
**PRELIMINARY ASSESSMENT GUIDANCE FISCAL
YEAR 1988**

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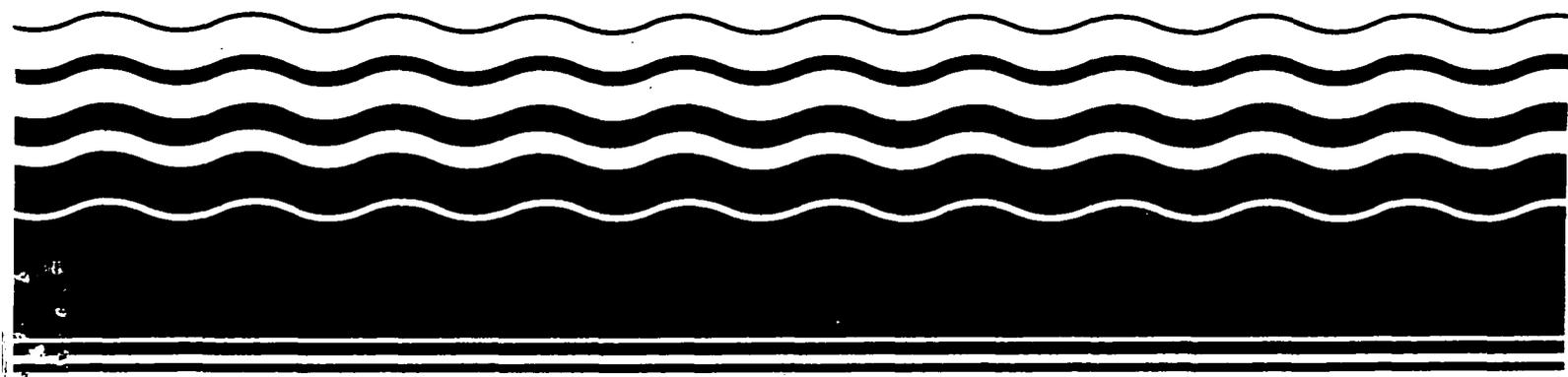
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**PRELIMINARY ASSESSMENT GUIDANCE
FOR FISCAL YEAR 1988**

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**U.S. Environmental Protection Agency
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NOTICE

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EXECUTIVE SUMMARY

The purpose of this guidance is to provide Regions, States, Field Investigation Teams (FITs), and other Federal agencies with direction for conducting new preliminary assessments (PAs) and reassessing existing PAs during FY 88. This guidance is intended to standardize PA scope, products, and decisions, and to foster improved PA quality. It will be in effect until the Hazard Ranking System (HRS) is revised and is consistent with the anticipated direction of the revised National Contingency Plan (NCP). This guidance also provides Regions with direction for handling PA petitions from the public in anticipation of the proposed revision of the NCP dealing with such petitions and briefly touches on preliminary procedures for the Environmental Priorities Initiative (EPI).

The guidance is organized to provide direction on three distinct but related preliminary assessment topics: conducting new PAs; reassessing existing PAs; and, handling public petitions for PAs. The guidance summarizes pertinent statutory and regulatory provisions, including the requirements of the Superfund Amendments and Reauthorization Act of 1986 (SARA).

The sections of the guidance on new PAs also explain and illustrate the increased number of hours for conducting PAs; the steps that must be undertaken to complete PAs; the kind and quality of information required; the content and preparation of the PA report; and the method for entry of PA data in the expanded Comprehensive Environmental Response, Compensation, and Liability Information System (CERCLIS) PA tracking system.

The PA reassessment section of the guidance describes the procedures to be used in reviewing existing PAs for which SIs are not yet underway. PA reassessments will give the Regional staff an opportunity to change the priority of a site for site inspection, if appropriate.

The final guidance section provides direction for handling PA petitions. Specific procedures for PA petitions are incorporated in Appendix D which describes the information that PA petitions must include to enable Regional staff to determine whether a PA should be performed. The appendix also includes the criteria to be used to make the determination and explains how the criteria should be interpreted. It concludes with a sample PA petition format; model letters for acknowledging and responding to PA petitions; a model cover letter to send with the completed PA report to successful petitioners; and information on CERCLIS tracking of PA petitions.

Other appendices provide a list of potential sources for information for PAs; a data checklist to facilitate information collection; a copy of EPA form 2070-12 which may be used for PA

891
193

OSWER DIRECTIVE 9345.0-01

reports; procedures for handling PA petitions from the publ
and criteria for removal response.

OSWER DIRECTIVE 9345.0-01

TABLE OF CONTENTS

	<u>Page</u>
EXECUTIVE SUMMARY	iii
1.0. INTRODUCTION	1
1.1 Statutory and Regulatory Requirements	2
1.2 Definition of a PA	3
1.3 PA Goals	4
2.0 GUIDANCE FOR CONDUCTING NEW PAs	6
2.1 Candidate Sites	6
2.2 PA Scope and Hours	6
2.3 Elements of a PA	7
2.3.1 Review of Existing Information	8
2.3.1.1 Review of Technical Information Sources	8
2.3.1.2 Information on Site History/ Regulatory Status	11
2.3.2 Site Reconnaissance	12
2.3.2.1 Off-Site Reconnaissance	12
2.3.2.2 On-Site Record Search and Interviews	13
2.3.2.3 On-Site Reconnaissance	13
2.3.3 Development of Preliminary and Projected HRS Scores	13
2.3.4 Application of Qualitative Criteria	15
2.3.5 Priorities for Site Inspections	16
2.3.6 Report Content and Preparation	18
2.3.7 Documentation	19
2.3.8 CERCLIS Tracking	20

OSWER DIRECTIVE 9345.0-01

TABLE OF CONTENTS (continued)

3.0 GUIDANCE FOR REASSESSING EXISTING PAs
4.0 GUIDANCE FOR HANDLING PUBLIC PA PETITIONS
 4.1 Introduction and Background
 4.2 Statutory Requirements
5.0 CONTACTS FOR FURTHER INFORMATION

APPENDIX A: INFORMATION SOURCES
APPENDIX B: DATA CHECKLIST
APPENDIX C: EPA FORM 2070-12
APPENDIX D: CRITERIA AND PROCEDURES FOR HANDLING PA
 PETITIONS
APPENDIX E: CRITERIA FOR REMOVAL RESPONSE

OSWER DIRECTIVE 9345.0-01

1.0 INTRODUCTION

EPA has developed a deliberate and structured process to determine what, if any, cleanup actions should be taken at uncontrolled hazardous waste sites. The entire site evaluation process consists of two major phases. The first phase leads to the proposing of sites for the National Priorities List (NPL). This pre-remedial phase involves four major activities -- discovery, PA, site inspection (SI), and HRS evaluation. The second or remedial planning phase involves evaluating a site in sufficient detail to identify the magnitude and extent of contamination, the populations affected, and the most cost-effective alternative for correcting problems at the site. This second phase consists of two activities -- a remedial investigation (RI) and a feasibility study (FS). These two phases result in a record of decision (ROD), followed by remedial design (RD) and remedial action (RA).

The goals of the pre-remedial phase apply to both the PA and the SI and involve:

- 1) gaining an understanding of the nature and degree of the threat posed by a site;
- 2) determining the likelihood of an HRS score of 28.5, or higher, and collecting data to correctly score the site using the HRS;* and
- 3) identifying sites that may require immediate response (i.e., removal action).

EPA Regions can act as the lead agency for Comprehensive Environmental Response, Compensation, and Liability Act of 1980, as amended, (CERCLA) PAs or can authorize States to perform PAs through cooperative agreements. When a State is the lead agency for a PA, the State will make a recommendation upon which the

* In making this determination, individual Regions may use a threshold score lower than the HRS cut-off to ensure that marginal sites are not eliminated from CERCLA remedial consideration prematurely. Removal action is never dependent upon a site scoring at or above the HRS cut-off.

OSWER DIRECTIVE 9345.0-01

Region will base its decision about whether future remedial response under CERCLA is required. PAs at Federal facilities will be conducted by the appropriate Federal agency.

The revisions to the HRS have not been proposed as of January 1988. Thus, this guidance is interim and will be revised and finalized once the HRS revisions are effective. Some of the specific guidance on the technical information to be collected during the PA, particularly those items in Attachment B (the PA Checklist), are subject to change. These checklist items are based on the current HRS and draft revised HRS factors, and some of the items will likely change in response to comments on the proposed revisions to the HRS.

1.1 Statutory and Regulatory Requirements

The Superfund Amendments and Reauthorization Act of 1986 (SARA), enacted on October 17, 1986, established several requirements concerning the pre-remedial process. For PAs in particular:

- o New CERCLA section 116(a) requires that, to the maximum extent practicable, PAs are to be conducted by no later than January 1, 1988 on sites contained in CERCLIS as of the date of SARA enactment. Included within each of these PAs should be a statement as to whether an SI is necessary and by whom it should be carried out.
- o For all facilities contained in CERCLIS as of the date of SARA enactment, new CERCLA section 116 requires an HRS evaluation (if warranted).
- o For all facilities entered into CERCLIS after SARA enactment, new CERCLA section 116(b) requires HRS evaluation (if warranted) within four years of the facility's CERCLIS entry. (This means the PA should be completed promptly so that HRS evaluation can be completed within four years.)
- o New CERCLA section 105(d) requires that a PA be completed within 12 months of the receipt of a complete PA petition concerning a release, unless EPA determines that the PA is not appropriate. This provision also requires prompt HRS evaluation, where warranted.
- o New CERCLA section 120 discusses Federal facilities and indicates that for any sites

OSWER DIRECTIVE 9345.0-01

included in the new Federal facilities docket, EPA must ensure that PAs are completed by April 17, 1988. HRS packages are to be completed, where warranted, such that listing on the NPL will occur by April 17, 1989. (Under Executive Order No. 12580, January 23, 1987, the governing Federal agency is responsible for performing PAs at Federal facilities. EPA and the States are not authorized to perform them.)

These provisions have implications for pre-remedial activities beyond the bare requirements they contain. First, the Regions, States, and Federal agencies should make it a goal to complete all PAs within one year of each site's entry into CERCLIS. Maintaining this pace of PA completions will better ensure that the four-year deadlines for performing HRS evaluations will be met. Second, SARA acknowledges that some sites in CERCLIS may not warrant HRS evaluation. This statutory acknowledgement, coupled with resource constraints, underscores the need to ensure that limited resources are expended on the sites that warrant SIs. Therefore, it is important that a high quality effort is undertaken to ensure that those sites that do not require further evaluation are identified and screened out. As a result, those sites that do require such an evaluation can receive it promptly and in compliance with statutory deadlines.

1.2 Definition of a PA

A PA is an initial analysis of existing information to determine if a release of hazardous substances may be serious enough to require additional investigation or action. The PA is the first phase in the process of determining whether a site is releasing, or has the potential to release, hazardous substances, pollutants, or contaminants into the environment and whether it requires response action that is authorized by CERCLA. During a PA the investigator compiles and evaluates available information about a site and its surrounding environment, including information on potential waste sources, migration pathways, and receptors. The PA culminates in a brief report with formal recommendations. While the PA does attempt to establish whether the site has the potential to adversely affect the environment, it is not intended to determine the exact magnitude of the release, or whether the size of the release is significant. These determinations are made, in a simplified fashion, when the site is scored under the HRS after completion of an SI and, more comprehensively, during the subsequent remedial investigation.

OSWER DIRECTIVE 9345.0-01

1.3 PA Goals

The PA has the following four specific goals:

- o Eliminate sites where CERCLA remedial action is not required. The first goal of the PA is to screen out those sites in the CERCLA waste site inventory (the Comprehensive Environmental Response, Compensation, and Liability Information System or "CERCLIS") that are ineligible for CERCLA remedial response, pose no threat to public health or the environment, or where no further action under the remedial program is warranted. The amount of information that is available on a site when it is entered in CERCLIS varies considerably. The following are examples of the kinds of situations where experience indicates no further CERCLA remedial action would be required:
 - the site has no potential to score 28.5 or higher on the current HRS; or
 - the site does not exist.

At other sites no CERCLA response action will be taken for legal, regulatory, or statutory reasons, as follows:

- no CERCLA-designated hazardous substance or pollutant or contaminant is involved;
- the release involves naturally occurring substances in their unaltered form from a location where the substances are naturally found;
- the release is from products which are part of the structure of, and result in exposure within, residential buildings or business community structures;
- the release is into public or private drinking water systems due to deterioration of the system through ordinary use;
- the release is the result of the normal application of fertilizer;
- the release results in exposure to persons solely within a workplace;

OSWER DIRECTIVE 9345.0-01

- the release involves source, byproduct, or special nuclear material from a nuclear incident if such release is subject to the financial protection requirements established by the Nuclear Regulatory Commission under section 170 of the Atomic Energy Act of 1954, or source byproduct or special nuclear material from any processing site designated under section 102(a)(1) or 302(a) of the Uranium Mill Tailings Radiation Control Act of 1978; or
- the release involved is from natural or synthetic petroleum or natural gas products.

If a determination can be made that CERCLA remedial action is not required based on such legal, statutory, regulatory, or policy reasons, there is no reason to fulfill remaining PA goals. The PA report should be prepared at this point and should explain why such a determination was made. For this reason, opportunities to eliminate sites from further consideration should always be evaluated early in a PA.

- o Identify sites that require emergency response. CERCLA removal authority allows EPA to take immediate action at a site regardless of whether the site is on the NPL. The PA can determine if the site, or a portion of it, may qualify for removal action, thereby warranting referral to the removal program. This allows clean-up activities to proceed in advance of a determination about whether the site qualifies for the NPL. The PA should rigorously evaluate the site to determine if it may merit removal action. (Appendix E lists the criteria that EPA uses in determining the appropriateness of removal response.)
- o Compile information necessary to develop preliminary and projected HRS scores. If the site may pose a threat that warrants remedial action, the PA should collect data to develop preliminary and proposed HRS scores. The development of these scores is the Site Screening Analysis (SSA) which will form the basis for making a management decision on the priority of a site for site inspection. The derivation of SSA scores is discussed in Section 2.3.3 (p.13).

OSWER DIRECTIVE 9345.0-01

- o Set priorities for SIs. The fourth goal of the PA is to set the priority of the site for an SI. Traditionally, more sites are referred for further action than the available resources can immediately accommodate. Thus, EPA must establish priorities for further investigation. Section 2.3.5 (p. 16) discusses this priority-setting approach.

2.0 GUIDANCE FOR CONDUCTING NEW PAs

2.1 Candidate Sites

This guidance applies to all PAs that will be conducted at sites included in CERCLIS, regardless of the date of entry into CERCLIS, who performs the PA (EPA, States, or Federal agencies) or the method of entry into CERCLIS (conventional discovery or notification or PA petition). This guidance also applies to RCRA sites that may be entered in CERCLIS for CERCLA attention under the Environmental Priorities Initiative (EPI).

