EPA

United States Environmental Protection Agency
Washington, DC 20460

Work Assignment

Work Assignment Number: 2-33

☐ Other ☐ Amendment Number:

Contract Number	Contract Period	Title of Work Assignment/SF Site Name
EP-W-10-002	11/19/2009 To 11/18/2014 Base Option Period Number 2	RI Stormwater Eval.

Contractor	Specify Section and paragraph of Contract SOW
INDUSTRIAL ECONOMICS, INCORPORATED	Pg. 10-11, element 3, Sec. 1/Para. 1

Purpose:
- [X] Work Assignment
- [ ] Work Assignment Close-Out
- [ ] Work Assignment Amendment
- [ ] Incremental Funding
- [ ] Work Plan Approval

Period of Performance: From 11/19/2011 To 11/18/2012

Comments:
The purpose of this action is to initiate Phase 2 of RI Stormwater Eval. The contractor shall start Work Assignment 2-33 on November 19, 2011.

☐ Superfund — Accounting and Appropriations Data — [X] Non-Superfund

Note: To report additional accounting and appropriations data use EPA Form 1900-69A.

SFO (Max 2): ☐

Line	DCN (Max 6)	Budget/FY (Max 4)	Appropriation Code (Max 6)	Budget Org/Code (Max 7)	Program Element (Max 9)	Object Class (Max 4)	Amount (Dollars)	(Cents)	Site/Project (Max 8)	Cost Org/Code (Max 7)
1										
2										
3										
4										
5										

Authorized Work Assignment Ceiling

Contract Period:	Cost/Fee	LOE
11/19/2009 To 11/18/2014		0
This Action:		485
Total:		485

Work Plan / Cost Estimate Approvals

	Cost/Fee:	LOE
Contractor WP Dated:		
Cumulative Approved	Cost/Fee:	LOE:

Work Assignment Manager Name: Carl Koch	(Signature)	(Date)	Branch/Mail Code: Phone Number: 202-566-2972 FAX Number:
Project Officer Name: Cathy Turner	(Signature)	(Date)	Branch/Mail Code: Phone Number: 202-566-0951 FAX Number:
Other Agency Official Name	(Signature)	(Date)	Branch/Mail Code: Phone Number: FAX Number:
Contracting Official Name: Jami Rodgers	(Signature) Jami S. Rodgers	(Date) 11/9/11	Branch/Mail Code: Phone Number: 202-564-4781 FAX Number:

Work Assignment Form (WebForms v1.0)

Work Assignment Statement of Work

Title: Effective Approaches to Establishing Municipal Stormwater Funding Mechanisms (Region 1)

Contractor: IEc, Inc. **Contract No.:** EP-W-10-002

Work Assignment Number: 1-33

Phase 2:
Estimated Period of Performance: November 19, 2011 to November 18, 2012

Key EPA Personnel:

Work Assignment COR (WA COR):
Carl Koch
Office of Policy
U.S. EPA
1200 Pennsylvania Av., N.W.
Washington, D.C. 20460
202-566-2972 (phone)
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Contract Level COR:
Cathy Turner
CMG/OP (1805T)
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202/566-3001 (fax)

BACKGROUND AND PURPOSE:

Located within the Office of Policy (OP)'s Office of Strategic Environmental Management is the Evaluation Support Division (ESD). ESD's mission is to build the capacity of EPA staff and managers to conduct program evaluation activities throughout the Agency by providing technical support and training on program evaluation for EPA's national programs and regional offices. A crucial component in assessing the benefit of meeting goals, objectives, and sub-objectives is having measurable results.

As part of its effort to encourage the effective use of program evaluations throughout the Agency, ESD promotes program evaluation through a Program Evaluation Competition (PEC or Competition). This Competition is part of an ongoing, long-term effort to help build the capacity of headquarters and regional offices to evaluate activities and to improve measures of program performance. This program evaluation project was chosen for support under the current Program Evaluation Competition sponsored by OP.

There are major challenges faced by small municipal separate storm sewer systems (MS4) in forging consensus and managing complicated negotiations associated with the development of funding mechanisms for stormwater utilities. Many MS4 municipalities do not have the

expertise to design or run such processes, and EPA lacks objective information about what are (and are not) effective strategies for forging consensus in the development of these funding mechanisms.

