

Note: Items in RED below require replacing/editing.

FUNDING REQUEST / WORK PLAN
for CERCLA Section 128(a) State or Tribal Response Program
Federal Fiscal Year (FY) of Funding: 2017
Period of Performance: *October 1, 2016 to September 30, 2017*

Date last revised/submitted: Insert date (please **update date each time** you make any changes and re-submit)
Point of Contact: Provide the name and phone number/email for the primary tribal person working on this document
Total Amount Requested: \$XXX,XXX

The U.S. Environmental Protection Agency's (Agency's) Strategic Plan supports the State and Tribal Response Program through **GOAL 3: Cleaning Up Communities and Advancing Sustainable Development** and **Objective 3.1 Promote Sustainable and Livable Communities.**

Program Results Code: 301D24
CFDA: 66.817 State and Tribal Response Program Grants

1. 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. The primary goal of this funding, as defined in the yearly *Funding Guidance for State and Tribal Response Programs*, is to “ensure that state and tribal response programs include, or are taking reasonable steps to include, certain elements of an environmental response program and that the response program establishes and maintains a public record of sites addressed.” The secondary goal of the funding as defined by the guidance is to support development of a public record, as defined in Section 128(b)(1)(C).

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 or tribe 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 brownfield sites in state or tribal land;
- (2) Oversight and enforcement authorities or other mechanisms and resources to ensure that a response action will protect human health and the environment and be conducted in accordance with applicable laws, and that a tribe will complete the response action (including long-term operations and maintenance/monitoring) if the person completing response fails to do so;
- (3) Mechanisms and resources to provide meaningful opportunities for public participation; and
- (4) Mechanisms for approval of a cleanup plan and verification and certification that cleanup is complete.

In addition, states and tribes must establish and maintain a **public record** system that provides a mechanism for meaningful public participation (see Element 3 above). Specifically, the public record must—

- Be maintained and updated at least annually;
- Include the name and location of sites at which response actions were completed in the previous year;
- Include the name and location of sites at which response actions are planned in the next year; and
- Identify whether or not the site, upon completion of the response action, will be suitable for unrestricted use. If not, the public record must identify the institutional controls relied on in the remedy and include relevant information concerning the entity that will be responsible for oversight, monitoring, and/or maintenance of the institutional and engineering controls; and how the responsible entity is implementing those activities.

2. OVERALL STATE OR TRIBAL RESPONSE PROGRAM GOALS:

Insert background information on your State or Tribe. Describe your overall long-term state or tribal response program (STRP) goals. Include the environmental cleanup program areas you will establish or enhance (Brownfields, leaking/underground storage tank (LUST/UST) program, etc.) and include a description of the current breadth of your program, its jurisdiction, and why the funding is needed.

3. ELIGIBILITY REQUIREMENTS FOR FUNDING:

This section asks you to describe your plans and completed actions (if applicable) that you have taken with respect to the four elements of a response program and the public record. Such activities are necessary to be eligible for Section 128(a) funding.

A. The Four Elements of a Response Program

Describe below how your organization has been taking, or plans to take, reasonable steps to build the four elements of a response 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 by element for this work plan’s period of performance (i.e., the upcoming year). If you anticipate additional uses of the 128(a) funding (for example, for site-specific work), please describe those activities below at 3.C.

1. Timely survey and inventory of brownfields sites:

FYAA - Insert narrative response

FYBB – Insert narrative response, etc.

Upcoming year: Insert narrative response for what you plan to accomplish in the coming year. [These activities, including anticipated quantifiable deliverables/results to the extent possible, will be summarized in Section 4, Table 1].

2. Oversight and enforcement authorities or other mechanisms and resources:

FYAA - Insert narrative response

FYBB – Insert narrative response, etc.

Upcoming year: Insert narrative response for what you plan to accomplish in the coming year. [These activities, including anticipated quantifiable deliverables/results to the extent possible, will be summarized in Section 4, Table 1].

3. Mechanisms and resources to provide meaningful opportunities for public participation:

FYAA - Insert narrative response

FYBB – Insert narrative response, etc.

Upcoming year: Insert narrative response for what you plan to accomplish in the coming year. [These activities, including anticipated quantifiable deliverables/results to the extent possible, will be summarized in Section 4, Table 1].

4. Mechanisms for approval of a cleanup plan and verification and certification that cleanup is complete:

FYAA - Insert narrative response

FYBB – Insert narrative response, etc.

Upcoming year: Insert narrative response for what you plan to accomplish in the coming year. [These activities, including anticipated quantifiable deliverables/results to the extent possible, will be summarized in Section 4, Table 1].

