

Starting Soon: Long-term Contaminant Management Using Institutional Controls



- ▶ ITRC's Long-term Contaminant Management Using Institutional Controls (IC-1, 2016) at <http://institutionalcontrols.itrcweb.org/>
- ▶ Download PowerPoint file
 - Clu-in training page <https://clu-in.org/conf/itrc/lcmuic/> Under "Download Training Materials"
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No associated notes.

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Welcome – Thanks for joining this ITRC Training Class



Long-term Contaminant Management Using Institutional Controls



Long-term Contaminant Management
Using Institutional Controls (IC-1, 2016) at
<http://institutionalcontrols.itrcweb.org/>

Sponsored by: Interstate Technology and Regulatory Council (www.itrcweb.org)
Hosted by: US EPA Clean Up Information Network (www.cluin.org)

Institutional controls (ICs) are administrative or legal restrictions that provide protection from exposure to contaminants on a site. When ICs are jeopardized or fail, direct exposure to human health and the environment can occur. While a variety of guidance and research to date has focused on the implementation of ICs, ITRC's Long-term Contaminant Management Using Institutional Controls (IC-1, 2016) guidance and this associated training class focuses on post-implementation IC management, including monitoring, evaluation, stakeholder communications, enforcement, and termination. The ITRC guidance and training will assist those who are responsible for the management and stewardship of ICs. ITRC has developed a downloadable tool that steps users through the process of planning and designing IC management needs. This tool can help to create a long lasting record of the site that includes the regulatory authority, details of the IC, the responsibilities of all parties, a schedule for monitoring the performance of the IC, and more. The tool generates an editable Long Term Stewardship (LTS) plan in Microsoft Word.

After attending the training, participants will be able to:

- Describe best practices and evolving trends for IC management at individual sites and across state agency programs
- Use this guidance to
 - Improve IC reliability and prevent IC failures
 - Improve existing, or develop new, IC Management programs
 - Identify the pros and cons about differing IC management approaches
- Use the tools to establish an LTS plan for specific sites
- Use the elements in the tools to understand the information that should populate an IC registry or data management system.

The target audience for this guidance includes environmental regulators at all levels of government, private and public responsible or obligated parties (Ops), current site owners and operators, environmental consultants, and prospective purchasers of property and their agents. Other stakeholders who have an interest in a property can also use this guidance to help understand how to manage ICs.

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Although I'm sure that some of you are familiar with these rules from previous CLU-IN events, let's run through them quickly for our new participants.

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Kevin Schrems is a compliance and enforcement case coordinator with the Michigan Department of Environmental Quality's Remediation and Redevelopment Division (RRD), in Lansing, MI. He has worked for the Michigan Department of Environmental Quality since 2012. His expertise is in land or resource use restrictions under the Environmental Remediation (Part 201) and Leaking Underground Storage Tank (Part 213) programs, including restrictive covenants, notices, and road right-of-way instruments. Kevin also is responsible for reviewing post closure agreements as part of No Further Action submittals under Part 201. Kevin is a member of the RRD's Institutional Controls Technical and Program Support team, which develops guidance and model documents for land or resource use restrictions to assure consistent statewide implementation. He is also a member of the Interstate Technical and Regulatory Council's Long Term Contaminant Management Using Institutional Controls team, which developed a guidance document that describes the elements of an institutional control management program based on successes from established programs from states, federal agency programs, and other available innovative tools. Kevin earned a Bachelor of Science degree, with honor, in Fisheries and Wildlife from Michigan State University in East Lansing, MI in 2006, a Master of Environmental Law and Policy degree from Vermont Law School in South Royalton, VT in 2008, and a Juris Doctor degree from Vermont Law School in South Royalton, VT in 2011.

Douglas Burge is a Manager for Ramboll Environ in St. Louis, Missouri. He has worked for Ramboll Environ since 2000 and in the environmental field since 1986. Douglas conducts complex geologic, sediment and vapor intrusion investigations throughout the U.S. and Canada with associated risk assessments and design and implementation of remedial efforts. He has experience with all aspects of health and safety related to hazardous waste site investigations and serves as the health and safety coordinator for several Ramboll Environ offices. He has also managed creek bank stabilization projects and was the project lead for investigations of natural spring sites in the Midwest for the bottled water industry. Douglas earned a Bachelor of Science degree in Geology in 1985 from Western Illinois University and is currently a registered geologist in Missouri; licensed professional geologist in Illinois, Indiana, Tennessee and Wisconsin; licensed professional geoscientist in Louisiana, licensed monitoring well driller in Missouri (non-restricted), and a licensed monitoring well technician in Nebraska.

Douglas Soutter is a geologist with GHD, Inc. in Chicago, Illinois. Doug's environmental project experience includes geology, hydrogeology, industrial hygiene, site characterization, sampling and field methods, source identification, evaluation of remedial alternatives, remediation, the application of environmental risk systems, and the development of site-specific remedial objectives. Since 1988, he has worked on many projects which incorporated engineered barriers and institutional controls as part of remedial action. These projects have included CERCLA, RCRA, and state voluntary program sites. Doug is also proficient with database and GIS system development for multi-state projects. Doug is also active in the ITRC Geostatistics for Remediation Optimization and LNAPL Update teams. Doug earned a bachelor's degree in geology from Susquehanna University in Selinsgrove, Pennsylvania in 1986 and a Masters of Environmental Pollution Control from the Pennsylvania State University in Harrisburg, Pennsylvania in 1993. He is an Illinois Licensed Professional Geologist (LPG).

Mike Sowinski is the Vice President of Terradex, a California company focusing on technology services for land activity monitoring of environmentally sensitive sites. He brings over 20 years of engineering and legal experience on environmental cleanup, environmental compliance, property redevelopment, and pollution control (i.e., CWA, RCRA) and is an expert in the niche area of "institutional controls" and long term stewardship. Prior to joining Terradex, Mike practiced environmental law where he advised and litigated on behalf of local governments and private clients on cleanup, institutional controls, brownfield, water pollution, land use, and other environmental matters. His experience also includes a career in environmental consulting where he consulted to federal and state environmental agencies, as well as private clients, on environmental cleanup and compliance matters, ranging from broad-scale program advising on cleanup program and long term stewardship issues, to site-specific brownfield redevelopment, cleanup, water pollution, and environmental compliance matters. Further, Mike has been an expert witness on institutional control issues in a federal court matter. He speaks and writes regularly on environmental cleanup, brownfield, and stewardship matters and, among other things, he recently co-authored a law review article on CERCLA liability defenses in the Virginia Environmental Law Journal. Additionally, Mike leads the ASTM "Continuing Obligation" task group. Finally, he has participated as an Industry Affiliate on the ITRC Team for "Long Term Contaminant Management Using Institutional Controls" since 2013, and in 2014 he received ITRC's Industry Affiliate Award for outstanding contributions. Mike earned both a bachelor's degree in 1991 and master's degree in 1995, in Civil and Environmental Engineering, from the University of Maryland in College Park, MD. Mike also earned a Juris Doctorate from Vermont Law School in South Royalton, VT in 1998.

Lynn Bailey has been an Environmental Health Specialist for the Hawaii Department of Health (HDOH), Hazard Evaluation and Emergency Response Office in Honolulu since 2008. In order to outreach to workers who encounter environmental contamination issues during construction projects, Lynn worked with a consultant to design and deliver Contaminant Awareness Training (CAT). Since 2011, more than 20 CAT audiences have learned to identify contamination during the planning phases of a project, understand release reporting requirements, and learn best management practices that can prevent small problems from becoming larger ones. Lynn also provides regulatory oversight to encourage safe management of contamination during construction of the 20-mile Honolulu Rail Transit Project, a multi-billion dollar project. Additionally, under the State Response Program she assisted with research projects and guidance development. Lynn also is Hawaii's State Engagement Program representative to the Interstate Technology and Regulatory Council. Prior to joining the HDOH, Lynn assisted with the Columbia Shuttle Disaster and Hurricane Katrina responses and was site safety officer, project manager, and/or Project Quality Control Manager for numerous sampling and/or remediation projects. Lynn earned a bachelor's of science in environmental science with chemistry focus from Hawaii Pacific University in Honolulu, HI.

Carol Murphy is a senior engineer at Trihydro Corporation in their St. Louis, Missouri office. She has worked for Trihydro since 2007 and has over 25 years of experience in environmental consulting, compliance and risk management in the engineering consulting, environmental insurance, and industrial sectors. Her experience includes performing environmental due diligence and site assessments, insurance loss control reviews, compliance audits, insurance claims management, and environmental cost and risk management assessments. In performing site assessments and due diligence for clients, she regularly evaluates sites that have used or plan to use Institutional Controls as part of the site remedy. Carol joined the ITRC Long Term Contaminant Management Using Institutional Controls Team in 2014 and continues to support the team as a trainer. She earned a Bachelor of Science degree in Chemical Engineering from the University of Illinois in 1989 and is a Certified Hazardous Materials Manager.

Institutional Controls (ICs) – Important Role in State and Federal Remediation Programs



- ▶ Mid-1990s ICs use grew through use of Risk-based Corrective Action
- ▶ ICs typically used after a site receives “No Further Action” status from regulatory program
- ▶ ICs fueled redevelopment of Brownfield properties
- ▶ ITRC’s 2008 document *Overview of Land Use Control (LUC) Management Systems* describes types of ICs in detail



For many of you on the call, the concept of “leaving contamination in place” was previously not an acceptable way of achieving closure under most regulatory programs. Most programs required contamination to be cleaned up to background or native concentrations. Since the mid 1990s, Risk Based Corrective Action and the use of ICs has become an important part of many federal, state, and local cleanup and brownfield programs. ICs are generally administrative or legal controls that help to minimize the potential for exposure now and in to the future to contamination and protect the integrity of the remedy.

ICs have helped fuel redevelopment and reduced the cost and time to achieve closure at many sites. As an aside, Michigan has the tag line R4R or remediation for redevelopment highlighting the importance of redevelopment.

Terminology is Important

► Engineering Controls (physical)

- Examples – Vapor barriers, physical or hydraulic containment, asphalt/concrete, vapor mitigation systems

► Institutional Controls (social)

- Paper descriptions of legal restrictions
- Protect the integrity of the EC or minimizes potential for human exposure to contamination

► Land Use Controls are ECs+ICs



The terminology and process descriptions used in this guidance are consistent with those used in the Superfund Program.

The picture on the right half of the screen also illustrates the differences between Engineering Controls (ECs) -

Examples - Vapor Barriers, physical or hydraulic containment, asphalt/concrete, vapor mitigation systems

Institutional Controls (ICs) -

Paper descriptions of legal restrictions

Protect the integrity of the EC or minimizes potential for human exposure to contamination

Both are incorporated under the umbrella of land use controls

Land use controls (LUCs) are used to provide protection from exposure to contaminants that exist or remain on a site.

Foundation for Guidance – Nationwide Survey



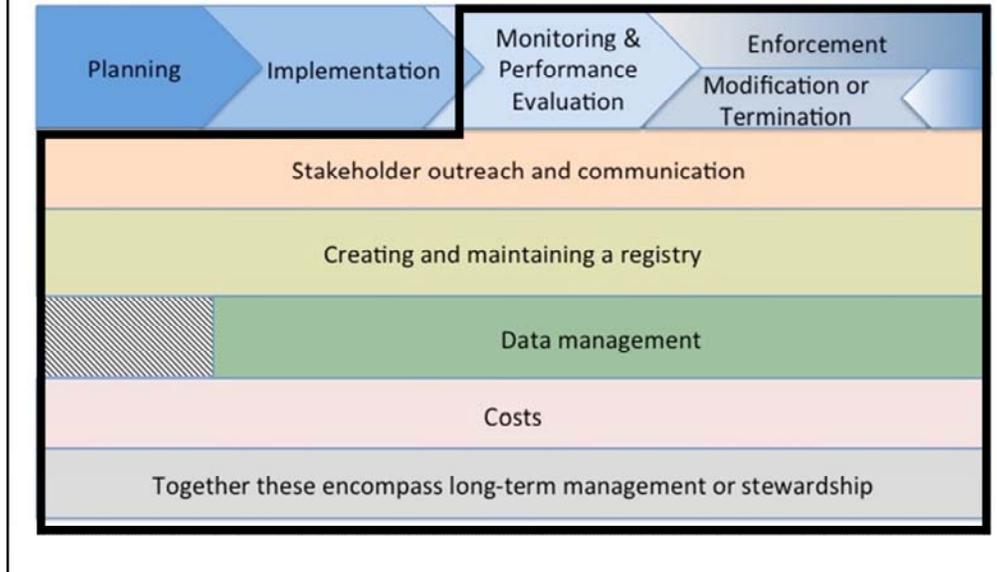
- ▶ ITRC captured information in a comprehensive survey of all states including:
 - Number of institutional controls in place and types used
 - Identified elements of successful long-term mgmt.
 - If IC failures were discovered and how
- ▶ ITRC also gathered and closely examined case studies of successes and failures

INSTITUTIONAL CONTROLS SURVEY OBJECTIVES

ITRC's Institutional Controls (ICs) team is developing a guidance describing a model IC Program, based on successes, which will allow State agencies responsible for ICs to choose successful elements that improve their own Institutional Control Management Program. This survey is being used to understand strengths and weaknesses of existing State Institutional Control Management Programs and will form the basis of this guidance.

Upon initiating the process of developing this guidance, ITRC understood that state agencies use ICs at contaminated sites as remedies; however, we did not know the extent of their use. ITRC also did not understand various state agency IC selection and implementation processes or the regulatory framework governing the ICs. ITRC also wanted to gather information to determine how states manage and fund the ICs once they are in place along with any data indicating that state agencies performed monitoring, tracking, enforcement, and stakeholder outreach. To better understand these questions, ITRC surveyed existing state programs to determine what makes these programs effective and what issues affect the durability of ICs. The survey was submitted to the ITRC representatives for all 50 states, and 44 responses were received. The survey responses have been used to identify which elements help maintain or create a more effective long-term IC program.

Focus of ITRC Guidance Document



This guidance focuses on ICs already in place rather than on the details of selecting ICs. Properly selecting and implementing ICs, however, is essential for long-term durability and effectiveness. Therefore, this guidance provides a summary of some of the key components that are considered when choosing an IC.

During this presentation, and in the guidance document, you will see this diagram which illustrates the five essential elements of the IC life cycle. Beneath the elements of the life cycle, we list critical components that must be considered to achieve a successful IC management program. These essential elements and components essentially formed the structure of the guidance document and various sections in the guidance document address each of these elements. Together, these create an effective long-term stewardship program.

As the presenters transition between each element, you will see this figure reappear on the screen highlighting the next topic.

After Attending this ITRC Training

- ▶ Use the Guidance to:
 - Improve IC reliability and prevent IC failures
 - Improve existing or develop new IC management programs
 - Identify pros and cons about differing IC mgmt. approaches
- ▶ Use downloadable tool to:
 - Establish Long-term Stewardship (LTS) site plan
 - Effectively populate an IC registry or data management system



<http://institutionalcontrols.itrcweb.org/>

This guidance is relevant to environmental regulators at all levels of government, private and public responsible or obligated parties, current site owners and operators, environmental consultants, and prospective purchasers of property and real estate agents. Additionally, stakeholders who have an interest in a property will find this guidance helpful in understanding the elements required to manage ICs.

This guidance assists those who are responsible for stewardship of ICs by describing critical elements and best practices for an IC management program. Much of this document is based on the successes and lessons learned from established state and federal agency programs.

ITRC has also developed a downloadable tool that can help to create a long-term stewardship plan tailored to specific sites. This tool incorporates the various IC management practices presented here to assist in the early stages of site-specific IC planning.

11 **Failure of Institutional Control –
Results in Exposure to Human Health and
the Environment**



► Repair of a broken utility in a roadway in Honolulu, Hawaii

- 2 utilities in hole
- Petroleum on groundwater
- Dewatering hoses in lower left corner placed there by first utility at the scene



But what happens when not effectively managed and monitored..... Let's look at an example....