EPA Region 1, with the Office of Water's full support, is proposing an objective evaluation that focuses on the processes that communities have undertaken to involve members of the public and other stakeholders in reaching agreement on funding mechanisms for stormwater utilities. A rigorous evaluation will (1) document issues and challenges faced by municipalities and communities around the country, (2) identify approaches where resolutions were reached, and (3) offer guidance that other communities may need to consider as they grapple with decisions on whether or not to adopt a funding mechanism.

Evaluation questions include: What were the key issues raised by stakeholders? How were discussions set up? What kinds of groups favored or opposed the effort? How did they respond? How did the community identify a common set of interests? What processes were used to inform communities as they engaged in their discussion?

While the evaluation will help EPA Region 1 identify the factors that are proving the most critical to the development of stormwater funding mechanisms, the evaluation results will inform national efforts to identify "best practices" that lead to effective stormwater programs.

Quality Assurance (QA) Requirements

Check [ ] Yes or **[X] NO**, if the following statement is true or false. The Contractor shall submit a written Quality Assurance Project Plan for any project that is developing environmental measurements or a Quality Assurance Supplement to the Quality Management Plan for any project which generates environmental data using models with their technical proposal.

Qualification Criteria for Personnel

The team assigned to this work assignment collectively must have expertise in the following areas:

a. EPA OW program activities—specifically, the stormwater permit program, NPDES permits to municipalities, municipal separate storm sewer systems (MS4s), and stormwater utility funding mechanisms
b. Evaluation of EPA programs
c. Engagement of affected communities in EPA program work, ideally OSWER program implementation
d. Engagement of affected communities in EPA's decision making processes
e. Engagement of economically disadvantaged communities
f. Processes that allow for meaningful input
g. Formative evaluation
h. Development of lessons and best practices

TASKS AND DELIVERABLES:

The work assignment (WA) Contracting Officer Representative (COR) will review all deliverables in draft form and provide revisions and/or comments to the contractor. The contractor shall prepare the final deliverables incorporating the WA COR's comments.

Contractor personnel shall at all times identify themselves as Contractor employees and shall not present themselves as EPA employees. Furthermore, they shall not represent the views of the U.S. Government, EPA, or its employees. In addition, the Contractor shall not engage in inherently governmental activities, including but not limited to actual determination of EPA policy and preparation of documents on EPA letterhead.

PHASE 1: INCLUDES TASK 1 AND TASK 2

TASK 1: PREPARE WORKPLAN

The contractor shall prepare a workplan that addresses Phase 1 and 2 within 15 calendar days of receipt of a work assignment signed by the Contracting Officer (CO). The workplan shall outline, describe and include the technical approach, resources, timeline and due dates for deliverables, and a detailed cost estimate by task and a staffing plan. The WA COR and the Contract Level COR and the CO will review the workplan. However, only the CO can approve/ disapprove the workplan. The contractor shall prepare a revised workplan incorporating the Contracting Officer's comments, if required.

Deliverables and Schedule Under Task 1

1a. Workplan	Within 15 calendar days of receipt of work assignment.
1b. Revised workplan	Within 5 calendar days of receipt of comments from the CO, if required.

NOTE REGARDING WORK ASSIGNMENT DELIVERABLES AND TECHNICAL DIRECTION:

The Work Assignment Contracting Officer's Representative (COR) is authorized to issue technical direction (TD) under this work assignment. The COR will follow-up all oral technical direction in writing within 5 days.

TASK 2: DOCUMENT REVIEW AND DESIGN METHODOLOGY
[Contract Scope of Work Element III, Section 1, para(s) 1, page(s) (10 -11)]

2-1 PARTICIPATE IN A CONFERENCE CALL. The contractor shall participate in a conference call with the WA COR and other Agency staff to clarify the purpose of the evaluation effort and to exchange ideas about the design of the assessment, the information to be collected, potential sources of information, appropriate ways to analyze and present the information, and other pertinent matters. The COR will contact the contractor and provide a time and date for the conference call. Within 3 calendar days, the contractor shall deliver a basic summary of the discussion and decisions reached during the call. For the purposes of costing the contractor shall assume two one-hour

conference calls.

2-2 REVIEW DOCUMENTS. The WA COR will provide the contractor with relevant links and essential documents to become familiar with the history, goals, and status of each program activity to be evaluated. In addition, the contractor shall conduct a literature review to determine if any existing evaluations, studies or analysis of the program have been conducted. The contractor is expected to seek out other documents for review, including those from government and non-government sources, to become familiar with all aspects of the program that are relevant to this evaluation effort. The contractor shall complete a review of these documents seven (7) calendar days after receiving them. The contractor shall also prepare and submit to the WA COR a bibliography and summary of the findings from the document and literature review. The contractor shall revise and update the bibliography periodically as additional literature sources are identified and reviewed.

