

## ***Appendix A***

### ***Conceptual Site Model (CSM) and Corrective Action Objectives (CAOs)***

- 1.0 The CAS CSM**
- 2.0 The CAS CSM Profiles**
- 3.0 Using the Preliminary CSM to determine Performance Standards**
- 4.0 Developing DQOs for Field Investigations – to complete the CSM**
- 5.0 Determining CAOs to Support the Performance Standards**

## **Appendix A**

### **Conceptual Site Model (CSM) and Corrective Action Objectives (CAOs)**

#### **1.0 The CAS CSM**

Successful implementation of the CAS relies on the development of a complete, yet concise conceptual site model (CSM). The CAS places great emphasis on the CSM because it provides the facility and the administrative authority with a broad view of the potential releases to the environment and the proximity of receptors and sensitive environments. The “big picture” approach provides information necessary for:

- performance-based project management
- cost-effective investigations
- risk characterizations and risk management decisions
- development of DQOs
- monitored natural attenuation (MNA) determinations, when appropriate
- technical impracticability (TI) waiver determinations, when appropriate
- and sound remedy selection decisions.

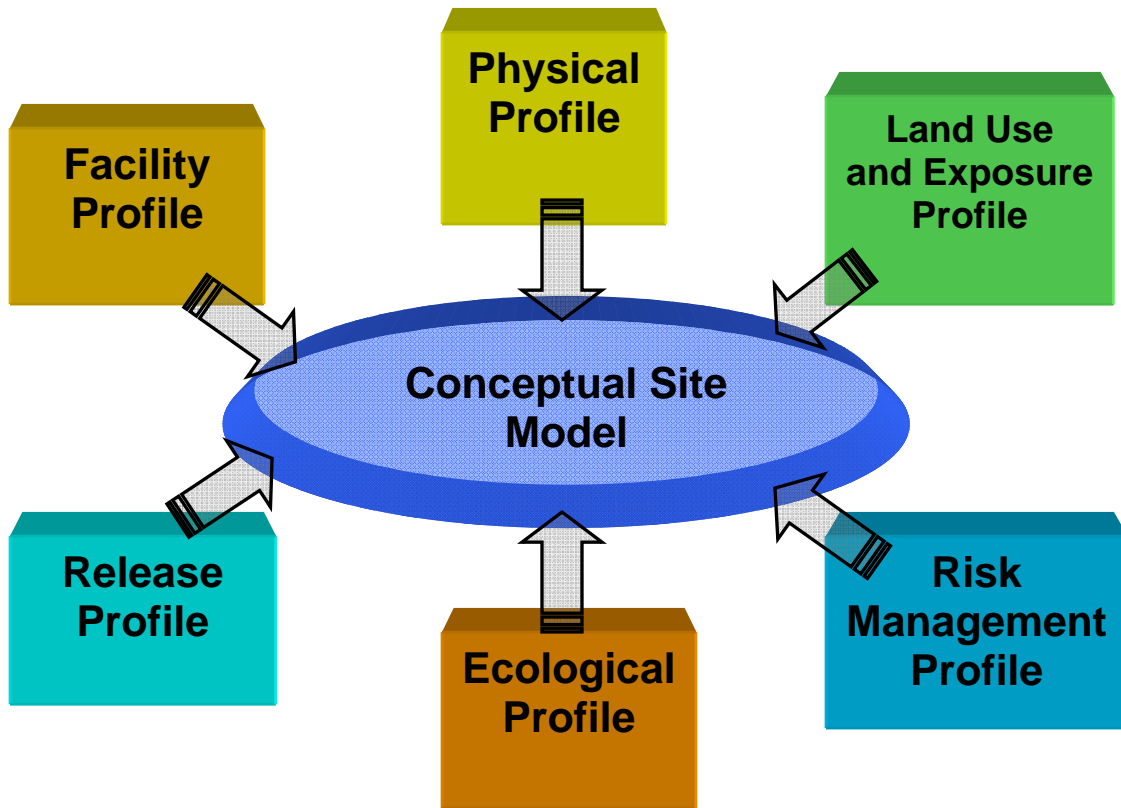
Use of the CSM provides a means of documenting and periodically updating all general facility information, i.e., land use changes, new release information, etc. Keeping the CSM updated allows the facility and the administrative authority to use the CSM as the “go to” document for future site inspections, and to document site conditions as risk is reduced through remedy implementation.

