis; “to be determined” sites are allowed with an explanation.

ACTIVITY: Administrative Record Compilation (Remedial and Removal)

DEFINITION: An Administrative Record is a compilation of all documents which EPA used to make a specific decision on the appropriate response action to be taken at a Superfund site. SARA specifies that Administrative Records be compiled at sites where remedial or removal responses are planned or are occurring, or where EPA is issuing a UAO or initiating litigation.

DEFINITION OF ACCOMPLISHMENT: The Administrative Record compilation begins when the Administrative Record is received at the site repository and the start date is entered into CERCLIS. The Administrative Record compilation is complete when the compilation is verified via ORC certification.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: The number of Administrative Records compiled must be reported quarterly in the CERHELP Targets and Accomplishments data base.

ACTIVITY: Section 106, 106/107, 107 Case Resolution

DEFINITION: Case resolution is the conclusion of a Section 106, 106/107, or 107 judicial action by a full settlement, a final judgment, a case dismissal, or a case withdrawal.

DEFINITION OF ACCOMPLISHMENT: Credit for case resolution is given when:

- A CD is entered in the court fully addressing the complaint with all parties;
- The case is withdrawn;
- The case is dismissed; or
- A trial concluded and a judgment entered fully addressing the complaint.

The case resolution date (activity actual completion date) is the same as the milestone date and is defined as follows:

- Date CD is entered;
- Date case is withdrawn;
- Date case is dismissed; or
- Date judgment is entered.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: Commitments are established site specifically.

ACTIVITY: Cost Recovery Amounts Referred and Settled (S/E-3)

DEFINITION: This is the sum of all cost recovery dollars referred and settled. This includes:

- Value of past costs sought in Section 106/107 or Section 107 referrals (referred to DOJ or HQ);
- Value of past costs recovered in Section 106/107, Section 107 or Section 122 settlements, including:
 - CDs, upon referral to HQ or DOJ;
 - AOs, upon execution of last signature by EPA or the PRPs;
 - Cash outs (normally de minimis);
- Administrative Settlements:
 - Voluntary Cost Recovery (payment in direct response to demand letters); or
- Section 106/107 or Section 107 judgments in compliance.

This category does not include the amount of bankruptcy settlements, or the amount of oversight costs billed.

DEFINITION OF ACCOMPLISHMENT: Credit is given for the amount entered in CERCLIS.

CHANGES IN DEFINITION FY90-FY91: Bankruptcy settlements and recovery of oversight costs are not included.

SPECIAL PLANNING REQUIREMENTS: This is a STARS reporting measure only, not a targeted activity.

ACTIVITY: Section 106 or 106/107 Referrals/Settlements for RD/RA (S/E-4)

DEFINITION: These are the enforcement actions to compel the PRPs to conduct the RD and/or RA.

DEFINITION OF ACCOMPLISHMENT:

1) Section 106 or 106/107 Referrals without Settlement - This measure includes all referrals for RD/RA to HQ or DOJ seeking injunctive relief. Credit is given on the date of the transmittal letter accompanying the referral to Office of Enforcement (OE) or DOJ.

This target will automatically decrease by one should a site in this category reach a settlement (CD or UAO in compliance) prior to referral. The target for category 2, below, will automatically increase by one.

Referrals seeking preliminary relief or penalties do not count toward this measure.

2) Section 106 or 106/107 CD for RD/RA or RD/RA UAO where PRPs are in compliance - This measure includes CDs for RD and/or RA or RD/RA cashouts referred to HQ or DOJ. The CD referral package must contain all signatures (EPA and PRPs), and a complete 10-point analysis document. Credit will be based on the date of the transmittal letter accompanying the referral to OE or DOJ.

This measure also includes UAOs for RD/RA where the PRPs are in compliance. Should the PRP become substantially in non-compliance with the UAO, credit will be withdrawn from this category and will only be reinstated when the PRP returns to compliance or will be counted in category 1 upon referral to HQ or DOJ. Credit for UAO in compliance is based on the milestone "Notice of Intent to Comply" date (C2801 = NC) entered into CERCLIS.

Should a site targeted in this category fail to reach a settlement and the region refers the case without settlement, this target will automatically decrease by one, while the target in category 1 will increase by one.

CHANGES IN DEFINITION FY90-FY91: The notice of intent to comply with the UAO must be entered into CERCLIS.

SPECIAL PLANNING REQUIREMENTS: Separate targets are established site specifically for category 1 and category 2 activities. STARS accomplishments are reported as a combination of category 1 and category 2 activities. "To be determined" sites are allowed with an explanation. Credit will be withdrawn if a case is returned by OE or DOJ for additional work. Credit will be reinstated upon re-referral and will be based on the quarter of re-referral. In the event a case is referred in one year and returned to the Region in subsequent years, no credit will be provided for re-referral.

ACTIVITY: Section 106 or 106/107 Referrals/Settlements for RD/RA (SCAP measure)

DEFINITION: These are the enforcement actions to compel the PRPs to conduct the RD and/or RA.

DEFINITION OF ACCOMPLISHMENT:

1) Section 106 or 106/107 Referrals without Settlement - This measure includes all referrals for RD/RA to HQ seeking injunctive relief. Credit is given on the date of the transmittal letter to OE or DOJ. Referrals seeking preliminary relief or penalties do not count toward this measure.

2) Section 106 or 106/107 CD for RD/RA - This measure includes CDs for RD and/or RA, RD/RA cashouts referred to HQ or DOJ, and UAOs for RD/RA where the PRPs are in compliance. (If the PRPs are not in compliance, no credit will be provided.) The CD referral package must contain all signatures (EPA and PRPs), and a complete 10-point analysis document. Credit is based on the date of the transmittal letter accompanying the referral to OE or DOJ. Credit for the UAO is based on the date the PRPs provide their notice of intent to comply with the UAO. This date must be entered into CERCLIS (C2901 = "NC").

3) UAOs - This measure includes all UAOs issued for RD/RA. Credit is given on the date the Regional Administrator signs the UAO.

If the PRPs are in compliance with the UAO, credit is also given in category 2.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: This is a SCAP reporting measure, targets are established for these activities under S/E-4 and S/E-1. Credit will be withdrawn if a case is returned by OE or DOJ for additional work. Credit will be reinstated upon re-referral and will be based on the quarter of re-referral. In the event a case is referred in one year and returned to the Region in subsequent years, no credit will be provided for re-referral.

ACTIVITY: Section 107 Referrals/Settlements (>\$200,000) (S/E-2)

DEFINITION: This is an enforcement action under Section 107 of SARA seeking recovery of Trust Fund dollars spent for removal or remedial response at a site. The amount spent (direct and indirect costs) and sought must be at least \$200,000. Future costs do not count toward the \$200,000.

DEFINITION OF ACCOMPLISHMENT:

Credit is based on the Regional Administrator's signature date on the referral transmittal letter (as entered in CERCLIS) to OE or DOJ. Entry of the following information into CERCLIS is required for credit: 1) date referred to HQ/DOJ (C1716); cost recovery remedy type (C2731); 3) cost recovery financial type (C2903); 4) cost recovery financial amount (C2907); and 5) settlement status (C1721).

1) Section 107 pre-RA Referral - Credit is given for cost recovery referrals seeking reimbursement of Trust Fund dollars spent for Fund-financed removals, Initial Remedial Measures (IRM), Expedited Response Actions (ERA), RI/FS, or RDs at a site.

Should a Region reach an administrative settlement for a case where the amount recovered is greater than or equal to \$200,000, which fully resolves all cost recovery for the operable unit, the Region will receive credit. Credit shall not be given for Bankruptcy settlements.

Sites where the PRP is conducting the RA, and Fund monies will only be used for oversight are included in this category.

2) Section 107 RA Referral - Credit is given for cost recovery referrals seeking reimbursement of Trust Fund dollars spent for a Fund-financed RA, plus any previous Fund-financed site work (i.e., removals, ERA, IRM, RI/FS, RD) where direct and indirect costs at the site are valued at \$200,000 or greater.

Should a Region reach an administrative settlement for RA, or for cost recovery of RA where the amount recovered is greater than or equal to \$200,000 which fully resolves the operable unit, the Region will receive credit.

CHANGES IN DEFINITION FY90-FY91: Section 106/107 referrals were deleted from this target/measure. Administrative settlements greater than \$200,000 were added.

SPECIAL PLANNING REQUIREMENTS: Targets are based on the number of sites addressed in the referral package and must include responses where there are potential SOL problems and viable PRPs have been identified. If a Region fails to refer a SOL site, it will be considered to have missed its target, even if it refers more cases than its target. Credit will be withdrawn if a case is returned to the Region by OE or DOJ for additional work, but will be reinstated upon re-referral and will be based on the quarter of re-referral. Credit will not be given for bankruptcy settlements.

ACTIVITY: Section 107 Referrals/Settlements (<\$200,000)

DEFINITION: This category includes Section 107 referrals (with and without settlement), administrative settlements (Section 122), and judgments in compliance, for reimbursement of Trust Fund amounts of less than \$200,000.

DEFINITION OF ACCOMPLISHMENT:

- 1) Voluntary cost recovery - Credit is given on the date on which the Financial Management Division or the regional office receives a payment from the PRPs in direct response to a demand letter (no formal settlement document exists).
- 2) AOC - Credit is given on the date the Regional Administrator signs the AOC.
- 3) Referral with or without settlement - Credit is given on the date the Regional Administrator signs the transmittal letter accompanying the referral to HQ or DOJ.
- 4) Judgment - Credit is given on the date the PRPs comply with the judgment.

CHANGES IN DEFINITION FY90-FY91: Definition includes referrals with settlement and judgments.

SPECIAL PLANNING REQUIREMENTS: Credit is based on the AO or referral package per se, not on the number of sites. Regions are constrained to a maximum of one small case referral. Targets are established non-site specifically.

ACTIVITY: Administrative Orders Issued (S/E-1)

DEFINITION: Issuance of an AOC that compels the PRPs to assume responsibility for removal actions, RI/FS, RD, and cost recovery.

Issuance of a UAO that compels the PRPs to assume responsibility for removals, RI/FS and RD/RA.

Excluded from this measure are Section 104 administrative orders for site access and orders for operation and maintenance.

DEFINITION OF ACCOMPLISHMENT: Credit is provided where a Section 106 or Section 122 UAO or AOC for removal actions, RI/FS or RD has been signed by the Regional Administrator or designated official.

Credit is provided where a Section 106 or 122 AOC for cost recovery has been signed by the Regional Administrator or designated official.

Credit is provided where a Section 106 or 122 UAO for RD/RA has been signed by the Regional Administrator or designated official.

The completion date (C1717), compliance status (C1726), remedy code (C2731) and the settlement status flag (C1721) are entered in CERCLIS.

CHANGES IN DEFINITION FY90-FY91: Includes all Section 106 and 122 UAOs and AOCs issued.

SPECIAL PLANNING REQUIREMENTS: Projections for AOs for removal actions are made in the Targets and Accomplishments portion of the CERHELP non-site data base. AOCs or UAOs issued for removals, RI/FS, RD and cost recovery is a SCAP/STARS reporting measure. UAOs issues for RD/RA is a SCAP/STARS target. Targets for RD/RA UAOs are planned site specifically in CERCLIS and are not dependent on compliance.

ACTIVITY: Issue Demand Letter

DEFINITION: A Section 122(e) letter issued pursuant to Section 107 from EPA to the PRP requesting that the PRP reimburse the Fund for a specific amount associated with one or more response activities. Demand letters are typically sent for each separate response activity.

DEFINITION OF ACCOMPLISHMENT: Credit for this activity is given on the date the demand letter is signed by the appropriate EPA official.

CHANGES IN DEFINITION FY90-FY91: New definition for FY91.

SPECIAL PLANNING REQUIREMENTS: This is a SCAP reporting measure and is recorded at the milestone level.

ACTIVITY: Issue Cost Recovery Decision Document

DEFINITION: Document prepared by EPA regional office specifying EPA rationale for not pursuing cost recovery against PRPs at a site, event or OU.

DEFINITION OF ACCOMPLISHMENT: Date the document is issued by the regional office.

CHANGES IN DEFINITION FY90-FY91: New definition for FY91.

SPECIAL PLANNING REQUIREMENTS: This is a SCAP reporting measure.

ACTIVITY: State Order for RI/FS

DEFINITION: AO or CD signed by the state and the PRPs for the PRPs to conduct the RI/FS.

DEFINITION OF ACCOMPLISHMENT: The date the last official or party signs the order or CD. All CERCLIS coding requirements for AOs and CDs apply. The enforcement activity type (C1701) should be state decree ("SD") or state order ("SO") and the date should be placed in C1717. In addition, the remedy field must denote that the AO/CD was issued for an RI/FS.

CHANGES IN DEFINITION FY90-FY91: New definition for FY91.

SPECIAL PLANNING REQUIREMENTS: This is a SCAP reporting measure not a targeted activity.

ACTIVITY: State Consent Decree for RD/RA

DEFINITION: Judicial agreement between the state and the PRPs fully or partially settling a claim under CERCLA. The settlement may be for response work, or both response and cost recovery work.

DEFINITION OF ACCOMPLISHMENT: Date the state CD is signed by the last official or party. All CERCLIS Coding requirements for CDs apply. The enforcement activity type (C1701) should be state decree ("SD") and the date should be reported in C1717. In addition, the remedy field must denote that the CD was issued for RD and/or RA.

CHANGES IN DEFINITION FY90-FY91: New definition for FY91.

SPECIAL PLANNING REQUIREMENTS: This is a SCAP reporting measure not a targeted activity.

ACTIVITY: De minimis Settlements

DEFINITION: Administrative or judicial settlement under Sections 106 or 107 and Section 122 (g) of SARA. This settlement involves a minor portion of the response costs at the site and is embodied as a CD or in an AO. If the total response costs at the site exceed \$500,000 (excluding interest), the AO can only be issued with DOJ's prior written approval. If DOJ does not approve or disapprove the order within 30 days, the order is considered approved and can be issued. (DOJ and the Administrator can agree to extend this 30-day period).

DEFINITION OF ACCOMPLISHMENT: Credit is given on the date the Regional Administrator signs the referral transmittal letter to OE or DOJ for the de minimis CD or the date the Regional Administrator signs the AO after obtaining approval from DOJ. If the Regional Administrator signs the order before obtaining approval from DOJ, credit is given on the date DOJ approves the order, or on the day the 30-day approval period expires.

CHANGES IN DEFINITION FY90-FY91: New definition for FY91.

SPECIAL PLANNING REQUIREMENTS: This is a reporting measure only. The remedy qualifier for de minimis must be entered into CERCLIS (C2741-C2750 = "DL" or "DG"). For planning purposes, each Region will have a projected total of two settlements in FY91.

ENFORCEMENT DEFINITIONS
Settlements, Referrals and Oversight

PLANNING REQUIREMENTS	ADMIN. RECORD COMPILATION	DEMAND LTRS	104(c) REFERRALS	COST RECOVERY DECISION DOC.
STARS COMMITMENT?	NO	NO	NO	NO
SCAP COMMITMENT?	YES	YES	YES	YES
TARGET OR MEASURE?	MEASURE	MEASURE	MEASURE	MEASURE
ANNUAL TARGETS/MEASURES SET?	NO	NO	NO	NO
QUARTERLY TARGETS/MEASURES SET?	NO	NO	NO	NO
IF YES, WHEN?				
PLANNED SITE SPECIFICALLY?	NO	NO	NO	NO
IF YES, WHEN?				
PLANNED/REPORTED ON OPERABLE UNIT OR WHOLE SITE BASIS?	OPERABLE UNIT	OPERABLE UNIT	WHOLE SITE	OPERABLE UNIT
REPORTED ON COMBINED PROGRAM LEAD OR ON A PROGRAM SPECIFIC BASIS?	COMBINED	N/A	N/A	N/A
REPORTED SITE SPECIFICALLY OR IN NON-SITE PORTION OF CERCLIS?	NON-SITE	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC
AOA CATEGORY?	ENFORCEMENT OR OTHER RESPONSE	ENFORCEMENT	ENFORCEMENT	ENFORCEMENT
BASIS FOR AOA?	SITE OR NON- SITE SPECIFIC PLANS			

ENFORCEMENT DEFINITIONS
Settlements, Referrals and Oversight

PLANNING REQUIREMENTS	1	2	3	4	5
STARS COMMITMENT?	NO	NO	YES	YES	YES
SCAP COMMITMENT?	YES	YES	YES	YES	NO
TARGET OR MEASURE?	MEASURE	TARGET	TARGET	MEASURE	MEASURE
ANNUAL TARGETS/MEASURES SET?	NO	YES	YES	NO	NO
QUARTERLY TARGETS/MEASURES SET?	NO	YES	YES	NO	NO
IF YES, WHEN?		PRIOR TO FY	PRIOR TO FY		
PLANNED SITE SPECIFICALLY?	NO	YES	YES	NO	NO
IF YES, WHEN?		PRIOR TO FY*	PRIOR TO FY		
PLANNED/REPORTED ON OPERABLE UNIT OR WHOLE SITE BASIS?	OPERABLE UNIT	WHOLE SITE	OPERABLE UNIT	OPERABLE UNIT	WHOLE SITE
REPORTED ON COMBINED PROGRAM LEAD OR ON A PROGRAM SPECIFIC BASIS?	N/A	N/A	N/A	N/A	N/A
REPORTED SITE SPECIFICALLY OR IN NON-SITE PORTION OF CERCLIS?	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC
AOA CATEGORY?	ENFORCEMENT	ENFORCEMENT	ENFORCEMENT	ENFORCEMENT	N/A
BASIS FOR AOA?	SITE SPEC. PLANS	SITE SPEC. PLANS	SITE SPEC. PLANS	SITE SPEC. PLANS	N/A

* "TBD" SITES ARE ALLOWED.