- 1) This is an area in Honolulu that is widely known to be contaminated
- 2) emergency utility repair in area with LUC
- 3) Note pumps on left side of photo

12 Failure of Institutional Control - Results in Exposure to Human Health and the Environment

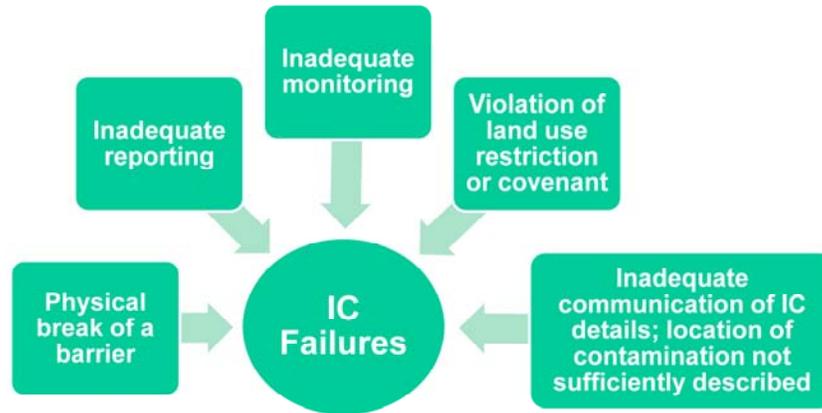


- ▶ Upper right – discharge to roadway
- ▶ Lower right – Storm drains lead to ocean
 - Caused a sheen in harbor
- ▶ Second utility arrived on-site with a vacuum truck and properly managed the contamination.
- ▶ *Could have been prevented/avoided if properly planned (ITRC's LTS Tool)*



- Lower right - This is how the release came to the attention of our State On-scene Coordinators (AND the Clean Water Branch AND the EPA)
- Avoid this type of situation. It could cause hefty penalties \$\$\$\$ from a variety of organizations.
- If both contractors had EHMP/LTS Plan with instructions form managing dewatering fluids, we might have avoided larger release.
- Although there is an Environmental Hazard Management Plan is Hawaii's version of a LTS Plan).
- Had there been an LTS Plan in place, and had all relevant stakeholders had copies of the plan, both contractors would have arrived on-site prepared to properly manage the dewatering fluids and prevent the larger release.

Why Do Institutional Controls Fail?



Based on ITRC team's state survey in August 2015

We just heard about one example of why ICs fail. What are other examples?

Bring up poll results from start of presentation and review audience's answers to poll questions.

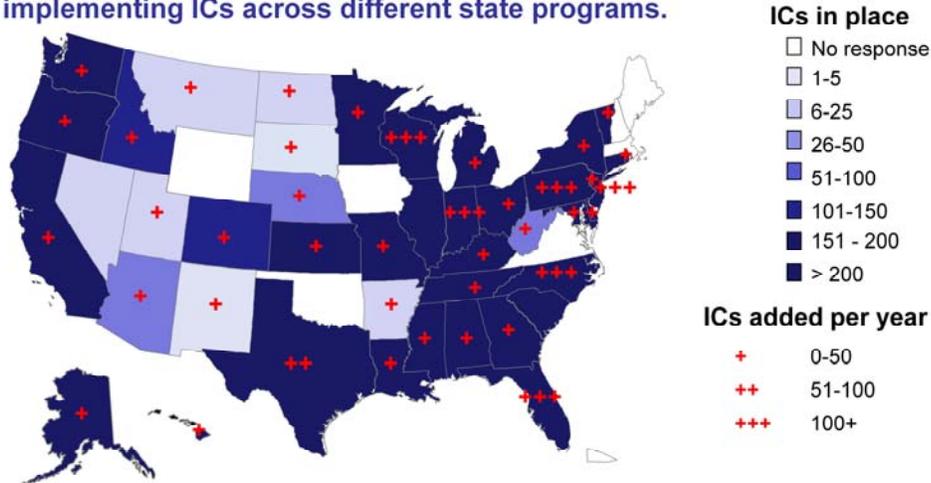
If needed - To illustrate a failure in my state (Michigan), a prospective purchaser of a property was conducting due diligence prior to purchasing the property. The property was the location of a former leaking underground storage tank that was closed in 1997 with an IC that restricted land use and groundwater use. During the due diligence efforts, the prospective purchaser found that the property had been split into two parcels, with one parcel now being zoned as residential, with a home built and a new drinking water well installed in 2001. With no monitoring of the institutional control, this circumstance went undetected by the regulatory agency until 2015 when a prospective purchaser called the agency asking about the closure and land use restrictions concerning the well.

Is IC Failure Really a Significant Issue?



60% of states have 200 or more ICs

64% of states have no standard procedure for selecting, using, and implementing ICs across different state programs.



Based on ITRC team's state survey in August 2015

What makes IC failure a significant issue is that the potential for exposure grows as more ICs are used and not properly managed and monitored. To illustrate the universe of ICs used across the nation, this map indicates that 60% of states that responded to our survey stated they have over 200 ICs in place in their states. But, what we've seen is, that programs to manage ICs vary widely, and some states do not have any formal IC management program.

ITRC Institutional Controls Guidance Supports Long Term Solutions



Based on the ITRC Guidance Document:

- ▶ **Practice good stewardship** to ensure ICs continue to prevent exposure to contamination that has been left in place
- ▶ **Effective communication and recordkeeping**
 - Get everyone on the same page with roles and responsibilities
 - Ensure communications and commitments over time (people come and go the stewardship process has to account for people changes)
 - Document ICs and make them easily accessible

There are solutions to prevent failures of institutional controls which is presented in ITRC's new guidance document and discussed in today's presentation. An IC can only remain effective so long as it continues to be recognized, respected, and upheld by affected stakeholders. Not only does the awareness of a new IC need to be communicated to the affected community, but this awareness should be maintained throughout the life of the IC. Stakeholder outreach discussed later in the presentation includes identifying and involving internal and external stakeholders throughout the IC life cycle.

Downloadable ITRC Tool Creates Long-term Stewardship Plan for ICs



- ▶ Steps by step process to guide user inputs
- ▶ Creates site record
 - Regulatory authority
 - Details of IC
 - Responsibilities
 - Schedule for monitoring and performance
 - And more.....
 - Generates editable Long-term Stewardship (LTS) Plan

Institutional Control Long-term Stewardship Plan for [1]

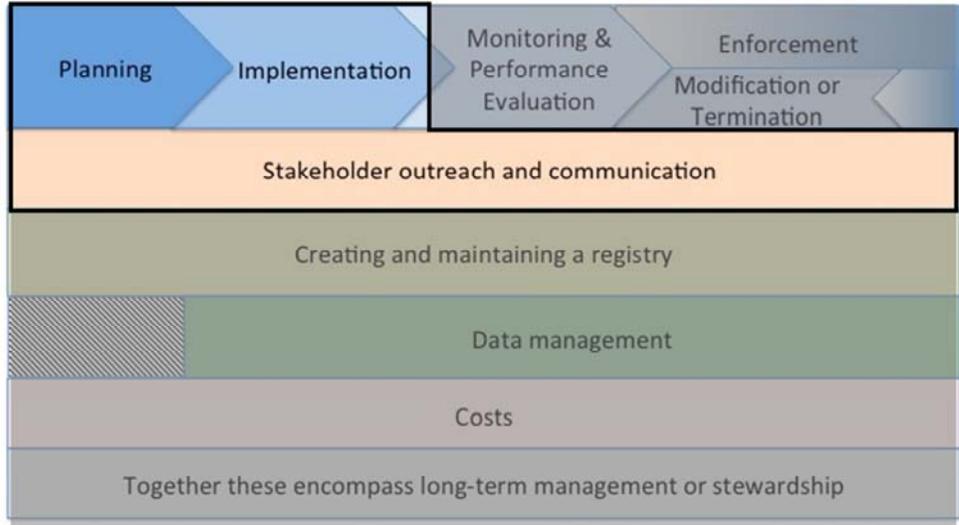
I. Introduction (excerpt):

This LTS is designed to assist obligated parties with the continual compliance and integrity of Institutional Controls (IC). ICs are used to minimize the potential for human exposure to contaminants and to protect the integrity of a cleanup remedy by controlling how the property is used. This document is designed to clarify the constraints of the IC in effect at [1], [91], [89], [90], as dictated by [2] provided in Appendix A, and to provide a comprehensive guide for implementing, monitoring, and maintaining the ICs in a manner that remains protective of human health and the environment as long as contamination remains in place at the site....

In addition to the guidance, ITRC went one step farther and developed a downloadable tool that takes users through the process of planning and designing IC management needs. This tool can help to create a long lasting record of the site that includes the regulatory authority, details of the IC, the responsibilities of all parties, a schedule for monitoring the performance of the IC, and more. The tool generates an editable Long-term Stewardship (LTS) plan in Microsoft Word. If you are a consultant or even a agency regulator, you will really want to stay tuned to near the end of today's session where we will provide a brief tutorial on this downloadable tool.

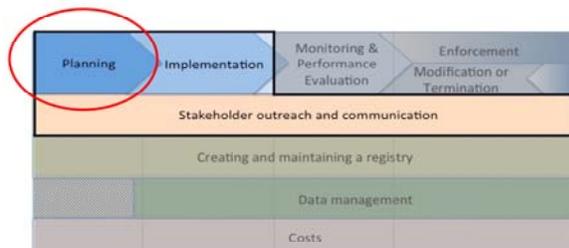
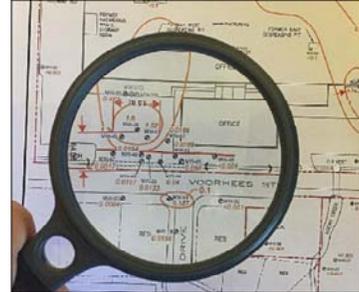
Up next is Doug Burge, an industry representative from Ramboll Environ, who will be discussing planning and implementation, and then stakeholder outreach.

Essential Elements to Consider When Managing ICs



Planning

- ▶ Assess site characteristics
- ▶ Essential for long-term success
- ▶ Prevents post implementation problems
- ▶ Consider full life cycle costs
 - Cost of IC life cycle vs. full remediation costs



Our guidance assumes planning and implementation has been completed and the site has moved to the next stage... long term management.

First want to provide brief summary of planning and implementation.

Guidance on P&I already available USEPA and ITRC guidance amongst others.

EXAMPLE used guidance in NE at RCRA site

P&I key early components of IC life cycle

First component is **Planning**; be sure to

- Assess Parameters of Concern, Distribution, media
- Current and future land use (EXAMPLE)
- Understand Full Costs
 - Cheaper to remediate than long term IC? ICs have a cost, not a get out of jail free card
- Define roles and responsibilities

Implementation

- ▶ Formalize the IC
- ▶ Develop a long-term stewardship plan



Once you've completed the planning phase, the next phase is to implement the ICs, which includes drafting the IC and recording it.

Nearly half (46%) of respondents to our ITRC survey indicated that lack of proper implementation was a reason for an IC failure

Long Term Stewardship is a critical element in implementing ICs.

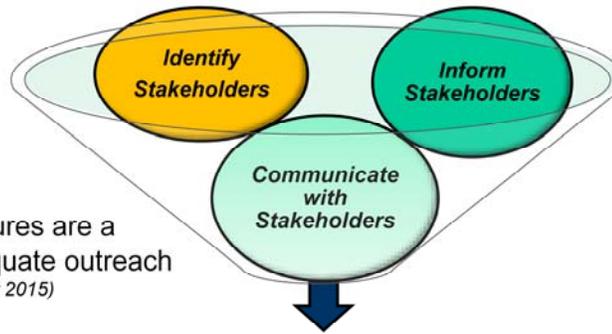
More than a piece of paper in a filing cabinet at the recorder's office.

As part of our guidance document, we have provided a tool for developing a Long Term Stewardship Plan and that will be discussed later in this training.

Ingredients for Successful Outreach



Critical Components Throughout Full IC Life Cycle



41% of IC failures are a result of inadequate outreach
(ITRC Survey, August 2015)

Successful Outreach!

Outreach Success = IC Success
Outreach Failure = IC Failure

Outreach begins with planning and implementation of an IC and extends throughout the life of the IC, which in many cases could be forever.

For effective Outreach and Communication, you must:

- Identify Stakeholders
- Establish Communication with Stakeholders
- and Inform stakeholders of their roles or responsibilities.

You can think of these as ingredients, if each is properly addressed then in combination they will result in successful outreach. But if you skimp on an ingredient the result will likely mean problems will arise.

The results from our ITRC survey determined that 41% of IC failures were a direct result of inadequate communication. This means that almost half of the failures of IC's could have potentially been avoided if Outreach and Communication with Stakeholders would have been effective.

Remember Outreach Success = a successful IC while Outreach Failure = a failed IC, it's as simple as that.

Who are Stakeholders?

► **Stakeholders** (Table 5 of our ITRC Guidance)

Affected or interested parties including:

- Subject property owner
- Future property owner
- Adjacent property owner
- The community
- Regulatory agencies
- Tenants
- Financial institutions
- Environmental consultants
- And many others...



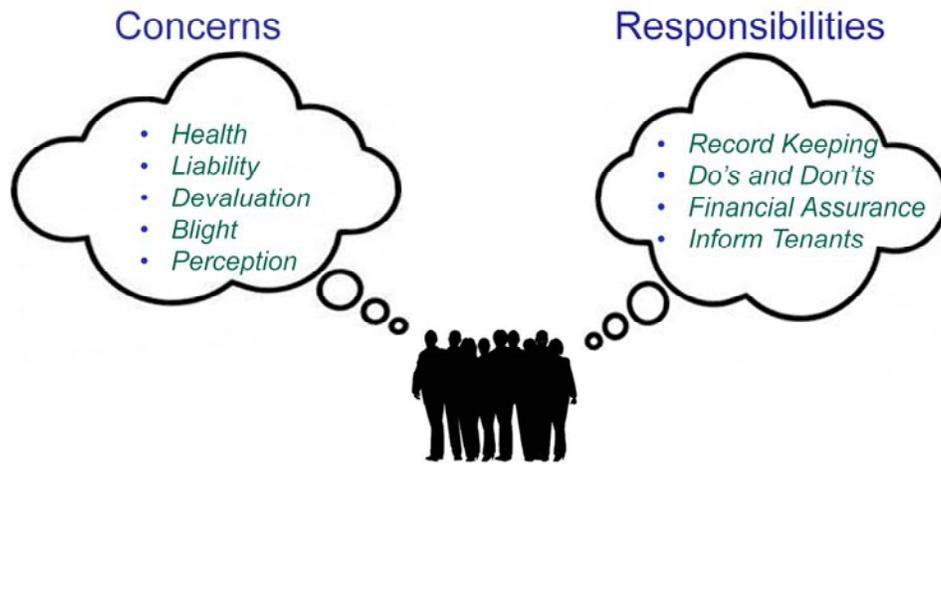
So this leads to the question Who or what is an IC Stakeholder?

A Stakeholder is not limited to the owner of a specific property with an IC, but includes all affected or interested parties.

This can include individuals and groups such nearby property owners, tenants, regulatory agencies, local government, neighborhood organizations, realtors, environmental consultants, future property owners and many others. I strongly suggest using a broad brush when defining who is “affected”

A general summary of typical Stakeholders is provided in Table 5 of our guidance document.

Where Do Stakeholders Fit In?



Where do stakeholders fit in?

Each stakeholder in an IC has their own set of concerns as well as their own role to play to ensure continued success of an IC.

Common concerns include:

How does it affect my property value?

Should I be worried about my health? What's the cost, will it make my property blighted?

Responsibilities include:

Keeping records and reporting to the regulatory agency EXAMPLE

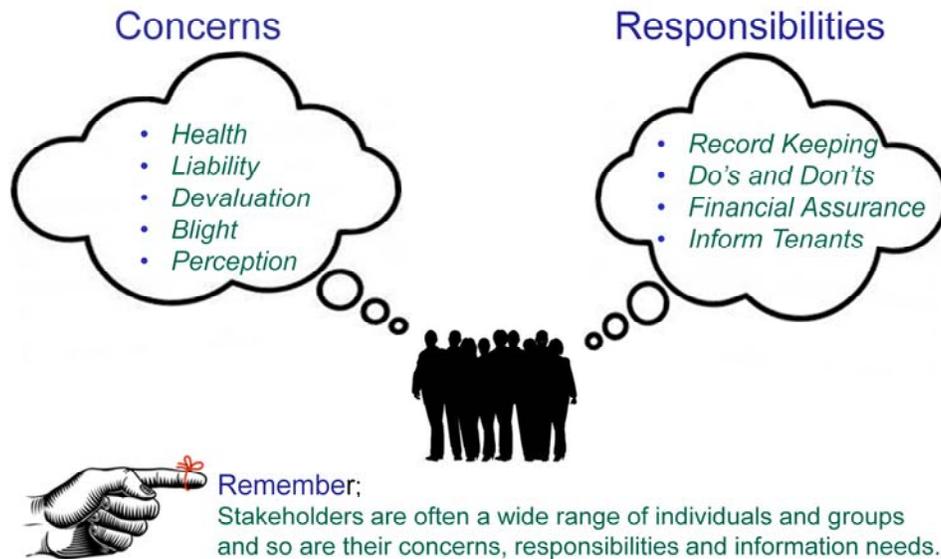
If an IC says don't install a well then that means you don't install a well and you don't allow others to do so

Maintaining Financial Assurance could be a responsibility

For an IC to be successful and maintain its effectiveness, stakeholders concerns should be addressed and they must be aware of and understand their responsibilities

JUMP TO NEXT SLIDE FOR "remember"

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JUMP TO NEXT SLIDE FOR "remember"

Multiple Communication Methods



Many communication methods can be used to provide information to Stakeholders
Some of these communication methods may be mandated and some are voluntary. (REF DOCUMENT?)