2-3 SCOPING TASK. The contractor shall conduct a scoping exercise to better understand and identify the data sources (qualitative and/or quantitative) and data collection methods (surveys, in-person interviews, site visits, data base review or literature review, Internet search, review of progress reports etc.,) that are most appropriate for this evaluation. The contractor shall prepare a brief memo summarizing the results of this effort. The contractor shall deliver the scoping document 7 calendar days after receiving a TD from the WA COR.

2-4 ASSIST IN DEVELOPING A LOGIC MODEL. The development of a logic model is an essential tool in developing a common understanding of a program's inputs, outputs and activities. As an initial step in preparation for the evaluation, EPA began developing a logic model of its program. EPA will share the draft logic model with the contractor. Based on information gathered from the conference calls (Task 2-1) and document review (Task 2-2), the contractor will develop and submit a draft logic model using software (e.g., Microsoft Word, Power Point) that can be manipulated/revised by EPA within 7 calendar days after receipt of the draft logic model from the WA COR. The development of the logic model is an iterative process. The contractor shall finalize the logic model within 7 calendar days after receipt of comments on draft(s) of the logic model from the WA COR.

2-5 REFINE EVALUATION QUESTIONS. EPA is providing an initial list of draft evaluation questions for use by the contractor (see below). The EPA evaluation team has identified the following key questions to provide focus to the program evaluation. These questions, while subject to further refinement, will form the basis of the evaluation going forward. The overarching questions would likely remain consistent, but the specific questions and sub-questions would be subject to revision. Using this list, the information gathered in Tasks 2-1 and 2-2, and the logic model developed in Task 2-4, the contractor shall confer with the WA COR and evaluation team members to discuss and refine the evaluation questions that will be the subject of this evaluation. The contractor shall prepare and submit to the WA COR a revised, comprehensive set of draft evaluations and sub-questions that will be the subject of this evaluation. The contractor shall finalize the draft questions 7 calendar days after receipt of comments from the WA COR via Technical Direction (TD).

Draft Evaluation Questions:

1. What factors are historically responsible for successes and failures of MS4s to establish dedicated stormwater program funding mechanisms?
2. What factors are considered critical to the successful creation of stormwater funding mechanisms – in Region 1 and other EPA Regions?
3. What specific strategies should be selected for transferability to parties planning to create these funding mechanisms in Region 1 (includes consideration of alternative strategies – Upper Charles River pilot)?
4. What stakeholder processes were used to inform communities as they engaged in their discussion? (How were discussions set up? Who were the critical stakeholders and what were their issues? How did the community identify a common set of interests?)

2-8 REPORT OUTLINE.
The contractor shall submit for discussion and agreement an annotated outline describing the purpose, titles, and intended contents of the chapters and sections of the Final Report. The outline shall also describe the planed length and style of the document. The outline shall be used as a reference by the evaluation team throughout the evaluation process. Modifications to the outline shall be discussed among the entire evaluation team.

2-7 DESIGN EVALUATION METHODOLOGY. Based on the conference calls (2-1), the document review (Task 2-2), the scoping document (Task 2-3), the final logic model (Task 2-4), and the final evaluation questions (Task 2-5), the contractor shall prepare a draft evaluation methodology, which will address the purpose, audience, and the refined questions that will be the focus of the evaluation. As part of the methodology, the contractor shall document the primary and secondary data sources, collection methods, and collection strategy, appropriate qualitative and quantitative tools for analyzing data, practical issues of data collection, and a clear strategy for data documentation and management needed to answer each evaluation question. The contractor shall also document any survey instruments, survey data, survey questions, and interview/discussion guides and protocols used in support of the evaluation. This methodology shall include an approach for identifying potential interviewees. The draft evaluation methodology shall also include a proposed schedule for each of the following: (1) all information gathering under Task 3-1, including interviews; (2) the compilation, analysis and presentation of information gathered (Task 3-2) and (3) providing a report outline and the draft and final reports (Task 4-1, 4-2 and 4-3). The draft evaluation methodology shall be due 21 calendar days after the receipt of a TD from the WA COR. The final evaluation methodology will be due 7 calendar days after receipt of comments from the WA COR via TD.

