

## OVERVIEW

**AGENCY:** ENVIRONMENTAL PROTECTION AGENCY (EPA)

**TITLE:** FY16 Guidelines for Brownfields Assessment Grants

**ACTION:** Request for Proposals

**RFP NO:** EPA-OSWER-OBLR-15-04

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NO.:** 66.818

**DATES:** Proposals must be submitted electronically through [www.grants.gov](http://www.grants.gov) by 11:59 p.m. Eastern Time on December 18, 2015. Please refer to Section IV.B, *Due Date and Submission Instructions*, for further instructions.

**SUMMARY:** The Small Business Liability Relief and Brownfields Revitalization Act (“Brownfields Law”, P.L. 107-118) requires the U.S. Environmental Protection Agency (EPA) to publish guidance to assist applicants in preparing proposals for grants to assess and clean up brownfield sites. EPA’s Brownfields Program provides funds to empower states, communities, tribes, and nonprofits to prevent, inventory, assess, clean up, and reuse brownfield sites. EPA provides brownfields funding for three types of grants:

1. Brownfields Assessment Grants – provides funds to inventory, characterize, assess, and conduct planning (including cleanup planning) and community involvement related to brownfield sites.
2. Brownfields Revolving Loan Fund (RLF) Grants – provides funds for a grant recipient to capitalize a revolving fund and to make loans and provide subgrants to conduct cleanup activities at brownfield sites.
3. Brownfields Cleanup Grants – provides funds to conduct cleanup activities at a specific brownfield site owned by the applicant.

Under these guidelines, EPA is seeking proposals for **Assessment Grants only**. If you are interested in requesting funding for Cleanup and/or Revolving Loan Fund Grants, please refer to announcement EPA-OSWER-OBLR-15-06 (Cleanup Grant guidelines) or EPA-OSWER-OBLR-15-05 (Revolving Loan Fund Grant guidelines) posted separately on [www.grants.gov](http://www.grants.gov) and [www2.epa.gov/brownfields/apply-brownfields-grant-funding](http://www2.epa.gov/brownfields/apply-brownfields-grant-funding).

For the purposes of these guidelines, the term “grant” refers to the cooperative agreement that EPA will award to a successful applicant. Please refer to Section II.C for a description of EPA’s anticipated substantial involvement in the financial assistance agreements awarded under these guidelines.

EPA urges applicants to review the Frequently Asked Questions, which can be found at [http://www2.epa.gov/sites/production/files/2015-10/documents/fy16\\_faqs.pdf](http://www2.epa.gov/sites/production/files/2015-10/documents/fy16_faqs.pdf).

In addition, prior to naming a contractor or subawardee in your proposal, please carefully review Section IV.F of these guidelines.

**FUNDING/AWARDS:** The total funding available under the national competitions for assessment, cleanup, and RLF grants is estimated at \$54.5 million subject to the availability of funds and other applicable considerations. EPA may expend up to 25 percent of the amount appropriated for brownfields grants on sites contaminated with petroleum. EPA anticipates awarding an estimated 223 grants among all three grant types. Under this announcement, EPA anticipates awarding an estimated 151 assessment grants for an estimated \$34.1 million

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## SECTION I - FUNDING OPPORTUNITY DESCRIPTION

The Comprehensive Environmental Response, Compensation and Liability Act (CERCLA or the Superfund law) was amended by the Small Business Liability Relief and Brownfields Revitalization Act (Brownfields Law) to include section 104(k), which provides federal financial assistance for brownfields revitalization, including grants for assessment, cleanup, and revolving loan funds.

A **brownfield site is defined** as real property, the expansion, redevelopment, or reuse of which may be complicated by the presence or potential presence of hazardous substances, pollutants, contaminants, controlled substances, petroleum or petroleum products, or is mine-scarred land.

As described in Section V of this announcement, proposals will be evaluated based, among other factors, on the extent to which the applicant demonstrates: economic and environmental needs of the targeted communities; a vision for the reuse and redevelopment of brownfield sites and the capability to achieve that vision; reasonable and eligible tasks; partnerships and leveraged resources to complete the project; incorporation of livability and sustainability principles; and economic, environmental, health, and social benefits associated with the reuse and redevelopment of brownfield sites.