In the interest of public health and the environment, EPA has decided that CERCLA resources will be used to evaluate RCRA storage and treatment facilities, and closed or closing RCRA facilities (including closed or closing land disposal facilities). Active incinerators and active land disposal facilities will not be evaluated. During FY 88, the RCRA program will prioritize eligible RCRA sites for entry into CERCLIS. PAs will be conducted for these sites in the same manner as non-RCRA sites. RCRA sites will be evaluated and prioritized for SIs based on the environmental conditions of site. If a site is determined to warrant no remedial action under CERCLA, EPA will terminate CERCLA remedial response and the site will be referred to RCRA for attention. (Guidance governing EPI sites is being developed and will be issued in second quarter of FY 88.)

2.2 PA Scope and Hours

The scope of the PA must be sufficient to determine whether further action is warranted, to collect the requisite data to develop preliminary and projected HRS scores, document the data adequately, substantiate the recommendation made in the PA report, and prioritize the site for future action. Some sites may require the collection of data for such additional purposes as addressing site-specific public concerns. Data collection for additional purposes, however, should be carefully evaluated to ensure that it does not compromise the collection of the data necessary to meet the PA's primary goals. It may be possible to defer gathering such additional data until the SI for which the funds and other resources are available.

OSWER DIRECTIVE 9345.0-01

To enable lead agencies to make accurate and consistent decisions supported by well-documented data, the time necessary to conduct the PA described in this guidance will increase by approximately 50 percent in FY 88, increasing the hours for an average PA from 50 to 75. The increase in hours will accommodate additional collection of data, off-site reconnaissance, development of preliminary and projected HRS scores, and report preparation and documentation. Seventy-five hours is an average. EPA expects the number of hours required to conduct a PA that will meet the goals and objectives described in Section 1.3 (p.4) to vary in both directions. PAs at some sites could take up to 100 hours to complete if the effort is likely to be particularly productive and to significantly strengthen the Agency determination regarding the site. In other cases, fewer hours may suffice. The latter may occur where a determination can be made that CERCLA remediation is clearly not warranted. In this case, further effort to collect HRS-type data is unnecessary and the only time required will be that necessary to write up the PA report. PAs rarely should exceed 100 hours.

2.3 Elements of a PA

The PA is a multi-step process consisting of:

- (1) Review of existing information;
- (2) Site reconnaissance;
- (3) Development of preliminary and projected HRS scores;
- (4) Application of qualitative criteria;
- (5) Prioritization for site inspection;
- (6) Report preparation;
- (7) Documentation; and
- (8) CERCLIS tracking.

OSWER DIRECTIVE 9345.0-01

2.3.1 Review of Existing Information

The first step in a PA is an examination of existing information about the site. The site information that should be examined falls into two categories:

- o Technical data to evaluate whether the site is a threat; and
- o Information on the regulatory history and status of the site to determine whether the site is subject to other Federal or State authority.

A thorough examination of these data need not occur if at any point in the review process a definitive, documentable determination can be made that no further CERCLA remedial action is necessary at the particular site. Even in such cases, however, preparation of a PA report documenting this finding is necessary.

2.3.1.1 Review of Technical Information Sources

The first information that should be examined during a PA is data that may be useful in evaluating the threat posed by the site. (Appendix A identifies potential information sources. The lead agency should consult only those sources likely to produce data required for the particular site, as outlined below.)

The data that should be reviewed routinely for each site fall into four categories:

- o Site description and management practices
 - Detailed site map showing location, size, water supplies, sensitive environments, surrounding population;
 - Site status, i.e., whether the facility is in an ongoing operation or the site has been abandoned;
 - Nature and type of industrial processes that were carried out on the site or at other facilities that shipped waste to the site;
 - Facility location and description including size, layout of existing disposal units, other existing structures, and well locations;
 - Operations history, including description of activities and site ownership;
 - Land use, including use of and access to the site and adjacent property;

OSWER DIRECTIVE 9345.0-01

- Aerial photographs documenting operations over time; and
 - General location map illustrating geology, land use, and critical habitats and receptors within a 5-mile radius of the site.
- o Waste characteristics
 - Quantity; and
 - Toxicity.
 - o Dispersal pathways
 - Geology, hydrogeology, surface water resources, air quality, and meteorology.
 - o Receptor populations and environments
 - Characteristics of the environmental setting; and
 - Demography, including location and number of actual and potential receptors.

Data in these categories are essential to develop an understanding of the threat posed by site. Appendix B presents a data checklist for gathering information in the categories outlined above. The data checklist is organized so that the lead agency can use the checklist data directly to develop preliminary and projected HRS scores (as described in Section 2.3.3 (p.13)). The factors that have the most impact on HRS scoring are capitalized and highlighted in bold type in the checklist. The PA timeframes outlined in Section 2.2 (p.7) should be used as a guide for determining the extent of information review possible at an individual site.

In some cases, it will not be necessary to pursue answers to certain of these questions. First, certain categories of questions may not apply to a site. For example, at some sites where no surface water exists within a wide radius of the site, questions about potential surface water impacts may not need to be considered. In this circumstance, the PA report should indicate that surface water is not a viable route of exposure at the site and why.

Second, the investigator may find that the time necessary to respond to certain questions requires expanding the PA to significantly more than 75 hours. As a rule of thumb, an additional 25 hours to develop information may be excessive; five additional hours may be a reasonable increase if the information may make a significant difference in the assessment of the site.

OSWER DIRECTIVE 9345.0-01

Finally, for some sites, it may be difficult to respond to certain checklist questions with existing data and on-site reconnaissance of the contaminated area would be needed to correctly answer the questions. In these cases, unless going on-site would make a significant difference in the final disposition of the site, the investigator should not try to collect the data first hand, but rely, at this point, on best judgment. On-site data should be collected only in the exceptional circumstances described in Section 2.3.2.3 (p.13).

The data collected must be sufficient in quality and detail to develop useful and meaningful preliminary and projected HRS scores and to substantiate the resulting recommendations. Previous PAs have sometimes overlooked available data or failed to provide an adequate level of detail in some information categories. A recent survey of existing PAs that have not had SIs indicates that the quality and quantity of data in several categories were inadequate, in particular:

- o Site and operations history;
- o Descriptions of hazardous conditions and incidents;
- o Estimates of quantities of contaminants; and
- o Demography.

To ensure that the data gathered for new PAs support the preliminary and projected HRS scores and facilitate subsequent activities, certain general data quality requirements apply. The PA is limited to available information and whatever new data can be developed through off-site reconnaissance. Formal site-specific data collection plans and data quality objectives that are applicable in subsequent CERCLA activities are, therefore, not appropriate for PAs. However, the investigator should always evaluate how "good" the data are as they are being collected to ensure their proper use. This is particularly true with analytical data. The data checklist identifies the types of questions that the investigator should ask about analytical data to determine how good the data are.

If answers to any of these questions indicate that certain data are suspect, the lead agency should determine how best to use those particular quantitative data in the PA. It may be useful to consult persons with appropriate expertise in evaluating data, such as analytical chemists, for matters concerning analytical techniques.

OSWER DIRECTIVE 9345.0-01

The usefulness and dependability of qualitative data, such as maps, and geological and hydrogeological reports, must also be evaluated. For these data, age and applicability to site conditions are the major considerations. An investigator should always be aware of how recent the data are. For example, a U.S. Geological Survey (USGS) map may be useful in understanding the drainage pattern of a site, but because many of the maps are old, the map may not provide recent enough population data.

2.3.1.2 Information on Site History/Regulatory Status

During the review of technical information, the lead agency should also examine information on the regulatory and enforcement status of the site, including other Federal and State regulatory and enforcement efforts. This examination may determine whether the release or threatened release can be addressed by a Federal program other than CERCLA.

The purpose of this effort is to begin to identify those sites where releases may come under the jurisdiction of other authorities. It is not necessary for the investigator to go out of the way to collect this information but, while reviewing available files for technical data, it is likely that regulatory data will be available. This information will be valuable upon completion of the SI to assess whether it is appropriate to pursue cleanup via these other authorities. There are two kinds of sites where the regulatory status will actually preclude further CERCLA remedial action: sites regulated under the Uranium Mill Tailings Radiation Control Act (UMTRCA) and the Atomic Energy Act (AEA). EPA is legally precluded from pursuing further action at these sites. Thus, it is necessary to determine whether sites come within the authority of these two acts.

Under the Environmental Priorities Initiative, other sites that meet or may meet NPL scoring requirements will receive further evaluation through an SI even if they will eventually be cleaned up under other authorities. At the time the SI is completed, a determination will be made as to whether it is useful and appropriate to pursue action under these other authorities. When a site comes within the jurisdiction of one of the other Federal regulatory programs listed above, the PA can provide information on the regulatory and/or enforcement status of the site. To review compliance with the requirements, the lead agency may also consult the Regional or State office staff in charge of the given program. The regulatory information review must be documented in the PA report.

2.3.2 Site Reconnaissance

Experience suggests that site reconnaissance improves the quality of PAs. Review of existing data should identify

OSWER DIRECTIVE 9345.0-01

specific kinds of information that will be collected during a site reconnaissance. Site reconnaissance also affords an opportunity to verify some kinds of data collected during the information review.

The results of site reconnaissance, including photographic documentation of the site such as a photo location map, should be part of the PA report.

2.3.2.1 Off-site Reconnaissance

Off-site reconnaissance, i.e., reconnaissance outside the boundaries of the release location, is now a routine component of PAs. It affords the lead agency the opportunity to confirm "desk top" data, to interview local authorities, such as health department officials, to update site-condition information, and to review local records. It also assists in determining the immediacy of the need for response.

During off-site reconnaissance, the lead agency should also consider collecting information that will facilitate an SI or removal program action, such as:

- o Health and safety factors for the preparation of health and safety plans for the FIT and for the protection of the general public, if necessary;
- o Legal and logistical information about site access;
- o Information about facility operation or history from citizens living near the site;
- o Possible sampling locations; and
- o Equipment, manpower, and mobilization requirements.

2.3.2.2 On-Site Record Search and Interviews

Visits inside facility property boundaries to search files or interview site managers are to be distinguished from reconnaissance of the actual area of contamination. On-site visits to search files or interview site managers can be made whenever appropriate to collect information, provided prior access is acquired and any costs in delay and resources are

OSWER DIRECTIVE 9345.0-01

carefully balanced against the expected benefits. In general, OSHA requirements are not applicable to file searches or interviews and, therefore, health and safety plans need not be prepared. In addition to gathering information directly relevant to the PA during file searches and interviews, lead agencies should make use of this opportunity, insofar as possible, to elicit information about potentially responsible parties (PRPs) for possible future enforcement action.

2.3.2.3 On-site Reconnaissance

Reconnaissance on-site to the actual area of contamination should be evaluated very carefully and confined to exceptional circumstances. On-site reconnaissance of the contaminated area requires preparation of health and safety plans, which increase cost and time requirements considerably and may delay completion of the PA. As with on-site record searches and interviews, prior site access must be acquired and lead agencies should carefully balance the costs in terms of delay and use of resources against the information that may be collected. Reconnaissance of the contaminated area during a PA, therefore, should be considered only when it is potentially a determinative factor in deciding whether the site requires further CERCLA remedial action.

At sites where no one is present at the location and little or nothing is known about the nature or extent of contamination (abandoned or uncontrolled sites), on-site reconnaissance during the PA should not be considered.

2.3.3 Development of Preliminary and Projected HRS Scores

When the data have been collected from existing information and site reconnaissance, the lead agency must perform an analysis of the data, referred to as a Site Screening Analysis (SSA). The SSA develops both preliminary and projected HRS

OSWER DIRECTIVE 9345.0-01

scores.* After deriving the scores, the evaluator will use to estimate what the site's score will be at the end of an SI and that estimated score is used to establish the priority of the site for further CERCLA pre-remedial action. (The priority setting process is described in Section 2.3.5 (p.16).)

The preliminary HRS score is developed from whatever hard data are collected and entered on the data checklist. Sources of any data used to develop the preliminary HRS must be formally documented and be of the quality that would satisfy HRS QA. (Documentation requirements are discussed in Section 2.3.7 (p.19).) Because little hard data may be available, some categories will have to be scored zero in the development of preliminary HRS. Lack of hard information may, therefore, result in deflation of the preliminary HRS score.

The projected HRS score is a reasonable approximation of what the score of the site could be. In developing the projected score, the evaluator estimates values in the same categories used in development of the preliminary HRS score. The evaluator is not limited, however, to the hard data used in the preliminary HRS score. To fill in categories for which there is little or no existing hard data, the evaluator estimates a value based on a reasonable judgment of the data available and a reasonable approximation of data that may be identified on further investigation. The reasonable estimate thus can reflect the evaluator's experience with similar releases or sites and also the probability that missing data reasonably be collected during an SI. The projected score will therefore, avoid the score deflation that occurs when zero is used for unavailable or undocumented data and decrease the possibility of score inflation that results when maximum values are entered to fill in gaps.

The preliminary and projected scores will then be used to assign a priority to the site for an SI or to eliminate the site from CERCLA remedial activity. Performing this type of analysis also serves other functions. Developing SSA HRS scores will

* A computer program and user's guidance document for the SSA are being developed to facilitate the development of the HRS scores. (Many Regions currently use valid HRS pre-score analysis techniques, but uniform use of a single analytic technique will facilitate nationally consistent ranking of sites and allocation of resources). Several Regions will test the SSA computer program during FY 88 to evaluate its usefulness and applicability.

OSWER DIRECTIVE 9345.0-01

identify gaps in the data required to qualify the site for the NPL and can form the basis for developing a recommendation for the study plan for site inspection.

2.3.4. Application of Qualitative Criteria

The SSA score development process described above is based on the existing HRS. Because the HRS is under revision, it is appropriate that the SSA scores be accompanied by a qualitative assessment of the new and expanded areas of ranking considerations that are expected to be included in the revised HRS.

In addition to requirements for gathering different types of data and modification of the sampling/background data collection strategy, four areas where greater emphasis is anticipated in the revised HRS are:

- o Actual or potential environmental impacts;
- o Potential contamination of the food chain;
- o Risk from direct on-site exposure; and
- o The potential for air releases.

Once the SSA scores have been developed, the existing information should be reviewed to see if there is an indication that the revised HRS concerns noted here may be significant at a particular site. If so, it may be reasonable to assume that the SSA scores under a revised HRS approach would be higher, and this should be taken into account when assigning the priority of the site as described below. Revised HRS supplements in the checklist included as Appendix B are designed to elicit information useful for this qualitative assessment. (Interim advisories on potential changes in the HRS are available in SI/HRS bulletins.)

The SSA scores and qualitative criteria generally will be the basis for site inspection categorization. Reasonable judgment may indicate, however, that other site-specific factors should be used to supplement those decision tools. For example, a technical consideration, such as a finding that all wells within 3 miles of an area of contaminated ground water are upgradient from the site may tend to lower a site's priority. On the other hand, a site may warrant a somewhat higher

OSWER DIRECTIVE 9345.0-01

priority, if it is the subject of extensive public concern.*

2.3.5 Priorities for Site Inspections

Resources for conducting remedial SIs are limited, and the should be focused on those sites that pose the most serious threats and that are most likely to satisfy the requirements for listing on the NPL. Therefore, following the derivation of SSA scores and application of qualitative criteria, PA sites must be assigned priorities to determine an appropriate order for future SI activity, if any.