1. S. 106, 106/107, & 107 CASE RESOLUTION
2. S. 107 REFERRALS/SETTLEMENTS (<\$200,000)
3. UAO FOR RD/RA
4. ADMINISTRATIVE ORDER FOR REMOVAL, RI/FS, RD OR COST RECOVERY
5. COST RECOVERY AMOUNTS REFERRED AND SETTLED

ENFORCEMENT DEFINITIONS
Settlements, Referrals and Oversight (Cont.)

PLANNING REQUIREMENTS	107 REFERRALS/SETTLEMENT (>\$200,000)		106 OR 106/107 RD/RA REFERRAL /SETTLEMENT		106, 106/107 REFERRAL/SET FOR RD/RA
	PRE-RA	RA	W/O SETTLEMENT	WITH SETTLEMENT	WITH OR W/O SETTLEMENT
STARS COMMITMENT?	YES	YES	YES*	YES*	NO
SCAP COMMITMENT?	YES	YES	YES	YES	YES
TARGET OR MEASURE?	TARGET	TARGET	TARGET	TARGET	MEASURE
ANNUAL TARGETS/MEASURES SET?	YES	YES	YES	YES	NO
QUARTERLY TARGETS/MEASURES SET?	YES	YES	YES	YES	NO
IF YES, WHEN?	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	
PLANNED SITE SPECIFICALLY?	YES	YES	YES	YES	YES
IF YES, WHEN?	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY
PLANNED/REPORTED ON OPERABLE UNIT OR WHOLE SITE BASIS?	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT
REPORTED ON COMBINED PROGRAM LEAD OR ON A PROGRAM SPECIFIC BASIS?	N/A	N/A	N/A	N/A	N/A
REPORTED SITE SPECIFICALLY OR IN NON-SITE PORTION OF CERCLIS?	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC
AOA CATEGORY?	ENFORCE- MENT	ENFORCE- MENT	ENFORCE- MENT	ENFORCE- MENT	ENFORCE- MENT
BASIS FOR AOA?	SITE SPEC. PLANS	SITE SPEC. PLANS	SITE SPEC. PLANS	SITE SPEC. PLANS	SITE SPEC. PLANS

* Separate targets are established, but accomplishments are reported against a combined target.

ENFORCEMENT DEFINITIONS
Settlements, Referrals and Oversight

PLANNING REQUIREMENTS	STATE CD FOR RD/RA	STATE ORDER FOR RI/FS	DE MINIMIS SETTLEMENTS
STARS COMMITMENT?	NO	NO	NO
SCAP COMMITMENT?	YES	YES	YES
TARGET OR MEASURE?	MEASURE	MEASURE	MEASURE
ANNUAL TARGETS/MEASURES SET?	NO	NO	NO
QUARTERLY TARGETS/MEASURES SET?	NO	NO	NO
IF YES, WHEN?			
PLANNED SITE SPECIFICALLY?	NO	NO	NO
IF YES, WHEN?			
PLANNED/REPORTED ON OPERABLE UNIT OR WHOLE SITE BASIS?	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT
REPORTED ON COMBINED PROGRAM LEAD OR ON A PROGRAM SPECIFIC BASIS?	N/A	N/A	N/A
REPORTED SITE SPECIFICALLY OR IN NON-SITE PORTION OF CERCLIS?	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC
AOA CATEGORY?	ENFORCEMENT	ENFORCEMENT	ENFORCEMENT
BASIS FOR AOA?	SITE OR NON-SITE SPECIFIC PLANS	SITE OR NON-SITE SPECIFIC PLANS	SITE OR NON-SITE SPECIFIC PLANS

FEDERAL FACILITY DEFINITIONS

INTRODUCTION

Definitions for Federal Facility activities are generally the same as those used for RP-financed actions. The Federal Facility activity definitions have been divided into two categories: Remedial and Enforcement. The STARS target, NPL sites where a removal action or RI/FS has started and the STARS measures, NPL sites addressed (S/C-2a), and type of media addressed (S/C-7a), includes remedial, removal, enforcement and Federal Facilities activities. These definitions can be found in the Response Definitions section.

REMEDIAL

The following Federal Facility remedial activities are tracked through STARS and SCAP. The definitions encompasses first and subsequent activities.

ACTIVITY: Federal Facility RI/FS Starts

DEFINITION: An RI/FS is a study designed to characterize the site, assess the nature and extent of the contamination, evaluate potential risk to human health and the environment, and develop and evaluate potential remediation alternatives. Federal Facility RI/FS are conducted by the Federal entity. The Federal agency is required to start an RI/FS within six months of site listing on the NPL.

DEFINITION OF ACCOMPLISHMENT: The start date is either 1) A signed IAG or 2) Publication of timetables and deadlines in consultation with the state for expeditious completion of the RI/FS. Subsequent RI/FS start is defined as the receipt of the RI/FS workplan within the context of the IAG.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: First and subsequent RI/FS starts are a combined SCAP target. First RI/FS starts is a STARS target under S/C-2 number of NPL sites where a removal action or RI/FS has started.

ACTIVITY: Federal Facility RI/FS Completion (ROD) (S/C-3)

DEFINITION: The ROD is the document which details the selection of remedy. The Federal entity and EPA jointly select the remedy at the facility.

DEFINITION OF ACCOMPLISHMENT: The date the ROD is signed by the Regional Administrator or the AA SWER is the completion date. This date must be entered in CERCLIS.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: First and subsequent RODs are combined STARS and SCAP targets. Federal Facility RODs are included in S/C-3 Number of Remedies Selected at NPL Sites.

ACTIVITY: RD Starts

DEFINITION: An RD is the process of developing plans and specifications for the selected remedy. The Federal agency and/or its contractor performs the RD.

DEFINITION OF ACCOMPLISHMENT: The RD start is defined as the date the RD workplan is received by EPA, as recorded in CERCLIS, within the context of the IAG.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: First and subsequent RDs are a combined SCAP target.

ACTIVITY: RD Completion (S/C-5)

DEFINITION: An RD is complete when plans and specifications for the selected remedy have been developed.

DEFINITION OF ACCOMPLISHMENT: Credit is given when EPA approves the RD within the context of an IAG.

CHANGES IN DEFINITION FY90 - FY91: New definition for FY91.

SPECIAL PLANNING REQUIREMENTS: First and subsequent RD completions are combined STARS and SCAP targets. Federal Facility RD completions are included in S/C-5 number of sites where RD has completed.

ACTIVITY: RA Starts

DEFINITION: An RD represents construction activities to address a release or potential release of a hazardous substance at a site. The Federal agency or its contractor performs the RA at the Federal Facility.

DEFINITION OF ACCOMPLISHMENT: An RA start is defined as the date, as recorded in CERCLIS, that EPA receives the RA workplan within the context of an IAG..

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: Separate projections are made for first and subsequent RA starts..

ACTIVITY: Award of RA Contract (S/C-6)

DEFINITION: An RA represents construction activities to address a release or potential release of a hazardous substance at a site. The Federal agency or its contractor performs the RA at the Federal Facility.

DEFINITION OF ACCOMPLISHMENT: Credit is given when substantial and continuous on-site work has begun at sites where EPA has concurred on the ROD and an IAG is in place. This is equivalent to an EPA contract award for Fund-financed RAs. The date substantial and continuous on-site work begins must be recorded and documented in CERCLIS.

CHANGES IN DEFINITION FY90-FY91: The definition is the start of on-site work instead of receipt of the workplan.

SPECIAL PLANNING REQUIREMENTS: Projections are made for first and subsequent RA starts in STARS. Federal Facility RA starts are included in S/C-6 number of RA activities started through award of contract.

ACTIVITY: RA Completion (S/C-7)

DEFINITION: An RA is complete when construction activities are complete, a final inspection has been conducted, the remedy is operating as designed and an Operable Unit RA Report or Site Close Out Report has been prepared.

DEFINITION OF ACCOMPLISHMENT: The date the Regional Administrator signs the Operable Unit RA report or Site Close Out Report is the accomplishment of an RA completion.

CHANGES IN DEFINITION FY90 - FY91: New definition for FY91.

SPECIAL PLANNING REQUIREMENTS: Federal Facility RA completions are included in S/C-7 number of RA activities completed at NPL sites.

ENFORCEMENT

ACTIVITY: Signed Interagency Agreements at NPL Sites

DEFINITION: Under §120 of SARA, Federal agencies are required to enter into a Federal Facility IAG with EPA within six months of EPA review of RI/FS regarding:

- A schedule for completion of the remedy; and
- Arrangements for O&M at the facility.

OSWER policy is to enter into an IAG for the RI/FS and RD/RA phases. IAGs should be signed at NPL or proposed NPL Federal Facilities.

DEFINITION OF ACCOMPLISHMENT: Credit is given for any of the following: 1) A signed §120 IAG for an RI/FS/RD/RA or RD/RA only; 2) Issuance of a §3008(h) corrective action order that addresses all releases; 3) Referral of a Section 106 AO to DOJ for concurrence; 4) Issuance of a RCRA permit addressing all releases and all CERCLA requirements; or 5) A formal referral has been made to the AA SWER for dispute resolution. A site can only receive credit once under this measure.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: Issuance of a Section 3008(h) Order, issuance of a RCRA permit and formal referral to OSWER are not currently tracked in CERCLIS and must be reported separately to HQ.

FEDERAL FACILITY DEFINITIONS

PLANNING REQUIREMENTS	SIGNED IAGS AT NPL SITES	RI/FS START	FF RI/FS COMP.	RD START	RD COMP.	RA START	RA CONTRACT AWARD	RA COMP.
STARS COMMITMENT?	YES	NO	YES	NO	YES	NO	YES	YES
SCAP COMMITMENT?	YES	YES	YES	YES	YES	YES	YES	YES
TARGET OR MEASURE?	TARGET	TARGET	TARGET	TARGET	TARGET	TARGET	TARGET	TARGET
ANNUAL TARGETS/MEASURES SET?	YES	YES	YES	YES	YES	YES	YES	YES
QUARTERLY TARGETS/MEASURES SET?	YES	YES	YES	YES	YES	YES	YES	YES
IF YES, WHEN?	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY
PLANNED SITE SPECIFICALLY?	YES	YES	YES	YES	YES	YES	YES	YES
IF YES, WHEN?	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY	PRIOR TO FY
PLANNED/REPORTED ON OPERABLE UNIT OR WHOLE SITE BASIS?	WHOLE SITE	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT	OPERABLE UNIT
REPORTED ON COMBINED PROGRAM LEAD OR ON A PROGRAM SPECIFIC BASIS?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
REPORTED SITE SPECIFICALLY OR IN NON-SITE PORTION OF CERCLIS?	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC	SITE SPECIFIC
AOA CATEGORY?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
BASIS FOR AOA?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

OIL SPILL ACTIVITY DEFINITIONS

INTRODUCTION

There are three oil spill activities that are planned and tracked through the SCAP process. They are planned on a non-site specific basis and do not require Regions to plan obligations. Accomplishments are reported in CERHELP in the aggregate, not at the site level. These activities are the following:

- Oil Spills Cleaned up Using Clean Water Act (CWA) Funds;
- On-Scene Monitoring of Responses to Oil Spills; and
- Spill Prevention Control and Countermeasure (SPCC) Inspections/Reviews.

ACTIVITY: Oil Spills Cleaned up Using Clean Water Act (CWA) Funds

DEFINITION: CWA-funded oil spill cleanups are oil spills cleaned up by EPA using Section 311(k) funds. A single incident should be counted only once regardless of how many times an EPA OSC or TAT goes back on-scene or how many phases the response entails.

DEFINITION OF ACCOMPLISHMENT: Completion of the cleanup activities is defined as oil spills cleaned up by EPA using CWA funds.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS:

ACTIVITY: On-Scene Monitoring of Responses to Oil Spills

DEFINITION: On-scene monitoring occurs when the PRP, state, local authorities or other party responds and §311(k) funds are not invoked, but where EPA or a TAT provides on-scene oversight or technical assistance to ensure adequate cleanup takes place.

DEFINITION OF ACCOMPLISHMENT: Activation of EPA or TAT personnel in response to activities conducted by other entities to cleanup oil spills.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS:

ACTIVITY: SPCC Inspections/Reviews

DEFINITION: Spill prevention compliance reviews performed by EPA and/or a TAT defines the SPCC inspections/reviews. The count should include both on-site inspections and detailed plan reviews. Follow-up inspections at a single facility may be counted separately.

DEFINITION OF ACCOMPLISHMENT: Completion of the review.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS:

OIL SPILL ACTIVITY DEFINITIONS

PLANNING REQUIREMENTS	CWA-FUNDED OIL SPILLS*	OIL SPILLS RESPONSES	SPCC INSPECTION/REVIEW
STARS COMMITMENT?	NO	NO	NO
SCAP COMMITMENT?	YES	YES	YES
TARGET OR MEASURE?	MEASURE	MEASURE	MEASURE
ANNUAL TARGETS/MEASURES SET?	YES	YES	YES
QUARTERLY TARGETS/MEASURES?	NO	NO	NO
IF YES, WHEN?			
PLANNED SITE SPECIFICALLY?	NO	NO	NO
IF YES, WHEN?			
PLANNED/REPORTED ON OPERABLE UNIT OR WHOLE SITE BASIS?	N/A	N/A	N/A
REPORTED ON COMBINED PROGRAM LEAD OR ON A PROGRAM SPECIFIC BASIS?	N/A	N/A	N/A
REPORTED SITE SPECIFICALLY OR IN NON-SITE PORTION OF CERCLIS?	NON-SITE	NON-SITE	NON-SITE
AOA CATEGORY?	N/A	N/A	N/A
BASIS FOR AOA?	N/A	N/A	N/A

* CLEANED UP BY EPA

SECTION II
MISCELLANEOUS DEFINITIONS

REMEDIAL PROGRAM DEFINITIONS

PROJECT SUPPORT

ACTIVITY: Community Relations

DEFINITION: Community Relations (CR) are the activities conducted in accordance with the SARA, the National Contingency Plan (NCP) and the Community Relations Handbook to involve the community in response activities conducted at a site.

DEFINITION OF ACCOMPLISHMENT: The start of CR is the obligation of funds for the development of the Community Relations Plan (CRP). For RP-lead sites where the PRP is preparing the CRP in accordance with an AO or CD, the start of CR is defined as EPA approval of the CRP. The completion of CR is the deletion of the site from the NPL or the conclusion of a removal action.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: CR activities at PRP sites are paid for by the Case Budget. Planned and actual start and completion dates are not required in CERCLIS. Funds may be planned site or non-site specifically; however, they must be obligated site specifically. Once funds are obligated, the non-site specific amount must be reduced. Funds for CR activities are in the enforcement or other response AOA.

ACTIVITY: Design Assistance

DEFINITION: Design assistance activities are undertaken by USACE in preparation for initiating RD activities. This includes

- Synopsise RD requirements in the Commerce Business Daily (CBD);
- Develop architect/engineer (A/E) firm pre-selection list;
- Contact A/E firms on the pre-selection list to ascertain interest in project;
- Develop A/E selection list; and
- Tentative selection of A/E firm.

DEFINITION OF ACCOMPLISHMENT: The initiation of design assistance is the obligation of funds. The completion of design assistance is the start of RD.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: Funds for design assistance should be obligated prior to the signature of the ROD. Planned and actual start and completion dates are not required in CERCLIS. Funds may be planned site or non-site specifically; however, they must be obligated site specifically. Once funds are obligated, the non-site specific amount must be reduced. Funds for design assistance are in the other response AOA.

ACTIVITY: Forward Planning

DEFINITION: Forward planning activities are

- The development of technical/financial information to support requests for funds for RI/FS activities;
- The evaluation of the extent and utility of available data and the identification of additional data needs; and
- The identification of administrative or procedural problems that may affect project implementation.

DEFINITION OF ACCOMPLISHMENT: The start of forward planning is the obligation of funds for forward planning. The completion of forward planning is the start of the RI/FS.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: Planned and actual start and completion dates are not required in CERCLIS. Funds must be planned site specifically. Once funds are obligated, the non-site specific amount must be reduced. Funds for forward planning are in the RI/FS AOA.