A critical part of EPA's assessment and cleanup efforts is to ensure that residents living in communities historically affected by economic disinvestment, health disparities, and environmental contamination have an opportunity to reap the benefits from brownfields redevelopment. EPA's Brownfields Program has a rich history rooted in environmental justice and is committed to helping communities revitalize brownfield properties, mitigate potential health risks, and restore economic vitality.

### I.A Description of Grant

Assessment grants provide funding for developing inventories of brownfields, prioritizing sites, conducting community involvement activities and conducting site assessments and cleanup planning related to brownfield sites. Assessment grant funds may not be used to conduct cleanups. Assessment grants for individual applicants can be either community-wide or site-specific. Community-wide proposals are appropriate when a specific site is not identified and the applicant plans to spend grant funds on more than one brownfield in its community. Site-specific proposals are appropriate when a specific site has been identified and the applicant plans to spend grant funds on this one site only. The performance period for assessment grants is three years. For a list of certain grant and programmatic requirements, refer to Section VI.

#### 1. Community-Wide Assessment Grants

For community-wide proposals, applicants may request up to \$200,000 from the hazardous substances funding<sup>1</sup> for sites with potential contamination of hazardous substances,

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<sup>1</sup> Sites eligible for hazardous substances funding are those sites with the presence or potential presence of hazardous substances, pollutants, contaminants, sites that are contaminated with controlled substances or that are mine-scarred

pollutants, or contaminants and up to \$200,000 from the petroleum funding<sup>2</sup> for sites with potential petroleum contamination. Applicants may either combine requests for hazardous substances funding and petroleum funding into one proposal if both types of funding will address the same target community for a total not to exceed \$400,000; or applicants may submit separate proposals requesting up to \$200,000 each for hazardous substances and petroleum funding. An applicant that submits a combined community-wide assessment grant proposal or two separate community-wide assessment grant proposals may also apply for a site-specific assessment grant.

## 2. Site-Specific Assessment Grants

For site-specific proposals, applicants may request up to \$200,000 to address hazardous substances<sup>1</sup> or petroleum contamination<sup>2</sup> at a specified site. Applicants can apply for only one site-specific assessment grant. Site-specific assessment proposals must respond to the site eligibility threshold criteria in Section III.C.4. appropriate to the contamination at the site. If the site has both hazardous substance and petroleum contamination and the hazardous substance and petroleum-contaminated areas of the site are distinguishable, the proposal must address both eligibility criteria and indicate the dollar amount of funding requested for each type of contamination. If the petroleum and hazardous substances are not easily distinguishable, the applicant must indicate which contaminant is predominant based on available information and respond to the appropriate site eligibility criteria. (Contact your Regional Brownfields Contact listed in Section VII for more information.) Note that an applicant cannot propose an alternate site if the site identified in the proposal is determined by EPA to be ineligible for brownfields funding. Applicants may request a waiver of the \$200,000 limit and request up to \$350,000 for a single site based on the anticipated level of contamination, size, or status of ownership of the site. Applicants requesting a waiver must attach a **one-page** justification for the waiver request. Further pages will not be considered. The justification should include a description of the extent of contamination at the site, the size of the site, and the reasons for requesting additional funding. For more information on the site-specific waiver justification, please refer to the Brownfields Frequently Asked Questions (FAQs) at [http://www2.epa.gov/sites/production/files/2015-10/documents/fy16\\_faqs.pdf](http://www2.epa.gov/sites/production/files/2015-10/documents/fy16_faqs.pdf).

## 3. Coalition Assessment Grants

Additionally, assessment proposals may be submitted by one “lead” eligible entity on behalf of a coalition of eligible entities to create a “pool” of grant funds (see Section III.A for a list of entities eligible to apply for an assessment grant). A coalition is a group of three or more eligible entities that submits one grant proposal under the name of one of the coalition participants who will be the grant recipient, if selected. Coalition members may not have the same jurisdiction (for example, different departments in the same county) unless they are separate legal entities (for example, a city and a redevelopment agency). The grant recipient

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lands. For more information on sites eligible for hazardous substance funding, please refer to the Brownfields FAQs at [http://www2.epa.gov/sites/production/files/2015-10/documents/fy16\\_faqs.pdf](http://www2.epa.gov/sites/production/files/2015-10/documents/fy16_faqs.pdf).