Two primary methods of communication are often used in combination – Direct and Passive Outreach:

Direct Outreach aka Push – pushing information out to Stakeholders

This can include something as simple as posting a “no fishing” sign or
Including ICs in excavation clearance one-call systems.

Passive Outreach aka Pull - making information available for Stakeholders to find

Recording ICs on a property deed or
Providing information on ICs in searchable databases.

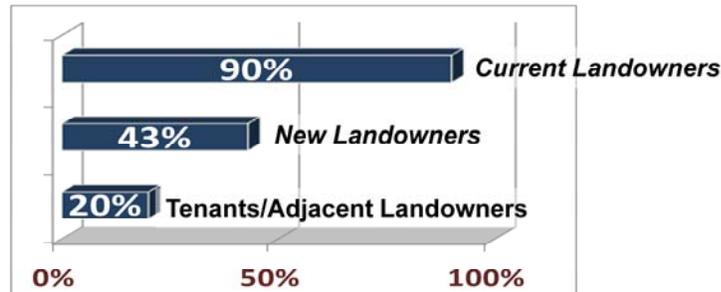
An example of a searchable data base from the State of Missouri is shown here.

Providing multiple and redundant communication methods for IC stakeholders will help to ensure success over the long term.

Stakeholder Outreach Needs Improvement



Current Status of Outreach *(ITRC Survey, August 2015)*



► Use Best Practices to Improve Outreach!



- Determine Stakeholders & Information Needs
- Make IC's Easy to Find and Understand
- Use our ITRC Long-Term Stewardship Plan

Based on the results of our ITRC survey, IC Outreach is a work in progress and definitely needs improvement. As we've discussed - uninformed Stakeholders are a recipe for IC failure.

Our survey of state agencies showed the vast majority outreach is focused on **current property owners only** (nearly 90%)

Less than half of **new owners** are included in outreach

And only 20% of **tenants or adjacent landowners** are included in outreach.

Use Best Practices: Robust IC outreach to inform and educate Stakeholders means:

Identify and provide outreach to all potential stakeholders

Be aware of and anticipate stakeholder information needs

Tailor information to stakeholders and keep it understandable

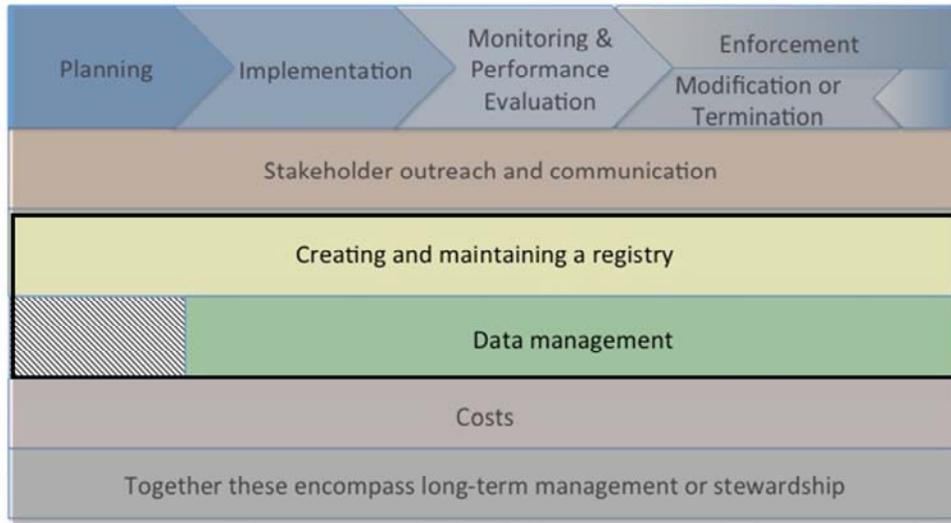
Use both Push & Pull communication methods

Revisit outreach over time and update as necessary,

The IC Stewardship Tool which will be described later in this presentation can help you create and maintain successful outreach to IC Stakeholders

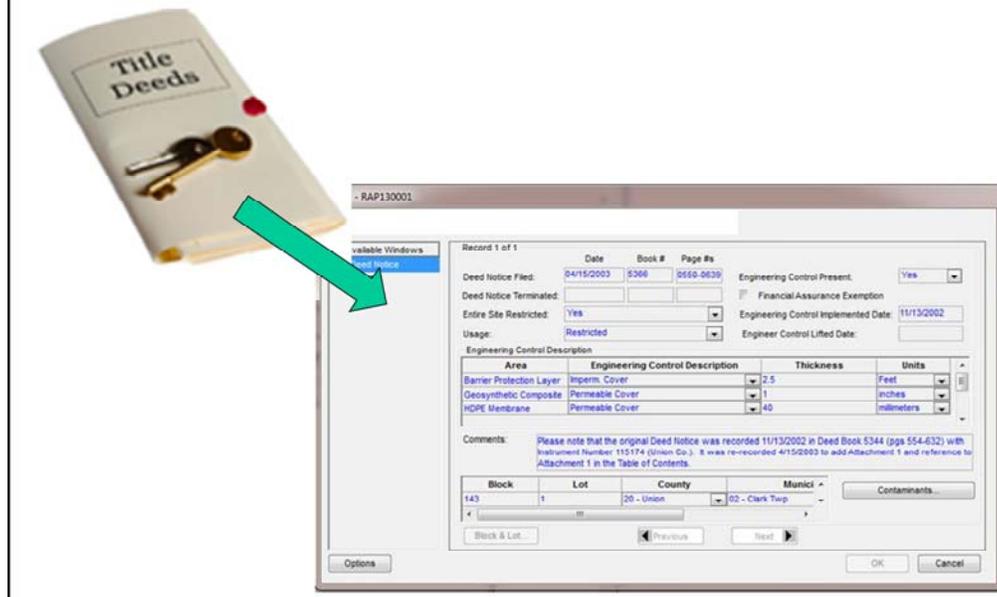
Make ICs easy to find and understand

Essential Elements to Consider When Managing ICs



We've discussed the need for available, easily understood and up to date records as part of stakeholder communication and outreach and Doug Souter of GKN will next discuss IC data management and registries.

Registry



Institutional controls (ICs) are commonly recorded on property deeds or covenants. This presents the following limitations:

- The terms might only be reviewed during property transactions
- The restrictions may be forgotten by the owner
- The restrictions may never have been disclosed to the operator or tenant
- Regulators cannot readily recognize non-compliance

An IC Registry is a list (e.g., an electronic database) that identifies the location and requirements of the ICs. IC Registries can be maintained by:

- State and federal agencies
- Local government entities (e.g., county health departments)
- Corporate environmental managers with multiple properties

This section focusses on IC Registries maintained by state agencies

Note that the term “registry” is a term-of-art within the UECA, where the registry is limited to only proprietary controls. The UECA sense of “registry” is not used in this guidance, but instead refers to a catalog of proprietary, governmental, or enforcement and informational documents

Poll Question

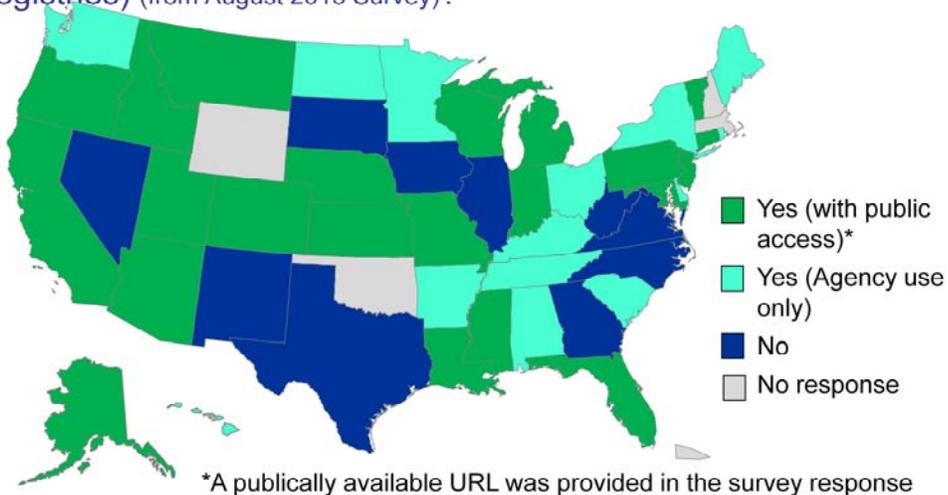


- ▶ Have any of you experienced or witnessed a problem or violation of an IC due to lack of awareness where a registry could have made a difference?

ITRC State Agency Survey

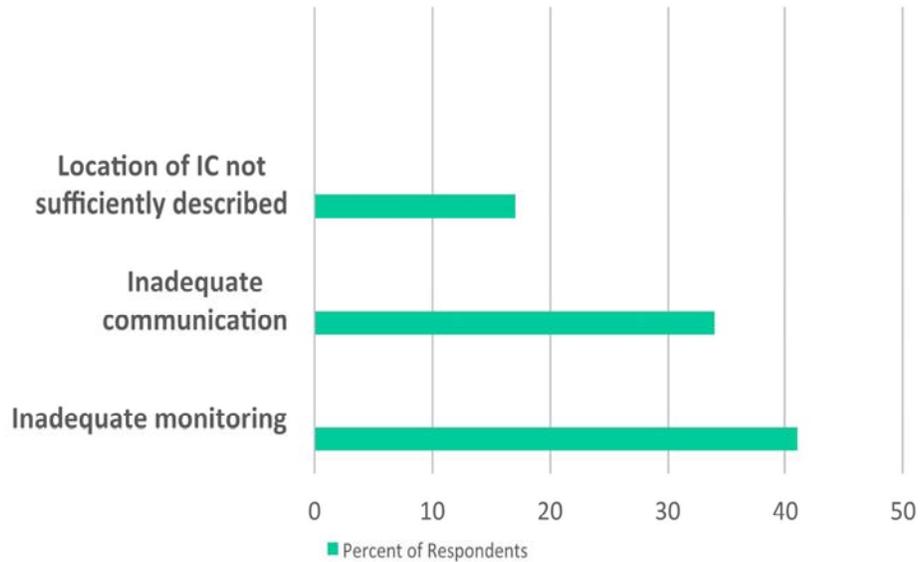


Q23: Does your State agency employ an institutional control data management system? (e.g., searchable databases, IC registries) (from August 2015 Survey)?



Don't know	CA PA TX WA WI WV
From 1 - 25	GA IL KS ND NM NV RI SC UT VT WY
26 - 50	AR FL MS NC NH
51 - 100	AK AZ DE KY MA MD MI MT TN
101 - 250	DC ID IN VA
251 - 1000	CO HI LA ME MO NJ OR
> 1000	AL CT IA MN NE NY OH OK

Causes of IC Failures – From Survey



When asked how they would improve their state's IC program, several respondents indicated that better tracking systems and registries would be important.

When asked about the causes of IC failures in their state, responses indicated that a good registry could have prevented some failures.

Agency Use of a Registry



scheduling IC obligations

documenting points of contact for LTS roles and responsibilities

preparing invoices for land stewardship

describing inspection results

documenting IC breaches or noncompliance

describing response actions for noncompliance

documenting IC compliance reporting

tracking enforcement referrals

managing ICs, terminated issuance, modification or termination of ICs, or permits

generating and tracking periodic reporting and certification obligations, or other reporting responsibilities by the obligated party

providing outreach to stakeholders

Missouri – Site Management and Reporting System (SMARs), App E-3



Long Term Stewardship

Location: All [New Location] [Delete Location]

Summary | Contaminants | Media | Objectives | Choose Instruments | Instrument Details | Contacts/Affiliates | Activities/Monitoring | Reports

Site/Facility Name: _____
 Operable Unit Name: _____
 AUL Area: _____

Address: _____ City: Springfield County: Greene [IC Maintenance]

Contacts	Role
City of Springfield Planning & Dev	IC Implementation
Hazardous Waste Program	IC Monitoring
Olivia Hough	IC Implementation

Instrument Types

- Restrictive Covenant
 - Use Restrictions
 - No Disturbance of Soil
 - No Drilling or Use of Groundwater
 - Non-Residential Use

Site Management and Reporting System

Public Use of a Registry



Property
owners

Buyers,
Purchasers
Developers

Due
Diligence



Construction and
utility workers

Adjacent land
owners

"Public" may include:

- Buyers of the property
- Adjacent land owners / users
- Utility / construction workers on a property
- People performing environmental due diligence (e.g., Attorneys, consultants)

For the public, the IC registry is an authoritative resource to search for and learn about ICs.

These uses may include:

- Developing long term stewardship plans (owners)
- Preventing violation of IC (e.g., breach of a cap)
- finding an IC via search form or map (workers, buyers, due diligence)
- viewing the registry in a tabular (grid) format with multiple attributes and hyperlinks
- displaying the registry in a map view showing either the point or polygon limits of the IC
- determining what restrictions have been implemented on a site

Public Page (see App. "Examples of State, Federal and Commercial Registries")



Missouri Department of
Natural Resources

[Application Home](#) [Select County](#) [Select City](#) [Select Zip Code](#) [Zoom to Address](#) [Full Extent](#)

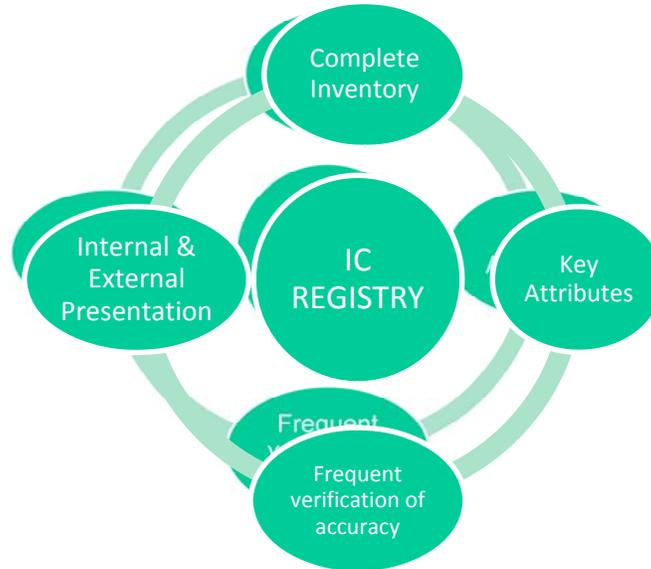
Latitude: 41.926811328125006 Longitude: -89.5977596843262

LAYERS

- Hazardous Waste Program Cleanup Sites**
 - Active** - Sites undergoing investigation or remediation
 - Long-Term Stewardship** - Sites with activity and use limitations
 - Environmental Notice** - Sites where an environmental advisory may be warranted
 - Completed** - Sites suitable for unrestricted use
- Activity & Use Limitation Area** - Area subject to activity and use limitations
- Site Area** - Approximate area that comprises the site or permitted facility

This public page offers the public a quick description of the Status of the long term stewardship of a site including the IC

Development of a Registry



The desired outcome of IC Registry development is an IC management system which:

- Includes a complete inventory of ICs relied upon in remedies within the jurisdictional boundary

- Includes key attributes such as location (e.g., GIS), land use restrictions, and obligations of the owner

- The agency maintains an internal and external presentation of ICs (e.g., web access)

- The agency maintains and confirms the completeness and accuracy of the contents of a registry at a proper frequency.