The CAS CSM is unique in that it provides a way to organize all components of a CSM into a document that can be used as a “stand alone” deliverable. As site conditions change, it provides the facility manager with a means to keep all pertinent site information in one document.



- Facility Profile
- Physical Profile
- Land Use and Exposure Profile
- Release Profile
- Ecological Profile
- Risk Management Profile

The CAS CSM includes the following profiles; 1) Facility Profile, 2) Physical Profile, 3) Land Use and Exposure Profile, 4) Release Profile, 5) Ecological Profile, and 6) the Risk Management Profile (**Figure A-1**).



**Figure A-1 CAS Profiles**

All profiles are documented by written descriptions supported by maps, geological cross sections, tables, diagrams and other illustrations to depict site

conditions. When preparing a CSM, the facility needs to decide the scope, quantity, and relevance of information to be included, balancing the need to present as complete a picture as possible to document current site conditions and justify risk management actions, and keep the information focused without becoming extraneous or irrelevant. The facility may solicit advice from the administrative authority regarding the scope of information.

The CSM is a three-dimensional representation of site conditions that conveys what is known or suspected, at a discrete point in time, about the sources, releases, release mechanisms, contaminant fate and transport, exposure pathways, potential receptors and risks.

The first step for the risk manager is to identify known releases, or other potential sources and incorporate all available information into the six profiles. At this point, the risk manager will need to identify all potential receptors, sensitive environments or other special subpopulations. Risk managers should coordinate with state and/or local authorities responsible for groundwater use and classification to determine whether the aquifer beneath or adjacent to the facility is used as a drinking water source, or has other designated beneficial uses.

## **2.0 The CAS CSM Profiles**

### **2.1 The Facility Profile**

The facility profile describes the various manmade features present on or near the site, including:

- facility structures, including sewer systems, underground lines, etc.
- process areas, including historical processing sites
- solid waste management units (SWMUs) or other potential source areas identified by a routine and systematic release of hazardous constituents to the environment (i.e. truck or railcar loading/unloading areas)
- historical features that may be potential release areas because of past waste management practices, (i.e, old dump sites).

The facility profile may provide information on potential source areas and identify buildings or process structures that may affect site characterization or remedy implementation. The location of facility structures and process areas relative to a release is important in identifying contaminants of potential concern (COPCs) during the screening process (Chapter 4).

## **2.2 Land Use and Exposure Profile**

The land use and exposure profile consists of information used to identify and evaluate the applicable exposure scenarios and receptor locations, including:

- land use on the facility and adjacent properties (including specific land use categories, i.e., single-family homes, recreational, agricultural, or commercial/industrial uses)
- beneficial resource determination (groundwater, protected natural resources, wetlands, etc.)
- resource use locations (water supply wells, surface water intakes, etc.)
- subpopulation types and locations (schools, hospitals, day care centers, etc.)
- applicable exposure scenarios
- applicable exposure pathways identifying the specific sources, releases, migration mechanisms, exposure medium, exposure routes and receptors.

To develop the land use and exposure profile, the facility should begin by evaluating the types of land use and determining the beneficial resources on and around the facility. In addition, information on potential receptors (surface water bodies, water wells, and residences) should be incorporated into the CSM for each release. For example, the identification of surface water bodies at locations in the assessment area indicates the potential for exposure from ingestion of fish and possible drinking water sources. Also, receptor information is vital in demonstrating complete or incomplete exposure pathways during screening (see Chapter 4).