2-8 EVALUATION ASSURANCE PLAN. The contractor shall prepare an evaluation assurance plan (EAP) that shall describe the use of primary and or secondary data sources for the evaluation report. Specifically, the EAP will describe: 1) the purpose of the evaluation, 2) the methodology used to collect data for the report, 3) how and where data for the evaluation was collected, 4) why the particular data collection method was chosen, 5) how the data will be used and by whom, 6) how the resulting evaluation report

will be used and by whom and, 7) any data limitations or caveats. An example of an EAP will be provided by the COR. The contractor shall submit the EAP to the WA COR one week after the final evaluation methodology is approved. A final EAP will be delivered 3 calendar days after receipt of comments from the WA COR via TD.

Deliverables and Schedule Under Task 2

2-1a	Participate in conference call	To be specified by the WA COR
2-1b	Conference call summary	3 calendar days after call
2-2	Summary of Document Review	7 calendar days after receipt of documents
2-3	Scoping Memo	7 calendar days after receipt of TD from WA COR
2-4	Finalize Logic Model	7 calendar days after receipt of draft Logic Model from WA COR
2-5a	Draft Refined Questions	7 calendar days after final meeting with WA COR
2-5b	Final Refined Questions	7 calendar days after receipt of comments from WA COR via TD
2-6a	Draft Report Outline	7 calendar days after final meeting with WA COR
2-6b	Final Report Outline	7 calendar days after receipt of comments from WA COR via TD
2-7a	Draft evaluation methodology	21 calendar days after receipt of TD from WA COR
2-7b	Final evaluation methodology	7 calendar days after receipt of comments via TD from WA COR
2-8a	Evaluation Assurance Plan	7 calendar days after COR approves final evaluation methodology
2-8b	Evaluation Assurance Plan	3 calendar days after receipt of comments via TD from WA COR

PHASE 2: INCLUDES TASKS 3 AND 4

TASK 3: INFORMATION GATHERING AND ANALYSIS
[Contract Scope of Work Element III, Section 1, para(s) 1, page(s) (10 -11)]

3-1 INFORMATION GATHERING. The information that is needed to conduct this evaluation will come from a variety of sources including the information identified collected in Task 2-3 and included in the final methodology 2-7b. Within 7 calendar days after the WA COR approves the evaluation methodology (via TD), the contractor shall begin the data collection process specified in the approved evaluation methodology. The data collection will end in accordance with the schedule included in the evaluation methodology.

3-2 DISCUSSION OF DATA COMPILATION, ANALYSIS, AND PRESENTATION. In accordance with the evaluation methodology schedule, the contractor shall meet via conference call with the WA COR and other Agency staff to present and discuss approaches to and preliminary results of data compilation, analysis, and presentation of the information. Prior to this call and for discussion during the call, the contractor shall

provide the WA COR with a briefing memo that outlines preliminary findings for each evaluation question, overall preliminary recommendations/conclusions.

Deliverables and Schedule Under Task 3

3-2a	Discuss data compilation, analysis and presentation	In accordance with Methodology Schedule approved in Task 2-7b
3-2b	Briefing memo of preliminary findings	In accordance with Methodology Schedule approved in Task 2-7b

TASK 4: REPORTS

[Contract Scope of Work Element III, Section 1, para(s) 1, page(s) (10 -11)]

4-1 DRAFT BRIEFING WITH GRAPHICS. The contractor shall submit a briefing packaged that follows the final report outline. It shall cover the key points to be contained in each section of the report and should summarize the essence of the report before the report is written. The contractor shall present the draft briefing for discussion and comment to the evaluation team and key stakeholders via teleconference. For purposes of costing, the contractor shall assume that two separate draft briefings will be required.

4-2 DRAFT REPORT. In accordance with the evaluation methodology schedule, the contractor shall submit a draft report containing, the compilation, analysis, and presentation of information developed and gathered during the conduct of the evaluation. Specifically, the contractor shall include information obtained or developed in support of Tasks 2-1 through 3-2. For purposes of costing, the contractor shall assume that a sequence of a draft preliminary findings memorandum and two separate draft reports will be required.

4-3 FINAL REPORT. The contractor shall provide a final report that reflects appropriate consideration of the Agency's comments on the draft report and of any comments received during the oral presentations. The WA COR will provide the contractor with a copy of the ESD's Report Style Guidelines. These guidelines shall be used to write all components of the evaluation report. In addition, the contractor shall use the ESD Report Cover provided by the WA COR when preparing the final report.