<sup>2</sup> Sites eligible for petroleum funding are those sites that meet the definition set forth in CERCLA § 101(39)(D)(ii)(II), as further described in Appendix 1, Section 1.3.2.

must administer the grant, be accountable to EPA for proper expenditure of the funds, and be the point of contact for the other coalition members. **Coalition members may not be members of other coalitions or apply for their own assessment funding.** Assessment coalitions may submit only one proposal with requested grant funding of up to \$600,000. All assessment coalition grant proposals must be community-wide proposals; therefore, the applicant does not need to respond to the site eligibility threshold criteria in Section III.C.3. Site eligibility will be determined after grant award and prior to expending grant funds at any site. Coalitions will be required to assess a minimum of five sites.

Please note that once the “lead” eligible entity submits the proposal it becomes the applicant and the coalition members may not substitute another eligible entity as the lead eligible entity after the deadline for submitting proposals has passed.

A Memorandum of Agreement (MOA) documenting the coalition’s site selection process must be in place prior to the expenditure of any funds that have been awarded to the coalition. The coalition members should identify and establish relationships necessary to achieve the project’s goal. A process for successful execution of the project’s goal, to include a description and role of each coalition member, should be established along with the MOA. The purpose of the MOA is for coalition members to agree internally about the distribution of funds and the mechanisms for implementing the assessment work. MOAs do not need to be included as part of your proposal.

Coalition members are not eligible as applicants for additional community-wide or site-specific assessment grants. A coalition member wishing to apply as a separate applicant must withdraw from the coalition to be eligible for individual assessment funds.

4. Assessment Grant Option Summary

<b>Community-Wide</b>	<b>Site-Specific</b>	<b>Coalition</b>
Up to \$200,000 for hazardous substances and/or \$200,000 for petroleum	Up to \$200,000 for hazardous substances or petroleum	Up to \$600,000 for hazardous substances and/or petroleum
No waiver of funding limit	May request a waiver for up to \$350,000	No waiver of funding limit
Maximum combined amount \$400,000	Maximum amount \$350,000	Maximum amount \$600,000
May also apply for a site-specific grant; may not apply as a member of a coalition	May also apply for a community-wide grant; may not apply as a member of a coalition	May not apply for an individual community-wide or site-specific grant or as part of another coalition

Applicants that exceed the maximum number of proposals allowable for assessment grants will be contacted, prior to review of any of the proposals by EPA, to determine which proposals the applicant will withdraw from the competition.

For more information on a range of brownfields topics, please refer to the Brownfields FAQs at [http://www2.epa.gov/sites/production/files/2015-10/documents/fy16\\_faqs.pdf](http://www2.epa.gov/sites/production/files/2015-10/documents/fy16_faqs.pdf). If you do not have access to the Internet, you can contact your Regional Brownfields Contact listed in Section VII.

## **I.B Uses of Grant Funds**

In addition to direct costs associated with the inventory, assessment, and cleanup planning for brownfield sites, grant funds also may be used for the following activities:

1. Grant funds may be used for direct costs associated with programmatic management of the grant, such as required performance reporting and environmental oversight.

All costs charged to assessment grants must be consistent with the applicable OMB Cost Circular 2 CFR 200 Subpart E.

2. A local government (as defined in 2 CFR 200.64, *Local Government*) may use up to 10 percent of its grant funds for any of the following activities:
  - a. health monitoring of populations exposed to hazardous substances, pollutants, or contaminants from a brownfield site;
  - b. monitoring and enforcement of any institutional control used to prevent human exposure to any hazardous substance, pollutant, or contaminant from a brownfield site; and
  - c. other related program development and implementation activities (e.g., writing local brownfields-related ordinances) to effectively oversee assessments and cleanups described in an EPA-approved work plan.