ACTIVITY: Long Term Remedial Action (LTRA)

DEFINITION: LTRA is a response action undertaken for the purpose of restoring ground or surface water quality. These actions require a continuous period of on-site activity before cleanup levels, specified in the ROD or an Action Memorandum, are achieved.

For Fund-financed RAs involving treatment or other measures to restore contaminated ground or surface water quality, the operation of such treatment or measures for a period up to 10 years after the construction or installation and commencement of operation will be considered part of RA.

Activities required to maintain the effectiveness of such treatment or measures following the 10 year period, or after RA is complete, whichever is earlier, shall be considered O&M. The following shall not be considered treatment or other measure to restore contaminated ground or surface water:

- Source control measures initiated to prevent contamination of ground or surface water; and
- Ground or surface water measures initiated for the primary purpose of providing drinking water, not for the purpose of restoring ground or surface water.

DEFINITION OF ACCOMPLISHMENT: An LTRA begins when EPA and the state have jointly determined that the RA is operational and functional. (See definition of operational and functional.) Typically this is when the Operable Unit RA Report or Superfund Site Close-Out Report is accepted. The completion date is the point at which the levels specified in the ROD or Action Memorandum have been achieved and no further Superfund response is required to protect human health or the environment, or ten years after the remedy becomes operational and functional, whichever is earliest.

CHANGES IN DEFINITION FY90-FY91: Added term operational and functional. Applies only to ground and surface water restoration.

SPECIAL PLANNING REQUIREMENTS: LTRA is planned on a site specific basis in CERCLIS and is used for resource allocation purposes only. Funds for LTRA are issued site specifically in the RA AOA.

ACTIVITY: Management Assistance/Support Agency Assistance

DEFINITION: Management assistance/support agency assistance are the activities performed by another entity in support of EPA. The support agency furnishes necessary data to EPA, reviews response data and documents, and provides other assistance to EPA.

EPA may provide states, political subdivisions and Indian Tribes with funding to carry out a variety of management responsibilities via a support agency CA to ensure their meaningful and substantial involvement in response activities.

DEFINITION OF ACCOMPLISHMENT: The start of management assistance/support agency assistance is the signature of the CA by the Regional Administrator or his designee which awards funds to the support agency. The completion of management assistance is the completion of all remedial activities at the site.

CHANGES IN DEFINITION FY90-FY91: The support agency concept in the NCP was included.

SPECIAL PLANNING REQUIREMENTS: Management assistance/support agency assistance activities at RP and PS-lead sites are paid for by the Enforcement Program and are contained in the Case Budget. Planned and actual start and completion dates are not required in CERCLIS. Funds may be planned site or non-site specifically; however, they must be obligated site specifically. Once funds are obligated, the non-site specific amount must be reduced.

Unless otherwise specified in the CA, all support agency costs, with the exception of RA support agency costs, may be documented under a single Superfund account number designated specifically for support agency activities. RA support agency activities must be documented site specifically and require cost share provisions. Funds for support agency CAs are in the enforcement or other response AOA.

ACTIVITY: Operational and Functional

DEFINITION: Operational and functional means the activities required to determine that the remedy is functioning properly and is performing as designed. Operational and functional activities are part of RA. EPA funds these activities for a period up to one year after construction is complete, or until EPA and the state jointly determine that the remedy is functioning properly and is performing as designed, whichever is earliest. EPA may extend the one-year period, as appropriate.

DEFINITION OF ACCOMPLISHMENT: The start of the operational and functional period is defined as the point at which the lead agency determines that construction has been completed and (where appropriate) the remedy is operating. The completion of operational and functional is the date upon which the lead and support agencies agree to accept the Operable Unit RA Report or Superfund Site Close-Out Report documenting that the remedy is operational and functional. Normally, operational and functional completion will occur within one year following completion of construction.

CHANGES IN DEFINITION FY90-FY91: New definition

SPECIAL PLANNING REQUIREMENTS:

ACTIVITY: Operation and Maintenance (O&M)

DEFINITION: O&M means the activities required to maintain the effectiveness or the integrity of the remedy, and, in the case of measures to restore ground or surface waters, continued operation of such measures beyond a period of ten years. Except for ground or surface water actions covered under Section 300.435(f)(3) of the NCP, O&M measures are initiated after the remedy has achieved the RA objectives and remediation goals in the ROD or CD, and is determined to be operational and functional. The state or PRP is totally responsible for these activities for the time period specified in the ROD or other appropriate documents.

DEFINITION OF ACCOMPLISHMENT: The start of O&M is defined as the date upon which the lead and support agencies agree to accept the Operable Unit RA Report or Superfund Site Close-Out Report, following their joint inspection. These reports document that work has been performed within desired specifications and that the remedy is operational and functional. The lead agency prepares the report after construction activities are complete and the contractor has demobilized. The completion (where appropriate) of O&M is defined as the date normally specified in a CA, Superfund State Contract (SSC), or CD.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: O&M is planned site specifically in CERCLIS and is used for resource allocation purposes only. Funds for O&M are contained in the RA AOA.

ACTIVITY: Technical Assistance

DEFINITION: Technical assistance is support provided by a third party to EPA in the conduct of response activities.

DEFINITION OF ACCOMPLISHMENT: The start of technical assistance is the obligation of funds for technical assistance. The completion is defined as the completion of the response activities for which technical assistance was requested.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: Planned and actual start and completion dates are not required in CERCLIS. Funds may be planned site or non-site specifically; however, they must be obligated site specifically. Once funds are obligated, the non-site specific amount must be reduced. Funds for technical assistance are contained in the other response AOA.

ACTIVITY: Technical Assistance Grants

DEFINITION: Technical Assistance Grants (TAG) are grants provided under SARA to a community for technical assistance in dealing with Superfund issues at NPL sites.

DEFINITION OF ACCOMPLISHMENT: The start of the TAG is the signature of the CA to the community group. The completion of the TAG is the completion of the final RA or the deletion of the site from the NPL.

CHANGES IN DEFINITION FY90-FY91: The completion definition was expanded to include deletion.

SPECIAL PLANNING REQUIREMENTS: Planned and actual start and completion dates are not required in CERCLIS. Funds may be planned site or non-site specifically; however, they must be obligated site-specifically. Once funds are obligated, the non-site specific amount must be reduced. Funds for TAGs are contained in the response budget and are found in the other response AOA.

HAZARDOUS SUBSTANCES RELEASE

ACTIVITY: Hazardous Substances Release Notification

DEFINITION: The definition of hazardous substances release notification is a report to EPA of a hazardous substance released into the environment.

DEFINITION OF ACCOMPLISHMENT: The definition for release notifications is the number of sites/incidents where a release notification is received. A release notification is counted when a report of a hazardous substances release is received, processed and logged by EPA.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: The count for hazardous substances release notifications should not include state or USCG notifications forwarded ex-post facto through monthly summaries unless followed up by EPA. Count should include potential releases, notifications not recognized through CERCLA and spills at waste sites if reported to EPA. Accomplishments should be reported in CERHELP.

ACTIVITY: Hazardous Substances Release Investigations

DEFINITION: A release investigation is the process of collecting field data on an actual or potential hazardous substance site or spill for the purpose of characterizing the magnitude and severity of the hazard and/or to support enforcement. This activity includes all efforts from the decision to conduct an investigation up to the decision to prepare an action memorandum for removal action.

DEFINITION OF ACCOMPLISHMENT: Investigations may be conducted by EPA and/or a TAT, and must include an on-site component, such as a walk around survey or sampling to be counted.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: Investigations conducted entirely by the state do not count. Accomplishments should be reported in CERHELP.

ACTIVITY: On-Scene Monitoring of Responses to Hazardous Substance Releases

DEFINITION: On-scene monitoring of responses to hazardous substance release occurs when CERCLA funds are not obligated for cleanup work, but EPA provides on-scene oversight and technical assistance to ensure that all CERCLA statutes/regulations are adhered to in site cleanup or stabilization.

DEFINITION OF ACCOMPLISHMENT: Credit is given for on-scene monitoring when EPA goes on-site to monitor cleanup activities.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: State removals conducted through CAs do not count toward this activity. Accomplishments should be reported in CERHELP.

FEDERAL FACILITY DEFINITIONS

ACTIVITY: SSI Completions

DEFINITION: The screening site inspection involves collecting field data for the purpose of characterizing the magnitude and severity of the hazards posed by the facility. An SSI should provide adequate data for EPA (using FIT resources) to determine the site's HRS score. Federal agencies are required to conduct SSIs at their facilities.

DEFINITION OF ACCOMPLISHMENT: An SSI is complete when EPA reviews the SSI report, a draft HRS score has been derived, and the completion date is entered into CERCLIS.

CHANGES IN DEFINITION FY90-FY91:

SPECIAL PLANNING REQUIREMENTS: A projection must be made in CERHELP of the FIT resources needed for HRS development.

APPENDIX E

CERCLIS PLANNING AND ACCOMPLISHMENT CODING SHEETS

APPENDIX E
FY91 TARGETS AND ACCOMPLISHMENTS
CODING SHEETS

APPENDIX E

FY91 TARGETS CODING SHEET

INTRODUCTION

The attached coding sheets provide the coding requirements necessary for credit in each Target and Accomplishment category. Many of the categories are separated by lead because credit may vary by lead in certain categories. Please note that the indicated fields (fields containing values) represent only those fields tested for Target and Accomplishment credit; all required fields must be entered to correctly code the status of a site.

HOW TO USE

To use the Coding Sheets, select the category of interest, i.e., First RI/FS Plan Starts (PRP, EP). Locate RI/FS Starts/Completions in the Plans Section of the Table of Contents and turn to the appropriate page (in this case, E-1). Select the line item (row) 'RI/FS First Start (PRP, EP)'. The columns represent the CERCLIS fields which must be entered with one of the specified values to receive credit for a First RI/FS Plan Start (PRP, EP). The names, definitions, and list of all possible values for these CERCLIS fields can be found by referencing the CERCLIS Data Element Dictionary. Every CERCLIS field with specified values must be entered with one of the listed values. Again, the CERCLIS fields with specified values represent only those fields needed for credit in the line item category (in this case, First RI/FS Plan Starts (PRP, EP)), not all the fields needed for the correct coding of a site (see Exhibit I).

EXHIBIT I

	C135	C305	C2101	C2110	C2115	C2116	C2117	C2132	C2133	C3101
RI/FS FIRST START (PRP, EP)	D, N	P, F, R, D, S	RI, FS, CO	P	A, B		RP, MR, EP, PS	91/1 THROUGH 91/4		

In some cases it is possible to receive credit for a single line item category using more than one coding scheme. In these cases, a bracket and a line with the word 'OR' is used to separate the different paths that can be taken for credit (see Exhibit II).

EXHIBIT II

	C135	C305	C2101	C2110	C2115	C2116	C2117	C2132	C2133	C2140
RD FIRST COMPL.	D, N	F, D	RD	P		A, B	F, S, FE, RP MR, EP, PS		91/1 THROUGH 91/4	
					OR					
						A, B	F, S, FE, RP MR, EP, PS		91/1 THROUGH 91/4	EXISTS

As the above exhibit shows, credit for a RD First Complete can be obtained in the following two ways:

By coding:

	C135	C305	C2101	C2110	C2115	C2116	C2117	C2132	C2133	C2140
RD FIRST COMPL.	D, N	F, D	RD	P		A, B	F, S, FE, RP MR, EP, PS		91/1 THROUGH 91/4	

or by coding:

	C135	C305	C2101	C2110	C2115	C2116	C2117	C2132	C2133	C2140
RD FIRST COMPL.	D, N	F, D	RD				A, B	F, S, FE, RP MR, EP, PS	91/1 THROUGH 91/4	EXISTS

When the value for a field is 'EXISTS' as in C2140 in Exhibit II, the field must have a valid value as specified in the Data Element Dictionary. When the value for a field is another CERCLIS field, the entry in these two fields must be the same (see Exhibit III).

EXHIBIT III

	C135	C305	C2101	C2110	C2115	C2117	C2132	C3202	C3218	C3225
RD FIRST START (F, S)	D, N	P, F, D, S	RD	P	A, B	F, S	91/1 THROUGH 91/4	P	C2132	APR

As the above exhibit shows, the value in C3218 must be the same as the value in C2132. Since these are date values, to receive credit in this category in the dates in C3218 and C2132 must be the same.

APPENDIX E

FY91 TARGETS CODING SHEETS

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RA Subsequent Start (PRP, EP)	E-4
RA Subsequent Start (F, S)	E-4
RA Subsequent Start (Fed. Facility)	E-4
Award of RA Contract (F, S, EP)	E-4
Award of RA Contract (RP, PS, MR, FF)	E-4
RA COMPLETIONS	E-5
RA First Compl.	E-5
RA First Compl. (Fed. Facility)	E-5
RA Subs. Compl.	E-5
RA Subs. Compl. (Fed. Facility)	E-5
RA Final Compl.	E-5
RA Final Compl. (Fed. Facility)	E-5
REMOVAL STARTS/NPL SITES	E-6
NPL Removal Start (PRP)	E-6
NPL Removal Start (F)	E-6
NPL Removal Start (Fund Ceiling) (F)	E-6
NON-NPL Removal Start (PRP, CG)	E-6
NON-NPL Removal Start (F)	E-6
NON-NPL Removal Start (Fund Ceiling) (F,CG)	E-6
ENFORCEMENT	E-7
106 or 106/107 Ref for RD/RA w/o Settlement	E-7
Administrative Cost Recovery Settlement	E-7
106 Ref./Settlement for RD/RA	E-7
Cost Recov. Ref. Actions < \$200,000	E-7
RD/RA Negotiations Start	E-7
RD/RA Negotiation Compl.	E-7
107 Remed. (RA) Cost Recov. Ref. > \$200,000	E-7
107 Rmvl. (Pre-RA) Cost Recov. Ref. > \$200,000	E-7
UAO Issued for RD/RA	E-7
Signed IAG	E-7

ACCOMPLISHMENTS	E-8
SI COMPLETIONS AND RI/FS STARTS/COMPLETIONS	E-8
SI Completion	E-8
RI/FS First Start	E-8
RI/FS First Start (Fund Ceiling)	E-8
RI/FS First Start (Fed. Facility)	E-8
RI/FS Subsequent Start	E-8
RI/FS Subsequent Start (Fund Ceiling)	E-8
RI/FS Subsequent Start (Fed. Facility)	E-8
RI/FS Compl. (FS to Public)	E-8
RI/FS Completion (First ROD)	E-8
RI/FS First Compl. (First ROD) (Fed. Facility)	E-8
RI/FS Subs. Compl. (Subs. ROD)	E-8
RI/FS Subs. Compl. (Subs. ROD) (Fed. Facility)	E-8
RD STARTS/COMPLETIONS	E-9
RD First Start	E-9
RD First Start (Fund Ceiling)	E-9
RD First Start (Fed. Facility)	E-9
RD Subsequent Start	E-9
RD Subsequent Start (Fund Ceiling)	E-9
RD Subsequent Start (Fed. Facility)	E-9
RD First Completion	E-9
RD First Completion (Fed. Facility)	E-9
RD Subsequent Completion	E-9
RD Subsequent Completion (Fed. Facility)	E-9
RA STARTS/COMPLETIONS	E-10
RA First Start (F, S, EP)	E-10
RA First Start (PRP)	E-10
RA First Start (Fed. Facility)	E-10
RA Subsequent Start (F, S, EP)	E-10
RA Subsequent Start (PRP)	E-10
RA Subsequent Start (Fed. Facility)	E-10
Award of RA Contract (F, S, EP)	E-10
Award of RA Contract (PRP)	E-10
Award of RA Contract (Fed. Facility)	E-10
RA First Completion (F, S, EP)	E-10
RA First Completion (PRP)	E-10
RA First Completion (Fed. Facility)	E-10
RA Subsequent Completion (F, S, EP)	E-10
RA Subsequent Completion (PRP)	E-10
RA Subs. Compl. (Fed. Facility)	E-10

RA Final Completion (F, S, EP)	E-10
RA Final Completion (PRP)	E-10
RA Final Completion (Fed. Facility)	E-10
REMOVAL STARTS/NPL SITES	E-11
NPL Removal Start	E-11
NPL Removal Start (Fund Ceiling)	E-11
Non-NPL Removal Start	E-11
Non-NPL Removal Start (Fund Ceiling)	E-11
NPL Sites Addressed thru RI/FS or Removal	E-11
NPL Sites Completions through Removal Action	E-11
ENFORCEMENT	E-12
106 or 106/107 Ref. for RD/RA w/o Settlement	E-12
Administrative Cost Recovery Settlement	E-12
106 Ref./Settlement for RD/RA	E-12
Cost Recovery Ref Actions < \$200,000	E-12
RD/RA Negotiations Start	E-12
RD/RA Negotiations Completion	E-12
107 Remed. (RA) Cost Recovery Ref. > \$200,000	E-12
107 Rmvl. (Pre-RA) Cost Recov. Ref. > \$200,000	E-12
UAO Issued for RD/RA	E-12
Signed IAG	E-12