4-3 EVALUATION RECOMMENDATION TAXONOMY FORM. The EPA will use this form to categorize each recommendation the contactor develops for the final report. The contractor shall complete the Evaluation Recommendation Taxonomy Form by providing each recommendation for the given evaluation, its proposed evaluation recommendation category, its direct environmental impact, and any additional comments the contractor may have. The list of the evaluation recommendation categories is located on the form for reference purposes. The WA COR will provide the contractor with a copy of the Evaluation Recommendation Taxonomy Form. The contractor shall complete the taxonomy form 3 calendar days after the final report is completed.

4-4 ORAL PRESENTATIONS. The contractor shall be prepared to make at least one oral presentation of the information at a date, time, and location to be specified by the WA

COR in a TD. The location will be in Region 1 or Washington, D.C. The contractor shall prepare appropriate briefing materials, specifically, a finalized power point briefing for the oral presentation.

4-5 FACTSHEET. The contractor shall develop a fact sheet summarizing the evaluation purpose, questions, methodology, results and recommendations. The WA COR will provide the contractor with a copy of a fact sheet template 7 calendar days after completion of the Final Report.

Deliverables and Schedule Under Task 4

4-1	Draft briefing with graphics	In accordance with the evaluation methodology schedule approved by the COR in task 2-7b.
4-2	Draft report	In accordance with the evaluation methodology schedule approved by the COR in task 2-7b.
4-3	Final report	14 calendar days after receipt of comments on the draft report and oral presentations.
4-4	Evaluation Recommendation Taxonomy	3 calendar days after the final report is completed.
4-5	Oral presentation	To be scheduled by the WA COR
4-6	Fact Sheet	7 calendar days after completion of Final Report

Table 1: Summary of Deliverables and Dates		
Task	**Deliverable**	**Due Date**
Task 1 Prepare Work plan		
1a	Work plan	Within 15 calendar days of receipt of work assignment
1b	Revised work plan	Within 5 calendar days of receipt of comments from CO
Task 2 Document Review and Design Methodology		
2-1a	Participate in conference calls	To be specified by the WA COR
2-1b	Information summary	3 calendar days after call
2-2	Review of Documents/Bibliography, summary of findings	7 calendar days after receipt of documents
2-3	Scoping Memo	7 calendar days after receipt of TD
2-4	Finalize Logic Model	7 calendar days after receipt of draft Logic Model from WA COR
2-5a	Draft Refined Questions	7 calendar days after receipt of TD from WA COR
2-5b	Final Refined Questions	7 calendar days after receipt of comments from WA COR via TD
2-6a	Draft Report Outline	7 calendar days after receipt of TD from WA COR
2-6b	Final Report Outline	7 calendar days after receipt of comments from WA COR via TD
2-7a	Draft Methodology	21 calendar days after receipt of TD from WA COR
2-7b	Final Methodology	7 calendar days after receipt of comments from WA COR
2-8a	Draft Evaluation Assurance Plan	7 calendar days after WA COR approves final evaluation methodology
2-8b	Final Evaluation Assurance Plan	3 days after receipt of comments from WA COR via TD
Task 3 Information Gathering and Analysis		
3-2	Discussion of Data Compilation, Analysis and Presentation Plan	In accordance with Methodology Schedule approved in Task 2-7b
Task 4 Report		
4-1	Draft briefing with graphics	In accordance with Methodology Schedule approved in Task 2-7b
4-2	Draft Report	In accordance with Methodology Schedule approved in Task 2-7b
4-3	Final Report	14 calendar days after receipt of comments on Draft Report from WA COR
4-4	Evaluation Recommendation Taxonomy Form	3 calendar days after completion of the Final Report
4-5	Oral Presentations	To be scheduled by the WA COR
4-6	Fact Sheet	7 calendar days after completion of Final Report

EPA

United States Environmental Protection Agency
Washington, DC 20460

Work Assignment

Work Assignment Number: 2-33

☐ Other ☐ Amendment Number:

Contract Number	Contract Period	Title of Work Assignment/SF Site Name
EP-W-10-002	11/19/2009 To 11/18/2014 Base Option Period Number 2	RI Stormwater Eval.

Contractor: INDUSTRIAL ECONOMICS, INCORPORATED

Specify Section and paragraph of Contract SOW: Pg. 10-11, element 3, Sec. 1/Para. 1

Purpose:
- ☐ Work Assignment
- ☐ Work Assignment Amendment
- [X] Work Plan Approval
- ☐ Work Assignment Close-Out
- ☐ Incremental Funding

Period of Performance: From 11/19/2011 To 11/18/2012

Comments:
The purpose of this action under Work Assignment 2-33 is to approve the Contractor's work plan and cost estimate dated October 28, 2011 for 557 hours level of effort, (b)(4) in costs, (b)(4) in fee with a ceiling of $75,052.49.