The term local government **does not include state or tribal governments** but may include, among others, public housing authorities, school districts, and councils of governments.

3. A portion of the brownfields grant may be used to purchase environmental insurance.

See the Brownfields FAQs at [http://www2.epa.gov/sites/production/files/2015-10/documents/fy16\\_faqs.pdf](http://www2.epa.gov/sites/production/files/2015-10/documents/fy16_faqs.pdf) for additional information on purchasing environmental insurance.

### **Grant funds cannot be used for the following activities:**

1. administrative costs, such as indirect costs, of grant administration with the exception of financial and performance reporting costs; and
2. proposal preparation costs.

See the Brownfields FAQs at [http://www2.epa.gov/sites/production/files/2015-10/documents/fy16\\_faqs.pdf](http://www2.epa.gov/sites/production/files/2015-10/documents/fy16_faqs.pdf) for additional information on ineligible grant activities and ineligible costs.

## **I.C EPA Strategic Plan Linkage**

EPA's 2014-2018 Strategic Plan defines goals, objectives and sub-objectives for protecting human health and the environment. Brownfields assessment grants will support progress toward Goal 3 (Cleaning Up Communities and Advancing Sustainable Development), Objective 3.1 (Promote Sustainable and Livable Communities). Specifically, these grants will help sustain, clean up and restore communities and the ecological systems that support them by providing funds to assess and clean up brownfield sites. EPA will negotiate work plans with recipients to collect information about the hazardous substances, pollutants and petroleum contaminants addressed and the amount of land made safe for communities' economic and ecological use.

(View EPA's Strategic Plan on the Internet at <http://www2.epa.gov/planandbudget/strategicplan> and view EPA's Order 5700.7A1 at [www2.epa.gov/sites/production/files/2015-03/documents/epa\\_order\\_5700\\_7a1.pdf](http://www2.epa.gov/sites/production/files/2015-03/documents/epa_order_5700_7a1.pdf).)

## **I.D Livability Principles and Sustainability**

Under the Project Benefits ranking criterion in Section V, applicants will be evaluated on how their proposed Brownfield Assessment project will advance the livability principles discussed below. In addition, the proposal will be evaluated on the extent to which it will lead to sustainable and equitable development outcomes as discussed below.

### Link to the HUD-DOT-EPA Partnership for Sustainable Communities

EPA's Brownfields Assessment Program is being carried out consistent with the principles for the Partnership for Sustainable Communities (PSC) established by the U.S. Department of Housing and Urban Development (HUD), U.S. Department of Transportation (DOT), and EPA. The PSC was conceived to advance development patterns and infrastructure investment programs that achieve improved economic prosperity, and healthy, environmentally sustainable, and opportunity-rich communities for all Americans, regardless of race or income. Recognizing the fundamental role that public investment plays in achieving these outcomes, the Administration charged three federal agencies whose programs impact the physical form of communities - HUD, DOT, and EPA - to coordinate and incorporate the Livability Principles into their policies and funding programs to the maximum degree possible. The Livability Principles can be found at [www.sustainablecommunities.gov](http://www.sustainablecommunities.gov) and include: (1) provide more transportation choices; (2) promote equitable, affordable housing; (3) increase economic competitiveness; (4) support existing communities; (5) leverage federal investment; and (6) value communities and neighborhoods.

### Linking BF Assessment Approaches to Sustainable and Equitable Development Outcomes

Applicants should incorporate sustainable and equitable reuse approaches into their proposed Brownfield Assessment projects. The Agency may also consider how well an applicant's proposed project is coordinated with HUD, DOT, EPA programs and programs available from other potential federal and non-federal partners. Sustainable and equitable approaches can ensure brownfields are reused in ways that:

- contribute to greener and healthier homes, buildings, and neighborhoods;
- mitigate environmental conditions through effective deconstruction and remediation strategies which address solid and hazardous waste, and improve air and water quality;



- improve access by residents to greenspace, recreational property, transit, schools, other nonprofit uses (e.g., libraries, health clinics, youth centers, etc.), and healthy and affordable food;
- improve employment and affordable housing opportunities for local residents;
- reduce toxicity, illegal dumping, and blighted vacant parcels; and
- retain residents who have historically lived within the area affected by brownfields.