### **2.3 Ecological Profile**

The ecological profile consists of information concerning the physical relationship between the developed and undeveloped portions of the site, the use and level of disturbance of the undeveloped property, and the type of ecological receptors present in relation to completed exposure pathways. The following information should be included in the ecological exposure profile (some of this information already may be available from other CSM profiles):

- description of the developed property on the site, including but not limited to, structures, process areas, waste management units, property boundaries, and historical uses (reference to a facility map)
- description of the undeveloped property on the site, including but not limited to, sensitive environmental areas (Federal or state parks or protected areas) habitat type (wetland, grassy area, forested, pond, stream, etc.), primary use, degree and nature of disturbance, ornamental areas, drainage ditches, creeks, and landfill areas (reference to a facility map)
- description of site receptors in relation to habitat type, including but not limited to, endangered or protected species, mammals, birds, fish, etc.)
- description of relationship of releases to potential habitat areas, contaminants of potential concern present or suspected, media contaminated, sampling data summary, potential or likely routes of migration or exposure of potential receptors, etc.

The information captured in the ecological profile will be critical in completing the Ecological Exclusion Criteria Worksheet and Ecological Assessment Checklist (Appendix B). The exclusion worksheet was developed to help facilities and the administrative authority identify incomplete or insignificant exposure pathways that exist at the affected property, thus eliminating the need for a formal Ecological Risk Assessment.

## **2.4 Physical Profile**

The physical profile describes the factors that may affect releases, fate and transport, and receptors, including:

- topographical features, such as hills, gradients, surface vegetation or pavement
- surface water features such as drainage routes, surface water bodies, wetlands, and watershed parameters and characteristics
- surface geology including soil types and parameters, outcrops, and faulting
- subsurface geology including stratigraphy, continuity, and connectivity
- hydrogeologic information identifying the water-bearing zones, hydrologic parameters, and impermeable strata
- soil boring and monitoring well logs and locations

The physical profile should concentrate on site-specific environmental setting information in the absence of a release. The physical profile information will generally be integrated with information from the release profile to describe the behavior of contaminants in the environment. The initial development of the physical profile will begin with some preliminary understanding of the environmental setting. Data gaps can then be identified and used to design future investigations.

## **2.5 Release Profile**

The release profile should describe the nature of contaminants in the environment, including the following:

- identification of source materials
- identification of contaminants of potential concern and contaminants of concern, as appropriate
- potential source locations
- source locations where a release has been confirmed
- soil sampling and monitoring well locations

- delineation of the area of contamination
- distribution and magnitude contaminants of potential concern and contaminants of concern in a release
- migration routes and mechanisms
- fate and transport modeling results

As with the other profiles, the release profile will be developed over time as information is obtained. At the beginning of the CAS, the release profile may consist of the potential source locations, but at the completion of the CAS, it should contain site-specific information on release characteristics. The contaminant migration and fate and transport aspects of the release profile should be integrated with the geologic and hydrogeologic information developed for the physical profile; this information can also aid in the development of the performance monitoring for risk management activities implemented under the CAS.

## **2.6 Risk Management Profile**

The risk management profile is used to illustrate the relationship between releases and risks. It illustrates how the release-risk relationship can be altered by implementing risk management activities. The risk management profile can include:

- summary of risks
- impact of a risk management activity on release and exposure characteristics
- performance monitoring locations and media
- contingency plans in the event performance monitoring criteria are exceeded