FY91 TARGETS CODING SHEET
 PLANS
 REMEDIAL
 RI/FS STARTS/COMPLETIONS

	C135	C305	C2101	C2110	C2115	C2116	C2117	C2132	C2133	C3101	C3129	C3202	C3218	C3225	C3232
RI/FS FIRST START (PRP, EP)	D, N	P, F, R, D, S	RI, FS, CO	P	A, B		RP, MR, EP, FS	91/1 THROUGH 91/4							
RI/FS FIRST START (F, S)	D, N	P, F, R, D, S	RI, FS, CO	P	A, B		F, S	91/1 THROUGH 91/4				P C	C2132 OR	APR	GREATER THAN 0
RI/FS FIRST START (FUND CEILING) (EP)	D, N	P, F, R, D, S	RI, FS, CO	P	A, B		EP	91/1 THROUGH 91/4							
RI/FS FIRST START (FUND CEILING) (F, S)	D, N	P, F, R, D, S	RI, FS, CO	P	A, B		F, S	91/1 THROUGH 91/4				P C	C2132 OR	APR	GREATER THAN 0
RI/FS SUBSQ. START (PRP, EP)	D, N	P, F, R, D, S	RI, FS, CO	P	C, D		RP, MR, EP, FS	91/1 THROUGH 91/4							
RI/FS SUBSQ. START (F, S)	D, N	P, F, R, D, S	RI, FS, CO	P	C, D		F, S	91/1 THROUGH 91/4				P C	C2132 OR	APR	GREATER THAN 0
RI/FS SUBSQ. START (FUND CEILING) (EP)	D, N	P, F, R, D, S	RI, FS, CO	P	C, D		EP	91/1 THROUGH 91/4							
RI/FS SUBSQ. START (FUND CEILING) (F, S)	D, N	P, F, R, D, S	RI, FS, CO	P	C, D		F, S	91/1 THROUGH 91/4				P C	C2132 OR	APR	GREATER THAN 0
RI/FS FIRST START (FED. FACILITY)	Y	P, F, R, D, S	RI, FS, CO	P	A, B		FF	91/1 THROUGH 91/4							
RI/FS SUBSQ. START (FED. FACILITY)	Y	P, F, R, D, S	RI, FS, CO	P	C, D		FF	91/1 THROUGH 91/4							
RI/FS COMPL. (FS TO PUB.)	D, N	P, F, S, D	FS, CO			A, B, C, D	F, S, FE, RP, MR, EP, FS			CF	91/1 THROUGH 91/4				
RI/FS COMPL. (FIRST ROD)	D, N	P, F, S, D	RO			A, B	F, FE		91/1 THROUGH 91/4						
RI/FS FIRST COMPL. (FIRST ROD) (FED. FACILITY)	Y	P, F, S, D	RO			A, B	FF		91/1 THROUGH 91/4						
RI/FS SUBS. COMPL. (SUBSQ. ROD)	D, N	P, F, S, D	RO			C, D	F, FE		91/1 THROUGH 91/4						
RI/FS SUBS. COMPL. (SUBSQ. ROD) (FED. FACILITY)	Y	P, F, S, D	RO			C, D	FF		91/1 THROUGH 91/4						

FY91 TARGETS CODING SHEET
 PLANS
 REMEDIAL
 RD STARTS

	C135	C305	C2101	C2110	C2115	C2116	C2117	C2132	C2133	C2140	C3129	C3202	C3218	C3225	C3232
RD FIRST START (PRP, EP)	D,N	P,F,D,S	RD	P	A,B		RP, MR, EP, PS	91/1 THROUGH 91/4							
RD FIRST START (F, S)	D,N	P,F,D,S	RD	P	A,B		F,S	91/1 THROUGH 91/4			}	P	C2132	APR	
												C	OR		
RD FIRST START (FUND CEILING) (EP)	D,N	P,F,D,S	RD	P	A,B		EP	91/1 THROUGH 91/4							
RD FIRST START (FUND CEILING) (F, S)	D,N	P,F,D,S	RD	P	A,B		F,S	91/1 THROUGH 91/4			}	P	C2132	APR	
												C	OR		
RD SUBSQ. START (PRP, EP)	D,N	P,F,D,S	RD	P	C,D		RP, MR, EP, PS	91/1 THROUGH 91/4							
RD SUBSQ. START (F, S)	D,N	P,F,D,S	RD	P	C,D		F,S	91/1 THROUGH 91/4			}	P	C2132	APR	
												C	OR		
RD SUBSQ. START (FUND CEILING) (EP)	D,N	P,F,D,S	RD	P	C,D		EP	91/1 THROUGH 91/4							
RD SUBSQ. START (FUND CEILING) (F, S)	D,N	P,F,D,S	RD	P	C,D		F,S	91/1 THROUGH 91/4			}	P	C2132	APR	
												C	OR		
RD FIRST START (FED. FACILITY)	Y	P,F,D,S	RD	P	A,B		FF	91/1 THROUGH 91/4							
RD SUBSQ. START (FED. FACILITY)	Y	P,F,D,S	RD	P	C,D		FF	91/1 THROUGH 91/4							

FY91 TARGETS CODING SHEET
 PLANS
 REMEDIAL
 RD COMPLETIONS

	C135	C305	C2101	C2110	C2115	C2116	C2117	C2132	C2133	C2140	C3129	C3202	C3218	C3225	C3232
RD FIRST COMPL.	D, N	F, D	RD	P	OR	A, B	F, S, FB, RP MR, EP, PS		91/1 THROUGH 91/4						
						A, B	F, S, FB, RP MR, EP, PS		91/1 THROUGH 91/4	EXISTS					
RD FIRST COMPL. (FED. FACILITY)	Y	F, D	RD	P	OR	A, B	FF		91/1 THROUGH 91/4						
						A, B	FF		91/1 THROUGH 91/4	EXISTS					
RD SUBS. COMPL.	D, N	F, D	RD	P	OR	C, D	F, S, FB, RP MR, EP, PS		91/1 THROUGH 91/4						
						C, D	F, S, FB, RP MR, EP, PS		91/1 THROUGH 91/4	EXISTS					
RD SUBS. COMPL. (FED. FACILITY)	Y	F, D	RD	P	OR	C, D	FF		91/1 THROUGH 91/4						
						C, D	FF		91/1 THROUGH 91/4	EXISTS					

FY91 TARGETS CODING SHEET
 PLANS
 REMEDIAL
 RA STARTS

	C135	C305	C2101	C2110	C2115	C2117	C2132	C2140	C3101	C3125	C3129	C3202	C3218	C3225	C3232								
RA FIRST START (PRP, EP)	D, N	P, F, S	RA	P	A, B	RP, MR, PS, EP	91/1 THROUGH 91/4																
RA FIRST START (F, S)	D, N	P, F, S	RA	P	A, B	F, S	91/1 THROUGH 91/4					P	C2132	APR									
												C	OR		GREATER THAN 0								
RA FIRST START (FED. FACILITY)	Y	P, F, S	RA	P	A, B	FF	91/1 THROUGH 91/4																
RA SUBSQ. START (PRP, EP)	D, N	P, F, S	RA	P	C, D	RP, MR, PS, EP	91/1 THROUGH 91/4																
RA SUBSQ. START (F, S)	D, N	P, F, S	RA	P	C, D	F, S	91/1 THROUGH 91/4					P	C2132	APR									
												C	OR		GREATER THAN 0								
RA SUBSQ. START (FED. FACILITY)	Y	P, F, S	RA	P	C, D	FF	91/1 THROUGH 91/4																
AWARD OF RA CONTRACT (F, S, EP)	D, N	F, D		P	OR	F, S, EP		AC		First C3125 and dates 10/16/89 through 10/15/91	OR			C3129									
										FAILS							First C3129 and dates Curr. Qtr. through 91/4						
										First C3125 and dates 10/16/89 through 10/15/91							EXISTS	AC					
										FAILS							First C3129 and dates Curr. Qtr. through 91/4						
AWARD OF RA CONTRACT (RP, PS, MR, FF)	D, N	P, F, D		P	OR	RP, PS, MR, FF		AC		First C3125 and dates 10/16/89 through 10/15/91	OR			C3129									
										FAILS							First C3129 and dates Curr. Qtr. through 91/4						
										First C3125 and dates 10/16/89 through 10/15/91							EXISTS	AC					
										FAILS							First C3129 and dates Curr. Qtr. through 91/4						

FY91 TARGETS CODING SHEET
 PLANS
 REMEDIAL
 RA COMPLETIONS

	C135	C305	C2101	C2110	C2115	C2116	C2117	C2132	C2133	C2140	C3129	C3202	C3218	C3225	C3232
RA FIRST COMPL.	D,N	P,R,S,F,D	RA	P	OR	A,B	F,S,EP,FE,RP,MR,PS		91/1 THROUGH 91/4						
						A,B	F,S,EP,FE,RP,MR,PS		91/1 THROUGH 91/4	EXISTS					
RA FIRST COMPL. (FED. FACILITY)	Y	P,R,S,F,D	RA	P	OR	A,B	FF		91/1 THROUGH 91/4						
						A,B	FF		91/1 THROUGH 91/4	EXISTS					
RA SUBSQ. COMPL.	D,N	P,R,S,F,D	RA	P	OR	C,D	F,S,EP,FE,RP,MR,PS		91/1 THROUGH 91/4						
						C,D	F,S,EP,FE,RP,MR,PS		91/1 THROUGH 91/4	EXISTS					
RA SUBSQ. COMPL. (FED. FACILITY)	Y	P,R,S,F,D	RA	P	OR	C,D	FF		91/1 THROUGH 91/4						
						C,D	FF		91/1 THROUGH 91/4	EXISTS					
RA FINAL COMPL.	D,N	P,S,F	RA	P	OR	A,D	F,S,EP,FE,RP,MR,PS		91/1 THROUGH 91/4						
						A,D	F,S,EP,FE,RP,MR,PS		91/1 THROUGH 91/4	EXISTS					
RA FINAL COMPL. (FED. FACILITY)	Y	F,D	RA	P	OR	A,D	FF		91/1 THROUGH 91/4						
						A,D	FF		91/1 THROUGH 91/4	EXISTS					

FY91 TARGETS CODING SHEET
 PLANS
 REMEDIAL
 REMOVAL STARTS/NPL SITES

	C135	C305	C2101	C2110	C2115	C2116	C2117	C2132	C2133	C3101	C3129	C3202	C3218	C3225	C3232
NPL RMVL. START (PRP)		P, F, D, S	RV	P	A, B, C, D		RP	91/1 THROUGH 91/4							
NPL RMVL. START (F)		P, F, D, S	RV	P	A, B, C, D		F	91/1 THROUGH 91/4			┌	P	C2132	APR	
											└	C		OR	GREATER THAN 0
NPL RMVL. START (FUND CEILING) (F)		P, F, D, S	RV	P	A, B, C, D		F	91/1 THROUGH 91/4			┌	P	C2132	APR	
											└	C		OR	GREATER THAN 0
NON-NPL RMVL. START (PRP, CG)		N, R	RV	P	A, B, C, D		RP, CG	91/1 THROUGH 91/4							
NON-NPL RMVL. START (F)		N, R	RV	P	A, B, C, D		F	91/1 THROUGH 91/4			┌	P	C2132	APR	
											└	C		OR	GREATER THAN 0
NON-NPL RMVL. START (FUND CEILING) (F, CG)		N, R	RV	P	A, B, C, D		F, CG	91/1 THROUGH 91/4			┌	P	C2132	APR	
											└	C		OR	GREATER THAN 0

FY91 TARGETS CODING SHEET
PLANS
ENFORCEMENT

	C135	C305	C1701	C1707	C1713	C1715	C1725	C1726	C2731	C2731	C2771	C2903	C2907
106 OR 106/107 REF. FOR RD/RA W/OUT STLEMNT.			SX, CL	FE	91/1 THROUGH 91/4		P		RD, RA				
ADMINISTRATIVE COST RECOVERY STLEMNT.			AV, AC			91/1 THROUGH 91/4	P					F	
			FI		91/1 THROUGH 91/4		P					F	
106 REF./STLEMNT. FOR RD/RA			CD	FE	91/1 THROUGH 91/4		P		RD, RA				
			UA	FE		91/1 THROUGH 91/4	P		RD, RA				
COST RECOVERY REF. ACTIONS < \$200,000			SV	FE	91/1 THROUGH 91/4		P					F	LESS THAN 200,000
RD/RA NEGOTIATIONS START	D, N	P, F, D, S	AN	FE	91/1 THROUGH 91/4		P						
RD/RA NEGOTIATIONS COMPL.	D, N	P, F, D, S	AN	FE		91/1 THROUGH 91/4	P						
107 REMED. (RA) COST RECOVERY REF. > \$200,000	D, N		SV, CD	FE	91/1 THROUGH 91/4		P		VA			F	GREATER THAN 200,000
107 RMVL. (PRE-RA) COST RECOVERY REF. > \$200,000	D, N		SV, CD	FE	91/1 THROUGH 91/4		P		VM, VO, VD	NOT CONTAINS VA		F	GREATER THAN 200,000
UAO ISSUED FOR RD/RA			UA	FE		91/1 THROUGH 91/4	P		RD, RA				
SIGNED IAG		P, F, S, D	FI	FE	91/1 THROUGH 91/4		P						

FY91 TARGETS CODING SHEET
 ACCOMPLISHMENTS
 REMEDIAL
 SI COMPLETIONS
 RI/FS STARTS/COMPLETIONS

	C135	C305	C2101	C2103	C2110	C2115	C2116	C2117	C2132	C2140	C2141	C3101	C3125	C3401
SI COMPLETION	BLANK, DN	P, F, R, D, S, N	SI	R, D, N, H, L				F, S			First C2141 and dates 10/1/90 through 9/30/91			
RI/FS FIRST START	D, N	P, F, R, D	RI, PS, CO			A, B		F, S, RP, MR, EP, PS		10/01/90 THROUGH 9/30/91				
RI/FS FIRST START (FUND CEILING)	D, N	P, F, R, D	RI, PS, CO			A, B		F, S, EP		10/01/90 THROUGH 9/30/91				
RI/FS FIRST START (FED. FACILITY)	Y	P, F, R, D	RI, PS, CO			A, B		FF		10/01/90 THROUGH 9/30/91				
RI/FS SUBSQ. START	D, N	P, F, R, D	RI, PS, CO			C, D		F, S, RP, MR, EP, PS		10/01/90 THROUGH 9/30/91				
RI/FS SUBSQ. START (FUND CEILING)	D, N	P, F, R, D	RI, PS, CO			C, D		F, S, EP		10/01/90 THROUGH 9/30/91				
RI/FS SUBSQ. START (FED. FACILITY)	Y	P, F, R, D	RI, PS, CO			C, D		FF		10/01/90 THROUGH 9/30/91				
RI/FS COMPL. (FS TO PUBLIC)	D, N	P, F, R, D	PS, CO				A, B, C, D	F, S, RP, FE, MR, EP, PS				CF	10/01/90 THROUGH 9/30/91	
RI/FS COMPL. (FIRST ROD)	D, N	P, F, R, D	RO				A, B	F, S, RP, FE, MR, EP, PS			10/01/90 THROUGH 9/30/91			
RI/FS FIRST COMPL. (FIRST ROD) (FED. FACILITY)	Y	P, F, R, D	RO				A, B	FF, FE			10/01/90 THROUGH 9/30/91			
RI/FS SUBSQ. COMPL. (SUBSQ. ROD)	D, N	P, F, R, D	RO				C, D	F, SE, FE			10/01/90 THROUGH 9/30/91			
RI/FS SUBS. COMPL. (SUBSQ. ROD) (FED. FACILITY)	Y	P, F, R, D	RO				C, D	FF, FE			10/01/90 THROUGH 9/30/91			

FY91 TARGETS CODING SHEET
 ACCOMPLISHMENTS
 REMEDIAL
 RD STARTS/COMPLETIONS

	C135	C305	C2101	C2103	C2110	C2115	C2116	C2117	C2132	C2140	C2141	C3101	C3125	C3401
RD FIRST START	D,N	P,F,D	RD			A,B		F,S,RP, MR,EP,PS		10/01/90 THROUGH 9/30/91				
RD FIRST START (FUND CEILING)	D,N	P,F,D	RD			A,B		F,S,EP		10/01/90 THROUGH 9/30/91				
RD FIRST START (FED. FACILITY)	Y	P,F,D	RD			A,B		FF		10/01/90 THROUGH 9/30/91				
RD SUBSQ. START	D,N	P,F,D	RD			C,D		F,S,RP, MR,EP,PS		10/01/90 THROUGH 9/30/91				
RD SUBSQ. START (FUND CEILING)	D,N	P,F,D	RD			C,D		F,S,EP		10/01/90 THROUGH 9/30/91				
RD SUBSQ. START (FED. FACILITY)	Y	P,F,D	RD			C,D		FF		10/01/90 THROUGH 9/30/91				
RD FIRST COMPL.	D,N	P,F,D	RD				A,B	F,S,FE,RP, MR,EP,PS			10/01/90 THROUGH 9/30/91			
RD FIRST COMPL. (FED. FACILITY)	Y	P,F,D	RD				A,B	FF			10/01/90 THROUGH 9/30/91			
RD SUBSQ. COMPL.	D,N	P,F,D	RD				C,D	F,S,FE,RP, MR,EP,PS			10/01/90 THROUGH 9/30/91			
RD SUBSQ. COMPL. (FED. FACILITY)	Y	P,F,D	RD				C,D	FF			10/01/90 THROUGH 9/30/91			