*Sustainable development* practices facilitate environmentally-sensitive brownfields cleanup and redevelopment while also helping to make communities more attractive, economically stronger, and more socially diverse. While ensuring consistency with community-identified priorities, sustainable development approaches encourage brownfield site reuse in ways that provide new jobs, commercial opportunities, open space amenities, and/or social services to an existing neighborhood. Brownfields site preparation strategies that prevent contaminant exposure through green building design, materials recycling, enable urban agricultural reuse, promote walkability to/around the site and contribute to community walkability, and on-site stormwater management through green infrastructure, among other approaches, can contribute to sustainable development outcomes.

*Equitable development* outcomes come about when intentional strategies are put in place to ensure that low-income and minority communities not only participate in, but benefit from, decisions that shape their neighborhoods and regions. There are many different approaches that promote equitable development, such as ensuring a mix of housing types across a range of incomes; access to fresh food; access to jobs; and access to local capital. Programs or policies can be put in place to help ensure creation or integration of affordable housing; local or first-source hiring; minority contracting; inclusionary zoning (where a percentage of new housing is designated as affordable housing); healthy food retailers in places where they do not exist (e.g. food deserts); co-operative ownership models where local residents come together to run a community-owned, jointly owned business enterprise; rent control or community land trusts (to help keep property affordable for residents); supportive local entrepreneurial activities; and adherence to equal lending opportunities.

EPA encourages applicants to provide specific examples of how the proposed Brownfield Assessment projects will work to remove economic, environmental and social barriers to make sustainable and equitable brownfields reuse of the highest priority.

## **I.E Regional Priorities**

In the narrative proposal, applicants must include information on how their proposed Brownfields Assessment project will advance the regional priorities identified in the list below that apply to the region where the project will be performed. This information may be considered by the Selection Official as an “other factor”, as described in Sections V.A and V.C of the guidelines, during the selection process. If more than one priority is listed for a region then the applicant may include information on one or both of the priorities; although addressing both does not necessarily mean it will benefit them more than if they only address one. The information provided should clearly indicate how the project addresses the applicable priority for the region in which the project is located. For example, if applying to perform a

project in US EPA Region 1, then describe how the project will address a regional priority listed for Region 1. Please see Section VII to identify the region where your project is located.

**Proposed projects must be for activities which inventory, characterize, assess and conduct planning relating to one or more brownfields sites.**

Region	Regional Priority(ies)
1	<ul style="list-style-type: none"> <li>▪ <b>Assistance to Communities That Have Limited In-House Capacity to Manage Brownfields Projects</b> – This regional priority includes proposed projects that provide support to communities that have limited capacity or administrative infrastructure to effectively manage brownfields programs. Proposals that include partnerships among governmental entities having shared jurisdiction over the targeted sites (e.g. state, regional authorities, local governments) relate to this priority.</li> </ul> <p style="text-align: center;"><b><u>OR</u></b></p> <ul style="list-style-type: none"> <li>▪ <b>Coordinated Public Funding for Brownfields</b> – This regional priority includes proposed projects that complement other brownfield efforts receiving federal, state or local funding or where the community is working with federal, state, or local governments to address their brownfields. EPA Region 1 is particularly interested in projects where the applicant has already been working with federal, state, or local agencies, or where funding has been received and the EPA grant would “fill the gaps” to establish a comprehensive approach to Brownfields site characterization, assessment, cleanup and redevelopment.</li> </ul>
2	<ul style="list-style-type: none"> <li>▪ <b>Assistance to Communities That Have Limited In-House Capacity to Manage Brownfields Projects</b> – This regional priority includes proposed projects that provide support to communities that have limited capacity or administrative infrastructure to effectively manage brownfields programs. Proposals that include partnerships among governmental entities having shared jurisdiction over the targeted sites (e.g. state, regional authorities, local governments) relate to this priority.</li> </ul> <p style="text-align: center;"><b><u>OR</u></b></p> <ul style="list-style-type: none"> <li>▪ <b>Climate Change Resiliency</b> – This regional priority includes proposed projects which will advance or contribute to community climate change resiliency through the “green” use or reuse of existing infrastructure, protection of greenfields, or similar activities to address flooding due to sea level rise or stormwater runoff, or extreme weather event.</li> </ul>
3	<ul style="list-style-type: none"> <li>▪ <b>Climate Change Resiliency</b> – This regional priority includes proposed projects which will advance or contribute to community climate change resiliency through the “green” use or reuse of existing infrastructure, protection of greenfields, or similar activities to address flooding due to sea level rise or stormwater runoff, or extreme weather event.</li> </ul> <p style="text-align: center;"><b><u>OR</u></b></p>