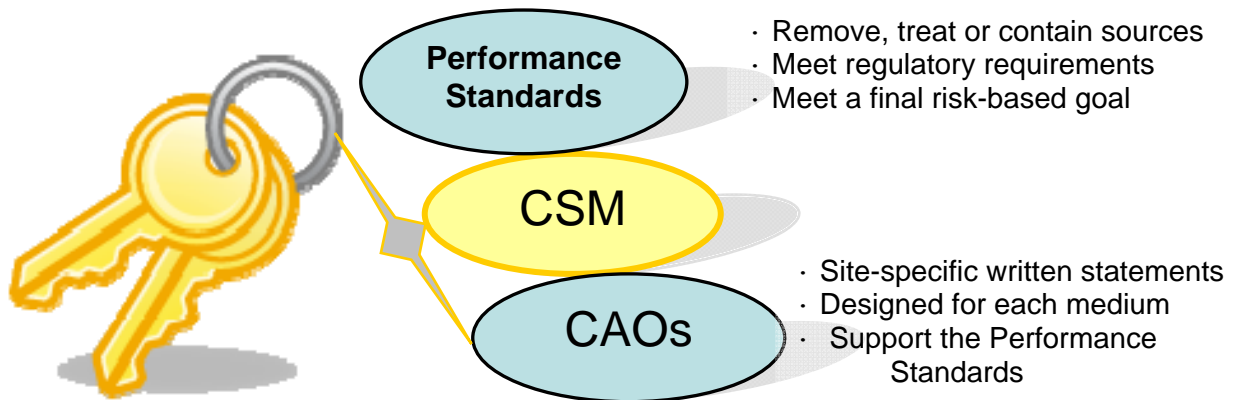
The risk management profile will represent the risks and risk consequences of the selected risk management activity(ies). This profile also can provide a basis for determining appropriate performance monitoring locations and establishing contingency plans to ensure protectiveness. During the development of the preliminary CSM, the profile may serve as a placeholder. As the facility progresses through the CAS, the information contained in the risk management profile will be augmented and refined and



will ultimately demonstrate how facility risk will be managed. Following remedy implementation, this profile serves as a place to update activities from the Risk Management Plan (Section 2.4.4).

### 3.0 Using the Preliminary CSM to determine Performance Standards

Using the CSM enhances focused data collection, thus saving time and money during field activities. Instead of determining the nature and extent of releases without consideration of the end use of the data, investigations are streamlined with DQOs geared toward defining the needed outcome. The profiles of the preliminary CSM are used as the basis for determining the performance standards for remedy selection. The performance standards give a broad general direction for cleanup activities. Site and source area characteristics must be evaluated in order to determine if sources can be removed, or if the best option is treatment (in-situ or ex-situ) or containment. **Figure A-2** illustrates the key elements of the CAS used for successful remedy selection.



**Figure A-2 Keys to Successful Remedy Selection**

A preliminary CSM is also used to document the groundwater classification, which can direct the selection of performance standards. For instances where groundwater is not a drinking water source, is not a beneficial resource, or in instances in which restoration is not practical, the expectation is that human health and the environment must be protected at the point of exposure (POE). If a state does not consider groundwater beneath a facility to be a beneficial resource, the POE may be placed at the facility boundary. (See **Figures A-3 through A-6.**) Protection of beneficial groundwater and receptors, both ecological and human, would occur at the new POE.

In all cases, decisions on attainment of source control through removal, treatment or containment is paramount and will precede the development of final corrective action objectives.

#### **4.0 Developing DQOs for Field Investigations – to complete the CSM**

Once the risk manager selects appropriate performance standards for release sites at a facility, these performance standards will be proposed at the scoping meeting. The risk manager will then want to apply the DQO process to each release area. The DQO process is a seven-step planning approach that ensures that data collection is focused on achieving the objectives of the end use of the data. After this planning step, the risk manager will have a data collection design and DQOs used to develop the SAP/QAPP needed for the CAS workplan.

The CAS supports the use of the TRIAD approach which encompasses the *systematic planning* process (use of DQOs) and *real-time measurement* technologies as developed in *dynamic work plans*. The CAS workplan objectives are to fill in data gaps identified in the preliminary CSM – with the goal of attaining the most complete CSM for making sound remedy decisions. The TRIAD home page is found at:

[www.triadcentral.org](http://www.triadcentral.org)

Systematic planning has been described as the thread that connects all performance-based tools, i.e., the CSM, CAOs, etc. Additional information on the systematic planning process and use of DQOs can be found at the following EPA web site: <http://www.epa.gov/QUALITY/dgos.html>. ITRC developed a guidance document on the use of the TRIAD approach, “Technical and Regulatory Guidance for the Triad Approach: A New Paradigm for Environmental Project Management”. December 2003. This guidance document has also been supplemented with the following ITRC guide: “Triad Implementation Guide”. May 2007.