After PAs, all sites must be placed in one of three categories:

- o High priority - This category will generally comprise sites that are likely to score above the cut-off upon application of the current HRS at the end of an SI. Sites with both preliminary and projected HRS scores over the cut-off will be high priority sites. Sites with a projected score above the cut-off and a preliminary score near the cut-off may also be categorized as high priority.
- o Medium priority - This category will generally comprise those sites with a potential to score above the cut-off upon application of the current HRS at the end of an SI. Sites with a projected score above the cut-off and a preliminary score below will most probably be assigned medium priority.

* In this latter case, if this factor is not deemed sufficiently significant to raise a site's priority, it may, at least, affect the timing of an SI at the site. The Region may wish to conduct an SI as quickly as possible to resolve concern of a community affected by a release.

OSWER DIRECTIVE 9345.0-01

- o No further remedial action planned (NFRAP)* - This category represents all other sites and will generally include (1) sites that never received CERCLA hazardous substances; (2) sites where the CERCLA hazardous substances are clearly not releasing, and have no potential to release, into the environment and no removal action is required; (3) sites where EPA is not legally authorized to respond to the release; and (4) sites with no reasonable potential to score 28.5 or higher upon application of the current HRS at the end of an SI. NFRAP sites will have both preliminary and projected scores below the cut-off.

A site with no potential to score 28.5 or higher should be designated a NFRAP site and brought to the attention of the appropriate State. If further analysis by a State indicates that Federal Superfund response may be appropriate, the site can be referred back to the Superfund program for recategorization.

Similarly, RCRA sites that do not appear likely to score 28.5 or higher will be referred back to the RCRA program for attention.

Regional enforcement staff should be notified of sites placed in the high priority category for initiation of PRP search activities.

At sites where PRP investigation or actual site cleanup is planned or underway as a result of State enforcement action, the Region may choose to assign a lower priority to the site for an SI. The status of PRP activities at such sites should be included in the PA report. This will be useful when final Agency policy concerning these sites is developed. At that time, the sites may be eliminated from further CERCLA consideration if the PRP action has been found appropriate.

Sites that potentially may require emergency removal action should be handled separately from this prioritization process in order to ensure timely and appropriate response.

* The NFRAP determination under the CERCLA pre-remedial program does not indicate that action under another authority, such as removal program action or enforcement action under RCRA or CERCLA authorities, may not be appropriate at a site.

OSWER DIRECTIVE 9345.0-01

2.3.6 Report Content and Preparation

At the end of the PA, the investigator must prepare a PA report describing the site conditions and making a recommendation regarding any further action. This recommendation must be justified based on the information sources reviewed, site reconnaissance, SSA scores, qualitative criteria, and other site-specific factors used during the PA. This will ensure reasonable consistency across PAs and that the PA and report support the recommended priority for site inspection.

The PA report consists of a summary report and appropriate attachments. The specific content of the summary will vary based upon the amount of existing environmental and regulatory information, the nature of the site, and the final recommendation. Attachments to the report should routinely include maps, in particular, a field map of the facility and a topographical map of the area of the facility.

The PA summary report should discuss: (1) site history; (2) waste descriptions; (3) pathway characteristics; and (4) targets. Responses to the questions identified in the data checklist (Appendix B) may be included in the PA summary report or attached in the form of an annotated data checklist. After a reasonable attempt is made, it may still be impossible to collect all of the checklist information. The PA report should note information that does not exist. (These data gaps at the PA stage will form the basis of subsequent SI field work, if a SI is deemed necessary.) In other cases, the investigator may conclude that it is unnecessary to collect data in a certain area. For example, if the air pathway is clearly not a viable route for contaminant migration, then it is unnecessary to collect data on air pathway factors. A decision that certain data is unnecessary along with an appropriate justification should be included in the PA report.

If information about PRPs is discovered during the PA, it should be made available to the Regional enforcement personnel responsible for PRP searches.* PRP information need not be included in the PA report, however, it should be retained in PA file.

*Please refer to the PRP Search Manual (OSWER Directive 9834.6, August 1987) for additional information on PRP search during the pre-remedial process.

OSWER DIRECTIVE 9345.0-01

The following format is suggested for PA reports prepared initially or revised pursuant to this guidance:

- o Name of site and site description.
- o Recommendation regarding further action.
- o Justification for recommendation.
- o Summary of information from each part of the PA data checklist (or an annotated checklist as an attachment).
- o Summary of site reconnaissance.
- o Maps, photographs, and other appropriate attachments.

EPA Form 2070-12 may be used at each Region's discretion (see Appendix C). Detailed guidance on the format and contents of PA reports will be developed shortly. This guidance will address the issue of what PA information is considered "HRS deliberative" and, therefore, not subject to public release.

2.3.7 Documentation

Most of the information compiled during the PA stage will come from existing Federal, State, and local records, including permit application data and compliance reports, as well as non-site specific information available through sources identified in Appendix A. The value of well-documented data and information for both site decision purposes and HRS package preparation cannot be over-emphasized. Historically, not all of the information developed during the PA was referenced or documented. When a site was subsequently scored under the HRS, it was often necessary, therefore, to redevelop data and re-identify sources, which sometimes added greatly to the cost of the overall pre-remedial site characterization effort. Moreover, inadequate references and documentation made it difficult at the time of the SI to determine what information was needed.

Appropriate documentation for a PA consists of:

- o Thoroughly referencing sources in the report;
- o Providing limited, relevant attachments; and

OSWER DIRECTIVE 9345.0-01

o Maintaining complete project files.

A "source" should be referenced for each item of information contained in the PA report. Only those sources that are particularly significant should be routinely attached to the report. A copy of all source data, however, should be retained in the project file. The source could be copies of relevant pages from a report, or a memorandum, trip report, or record of communication. All records of communication should be signed and dated, the parties identified with titles and affiliations, and a telephone number noted.

It may be useful to create a reference file for written materials and prepare telephone logs for telephone conversation referenced. Logs could contain the site name; date; time; caller's name; name, title, and telephone number of the person called; and all other pertinent data. Wherever possible, the person conducting the telephone interview should try to obtain written confirmation of telephone conversations, either by requesting a follow-up letter from the person interviewed, or by preparing a letter summarizing the conversation and sending it to the person interviewed for signature and return.

2.3.8 CERCLIS Tracking

A Region enters a site in CERCLIS as soon as possible after it is notified of a potential hazardous waste release at the site. CERCLIS generic data elements called events are then used to track the progress of various actions in the PA/SI process. PA is the generic code for PAs and related data. The PA is defined, for CERCLIS purposes, as the process for collecting and documenting diverse existing information about the source and nature of the site hazard. When the Region has reviewed and accepted the PA report, the Region will enter the acceptance date as the completion date for the PA. The Region will also enter an event qualifier to indicate the results of the PA. In FY 88, event qualifiers for PAs are:

- H = high priority
- M = medium priority
- L = low priority
- N = No further remedial action planne

As was described in Section 2.3.5, sites ranked using this guidance will be assigned high or medium priority or classified as requiring no further action under the CERCLA remedial program. When the PA is completed and the site has been assigned a priority in accordance with this new ranking system the letter that corresponds to the priority assigned to the site should be entered. Regions should disregard the qualifier "lo

03-27

OSWER DIRECTIVE 9345.0-01

priority" which will be deleted from the CERCLIS code in the near future to reflect the priority system described in this guidance.

3.0 GUIDANCE FOR REASSESSING EXISTING PAs

In light of the new standards of quality for PAs and the new criteria for disposition of sites at the end of PAs established by this guidance, and the fact that a number of PAs were completed many years ago, it is prudent to reassess all PAs for sites where no SI has been done. This one-time reassessment of such PAs is designed to identify sites where: (1) the disposition may change as a result of applying the new criteria; or (2) the existing PA report is inadequate or sufficiently out of date as to warrant redoing the PA. Reassessing these previously completed PAs will bring such sites within the range of current standards and ensure that all sites are categorized using the same criteria, regardless of when the original PA was done.

All PAs for sites where no SI has been done are candidates for reassessment. Exactly which, among these PAs with no SIs, are reassessed is at the discretion of the Region. Some Regions may choose to review all these sites. Other Regions may choose to reassess only the "low priority" sites if they believe that this category may be the most weakly substantiated. However it is performed, the reassessment should be completed in FY 88. In performing the reassessment, the Region should assess whether:

- o The PA is of adequate quality and contains sufficient information to determine the appropriate disposition of the site under the new criteria; and
- o The disposition assigned by the original PA is appropriate under the new criteria.

Upon completion of the reassessment, all PAs where no SIs have been done must be assigned to the high, medium, or no further remedial action planned category or set aside for a new PA. Sites designated as "low priority" after the original PA must be placed in one of the categories or set aside for new PAs. No sites designated "low priority" should remain after reassessment. New PAs for sites set aside, or upgrading of PAs where data are insufficient, should be conducted following the PA procedures presented in this guidance. The schedule for upgrading or redoing the set-aside PAs is at the Region's discretion. Redoing or upgrading PAs does not necessarily have to be completed in FY 88.

OSWER DIRECTIVE 9345.0-01

4.0 GUIDANCE FOR HANDLING PUBLIC PA PETITIONS4.1 Introduction and Background

CERCLA section 105(d), added by SARA, authorizes any person who is, or may be, affected by a release or threatened release of a hazardous substance or pollutant or contaminant to petition the President to perform a preliminary assessment. The authority vested in the President was delegated to the Administrator of EPA and the heads of other appropriate Executive departments and agencies by section three of Executive Order No. 12580, dated January 23, 1987. The authority was further delegated to the Regional Administrators by EPA internal delegation No. 14-17-B dated September 15, 1987.

Petitions may be received from individuals or groups and are likely to vary considerably in the level of information provided and the type of release identified. When petitions are received, each Region will be responsible for handling the petitions that concern sites located within its area, except for those involving releases from Federal facilities which will be addressed by the appropriate Federal agencies. Regions can conduct PAs directly or can authorize States to conduct them if the State and the Region enter into a cooperative agreement in which the State agrees to complete the PA within 12 months of the receipt date of the petition. EPA wants to encourage the public to pursue State or local action before using the PA petition process to bring the site to Federal attention.

4.2 Statutory Requirements

CERCLA section 105(d) establishes three statutory requirements for the PA petition process:

- (1) The petitioner must be a person who is, or may be, affected by a release or threatened release of a hazardous substance or pollutant or contaminant;
- (2) If a preliminary assessment of the release that is the subject of the petition has not been previously conducted, the Agency shall, within 12 months after the receipt of any such petition, complete the assessment or provide an explanation of why the assessment is not appropriate; and
- (3) If the preliminary assessment indicates that a release or potential release may pose a threat to human health or the environment, the Agency shall promptly

OSWER DIRECTIVE 9345.0-01

evaluate such release or threatened release in accordance with the hazard ranking system (HRS) referred to in paragraph (8)(A) of subsection 105(a) to determine the national priority of such release or threatened release.

Proposed regulations governing PA petitions are expected to appear in the upcoming proposed NCP revisions. Regions can, however, expect to receive petitions before final regulations on PA petitions are promulgated, therefore, the statutory requirements and proposed regulatory provisions are incorporated in the criteria and procedures for handling petitions found in Appendix D.

5.0 CONTACTS FOR FURTHER INFORMATION

Questions regarding PA preparation and reassessment should be directed to Lucy Sibold, FTS 382-2454. Questions concerning public PA petitions should be directed to Kevin Donovan, FTS 475-9749.

OSWER DIRECTIVE 9345.0-01

APPENDIX A: INFORMATION SOURCES

INFORMATION SOURCES FOR PRELIMINARY ASSESSMENT/SITE INSPECTION/IRS SCORING

SOURCETYPE OF INFORMATIONNOTES

A. U.S. DEPARTMENT OF THE INTERIOR

1. U.S. Geologic Survey (USGS)
Central and Regional Offices

- | | |
|---|--|
| Geologic Maps
Orthophoto Maps
Topographic Maps (latitude, longitude, slope,
wetland determination, surface drainage,
migration pathway identification)
Aerial Photos | <ul style="list-style-type: none"> • Full U.S. Coverage Offers 7-1/20 and 150 Maps; 7-1/20 Most Valuable. • Useful in determining site boundaries, land use calculating waste quantities and evaluating site operations both past and present. |
| National Parks, Monuments, Recreation Areas
and Historic Sites Map | |
| Land Use and Land Cover Data | <ul style="list-style-type: none"> • Tend to be regionalized. |
| Technical Geologic/Hydrogeologic Reports | |
| Water-Resources Investigations and Water-Supply Data | |
| Hydrologic Mapping | |
| Generic Geophysical Data | <ul style="list-style-type: none"> • May be useful in determining site boundaries. |
| Gauging Station Data | <ul style="list-style-type: none"> • May be useful in determining stream depths and evaluating discontinuities. |
| Water Discharge Records | <ul style="list-style-type: none"> • May be used to identify potential wetland areas. |
| Flood Prone Area Maps | <ul style="list-style-type: none"> • May help evaluate site operations as they existed at the time of operation. |
| Historical and Out-of-Print Maps | <ul style="list-style-type: none"> • May help evaluate site operations as they existed at the time of operation. |

I. INFORMATION SOURCES FOR PRELIMINARY ASSESSMENT/SITE INSPECTION/URS SCORING

NOTES

TYPE OF INFORMATION

SOURCE

B. U.S. DEPARTMENT OF AGRICULTURE

- 1. Soil Conservation Service (SCS)
Offices located in every county
- 2. Agricultural Stabilization and Conservation Service (ASCS)
Office co-located with the SCS offices

C. U.S. DEPARTMENT OF THE INTERIOR

- 1. Fish and Wildlife Service
- National Wetlands Inventory Maps
- Federally Endangered Species Data
- Records and Fish Kills
- Habitat and Resource Information

D. U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

- Flood Insurance rate maps
- May identify potential wetland areas.

E. U.S. DEPARTMENT OF COMMERCE

- 1. Bureau of the Census
- Current Figures and Demographics
- Congressional District Atlas
- Use 1980 census data.
- Useful in determining population centers.

INFORMATION SOURCES FOR PRELIMINARY ASSESSMENT/SITE INSPECTION/AIRS SCORING

NOTES

TYPE OF INFORMATION

SOURCE

F. U.S. ARMY CORPS OF ENGINEERS

Wetland Determinations

Dumping Records

Discharge Records

Aerial Photos

- Useful in determining site boundaries land use calculating waste quantities and evaluating site operations both past and present.

Flood Prone Area Maps

- May identify potential wetland areas.

G. U.S. ENVIRONMENTAL PROTECTION AGENCY

1. Regional Offices

RCRA Permits and Applications

NPDES Permits, Applications, Reports, and Notices of Violation

Air Permits, Applications, and Reports

CERCLA Actions

TSCA Records

Enforcement Actions

Surface Water and Groundwater Reports

INFORMATION SOURCES FOR PRELIMINARY ASSESSMENT/SITE INSPECTION/URS SCORING

NOTES

TYPE OF INFORMATION

SOURCE

I. Regional Offices (continued)

Site History

Site Owner/Operator Information

- Be sure data meets regional QA/QC requirements.