☐ Superfund — Accounting and Appropriations Data — [X] Non-Superfund

Note: To report additional accounting and appropriations data use EPA Form 1900-69A.

SFO (Max 2): ☐

Line	DCN (Max 6)	Budget/FY (Max 4)	Appropriation Code (Max 6)	Budget Org/Code (Max 7)	Program Element (Max 9)	Object Class (Max 4)	Amount (Dollars)	(Cents)	Site/Project (Max 8)	Cost Org/Code (Max 7)
1										
2										
3										
4										
5										

Authorized Work Assignment Ceiling

Contract Period: 11/19/2009 To 11/18/2014 — Cost/Fee: $0.00 — LOE:

This Action: $75,052.49

Total: $75,052.49

Work Plan / Cost Estimate Approvals

Contractor WP Dated: 10/28/2011 — Cost/Fee: $75,052.49 — LOE: 557

Cumulative Approved: — Cost/Fee: $75,052.49 — LOE: 557

Work Assignment Manager Name: Carl Koch (Signature) (Date)	Branch/Mail Code: Phone Number: 202-566-2972 FAX Number:	
Project Officer Name: Cathy Turner (Signature) (Date)	Branch/Mail Code: Phone Number: 202-566-0951 FAX Number:	
Other Agency Official Name: (Signature) (Date)	Branch/Mail Code: Phone Number: FAX Number:	
Contracting Official Name: Jami Rodgers (Signature) 12/13/11 (Date)	Branch/Mail Code: Phone Number: 202-564-4781 FAX Number:	

EPA

United States Environmental Protection Agency
Washington, DC 20460

Work Assignment

Work Assignment Number: 2-33

☐ Other ☐ Amendment Number

Contract Number	Contract Period	Title of Work Assignment/SF Site Name
EP-W-10-002	11/19/2009 To 11/18/2014 Base Option Period Number 2	RI Stormwater Eval.

Contractor	Specify Section and paragraph of Contract SOW
INDUSTRIAL ECONOMICS, INCORPORATED	Pg. 10-11, element 3, Sec. 1/Para. 1

Purpose:
- ☐ Work Assignment
- ☐ Work Assignment Amendment
- [X] Work Plan Approval
- ☐ Work Assignment Close-Out
- ☐ Incremental Funding

Period of Performance: From 11/19/2011 To 11/18/2012

Comments:
The purpose of this action under Work Assignment 2-33 is to approve the Contractor's revised work plan budget dated December 28, 2011 for 606.5 hours level of effort, (b)(4) in costs, (b)(4) in fee with a ceiling of $80,852.49.

☐ Superfund — Accounting and Appropriations Data — [X] Non-Superfund

Note: To report additional accounting and appropriations data use EPA Form 1900-69A

SFO (Max 2): ☐

Line	DCN (Max 6)	Budget/FY (Max 4)	Appropriation Code (Max 6)	Budget Org/Code (Max 7)	Program Element (Max 9)	Object Class (Max 4)	Amount (Dollars)	(Cents)	Site/Project (Max 8)	Cost Org/Code (Max 7)
1										
2										
3										
4										
5										

Authorized Work Assignment Ceiling

	Cost/Fee	LOE
Contract Period 11/19/2009 To 11/18/2014	$0.00	
This Action	$80,852.49	
Total	$80,852.49	

Work Plan / Cost Estimate Approvals

	Cost/Fee	LOE
Contractor WP Dated: 12/28/2011	$80,852.49	607
Cumulative Approved:	$80,852.49	607

Work Assignment Manager Name: Carl Koch (Signature) (Date)	Branch/Mail Code: Phone Number: 202-566-2972 FAX Number:	
Project Officer Name: Cathy Tunner (Signature) (Date)	Branch/Mail Code: Phone Number: 202-566-0951 FAX Number:	
Other Agency Official Name (Signature) (Date)	Branch/Mail Code: Phone Number: FAX Number:	
Contracting Official Name: Jami Rodgers Jami Rodgers (Signature) 1/23/12 (Date)	Branch/Mail Code: Phone Number: 202-564-4181 FAX Number:	

Work Assignment Form. (WebForms v7.0)

EPA

United States Environmental Protection Agency
Washington, DC 20460

Work Assignment

Work Assignment Number: 2-33

☐ Other ☒ Amendment Number: 000001

Contract Number	Contract Period	Title of Work Assignment/SF Site Name
EP-W-10-002	11/19/2009 To 11/18/2014 Base Option Period Number 2	RI Stormwater Eval