	<ul style="list-style-type: none"> <li>▪ <b>Coordinated Public Funding for Brownfields</b> – This regional priority includes proposed projects that complement other brownfield efforts receiving federal, state or local funding or where the community is working with federal, state, or local governments to address their brownfields. EPA Region 3 is particularly interested in projects where the applicant has already been working with federal, state, or local agencies, or where funding has been received and the EPA grant would “fill the gaps” to establish a comprehensive approach to Brownfields site characterization, assessment, cleanup and redevelopment.</li> </ul>
4	<ul style="list-style-type: none"> <li>▪ <b>Assistance to Communities That Have Limited In-House Capacity to Manage Brownfields Projects</b> – This regional priority includes proposed projects that provide support to communities that have limited capacity or administrative infrastructure to effectively manage brownfields programs. Proposals that include partnerships among governmental entities having shared jurisdiction over the targeted sites (e.g. state, regional authorities, local governments) relate to this priority.</li> </ul>
5	<ul style="list-style-type: none"> <li>▪ <b>Coordinated Public Funding for Brownfields</b> – This regional priority includes proposed projects that complement other efforts receiving federal, state or local funding or assistance. EPA Region 5 is particularly interested in projects that supplement publicly funded site characterization and remediation projects in Great Lakes Areas of Concern, projects that serve areas where there are already coordinated federal agency partnerships investing in brownfields, or similar sources of public funding that can be leveraged for brownfields purposes, or where funding has been received and the EPA grant would “fill the gaps” to establish a comprehensive approach to Brownfields site characterization, assessment, cleanup and redevelopment.</li> </ul>
6	<ul style="list-style-type: none"> <li>▪ <b>Assistance to Communities That Have Limited In-House Capacity to Manage Brownfields Projects</b> – This regional priority includes proposed projects that provide support to communities that have limited capacity or administrative infrastructure to effectively manage brownfields programs. Proposals that include partnerships among governmental entities having shared jurisdiction over the targeted sites (e.g. state, regional authorities, local governments) relate to this priority.</li> </ul> <p><b><u>OR</u></b></p> <ul style="list-style-type: none"> <li>▪ <b>Improving Air Quality</b> – This regional priority includes proposed projects which will reduce threats to human health (e.g. asthma and cancer) and the environment including assessment activities that support efforts to improve air quality in non-attainment areas affected by pollutants and contaminants such as ozone, particulate matter, sulfur-dioxide, oxides of nitrogen, lead, and carbon monoxide.</li> </ul>
7	<ul style="list-style-type: none"> <li>▪ <b>Assistance to Communities That Have Limited In-House Capacity to Manage Brownfields Projects</b> – This regional priority includes proposed projects that provide support to communities that have limited capacity or</li> </ul>