Development and maintenance can be complicated since the ICs may be recorded by an entity other than the state agency

Maintenance of a Registry

- ▶ Maintaining, updating, and error correcting IC management system are crucial components for their success



Routine maintenance for confirmation of the completeness and accuracy of the IC Registry content

Additions, deletions, modifications, and error corrections routinely performed by authorized personnel. Backups, archives, and version control features should be verified regularly

Plan (and budget) for periodic information technology upgrades

IC Registry Example



Missouri Department of Natural Resources

Application Home | Select County | Select City | Select Zip Code | Zoom to Address | Full Extent

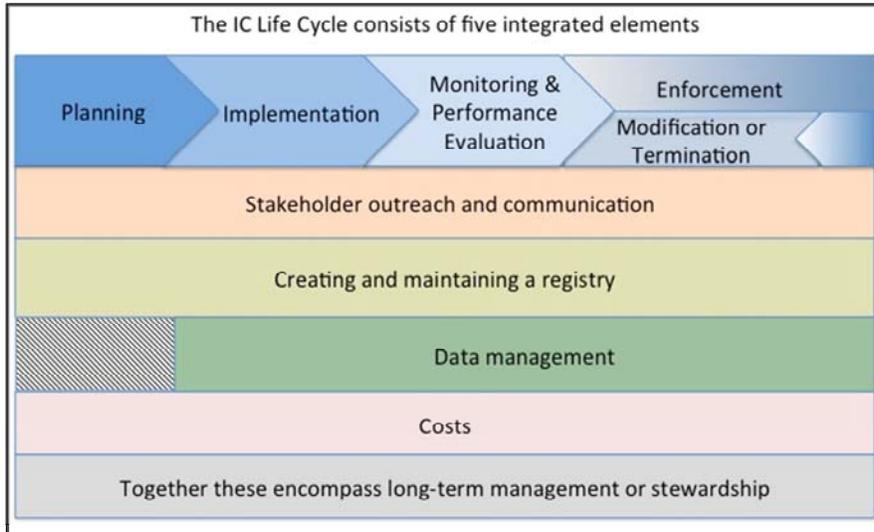
Latitude: 37.20790103212433 Longitude: -93.29352787312467

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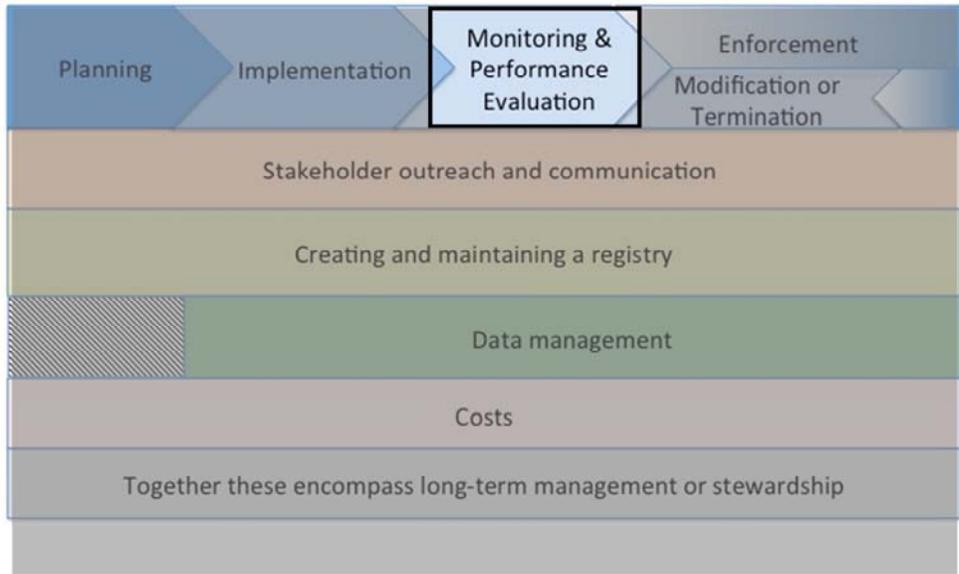
Site/Facility Address: South Pier, 317 South Avenue, Springfield, 65806-2123, Status: Long-Term Stewardship, Activity & Use Limitations - Inspection & Maintenance of Engineered Controls. [Click here for more information](#)

Site Map within the SMARs System



Site Map within the SMARs System

Essential Elements to Consider When Managing ICs



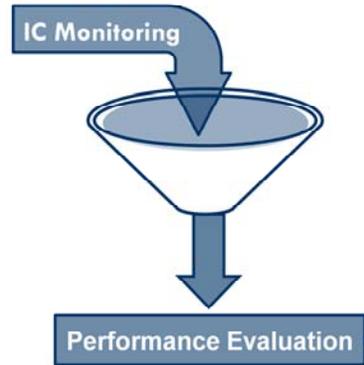
► IC Monitoring Matters!



You will learn common methods and best practices for IC monitoring and evaluating performance of ICs

IC Monitoring and Performance Evaluation

- ▶ **IC Monitoring** refers to the collection of data and information
- ▶ **Performance Evaluation** refers to the process of reaching findings and conclusions



What is IC Monitoring?

- **IC Monitoring** refers to the collection of data and information
- About the use or activities at property at which an IC exists.
 - To learn whether the use or activity might violate the IC Requirements.



This is not conventional environmental monitoring – IC monitoring is different!

► **Common IC requirements**



- No groundwater use
- No (or limited) excavation
- No residential use
- No schools or daycare
- No new structures without vapor intrusion protections

IC Monitoring Approaches: Six Approaches for IC Monitoring



- ▶ State Agency Inspections/Record Reviews
- ▶ "Obligated Party" Inspections & Certification
- ▶ Excavation Monitoring via One Call
- ▶ Land Activity Monitoring
- ▶ Local Government Coordination
- ▶ IC Permit Program

How do they work?

What are states doing?

Advantages and dis-advantages?

- Presented in order of prevalence among states.

Monitoring Poll Question



- ▶ Which of the following do you utilize for monitoring ICs?
 - State Agency Inspections/Record Reviews
 - “Obligated Party” Inspections & Certification
 - Excavation Monitoring via One Call
 - Land Activity Monitoring
 - Local Government Coordination
 - IC Permit

IC Monitoring Approach #1: State Agency Inspections and Record Reviews



Environmental Covenant Inspection Staff Form			
Property Name Summitville Mine Site	Covenant Date 4/8/2002	HMWMD ID COD983778432	Covenant ID HMC0V00003
Covenant Property Address See legal description	City Del Norte	State CO	Zip 81132
County Rio Grande	LegalDesc: See Covenant	Restrictions1: No construction of any building	Restrictions2: No disturbance of ground surface, including digging, drilling, grading, excavation or mining
Major Contaminants heavy metals, iron, copper, zinc, manganese, cyanide	Media WS <input type="checkbox"/> Media Air <input type="checkbox"/> Media Other <input type="checkbox"/>	Media WG <input type="checkbox"/> Media Soil <input type="checkbox"/> Self Reporting <input type="checkbox"/>	Restrictions3: No action that disturbs vegetation
Owner/Corp Aztec Minerals Group	Contact Address 824 Sun Ridge Lane	Contact and Phone # Brad Morse 000-000-0000	Restrictions4: No actions that interfere with any portion of the superfund remedial action
Inspection Compliance Data		CDPHE Staff Mark Rudolph	InspectionType In Compliance? <input type="checkbox"/>
Inspection Frequency Annual	Inspection Due by 12/31/2017	Completed on	Followup Required? <input type="checkbox"/>
Problems Noted	Resolution Date	Notes	

- ▶ Inspection schedule set and managed by agency.
- ▶ Standard form created.
- ▶ Agency staff visits site.
- ▶ Inspection date and findings recorded in state internal database.
- ▶ Copies of inspection reports saved.



29 states use this method

Source: Colorado Department of Public Health

IC Monitoring Approach #2: Obligated Party Inspection or Certification

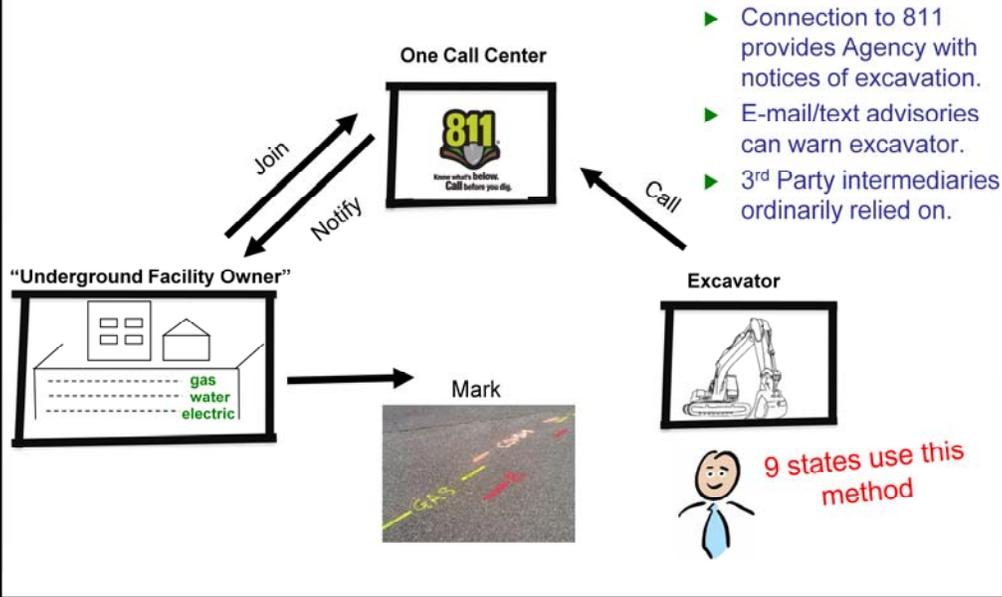


<p>Kansas Department of Health and Environment Environmental Use Control Program Bureau of Environmental Remediation 1000 SW Jackson St., Suite 410 Topeka, KS 66612-1367 Telephone: (785) 296-1660</p>		<p>ENVIRONMENTAL USE CONTROL OWNER INSPECTION FORM</p>	
SECTION I: PROPERTY INFORMATION ON FILE			
PROJECT NAME:	PROPERTY OWNERS ON FILE:		PROJECT CODE:
EUCA NUMBER: -EUC-	OWNER PHONE NUMBER:		
PROJECT ADDRESS:			
CITY:	COUNTY:	REG. TRP RANGE OR LAT/LONG:	
EUC CATEGORY DESIGNATION:	INSPECTION FREQUENCY:	PROPERTY JOINING ON FILE:	
PROGRAM (Check all that apply):			
<input type="checkbox"/> Voluntary Cleanup <input type="checkbox"/> State Cooperative <input checked="" type="checkbox"/> EUC <input type="checkbox"/> Brownfields <input type="checkbox"/> State Water Plan <input type="checkbox"/> Underground Storage Tanks Other: (Please specify)			
PROTECTIVE STRUCTURE ON PROPERTY? Yes <input type="checkbox"/> or No <input type="checkbox"/>			
SECTION II: VERIFICATION OF RESTRICTIONS			
ANSWER THE QUESTIONS ACCORDINGLY BY MARKING "Y", "N", OR "N/A".			
IF THE PROPERTY IS OUT OF COMPLIANCE, PLEASE EXPLAIN IN THE REMARKS SECTION PROVIDED BELOW. ATTACH ADDITIONAL SHEETS IF NEEDED. *N/A INDICATES THIS RESTRICTION DOES NOT APPLY TO THE PROPERTY.			
1. Has the protective structure(s) retained its functional integrity?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
2. Is the protective structure(s) free of erosion, cracks or other evidence of degradation?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
3. Have water wells been drilled, constructed, or used on the property for unauthorized purposes?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
4. Has unauthorized construction or excavation occurred?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
5. Is vegetation present and kept in acceptable condition?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
6. Are all permanent survey markers, benchmarks, and monitoring stations in place as designed?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
7. Are local ordinances included in the EUCA being enforced?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
8. Are site security measures in place and in working condition?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
9. Site security measures include: (mark all that apply)	Signs <input type="checkbox"/>	Fence <input type="checkbox"/>	Gate <input type="checkbox"/> Security Guard <input type="checkbox"/>
10. Is the property used for non-residential purposes only?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
11. Is the property being used for unauthorized agricultural activities as defined in the EUCA?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
12. Land use type: (mark all that apply)	Residential <input type="checkbox"/>	Recreational <input type="checkbox"/>	Agricultural <input type="checkbox"/> Commercial <input type="checkbox"/> Industrial <input type="checkbox"/> Vacant <input type="checkbox"/>
13. Surrounding land use type: (mark all that apply)	Residential <input type="checkbox"/>	Recreational <input type="checkbox"/>	Agricultural <input type="checkbox"/> Commercial <input type="checkbox"/> Industrial <input type="checkbox"/> Vacant <input type="checkbox"/>

- ▶ Requirement ordinarily set within Environmental Covenant.
- ▶ Some states create standard forms.
- ▶ Agency sends annual reminder letters.
- ▶ Agency tracks receipt of certifications.
- ▶ Non-receipt can trigger agency inspection.
- ▶ Ownership changes captured.

Source: Kansas Department of Health and Environment
http://www.kdheks.gov/remedial/euc/download/eucapp_form.pdf

IC Monitoring Approach #3: Excavation Monitoring via One Call



IC Monitoring / Excavation Monitor

FROM: Delaware Department of Natural Resources and Environmental Control



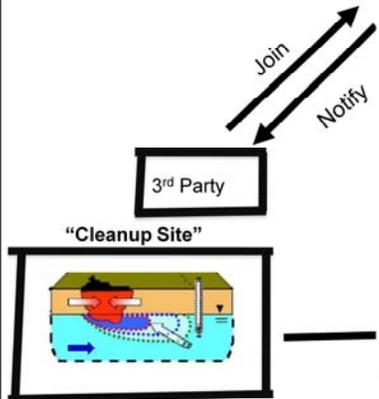
Primary Contact: Wendy March
Phone: 302 395 2600 ext.302 395 2601
email: Wendy.March@state.de.us

RE: Dig Clean Safety and Land Use Advisory Ticket: 170100372

Ticket Priority: STANDARD
Work Address: 33371 MARINA BAY CIRCLE, MILLSBORD
Near Intersection: ATLANTIC DRIVE
Work Description: LOCATE/MARK: MARK AND FLAG THE ENTIRE PROPERTY . Work Type: INST WTR & SWR SVC
Work Date: 01/13/17
Work Done For: SCHELL
Location Details:

Dig Clean Safety and Land Use Advisory

Please be advised that the work location may be at or near sites where hazardous substances including petroleum are likely present in the soil or groundwater. Sites are shown on the map below relative to the extent of the planned excavation. Known contaminants of concern are also listed with a hyperlink to health and safety information (if available), and whether soil or groundwater is impacted. DNREC has prepared a generic Contaminated Material Management Plan <http://shortlinks.terradex.com/DBEC-CMMP> to properly handle contaminated soil and groundwater. If further guidance is needed please contact DNREC with the contact information listed on this form. DNREC does not provide excavation field marks, and does not attend site meetings unless a request is made to the listed DNREC Primary Contact.



SITES WITH ENVIRONMENTAL RESTRICTIONS SHOWN ON MAP:

Site 1: LONGNECK MERCURY STUDY (DE-1388)
Chemicals: [Mercury ATSDR 149-97-6 View Agency for Toxic Substances & Disease Info](#)

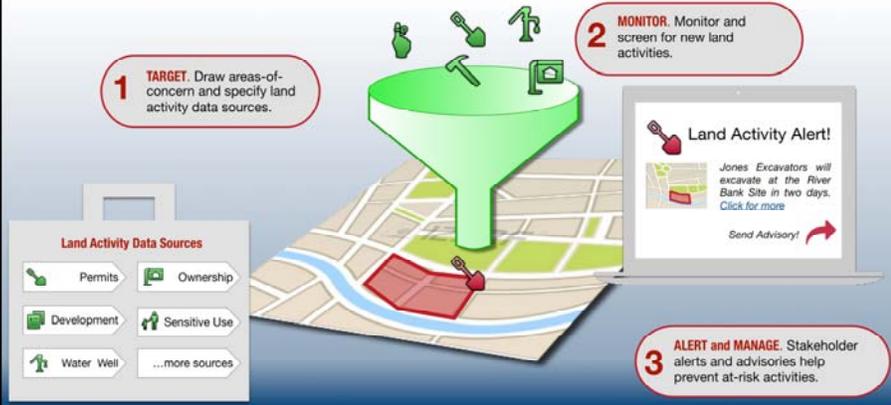
ALTERNATIVES TO VIEW INFORMATION:

View on the Web: <http://www.digclean.com>, enter under Option 2: 434404
Call: 650-209-4229, when prompted enter 434404
Send Text Message: Message: 434404 To: 650-209-4229

IC Monitoring Approach #4: Land Use & Activity Monitoring



- ▶ Connection to electronic feed of land activity info.
- ▶ e-Alerts sent to agency.
- ▶ 3rd Party intermediaries are ordinarily relied on.