Previous Site Inspection Information

Waste Generators and Transporters

Waste Containment/Extent of Contamination

Aerial Photography and Interpretation
Special Mapping

- Useful in determining site boundaries, land use, calculating waste quantities and evaluating site operations both past and present.

2. Environmental Photographic Interpretation Center (EPIC)

II. NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION

Climatic data (1 yr., 24-hour rainfall, seasonal and annual precipitation and evaluation figures)

- A minimum of 10-year averages required for seasonal figures.

INFORMATION SOURCES FOR PRELIMINARY ASSESSMENT/SITE INSPECTION/HRS SCORING

<u>SOURCE</u>	<u>TYPE OF INFORMATION</u>	<u>NOTES</u>
<p>I. STATE EPA OFFICES OR EQUIVALENTS (Water Resources, Solid Waste and Geology Departments)</p>	<p>Permits _____</p> <p>Previous Site Inspection Information</p> <p>Waste Quantity Estimates</p> <p>Site Owner</p> <p>Operator Information</p> <p>Water Supply Data</p> <p>Sampling and Monitoring Data</p> <p>Surface Water and Groundwater Reports</p> <p>Well Logs and Soil Boring Data</p> <p>Aquifer Information</p> <p>Air and Solid Waste Files</p> <p>State and County Map</p>	<ul style="list-style-type: none"> • Federally permitted releases (i.e., NPLHS) not eligible for HRS consideration. • Wastes granted state permits may still be eligible for consideration. • Containment of waste. • May differ from site owner. • Be sure data meets QA/QC requirements. • Use to determine aquifer interconnection. • May be necessary in cases where HRS maps are outdated.
<p>J. STATE DEPARTMENT OF TRANSPORTATION</p>		

INFORMATION SOURCES FOR PRELIMINARY ASSESSMENT/SITE INSPECTION/IRS SCORING

NOTES

TYPE OF INFORMATION

SOURCE

K. COUNTY OFFICES

1. Assessor

Plat maps (distance to nearest off-site building, land use, distance to nearest population figures, number of buildings in a 2-mile radius)

Land Ownership

- Permission to access site must be obtained from the current land owner.

2. Health Department

Facility Inspection Information

Water Supply Data

- Also check if bottled water is being used due to contamination

Sampling and Monitoring Data

- Be sure data meets QA/QC requirements.

Waste Generators and Transporters

Complaints/Prior Releases

Permits

Site Plans

- May be useful in calculating the once-filled capacity of lagoons/surface, impoundments.

Liquid Waste Discharge Data

Land Use

Aerial Photos

Land Use

3. Planning Commission/City Engineer

4. Zoning Department

INFORMATION SOURCES FOR PRELIMINARY ASSESSMENT/SITE INSPECTION/IRS SCORING

SOURCE

TYPE OF INFORMATION

NOTES

K. COUNTY OFFICES (continued)

5. Road Commission

Local Maps

Aerial Photos

Aerial Photos

Land Use Data

6. Agricultural Extension Office

Irrigated Acreage

- Distinguish between food/forage crop irrigation watering of turf.

L. LOCAL OFFICES

1. Fire Department

Fire History

Explosion

Contingency Plans

Complaints

Inspection Data

- May use to determine if site is a certified fire and explosion threat.

08 41

I. INFORMATION SOURCES FOR PRELIMINARY ASSESSMENT/SITE INSPECTION/URS SCORING

SOURCE

TYPE OF INFORMATION

NOTES

LOCAL OFFICES (continued)

2. Water and Sewer Departments

Location of Sewers and Buried Mains • Check before drilling.

Water Intake and Well Location Data

Population Served Figures

Aquifer Data

Well Depths

Location of Buried Lines

Site Ownership

Local Industry Information

Site Ownership History

Site Activities

Census Figures and Demographics

Site Activities and History

Waste Quantity Estimates

Site Accessibility

Site Owner/Operator Information

Site Fires or Explosions

Complaints or Incidents

3. Electrical Utility Companies

4. Chamber of Commerce

5. Citizens/Neighbors/
Former Company Employee

• Identify other potential sources of contamination.

• Use 1980 census data.

• Be sure those interviewed are reliable sources.

INFORMATION SOURCES FOR PRELIMINARY ASSESSMENT/SITE INSPECTION/URS SCORING

NOTES

TYPE OF INFORMATION

SOURCE

LOCAL OFFICES (continued)

6. Company Records and Site Officials

Production Records

Waste Type and Quantity

Generator Records

Site History

Owner/Operator Information

Site Accessibility

Waste Containment Data

Spill Records

Permits

Waste Storage and Disposal Methods

Site History

Complaints

Generator and Transporter Data

Waste Type and Quantity

7. Newspapers

• Check sources

8. Trucking and Hauling Companies

INFORMATION SOURCES FOR PRELIMINARY ASSESSMENT/SITE INSPECTION/URS SCORING

<u>SOURCE</u>	<u>TYPE OF INFORMATION</u>	<u>NOTES</u>
LOCAL OFFICES (continued)		
9. Well Drillers	Well Locations Well Logs and Soil Boring Data Local Soil Geology	● Be sure those interviewed are reliable sources.
10. Consultants	Water Table and Aquifer Data Water Supply Information Permeability Figures - Soil Surface Water and Groundwater Reports Extent of Contamination Special Studies	● Be sure conclusion drawn are based on sound professional judgements before using.
11. Airports	Sampling and Monitoring Data Climatic Data (1-year, 24-hour rainfall, seasonal and annual precipitation and evaporation figures)	● Be sure data meets QA/QC requirements.
12. Universities	Surface Water and Groundwater Studies Sampling and Monitoring Data Climatic Data (1-year, 24-hour rainfall, seasonal and annual precipitation and evaporation figures) Special Studies	● Be sure data meets QA/QC requirements.

INFORMATION SOURCES FOR PRELIMINARY ASSESSMENT/SITE INSPECTION/IRS SCORING

NOTESTYPE OF INFORMATIONSOURCE

M. CLIMATIC DATA REFERENCES

1. Climatic Atlas of the United States, U.S. Department of Commerce, National Climatic Center, Asheville, North Carolina, 1979
Annual Precipitation and Evaporation Maps
2. Rainfall Frequency Atlas of the United States, Technical Paper No. 40, U.S. Department of Commerce, U.S. Government Printing Office, Washington, D.C. 1963
1-year, 24-hour Rainfall Map.

N. TOXICOLOGY AND HAZARDOUS SUBSTANCE REFERENCES

1. Chemical Hazard Response Information System
Incompatibility, Physical State, Flammability and Health Hazards
Toxicology
2. Hamilton and Hardy, Industrial Toxicology
Toxicity
3. Sax, Dangerous Properties of Industrial Materials, 4th, 5th or 6th Editions
Toxicity
4. Patty, Industrial Hygiene and Toxicology
Toxicology

CJ
344

INFORMATION SOURCES FOR PRELIMINARY ASSESSMENT/SITE INSPECTION/AIRS SCORING

SOURCE	TYPE OF INFORMATION	NOTES
N. TOXICOLOGY AND HAZARDOUS SUBSTANCE REFERENCES (continued)		
5. <u>ACGIH, Threshold Limit Values for Chemical Substances and Physical Agents in the Work Environment, 1985-86</u>	TLV's	
6. <u>Miedl, Hazardous Materials Handbook</u>		
7. <u>Hauley, Condensed Chemical Dictionary</u>	Describes Processes and Generic Names	
8. <u>The Merck Index</u>	Physical State, CAS numbers	
9. <u>CRC Handbook of Chemistry and Physics</u>	Physical State	
10. <u>NFPA Hazardous Materials Manual</u>	Toxicity, Ignitability and Reactivity	
11. <u>JRB Associates, Methodology for Rating the Hazard Potential of Waste Disposal Sites</u>	Persistence	
12. <u>Hazardous Waste Management Law, Regulations, and Guidelines for the Handling of Hazardous Waste; California Department of Health, Sacramento, California, February 1975</u>	Incompatibility	

9345.0-01 OSWER DIRECTIVE

APPENDIX B: DATA CHECKLIST

9345.0-01
OSWER DIRECTIVE

PRELIMINARY ASSESSMENT (PA) CHECKLIST

INSTRUCTIONS: The checklist is intended to serve two main objectives:

- (1) To quickly identify those items that have the greatest impact on the potential for a site to score under the current and revised HRS, and
- (2) To provide the more detailed information needed to prepare preliminary and projected HRS scores using the site screening analysis (SSA) methodology.

The twelve major information items that most directly impact the first objective above are highlighted in bold type. The remaining items on the checklist are designed to track closely with the input information requirements of the SSA.

You are not expected to have all of the information identified in the checklist. As discussed in section 2.3.1.1 of the FY88 PA Guidance Document, it may be impossible to obtain certain information without undertaking more detailed field work beyond the routine visual inspection conducted during the PA. However, within the average time constraints of a PA, the investigator should try to obtain as much information as possible.

Each migration pathway identifies items pertinent to the existing HRS and the draft proposed revisions to the HRS. The HRS will likely change in response to public comments on the proposed revisions; thus, some of the items on the checklist will change. However, they should facilitate the evaluation of each pathway when it becomes final. It is the intent of the supplementary sections to present the general information to EPA, state, and contractor personnel so that potentially important revised HRS data can be reviewed and considered in PAs done under this FY 88 guidance.

A referenced source should be cited for each checklist item. Referenced sources can range from visual observation, to a record of communication, to an unpublished or published document or report.

9345.0-01
OSWER DIRECTIVE
PA CHECKLIST

I. SITE BACKGROUND INFORMATION

- Site name
- Site number
- Address
- Coordinates (latitude and longitude in degrees, minutes, seconds, township and range numbers)
- Directions to site (starting from nearest public road)

II. RESPONSIBLE PARTIES

- Owner
- Address (current and past, if available)
- Telephone number
- Operator
- Operator's address
- Operator's telephone number
- Type of ownership (specify private, Federal, state, county, municipal)

III. OVERVIEW/SITE HISTORY

- Site operations
 - history/years of operation
 - nature of operations (manufacturing, waste disposal, storage, etc.)
- Description of any emergency or remedial actions that have occurred at site
- Description of any prior spills
- Description of relevant permitting matters
- Description of existing sampling and analysis data and brief summary of data quality

- Evaluate the data quality for the following:
 - sample objective
 - age/comparability
 - analytical methods
 - detection limits
 - QA/QC

IV. WASTE CONTAINMENT/HAZARDOUS SUBSTANCE IDENTIFICATION

- Describe as specifically as possible the methods of hazardous substance disposal, storage, or handling.
- Describe the condition/integrity of each storage disposal feature or structure. Evaluate from the perspective of each migration pathway (e.g., ground water pathway - nonexistent natural or synthetic liner, corroding underground storage tank; surface water - inadequate freeboard, corroding bulk tanks; air - unstabilized slag piles, leaking drums, etc.).
- Describe any secondary containment features/structures (such as run-on diversion system, leachate collection systems).
- Describe size/volume of all features/structures that contain hazardous substances or volume of previously reported spills.
- Describe as precisely as possible existing permits and the types of hazardous substances handled on site.
- Discuss any records or manifests which provide data on volume of hazardous substances handled/disposed/released on site.

V. GROUND WATER PATHWAY

- Determine if ground water within four¹ miles of the site is used for any of the following purposes (if the answer to this is "unusable," then it is not necessary to answer the following questions).
 - private or public drinking water source
 - commercial
 - irrigation (5-acre minimum)
 - industrial
 - not used, but usable
 - unusable
- Determine the population drinking ground water drawn from wells within four¹ miles of the site.
- Identify nearest well within four¹ miles that is a source of drinking water.
- Discuss known or probable ground water flow direction, if possible.

- As precisely as possible, describe the geology and hydrogeology of area (including names, thickness, types of material and depth surface, including soils).
- Discuss any evidence of discontinuities between aquifers/aquitards within four miles of the site.
- Discuss any evidence of interconnections between aquifers within miles of the site.
- Estimate annual net precipitation (by summing monthly values).
- Discuss soil or geological conditions that might inhibit or facilitate groundwater migration.
- Discuss, if possible, alternative water supply sources that are re available.
- Discuss any qualitative, quantitative, or circumstantial (e.g., closure well) evidence of a release to groundwater.

VI. ADDITIONAL FACTORS BASED ON DRAFT PROPOSED REVISIONS TO THE FOR THE GROUND WATER PATHWAY

- Identify if any underlying aquifers are "sole source" aquifers as designed according to Section 1424(e) under the Safe Drinking Water Act.
- Determine if the site is located in an area of karst terrain.

VII. SURFACE WATER PATHWAY

- Describe surface water bodies of concern within the 151-mile distance limit.
- Discuss the probable surface runoff patterns from the site to surface waters.
- Discuss whether the facility is located in surface water (e.g., marsh, stream, or a floodplain).
- From a topographic map, calculate and discuss the slope between the point where hazardous substances begin to migrate and the probable point of entry into the surface water body.
- Identify if surface water drawn from intakes within 151 miles from the probable point of entry is used for any of the following purposes:
 - irrigation of commercial food or forage crops (5-acre minimum)
 - commercial livestock watering
 - commercial food preparation
 - commercial/industrial purposes other than drinking water, recreation, or fishery uses

- Identify and discuss the nature and size of any of the following targets within the 15¹-mile target distance limit:
 - population served by intakes drawing drinking water
 - population associated with recreational use²
 - sensitive environments (including fresh water or coastal wetlands [5-acre minimum] and critical habitats of a federally-designated endangered species)
 - economically important resources (e.g., shellfish)²
- Discuss any qualitative, quantitative, or circumstantial (e.g., contaminated surface water downstream of the site) evidence of a release to surface water.

VIII. ADDITIONAL FACTORS BASED ON DRAFT PROPOSED REVISIONS TO THE HRS FOR THE SURFACE WATER PATHWAY

- From a topographic map, estimate the size (in square miles) of the upgradient drainage area from the site.
- Discuss the average annual stream-flow in the vicinity of the site.
- Discuss any biological sampling that might assess the food chain and recreational impacts.
- If fisheries (recreational or commercial) exist within the 15-mile target distance limit, assess each of the following:
 - acreage of oceans, large lakes, or rivers
 - acreage of ponds or lakes fed by low-volume streams

IX. ADDITIONAL FACTORS BASED ON DRAFT PROPOSED REVISIONS TO THE HRS FOR THE AIR PATHWAY

- Determine the population within a four-mile radius of the site (allocated in 1/4, 1/2, 1, 2, 3, 4-mile ring distances).
- Determine the distance to the nearest residence or regularly occupied building as measured from any onsite emission source. If on site, determine how many residents or workers occupy the building.
- Determine the distance to the following land uses within a four-mile radius:
 - commercial/industrial
 - residential
 - schools
 - parks
 - agricultural

- Identify, locate, and discuss any nearby fresh water or coastal wetlands (5-acre minimum) or critical habitats of a federally-designated endangered species that could be affected by a release.
- Discuss any quantitative or qualitative evidence of a release to air.
- Determine particulate source mobility value (see Figure 2-3 in the proposed rule).