Contractor	Specify Section and paragraph of Contract SOW
INDUSTRIAL ECONOMICS, INCORPORATED	Pg. 10-11, element 3, Sec. 1/Para. 1

Purpose:
- ☐ Work Assignment
- ☒ Work Assignment Amendment
- ☐ Work Plan Approval
- ☐ Work Assignment Close-Out
- ☐ Incremental Funding

Period of Performance: From 11/19/2011 To 11/18/2012

Comments:
The purpose of this action is to amend the SOW Tasks 1,3, and 4 and to increase the budget to accomodate the requested changes. Amended SOW is Attached.

☐ Superfund — Accounting and Appropriations Data — ☒ Non-Superfund

SFO (Max 2) ☐

Note: To report additional accounting and appropriations data use EPA Form 1900-69A

Line	DCN (Max 5)	Budget/FY (Max 4)	Appropriation Code (Max 5)	Budget Org/Code (Max 7)	Program Element (Max 9)	Object Class (Max 4)	Amount (Dollars)	(Cents)	Site/Project (Max 8)	Cost Org/Code (Max 7)
1										
2										
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4										
5										

Authorized Work Assignment Ceiling

Contract Period: 11/19/2009 To 11/18/2014 — Cost/Fee: — LOE:

This Action:

Total:

Work Plan / Cost Estimate Approvals

Contractor WP Dated — Cost/Fee: — LOE:

Cumulative Approved: — Cost/Fee: — LOE:

Work Assignment Manager Name: Carl Koch (Signature) (Date)	Branch/Mail Code: Phone Number: 202-566-2972 FAX Number:	
Project Officer Name: Cheryl R. Brown (Signature) (Date)	Branch/Mail Code: Phone Number: 202-566-0940 FAX Number:	
Other Agency Official Name (Signature) (Date)	Branch/Mail Code: Phone Number: FAX Number:	
Contracting Official Name: Jami Rodgers Jami J. Rodgers (Signature) 5/8/12 (Date)	Branch/Mail Code: Phone Number: 202-564-4781 FAX Number:	

Work Assignment Form (WebForms v1.0)

Work Assignment Statement of Work - Amended

Title: Effective Approaches to Establishing Municipal Stormwater Funding Mechanisms (Region 1)

Contractor: IEc, Inc. **Contract No.:** EP-W-10-002

Work Assignment Number: 2-33

Phase 1:
Estimated Period of Performance: Date of issuance to November 18, 2011
Estimated Level of Effort: No Change

Phase 2:
Estimated Period of Performance: November 19, 2011 to November 18, 2012
Estimated Level of Effort: No change
Amended Level of Effort: +124 hours

Key EPA Personnel:

Work Assignment COR (WA COR):
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202-566-2972 (phone)
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BACKGROUND AND PURPOSE:

Located within the Office of Policy (OP)'s Office of Strategic Environmental Management is the Evaluation Support Division (ESD). ESD's mission is to build the capacity of EPA staff and managers to conduct program evaluation activities throughout the Agency by providing technical support and training on program evaluation for EPA's national programs and regional offices. A crucial component in assessing the benefit of meeting goals, objectives, and sub-objectives is having measurable results.

As part of its effort to encourage the effective use of program evaluations throughout the Agency, ESD promotes program evaluation through a Program Evaluation Competition (PEC or Competition). This Competition is part of an ongoing, long-term effort to help build the capacity of headquarters and regional offices to evaluate activities and to improve measures of program

performance. This program evaluation project was chosen for support under the current Program Evaluation Competition sponsored by OP.

The purpose of this amendment is to conduct additional information gathering and in-depth analysis of specific regional cases under Task 3. In addition this amendment increases the effort under Task 4, to include findings from Task 3 in the Final Report.

Quality Assurance (QA) Requirements

Check [ ] Yes or **[X] NO,** if the following statement is true or false. The Contractor shall submit a written Quality Assurance Project Plan for any project that is developing environmental measurements or a Quality Assurance Supplement to the Quality Management Plan for any project which generates environmental data using models with their technical proposal.

TASKS AND DELIVERABLES:

The work assignment (WA) Contracting Officer Representative (COR) will review all deliverables in draft form and provide revisions and/or comments to the contractor. The contractor shall prepare the final deliverables incorporating the WA COR's comments.