Source: Terradex, Inc.

9 states use this method

IC Monitoring Approach #5: Coordination with Local Government



Minimum
"Coordination"

- State agency informs local government (LG) as to location of ICs

"Eyes and Ears"
Approach

- LG informs agency as to permits impacting IC

Local Government
Lead

OR

- LG enacts ordinance that operates as an IC



6 states use this
method

Example “Eyes and Ears”: Denver, CO Coordination with Local Government



PERMIT	PERMITTYPE	PERMITSTATUS	STATUSDATE	ADDRESS	DATEENTERED	STATCODE1	CLASSOFWORK	X_COORD	Y_COORD
BUILDING	COMMERCIAL CONSTRUCTION	PERMIT FINALED	1/5/2017 7:18:1	200 N QUEBEC ST DENVER CO 80230	5/4/2012 0:00:00		NEW NON-BUILDING STRUCTURE	3167900	1687695
BUILDING	COMMERCIAL CONSTRUCTION	PERMIT FINALED	1/5/2017 7:12:0	200 N QUEBEC ST DENVER CO 80230	1/6/2012 0:00:00		NEW NON-BUILDING STRUCTURE	3167991	1688019
BUILDING	COMMERCIAL CONSTRUCTION	PERMIT FINALED	1/5/2017 7:16:2	200 N QUEBEC ST 800-113 DENVER CO 80230	3/8/2013 0:00:00		ALTERATION/TENANT FINISH	3167991	1688019
BUILDING	COMMERCIAL CONSTRUCTION	PERMIT FINALED	1/5/2017 7:20:0	200 N QUEBEC ST DENVER CO	7/1/2013 0:00:00		NEW NON-BUILDING STRUCTURE	3167909	1687879
BUILDING	COMMERCIAL CONSTRUCTION	PERMIT FINALED	1/5/2017 7:09:0	200 N QUEBEC ST 111 DENVER CO 80230	10/29/2014 0:00:00		NEW NON-BUILDING STRUCTURE	3167858	1687899
						022 - ADDITION, ALTERATION, AND CONVERSION S-			
BUILDING	COMMERCIAL CONSTRUCTION	IN PROGRESS	12/27/2016 0:0	200 N QUEBEC ST DENVER CO 80230	12/22/2016 0:00:00	COMMERCIAL	ALTERATION/TENANT FINISH	3167991	1688019
BUILDING	DEMOLITION	PERMIT FINALED	11/11/2016 12:1	2140 S ALBION ST DENVER CO 80222	9/28/2016 0:00:00		6 - WRECK	3157818	1672266
BUILDING	SEWER USE AND DRAINAGE	ISSUED	12/2/2016 12:5	5800 E JEWELL AVE DENVER CO 80224	11/30/2016 0:00:00			3163414	1673515

• Sta anc site to

• Del ove per dat polygous



Denver and the Colorado Department of Public Health and Environment (CDPHE) signed a memorandum of understanding, fashioned as a LUCIP, in November 2008. The LUCIP had its roots in EPA-supported research and subsequent in-person facilitation by ICMA. Getting the LUCIP drafted and signed took “many years” and long negotiations between various city departments and the CDPHE.

The process agreed to in the LUCIP and now employed by Denver keeps the state updated as to land use and development permits, but does not impose any IC enforcement burden on the city. Each month, CDPHE sends Denver a GIS “shapefile” identifying sites where ICs currently exist. Denver flags the IC properties through a process that reads the “shapefile” into the city’s GIS and database system. In addition, Denver designates certain “of concern” permit application requests with “LUCIP codes.” For example, excavation gets a “LUCIP code” but plumbing or electrical code-related permits do not. On a weekly basis, the city runs a database query to find all permit applications that (1) contain LUCIP codes and (2) affect IC properties. Denver sends this to CDPHE, which is responsible for determining whether the activity conflicts with ICs and taking appropriate action if it does. Although this process puts some burden on the city’s information technology staff, the level of effort was absorbed into the job description of a single person and did not require additional budget or funding. Denver issues permits without any delay or process amendments, but simply tracks the permits that affect IC sites and sends this information to the state.

Example “Local Lead”: Jasper County, MO IC Ordinance



JASPER COUNTY, HEALTH DEPT.

ENVIRONMENTAL CONTAMINATION ORDINANCE



ENVIRONMENTAL CONTAMINATION ORDINANCE

The Jasper County Environmental Contamination Ordinance went into effect July 1, 2006.

The Ordinance requires soil testing for regulated contaminants on Superfund designated properties associated with new construction of a dwelling, dwelling unit child occupied facility or recreational area. Superfund designated areas are outlined on the mine/smelter map. Health Department staff will conduct the soil testing

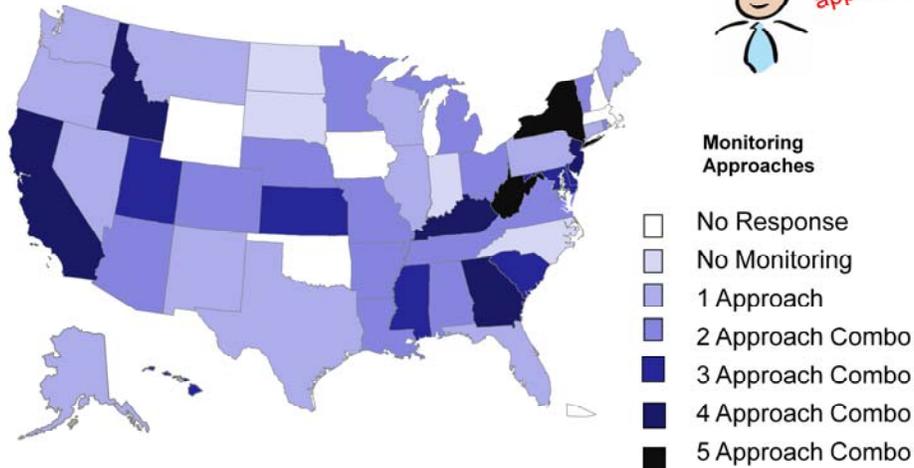
The ordinance also requires that all existing wells be tested for heavy metals when the property is transferred or sold. The test must be conducted by a DNR certified well tested. The Health Department will provide contact information for certified testers.

Survey Results – Monitoring Mix



- ▶ State mix of single or combined monitoring approaches:
 - Based on the 2015 ITRC Survey Results.

Many states combine approaches



Speaker Notes:

Main point – there is significant variation in the use of monitoring elements across the States.

Based on 2015 survey results – Because IC management is an evolving issue, State Use of monitoring elements is also evolving.

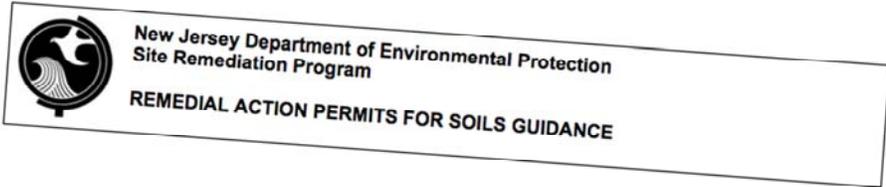
The Six Monitoring Elements were developed from an evaluation of the survey responses on monitoring methods. In some cases survey response categories were combined into a single element i.e. “RP” and “Land Owner” Inspections & Certifications are combined as “Obligated Party” Inspections & Certifications.

No Response	IA MA NH OK WY (5)
Zero	IN NC ND SD (4)
1	CT FL IL ME MT NM NV OR PA TX WA WI (12)
2	AK AL AR AZ CO LA MI MN MO NE OH RI TN VA VT (15) 1 AND 2 COMBINED (27)
3	DE HI KS MD MS SC UT (7)
4	CA GA ID KY NJ (5)
5	NY WV (2) neither reported local gov't involvement in monitoring
6	None

IC Monitoring Approach #6: IC Permit (NJ Example)



- ▶ When GW/Soil IC is Required
- ▶ Remedial Action Permit Required
 - Monitoring/Reporting by "Obligated Party"
 - Fees
- ▶ Financial Assurance Required if EC Exists.



IC Monitoring Approach Mix: State Examples



	PA	CO	ID	CA
Landowner Certifications	✓	✓	✓	✓
State Agency Inspections	✓	✓	✓	✓
Excavation Monitoring via One Call			✓	✓
Land Use and Activity Monitoring			✓	✓
Coordination with LG		✓		✓

Only some sites rely on this level of IC monitoring. When the CA IC monitoring was put into practice, after some time, it was clear to see which sites needed less and which needed more IC monitoring.

Assessment of IC Monitoring Approaches



State Agency Inspections/Record Reviews	<ul style="list-style-type: none"> • Periodic “snapshot” • Comprehensive • Agency staff/resources required
Owner Certifications	<ul style="list-style-type: none"> • Periodic “snapshot” • Greater reliance on landowner • Agency must still administer
Excavation Monitoring via One Call	<ul style="list-style-type: none"> • Daily frequency • Comprehensive coverage of digging • 3rd party services
Land Activity Monitoring	<ul style="list-style-type: none"> • Daily frequency • Tailored coverage of land use/activity • 3rd party services
Coordination with Local Governments	<ul style="list-style-type: none"> • Various approaches. • Can leverage the existing practice of local govt. • Requires non-conventional coordination
IC Permit	<ul style="list-style-type: none"> • Similar to owner certification • But formalizes the approach and includes ongoing fee

Best Practices: Design a Balanced Approach for IC Monitoring

- ▶ State agency inspections/Record Reviews
- ▶ "Obligated Party" inspections & certification
- ▶ IC permit program
- ▶ Excavation monitoring via One Call
- ▶ Land activity monitoring
- ▶ LG coordination



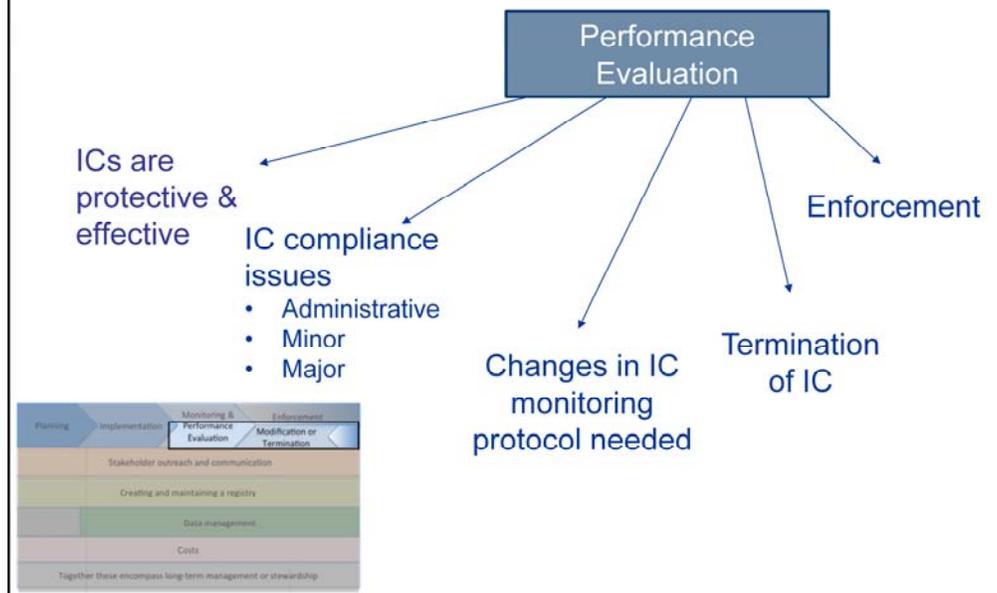
IC Monitoring Triage Matrix		Potential for Harm		
		Low (1)	Moderate (3)	High (5)
Potential for Breach	Low (1)	2	4	6
	Moderate (2)	3	5	7
	High (3)	4	6	8



Best Approach

See Table 2 of the Document which lists various states as noting the need to improve or develop IC monitoring.

Performance Evaluation – Reaching Findings and Conclusions



Administrative: Such as property transfer or occupancy change. These changes may trigger correspondence to affected parties, and/or re-filing an IC document with new ownership information

Minor: Such as EC repairs, building demo, excavation into soil. Such changes are typically noted in the monitoring documents, but do not prompt a need to refile or physically modify the IC document

Major: IC document may need to be revised

- IC is no longer protective due to redevelopment activities, change in receptor;
- Additional remediation performed;
- Changes in remediation standards;
- Site is rezoned, or put to a different use;
- Change in monitoring/reporting requirements;
- Construction projects within public easement compromise IC/EC;
- IC requirements are not tailored to site risks.

Changes in In IC Monitoring Protocol Needed. Monitoring results and resulting performance evaluation may reveal a weakness in the monitoring protocol

- Increased development near and IC
- Higher levels of erosion than anticipated or expected
- Levels of human activity near and IC

IC Termination

- Additional cleanup performed
- Cleanup standards met
- Cleanup standards change “upward”

Best Practices for IC Monitoring & Performance Evaluation (cont.)



- ▶ Develop policy or guidance that addresses how the State will pursue IC monitoring (see Best Practices for IC monitoring and performance Evaluations)

Guidance:

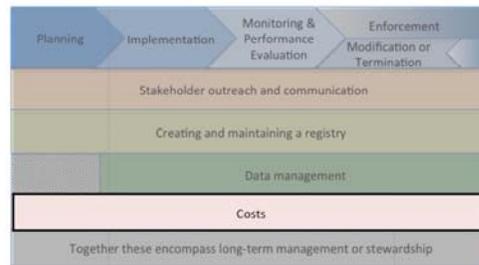
IC Monitoring and
Compliance Assurance
2017

See, e.g., Idaho SOW described above.

Cost of an IC Program

- ▶ Cost elements cover the IC life cycle*
 - Planning
 - Community engagement
 - Information management
 - Monitoring and performance evaluation
 - Enforcement

*See ASTSWMO, State Conceptual Framework to Estimate Associated Cost (August 2012) (avail. at http://astswmo.org/main/cbrfcs_pubs.html)



State IC Upfront Fees: Missouri Example



Title 10—DEPARTMENT OF
NATURAL RESOURCES
Division 25—Hazardous Waste
Management Commission
Chapter 15—Hazardous Substance
Environmental Remediation (Voluntary
Cleanup Program)

3. Monitoring fee. For sites which require engineering and/or institutional controls (e.g., capping, deed restrictions), the person shall submit a fee to cover the department's long-term monitoring costs. The department's voluntary cleanup project manager shall establish a site-specific monitoring fee, ranging from five thousand dollars to fifteen thousand dollars (\$5,000-\$15,000). The amount of the monitoring fee shall be dependent upon the complexity of the site and the type of engineering and/or institutional controls.

State IC Ongoing Fees: California Example



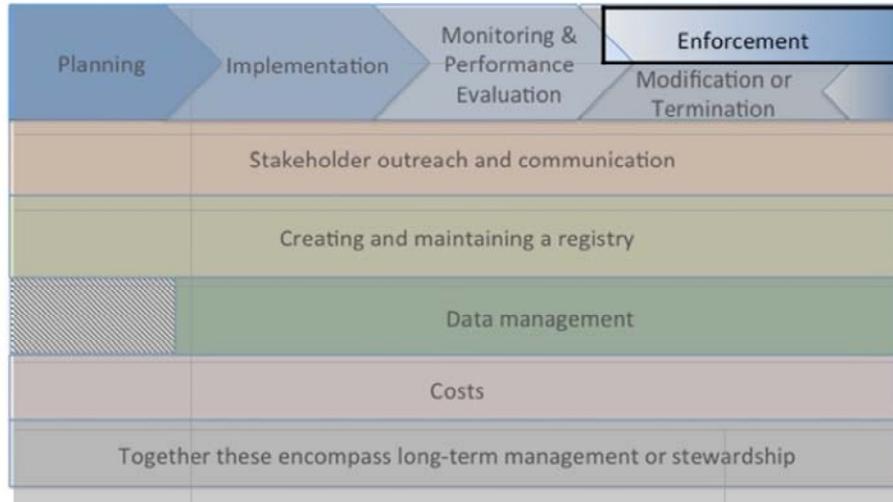
LAND USE COVENANT AND AGREEMENT

ENVIRONMENTAL RESTRICTIONS

County of Del Norte, Assessor Parcel Number: 115-180-19
Hooshnam Site
DTSC Site Code 201250

3.5. Costs of Administering the Covenant to be paid by Owner. The Department has already incurred and will in the future incur costs associated with the administration of this Covenant. Therefore, the Covenantor hereby covenants for the Covenantor and for all subsequent Owners that, pursuant to California Code of Regulations, title 22, section 67391.1(h); the Owner agrees to pay the Department's costs in administering the Covenant.