X. ADDITIONAL FACTORS BASED ON DRAFT PROPOSED REVISIONS TO THE HRS FOR THE ONSITE PATHWAY

- Discuss any qualitative or quantitative evidence of onsite soil contamination. If there is no evidence of onsite soil contamination, then it is not necessary to answer the following questions.
- Determine the onsite population (i.e., people living or attending school or day care on contaminated property).
- Determine the population within one mile of the site (i.e., individuals who live or go to school within one mile of the site).
- Describe any restrictions/barriers on accessibility to onsite waste materials.
- Identify and discuss any onsite terrestrial sensitive environments.
- Describe the area of surface contamination (both on and off site).

NOTES

1. Distance based on draft proposed revisions to the HRS.
 2. Factor based on draft proposed revisions to the HRS.
-

OSWER DIRECTIVE 9345.0-01

APPENDIX C: EPA FORM 2070-12

POTENTIAL HAZARDOUS WASTE SITE PRELIMINARY ASSESSMENT PART 1 - SITE INFORMATION AND ASSESSMENT		I. IDENTIFICATION	
		01 STATE	02 SITE NUMBER
II. SITE NAME AND LOCATION			
01 SITE NAME (Legal, common, or descriptive name of site)		02 STREET, ROUTE NO., OR SPECIFIC LOCATION IDENTIFIER	
03 CITY	04 STATE	05 ZIP CODE	06 COUNTY
	07 COUNTY CODE	08 CONG. DIST.	
09 COORDINATES LATITUDE		LONGITUDE	
10 DIRECTIONS TO SITE (Starting from nearest public road)			
III. RESPONSIBLE PARTIES			
01 OWNER (If known)		02 STREET (Business, mailing, residential)	
03 CITY	04 STATE	05 ZIP CODE	06 TELEPHONE NUMBER ()
07 OPERATOR (If known and different from owner)		08 STREET (Business, mailing, residential)	
09 CITY	10 STATE	11 ZIP CODE	12 TELEPHONE NUMBER ()
13 TYPE OF OWNERSHIP (Check one)			
<input type="checkbox"/> A. PRIVATE <input type="checkbox"/> B. FEDERAL: _____ (Agency name) <input type="checkbox"/> C. STATE <input type="checkbox"/> D. COUNTY <input type="checkbox"/> E. MUNICIPAL <input type="checkbox"/> F. OTHER: _____ (Specify) <input type="checkbox"/> G. UNKNOWN			
14 OWNER/OPERATOR NOTIFICATION ON FILE (Check all that apply)			
<input type="checkbox"/> A. RCRA 3001 DATE RECEIVED: ____/____/____ <input type="checkbox"/> B. UNCONTROLLED WASTE SITE (RCRA 102(a)) DATE RECEIVED: ____/____/____ <input type="checkbox"/> C. NONE			
IV. CHARACTERIZATION OF POTENTIAL HAZARD			
01 ON SITE INSPECTION		BY (Check all that apply)	
<input type="checkbox"/> YES DATE ____/____/____ <input type="checkbox"/> NO		<input type="checkbox"/> A. EPA <input type="checkbox"/> B. EPA CONTRACTOR <input type="checkbox"/> C. STATE <input type="checkbox"/> D. OTHER CONTRACTOR <input type="checkbox"/> E. LOCAL HEALTH OFFICIAL <input type="checkbox"/> F. OTHER: _____ (Specify)	
02 SITE STATUS (Check one)		03 YEARS OF OPERATION	
<input type="checkbox"/> A. ACTIVE <input type="checkbox"/> B. INACTIVE <input type="checkbox"/> C. UNKNOWN		_____ BEGINNING YEAR ENDING YEAR <input type="checkbox"/> UNKNOWN	
04 DESCRIPTION OF SUBSTANCES POSSIBLY PRESENT, KNOWN, OR ALLEGED			
05 DESCRIPTION OF POTENTIAL HAZARD TO ENVIRONMENT AND/OR POPULATION			
V. PRIORITY ASSESSMENT			
01 PRIORITY FOR INSPECTION (Check one. If high or medium is checked, complete Part 2 - Waste Information and Part 3 - Description of Hazardous Constituents and Problems)			
<input type="checkbox"/> A. HIGH (Inspection required promptly) <input type="checkbox"/> B. MEDIUM (Inspection required) <input type="checkbox"/> C. LOW (Inspect on first available basis) <input type="checkbox"/> D. NONE (No further action needed, complete current disposition form)			
VI. INFORMATION AVAILABLE FROM			
01 CONTACT		02 OF (Agency, Organization)	
04 PERSON RESPONSIBLE FOR ASSESSMENT		05 AGENCY	06 ORGANIZATION
		07 TELEPHONE NUMBER ()	08 DATE ____/____/____ MONTH DAY YEAR

	POTENTIAL HAZARDOUS WASTE SITE PRELIMINARY ASSESSMENT		I. IDENTIFICATION	
			01 STATE	02 SITE NUMBER
PART 3 - DESCRIPTION OF HAZARDOUS CONDITIONS AND INCIDENTS				
II. HAZARDOUS CONDITIONS AND INCIDENTS				
01 <input type="checkbox"/> A. GROUNDWATER CONTAMINATION 03 POPULATION POTENTIALLY AFFECTED: _____	02 <input type="checkbox"/> OBSERVED (DATE: _____) 04 NARRATIVE DESCRIPTION	<input type="checkbox"/> POTENTIAL	<input type="checkbox"/> ALLEGED	
01 <input type="checkbox"/> B. SURFACE WATER CONTAMINATION 03 POPULATION POTENTIALLY AFFECTED: _____	02 <input type="checkbox"/> OBSERVED (DATE: _____) 04 NARRATIVE DESCRIPTION	<input type="checkbox"/> POTENTIAL	<input type="checkbox"/> ALLEGED	
01 <input type="checkbox"/> C. CONTAMINATION OF AIR 03 POPULATION POTENTIALLY AFFECTED: _____	02 <input type="checkbox"/> OBSERVED (DATE: _____) 04 NARRATIVE DESCRIPTION	<input type="checkbox"/> POTENTIAL	<input type="checkbox"/> ALLEGED	
01 <input type="checkbox"/> D. FIRE/EXPLOSIVE CONDITIONS 03 POPULATION POTENTIALLY AFFECTED: _____	02 <input type="checkbox"/> OBSERVED (DATE: _____) 04 NARRATIVE DESCRIPTION	<input type="checkbox"/> POTENTIAL	<input type="checkbox"/> ALLEGED	
01 <input type="checkbox"/> E. DIRECT CONTACT 03 POPULATION POTENTIALLY AFFECTED: _____	02 <input type="checkbox"/> OBSERVED (DATE: _____) 04 NARRATIVE DESCRIPTION	<input type="checkbox"/> POTENTIAL	<input type="checkbox"/> ALLEGED	
01 <input type="checkbox"/> F. CONTAMINATION OF SOIL 03 AREA POTENTIALLY AFFECTED: _____ <small>(Across)</small>	02 <input type="checkbox"/> OBSERVED (DATE: _____) 04 NARRATIVE DESCRIPTION	<input type="checkbox"/> POTENTIAL	<input type="checkbox"/> ALLEGED	
01 <input type="checkbox"/> G. DRINKING WATER CONTAMINATION 03 POPULATION POTENTIALLY AFFECTED: _____	02 <input type="checkbox"/> OBSERVED (DATE: _____) 04 NARRATIVE DESCRIPTION	<input type="checkbox"/> POTENTIAL	<input type="checkbox"/> ALLEGED	
01 <input type="checkbox"/> H. WORKER EXPOSURE/INJURY 03 WORKERS POTENTIALLY AFFECTED: _____	02 <input type="checkbox"/> OBSERVED (DATE: _____) 04 NARRATIVE DESCRIPTION	<input type="checkbox"/> POTENTIAL	<input type="checkbox"/> ALLEGED	
01 <input type="checkbox"/> I. POPULATION EXPOSURE/INJURY 03 POPULATION POTENTIALLY AFFECTED: _____	02 <input type="checkbox"/> OBSERVED (DATE: _____) 04 NARRATIVE DESCRIPTION	<input type="checkbox"/> POTENTIAL	<input type="checkbox"/> ALLEGED	

8993

	POTENTIAL HAZARDOUS WASTE SITE PRELIMINARY ASSESSMENT PART 3 - DESCRIPTION OF HAZARDOUS CONDITIONS AND INCIDENTS		I. IDENTIFICATION	
			01 STATE	02 SITE NUMBER
II. HAZARDOUS CONDITIONS AND INCIDENTS <small>(Continue)</small>				
01 <input type="checkbox"/>	J. DAMAGE TO FLORA 04 NARRATIVE DESCRIPTION	02 <input type="checkbox"/>	OBSERVED (DATE: _____)	<input type="checkbox"/> POTENTIAL <input type="checkbox"/> ALLEGED
01 <input type="checkbox"/>	K. DAMAGE TO FAUNA 04 NARRATIVE DESCRIPTION <small>(Include names of species)</small>	02 <input type="checkbox"/>	OBSERVED (DATE: _____)	<input type="checkbox"/> POTENTIAL <input type="checkbox"/> ALLEGED
01 <input type="checkbox"/>	L. CONTAMINATION OF FOOD CHAIN 04 NARRATIVE DESCRIPTION	02 <input type="checkbox"/>	OBSERVED (DATE: _____)	<input type="checkbox"/> POTENTIAL <input type="checkbox"/> ALLEGED
01 <input type="checkbox"/>	M. UNSTABLE CONTAINMENT OF WASTES <small>(Spills/runoff; standing liquids/leaking drums)</small> 03 POPULATION POTENTIALLY AFFECTED: _____	02 <input type="checkbox"/>	OBSERVED (DATE: _____)	<input type="checkbox"/> POTENTIAL <input type="checkbox"/> ALLEGED 04 NARRATIVE DESCRIPTION
01 <input type="checkbox"/>	N. DAMAGE TO OFFSITE PROPERTY 04 NARRATIVE DESCRIPTION	02 <input type="checkbox"/>	OBSERVED (DATE: _____)	<input type="checkbox"/> POTENTIAL <input type="checkbox"/> ALLEGED
01 <input type="checkbox"/>	O. CONTAMINATION OF SEWERS, STORM DRAINS, WWTPs 04 NARRATIVE DESCRIPTION	02 <input type="checkbox"/>	OBSERVED (DATE: _____)	<input type="checkbox"/> POTENTIAL <input type="checkbox"/> ALLEGED
01 <input type="checkbox"/>	P. ILLEGAL/UNAUTHORIZED DUMPING 04 NARRATIVE DESCRIPTION	02 <input type="checkbox"/>	OBSERVED (DATE: _____)	<input type="checkbox"/> POTENTIAL <input type="checkbox"/> ALLEGED
05 DESCRIPTION OF ANY OTHER KNOWN, POTENTIAL, OR ALLEGED HAZARDS				
III. TOTAL POPULATION POTENTIALLY AFFECTED: _____				
IV. COMMENTS				
V. SOURCES OF INFORMATION <small>(City specific references, e.g. state laws, sample analysis reports)</small>				

03 61

**POTENTIAL HAZARDOUS WASTE SITE
PRELIMINARY ASSESSMENT**

General Information

The Potential Hazardous Waste Site, Preliminary Assessment form is used to record information necessary to make an initial evaluation of the potential risk posed by a site and to recommend further action.

The Preliminary Assessment form contains three parts:

Part 1 – Site Information and Assessment

Part 2 – Waste Information

Part 3 – Description of Hazardous Conditions and Incidents

Part 1 – Site Information and Assessment contains all of the data elements also contained on the Site Identification form required to add a site to the automated Site Tracking System (STS). It is therefore possible to add a site to STS at the Preliminary Assessment stage. Instructions are given below.

Part 2 – Waste Information and Part 3 – Description of Hazardous Conditions and Incidents are used to record specific information about substances, amounts, hazards, and targets, e.g., population potentially affected, that are used in determining the priority for further action. Parts 2 and 3 are also contained in the Potential Hazardous Waste Site, Site Inspection Report form where they may be used to update, add, delete, or correct information supplied on the Preliminary Assessment.

An Appendix with feedstock names and CAS Numbers and the most frequently cited hazardous substances and CAS Numbers is located behind the instructions for the Preliminary Assessment.

General Instructions

1. Complete the Preliminary Assessment form as completely as possible.

2. Starred items (*) are required before assessment information can be added to STS. The system will not accept incomplete assessment information.

3. To add a site to STS at the Preliminary Assessment stage, write "New" across the top of the form and complete items II-01, 02, 03, 04, and 06, Site Name and Location, and item III-13, Type of Ownership.

4. Data items carried in STS, which are identical to those on the Site Identification form and which can be added, deleted, or changed using the Preliminary Assessment form, are indicated with a pound sign (#). To ensure that the proper action is taken, outline the item(s) to be added, deleted, or changed with a bright color and indicate the proper action with "A" (add), "D" (delete), or "C" (change).

5. There are two options available for adding, deleting, or changing information supplied on the Preliminary Assessment form. The first is to use a new Preliminary Assessment form, completing only those items to be added, deleted, or changed. Mark the form clearly, using "A", "D", or "C", to indicate the action to be taken. If only data carried in STS are to be altered, the Site Source Data Report may be used. Using the report, mark clearly the items to be changed and the action to be taken.

Detailed Instructions**Part I Site Information and Assessment**

- I. **Identification:** Identification (State and Site Number) is the site record key, or primary identifier, for the site. Site records in the STS are updated based on Identification. It is essential that State and Site Number are correctly entered on each form.
 - *I-01 **State:** Enter the two character alpha FIPS code for the state in which the site is located. It must be identical to State on the Site Identification form.
 - *I-02 **Site Number:** Enter the ten character alphanumeric code for sites which have a Dun and Bradstreet or EPA "user" Dun and Bradstreet number or the ten character numeric GSA identification code for federal sites. The Site Number must be identical to the Site Number on the Site Identification form.
- II. **Site Name and Location:** If Site Name and Location information require no additions or changes, these items are not required on the Preliminary Assessment form. However, completing these items will facilitate use of the completed form and records management procedures.
 - #II-01 **Site Name:** Enter the legal, common, or descriptive name of the site.
 - #II-02 **Site Street:** Enter the street address and number (if appropriate) where the site is located. If the precise street address is unavailable for this site, enter brief direction identifier, e.g., NW intersection I-295 & US 99; Post Rd, 5 mi W of Rt. 5.
 - #II-03 **Site City:** Enter the city, town, village, or other municipality in which the site is located. If the site is not located in a municipality, enter the name of the municipality (or place) which is nearest the site or which most easily locates the site.
 - #II-04 **Site State:** Enter the two character alpha FIPS code for the state in which the site is located. The code must be the same as in item I-01.
 - #II-05 **Site Zip Code:** Enter the five character numeric zip code for the postal zone in which the site is located.
 - #II-06 **Site County:** Enter the name of the county, parish (Louisiana), or borough (Alaska) in which the site is located.
 - #II-07 **County Code:** Enter the three character numeric FIPS county code for the county, parish, or borough in which the site is located. (The regional data analyst will furnish this data item.)
 - #II-08 **Site Congressional District:** Enter the two character number for the congressional district in which the site is located.
 - II-09 **Coordinates:** Enter the Coordinates, Latitude and Longitude, of the site in degrees, minutes, seconds and tenths of seconds. If a tenth of a second is insignificant at this site, enter "0".
 - II-10 **Directions to Site:** Starting from the nearest public road, provide narrative directions to the site.