FY91 TARGETS CODING SHEET
 ACCOMPLISHMENTS
 REMEDIAL
 RA STARTS/COMPLETIONS

	C135	C305	C2101	C2103	C2110	C2111	C2115	C2116	C2117	C2132	C2140	C2141	C3101	C3125	C3401
RA FIRST START (F, S, EP)	D, N	F, D	RA				A, B		F, S, EP		10/01/90 THROUGH 9/30/91				RT
RA FIRST START (PRP)	D, N	P, F, D	RA				A, B		RP, MR, PS		10/01/90 THROUGH 9/30/91				RT
RA FIRST START (FED. FACILITY)	Y	P, F, D	RA				A, B		FF		10/01/90 THROUGH 9/30/91				
RA SUBSQ. START (F, S, EP)	D, N	F, D	RA				C, D		F, S, EP		10/01/90 THROUGH 9/30/91				RT
RA SUBSQ. START (PRP)	D, N	P, F, D	RA				C, D		RP, MR, PS		10/01/90 THROUGH 9/30/91				RT
RA SUBSQ. START (FED. FACILITY)	Y	P, F, D	RA				C, D		FF		10/01/90 THROUGH 9/30/91				
AWARD OF RA CONTRACT (F, S, EP)	D, N	F, D	RA						F, S, EP				AC	First C3125 and dates 10/16/89 through 10/15/91	RT
AWARD OF RA CONTRACT (PRP)	D, N	P, F, D	RA						RP, MR, PS				AC	First C3125 and dates 10/16/89 through 10/15/91	RT
AWARD OF RA CONTRACT (FED. FACILITY)	D, N	P, F, D	RA						FF				AC	First C3125 and dates 10/16/89 through 10/15/91	
RA FIRST COMPL. (F, S, EP)	D, N	F, D	RA					A, B	F, S, EP			10/01/90 THROUGH 9/30/91			
RA FIRST COMPL. (PRP)	D, N	P, F, D	RA					A, B	RP, MR, PS			10/01/90 THROUGH 9/30/91			
RA FIRST COMPL. (FED. FACILITY)	Y	P, F, D	RA					A, B	FF			10/01/90 THROUGH 9/30/91			
RA SUBS. COMPL. (F, S, EP)	D, N	F, D	RA					C, D	F, S, EP			10/01/90 THROUGH 9/30/91			
RA SUBS. COMPL. (PRP)	D, N	P, F, D	RA					C, D	RP, MR, PS			10/01/90 THROUGH 9/30/91			
RA SUBS. COMPL. (FED. FACILITY)	Y	P, F, D	RA					C, D	FF			10/01/90 THROUGH 9/30/91			
RA FINAL COMPL. (F, S, EP)	D, N	F, D	RA					A, D	F, S, EP			10/01/90 THROUGH 9/30/91			
RA FINAL COMPL. (PRP)	D, N	P, F, D	RA					A, D	RP, MR, PS			10/01/90 THROUGH 9/30/91			
RA FINAL COMPL. (FED. FACILITY)	Y	P, F, D	RA					A, D	FF			10/01/90 THROUGH 9/30/91			

FY91 TARGETS CODING SHEET
 ACCOMPLISHMENTS
 REMEDIAL
 REMOVAL STARTS/NPL SITES

	C135	C305	C2101	C2103	C2110	C2111	C2115	C2116	C2117	C2132	C2140	C2141	C3101	C3125	C3401
NPL RMVL. START		P, F, D	RV				A, B, C, D		RP, F		10/01/90 THROUGH 9/30/91				
NPL RMVL. START (FUND CEILING)		P, F, D	RV				A, B, C, D		F		10/01/90 THROUGH 9/30/91				
NON-NPL RMVL. START		N, R, S	RV				A, B, C, D		RP, F, CG		10/01/90 THROUGH 9/30/91				
NON-NPL RMVL. START (FUND CEILING)		N, R, S	RV				A, B, C, D		F, CG		10/01/90 THROUGH 9/30/91				
NPL SITES ADDRESSED THRU RI/FS OR RMVL.	D, N	P, F, D	RI, FS, CO, RV				A, B				First C2140 and Dates 10/01/90 through 9/30/91				
NPL SITES COMPL. THROUGH RMVL ACTION		P, F, D	IR, PR, RV	C								10/01/90 THROUGH 9/30/91			

FY91 TARGETS CODING SHEET
ACCOMPLISHMENTS
ENFORCEMENT

	C135	C305	C1701	C1707	C1716	C1717	C1725	C1726	C2731	C2731	C2771	C2771	C2903	C2907
106 OR 106/107 REF. FOR RD/RA W/OUT STELMNT.			SX, CL	FE	10/01/90 THROUGH 9/30/91				RD, RA					
ADMINISTRATIVE COST RECOVERY STELMNT.			AV, AC	OR	10/01/90 THROUGH 9/30/91				VM, VO, VD, VA				F	GREATER THAN 0
			FI										10/01/90 THROUGH 9/30/91	
106 REF./STELMNT. FOR RD/RA			CD	OR	10/01/90 THROUGH 9/30/91				RD, RA					
			UA											
COST RECOVERY REF. ACTIONS < \$200,000			SV	FE	10/01/90 THROUGH 9/30/91								F	LESS THAN 200,000
RD/RA NEGOTIATIONS START	D, N	P, F, D, R	AN	FE	10/01/90 THROUGH 9/30/91									
RD/RA NEGOTIATIONS COMPL.	D, N	P, F, D, R	AN	FE		10/01/90 THROUGH 9/30/91								
107 REMED. (RA) COST RECOVERY REF. > \$200,000	D, N		SV, CD	FE	10/01/90 THROUGH 9/30/91				VA				F	GREATER THAN 200,000
107 RMVL. (PRE-RA) COST RECOVERY REF. > \$200,000	D, N		SV, CD	FE	10/01/90 THROUGH 9/30/91				VM, VO, VD	NOT CONTAINS VA			F	GREATER THAN 200,000
UAO ISSUED FOR RD/RA			UA	FE		10/01/90 THROUGH 9/30/91			RD, RA					
SIGNED IAG		P, F, S, D	FI	FE		10/01/90 THROUGH 9/30/91								

APPENDIX F

CEPP PROGRAM PLANNING REQUIREMENTS

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OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE
 FY 1991

Program Area: Chemical Emergency Preparedness and Prevention Office

GOAL: To prevent accidental chemical releases and to minimize the consequences should they occur.

OBJECTIVE	MEASURE	STARS CODE	FREQUENCY
To improve state/local chemical emergency preparedness and enhance their response capability.	Report and describe technical assistance and training activities which EPA conducted, sponsored, developed, assisted in developing, participated in, or presented.	CEP-1*	Q 1,2,3,4
	Report on number of State or local exercises or after incident evaluations in which EPA conducted, sponsored, assisted in developing or participated.	CEP-2*	Q 1,2,3,4
Develop the foundation for Regional chemical accident prevention program which will minimize the magnitude of chemical releases and enhance safety practices and procedures.	Report number of Accidental Release Information Program (ARIP) questionnaires sent to and returned by facilities having releases.	CEP-3	Q 1,2,3,4
	Report on number of chemical safety audits conducted.	CEP-4*	Q 1,2,3,4
* STAR measure which requires Regional target			

Office of Solid Waste and Emergency Response
FY 1991
CEPP Definitions

SIMULATION EXERCISES are table-top, full field, or functional exercises conducted to test or evaluate a contingency plan. Regions are expected to provide technical or programmatic assistance to States or communities to develop the exercise and/or to actively participate in the exercises (e.g., exercise leader, evaluator, facilitator). Exercise development should include EPA involvement throughout the planning process for the exercise. Providing a copy of guidance material does not constitute fulfillment of this requirement. The Region must write a post-exercise report describing the assistance provided and/or participation in the exercise and the outcome of the exercise. This report should be held in the Regional Office and made available for Regional Reviews. Regional assistance or participation in testing an internal EPA plan will not count towards meeting this measure. After incident evaluations are EPA and local or EPA, State and local analyses of the preparedness and response capabilities of a local community for a chemical accident. To meet this measure, Regions should conduct the analyses with local or with State and local community involvement.

TECHNICAL ASSISTANCE is the provision of expertise to improve preparedness capabilities and to stimulate initiatives taken by SERCs, LEPCs and labor, environmental, trade and professional organizations to prevent accidental releases of chemicals. It includes both programmatic and scientific assistance. This assistance might be delivered through direct consultation (in the field with the recipient), workshops, or other means. It does not include formal training courses or the provision of equipment.

This assistance includes, but is not limited to:

- o Assistance in organizing, developing, and implementing preparedness, prevention, or community right-to-know programs and activities;
- o Assistance in organizing and conducting CEPP-related workshops;
- o Assistance in development and review of emergency plans (including hazards analysis);
- o Assistance in information management or risk communication;

Office of Solid Waste and Emergency Response
FY 1991
CEPP Definitions

- o Assistance in development of haz-mat teams;
- o Assistance in dispersion modeling and air-monitoring;
- o Assistance in evaluation or installation of alarm/alerting systems;
- o Assistance in developing and conducting projects for enhancing chemical process safety;
- o Assistance in projects which increase the integration of preparedness efforts and response activities such as participation in a multi-party local planning/response team, such as EPA, Coast Guard and local industry;
- o Assistance in projects which enhance capabilities of SERCs/LEPCs which are not fully functioning such as a review of an LEPC, followed by the assistance described above.

TRAINING ACTIVITIES are formal educational presentations using instructional materials and techniques or exercises such as table-top or field simulations. In-house EPA training for EPA employees or EPA contractors will not count towards meeting this measure. In order to meet this measure, EPA must have developed and/or presented the training activity. The term "EPA" refers to the CEPP office.

ACCIDENTAL RELEASE INFORMATION PROGRAM is designed to accomplish two basic objectives:

- a) To focus high-level management attention on facilities having repeated or "serious" releases, which may stimulate them to undertake prevention initiatives on their own; and
- b) To provide EPA with accurate information on the causes of releases and the activities currently underway in the private sector to prevent them from occurring.

Office of Solid Waste and Emergency Response
FY 1991
CEPP Definitions

TRIGGERED RELEASES

ARIP is focusing on releases which are "serious." Currently, the criteria or triggers being utilized to identify "serious" releases are:

- o Starting with the fourth release and ending with the tenth release in a twelve-month period.
- o A release greater than 1,000 lbs. for hazardous substances having RQs = 1, 10, or 100 lbs. - or a release of 10,000 lbs. for hazardous substances having RQs = 1,000 or 5,000 lbs.
- o Any release resulting in death, injury, or severe environmental damage.
- o A release of an extremely hazardous substance above the RQ.

LETTERS/QUESTIONNAIRES

Once a facility has met a trigger, the Region is required to draft a letter combining the authorities of CERCLA, SARA, CAA, CWA, & RCRA, send it to the plant manager, along with the questionnaire EPA has developed. A copy of the response must be sent to Headquarters.

ON SITE CHEMICAL AUDIT is an on-site inspection of the entire process/handling operations at a site from a safety standpoint. It is an audit of safety procedures, facility equipment, training and contingency planning, as well as management commitment.

OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE

FY 1991

Program Area: CERCLA/TITLE III ENFORCEMENT

GOAL: Increase compliance with TITLE III and CERCLA §103

OBJECTIVE	MEASURE	STARS CODE	FREQUENCY
Achieve and maintain a high level compliance with Title III sections 302, 303, 304, 311, and 312 and CERCLA section 103.	<p><u>Inspections and Investigations</u> Report the number of:</p> <p>a) investigations of possible violations of CERCLA §103 and Title III §304*.</p> <p>b) facility compliance investigations for Title III sections 302, 303, 311, and 312*.</p>	C/E-1	Q1,2,3,4 by State
	<p><u>Violations</u> Report the number of:</p> <p>a) violations of Title III §304 and CERCLA §103 identified.</p> <p>b) violations of Title III sections 302, 303, 311, and 312.</p>	C/E-2	Q1,2,3,4 by State
	<p><u>Enforcement Actions</u> Report the number of:</p> <p>a) EPA Complaints, Administrative Orders and Judicial referrals issued**.</p> <p>b) State Orders.</p>	C/E-3	Q1,2,3,4 by State

* To be targeted.

** Potentially targeted at lower level.

Office Of Solid Waste and Emergency Response
FY 1991
CERCLA/TITLE III Enforcement Definit. 5

Investigation means any follow-up inquiries, such as information request letters, on-site reviews or inspections to verify a facility's compliance with Title III and CERCLA Section 103 and which could produce evidence upon which a complaint could be based. A phone call will generally not be considered an investigation.



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

OFFICE OF
SOLID WASTE AND EMERGENCY RESPONSE

Chemical Emergency Preparedness and Prevention Office

FY 91 SCAP Measures

Objective: To promote knowledge and understanding of Title III.

SCAP 1: Report on the status of Title III implementation in each of the Region's states.

SCAP 2: Report on the number and types of outreach activities which EPA conducted, sponsored, assisted in developing or participated in and include number and type of target audience for each activity.

Definition: Outreach activities include, but are not limited to: program status reports at conferences or workshops, speeches, press releases, newsletters to SERCs and LEPCs, and dissemination of informational materials. Outreach activities should emphasize "multiplier" activities whereby the recipient of the information will initiate further outreach activities in that particular organization with the goal of reaching the maximum number of persons possible.

Objective: To enhance the ability of Regional Response Team (RRT) to prepare for and effectively respond to accidental chemical releases.

SCAP 3: Report on and describe participation in RRT activities. RRT activities may include workplan development and implementation committees, revision and maintenance of Regional Contingency Plan, exercises, support of the National Response Team, RRT response activities.

OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE (OSWER)
CHEMICAL EMERGENCY PREPAREDNESS AND PREVENTION
OFFICE (CEPPO)

GENERAL PREPAREDNESS PROGRAMS
FY 1991 SCAP MEASURES

Program Area: Earthquake Preparedness Program

Objective: Improve Federal, State and local preparedness and response to those catastrophic earthquakes which activate the "Plan for Federal Response to a Catastrophic Earthquake".

Measure # 1: Report on the development and completion of:

- (a) The Hazardous Materials Supplement(s) ESF # 10 to the multi-agency "Plan for Federal Response to a Catastrophic Earthquake" for the Region (in accordance with the August 1989, "Guidance for Regional Supplements-ESF # 10");
- (b) Planning support provided to other EPA Regions; and
- (c) On Planning activity developments in other ESF's for which EPA provides support.

Frequency: Q 1, 2, 3, and 4, by Region.

Measure # 2. Report on participation and disseminate noteworthy information to other Regions and Headquarters, on the following earthquake preparedness activities (exercises, simulations, workshops, planning sessions and other similar earthquake preparedness activities involving Federal, State or local persons or governments).

Frequency: Q 1, 2, 3 and 4, by Region

Program Area National Security Emergency Preparedness Program

Objective: Improve EPA's preparedness for carrying out its responsibilities as outlined in E.O. 12656 in the event of a national security emergency event or

exercise.

Measure # 1 Report on participation in the following National Security Emergency Preparedness (NSEP) activities: Headquarter's EPA, FEMA or other agency planning sessions, workshops, training, or exercises; and on assisting in the development of support materials (i.e. policy papers, ADP info., etc.) for the Program .

Frequency: Q 1, 2, 3, and 4, by Region

Definitions: "Full participation", means that those individuals assigned NSEP responsibilities will engage in exercises and training activities leading to those exercises on the average of 10-12 days per year.

APPENDIX G
CASE BUDGET

APPENDIX G

CASE BUDGET

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CASE BUDGET CODING AND DATA ENTRY INSTRUCTIONS

This appendix outlines the required data for Case Budget financial records and provides detailed data entry instructions. Exhibit G-1 should be referenced to determine the financial data requirements for each type of financial record being entered. For example, if a planned obligation is being entered, only those data elements with a check mark applies to the financial record for planned obligation. Failure to enter a valid code for the data element will result in an error to appear on the ENFR49 report.

FINANCIAL PLANNING REQUIREMENTS

This section reviews the CERCLIS/WasteLAN data entry instructions for planned obligations (requests). Activity-specific financial planning is required to clearly identify extramural Regional Enforcement funding requirements. This guidance is provided to assist the Regions in carrying out the Case Budget strategy and accurately entering financial plans.

The list of enforcement activities and events with their corresponding codes, that are funded with Case Budget appears in Exhibit VI-8. It is important to note that additional coding requirements exist in order for any of these planned activities to be considered as a regional request.