Enforcement of ICs – The Need

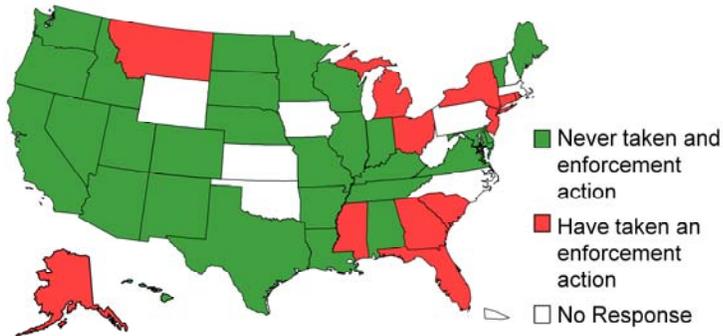


I'm sure many of you on the phone or at your computer are geologists and engineers or other technical staff that focus on making sure all of the appropriate exposure pathways are adequately defined and addressed by the chosen institutional control. As a staff member who works as a liaison with the Department of Attorney General and the technical project managers, I may be contacted when the enforceability or enforcement of an institutional control comes in to question. For this portion of the presentation, I'm going to highlight many of the tools contained in the ITRC IC guidance document that should be considered when planning, implementing and approving the type of institutional control that is best suited for the selected remedy.

Survey – Has your state ever taken an enforcement against an RP?



- ▶ 76% of participating survey respondents indicated their State agency has never taken an enforcement against a RP regarding an IC.



ITRCs survey illustrates weaknesses in state monitoring and compliance efforts. If adequate management and monitoring requirements are not established as part of a state IC program, then there is little to enforce. Indeed, ITRC's survey results indicate that approximately 2/3s of state agency ever taken an enforcement against a responsible party regarding an institutional control. This is a significant statistic to keep in mind because we know failures and violations of ICs do happen. Overall, the data amplifies the necessary relationship between adequate IC management tools and the foundation they provide to a overall meaningful IC enforcement program.

Enforcement Poll Question



- ▶ Does the state you represent (or where you have implemented an IC) have an enforcement process in hand if an IC violation is identified, regardless if you have taken an enforcement action?
 - Yes
 - No
 - Don't know

ITRC's Common Challenges to Enforcement of ICs



- ▶ Failure to evaluate enforceability during planning
- ▶ No IC monitoring = No enforcement
- ▶ Who's the RP and who's enforcing?
- ▶ Absence of authority at state or local level
- ▶ Absence of a common legal framework
- ▶ Uniqueness of native lands and federal facilities
- ▶ Uniform Environmental Covenants Act is not the answer to enforcement
 - Allows for "civil action for injunctive or other equitable relief for violations"
 - Does not provide an effective framework to promote compliance or deter violation

I've previously touched upon the concepts and challenges of considering enforceability during the planning and implementing phases of institutional controls, and Mike Sowinski also covered the importance of monitoring as part of a long term management program. In addition to these 2 challenges, identifying the proper parties to enforce the provisions of an institutional control can be complex and complicated. And even though ICs are most commonly tied to laws independently administered by state and local jurisdictions, many states may not have explicit authorities written into the respective statutes. Add into that the uniqueness of native land and federal facilities. Another challenge is that there is currently no model framework to guide a compliance and enforcement strategy specifically for ICs. And finally, the Uniform Environmental Covenants Act is a model statute that can be adopted into law and provide legal framework to create, modify, enforce and terminate an IC, but the model language only provides for conventional, common law relief such as trespass or nuisance once a violation occurs and does not provide a compliance assistance framework that many state regulators seek to use first.

Enforcement of ICs Requires Legal Authority

- ▶ Specific legal authority
 - Statutes, regulations, ordinances, etc.
- ▶ Common law authority
 - Case law on trespass, nuisance, etc.
- ▶ IC instruments
 - Enabling language in the IC
- ▶ Enforcement instruments
 - Consent orders, decrees, etc.



ITRCs guidance document recognizes the challenges to enforcement of ICs and discusses the various legal authorities (beyond the traditional statutory dependence) that regulators and other parties responsible for assuring compliance may use. For example, in my state,

Instruments such as consent decrees document an administrative or judicial court's approval of the settlement of an enforcement case filed in court. Typically, consent decrees specify actions to be taken or not to be taken by the settling parties. Consent decrees may have penalties attached for noncompliance.

Basic Model for IC Enforcement

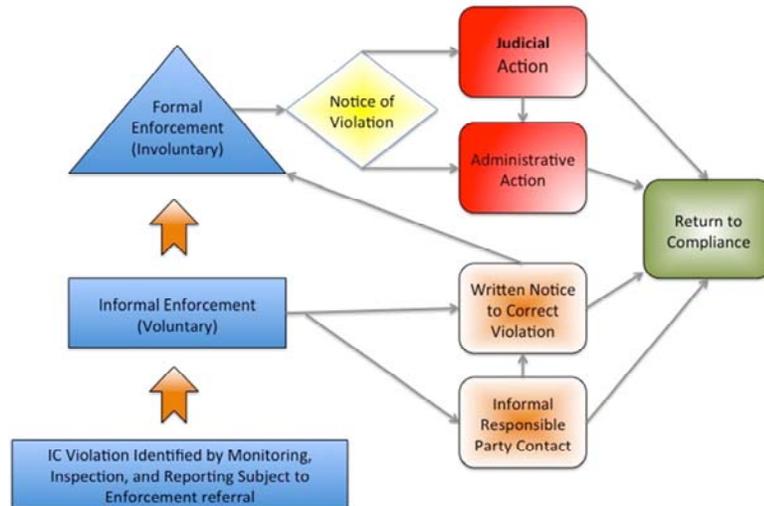


Figure 6. Basic model for enforcement process. See Section "Purpose of a Compliance and Enforcement Program" in ITRC Guidance for more information.

Because there is no common model legal framework for ICs, the ITRC guidance document suggests that the construction of a basic IC enforcement model can be premised on the traditional environmental enforcement model used for water, air, and waste. When IC compliance failure occurs, enforcement can be strategically applied toward the parties' return to compliance, deter any further violation, and assure the protection of receptors from threat of release or exposure. The ITRC guidance document suggests that voluntary compliance methods emphasize enforcement avoidance, as well as intervention to educate a party on how to comply with IC requirements. In contrast, requiring involuntary compliance from a party through formal enforcement is generally considered a final administrative measure to resolve IC violations. Failing to respond to informal enforcement measures, violations with significant environmental impact or parties with a history of noncompliance may generally be considered for formal enforcement.

IC Guidance Document Provides Options for Enforcement When...



- ▶ Violation is identified through monitoring, inspection, reporting or an IC performance evaluation:
 - Requirements **not observed/followed**
 - Requirements **partially implemented** or **fail to fully meet standards**
 - Requirements **not adequately maintained or monitored**
 - Failure to have **required certification**
 - Failure to **meet reporting requirements**

See Section "Compliance and Enforcement Options" in ITRC Guidance for more information.

The ITRCs IC guidance document emphasizes that effective enforcement of an institutional control depends on thoughtful IC planning. Enforcement action may be considered when IC requirements:

- have not been observed;
- have not been implemented or fail to meet requirements;
- have not been adequately maintained or monitored;
- fail to have required certification; or
- fail to meet reporting requirements.

Once a violation is identified through monitoring, inspection, reporting, or an IC performance evaluation, the entity who can enforce can then choose either the informal or formal phase, previously described.

ITRC's IC Guidance Document - Toolbox for Informal Enforcement



See Section "Compliance and Enforcement Options – Voluntary Compliance" in ITRC Guidance Document for more details.

The ITRC guidance document describes the potentially available tools for your agency when seeking to choose the informal/voluntary compliance assistance approach.

Voluntary compliance action may take many forms, and will vary from state to state; examples include an Informal Correction Letter (ICL), a Request for Corrective (or Compliance) Action (RCA), a Deficiency Letter (DL), or an Inspection Report that identifies one or more issues concerning IC requirements. Materials that support an informal enforcement action can be provided to further support the action and to assist the OP in fully understanding the IC violation. These materials can include inspection reports, photographs, maps, and copies of relevant regulations or laws

ITRC's IC Guidance Document - Briefcase for Formal Enforcement



- ▶ Notice of Violation
- ▶ Administrative Orders
- ▶ Judicial Orders
- ▶ Criminal Complaints
(in the most serious cases)



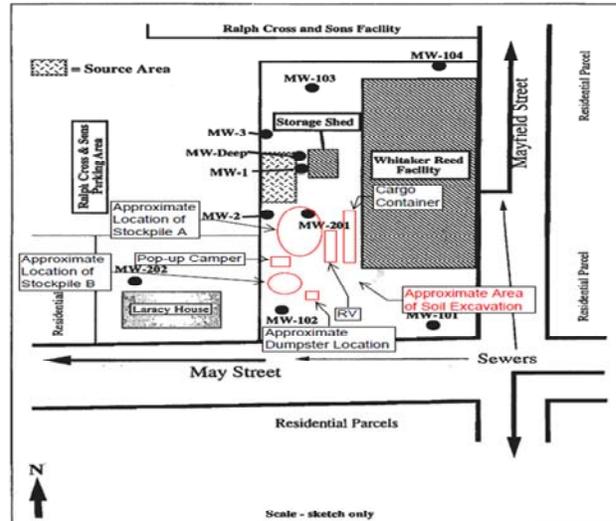
See Section "Compliance and Enforcement Options – Involuntary Compliance" in ITRC Guidance Document for more details.

In the event that the party fails to respond to voluntary compliance measures or fails in any requirement for corrective action within the specified schedule, violations with significant environmental impact or OPs with a history of noncompliance may generally be considered for an NOV without the benefit of voluntary compliance measures. Formal administrative enforcement measures may include administrative orders, civil judicial action and, in the most serious cases, criminal action (Regulations).

Enforcement Case Study – Formal Enforcement with Penalties



- ▶ 1919-1980s
 - Manufacturing
- ▶ 1989-1990
 - Contamination identified
- ▶ 1995
 - Activity and Use Limitation recorded
- ▶ 2012
 - Agency audit



I understand that the enforcement process may be a little challenging to put all together, so the ITRC guidance document includes real world case study examples. One such example takes place in Concord, Massachusetts.

1919 – late 1980s – building occupied by light manufacturing

1989 – 1990 – Property assessment identified oil stained soils with PCE and PCE contaminated groundwater

Remedial activities did not satisfy unrestricted use

1995 – Notice of Activity and Use Limitation (ASTMs restrictive covenant synonym) was recorded with Worcester District South Registry of Deeds

The Massachusetts Department of Environmental Protection may audit any property for which an AUL was recorded.

May 2012 – MassDEP observed soil disturbance & stockpiled soil

October 2012 – Soil samples collected & analyzed detected concentrations of PCE and extractable petroleum hydrocarbons.

Enforcement Case Study – Violations and Resolution



- ▶ Violations of 1995 Activity and Use Limitation (AUL) identified by MassDEP:
 - No health and safety plan
 - No soil management plan
 - AUL did not reference tenant's lease
- ▶ MassDEP assessed \$5,692 penalty
- ▶ Parties negotiated an agreement
 - Property owner paid \$4,000 of penalty
 - Property owner agreed to record amended AUL

The earth moving activities by a tenant at the site were observed without a required health and safety plan or soil management plan – both violations of the AUL. Massachusetts law provides for administrative penalties of up to \$25,000 per day for failure to comply with the terms of an AUL.

In this case, Mass assessed a penalty of \$5,692 and negotiated an agreement with the property owner to record an amended AUL to address the violations described above and pay \$4000 in penalties while the rest were held in abeyance.

Enforcement Case Study Takeaway – MA. Authority and Framework

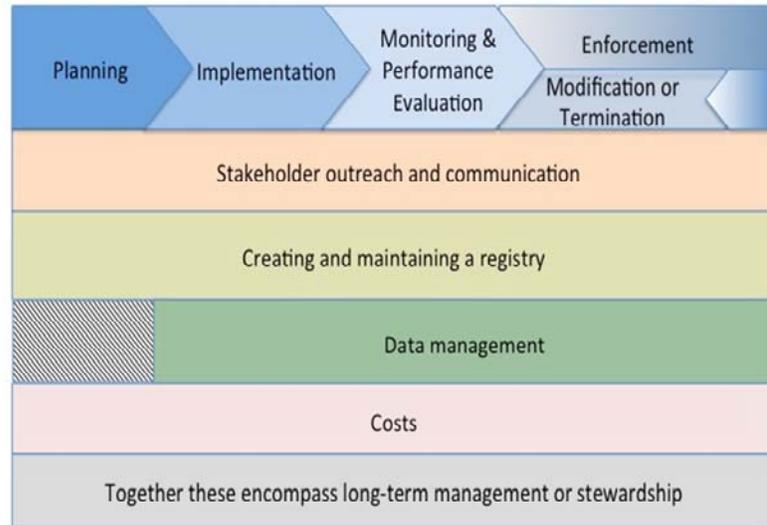
- ▶ MassDEP's administrative authority for ICs stems from statutory authority.
- ▶ Failure to comply with terms of Activity and Use Limitation (AUL) is failure to comply with Mass Contingency Plan.
- ▶ Law provides for administrative penalties up to \$25,000 per day for failure to comply with the terms of AUL.



Massachusetts authorizes an administrative enforcement framework that begins with the issuance of compliance assistance letters to property owners who have a Notice of Activity Use Limitation on the property deed. Failures (identified through the audit program) to comply with the AUL is a failure to comply with the Massachusetts Contingency Plan, and enforcement action may be initiated as happened in this case.

In summary, planning for an IC enforcement action should take place at the time site-specific IC requirements are developed to carefully evaluate enforceability, interested parties, jurisdictional requirements, and methods of enforcement. Enforcement planning should occur as early as the development of a LTS Plan, which Lynn Bailey from the State of Hawaii's Department of Health, Office of Hazard Evaluation and Emergency Response, will now introduce.

Long Term Stewardship (LTS) Plan



An Institutional Control is "A legal or administrative restriction on the use of, or access to a site or facility to eliminate or minimize potential exposure to chemicals of concern." ~ Team doc glossary

Long-term stewardship is required to ensure the IC remains protective of human health and the environment throughout the full IC life cycle.

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Why Do We Need Long-term Stewardship of an IC?



- Remember the IC is the
- As Kevin/Shanna (slide 25?) discussed the need of long-term stewardship to maintain the effectiveness of your ICs.
- Prevent issues like that depicted in the photo (emergency utility repair in area with LUC. Utility company 1 dewatered into storm drain, sheen on ocean. Drew attention of several state agencies and EPA. Other utility company involved was prepared and had vac truck). At the time of release no EHMP (Hawaii's version of an LTS Plan). There is now. KEY – Had there been an LTS Plan, and had all stakeholders had access to ot, we could have prevented the larger issues – release to ocean, fines form State and Fed. Gov, negative public attention.

Long Term Stewardship Plan



- ▶ Created AFTER IC is in Place
- ▶ LTS Plan Objectives
 - Ties everything together
 - Assigns responsibilities
 - Goal is long-term integrity of IC
- ▶ Who writes LTS Plan?
 - Most often the OP
- ▶ Who keeps LTS Plan?
 - Regulators
 - Property owners
 - Permitting agencies

Only 52% of the responding states require some sort of LTS plan

In spite of the importance of an LTS Plan, the ITRC survey found that only 52 percent of responding states require some sort of Long-term Stewardship plan, so our team developed a template for a solid LTS Plan and a tool to help you create a plan of your own.

The LTS Plan is written after the IC is in place and it functions much like an Operations and Management Plan or an EPA Implementation and Assurance plan (ICIAP, USEPA 2012)

1) A good LTS Plan will pull together requirements of the IC, including any EC management. It's a comprehensive guide for monitoring aspects of the ICs, evaluating effectiveness of the controls, and maintaining ICs

2) Doug Burge discussed the importance of outreach to the success of the IC, potentially for decades. Per Kevin, "the IC must be recognized, respected, and upheld by the stakeholders" A good LTS Plan delegate who is responsible for the different steps in monitoring, reporting, and enforcing the IC.