B. Establish/Maintain Public Record

For existing and new grantees, please address the questions below on the status of your public record. New grantees will be required to establish a public record before any future (e.g., follow-on) cooperative agreements could be awarded.

Has a public record been established that satisfies the requirements of CERCLA section 128(b)(1)(C)? (Yes/No). If yes, please provide the following:

Date of last update: (Insert response)

Expected date of next update: (Insert response)

How is the record accessible to the public? (Insert response, including website if applicable)

C. Other Uses For 128(A) Funding:

Other uses for 128(a) funding can include site-specific assessment and cleanup work, capitalization of revolving loan funds, purchasing environmental insurance, etc., as described in the Funding Guidance for State and Tribal Response Programs Fiscal Year 20XX. Please describe any prior (by fiscal year) or anticipated uses of funding for such activities in the upcoming year.

FYAA - Insert narrative response

FYBB – Insert narrative response, etc.

Upcoming year: Insert narrative response for what you plan to accomplish in the coming year. Include anticipated quantifiable deliverables/results to the extent possible.

4. WORK PLAN ACTIVITIES

Describe below your list of planned activities for the work plan period of performance according to the four elements, the public record, and “other” STRP activities. It is helpful to use the information that you have provided in sections 3.A, 3.B, and 3.C above. If you are in the first year of your TRP, you might be focusing on only a few of the activities below. Please note that items below in black are required. Items in red are examples only and can be modified, added to, or deleted by the cooperative agreement (CAG) recipient. Your progress and expenditures on these tasks will be captured in your Quarterly Progress Reports.

Table 1. STRP Work Plan Tasks and Activities

TASKS	Anticipated Outputs/deliverables	Due Date	Date Submitted/Status/ Completed (to be used by EPA P.O. and/or Recipient post-award)
TASK 1: CAG Management (insert cost \$xxx)			
Prepare and submit quarterly progress report (QPR) #1	QPR #1	1/30/XX	
Prepare and submit QPR #2 and success story	QPR #2 with story	4/30/XX	
Prepare and submit QPR #3	QPR #3	7/31/XX	
Prepare and submit QPR #4 / Final Progress Report (FPR)	QPR #4/FPR	10/31/XX	
Attend XXX training/conference/workshop to build knowledge of BFs, STRP management, environmental assessment, and cleanup actions, etc. [List individually in this table]	-Trip report (agenda, written report of what was learned, people met, and how knowledge will be shared [Info can be part of a QPR]). -Certificate of attendance, when available [can be part of a QPR].	XX/XX/XX	
Develop and submit an administrative TRP manual (policies and procedures) related to travel, working hours, tracking and disbursing CAG/grant funds, contractor procurement, supplies/equipment management, etc.	Administrative STRP manual	XX/XX/XX	
Maintain a weekly/monthly work log of what you have been doing	Word document, email, etc. with record of activities [Info could be summarized in a QPR]	XX/XX/XX	
Continue...	Continue...	Continue...	
TASK 2: Establish and Enhance Four Elements, and Establish and Maintain Public Record (insert cost \$xxx)			
Element/Activity 1: Timely survey and inventory of brownfield sites			

TASKS	Anticipated Outputs/deliverables	Due Date	Date Submitted/Status/ Completed (to be used by EPA P.O. and/or Recipient post-award)
Create or update a website or tracking system (Excel, paper files, etc.) with estimated or known BF sites.	List of sites (Excel spreadsheet, website, scans of hard copies, etc.)	XX/XX/XX	
Organize community meeting to raise awareness of what BF sites are.	-Meeting agenda -Meeting notes -Fliers (if posted)	XX/XX/XX	
Get input from community members on locations of possible of BF sites; visit state environmental agency website for contaminated sites.	Meeting notes	XX/XX/XX	
Continue...	Continue...	Continue...	
Element/Activity 2: Oversight and enforcement authorities or other mechanisms and resources to ensure response actions are protective			
Research and learn about ASTM Phase I and Phase II site assessments, EPA targeted brownfields assessments, or other relevant environmental agency assessment and cleanup opportunities.	Written record (track in an email, Word file, etc.) of files reviewed and conversations held.	XX/XX/XX	
Develop and submit technical STRP policies and procedures that describe how the tribe will ensure that environmental assessments and cleanups are conducted in a lawful manner and protect human health and the environment.	Technical STRP policies and procedures	XX/XX/XX	
Develop environmental code/laws and procedures for adopting and updating them.	-environmental codes/laws -Procedures for adopting/updating	XX/XX/XX	
Continue...	Continue...	Continue...	
Element 3/Activity 3: Mechanisms and resources to provide meaningful opportunities for public participation			
Establish a procedure for conducting BF outreach activities through fliers, email, website, radio, public meetings, etc.	Written procedure	XX/XX/XX	

