

**Sample Work plan for the Section 128(a)
State Response Program Cooperative Agreement **Grant Number**
Period of Performance**

Note: Items in RED below require replacing/editing.

- 1. GOAL 3: Cleaning Up Communities & Ecosystems**
Objective 3.1: Promote Sustainable and Livable Communities
Subobjective: Assess and Cleanup Brownfields

PROGRAM RESULTS CODE: 301D24
CFDA CODE: 66.817 State and Tribal Response Program Grants

OBJECTIVE:

The Small Business Liability Relief and Brownfields Revitalization Act (SBLRBRA) was signed into law on January 11, 2002. The Act amends the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), as amended, by adding Section 128(a). Section 128(a) authorizes a grant program awarded and administered by the United States Environmental Protection Agency (USEPA) to establish and enhance state response programs that address the assessment, cleanup and redevelopment of brownfields sites and other contaminated sites as defined by the law. One goal of the funding as defined by the guidance is, “to provide funding for other activities that increase the number of response actions conducted or overseen, by a state or tribal response program. This funding is not intended to supplant current state or tribal funding for their response programs. Instead, it is to supplement their funding to increase their cleanup capacity.”

On November 25, 2003, the USEPA published in the Federal Register, Document number EPA 500-F-04-002, the Notice of Grants Funding Guidance for State and Tribal Response Programs. To be eligible for funding under Section 128(a) and as described in the guidance, a state must demonstrate that their response program includes, or is taking reasonable steps to include, the following four elements of a response program:

1. Timely survey and inventory of brownfields sites in the state;
2. Oversight and enforcement authorities;
3. Mechanisms and resources to provide meaningful opportunities for public participation;
4. Mechanisms for approval of a cleanup plan and verification and certification that cleanup is complete.

Recipients of 128(a) funding must also maintain and make available to the public a record of sites addressed and proposed to be addressed by the state cleanup program.

If your organization received prior 128(a) funding, include a description of progress made with the funding by fiscal year (what your objectives were, what you accomplished, and any lessons learned). Also, describe your objectives and planned activities for this work plan’s period of performance (i.e., the upcoming year).

If your organization is requesting funding for the first year, describe how you will take reasonable steps to build the four elements of a response program. Also, describe your objectives and planned activities for this work plan’s period of performance (i.e., the upcoming year).

ELIGIBILITY REQUIREMENTS:

Establish/Maintain Public Record

Has a public record been established that satisfies the requirements of CERCLA section 128(b)(1)(C)? Yes

If yes, please provide the following:

Date of last update: Enter date last updated.

Expected date of next update: Enter anticipated date for next update.

How is the record accessible to the public: Explain how the public records is available to the public.

Describe the elements of the record that satisfy the requirements of 128(b)(1)(C): Briefly describe what information is included in the public records and how it satisfies the requirements of 128(b)(1)(C)

The Four Elements

Does the applicant have a Voluntary Cleanup Program Memorandum of Agreement (MOA) with EPA: Yes/No

If yes, provide the date of the MOA: If yes, provide date.

If your organization does not have a MOA with EPA, describe how your organization has been taking, or plans to take, reasonable steps to build the four elements of a response program.

2. FUNDING REQUEST: \$xxx,xxx

Funds are 100% federal dollars for the Section 128(a) State Response Program Cooperative Agreement:

Remaining previous fiscal year funding: \$x

Below is a sample budget table of the funding request. Prepare a budget table with how you will allocate your funding request. In addition, include a narrative discussion of what the costs are for and how you arrived at those estimates. Information on the level of detail needed in the budget and budget narrative can be found at http://www.epa.gov/ogd/recipient/ogd_budget_detail_guidance.pdf.

	TASK 1 Planning & Management	TASK 2 Program Enhancement	TASK 3 Site Specific Assessments & Cleanups	Totals
Personnel				
Fringe Benefits				
Travel				
Equipment				
Supplies				
Contractual				
Construction				
Other (SOS/Temp)				
Other (miscellaneous)				
Indirect				
TOTAL				

Budget Narrative
Personnel:
Fringe Benefits:
Travel:
Equipment:
Supplies:
Contractual:
Construction:
Other (SOS/temporary personnel)

Other (miscellaneous costs): Includes, but is not limited to, miscellaneous costs such as printing, copying, professional memberships and subscriptions, medical monitoring, participant support costs such as stipends, etc.