3) The ultimate goal is to keep the requirements of the IC in place long-term to protect human health and the environment, even when the people who initially implemented the IC are no longer part of the project.

Writer and keepers of LTS plan will likely vary by state, but in general OP writes? In some instances regulatory agencies may choose to write the plans. For instance, in Hawaii, we have written EHMPs to manage old sites with historical contamination in public right of ways, where the OB/RP is no longer identifiable.

This slide shows a small subset of who should keep the IC, but a more complete list is shown on slide 24. should including tenants, adjacent property owners. The LTS Plan should also be available to the public upon request. Generally, the more people aware of the locations of ICs and the requirements of ICs, the more likely we are to maintain the integrity of the ICs and protect human health and the environment.

Information Required for Successful LTS Plan



Existing documents have what you need

- ▶ IC instrument
 - Environmental Covenant
 - Letter of Completion
 - Government letter
- ▶ Site closure and decision documents
 - Record of Decision
 - Remedial Action Completion Report
 - Response Action Memorandum
 - Remediation Verification Report
 - Earlier investigation or characterization reports
 - Other?

“Don’t reinvent the wheel” Historical Site Information = IC Goal Michael discussed on slide 65

All the historical information needed to set the stage for a successful LTS Plan can be found in the site closure documents (RODs, etc.) and the IC document itself. The same documents that Michael Jane/Kevin discussed being important for performance evaluation are the documents that we need to create the LTS Plan. Some are listed here, but different states, different programs have different types of documents that can be good resources. Additionally, some ICs are interim ICs for sites where remediation is pending or in progress. In that case, you would pull information from finalized characterization reports, like remedial investigation reports or feasibility studies, as well as from the Interim IC.

The LTS Plan will build on the information in these documents to tie it into the components such as monitoring, registry, outreach and enforcement that the team discussed earlier.

LTS Plan – Sample Site “Easement”



Example Site to show how simple it can be to create an effective LTS Plan

This Site was brought to our attention when the tenants of the casting yard northwest of the site were excavating across a pipeline easement to put in wiring for some lighting. Fairly open area surrounded by industrial land. This site is a small, rectangular area with institutional controls for observed free product, groundwater contamination, and soil contamination.

LTS Plan – Use Historical Site Information



- ▶ Figures with scale, legend, and directional arrow
 - Site Location
 - Site Plan
 - Contaminant maps
 - Conceptual Site Model
- ▶ Tables and text
 - Site background
 - Historical sample results

For our Easement LTS Plan, we got the information from the Historical documents we already discussed. We pulled some figures from the historical documents directly into our plan, including:

Standard Figures from environmental documents

- Site Plan with labeled areas of concern and IC boundaries
- Contaminant figures should show delineated COPC boundaries and affected media

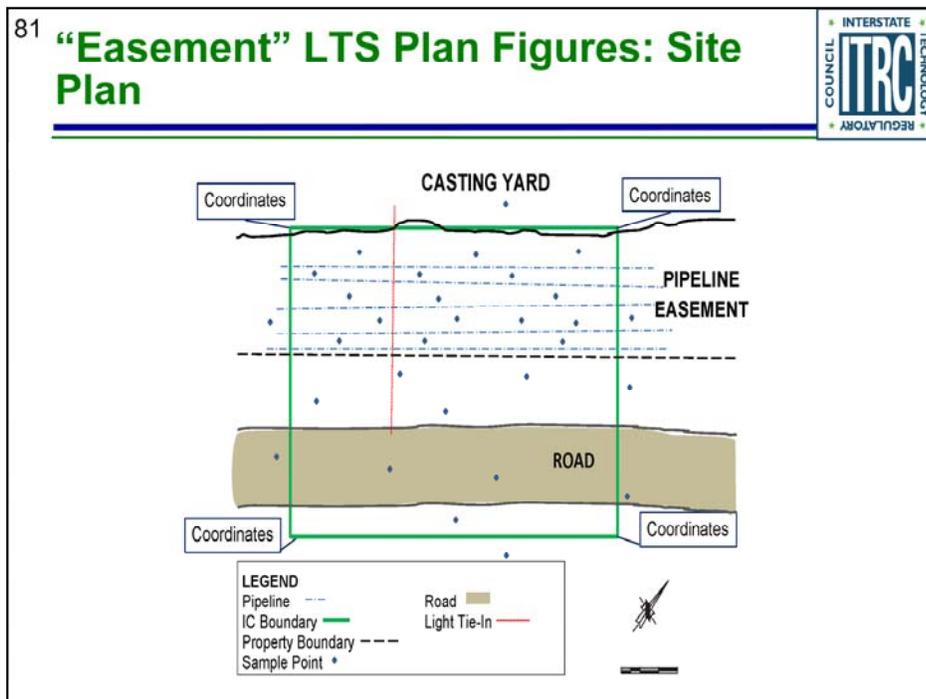
We also pulled other information from table and text in those documents:

Site background info –past, current, anticipated future site use;

Summary of investigation – all impacted media, all sources of chemical releases, COCs, applicable screening levels and exceedances

Also figures and tables

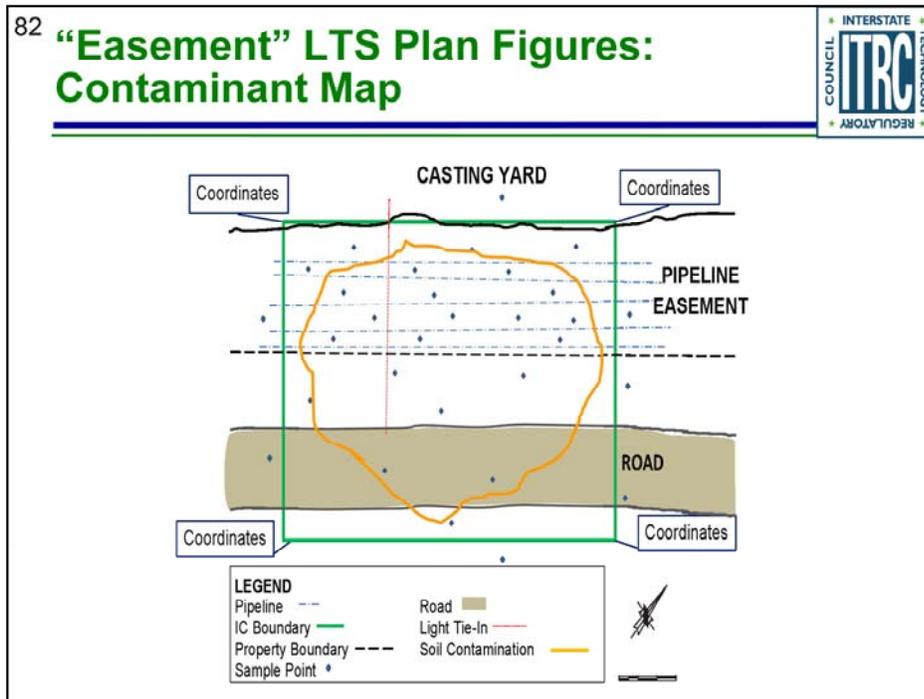
“Easement” LTS Plan Figures: Site Plan



Here is an example of the Site Plan Figure that we pulled into our LTS Plan from historical documents. The utility excavation where contamination was initially identified is shown in red.

Five horizontal dotted lines are pipelines (source), green rectangle surrounding the site is the area bounded by ICs. Coordinates of the IC boundary are shown in callout boxes at the corners of the control area. The property boundary of the easement is near the middle of the site (dashed black line), and a road cuts through the southwest.

“Easement” LTS Plan Figures: Contaminant Map



The utility excavation where contamination was initially identified is shown in red.

Five horizontal dotted lines are pipelines (source), green rectangle surrounding the site is the area bounded by ICs. Coordinates of the IC boundary are shown in callout boxes at the corners of the control area. The property boundary of the easement is near the middle of the site (dashed black line), and a road cuts through the southwest.

This is a simplified map for the presentation. Your LTS Plan contaminant figure most likely will have additional details, like call-out boxes with contaminant concentrations, depths to contamination, etc.

For Easement, the LTS plan will contain additional maps clearly delineating the groundwater and free product at the site. Since Easement only has one area of concern with one type of IC, this simple type of map is sufficient. If you have a site with multiple IC boundaries, ensure your LTS Plan figures clearly show those boundaries and the contaminants within each.

Although the technical aspects of contamination management at this site seem simple, the responsibility is not clear. There is a pipeline easement with two separate companies responsible for the pipelines (top two owned by one company, the others by another). The casting yard is run by another company that leases this portion of land from a large landowner in the area. The contamination was discovered when the casting yard crew excavated in the easement to put in some lights. If that scenario isn't complicated enough, at the time of discovery, the large landowner was finalizing a sale of the land to a new owner. It is important for the LTS Plan to identify all these stakeholders and clarify which is responsible for each step of the monitoring and reporting in the future.

How Do We Write an LTS Plan that Will Track the IC Requirements?



► Stakeholders

- Current property owner
- Future property owner
- Pipeline owner 1
- Pipeline owner 2
- Casting yard tenant
- Future pipeline/utility workers

See Table 5 in the team document

<http://institutionalcontrols.itrcweb.org/stakeholder-perspectives/#>

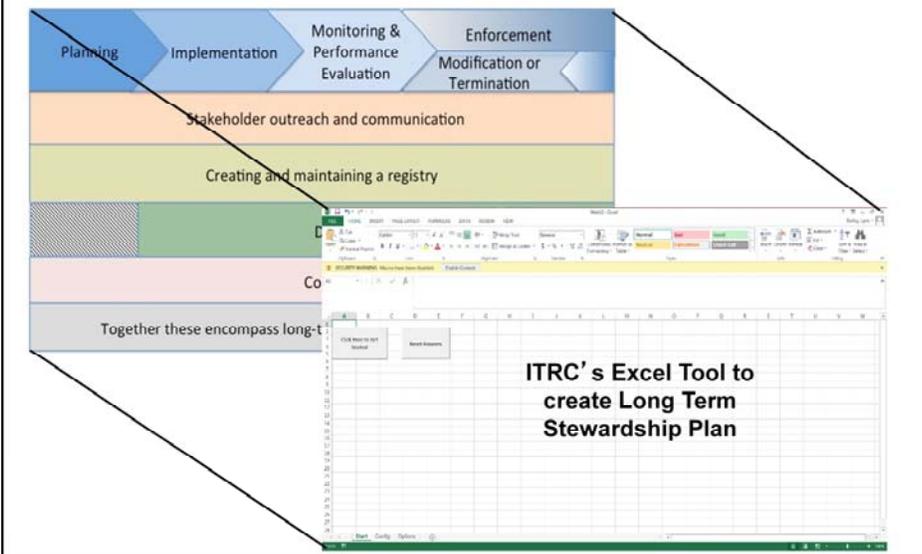
Doug discussed how Effective communication and outreach between stakeholders (slide 29) can increase IC success. Table 5 of the Team document lists a large variety of stakeholders who must be considered during the life cycle of a successful IC. "we reviewed Table 5 and identified this subset of key stakeholders to include for this site".

As we write the LTS Plan, the roles and responsibilities of each stakeholder must be clearly defined throughout the remaining life cycle of the IC – monitoring/performance evaluations, enforcement, modification/termination.

Additional known and potential stakeholders from Table 5 will be included in an appendix of the plan.

When there are so many parties involved with property with ICs, how can we ensure the integrity of the ICs will continue to protect human health and the environment well into the future? There's an app for that. The ITRC tool will assist the OP with writing an LTS Plan that will identify monitoring requirements and clarify the responsibilities of the different parties involved.

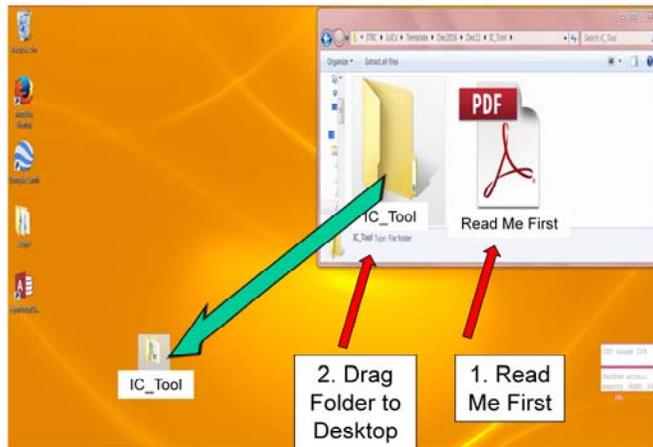
Tool: Long Term Stewardship Plan



The LTS Tool allows users to generate an LTS Plan which can be further edited to smooth the language, add/delete information, or improve functionality.

After generating the document, coordinate with local regulators to ensure that the LTS Plan meets all regulatory requirements.

LTS - Let's Begin!

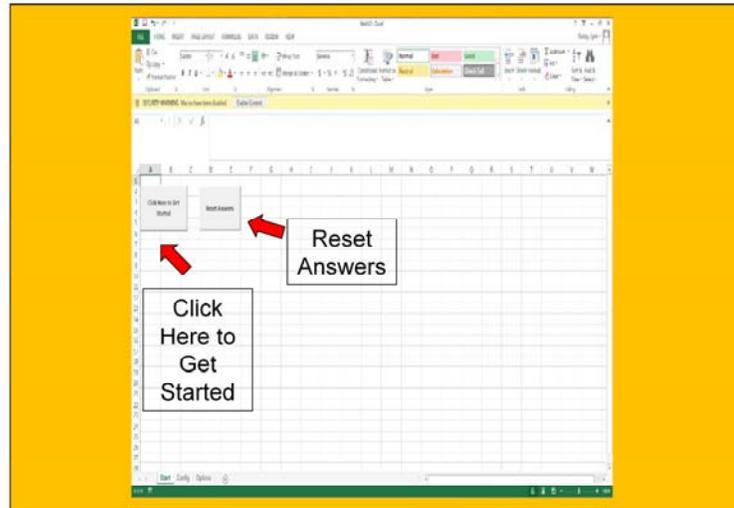


Click link in team document on the ITRC Web page to download tool (we'll give link at end of presentation). Within a zipped file, you'll see a folder called IC_Tool and a .pdf document called "Read Me First". Open the "Read Me First" file and you'll see step by step instructions for saving and opening the tool. These instructions will save you from errors and frustration later, so please don't blow them off.



Now you see a folder called, "IC_Tool" on your desktop. Open the folder and you see a folder called "images", a folder called, "templates" and an Excel File called "Web UI". Important: Please keep all these files and folders together as they are packaged. Changing the folder or file names or moving files/folders will hinder the tool functionality. Click the Web UI Excel File to open.

LTS Tool – Start Creating Your LTS Plan



For many users, the tool table of contents will pop up immediately after you open the Web UI. If so, your screen will look like the next slide. Other users may need to enable editing, enable content, and/or configure Excel to trust VBA. The “Read Me First” file will show you how to do this. Once those steps are complete, your screen will look like this. Also, if you close the tool and reopen it to work on it later, you will see this screen. Clicking “Click Here to Get Started” will send you to the Form Page where you left off. Clicking reset answers, clears all previous entries and returns you to the beginning.

LTS Tool – Start Creating Your LTS Plan

The screenshot displays the LTS Tool interface. A yellow background highlights the main workspace. A dialog box titled "Table of Contents" is open, listing various sections of the plan. A red arrow points from a "Table of Contents" label to the dialog box. Another red arrow points from a "Next" label to the "Next" button at the bottom of the dialog box.

Table of Contents

- Introduction
- Site Profile
- Table 1: Summary of current environmental conditions
- Summary of Current Environmental Conditions
- Activity and Land Use Limitations
- Area of the Site where Restrictions are Imposed
- Area of Site Management (A-C)
- MANAGEMENT OF CONTAMINATED WATE (A-C)
- MANAGEMENT OF CONTAMINATED GROUNDWATER (A-C)
- MANAGEMENT OF MANUFACTURED GAS SYSTEMS (A-C)
- SOIL VAPOR MANAGEMENT (A-C)
- MANAGEMENT OF CONTAMINATED SURFACE WATER AND SEDIMENT (A-C)
- MANAGEMENT OF OTHER HAZARDOUS (A-C)
- OPERATIONS AND MAINTENANCE REQUIREMENTS/LIMITATIONS
- Table 2: Monitoring and reporting requirements
- Table 3: Monitoring and reporting requirements
- Monitoring Coordination
- Enhancement Action
- Table 3: Enhancement Action
- Table 4: Enhancement Action
- Appendix 1
- Masterplan Table

Next

The first time you use the tool, whether you “Click Here to Get Started” or whether the tool auto opens, the first thing you will see is the tool table of contents. Click next to go to the next slide.