TASKS	Anticipated Outputs/deliverables	Due Date	Date Submitted/Status/ Completed (to be used by EPA P.O. and/or Recipient post-award)
Establish a procedure for how a concerned citizen can report a possible BF and/or request that site assessment be conducted to identify a possible BF.	Written procedure	XX/XX/XX	
Continue...	Continue...	Continue...	
Element 4/Activity 4: Mechanisms for approval of a cleanup plan and verification and certification that cleanup is complete			
Research cleanup plans to see how they are written.	Written record (track in an email, Word file, etc.) of files reviewed	XX/XX/XX	
Review relevant environmental agency cleanup websites and talk with personnel to understand cleanup process for contaminated sites.	Written record (track in an email, Word file, etc.) of files/websites reviewed and conversations held.	XX/XX/XX	
Develop a procedure to approve a cleanup plan.	Written procedure	XX/XX/XX	
Develop a procedure to certify that a cleanup is complete.	Written procedure	XX/XX/XX	
Continue...	Continue...	Continue...	
Public record: maintain and update at least annually to support public participation			
Develop a public record that lists name and location of sites where 1) responses actions were conducted in prior year (as applicable), 2) response actions will be conducted in the coming year, 3) completed response actions have occurred and the site is available for unrestricted use, and 4) response actions have occurred but the sites are not clean enough for unrestricted use and therefore require institutional controls (ICs). For the latter, describe the ICs and who is responsible for them.	Copy of public record (file, website, etc.)	No later than 9/30/XX	
Update public record at least annually.	Copy of updated public record (file, website, etc.)	No later than 9/30/XX	

TASKS	Anticipated Outputs/deliverables	Due Date	Date Submitted/Status/ Completed (to be used by EPA P.O. and/or Recipient post-award)
Research and learn what “unrestricted use” means.	Written record (track in an email, Word file, etc.) of files/websites reviewed and people you talked to.	XX/XX/XX	
Research and learn what institution controls (ICs) are.	Written record (track in an email, Word file, etc.) of files/websites reviewed and people you talked to.	XX/XX/XX	
Develop a procedure for instituting and maintaining ICs.	Written procedure	XX/XX/XX	
Continue...	Continue...	Continue...	
TASK 3: Site-Specific Work / Other (insert cost \$xxx)			
From BF site inventory, identify candidate sites for reuse.	List of candidate sites	XX/XX/XX	
Submit a site eligibility form for EPA approval for site XXX to be assessed/cleaned up.	Approved site eligibility form	XX/XX/XX	
Conduct, or hire a contractor to conduct, a Phase I assessment at site XXX.	Phase I report	XX/XX/XX	
Research and learn about Quality Assurance Project Plans (QAPPs) for environmental data collection.	Written record (track in email, Word file, etc.) of files reviewed	XX/XX/XX	
Prepare and submit for EPA approval a QAPP for sites where environmental data will be collected.	Approved QAPP	XX/XX/XX	
Perform Endangered Species Act (ESA) and National Historic Preservation Act (NHPA) due diligence at sites where sampling will occur.	Written documentation that ESA/NHPA requirements have been met	XX/XX/XX	
Research funding sources to support cleanup actions.	Written record (track in an email, Word file, etc.) of files/websites reviewed and conversations held	XX/XX/XX	
Conduct a Phase II site assessment.	Phase II report	XX/XX/XX	
Cleanup a BF site.	Documentation that site is clean	XX/XX/XX	
Capitalize a revolving loan fund (RLF).*	Documentation/procedures for managing an RLF	XX/XX/XX	
Obtain environmental insurance.	-Number and description of policies purchased	XX/XX/XX	

TASKS	Anticipated Outputs/deliverables	Due Date	Date Submitted/Status/ Completed <i>(to be used by EPA P.O. and/or Recipient post-award)</i>
	-Number of sites covered -\$ spent on premiums -\$ paid by insurers on claims to policy holders		
Continue	Continue...	Continue...	

*Note: If you use Section 128(a) money to capitalize an RLF, that funding will be awarded as a separate cooperative agreement.