WasteLAN Coding Instructions

A: Remedial Events

- A1. Select Remedial from the main menu.
- A2. Choose the event type (RI/FS, RD, RA, etc.) from the remedial menu.
- A3. Specify the site by entering the WasteLAN reference number and verify that the information is correct.
- A4. Choose the correct operable unit by selecting next/previous operable unit until the screen information matches the desired operable unit. Select 'View/Edit Events'. If the event is not found then select 'Add' to add a new event.
- A5. Choose the correct event by viewing the next/previous events until the information matches the desired event.
- A6. Choose 'Edit Event'.
- A7. Enter a lead of 'FE', 'SE', 'MR', 'RP' or 'PS'.
- A8. Enter the current planned start date.
- A9. Enter the current planned completion date.
- A10. Enter the actual start date.
- A11. Update/Add the record and then choose 'Financial System'.
- A12. Choose the financial type for planned obligation.
- A13. Choose 'A' to add a new financial record.
- A14. Enter the planned obligation date.
- A15. Enter the planned amount .
- A16. Enter an 'E' for the Enforcement budget source.
- A17. Enter 'APR', 'ALT', or 'CON' for the funding priority status.

~~MINIMUM SET~~
CASE BUDGET CODING REFERENCE GUIDE
(REQUIRED DATA ELEMENTS)

SITE SPECIFIC (CERCLIS/WasteLAN)													
FINANCIAL ACTION	FINANCIAL TYPE (CODE)	AMOUNT	PLAN FYQ	BGT SRC	FUND STAT	CNT VHCL	ACTUAL FIN. DATE	ACN	DCN	W.A. #	AMEND #	OB/SUBOB	
Planned Obligations (Requests)	Planned Obligation (P)	✓	✓	✓	✓	✓							
Tasked Amounts (Approved W.A.s)	TES W.A. Amount (H) Detasking (W)	✓		✓		✓	✓			✓	✓		
Buy-Ins	Commitment (C) Decommitment (M) Actual Obligation (A) Deobligation (D)	✓		✓		✓	✓	✓	✓			✓	
NON-SITE SPECIFIC (CERHELP/WasteLAN)													
FINANCIAL ACTION	FINANCIAL TYPE (CODE)	AMOUNT	PLAN FYQ	BGT SRC	FUND STAT	CNT VHCL	ACTUAL FIN. DATE	ACN	DCN	W.A. #	AMEND #	OB/SUBOB	# OF SITES
Planned Obligations (Requests)	Planned Obligation (P)	✓	✓	✓	✓	✓							✓
Tasked Amounts (Approved W.A.s)	TES W.A. Amount (H) Detasking (W)	✓		✓		✓	✓			✓	✓		✓
Generic TES Commitments/Obligations	Commitment (C) Decommitment (M) Actual Obligation (A) Deobligation (D)	✓		✓		✓	✓	✓	✓			✓	✓
Buy-Ins	Commitment (C) Decommitment (M) Actual Obligation (A) Deobligation (D)	✓		✓		✓	✓	✓	✓			✓	
Program Management Commitments/Obligations	Commitment (C) Decommitment (M) Actual Obligation (A) Deobligation (D)	✓		✓		✓	✓	✓	✓			✓	✓

LEGEND

BGT SRC	= Budget Source	DCN	= Document Control Number
FUND STAT	= Funding Status	W.A. #	= Work Assignment Number
CNT VHCL	= Contract Vehicle	OB/SUBOB	= Object/Subobject Class
ACN	= Account Number	✓	= Required Field

- A18. Enter the contract vehicle (e.g. TES##, IAG##, MSC##, REM##).
- A19. Enter contractor name (optional).
- A20. Enter financial comments if necessary.
- A21. Choose 'A' to add record.

B: Enforcement Activities

- B1. Select Enforcement from the main menu.
- B2. Choose the activity group (RP Search, Negotiations, Litigation, etc.) from the Enforcement menu.
- B3. Choose the activity type.
- B4. Specify the site by entering the WasteLAN reference number and verify that the information is correct.
- B5. Choose 'Add' to add an activity if it does not already exist.
- B6. Choose the correct event by viewing the next/previous events until the information matches the desired activity.
- B7. Choose 'Edit' activity.
- B8. Enter a lead of 'FE' or 'SE'.
- B9. Enter the current planned start date.
- B10. Enter the current planned completion date.
- B11. Enter the actual start date.
- B12. Update/Add the record and then choose 'Budget Financial'.
- B13. Choose financial type for planned obligation.
- B14. Choose 'A' to add a new financial record.
- B15. Enter the planned amount.
- B16. Enter the planned obligation FYQ.
- B17. Enter an 'E' for the Enforcement budget source.
- B18. Enter 'APR', 'ALT', or 'CON' for the budget status.
- B19. Enter the contract vehicle (e.g. TES##, IAG##, MSC##, REM##).
- B20. Enter financial comments in the 'Note' area if necessary.
- B21. Choose 'A' to add record.

C: Non-Site Specific Incidents

- C1. From Main Menu select CERHELP System.
- C2. Select Non-Site/Incident from CERHELP Program screen.
- C3. Select Modify/View Activities from the non-site/incident menu.
- C4. Enter the activity in the Non-Site/Incident Activity Code field.
- C5. WasteLAN system generates the current fiscal year (FY), but the user can overwrite the data in this field if desired.
If the correct activity already exists in WasteLAN, then proceed with step 6, otherwise do steps 5a - 5d.
 - 5a. Select Add New Activity.
 - 5b. Enter 'FE','SE','MR','RP',or 'PS' as the Lead.
 - 5c. Enter any activity comment desired.
 - 5d. Select A to add the record.
- C6. Select the specific activity record needed, e.g., OH01.
- C7. Select Financial System.
- C8. Choose financial type for planned obligation.
- C9. Select Add New Record.
- C10. Enter the planned obligation FYQ.

- C11. Enter financial comments if necessary.
- C12. Enter the planned amount.
- C13. Enter the contract vehicle (e.g. TES##, IAG##, MSC##, REM##).
- C14. Enter contractor name (optional).
- C15. Enter an 'E' for the Enforcement budget source.
- C16. Enter 'APR', 'ALT', or 'CON' for the budget status.
- C17. Enter the number of sites expected to have TES work assignments during the fiscal year.
- C18. Choose 'A' to add record.

Mainframe CERCLIS Coding Instructions

A: Remedial Events

- A1. Access main menu for data entry and choose Remedial/Removal.
- A2. Choose the event information screen.
- A3. Select 'A' to add an event or 'C' to update an event.
- A4. Enter the EPA ID, operable unit, and event code.
- A3. Enter a lead of 'FE','SE','MR','RP' or 'PS'.
- A4. Enter the current planned start date.
- A5. Enter the current planned completion date.
- A6. Enter the actual start date.
- A7. Update/Add the record.
- A8. Select Event Financial Info. Screen to add or update an event financial record.
- A9. Select 'A' to add a new event financial record.
- A10. Enter the EPA ID Number .
- A11. Enter the operable unit number.
- A12. Enter the event type and sequence number and press enter.
- A13. Enter 'P' for a planned obligation.
- A14. Enter 'APR', 'ALT' or 'CON' for the funding priority status.
- A15. Enter the planned obligation FYQ.
- A16. Enter 'E' for the Enforcement budget source.
- A17. Enter the planned obligation amount.
- A18. Enter the contract vehicle (e.g., TES##, IAG##, MSC##, REM##).

B: Enforcement Activities

- B1. Access main menu for data entry and choose Enforcement.
- B2. Choose the activity screen.
- B3. Select 'A' to add or 'C' to update an activity.
- B4. Enter the EPA ID and the activity code.
- B6. Enter a lead of 'FE', or 'SE'.
- B7. Enter the current planned start date.
- B8. Enter the current planned completion date.
- B9. Enter the actual start date.
- B10. Update/Add the record.
- B11. Select the Enforcement FMS Financial Information Screen.
- B12. Select 'A' to add a new financial record and enter the EPA ID, and the Activity Type with the sequence number.
- B13. Enter 'P' for a planned obligation.
- B14. Enter 'E' for the Enforcement budget source.
- B15. Enter the planned obligation amount.

- B16. Enter the planned obligation FYQ.
- B17. Enter the contract vehicle (e.g., TES##, IAG##, MSC##, REM##).
- B18. Enter 'APR', 'ALT', or 'CON' for the budget status.

C: Non-Site Specific Incidents

- C1. Access main menu for data entry and choose non-site/incident.
- C2. Select non-site/incident screen from the non-site menu.
- C3. Enter 'A' to add a new record.
- C4. Enter Region number.
- C5. Enter activity type and press enter.
- C6. Enter activity lead as 'FE','SE','MR', 'RP', or 'PS'.
- C7. Enter current FY.
- C8. Enter any activity comment (e.g., Funds to cover all TES work assignments).
- C9. Confirm the activity.
- C10. Enter 'A' to add financial information and enter Region, activity type including the sequence number and press enter.
- C11. Enter financial type 'P' for a planned obligation.
- C12. Enter the contract vehicle (e.g., TES##, IAG##, MSC##, REM##).
- C13. Enter 'E' for the funding source.
- C14. Enter the estimated number of sites expected to be funded from the non-site-specific plan.
- C15. Enter 'APR', 'ALT', or 'CON' for the budget status.
- C16. Enter the planned obligation FYQ.
- C17. Enter the planned obligation amount.

OBLIGATING FUNDS TO COVER REGIONAL CONTRACT PROGRAM MANAGEMENT WORK ASSIGNMENTS

At the beginning of each FY, RPOs will write work assignments to provide contract management and administrative support for the contractors' regional offices. Funds for these management work assignments should be obligated independently of generic funds that cover site specific work assignments. The split will also provide the unique account number and document control number combinations required to make the CERCLIS to IFMS data transfer possible.

WasteLAN CERHELP Coding Instructions

- A1. From Main Menu select CERHELP System.
- A2. Select Non-Site/Incident from CERHELP Program screen.
- A3. Select Modify/View Activities from the non-site/incident menu.
- A4. Enter 'PM' in the Non-Site/Incident Activity Code field.
- A5. WasteLAN system generates the current FY, but the user can overwrite the data in this field if desired.
 - If the correct PM activity already exists in WasteLAN, then proceed with step 6, otherwise do steps 5a - 5d.
 - 5a. Select Add New Activity.
 - 5b. Enter 'FE' as the Lead.
 - 5c. Enter any activity comment desired.
 - 5d. Select A to add the record.

- A6. Select the specific activity record needed (e.g., PM01).
- A7. Select Financial System.
- A8. Choose financial type, i.e., Option 4 is commitment or Option 5 is decommitment.
- A9. Select Add New Record.
- A10. Do not enter data into the date or amount fields, unless you have the correct FMS amount and commitment date, in order to avoid creating duplicate records during the financial download procedure.
- A11. Enter any activity comments (e.g., 'work assignment amount' or 'approved work plan amount').
- A12. Enter the Document Control Number (DCN) from the PR.
- A13. Enter the Account Number (ACN) from the PR.
- A14. Enter 'TES05', 'TES06', etc., for the TES contract number into the Vehicle field.
- A15. Enter the contractor's name in the Contractor field (optional).
- A16. Enter '2535' in the Ob. Subob. Class field.
- A17. Enter 'E' for the Enforcement Funding Source.
- A18. Enter the estimated number of sites expected to have TES work assignments during the FY.
- A19. Enter 'A' (default) in order to add this financial record to the data base.

CERHELP Mainframe Coding Instructions

- B1. Access main menu for data entry and select non-site/incident.
- B2. Select non-site/incident screen from the non-site menu.
- B3. Enter 'A' to add a new record.
- B4. Enter Region number.
- B5. Enter activity type as 'PM' (Contract Program Management) and press enter.
- B6. Enter activity lead as 'FE'.
- B7. Enter current FY.
- B8. Enter any activity comment (e.g., work assignment amount or approved work plan amount).
- B9. Press Enter and confirm the activity.
- B10. Enter 'A' to add financial information and then proceed to enter Region, activity type with the sequence number and press enter.
- B11. Enter financial type 'C' for a commitment (positive amount), or 'M' for a decommitment (negative amount).
- B12. Enter the IFMS account number (ACN) from the PR.
- B13. Enter the IFMS document control number (DCN) from the PR.
- B14. Enter 'TES05', 'TES06', etc., identifying the specific TES contract.
- B15. Enter '2535' for the Object/Subobject Class.
- B16. Enter 'E' for Enforcement Funding Source.
- B17. Enter the estimated number of sites expected to have TES work assignments for the FY in the 'NBR SITES' field.
- B18. Enter the date the Funds Control Clerk signed the PR in the actual financial date field.
- B19. Enter the amount from the PR.
- B20. Confirm the record.

OBLIGATING FUNDS GENERICALLY TO COVER ALL SITE SPECIFIC WORK ASSIGNMENTS

RPOs will obligate funds to a non-site specific (also referred to as generic) account to cover the value of their site specific work assignments (including award fees) each FY. The contractors will be paid by work assignment from the generic PRs by identifying the PR document control number and site specific account number to be charged on their invoices. The generic PRs will be entered much the same as contract program management PRs.

WasteLAN CERHELP Coding Instructions

- A1. From Main Menu select CERHELP System.
- A2. Select Non-Site/Incident from CERHELP Program screen.
- A3. Select Modify/View Activities from the non-site/incident menu.
- A4. Enter 'OH' in the Non-Site/Incident Activity Code field.
- A5. WasteLAN system generates the current FY, but the user can overwrite the data in this field if desired.
If the correct OH activity already exists in WasteLAN, then proceed with step 6, otherwise do steps 5a - 5d.
 - 5a. Select Add New Activity.
 - 5b. Enter 'FE' as the Lead.
 - 5c. Enter any activity comment desired.
 - 5d. Select A to add the record.
- A6. Select the specific activity record needed, e.g., OH01.
- A7. Select Financial System.
- A8. Choose financial type, i.e., Option 4 is commitment or Option 5 is decommitment.
- A9. Select Add New Record.
- A10. Do not enter data into the date or amount fields, unless you have the correct FMS amount and commitment date, in order to avoid creating duplicate records during the financial download procedure.
- A11. Enter any activity comments .
- A12. Enter the Document Control Number (DCN) from the PR.
- A13. Enter the Account Number (ACN) from the PR.
- A14. Enter 'TES05', 'TES06', etc. into the Vehicle field for the TES contract number.
- A15. Enter the contractor's name in the Contractor field (optional).
- A16. Enter '2535' in the Ob. Subob. Class field.
- A17. Enter 'E' for the Enforcement Budget Source.
- A18. Enter the number of expected work assignments against the generic obligation.
- A19. Enter 'A' (default) in order to add this financial record to the data base.

Mainframe CERHELP Coding Instructions

- B1. Access main menu for data entry and select non-site/incident.
- B2. Select non-site/incident screen from the non-site menu.
- B3. Enter 'A' to add a new record.
- B4. Enter Region number.
- B5. Enter activity type as 'OH' for Other and press enter.
- B6. Enter activity lead as 'FE'.
- B7. Enter current FY.
- B8. Enter any activity comment (e.g., Funds to cover all TES work assignments).

- B9. Confirm the activity.
- B10. Enter 'A' to add financial information and then proceed to enter region, activity type including the sequence number and press enter.
- B11. Enter financial type 'C' for a commitment (positive amount), or 'M' for a decommitment (negative amount).
- B12. Enter the IFMS account number (ACN) from the PR.
- B13. Enter the IFMS document control number (DCN) from the PR.
- B14. Enter 'TES05', 'TES06', etc., identifying the specific TES contract.
- B15. Enter '2535' for the Object/Subobject Class.
- B16. Enter 'E' for Enforcement Funding Source.
- B17. Enter the estimated number of sites expected to have TES work assignments against the generic obligation in the NBR SITES field.
- B18. Enter the date the Funds Control Clerk signed the PR in the ACTUAL FIN. DATE field.
- B19. Enter the amount from the PR.

OBLIGATING FUNDS TO COVER CONTRACT BUY IN WORK ASSIGNMENTS

Buy-in commitments/obligations are of two types: 1) Enforcement funds used to buy into one of the Non- TES contracts, and 2) Remedial, Removal, or Federal Facility funds used to buy into one of the TES contracts. Both types of buy-ins must be entered into the data base. The budget source code should be used to indicate the source of funds.

WasteLAN Coding Instructions

A: Remedial Events

- A1. Select Remedial from the main menu.
- A2. Choose the event type (RI/FS, RD, RA, etc.) from the remedial menu.
- A3. Specify the site by entering the WasteLAN reference number and verify that the information is correct.
- A4. Choose the correct operable unit (OU) by selecting next/previous OU until the screen information matches the TES WA form. Then choose 'View/Edit Events'. If there is no event then choose 'Add' to add a new event.
- A5. Choose the correct event by viewing the next/previous events until the information matches the TES WA form. Then choose 'Financial System.'
- A6. Choose financial type of commitment or decommitment.
- A7. Choose 'A' to add a new financial record.
- A8. Enter date the Funds Control Officer signed the PR.
- A9. Enter the amount from the PR.
- A10. Enter an 'E', 'R', 'V', or 'F' based on Funding Source.
- A11. Enter the ACN from the PR.
- A12. Enter the DCN from the PR.
- A13. Enter the contract vehicle number (e.g., TES12).
- A14. Enter contractor name (optional).
- A15. Enter '2535' for the object class.
- A16. Enter financial comments if necessary.
- A17. Choose 'A' to add record.