Part 2 (continued)

PRELIMINARY ASSESSMENT

- example, do not measure the same amounts of waste as both tons and cubic yards.
- *II-03 **Waste Characteristics:** Check all appropriate entries to indicate the hazards posed by waste at the site. If waste at the site poses no hazard, check Not Applicable.
- III. **Waste Category:** General categories of waste typically found are listed here. Enter the estimated gross amount of the category of waste next to the appropriate substance name and enter the unit of measure used with the estimate.
- *III-01 **Gross Amount:** Gross Amount is the estimate of the amount of the waste category found at the site. Estimates should be furnished in metric tons (MT), tons (TN), cubic meters (CM), cubic yards (CY), drums (DR), acres (AC), acre feet (AF), liters (LT), or gallons (GA). Enter the estimated amount next to the appropriate waste category.
- *III-02 **Unit of Measure:** Enter the appropriate unit of measure: MT (metric tons), TN (tons), CM (cubic meters), CY (cubic yards), DR (number of drums), AC (acres), AF (acre feet), LT (liters), or GA (gallons), next to the estimate of gross amount.
- III-03 **Comments:** Comments may be used to further explain, or provide additional information, about particular waste categories.
- IV. **Hazardous Substances:** Specific hazardous, or potentially hazardous, chemicals, mixtures, and substances found at the site are listed here. This information may not be available at the Preliminary Assessment stage. Substances for which information is available are to be listed here. For each substance listed those data items marked with an "at" sign (@) must be included.
- @IV-01 **Category:** Enter in front of the substance name the three character waste category from Section III which best describes the substance, e.g., OLW (Oily Waste).
- @IV-02 **Substance Name:** Enter one of the following: the name of the substance registered with the Chemical Abstract Service, the common or accepted abbreviation of the substance, the generic name of the substance, or commercial name of the substance.
- @IV-03 **CAS Number:** Enter the number assigned to the substance when it was registered with the Chemical Abstract Service. Refer to the Appendix for most frequently cited CAS Numbers. CAS Numbers must be furnished for each substance listed. If a CAS Number for this substance has not been assigned, enter "999".
- @IV-04 **Storage/Disposal Method:** Enter the type of storage or disposal facility in which the substance was found: SI (surface impoundment, including pits, ponds, and lagoons), PL (pile), DR (drum), TK (tank), LF (landfill), LM (landfarm), OD (open dump).
- IV-05 **Concentration:** Enter the concentration of the substance found in samples taken at the site.
- IV-06 **Measure of Concentration:** Enter the appropriate unit of measure for the measured concentration of the substance found in the sample, e.g., MG/L, UG/L.

- V. **Feedstocks**
- V-01 **Feedstock Name:** If feedstocks, or substa derived from one or more feedstocks, are pre at the site, enter the name of each feedstock fo See the Appendix for the feedstock list.
- V-02 **CAS Number:** Enter the CAS Number for feedstock named. See the Appendix for feeds CAS Numbers.
- VI. **Sources of Information:** List the sources use obtain information for this form. Sources cited include: sample analysis, reports, inspections, cial records, or other documentation. Sources c provide the basis for information entered on form and may be used to obtain further informa about the site.
- Part 3 **Description of Hazardous Conditions and Incid**
- *I. **Identification:** Refer to Part 1-1.
- II. **Hazardous Conditions and Incidents:**
- II-01 **Hazards:** Indicate each hazardous, or potent hazardous, condition known, or claimed, to exi the site.
- II-02 **Observed, Potential, or Alleged:** Check Obse and enter the date, or approximate date, of or rence if a release of contaminants to the envi ment, or some other hazardous incident, is kn to have occurred. In cases of a continuing rel e.g., groundwater contamination, enter the c or approximate date, the condition first bec apparent. If conditions exist for a potential rel check potential. Check Alleged for hazardous potentially hazardous, conditions claimed to c at the site.
- II-03 **Population Potentially Affected:** For each arduous condition at the site, enter the numbe people potentially affected. For Soil enter the r ber of acres potentially affected.
- II-04 **Narrative Description:** Provide a narrative des tion, or explanation, of each condition. Include additional information which further explains condition.
- II-05 **Description of Any Other Known, Potential, o leged Hazards:** Provide a narrative descriptio any other hazardous, or potentially hazarc conditions at the site not covered above.
- III. **Total Population Potentially Affected:** Enter total number of people potentially affected by existence of hazardous, or potentially hazarc conditions at the site. Do not sum the num shown for each condition.
- IV. **Comments:** Other information relevant to obse potential, or alleged hazards may be entered
- V. **Sources of Information:** List the sources use obtain information for this form. Sources may include: sample analysis, reports, inspect official records, or other documentation. Sou cited provide the basis for information en: on the form and may be used to obtain furthe formation about the site.

Part 1 (continued)

PRELIMINARY ASSESSMENT

- | | |
|--|--|
| <p>III. Responsible Parties</p> <p>#III-01 Site Owner: Enter the name of the owner of the site. The site owner is the person, company, or federal, state, municipal or other public or private entity, who currently holds title to the property on which the site is located.</p> <p>#III-02 Site Owner Address: Enter the current complete business, residential, or mailing address at which the owner of the site can be reached.</p> <p>-03</p> <p>-04</p> <p>-05</p> <p>III-06 Site Owner Telephone Number: Enter the area code and local telephone number at which the owner of the site can be reached.</p> <p>#III-07 Site Operator: If different from Site Owner, enter the name of the operator at the site. The site operator is the person, company, or federal, state, municipal or other public or private entity, who currently, or most recently, is, or was, responsible for operations at the site.</p> <p>#III-08 Site Operator Address: Enter the current complete business, residential, or mailing address at which the operator of the site can be reached.</p> <p>-09</p> <p>-10</p> <p>-11</p> <p>III-12 Site Operator Telephone Number: Enter the area code and local telephone number at which the operator of the site can be reached.</p> <p>#III-13 Type of Ownership: Check the appropriate box to indicate the type of site ownership. If the site is under the jurisdiction of an activity of the federal government, enter the name of the department, agency, or activity. If Other is indicated, specify the type of ownership and name.</p> <p>III-14 Owner/Operator Notification On File: Check the appropriate box(es) to indicate that the notification required by RCRA (3001) and/or CERCLA (103c, Superfund) have been received. If received, enter the date(s) received. Check none if not received.</p> | <p>hazardous, potentially hazardous, or other substances present, or claimed to be present, at the site.</p> <p>IV-05 Description of Potential Hazard to Environment and/or Population: Provide a narrative description of the potential hazard the site poses to the environment and to exposed population or wildlife. If no hazard, or potential hazard, exists, provide the basis for that determination.</p> <p>V. Priority Assessment</p> <p>*V-01 Priority for Inspection: Check the appropriate box to indicate the priority for further action or inspection. If no further action is required, complete the Potential Hazardous Waste Site, Current Disposition form. The Priority for Inspection assessed must be supported by appropriate data in Part 2 - Waste Information and Part 3 - Description of Hazardous Conditions and Incidents of this form. If no hazardous conditions exist, Part 3 is not required.</p> <p>VI. Information Available From</p> <p>VI-01 Contact: Enter the name of the individual who can provide information about the site.</p> <p>VI-02 Of: If appropriate, enter the name of the Public or private agency, firm, or company and the organization within the agency, firm, or company of the individual named as Contact.</p> <p>VI-03 Telephone Number: Enter the area code and local telephone number of the individual named as contact.</p> <p>VI-04 Person Responsible for Assessment: Enter the name of the individual who made the site assessment and assigned the priority rating to the site. The person responsible for the assessment may be different from the individual who prepared the form.</p> <p>VI-05 Agency: Enter the name of the Agency where the individual who made the assessment is employed.</p> <p>VI-06 Organization: Enter the name of the organization within the Agency.</p> <p>VI-07 Telephone Number: Enter the area code and local telephone number of the individual who made the assessment.</p> <p>VI-08 Date: Enter the date the assessment was made.</p> |
| <p>IV Characterization of Potential Hazard</p> <p>IV-01 On Site Inspection: Check the appropriate box to indicate that the site has been inspected or visited by EPA, a state or local official, or a contractor representative of EPA or a state or local government. Enter the date of the inspection. Check the appropriate box(es) to indicate who visited the site or performed the inspection. If the site visit was performed by a contractor, enter the name of the company.</p> <p>*IV-02 Site Status: Check the appropriate box(es) to indicate the current status of the site. Active sites are those which treat, store, or dispose of wastes. Check Active for those active sites with an inactive storage or disposal area. Inactive sites are those at which treatment, storage, or disposal activities no longer occur.</p> <p>IV-03 Years of Operation: Enter the beginning and ending years (or beginning only if operations at the site are on-going), e.g., 1878/1932, of waste treatment, storage, and/or disposal activities at the site. Check Unknown if the years of operation are not known.</p> <p>IV-04 Description of Substances Possibly Present, Known, or Alleged: Provide a narrative description of</p> | <p>Part 2 Waste Information</p> <p>*I. Identification: Refer to Part 1-I.</p> <p>II. Waste States, Quantities, and Characteristics: Waste States, Quantities, and Characteristics provide information about the physical structure and form of the waste, measures of gross amounts at the site, and the hazards posed by the waste, considering acute and chronic health effects and mobility along a pathway.</p> <p>*II-01 Physical States: Check the appropriate box(es) to indicate the state(s) of waste present, or thought to be present, at the site. If Other is indicated, specify the physical state of the waste.</p> <p>*II-02 Waste Quantity at Site: Enter estimates of amounts of waste at the site. Estimates may be in weight (Tons) or volume (Cubic Yards or Number of Drums). Use as many entries as are appropriate; however, measurements must be independent. For</p> |

APPENDIX

I. FEEDSTOCKS

CAS Number	Chemical Name	CAS Number	Chemical Name	CAS Number	Chemical Name
1. 7684-41-7	Ammonia	14. 1317-38-0	Cupric Oxide	27. 7778-50-9	Potassium Dichromate
2. 7440-38-0	Antimony	15. 7758-88-7	Cupric Sulfate	28. 1310-58-3	Potassium Hydroxide
3. 1309-64-4	Antimony Trioxide	16. 1317-39-1	Cuprous Oxide	29. 115-07-1	Propylene
4. 7440-38-2	Arsenic	17. 74-85-1	Ethylene	30. 10588-01-9	Sodium Dichromate
5. 1327-53-3	Arsenic Trioxide	18. 7647-01-0	Hydrochloric Acid	31. 1310-73-2	Sodium Hydroxide
6. 21109-85-5	Barium Sulfide	19. 7684-39-3	Hydrogen Fluoride	32. 7646-78-8	Stannic Chloride
7. 7726-85-6	Bromine	20. 1335-25-7	Lead Oxide	33. 7772-99-8	Stannous Chloride
8. 105-89-0	Butadiene	21. 7439-87-6	Mercury	34. 7664-93-9	Sulfuric Acid
9. 7440-43-9	Cadmium	22. 74-82-8	Methane	35. 108-88-3	Toluene
10. 7782-60-5	Chlorine	23. 91-20-3	Napthalene	36. 1330-20-7	Xylene
11. 12737-27-8	Chromite	24. 7440-02-0	Nickel	37. 7646-85-7	Zinc Chloride
12. 7440-47-3	Chromium	25. 7697-37-2	Nitric Acid	38. 7733-02-0	Zinc Sulfate
13. 7440-48-4	Cobalt	26. 7723-14-0	Phosphorus		