<http://www.itrcweb.org/Documents/SCM-3.pdf>

## 5.0 Determining CAOs to Support the Performance Standards

Once the CSM is complete (all known data gaps resolved), the risk manager is ready to propose site-specific corrective action objectives for the final remedy to attain. ITRC references (“Exit Strategy – Seeing the Forest Beyond the Trees, March 2006) use the term remedial action objectives (RAOs) in lieu of CAOs. The CAS considers these terms equivalent. <http://www.itrcweb.org/Documents/RPO-3.pdf>

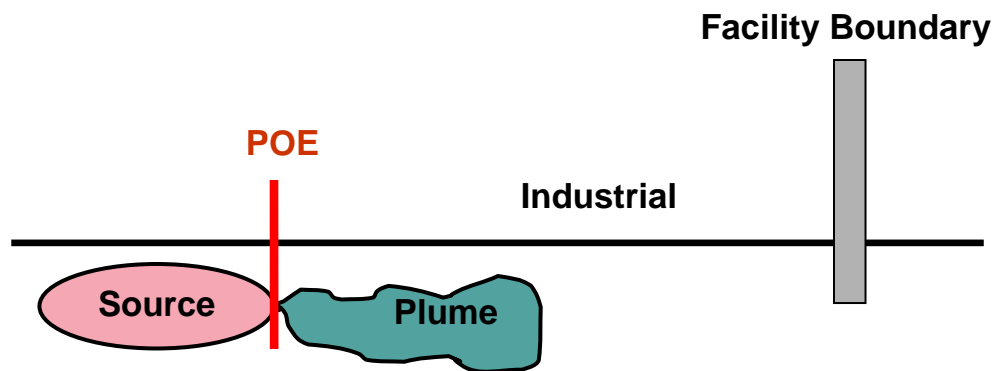
Corrective action objectives will be media-specific, and they will define the “endpoints” for corrective action at the site. As stated earlier, the selected performance standards will address source control through removal, treatment or containment (or a combination of the three). For supporting CAOs, it will be necessary to finalize site-specific and appropriate points of exposure (POE). In the CAS, we consider the POE to be the same as the point of compliance (POE = POC)\*. Performance metrics to measure the success of the selected remedy will be the cleanup values to attain at the POE.

To assist in making determinations for POE, the CAS has developed four scenarios including land use and groundwater classification. **Figure A-3** illustrates a case where groundwater is currently used for primary drinking water, therefore the POE is at the source boundary. In **Figure A-4** and **Figure A-5** groundwater is a beneficial resource, but not a primary drinking water source. In **Figure A-4** the POE is determined to be at the facility boundary (where land use is industrial), offsite land use beyond the facility boundary is residential. **Figure A-5** illustrates a case where a POE is determined to be inside the facility boundary where on-site undeveloped property is classified as residential. **Figure A-6** describes the case where groundwater is not a beneficial resource and both onsite and offsite properties are classified as industrial.

\* The only case where the POC is not the POE is for RCRA regulated units operating under a permitted detection monitoring program or compliance monitoring program. In this case the POC is always at the edge of the waste management area.