5. RESULTS OF ACTIVITIES (OUTPUTS): *Outputs refer to measurable (i.e., quantitative) activities, efforts, deliverables, or work products that the applicant proposes to undertake during the project period. They are a program's direct products and services delivered, i.e. deliverables. Using Table 1 above, provide a schedule of key deliverables in order by date below in Table 2. Outputs in black are required. Outputs in red are examples only and can be modified, added to, or deleted by the cooperative agreement (CAG) recipient.*

Table 2. List of deliverables by date

Quarter	Outputs/Deliverables (can be modified to semi-annual reporting if approved by your project officer)	Due Date
First quarter	-Quarterly Progress Report #1 [and any Trip Reports] Public record (Note: it may be established in any quarter, but it must be updated at a minimum annually) -Site inventory established/updated within the CAG period <i>-Other deliverables [please list by name]</i>	<i>Enter date</i>
Second quarter	-Quarterly Progress Report #2 with success story [and any Trip Reports] -Site inventory established/updated within the CAG period <i>-Other deliverables [please list by name]</i>	<i>Enter date</i>
Third quarter	-Quarterly Progress Report #3 [and any Trip Reports] -Site inventory established/updated within the CAG period <i>-Other deliverables [please list by name]</i>	<i>Enter date</i>
Fourth quarter	-Quarterly Progress Report #4 / Final Progress Report [and any Trip Reports] -Federal Financial Report -Site inventory established/updated within the CAG period <i>-Other deliverables [please list by name]</i>	<i>Enter date</i>

6. PROJECTED ENVIRONMENTAL IMPROVEMENT (OUTCOMES): *Provide a summary of anticipated environmental improvements. Outcomes refer to the result, effect, or consequence that will occur from carrying out the activities or outputs of the project. Outcomes may be environmental, behavioral, health-related or programmatic (e.g., “increased community knowledge on what a brownfield is and how to prevent them”).*

Describe what outcomes/improvements you expect to achieve this year with your TRP and how they link to EPA’s mission of protecting human health and the environment and the brownfield’s goal of assessing and cleaning up brownfield sites.

7. QUALITY ASSURANCE:

Will environmental data be collected under this agreement? (Yes/No)

Do you have an approved Quality Management Plan? (Yes/No/Not applicable)

Do you have a current Quality Assurance Project Plan (QAPP) for any environmental data collection activities? (Yes/No/Not applicable)

Describe what activities you are proposing that will require a Quality Management Plan/QAPP. (e.g., are you planning on performing site-specific assessment activities?)

8. REMAINING FUNDING ON EXISTING GRANTS

In Table 3 below, please enter how much funding remains on existing cooperative agreements and explain planned uses.

Table 3. Remaining Funding in All Open TRP Cooperative Agreements

Agreement Number	Remaining Funds (\$)	Describe the status of prior year TRP funds and how these remaining funds will be used.
FYAA 128(a) Funds RPXXXXXXXX	<i>Enter amount</i>	<i>Provide description</i>
FYBB 128(a) Funds RPXXXXXXXX	<i>Enter amount</i>	<i>Provide description</i>

Total (\$):	\$XXXXX
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9. CURRENT FUNDING REQUESTED with narrative discussing the basis of the costs: \$XXX,XXX

In Table 4 below, estimate how you will allocate your funding requested. If you are unable to fill in all the categories at the time of your FR submission, you may fill in just the cells that say “\$ENTER.” In addition, include a narrative discussion of what the costs are for and how 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/oqd/recipient/oqd_budget_detail_guidance.pdf

Table 4. Sample Budget Summary

Category	TASK 1 CAG Planning and Management	TASK 2 Establish & Enhance the Four Elements, and Establish and Maintain Public Record	TASK 3 Site-Specific Work / Other Activities	TOTAL (\$) (add across)
Personnel	\$xxx	\$xxx	\$xxx	\$xxx
Fringe Benefits (Insert %)	\$xxx	\$xxx	\$xxx	\$xxx
Travel	\$xxx	\$xxx	\$xxx	\$xxx
Equipment	\$xxx	\$xxx	\$xxx	\$xxx
Supplies	\$xxx	\$xxx	\$xxx	\$xxx
Contractual	\$xxx	\$xxx	\$xxx	\$xxx
Construction	\$xxx	\$xxx	\$xxx	\$xxx
Other	\$xxx	\$xxx	\$xxx	\$xxx
Indirect Rate (Insert %)	\$xxx	\$xxx	\$xxx	\$xxx
TOTAL (\$) (add down):	\$ENTER	\$ENTER	\$ENTER	TOTAL: \$ENTER

Task 1 covers planning and general administrative costs that are not specific to one program element.

Task 2 covers work related to the four key elements and development/maintenance of the Public Record.

Task 3 generally covers assessment or cleanup work at a specific property, or other TRP work such as creating a revolving loan fund or obtaining environmental insurance.

Please note that registration fees do NOT belong under “Travel”; instead, include them with the “Other” category. The “Other” category includes registration fees for training and conferences, allocated costs, and costs which don’t fit in any other category.