II. HAZARDOUS SUBSTANCES

CAS Number	Chemical Name	CAS Number	Chemical Name	CAS Number	Chemical Name
1. 75-07-0	Acetaldehyde	47. 1303-33-9	Arsenic Trisulfide	92. 142-71-2	Cupric Acetate
2. 64-19-7	Acetic Acid	48. 542-62-1	Barium Cyanide	93. 12002-03-8	Cupric Acetoarsenite
3. 108-24-7	Acetic Anhydride	49. 71-43-2	Benzene	94. 7447-39-4	Cupric Chloride
4. 75-86-5	Acetone Cyanohydrin	50. 65-85-0	Benzoic Acid	95. 3251-23-8	Cupric Nitrate
5. 506-96-7	Acetyl Bromide	51. 100-47-0	Benzonitrile	96. 5893-66-3	Cupric Oxalate
6. 75-36-5	Acetyl Chloride	52. 98-88-4	Benzoyl Chloride	97. 7758-98-7	Cupric Sulfate
7. 107-02-8	Acrolein	53. 100-44-7	Benzyl Chloride	98. 10380-29-7	Cupric Sulfate Ammonium
8. 107-13-1	Acrylonitrile	54. 7440-41-7	Beryllium	99. 815-82-7	Cupric Tartrate
9. 124-04-9	Adipic Acid	55. 7787-47-5	Beryllium Chloride	100. 506-77-4	Cyanogen Chloride
10. 309-00-2	Aldrin	56. 7787-49-7	Beryllium Fluoride	101. 110-82-7	Cyclohexane
11. 10043-01-3	Aluminum Sulfate	57. 13597-99-4	Beryllium Nitrate	102. 94-75-7	2,4-D Acid
12. 107-18-6	Allyl Alcohol	58. 123-86-4	Butyl Acetate	103. 94-11-1	2,4-D Esters
13. 107-05-1	Allyl Chloride	59. 84-74-2	n-Butyl Phthalate	104. 50-29-3	DDT
14. 7684-41-7	Ammonia	60. 109-73-9	Butylamine	105. 333-41-5	Diazinon
15. 631-61-8	Ammonium Acetate	61. 107-92-6	Butyric Acid	106. 1918-00-9	Dicamba
16. 1863-63-4	Ammonium Benzoate	62. 543-90-8	Cadmium Acetate	107. 1194-65-6	Dichlobenil
17. 1066-33-7	Ammonium Bicarbonate	63. 7789-42-6	Cadmium Bromide	108. 117-80-6	Dichlone
18. 7789-09-5	Ammonium Bichromate	64. 10108-64-2	Cadmium Chloride	109. 25321-22-6	Dichlorobenzene
19. 1341-49-7	Ammonium Bisulfide	65. 7778-44-1	Calcium Arsenate	110. 266-38-19-7	Dichloropropane
20. 10192-30-0	Ammonium Bisulfite	66. 52740-16-6	Calcium Arsenite	111. 26952-23-8	Dichloropropene
21. 1111-78-0	Ammonium Carbamate	67. 75-20-7	Calcium Carbide	112. 8003-19-8	Dichloropropene-Dichloropropane
22. 12125-02-9	Ammonium Chloride	68. 13765-19-0	Calcium Chromate		
23. 7788-98-9	Ammonium Chromate	69. 592-01-8	Calcium Cyanide	113. 75-99-0	2,2-Dichloropropane
24. 3012-65-5	Ammonium Citrate, Dibasic	70. 26264-06-2	Calcium Dodecylbenzene Sulfonate	114. 62-73-7	Dichlorvos
25. 13826-83-0	Ammonium Fluoborate			115. 60-67-1	Dieldrin
26. 12125-01-8	Ammonium Fluoride	71. 7778-54-3	Calcium Hypochlorite	116. 109-89-7	Diethylamine
27. 1336-21-6	Ammonium Hydroxide	72. 133-06-2	Captan	117. 124-40-3	Dimethylamine
28. 6009-70-7	Ammonium Oxalate	73. 63-25-2	Carbaryl	118. 25154-54-5	Dinitrobenzene (ortho)
29. 18919-19-0	Ammonium Silicofluoride	74. 1563-66-2	Carbofuran	119. 51-28-5	Dinitrophenol
30. 7773-08-0	Ammonium Sulfamate	75. 75-15-0	Carbon Disulfide	120. 25321-14-6	Dinitrotoluene (ortho)
31. 12135-76-1	Ammonium Sulfide	76. 56-23-5	Carbon Tetrachloride	121. 85-00-7	Diquat
32. 10198-04-0	Ammonium Sulfite	77. 57-74-9	Chlordane	122. 298-04-4	Disulfoton
33. 14307-43-8	Ammonium Tartrate	78. 7782-50-5	Chlorine	123. 330-54-1	Diuron
34. 1762-95-4	Ammonium Thiocyanate	79. 108-90-7	Chlorobenzene	124. 27176-87-0	Dodecylbenzenes
35. 7783-18-8	Ammonium Thiosulfate	80. 67-66-3	Chloroform	125. 115-29-7	Endosulfan (all isomers)
36. 628-63-7	Amyl Acetate	81. 7790-84-5	Chlorosulfonic Acid	126. 72-20-8	Endrin and Metas
37. 62-53-3	Aniline	82. 2921-88-2	Chlorpyrifos	127. 106-89-8	Epichlorohydrin
38. 7647-18-9	Antimony Pentachloride	83. 1066-30-4	Chromic Acetate	128. 563-12-2	Ethion
39. 7789-61-9	Antimony Tribromide	84. 7738-94-5	Chromic Acid	129. 100-41-4	Ethyl Benzene
40. 10025-91-9	Antimony Trichloride	85. 10101-53-8	Chromic Sulfate	130. 107-15-3	Ethylene diamine
41. 7783-56-4	Antimony Trifluoride	86. 10049-05-5	Chromous Chloride	131. 106-93-4	Ethylene Dibromide
42. 1309-64-4	Antimony Trioxide	87. 544-18-3	Cobaltous Formate	132. 107-06-2	Ethylene Dichloride
43. 1303-32-8	Arsenic Disulfide	88. 14017-41-5	Cobaltous Sulfamate	133. 60-00-4	EDTA
44. 1303-28-2	Arsenic Pentoxide	89. 56-72-4	Coumaphos	134. 1185-87-5	Ferric Ammonium Sulfate
45. 7784-34-1	Arsenic Trichloride	90. 1319-77-3	Cresol	135. 2944-67-4	Ferric Ammonium Sulfate
46. 1327-53-3	Arsenic Trioxide	91. 4170-30-1	Crotonaldehyde	136. 7705-08-0	Ferric Chloride

65

OSWER DIRECTIVE 9345.0-01

II. HAZARDOUS SUBSTANCES

CAS Number	Chemical Name	CAS Number	Chemical Name	CAS Number	Chemical Name
137. 7783-50-8	Ferric Fluoride	192. 74-89-5	Monomethylamine	249. 7632-00-0	Sodium Nitrate
138. 10421-48-4	Ferric Nitrate	193. 300-76-5	Naled	250. 7558-79-4	Sodium Phosphate, Dibasic
139. 10028-22-6	Ferric Sulfate	194. 91-20-3	Naphthalene	251. 7601-54-8	Sodium Phosphate, Tribasic
140. 10045-89-3	Ferrous Ammonium Sulfate	195. 1338-24-5	Naphthenic Acid	252. 10102-18-8	Sodium Selenite
141. 7758-94-3	Ferrous Chloride	196. 7440-02-0	Nickel	253. 7789-06-2	Strontium Chromate
142. 7720-78-7	Ferrous Sulfate	197. 15899-18-0	Nickel Ammonium Sulfate	254. 57-24-9	Strychnine and Salts
143. 206-44-0	Fluoranthene	198. 37211-05-6	Nickel Chloride	255. 100-420-5	Styrene
144. 50-00-0	Formaldehyde	199. 12064-48-7	Nickel Hydroxide	256. 12771-08-3	Sulfur Monochloride
145. 64-18-6	Formic Acid	200. 14216-75-2	Nickel Nitrate	257. 7664-83-9	Sulfuric Acid
146. 110-17-8	Fumaric Acid	201. 7786-81-4	Nickel Sulfate	258. 93-78-5	2,4,5-T Acid
147. 98-01-1	Furfural	202. 7697-37-2	Nitric Acid	259. 2008-46-0	2,4,5-T Amines
148. 86-50-0	Guthion	203. 98-95-3	Nitrobenzene	260. 93-79-8	2,4,5-T Esters
149. 76-44-8	Heptachlor	204. 10102-44-0	Nitrogen Dioxide	261. 13560-99-1	2,4,5-T Salts
150. 118-74-1	Hexachlorobenzene	205. 25154-55-6	Nitrophenol (all isomers)	262. 93-72-1	2,4,5-TP Acid
151. 87-68-3	Hexachlorobutadiene	206. 1321-12-6	Nitrotoluene	263. 32534-95-5	2,4,5-TP Acid Esters
152. 67-72-1	Hexachloroethane	207. 30525-89-4	Paraformaldehyde	264. 72-54-8	TDE
153. 70-30-4	Hexachlorophene	208. 56-38-2	Parathion	265. 95-94-3	Tetrachlorobenzene
154. 77-47-4	Hexachlorocyclopentadiene	209. 608-93-5	Pentachlorobenzene	266. 127-18-4	Tetrachloroethane
155. 7647-01-0	Hydrochloric Acid (Hydrogen Chloride)	210. 87-86-5	Pentachlorophenol	267. 78-00-2	Tetraethyl Lead
156. 7664-39-3	Hydrofluoric Acid (Hydrogen Fluoride)	211. 85-01-8	Phenanthrene	268. 107-49-3	Tetraethyl Pyrophosphate
157. 74-90-8	Hydrogen Cyanide	212. 108-95-2	Phenol	269. 7446-18-6	Thallium (I) Sulfate
158. 7783-06-4	Hydrogen Sulfide	213. 75-44-5	Phosgene	270. 108-88-3	Toluene
159. 78-79-5	Isoprene	214. 7664-38-2	Phosphoric Acid	271. 8001-35-2	Toxaphene
160. 42504-48-1	Isopropanolamine Dodecylbenzenesulfonate	215. 7723-14-0	Phosphorus	272. 12002-48-1	Trichlorobenzene (all isome
161. 115-32-2	Kelthane	216. 10025-87-3	Phosphorus Oxychloride	273. 52-68-6	Trichlorfon
162. 143-50-0	Kepone	217. 1314-80-3	Phosphorus Pentasulfide	274. 25323-89-1	Trichloroethane (all isomers
163. 301-04-2	Lead Acetate	218. 7719-12-2	Phosphorus Trichloride	275. 79-01-6	Trichloroethylene
164. 3687-31-8	Lead Arsenate	219. 7784-41-0	Potassium Arsenate	276. 25167-82-2	Trichlorophenol (all isomers
165. 7758-95-4	Lead Chloride	220. 10124-50-2	Potassium Arsenite	277. 27323-41-7	Triethanolamine Dodecylbenzenesulfonate
166. 13814-96-5	Lead Fluoborate	221. 7778-50-9	Potassium Bichromate	278. 121-44-8	Triethylamine
167. 7783-46-2	Lead Fluoride	222. 7789-00-8	Potassium Chromate	279. 75-50-3	Trimethylamine
168. 10101-63-0	Lead Iodide	223. 7722-64-7	Potassium Permanganate	280. 541-09-3	Uranyl Acetate
169. 18256-98-9	Lead Nitrate	224. 2312-35-8	Propargite	281. 10102-06-4	Uranyl Nitrate
170. 7428-48-0	Lead Stearate	225. 79-09-4	Propionic Acid	282. 1314-62-1	Vanadium Pentoxide
171. 15739-80-7	Lead Sulfate	226. 123-62-6	Propionic Anhydride	283. 27774-13-6	Vanadyl Sulfate
172. 1314-87-0	Lead Sulfide	227. 1336-36-3	Polychlorinated Biphenyls	284. 108-05-4	Vinyl Acetate
173. 592-87-0	Lead Thiocyanate	228. 151-50-8	Potassium Cyanide	285. 75-35-4	Vinylidene Chloride
174. 58-89-9	Lindane	229. 1310-58-3	Potassium Hydroxide	286. 1300-71-6	Xylenol
175. 14307-35-8	Lithium Chromate	230. 75-56-9	Pyrethrins	287. 557-34-6	Zinc Acetate
176. 121-75-5	Malthion	231. 121-29-9	Quinoline	288. 52628-25-8	Zinc Ammonium Chloride
177. 110-16-7	Maleic Acid	232. 91-22-5	Resorcinol	289. 1332-07-6	Zinc Borate
178. 108-31-6	Maleic Anhydride	233. 108-46-3	Selenium Oxide	290. 7699-45-8	Zinc Bromide
179. 2032-65-7	Mercaptodimethur	234. 7446-08-4	Silver Nitrate	291. 3486-35-9	Zinc Carbonate
180. 592-04-1	Mercuric Cyanide	235. 7761-88-8	Sodium Arsenate	292. 7646-85-7	Zinc Chloride
181. 10045-94-0	Mercuric Nitrate	236. 7631-89-2	Sodium Arsenite	293. 557-21-1	Zinc Cyanide
182. 7783-35-9	Mercuric Sulfate	237. 7784-48-5	Sodium Bichromate	294. 7783-49-3	Zinc Fluoride
183. 592-85-8	Mercuric Thiocyanate	238. 10588-01-9	Sodium Bifluoride	295. 557-41-6	Zinc Formate
184. 10415-75-5	Mercurous Nitrate	239. 1333-83-1	Sodium Bisulfite	296. 7779-86-4	Zinc Hydrosulfite
185. 72-43-5	Methoxychlor	240. 7631-90-5	Sodium Chromate	297. 7779-88-8	Zinc Nitrate
186. 74-93-1	Methyl Mercaptan	241. 7775-11-3	Sodium Cyanide	298. 127-82-2	Zinc Phenolsulfonate
187. 80-62-6	Methyl Methacrylate	242. 143-33-9	Sodium Dodecylbenzene Sulfonate	299. 1314-84-7	Zinc Phosphide
188. 298-00-0	Methyl Parathion	243. 25155-30-0	Sodium Fluoride	300. 16871-71-9	Zinc Silicofluoride
189. 7786-34-7	Mevinphos	244. 7681-49-4	Sodium Hydrosulfide	301. 7733-02-0	Zinc Sulfate
190. 315-18-4	Mexacarbate	245. 16721-80-5	Sodium Hydroxide	302. 13746-89-9	Zirconium Nitrate
191. 75-04-7	Monomethylamine	246. 1310-73-2	Sodium Hypochlorite	303. 16923-95-8	Zirconium Potassium Fluor
		247. 7681-52-9	Sodium Methylate	304. 14644-61-2	Zirconium Sulfate
		248. 124-41-4		305. 10028-11-6	Zirconium-Tetrachloride

193
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9345.0-01 OSWER DIRECTIVE

APPENDIX D: CRITERIA AND PROCEDURES FOR
HANDLING PA PETITIONS

03 68

OSWER DIRECTIVE 9345.0-01

CRITERIA AND PROCEDURES FOR
HANDLING PA PETITIONS

A. Conditions a PA Petition Must Satisfy

To be complete, the petition must be written and contain the following information:

- (1) The petitioner's name, address, phone number, and signature;
- (2) A description of the location of the release or threatened release, including a marked map if possible; and
- (3) How the petitioner is, or may be, affected by the release or threatened release.

The Region should not consider a petition complete or initiate the 12-month period within which a PA must be conducted or denied until all three of these basic kinds of information are provided. If the Region receives an oral request to perform a PA, the Region should instruct the petitioner to submit the petition in writing and inform him or her of the information required.

No particular wording is required for the petition, but a sample petition format will be included in a public information bulletin that is being prepared for Regions to provide to interested persons. (A copy of the format sample is Attachment A of this document.) The petitioner should provide sufficient information to lead the Regional reviewer ("reviewer") to suspect that there may be a release or threatened release of a hazardous substance, pollutant, or contaminant. The petitioner may be an individual person or any entity that comes within the CERCLA section 101(21) definition of "person."

PA petitions may describe a release that requires remedial or removal attention, or both. Petitioners should be encouraged, therefore, to supply as much pertinent information as possible to assist the reviewer in evaluating the petition and to ensure that appropriate Agency attention is given to releases or threatened releases that are the subject of the petition. The following information, although not required to be submitted, illustrates data that may accelerate a decision on the petition:

- (1) The type of substance(s) involved or a

OSWER DIRECTIVE 9345.0-01

description of the characteristics of the substance(s);

- (2) The nature and history of the activities that have occurred regarding the release or threatened release; and
- (3) Whether State and local authorities have been contacted about the release or threatened release and what action they have taken, if any.

When the release identified in a PA petition cannot be addressed under CERCLA (CERCLA eligibility is described in Section B, immediately below.), the release may warrant response under other State or local authority. Regional reviewers should, therefore, encourage petitioners to notify appropriate State and local agencies of the release. The public information bulletin also suggests that, before submitting petitions, petitioners notify State and local agencies if they have not already done so.

B. Factors for Determining the Appropriateness of a PA

The primary purpose of the petition process is to identify and respond to releases and threatened releases that have not yet come to EPA's attention. In evaluating petitions, therefore, reviewers should be guided by their experience and expert judgment in addition to the information provided in the petition. The time and resources required to perform a PA should be weighed against those required to deny a petition and the impact of denial. Subsequent sections of this appendix describe the methods, procedures, and criteria the lead agency will use in performing a remedial PA until proposed NCP revisions are promulgated.

Upon receipt of a complete petition, the reviewer will first determine if a PA of the release has already been conducted. If no PA has been conducted, the Region should employ the following criteria in determining whether a requested PA is appropriate: (1) whether the release or threatened release is of a type that is within CERCLA authority; and (2) whether sufficient information has been supplied to lead the reviewer to suspect there may be a release or threatened release.