Figure A-3

## POE at Source Boundary...



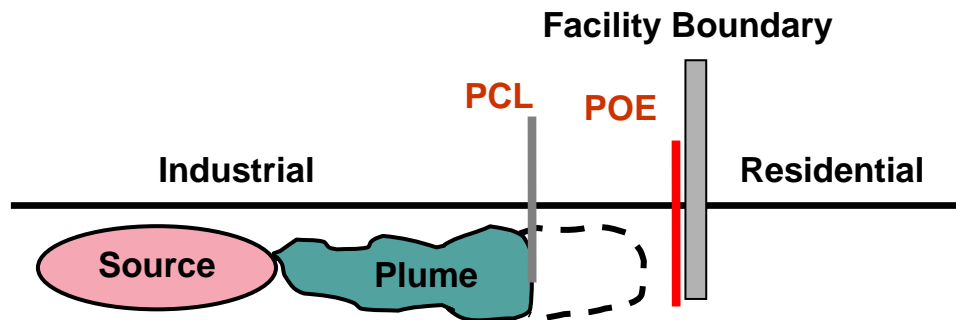
- Groundwater is a primary drinking water source

**CAO:**

- Meet MCLs throughout the plume

Figure A-4

## POE at Facility Boundary...



- Groundwater is a beneficial resource, but not a primary drinking water source

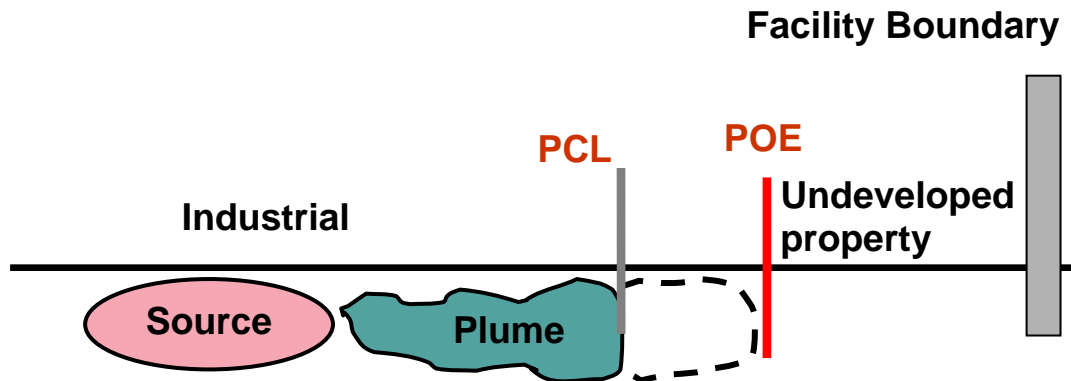
### CAOs:

- Meet MCLs at the facility boundary (POE)
- Meet PCL at edge of plume to show that the plume is stable or shrinking

Where the POE is designated at the facility boundary as in **Figure A-4**, the administrative authority may choose to manage the further migration of the groundwater plume by designating a protective concentration level (PCL) to maintain at the edge of the plume. The new PCL must be derived from calculations that support the attainment of MCLs at the facility boundary.

Figure A-5

# POE inside Facility Boundary...



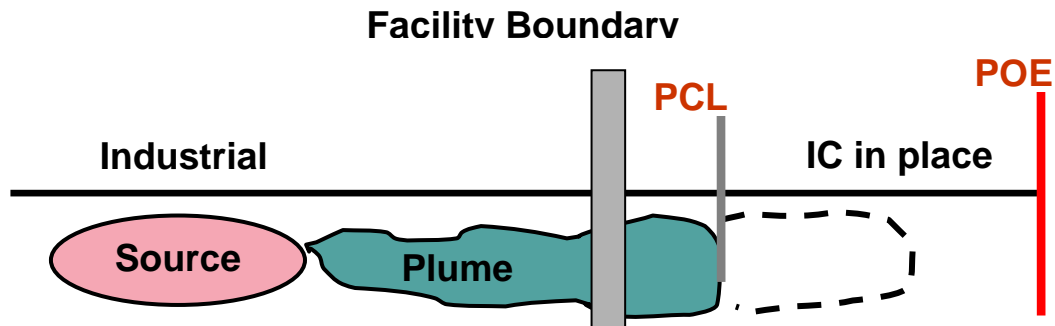
- Groundwater is a beneficial resource, but not a primary drinking water source
- POE can be at the extent of the “industrial use” institutional control (IC)