B: Enforcement Activities

- B1. Select Enforcement from the main menu.
- B2. Choose the activity group (RP Search, Negotiations, Litigation, etc.) from the Enforcement menu.
- B3. Choose the activity type.
- B4. Choose 'Add' to add an activity if one does not already exist.
- B5. Specify the site by entering the WasteLAN reference number and verify that the information is correct.
- B6. Choose 'Budget Financial' from the activity menu.
- B7. Choose financial type for commitment or decommitment.
- B8. Choose 'Add' to add a new financial record.
- B9. Enter the amount from the PR unless the financial download has been implemented.
- B10. Enter date the Funds Control Officer signed the PR.
- B11. Enter an 'E', 'R', 'V', or 'L' based on Funding Source.
- B12. Enter the contract vehicle number (e.g., TES12).
- B13. In the financial note field, enter ACN in the first 10 characters. Then enter a single space and enter the DCN.
- B14. Choose 'A' to add record.

C: Non-Site Specific Incidents

- C1. From Main Menu select CERHELP System.
- C2. Select Non-Site/Incident from CERHELP Program screen.
- C3. Select Modify/View Activities from the non-site/incident menu.
- C4. Enter 'OH' in the Non-Site/Incident Activity Code field.
- C5. WasteLAN system generates the current FY, but user can overwrite the data in this field if desired.
If the correct OH activity already exists in WasteLAN, then proceed with step 6, otherwise do steps 5a - 5d.
 - 5a. Select Add New Activity.
 - 5b. Enter 'FE' as the Lead.
 - 5c. Enter any activity comment desired.
 - 5d. Select A to add the record.
- C6. Select the specific activity record needed, e.g., OH01.
- C7. Select Financial System.
- C8. Choose financial type, i.e., Option 4 is commitment or Option 5 is decommitment.
- C9. Select Add New Record.
- C10. Do not enter data into the date or amount fields, unless you have the correct IFMS amount and commitment date, in order to avoid creating duplicate records during the financial download procedure.
- C11. Enter any activity comments .
- C12. Enter the Document Control Number (DCN) from the PR.
- C13. Enter the Account Number (ACN) from the PR.
- C14. Enter contract vehicle and number into the Vehicle field.
- C15. Enter the contractor's name in the Contractor field (optional).
- C16. Enter '2535' in the Ob. Subob. Class field.
- C17. Enter an 'E', 'R', 'V', or 'L' based on Funding Source.
- C18. Enter 'A' (default) in order to add this financial record to the data base.

Mainframe CERCLIS Coding Instructions

- I. Determine whether the assignment is for a remedial event, enforcement activity, or non-site specific function. The event or activity type will be coded on the TESWATS form in: Item 10A, 10B, or 10C, respectively.
- II. Access the appropriate side of the database, remedial site information, enforcement site information, or non-site specific information.
- III. At this point, instructions vary between remedial events, enforcement activities, and non-site specific assignments. Use part A below for remedial event coding, part B below for enforcement activity coding, and part C below for non-site specific coding.

A: Remedial Events

- A1. Access main menu for data entry and choose Remedial/Removal
- A2. Select *Financial Info. Screen* to add or update an event financial record.
- A3. Select 'A' to add a new event financial record.
- A4. From the work assignment form, Item 7, enter the EPA ID Number [LAD000239814]. (The RPO may verify Site Name and Number with a CERCLIS Site Alias Location Listing, report L.4.)
- A5. From the work assignment form, Item 9, enter the operable unit number.
- A6. From the work assignment form, Item 10A, enter the event type and sequence number and press enter.
- A7. The PR amount will be positive or negative. For a positive number, enter 'C' for commitment; for a negative number, enter 'M' for decommitment as the Financial Type.
- A8. Enter an 'E', 'R', 'V', or 'L' based on Funding Source.
- A9. From the PR, or work assignment form, Item 11, enter the financial amount.
- A10. From the PR, enter the date the Funds Control Officer signed the PR to make the IFMS commitment in the FIN DATE field.
- A11. From the work assignment form, Item 1, enter the TES contract number as the Financial Vehicle.
- A12. From the work assignment form, Item 5, enter the contractor's name.
- A13. From the PR, or work assignment form, Item 4, enter the IFMS account number in the ACCOUNT field.
- A14. From the PR, enter the IFMS document control number in the DCN field.

B: Enforcement Activities

- B1. Access main menu for data entry and choose Enforcement.
- B2. Select the Enforcement FMS Financial Info. Screen.
- B3. Select 'A' to add a new financial record and enter the EPA ID, and the Activity Type with the sequence number.
- B4. The PR amount will be positive or negative. For a positive number, enter 'A' for obligation; for a negative number, enter 'D' for deobligation as the Financial Type.
- B5. From the PR, or work assignment form, Item 11, enter the financial amount.
- B6. From the PR, enter the date the Funds Control Officer signed the PR to make the IFMS obligation.

- B7. From the work assignment form, Item 1, enter the TES contract number as the Financial Vehicle.
- B8. Enter an 'E', 'R', 'V', or 'F' based on Funding Source.
- B9. From the PR or work assignment form, Item 4, enter the FMS account number in the Enforcement Financial Note field.
- B10. From the PR, enter the FMS document control number in the Enforcement Financial Note field.

C: Non-Site Specific Incidents

- C1. Access main menu for data entry and choose non-site/incident.
- C2. Select non-site/incident screen from the non-site menu.
- C3. Enter 'A' to add a new record.
- C4. Enter Region number.
- C5. Enter activity type as 'OH' and press enter.
- C6. Enter activity lead as 'FE'.
- C7. Enter current FY.
- C8. Enter any activity comment (e.g., Funds to cover all TES work assignments).
- C9. Confirm the activity.
- C10. Enter 'A' to add financial information and enter Region, activity type including the sequence number and press enter.
- C11. Enter financial type 'C' for a positive commitment, or 'M' for a decommitment (negative amount on PR).
- C12. Enter the FMS account number (ACN) from the PR.
- C13. Enter the FMS document control number (DCN) from the PR.
- C14. Enter 'TES05', 'TES06', etc., for the TES contract number, Contract Vehicle.
- C15. Enter '2535' for the Object/Subobject Class.
- C16. Enter an 'E', 'R', 'V', or 'L' based on Funding Source.
- C17. Enter the estimated number of sites expected to have TES work assignments against the generic obligation in the NBR SITES field.
- C18. Enter the date the Funds Control Clerk signed the PR in the FIN. DATE field.
- C19. Enter the amount from the PR.

ENTERING TES WORK ASSIGNMENT AMOUNTS (TASKING)

Each TES work assignment (both buy-ins and non buy-ins) will be entered into CERCLIS/WasteLAN using the codes for TES Work Assignment Amount, 'H', and detasking, 'W'. Once the COs have approved a work assignment, the Region should enter the work assignment into CERCLIS. RPOs and IMCs should work together to make sure that all TES financial data is entered in a timely manner.

WasteLAN Coding Instructions

A: Remedial Events

- A1. Select Remedial from the main menu.
- A2. Choose the event type (RI/FS, RD, RA, etc.) from the remedial menu.
- A3. Specify the site by entering the WasteLAN reference number and verify that the information is correct.
- A4. Choose the correct OU by selecting next/previous OU until the screen information matches the TES WA form. Then choose 'View/Edit Events'. If there is no event then choose 'Add' to add a new event.
- A5. Choose the correct event by viewing the next/previous events until the information matches the TES WA form. Then choose 'Financial System'.
- A6. Choose financial type of TES work assignment amount (tasking) or detasking.
- A7. Choose 'A' to add a new financial record.
- A8. Enter date the CO signed the WA.
- A9. Enter the amount from the WA.
- A10. Enter an 'E', 'R', 'V', or 'L' based on Funding Source.
- A11. Enter the last two digits of the work assignment amendment number.
- A12. Enter the six digit work assignment number.
- A13. Enter the contract vehicle number (e.g. TES12).
- A14. Enter contractor name (optional).
- A15. Enter financial comments if necessary.
- A16. Choose 'A' to add record.

B: Enforcement Activities

- B1. Select Enforcement from the main menu.
- B2. Choose the activity group (RP Search, Negotiations, Litigation, etc.) from the Enforcement menu.
- B3. Choose the activity type.
- B4. Choose 'Add' to add an activity if one does not already exist.
- B5. Specify the site by entering the WasteLAN reference number and verify that the information is correct.
- B6. Choose 'Budget Financial' from the activity menu.
- B7. Choose financial type for TES work assignment amount (tasking) or detasking.
- B8. Choose 'Add' to add a new financial record.
- B9. Enter the amount from the WA.
- B10. Enter date the CO signed the WA.
- B11. Enter an 'E', 'R', 'V', or 'F' based on Funding Source.
- B12. Enter the six digit work assignment number.
- B13. Enter the last two digits of the work assignment amendment number.
- B14. Enter the contract vehicle number (e.g. TES12).
- B15. Choose 'A' to add record.

C: Non-Site Specific Incidents

- C1. From Main Menu select CERHELP System.
- C2. Select Non-Site/Incident from CERHELP Program screen.
- C3. Select Modify/View Activities from the non-site/incident menu.
- C4. Enter the Non-Site/Incident Activity Code field.
- C5. WasteLAN system generates the current FY, but user can overwrite the data in this field if desired.
If the correct activity already exists in WasteLAN, then proceed with step 6, otherwise do steps 5a - 5d.
 - 5a. Select Add New Activity.
 - 5b. Enter the Lead.
 - 5c. Enter any activity comment desired.
 - 5d. Select A to add the record.
- C6. Select the specific activity record needed.
- C7. Select Financial System.
- C8. Choose financial type for TES work assignment amount (tasking) or detasking.
- C9. Select Add New Record.
- C10. Enter the date the CO signed the WA.
- C11. Enter any activity comments .
- C12. Enter contract vehicle and number into the Vehicle field.
- C13. Enter the six digit work assignment number in the Work Assignment field.
- C14. Enter the last two digits from the work assignment amendment number into the Amendment Number field.
- C15. Enter the contractor's name in the Contractor field (optional).
- C16. Enter an 'E', 'R', 'V', or 'L' based on Funding Source.
- C27. Enter 'A' (default) in order to add this financial record to the data base.

Mainframe CERCLIS Coding Instructions

- I. Determine whether the assignment is for a remedial event, enforcement activity, or non-site specific function. The event or activity type will be coded on the TESWATS form in: Item 10A, 10B, or 10C, respectively.
- II. Access the appropriate side of the database, remedial site information, enforcement site information, or non-site specific information.
- III. At this point, instructions vary between remedial events, enforcement activities, and non-site specific assignments. Use part A below for remedial event coding, part B below for enforcement activity coding, and part C below for non-site specific coding.

A: Remedial Events

- A1. Access main menu for data entry and choose Remedial/Removal.
- A2. Select Financial Info. Screen to add or update an event financial record.
- A3. Select 'A' to add a new event financial record.

- A4. From the work assignment form, Item 7, enter the EPA ID Number [LAD000239814]. (The RPO may verify Site Name and Number with a CERCLIS Site Alias Location Listing, report L.4.)
- A5. From the work assignment form, Item 9, enter the OU number.
- A6. From the work assignment form, Item 10A, enter the event type and sequence number and press enter.
- A7. The work assignment amount will be positive or negative. For a positive number, enter 'H' for work assignment amount; for a negative number, enter 'W' to decrease the work assignment amount.
- A8. Enter an 'E', 'R', 'V', or 'L' based on Funding Source.
- A9. From the work assignment form, Item 11, enter the financial amount.
- A10. From the work assignment form, Item 14, enter the CO signature date in the FIN. DATE field.
- A11. From the work assignment form, Item 1, enter the TES contract number as the Financial Vehicle.
- A12. From the work assignment form, Item 5, enter the contractor's name.
- A13. From the work assignment form, Item 2, enter the work assignment number in the WK ASGN field.
- A14. From the work assignment form, Item 3, enter the last two digits of the amendment number in the AMEND # field.

B: Enforcement Activities

- B1. Access main menu for data entry and choose Enforcement.
- B2. Select the Enforcement FMS Financial Info. Screen.
- B3. Select 'A' to add a new financial record and enter the EPA ID, and the Activity Type with the sequence number.
- B4. The work assignment amount will be positive or negative. For a positive number, enter 'H' for work assignment amount; for a negative number, enter 'W' to decrease the work assignment amount.
- B5. From the work assignment form, Item 11, enter the financial amount.
- B6. From the work assignment form, Item 14, enter the CO signature date in the FIN. DATE field.
- B7. From the work assignment form, Item 1, enter the TES contract number as the Financial Vehicle.
- B8. Enter an 'E', 'R', 'V', or 'L' based on Funding Source.
- B9. From the work assignment form, Item 2, enter the work assignment number in the WA NUMBER field.
- B10. From the work assignment form, Item 3, enter the last two digits of the amendment number in the W/A AMEND NBR. field.

C: Non-Site Specific Incidents

- C1. Access main menu for data entry and choose non-site/incident.
- C2. Select non-site/incident screen from the non-site menu.
- C3. Enter 'A' to add a new record.
- C4. Enter Region number.
- C5. Enter activity type and press enter.
- C6. Enter activity lead.
- C7. Enter current FY.
- C8. Enter any activity comment .
- C9. Confirm the activity.

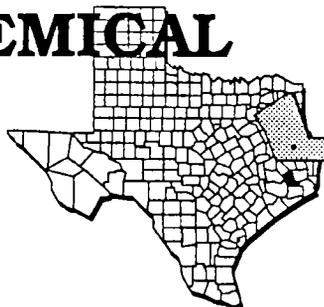
- C10. Enter 'A' to add financial information and enter Region, activity type including the sequence number and press enter.
- C11. Enter financial type 'H' a positive work assignment amount, or 'W' for a decrease (negative work assignment amount).
- C12. Enter 'TES05', 'TES06', etc., for the TES contract number.
- C13. Enter an 'E', 'R', 'V', or 'L' based on Funding Source.
- C14. Enter the estimated number of sites expected to have TES work assignments against the generic obligation in the NBR SITES field.
- C15. From the work assignment form, Item 14, enter the CO signature date in the FIN. DATE field.
- C16. From the work assignment form, Item 11, enter the financial amount .
- C17. Enter the six digit work assignment number from the TES work assignment form in the IAG/WK ASGN field.
- C18. Enter the last two digits of the amendment number from the TES work assignment form in the IAG/WK ASGN AMEND field.

APPENDIX H
NPL BOOK

PETRO-CHEMICAL

TEXAS

EPA ID# TXD 980873350



REGION 6
CONGRESSIONAL DIST. 02

Liberty County
7 miles north of Interstate 10

Aliases: Turtle Bayou

Site Description

This 312-acre tract is located in a rural area south of Liberty, Texas. Until 1973, Petro-Chemical Systems, Inc. disposed of waste oils and other petrochemicals sludges at the site. Operators stored waste oils in three unlined pits on about 5 acres of land north of Frontier Park Road. Other waste disposal areas were located along the south side of Frontier Park Road. The locations and types of waste materials are still not fully known. Workers also spread waste oils on the site roads to control dust. Waste disposal and road oiling were discontinued in 1973, and the oil pits were covered. The facility's waste disposal permit was revoked in 1974. The land was developed and subdivided into residential properties ranging from 5 to 15 acres. As many as 11 families have lived in the subdivision. The nearest drinking well is 1,900 feet away and numerous shallow wells supply drinking water to area residents. Turtle Bayou flows through the site.

Site Responsibility: The site is being cleaned up through a combination of Federal and State action.

Resources Affected
Streams
Agricultural Land
Residential Development

Threats and Contaminants



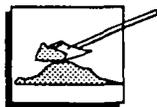
EPA found the groundwater to be contaminated with *volatile organic chemicals* (VOCs), including methylene chloride and toluene. The soil is also contaminated with VOCs, petrochemicals (such as chrysene and fluorine) and petrochemical sludges, lead and waste oils. Nearby residents risk exposure through direct contact with contaminated soil and groundwater. Residential wells sampled in 1984 showed the presence of some VOCs, but these compounds were not detected when the wells were resampled later that year. People using the unpaved road (riding, walking) could be exposed to contaminants through accidental ingestion, skin contact and breathing contaminated air.

NPL LISTING HISTORY
Proposed Date: 10/15/84
Final Date: 05/10/85

Cleanup Status

This site is being cleaned up in three stages: an immediate action and two *remedial operable units* focusing on cleaning Frontier Park Road and the remaining contaminated site areas.

Response Action Summary



Immediate Action: As an initial action, in May 1986 EPA installed a fence to restrict site access and limit the potential for residents to come into contact with contaminated areas.