Indirect:

Personnel Titles	FTE	Cost
Total		

Site Activities Narrative (Commitments)	Scheduled Quarter	Results of Activities (Outputs)	Projected Environmental Improvement (Outcomes)	Established Baseline for Measurement
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3. WORKPLAN ACTIVITIES and TIME FRAME FOR ACCOMPLISHMENT (COMMITMENTS), RESULTS OF ACTIVITIES (OUTPUTS), PROJECTED ENVIRONMENTAL IMPROVEMENT (OUTCOMES), AND ESTABLISHED BASELINE FOR MEASUREMENT.

Below in red are sample tasks and activities under this cooperative agreement – modify to be specific to your funding request.

Task 1: Planning and Management

Activity 1: Program Management and Supervision

Supervise and manage response program staff to meet program goals. Assign, prioritize, track and evaluate staff workload. Conduct project status meeting with staff to discuss project issues and priorities.	Ongoing Activities	Project management tracking sheet	Maintain effective work force to meet work plan commitments	Work plan commitments
Continue...	Continue...	Continue...	Continue...	Continue...

Site Activities Narrative (Commitments)	Scheduled Quarter	Results of Activities (Outputs)	Projected Environmental Improvement (Outcomes)	Established Baseline for Measurement
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Task 1: Planning and Management, cont.

Activity 2: Cooperative Agreement (CA) Programmatic Management

Ensure that CA work-plans are developed in accordance with recipient and EPA policies and that budget and programmatic aspects of application requests conform to State and EPA policies. Review new and revised CA agreement guidance and serve as a resource to staff.	Ongoing activities	CA work plans, budgets and federal assurance forms	Effective CA applications, expedited processing, improved awareness of EPA guidance	CA award
Incorporate the CA work-plan and budget into the recipient's performance and financial reporting system and other appropriate tracking systems. Track progress of work to meet work-plan commitments. Review proposed expenditures and ensure that they are authorized by and consistent with CA. Conduct cash-flow projections for operational needs.	Quarterly	Quarterly performance and financial reports, property profile forms	Meet work plan commitments, appropriate expenditures, effective use of CA budget	Work plan commitments met, effective use rate on budget
Conduct project closeout activities	Annual	Final quarterly performance report, financial status report	Project Closeout	Timely submittal of reports
Review CAs for compliance with the applicable laws and regulations	Ongoing Activities	Legal review	Legal CAs	CA award
Continue	Continue	Continue	Continue	Continue

Site Activities Narrative (Commitments)	Scheduled Quarter	Results of Activities (Outputs)	Projected Environmental Improvement (Outcomes)	Established Baseline for Measurement
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Task 1: Planning and Management, cont.

Activity 3: Fiscal and Contract Management

Develop and maintain cost documentation procedures and an auditing system to ensure that all expenditures are legal and chargeable.	Ongoing Activities	Financial reports	Improved financial reporting process	Financial reporting requirements met
Track the status of deliverables for contracted projects.	Ongoing activities	Tracking chart	Efficient contracting activity, ensure work plan commitment are met	Previous tracking chart
Develop and update standard operating procedures (SOPs) for issuance of task assignments, reviews of work plans/cost estimates, and payment of invoices.	Ongoing activities	SOPs	Efficient contracting activity	Number of SOPs developed/year, previous SOPs
Continue...	Continue...	Continue...	Continue...	Continue...

Task 2: Program Enhancement

Activity 1: Establish or enhance the four elements

Create or update a website or tracking system with estimated number of known brownfield sites	Ongoing	Website or tacking system	Increase capacity of 128(a) assessment program	Number of properties added to the inventory
Organize community meeting to raise awareness of what brownfield sites are	Ongoing	Attend and host meetings	Improve community engagement and knowledge of brownfields	Number of community meetings
Continue...	Continue...	Continue...	Continue...	Continue...