### CAOs:

- Meet MCLs at the POE
- Meet PCL at edge of plume to show that the plume is stable or shrinking

Figure A-6

# POE beyond Facility Boundary...



Off-site movement may occur if:

- groundwater is **not** a beneficial resource
- off-site property owners' permission, AND IC in place for the affected property(s)

### CAOs:

- Meet MCLs at the POE
- Meet PCL at edge of plume to show that the plume is stable or shrinking

Some examples of site-specific corrective action objectives and the performance standards they support are provided in the boxes below.

**Example 1: Four defined plumes of DNAPL in groundwater that is not a drinking water source**

***Performance Standard:*** Where complete restoration of groundwater is not practical given the nature of contaminants of concern, the value and vulnerability of the groundwater, and the state's determination of beneficial resource of the aquifer, the performance standard for groundwater at this release site is to conduct source removal to the extent practicable, and contain COCs.

***Corrective Action Objective 1:*** The facility must remove source material in subsurface soils that could subsequently migrate to groundwater, and attain a subsurface soil cleanup goal protective of groundwater for the COCs.

***Corrective Action Objective 2:*** The facility must contain COCs such that the existing plumes do not increase in size. Groundwater management units (GWMUs) delineated by sentinel monitoring wells will serve as upgradient risk-based compliance wells. Statistical analysis of sentinel monitoring well data must demonstrate that each groundwater plume delineated is shrinking or stable.

***Corrective Action Objective 3:*** The POE is the facility boundary, at which COCs must meet MCLs. (Downgradient compliance wells on the facility boundary must show that MCLs are not exceeded.) If the facility is successful in eliminating the human health exposure pathway (including vapor intrusion) for offsite properties through controls on groundwater use, as agreed by property owners and memorialized in the form of Institutional Controls (ICs), the POE can be moved to the boundary of the area under control.

To achieve this performance standard, and meet the clearly defined CAOs, the facility can either 1) continue to use the interim measure pump and treat technology (with improvements through an optimization program), 2) implement an insitu treatment technology in a defined area downgradient from the source removal area to decrease COC concentrations through enhanced biodegradation, or 3) implement a pilot project of in-situ treatments to see if a treatment technology is cost effective vs. continued pump and treat.



**Example 2: Extensive DNAPL contamination in drinking water aquifer**

***Performance Standard:*** Where groundwater is a drinking water source, the groundwater will be restored to its beneficial resource to drinking water quality standards throughout the plume through continuous source removal.  
[may take 800 years?].

***Corrective Action Objective 1:*** Continuously optimize corrective measures systems to decrease the COC concentrations throughout the plume until drinking water standards (MCLs) are obtained.

***Corrective Action Objective 2:*** Control, to the extent practicable, the migration of COCs from source DNAPL areas to groundwater.

***Corrective Action Objective 3:*** Prevent, to the extent practicable, the lateral migration of COCs in groundwater into the surface water bodies at levels that would cause sediment or surface water to pose an unacceptable risk.

***Corrective Action Objective 4:*** Prevent human exposure to groundwater containing COCs at concentrations that exceed the relevant groundwater standards for both water-bearing zones in the Aquifer system.

***Corrective Action Objective 5:*** Control and monitor on-site worker dermal contact with, or ingestion of, COCs in shallow groundwater in accordance with applicable state/OSHA requirements.

In this example, the facility and administrative authority have explicit CAOs to meet while trying to attain the final performance standard of cleaning up the aquifer to MCLs throughout the plume.

CAOs must include monitoring of performance metrics (or final cleanup numbers). During performance reviews of the final remedy, the facility will report on how well the implemented technology is attaining the performance metrics in the CAOs. With the performance-based approach to remedy selection, the emphasis is on attaining the CAOs, and monitoring and measuring whether a risk management activity is achieving the goal (see Chapter 6).