Frontier Park Road: The remedy selected by EPA included (1) excavating and removing about 4,000 cubic yards of highly contaminated soil from Frontier Park Road and backfilling with clean soil; (2) building a road over the excavated areas and existing roadway to provide access to site areas; (3) temporarily storing contaminated soil on site in a federally approved disposal vault until final site cleanup begins; and (4) temporarily relocating on-site residents during construction. The road site was excavated, backfilled, and rebuilt in asphalt. The contaminated materials are stored in a double-lined on-site facility awaiting final disposal. EPA workers improved drainage in the area and reconstructed the Turtle Bayou crossing. The two families temporarily relocated by EPA and FEMA have returned to their homes. All work was completed in October 1988.



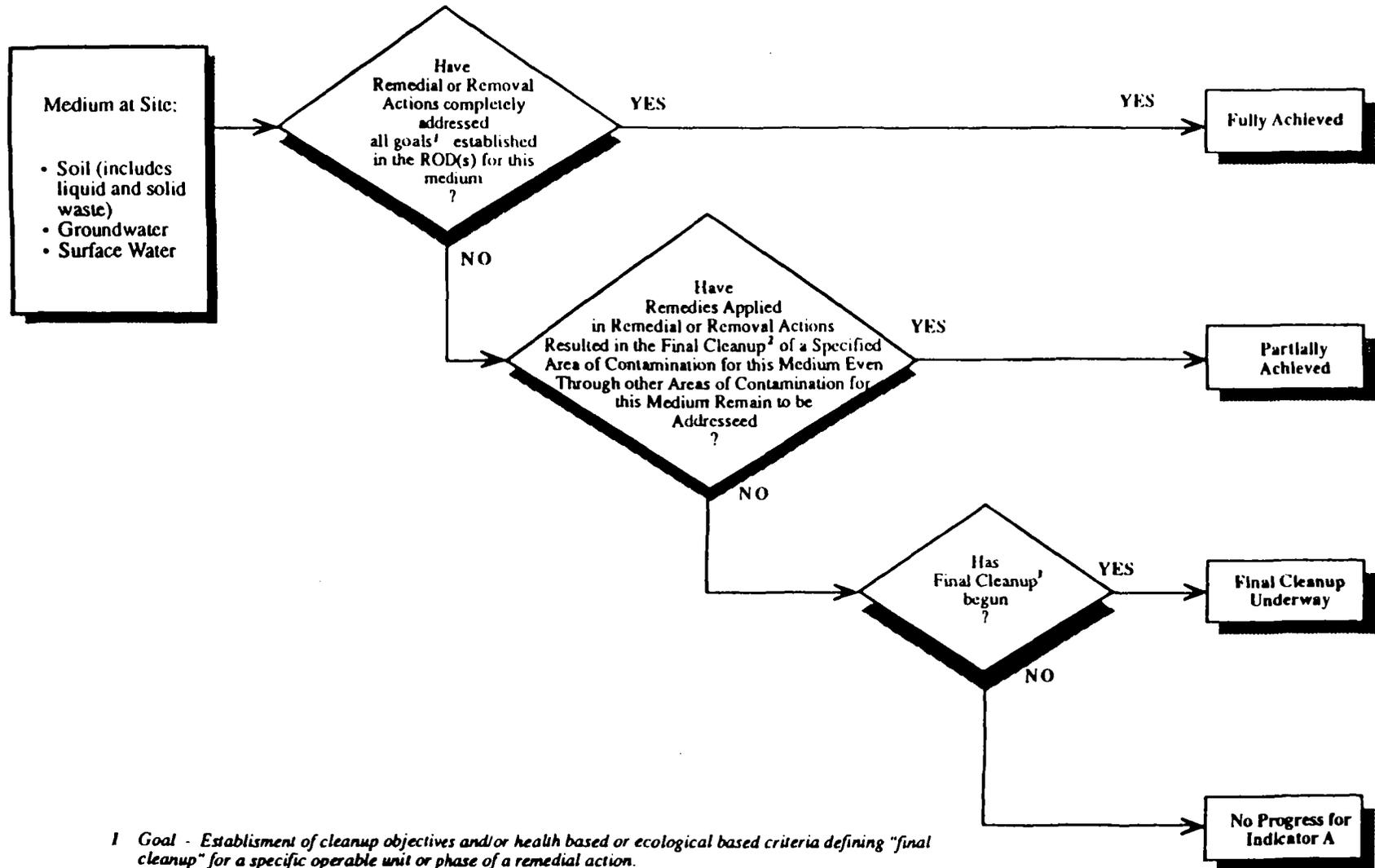
Remaining Site Areas: The Texas Water Commission is studying the remaining areas both on and off site, e.g. areas where wastes have been deposited or contaminants may have migrated. The study, expected to be completed in 1990, will determine the nature and extent of site contamination and provide alternatives for EPA selection of a final cleanup remedy.

Environmental Progress: With the cleanup actions described above, the EPA has greatly reduced the potential for accidental contact or exposure to contaminated soil and dust along Frontier Park Road. The two families temporarily relocated during the cleanup have returned to their homes, and Turtle Bayou again flows freely across the area.



APPENDIX I
ENVIRONMENTAL INDICATORS

Media Goals Achieved for Indicator A

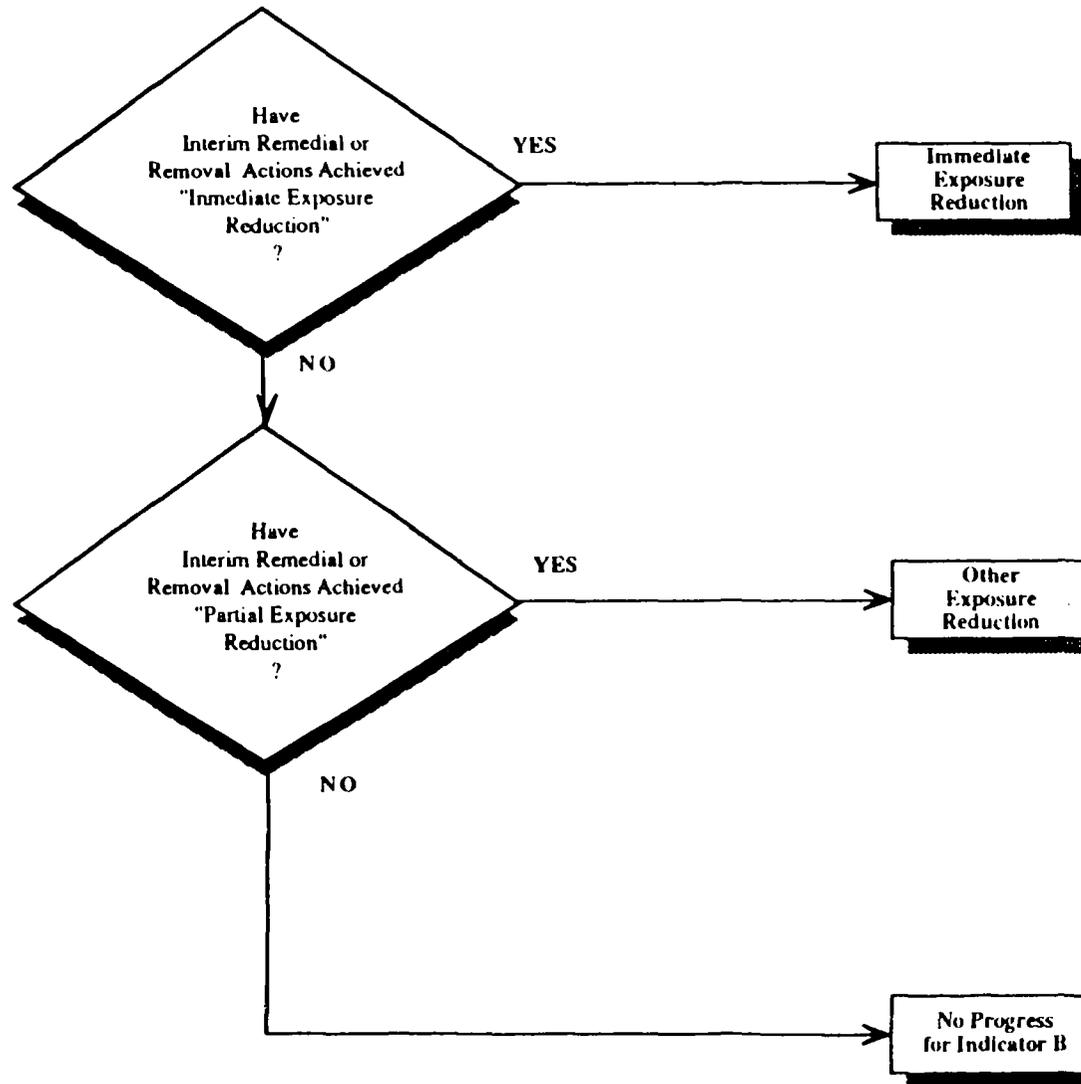


1 Goal - Establishment of cleanup objectives and/or health based or ecological based criteria defining "final cleanup" for a specific operable unit or phase of a remedial action.

2 Final Cleanup - no further action required; health/ecological based criteria (if applicable) and cleanup objectives for one or more operable units or cleanup phases have been satisfied.

3 i.e. Actual treatment, containment, or removal of contaminated material.

Goals Achieved for Indicator B

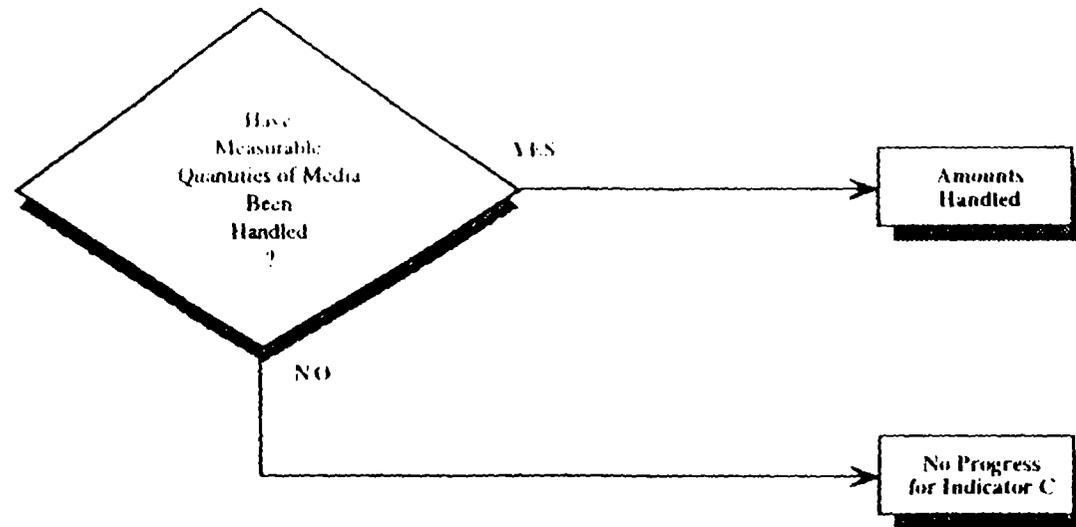


1 - Immediate exposure reduction includes fencing, alternate water supply and population relocation.

2 - Partial exposure reduction includes temporary on-site or off-site storage, soil cover, backfilling, drumming/overpacking, and surface water diversion.

March 9, 1990

Goals Achieved for Indicator C



APPENDIX I

RA PRIORITIZATION FACT SHEET

**Proposed Fact Sheet Summary for Prioritizing Remedial
Action Projects**

Region ____ State ____ Site _____ Op Unit _____

Description of Project Remedy. _____

Projected Completion Date for Remedial Design. _____

Projected Date for Completing Negotiations with Potentially Responsible
Parties on Remedial Design/Remedial Action. _____

Cost Estimate for Remedial Action. _____

Projected Start Date for Remedial Action. _____

Projected Contractor for Remedial Action:

ARCS _____ COE _____ State _____ Other _____

Priority Categories

Priority 1: Immediate and/or Imminent Threat

1A Immediate and/or Imminent Threat to Human Health Yes__ No__

Priority 2: Actual or Potential Exposure Under Current Conditions

2A Pathway Complete Under Current Conditions to Human Intake. Yes__ No__

2B Pathway Complete Under Current Conditions to Significant
Environment. Yes__ No__

2C Potential for Exposure Pathway to be Complete to Human Intake
Under Current Conditions. Yes__ No__

2D Potential for Exposure Pathway to be complete to Significant
Environment Under Current Conditions. Yes__ No__

Priority 3: Potential Exposure Under Future Conditions

3A Pathway May Become Contaminated and Be Complete to Human
Intake Under Future Conditions. Yes__ No__

3B Pathway May Become Contaminated and be Complete to
Significant Environment Under Future Conditions. Yes__ No__

COMMENTS _____

APPROVAL, DIVISION DIRECTOR

DATE

PROPOSED FACT SHEET FOR REMEDIAL ACTION PROJECTS

1. Region. _____ 2. State. _____

3. Project Name. _____

4. CERCLIS Information:

Operable Unit No. _____ First/Subsequent Start Code _____

5. Record of Decision Date. _____

6. Recent Cost Estimate and Basis for Estimate. _____

7. Briefly Describe Problem Addressed by Project.

8. Briefly Describe Proposed Remedial Action (RA).

9. Remedial Design Completion (95%) Date. _____

10. Superfund State Contract Date. _____

11. Project Access for Remedial Action. _____

Enforcement Activity

12. Was Special Notice invoked? Yes___ No___

13. Did negotiations occur with liable and financially viable Potentially Responsible Parties (PRPs) for their conduct of the remedial design and remedial action (RD/RA)? Yes___ No___

14. Are negotiations with PRPs continuing during the Superfund-financed remedial design? Yes___ No___

a. If Yes, what is the potential for settlement? _____

b. If No, are additional negotiations anticipated prior to Superfund-financing the remedial action? _____

Enforcement Activity continued.

15. Does the project meet requirements for issuance of an Unilateral Administrative Order (UAO) prior to Superfund-financing the remedial action? Yes ___ No ___

If No, explain why. _____

16. Which media (pathways) are addressed by this RA? (Check those that apply) Groundwater ___ Surface water ___ Air ___
 Surface Contamination (include Soils) ___

Priority 1

17. Describe why the project meets the condition for Priority 1 which is an immediate and/or imminent threat to human health as determined by EPA or by a Public Health Advisory from the Agency for Toxic Substances and Disease Registry (ASTDR). _____

18. Briefly describe which of the following situations (18A-F) apply to the project.

Priority 2

18.(A) Pathway is contaminated above a human health standard or accepted risk range and under current conditions pathway is complete to human intake. _____

18.(B) Pathway is contaminated above an environmental standard and under current conditions pathway is complete to a significant environment. _____

18.(C) Pathway is contaminated above a human health standard or accepted risk range and not yet complete to human intake but under current conditions pathway could become complete. _____

18.(D) Pathway is contaminated above an environmental standard and not yet complete to a significant environment but under current conditions pathway could become complete. _____

Priority 3

18.(E) Pathway may become contaminated above a human health standard or accepted risk range and under future conditions the pathway will be complete to human intake. _____

18.(F) Pathway may become contaminated above an environmental standard and under future conditions the pathway will be complete to a significant environment. _____

ATSDR Health Assessment

19. Describe recommendations from ATSDR full (not preliminary) Health Assessment for projects in Priorities 2 and 3. _____

Risk of Contaminant

20. Summarize baseline risk assessment for primary contaminant(s) driving the project cleanup.

20.(A) Contaminant Name(s). _____

20.(B) Carcinogen Risk Range: Chemical _____

20.(C) Carcinogen Risk Range: Radionuclid _____

20.(D) Non-carcinogen hazard index. _____

20.(E) ARARs Exceeded. _____

20.(F) Concentration of contaminant on and off project site and the standard to which concentration is compared. _____

Risk of Contaminant continued

20.(G) Volume: quantity of contamination to be addressed.

21. Other relevant risk information. _____

22. List other contaminants if relevant. _____

Stability

23. Media contaminated. _____

24. Groundwater classification if applicable.

25. Mobility of Contaminant(s): include rate of movement and location of the contaminant's leading boundary. _____

26. Describe any condition that is currently causing or may cause the project site to be unstable (i.e. fractured bedrock or crumbling lagoon wall). _____

27. Describe physical or institutional controls which prevent contaminant from contact with receptor. _____

Population Exposed

28. Distance from contamination to nearest exposed population.

29. How many people are currently exposed or will be exposed in the future under reasonable assumptions.

30. What is the sensitivity of the population (i.e. children, the elderly)?

Threat to a Significant Environment.

31. Name of Federally Designated Endangered Species.

32. Describe the sensitive environment or other significant environment threatened, and any designation given this environment by the Federal government or others. (For example, is it an estuarine sanctuary or a national park.)

33. Who determined that an endangered species, sensitive environment or other significant environment is or will be at risk because of the project. What were their recommendations?

Program Management

34. Relationship of project to other operable units.

35. Cost of Delay.

36. Describe innovative technology proposed for project cleanup.

35. Other program management considerations.