CERCLA Eligibility. Certain CERCLA provisions delineate circumstances in which approval of PA petitions is not appropriate:

- (1) CERCLA section 104(a)(3) generally prohibits responses to releases or threatened releases:

71
08

OSWER DIRECTIVE 9345.0-01

- (a) Of naturally occurring substances in their unaltered form, or altered solely through naturally occurring processes or phenomena, from a location where it is naturally found;
- (b) From products which are part of the structure of, and result in exposure within, residential buildings or business or community structures; or
- (c) Into public or private drinking water systems due to deterioration of the system through ordinary use.

An exception to the general prohibition may be made if the release or threatened release is a public health or environmental emergency and no one else has the authority or capability to respond in a timely fashion.

- (2) CERCLA definitions of hazardous substance, pollutant or contaminant, in subsections 101(14) and 101(33), respectively, exclude from these definitions petroleum, including crude oil, natural gas, natural gas liquids, liquefied natural gas, synthetic gas usable for fuel, and mixtures of natural and synthetic gas.
- (3) CERCLA section 101(22) precludes response to releases within the workplace which result in exposure to persons with respect to which such persons may assert a claim against their employer, certain engine exhaust emissions, releases of nuclear material subject to the Nuclear Regulatory Commission financial responsibility requirements under section 107 of the Atomic Energy Act of 1954, releases of source, byproduct, or special nuclear material from a processing site under the Uranium Mill Tailings Radiation Control Act of 1978, and releases from the normal application of fertilizer.

Sufficient Information. The petition should be denied if the petitioner does not provide sufficient evidence to lead the reviewer to suspect that there may be a release or threatened release. (The kind of information that is needed to evaluate a PA petition is identified in Section A. (p. D-1), above.) Although this criterion will infrequently result in the denial of a petition, it should be used to deny a petition that is clearly frivolous. Before denying the petition for lack of sufficient information, however, the reviewer should contact the petitioner to ensure that all known, relevant facts are considered. Petitioners do not have to supply detail that

OSWER DIRECTIVE 9345.0-01

proves unambiguously that a release or threatened release exists; at a minimum, the information must be of sufficient detail to give the reviewer a reasonable basis for suspecting that a release or threatened release may exist. When determining whether to deny a petition for lack of sufficient information, the Region should balance the relative time requirements of denying a petition against those required to conduct a PA. In general, in evaluating the information and resource requirements, Regions should err on the side of approving PA petitions.

There are several kinds of petitions that are potentially difficult to deal with:

- (1) A petition for multiple sites, described generically, without identification of releases or threatened releases;
- (2) A petition for a release or threatened release where the effects or potential effects on the petitioner (including environmental effects) are highly unlikely or non-existent; and
- (3) A petition for a PA of an area-wide problem with no identified source.

EPA cannot deny petitions within one of these three categories but the Region can encourage petitioners to be as specific as possible in defining what they believe to be a release and providing as much information as possible about the source of the release. The public information bulletin on PA petitions will identify instances in which a petition would not be appropriate and explain ways the public can more accurately describe a release.

OSWER DIRECTIVE 9345.0-01

C. Procedures for Handling Petitions

o Administrative Procedures

A PA petition must be submitted to the Regional Administrator who has jurisdiction over the area where the release or threatened release is located (a model letter acknowledging the receipt of a petition is provided as Attachment B). By statutory requirement, the Region must either approve and complete the requested assessment or deny the petition within 12 months of receiving a petition. The statutory requirement establishes the outside limits for completion of the PA or denial of the petition. Regions can, of course, complete a PA or deny a petition in less time than the statutory maximum. (A model approval letter is provided as Attachment C). Since denial of a petition is also an official Agency action, the denial must be sent by the appropriate delegated Regional official. The petitioner should be notified by letter that the petition is denied and given the basis for denial using the criteria in Section B., p. D-2, above. (A model denial letter is provided as Attachment D.)

If a PA is performed in response to a petition, the Region will send a copy of the completed PA report to the petitioner. If the PA is conducted by a State via a cooperative agreement, the State will make a recommendation upon which the Region will base its decision about whether future actions are required. The cover letter will include a description of any future actions at the site. (A model cover letter is provided as Attachment E.) All petitions, logs of follow-up telephone contacts, follow-up letters, cover letters, and decision documents, such as the PA report, must be retained in a file, and the petition process must be tracked using the CERCLA Information System (CERCLIS), as discussed below. (Attachment H provides instructions for tracking the petition process through CERCLIS.)

o Insufficient Information

In instances where information is insufficient to lead the reviewer to suspect that there may be a release or threatened release, the reviewer may, based on his or her knowledge and experience, make further inquiry. In such instances, the reviewer should contact the petitioner to determine if additional information can be supplied. Records of follow-up phone calls or letters should be included in the PA file.

-74

OSWER DIRECTIVE 9345.0-01

o ATSDR Coordination

When a PA petition is received, the Agency for Toxic Substance and Disease Registry (ATSDR) has requested that the Region provide a copy to the appropriate ATSDR contact. ATSDR, in their guidance for handling health assessment petitions, will specify that the ATSDR contact provide Regional CERCLA program offices with copies. If both agencies receive petitions for the same site, they can coordinate their responses. (A list of ATSDR Regional contacts is provided as Attachment F.)

o Federal Facilities

Under Executive Orders 11735 and 12580, certain functions and responsibilities under the Clean Water Act and CERCLA, respectively, are delegated to Federal agencies, including responsibility for responding to PA petitions regarding release from their facilities. Accordingly, EPA will not perform PAs at Federal facilities. The public information bulletin on PA petitions will direct petitioners to address petitions regarding releases from Federal facilities to the appropriate Federal agency. If the Region receives a petition that involves a release or threatened release at a Federal facility, the Region will transfer the petition to the Federal Agency responsible for the facility for evaluation and disposition. (A list of Federal facility coordinators from whom Federal agency addresses can be obtained is provided as Attachment G.)

o RCRA Facilities

Regions will respond to most petitions concerning RCRA facilities. If the petition concerns an active RCRA land disposal facility, the Region should check to see if a RCRA facility assessment (RFA) of the site has been done. If an RFA has been done, it will be considered the equivalent of a PA. If an RFA is underway or scheduled within one year of the PA petition, a CERCLA pre-remedial PA need not be done at the facility. If an RFA will not be done within one year, the Region will conduct a PA at the facility.

A generator, however, unless it was formerly a treatment, storage, or disposal facility, is not subject to corrective action or to corrective action for solid waste management units at the generator's facility. Consequently, PA petitions related to generators' activities will almost always require CERCLA response.

OSWER DIRECTIVE 9345.0-01

o CERCLIS Tracking

CERCLIS will be used to track the receipt of PA petitions and their disposition. CERCLIS uses generic data elements called events to track the PA/SI process. PA is the generic event code for PAs and related data. Regions will use the numerical PA sub-event code, the next data level beneath the PA event code, to enter data about PA petitions. When a PA petition is received, the Region will enter the PA petition sub-event code and the date of receipt. If the petition is approved, the date of approval of the PA will be entered. If the petition is denied, the Region will enter the sub-event code for denial and the date of denial. (More detailed instructions are provided in Attachment H.)

V. Supporting Materials

The following supporting materials are attached:

- o Attachment A: Public petition format sample;
- o Attachment B: Model letter of acknowledgement;
- o Attachment C: Model approval letter;
- o Attachment D: Model denial letter;
- o Attachment E: Model cover letter;
- o Attachment F: List of ATSDR Regional contacts;
- o Attachment G: List of Federal facility coordinators; and
- o Attachment H: CERCLIS instructions.

891
193

OSWER DIRECTIVE 9345.0-01

Attachment A. Sample Public Petition Format

(Regional Administrator
United States Environmental Protection Agency
Region (insert proper Region number) (or) Federal Agency)

(address)

PRELIMINARY ASSESSMENT PETITION

[Instructions in brackets can be replaced with relevant information, and the brackets deleted.]

Under the authority of CERCLA section 105(d), as amended, the petitioner,

(Name): _____

(Address): _____

(Telephone Number): _____

hereby requests that Region [(insert number of U.S. EPA Region in which release/threatened release is located from list provided in the bulletin) of the United States Environmental Protection Agency (or) (name of appropriate Federal agency, in the case of a suspected release/potential release from a Feder facility)] conduct a preliminary assessment of the suspected [release (or) threatened release] of a hazardous substance, pollutant, or contaminant at the following location:

(Precise description of the
location of the release/threatened release:
attach marked map if possible)

Petitioner is affected by the [release (or) threatened release because

(Describe as completely as possible how you are
affected, or potentially affected, by the release/
threatened release)

2777

OSWER DIRECTIVE 9345.0-01

• SAMPLE FORMAT •
(continued)

[The information requested below is not required but, to the extent that it can be included, it will expedite review of and response to your petition.]

Type or characteristics of the substance(s) involved:

Nature and history of any activities that have occurred regarding the release/ threatened release:

State and local authorities you have contacted about the release/threatened release and the response, if any:

OSWER DIRECTIVE 9345.0-01

Attachment B. Model Letter of Acknowledgement

(Insert date)

Name and address of petition

Dear (insert name of petitioner):

This letter is to notify you that the United States Environmental Protection Agency Region (insert EPA Region number) received your petition for a preliminary assessment of (identify the site that is the subject of the petition) on (insert date petition was received). In accordance with section 105(d) of the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended, your petition will be evaluated to determine whether or not a preliminary assessment of the site is appropriate. When a determination is made, you will be informed of the approval or denial of your petition. If a preliminary assessment is determined to be appropriate, it will be completed within 12 months of the receipt of your petition.

If you have any questions about the preliminary assessment petition process, please contact (insert name and address of Regional contact person) at (insert phone number).

Thank you for your interest and involvement in the Superfund program.

(Delegated Regional Official)
U.S. Environmental Protection Agency
Region (insert EPA Region Number)

OSWER DIRECTIVE 9345.0-01

Attachment C. Model Approval Letter

(Insert date)

Name and address of petitioner

Dear (insert name of petitioner):

This letter is to notify you that the United States Environmental Protection Agency Region (insert EPA Region number) has evaluated your petition for a preliminary assessment of (identify the site that is the subject of the petition) and has determined that a preliminary assessment of the site is appropriate. Accordingly, a preliminary assessment of the site will be completed by (insert date 12 months after the date of the petition). When a report of the preliminary assessment is completed, a copy will be forwarded to you.

If you have any questions about the preliminary assessment process, please contact (insert name and address of Regional contact person) at (insert phone number).

Thank you for your interest and involvement in the Superfund program.

(Delegated Regional Official)
U.S. Environmental Protection Agency
Region (insert EPA Region Number)

OSWER DIRECTIVE 9345.0-01

Attachment D. Model Denial Letter

(Insert date)

Name and address of petitioner

Dear (insert name of petitioner):

This letter is issued in accordance with section 105(d) the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980, as amended, to notify you that the United States Environmental Protection Agency Region (insert EPA Region number) has evaluated your petition for a preliminary assessment of (identify the site involved in the petition) and has determined that a preliminary assessment of the site is not appropriate. The determination was made because (describe reason(s) for denying petition, e.g., EPA is precluded by the definitions of hazardous substances and contaminants or pollutants in subsections 101(14) and 101(33), respectively, the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), as amended, from responding to petroleum releases).

If you have any questions about the denial of your petition, please contact (insert name and address of Regional contact person) at (insert phone number).

Thank you for your interest and involvement in the Superfund program.

(Delegated Regional Official)
U.S. Environmental Protection Agency
Region (insert EPA Region Number)

OSWER DIRECTIVE 9345.0-01

Attachment E. Model PA Report Cover Letter(Insert date)

Name and address of petitioner

Dear (insert name of petitioner)

This letter transmits a copy of the report of the preliminary assessment conducted in response to your petition, which was received by U.S. EPA Region (insert appropriate Region number) on (insert date of receipt of complete petition).

[Use either (1), (2) or (3), as appropriate.] [(1) The results in the attached report indicate a release [(or) a threatened release] of (insert name(s) of hazardous substance(s) or pollutant(s) or contaminant(s)) at the described site. Accordingly, evaluation of the site in the pre-remedial program of the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), as amended, will continue, and a Site Investigation (SI) will be conducted at the identified location. Data collected during the SI will be used to determine whether subsequent actions at the site are necessary and, if so, the priority for any such actions. Remedial action will be undertaken at the site in accordance with its assigned priority; or (2) The results in the attached report indicate that no further pre-remedial action under CERCLA is warranted at this time because (insert the reason no further CERCLA pre-remedial action is appropriate, e.g., the site never handled hazardous substances or pollutants or contaminants.) or (3) the results of the attached report indicate that removal action may be required at the described site. Accordingly, the site has been referred to the removal action program for evaluation.]

If you have any questions about the preliminary assessment report [or further action at the site], please contact (insert name and address of Regional contact person) at (insert phone number).

Thank you once again for your interest and involvement in the Superfund program.

(Delegated Regional Official)
U.S. Environmental Protection Agency
Region (insert EPA Region Number)

03 82

OSWER DIRECTIVE 9345.0-01

Attachment F. ATSDR REGIONAL CONTACTS

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OSWER DIRECTIVE 9345.0-01

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Joel D. Mulder
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OSWER DIRECTIVE 9345.0-01

Attachment G. Regional Federal Facility CoordinatorsRegion I

Clara Chow
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Region II

Bob Hargrove
FTS 264-5390

Region III

Fran Mulhern
FTS 597-1168

Region IV

Art Linton
FTS 257-3776

Region V

Kestutis Ambutas
FTS 353-1394

Region VI

Jim Highland,
FTS 255-2260

Region VII

Glen Yager
FTS 757-2823

Region VIII

Elmer Chenault
FTS 564-1644

Region IX

Laura Fujii
FTS 454-7539

Region X

Clark Smith
FTS 399-1327

OSWER DIRECTIVE 9345.0-01

Attachment H. CERCLIS Instructions

CERCLIS will track PA petitions and their disposition as sub-events of the preliminary assessment event, 2101 sub 004 Preliminary Assessment (PA).

- (1) When a PA petition is received, the sub-event 3101 sub 003 should be entered along with the date of receipt.
- (2) If the petition is approved, the sub-event 3103 sub 003 should be entered along with the date of the approval of the PA.
- (3) If the petition is denied, the sub-event 3103 sub 004 should be entered along with the date of denial.

193
901

OSWER DIRECTIVE 9345.0-01

APPENDIX E:
CRITERIA FOR REMOVAL RESPONSE

23
88

OSWER DIRECTIVE 9345.0-01

CRITERIA FOR REMOVAL RESPONSE

The following factors shall be considered in determining the appropriateness of a removal action:

- (1) Actual or potential exposure to hazardous substances or pollutants or contaminants by nearby populations, animals, or food chain;
- (2) Actual or potential contamination of drinking water supplies or sensitive ecosystems;
- (3) Hazardous substances or pollutants or contaminants in drums, barrels, tanks, or other bulk storage containers, that may pose a threat of release;
- (4) High levels of hazardous substances or pollutants or contaminants in soils largely at or near the surface, that may migrate;
- (5) Weather conditions that may cause hazardous substances or pollutants or contaminants to migrate or be released;
- (6) Threat of fire or explosion;
- (7) The availability of other appropriate Federal or State response mechanisms to respond to the release;
- (8) Other situations or factors which may pose threats to public health or welfare or the environment.