Site Activities Narrative (Commitments)	Scheduled Quarter	Results of Activities (Outputs)	Projected Environmental Improvement (Outcomes)	Established Baseline for Measurement
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Task 2: Program Enhancement

Activity 2: Establish and Maintain the Public Record

Maintain and update public record system.	Date	Updated public record	Increase public awareness of program activities	Previous public record
Conduct periodic audits of ICs to ensure the entity responsible for oversight, monitoring, and/or maintenance of the institutional and engineering controls is implementing those activities.	Ongoing activities	Audits	Determine compliance with activity and use limitations to ensure remedy protectiveness	Number of audits/year
Continue...	Continue...	Continue...	Continue...	Continue...

Site Activities Narrative (Commitments)	Scheduled Quarter	Results of Activities (Outputs)	Projected Environmental Improvement (Outcomes)	Established Baseline for Measurement
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Task 2: Program Enhancement, cont.

Activity 3: Enhance the Response Program or Cleanup Capacity

Perform ongoing public outreach on program guidance, assessment program and program and EPA funding. Revise brochures and update existing public outreach materials and website to improve understanding and participation in program, develop public outreach materials.	Ongoing activities	Workshops, brochures, public outreach, materials, web site updates	Improve understanding and participation in program and increase awareness of funding availability	Number of workshops, brochures, public outreach materials developed or updated/year
Attend Brownfields conferences	Ongoing activities	Attend conference	Improve staff knowledge of national brownfields issues, improve understanding of response program	Attend conference
Develop guidance, standard operating procedures (SOPs), and checklists related to the response program. Prepare and update the Agency Quality Management Plan (QMP) and Generic Quality Assurance Project Plan (QAPP)	Ongoing activities	Guidance, SOPs and checklists, revisions to QMP and QAPP	Improve program productivity	Number of guidance documents, SOPs, checklists developed/year, previous QMP and QAPP.
Identify training needs, develop plans, and provide training for staff in various areas such as health and safety, project management, conflict resolution, public involvement, contractor management, environmental sampling, site characterization, risk assessment, cleanup technology, etc.	Ongoing activities	Attend training courses	Improve staff technical and regulatory knowledge, greater understanding of program, improve program productivity	Number of training courses attended/year
Continue...	Continue...	Continue...	Continue...	Continue...

Task 3: Site Specific Activities (optional)

Conduct and/or oversee assessments and cleanups. Input data into ACRES.	Ongoing/see chart below	Assessment or cleanup reports, data entry in ACRES	Number of brownfields properties assessed; number of brownfields cleanup subgrants awarded, estimated number of brownfields property acres available for reuse or continued use, leveraging other resources	Previous year's number of assessments and/or cleanups completed and acres available for reuse or continued use; amount of other resources leveraged.
Continue...	Continue...	Continue...	Continue...	Continue...

Site Activities Narrative (Commitments)	Scheduled Quarter	Results of Activities (Outputs)	Projected Environmental Improvement (Outcomes)	Established Baseline for Measurement

Candidate List of Inventories/Site-Specific Assessments/Cleanups
To be determined during the project period based on applications received and remaining funds.

4. QUALITY ASSURANCE:

Will environmental data be collected under this agreement? Yes__ No __
 Do you have an approved Quality Management Plan? Yes__ No __

Provide a brief description of the environmental data that will be collected under this agreement and whether you currently have a Quality Management Plan and or Quality Assurance Project Plan under this agreement.

5. JOINT EVALUATION PROCESS

In accordance with 40 CFR 35.515, the recipient and EPA will convene a Joint Evaluation of the project prior to final closeout of the agreement but no earlier than 150 days before the end of the project. The evaluation may be conducted in person or electronically via conference call or web conference. The evaluation process will provide for, at a minimum: 1) A discussion of accomplishments as measured against work plan commitments; 2) A discussion of the cumulative effectiveness of the work performed under all work plan commitments; 3) A discussion of existing and potential problem areas; and 4) Suggestions for improvement, including, where feasible, schedules for making improvements. Additional topics may be added by either party. After the evaluation, EPA will send an email summarizing the conclusions and resolutions of the Joint Evaluation to the recipient for review and concurrence.