Contractor personnel shall at all times identify themselves as Contractor employees and shall not present themselves as EPA employees. Furthermore, they shall not represent the views of the U.S. Government, EPA, or its employees. In addition, the Contractor shall not engage in inherently governmental activities, including but not limited to actual determination of EPA policy and preparation of documents on EPA letterhead.

PHASE 1: INCLUDES TASK 1 AND TASK 2

TASK 1: PREPARE WORKPLAN

The contractor shall prepare a workplan that addresses amended work under Phase 2 within 15 calendar days of receipt of a work assignment signed by the Contracting Officer (CO). The workplan shall outline, describe and include the technical approach, resources, timeline and due dates for deliverables, and a detailed cost estimate by task and a staffing plan for the additional work. The WA COR and the Contract Level COR and the CO will review the workplan. However, only the CO can approve/ disapprove the workplan. The contractor shall prepare a revised workplan incorporating the Contracting Officer's comments, if required.

<u>Deliverables and Schedule Under Task 1</u>

1a. Workplan	Within 15 calendar days of receipt of work assignment.
1b. Revised workplan	Within 5 calendar days of receipt of comments from the CO, if required.

NOTE REGARDING WORK ASSIGNMENT DELIVERABLES AND TECHNICAL DIRECTION:

The Work Assignment Contracting Officer's Representative (COR) is authorized to issue

technical direction (TD) under this work assignment. The COR will follow-up all oral technical direction in writing within 5 days.

TASK 2: DOCUMENT REVIEW AND DESIGN METHODOLOGY
[Contract Scope of Work Element III, Section 1, para(s) 1, page(s) (10 -11)]

Remains unchanged.

PHASE 2: INCLUDES TASKS 3 AND 4

TASK 3: INFORMATION GATHERING AND ANALYSIS
[Contract Scope of Work Element III, Section 1, para(s) 1, page(s) (10 -11)]

3-1 **Under this amended WA, the contractor shall conduct additional information gathering to include both a nationwide overview of the experiences of small municipal separate stormwater system, and in-depth analysis of specific regional cases.**

The original WA specified a combination of 10-15 interviews with national experts and in-depth case studies. We now anticipate that the contractor shall conduct interviews with 3-4 additional national or regional experts, as well as complete 5-6 additional cases identified for in-depth analyses. The interviews with national/regional experts shall be used to further the evaluation's understanding of key cross-cutting factors, issues and challenges as well as identify potential cases for in-depth analysis. The additional cases shall focus on specific approaches, practices and challenges faced by municipalities as they decide on approaches to funding stormwater utilities. For both the overview and case-specific work, the primary means of information gathering are anticipated to be interviews and document/information review.

Interviews
As with the original WA, the Contractor shall conduct interviews via telephone, email, and/or in person with national experts and those involved in specific, local efforts. The Contractor shall follow the interview/discussion guides previously developed under Task 2-7 of the original WA. The interviews shall take place in conjunction with a planned Region 1 symposium on stormwater issues (scheduled for late June 2012). The interviews shall adhere to any applicable Paperwork Reduction Act requirements.

EPA has learned that the expected number of participants for the Region 1 symposium has increased significantly, so this amended WA also budgets additional resources for contractor activities associated with Region 1 symposium in June 2012. During the symposium, the contractor shall capture and summarize comments from experts participating in panel discussions.

All other information under this task remains unchanged.

Deliverables and Schedule Under Task 3

Remains unchanged

TASK 4: REPORTS

[Contract Scope of Work Element III, Section 1, para(s) 1, page(s) (10 -11)]

Additional hours are added to this amended WA under Tasks 4-1 thru 4-3 to account for the additional effort required to include findings from Task 3 in the Final Report.

Deliverables and Schedule Under Task 4

Remains unchanged

Table 1: Summary of Deliverables and Dates		
Task	**Deliverable**	**Due Date**
Task 1 Prepare Work plan		
1a	Work plan	Within 15 calendar days of receipt of work assignment
1b	Revised work plan	Within 5 calendar days of receipt of comments from CO
Task 3 Information Gathering and Analysis		
3-2	Discussion of Data Compilation, Analysis and Presentation Plan	In accordance with Methodology Schedule approved in Task 2-7b of original WA
Task 4 Report		
4-1	Draft briefing with graphics	In accordance with Methodology Schedule approved in Task 2-7b
4-2	Draft Report	In accordance with Methodology Schedule approved in Task 2-7b
4-3	Final Report	14 calendar days after receipt of comments on Draft Report from WA COR