LTS Tool – Questions and Answers

The screenshot displays a web-based form titled 'Page 2' with a 'Print' button in the top right corner. The form contains several text boxes and a 'Print' button at the bottom right. A red box highlights the 'Dept.' field, which is currently empty. Below the form, there are four navigation buttons: 'Previous', 'Next', 'Table of Contents', and 'Print'. Red arrows point from these buttons to their respective labels. The 'Table of Contents' button is highlighted with a red box. The form also includes instructions at the top and a list of required fields marked with red asterisks.

You will see a blank form. Notice the 4 buttons at the bottom. During any time in the process of answering questions and creating your LTS Plan, you can return to the previous page of questions or look at the table of contents. The next button is used to advance the tool to the next set of questions in the form. Any form question marked with a red asterisks is required. You will not be able to click “Next” until all the questions marked with a red asterisks are completed.

As you answer the questions, fill in the information appropriate to your site and write as if you are writing a document. Use the information and the decisions that are documented in IC document and the site closure documents. If there is an interim IC and remediation is ongoing or pending, use the information in the Interim IC and existing finalized characterization reports.

In some cases, the answers you provide in one question will fill into more than one location in the LTS plan you are creating. Be careful not to use sentence fragments or abbreviations, unless you want the information to be shortened within the plan (Note red circle). You will also be able to upload figures that will be inserted into the document. Again, choose these figures from existing site documentation. Whenever you would like to check your work, click on the preview button in the lower right-hand corner of each page of the form.

LTS Tool – Preview Your LTS Plan

I. Introduction

This LTS Plan is designed to assist obligated parties with the long-term management of institutional controls (IC). ICs are used to minimize the potential for ecological or human exposure to contaminants and to protect the integrity of a cleanup remedy. This document is designed to clarify the constraints of the ICs in effect at Easement, 919 Ala Moana Blvd., Honolulu, HI 96814, (Tax Map Key: 123456789), Coordinates: 27 N, -157 W, Metes and Bounds: Metes and Bounds and Additional Location Information), as required by No Further Action with Institutional Controls Determination at Easement provided in Appendix A. This document also provides a comprehensive guide for implementing, monitoring, and maintaining the ICs as long as contamination remains in place at the site. Hawaii Dept. of Health, Hazard Evaluation and Emergency Response Office is the regulatory agency responsible for monitoring and enforcing the ICs at this site; however, it is the sole responsibility of Current Property Owner to ensure daily compliance with the ICs. Federal and/or state regulations that govern the ICs include Hawaii Revised Statutes, Chapter 128D and Hawaii Administrative Rules, Chapter 11, Section 451. Applicable or Relevant and Appropriate Requirements include: ARAR X. This site is listed in a registry called Hawaii Registry; mylink.com. The identifying registry information for the site is Site Registry Name:

\$72,000 is required for this site, one or more irrevocable letters of credit payable to or at the direction

The preview button will allow you to see how your information has been filled into the form, and make corrections within the tool, if you wish. The answers you gave to questions within the tool will be highlighted blue wherever it autofilled into the LTS Plan you are creating. You'll notice the highlighted text imported into the plan exactly as I wrote it in the form....including the abbreviations. Based on reviewer comments, if users did not answer some questions in the tool, the preview will display a highlighted "Question Not Answered".

LTS Tool – Options for Complex or Simple Sites

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Areas of the Site where Restrictions are Required

* Upload a figure depicting specific areas of the site where ICs are required, media/environmental concerns covered by the IC in each area, and all required engineering controls (EC).
If you wish to call Area A by a specific name, enter the name here.

Do you have a second area to document? Yes No

Do you have a third area to document? Yes No

Do you have a fourth area to document? Yes .. No ...

Upload

Easement IC Area

Our “Easement” site is technically fairly simple, with just one area with ICs. However, if you have a property with different ICs in different areas, you can use the LTS Tool to create a plan that will work for multiple areas. Just click “yes” for second, third, or fourth areas.

LTS Tool – Options for Complex or Simple Sites

The screenshot shows a software window titled "Page 8a" with a red header bar. The main content area is titled "INTRO TO AREA MANAGEMENT (Area A)". Below the title, there is a section "Select the media that require restrictions (click all that apply)" followed by a list of four items with checkboxes: "soil" (checked), "groundwater" (checked), "nonaqueous-phase contamination/gross contamination" (checked), and "vapor hazards" (unchecked). Below this list, there are two questions with radio button options: "Is there open access to this area of the site?" with "Yes" selected and "No" unselected; and "Are signs present?" with "Yes" unselected and "No" selected.

You will then be led through a series of questions about which types of contamination are controlled with ICs and ECs within each area.

LTS Tool – Monitoring Questions



Activity or EC that Must be Monitored	Frequency of Inspection and/or Monitoring	Method of Inspection and/or Monitoring	Entity Conducting IC Monitoring	Reporting Requirement
Regulatory Compliance with all aspects of IC	Once every 5 years	Records review	Mr. Smith	Checklist
Cap Integrity	Annually	Site Visit	Future Property Owner	Photolog
Property transfer	Once every 5 years	Review Tax Records	IC Manager	Report
Operations and maintenance of systems	Monthly	Site Visit	AAA Consulting Firm	laboratory analytical results
Groundwater use	Annually	Review Well Permits	County Planning Office	other (specify)

Michael and Jane talked about the importance of monitoring and performance evaluation. The LTS Tool asks questions in the monitoring section that tie back to the ICs and ECs requirements specified in earlier questions. This section of the tool helps you choose what types of monitoring are required, who is responsible for the monitoring, how to report the results, and who to report to. After completing this section of the tool, a table like this will be included in the LTS Plan for your site.

LTS Plan Creation!

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Stakeholder Table

Name of Agency or Individual	Role	Address	Phone	Email
Large Land Holdings, LLC	owner	122 My Street, Michigan, MI	555-112-1111	LLH@property.com

Create Report

Previous TOC Create Report

For your very own LTS Plan Tool, download at:
http://www.itrcweb.org/Documents/team_ic/IC_Tool.zip

This slide shows how the tables are generated. The column headings are shown, and one blank row is provided. Click on a cell and select a response from a pulldown tab or type in a response. When you complete a row, click on the plus sign to add a new row. Continue filling information and adding rows until your table is complete.

After all the required questions have been answered, tables have been generated, and figures have been uploaded to the tool, click on the "Create Report" button in the bottom right-hand corner of the last page and a document called "ITRC IC Final" will be created in the folder with the templates. Feel free to save this as another name in another folder. You can edit it as you would any other Word document – edit text, format the headings, add or delete image files (figures), spell check, etc.

In the final document, unanswered questions will be blanks.

Users can save the form answers and update later, or they can reset the form to use it for a new LTS Plan for another site. Click TOC to return to the beginning. Then close the form and click the "reset answers button".

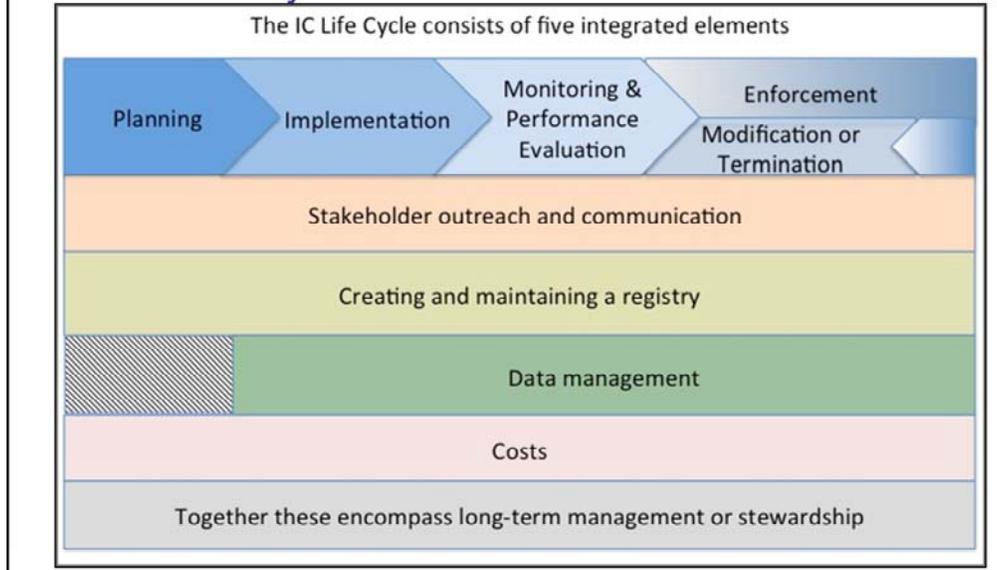
As promised, here is a link so you can download your tool and generate your own LTS Plan.

Carol Murphy, (Tri Hydro Corporation) or Kevin Shrems, (Michigan DEQ) will summarize all the information we discussed today.

A Long-term Management Plan for ICs is Critical – ITRC Guidance Provides Solution



Failure of any element can result in failure of the IC



During this presentation, and in the guidance document, we have presented this diagram, which illustrates the five critical elements of the IC life cycle. Beneath the elements of the life cycle, we list critical components that must be considered to achieve a successful IC management program. These critical elements and components essentially formed the structure of the guidance document and various sections in the guidance document address each of these elements. Together, these are the minimum components for effective long-term stewardship.

Effective long-term stewardship practices are needed to ensure the ICs continue to prevent exposure to contamination that has been left into place. The guidance document provides examples and recommendations for good stewardship practices.

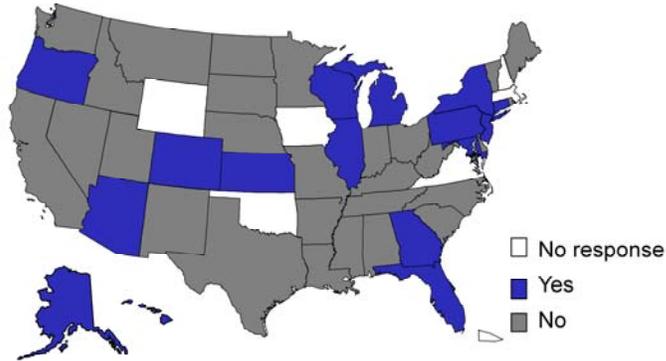
As was previously presented by Lynn, one of these recommended practices is to develop a stewardship plan. So, to help you develop this plan, we developed a downloadable Long-Term Stewardship plan tool.

How Are ICs Managed for the Long-term on Your Sites?



Overarching Need – Long-term IC Management Procedures

- ▶ 64% of states responding have no standard procedure for selecting, using, and implementing Institutional Controls across different state programs.



- ▶ Institutional Controls vary greatly across the states and within state programs.

As we wrap up, I'd like to ask you to think about the ICs where you are a stakeholder.

Maybe you are:

- A state or local agency project manager.
- A responsible party or a consultant working on behalf of a responsible party.

As yourself – How are the ICs being managed at my sites to ensure long term success?

When we asked the states in our survey, we found that over half of the states responding do not have standard procedures in place for selecting, using, and implementing ICs.

Are You Confident in the Long Term Integrity of ICs?



- ▶ If you are not actively managing or monitoring your ICs, how do you know they continue to be protective?
- ▶ If you don't have a plan or need to improve on your current plan...this ITRC guidance is for you!
- ▶ The ITRC guidance can serve as a credible, consensus-based tool to support your discussions.

If, you answered that you really don't have proactive programs in place to actively manage your ICs, then how do you know that they are continuing to be protective....how do you know that they continue to prevent exposure?

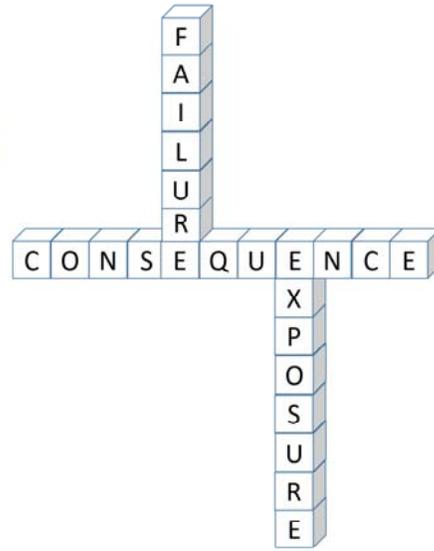
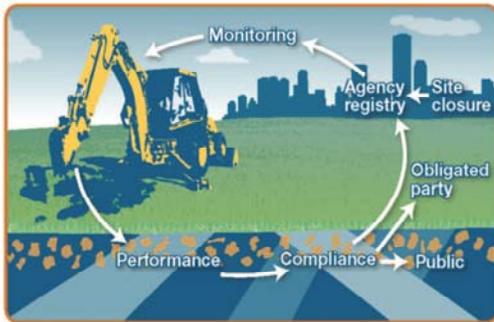
After thinking about these questions, if you have determined that you would like guidance and support on developing a plan to manage your ICs, then this guidance document is for you!

Also, if you have come to the realization that you DO need to develop an IC management program, but you also wonder how you'll be able to convince the key decision makers that (1) you need a plan and (2) how to pay for it, you can hold up this guidance document to support your cause. Use the guidance document as a credible, consensus-based tool to support your discussions with the key decision makers!

Reduce Risk – Manage ICs



Reduce your risk of IC failure
 Use ITRC's Guidance:
 "Long-term Contaminant
 Management Using Institutional
 Controls"



And don't forget - The ultimate goal of ICs is to prevent exposure to contamination that has been left in place. It's that simple.

Through our survey of the state agencies, we were able to gain insight into what has caused failures of ICs across the United States.

Using this insight, our guidance document will provide you with ideas and tools on how to prevent failures and, ultimately, to prevent exposure to contamination that was left in place at your sites.

We Can Help You Ensure Your Institutional Control Success



**The tools in the Guidance Document can
Help maintain the integrity of ICs &
Avoid accidental violations**

Avoid situations like the one in Hawaii – where the utility company breached an IC and dewatered contaminated groundwater into the stormdrains and out to the ocean!

We believe that this situation in Hawaii could have been avoided, IF Hawaii had used all of the recommendations and suggestion that are presented in the guidance document.

Well, the good news is that, since that story happened, Hawaii is in the process of implementing many of the ideas presented in the guidance document to prevent this from happening in the future.

ICs have played an important role in remediation programs throughout the country, the success of many of these remediation programs ultimately relies on the success of the long term management of the Institutional Controls at these sites!

With that, we'd like to thank you for participating in our training today and I'll turn it back over to our moderator.

Thank You

Follow ITRC



Poll Questions

- ▶ 2nd question and answer break
- ▶ Links to additional resources
 - <https://clu-in.org/conf/itrc/lcmuic/resource.cfm>
- ▶ Feedback form – *please complete*
 - <https://clu-in.org/conf/itrc/lcmuic/feedback.cfm>

View Your
Participation
Certificate (PDF)



Need confirmation of your participation today?

Fill out the feedback form and check box for confirmation email and certificate.

Links to additional resources:

<https://clu-in.org/conf/itrc/lcmuic/resource.cfm>

Your feedback is important – please fill out the form at:

<https://clu-in.org/conf/itrc/lcmuic/feedback.cfm>

The benefits that ITRC offers to state regulators and technology developers, vendors, and consultants include:

- ✓ Helping regulators build their knowledge base and raise their confidence about new environmental technologies
- ✓ Helping regulators save time and money when evaluating environmental technologies
- ✓ Guiding technology developers in the collection of performance data to satisfy the requirements of multiple states
- ✓ Helping technology vendors avoid the time and expense of conducting duplicative and costly demonstrations
- ✓ Providing a reliable network among members of the environmental community to focus on innovative environmental technologies

How you can get involved with ITRC:

- ✓ Join an ITRC Team – with just 10% of your time you can have a positive impact on the regulatory process and acceptance of innovative technologies and approaches
- ✓ Sponsor ITRC's technical team and other activities
- ✓ Use ITRC products and attend training courses
- ✓ Submit proposals for new technical teams and projects