	<p>administrative infrastructure to effectively manage brownfields programs. Proposals that include partnerships among governmental entities having shared jurisdiction over the targeted sites (e.g. state, regional authorities, local governments) relate to this priority.</p> <p><b><u>OR</u></b></p> <ul style="list-style-type: none"> <li>▪ <b>Coordinated Public Funding for Brownfields</b> – This regional priority includes proposed projects that complement other brownfield efforts receiving federal, state or local funding or where the community is working with federal, state, or local governments to address their brownfields. EPA Region 7 is particularly interested in projects where the applicant has already been working with federal, state, or local agencies, or where funding has been received and the EPA grant would “fill the gaps” to establish a comprehensive approach to Brownfields site characterization, assessment, cleanup and redevelopment.</li> </ul>
8	<ul style="list-style-type: none"> <li>▪ <b>Protect/Enhance Water</b> – This regional priority includes proposed projects which will reduce threats to human health and the environment from the release of hazardous substances, pollutants or contaminants, by supporting efforts to protect or enhance water supplies, including surface water, ground water and/or storm water infrastructure. EPA Region 8 is particularly interested in projects that improve or protect the quality of water associated with brownfield sites or where by addressing the brownfield site it will reduce threats to nearby residents.</li> </ul> <p><b><u>OR</u></b></p> <ul style="list-style-type: none"> <li>▪ <b>Assistance to Small and Underserved Communities</b> – This regional priority includes proposed projects that target the majority of the work at brownfield sites in small, rural and/or low income communities unable to draw on other public or private sources of funds for environmental remediation. EPA Region 8 is particularly interested in projects that serve the needs of communities with populations of less than 50,000.</li> </ul>
9	<ul style="list-style-type: none"> <li>▪ <b>Leveraging New/Expanded Transit Investments to Reduce Air Pollution</b> – This regional priority includes proposed projects that will reduce threats to human health (e.g. asthma and cancer) and the environment and support efforts to improve air quality through transit investments (e.g., site assessments that assist efforts to clear the right of way for transit infrastructure and transit oriented redevelopment of Brownfield sites). Note: Examples of transit investments include, light rail, high speed rail, bus rapid transit, new bus service, and bicycle infrastructure. EPA Region 9 is particularly interested in projects that reduce air pollution through the use of new or expanded transportation investments to use or reuse existing infrastructure or otherwise reduce vehicle miles traveled, and create walkable communities.</li> </ul> <p><b><u>OR</u></b></p>

	<ul style="list-style-type: none"> <li>▪ <b>Climate Change - Drought Stricken Communities</b> - This regional priority includes proposed projects which address climate change impacts caused by drought. EPA Region 9 is particularly interested in projects where the brownfield assessment, cleanup and reuse activities will reduce, prevent, or address climate change issues related to drought in order to reduce the threats to the health and welfare of vulnerable populations and lessen environmental impacts to communities.</li> </ul>
10	<ul style="list-style-type: none"> <li>▪ <b>Protect/Enhance Water</b> – This regional priority includes proposed projects which will reduce threats to human health and the environment from the release of hazardous substances, pollutants or contaminants, by supporting efforts to protect or enhance water supplies, including surface water, ground water and/or storm water infrastructure. EPA Region 10 is particularly interested in projects that improve or protect the quality of water associated with brownfield sites or where by addressing the brownfield site it will reduce threats to nearby residents.</li> </ul> <p style="text-align: center;"><b><u>OR</u></b></p> <ul style="list-style-type: none"> <li>▪ <b>Threatened and Endangered Species</b> – This regional priority includes proposed projects which facilitate the creation, addition or preservation of the habitats (e.g. state, tribal or local parks, greenways, recreational or undeveloped property dedicated to nonprofit use) of federal and state listed threatened and endangered species.</li> </ul>

**I.F Measuring Environmental Results: Anticipated Outputs/Outcomes**

Pursuant to EPA Order 5700.7, “Environmental Results under EPA Assistance Agreements,” EPA requires that all grant applicants and recipients adequately address environmental outputs and outcomes.

EPA must report on the success of its Brownfields Program through measurable outputs and outcomes, such as the number of sites assessed, number of jobs created and amount of funding leveraged. Applicants are required to describe how funding will help EPA achieve environmental outputs and outcomes in their responses to the ranking criteria (Section V.B.2., *Project Description and Feasibility of Success*). Outputs specific to each project will be identified as deliverables in the negotiated work plan if the proposal is selected for award. Grantees will be expected to report progress toward the attainment of expected project outputs and outcomes during the project performance period.

Outputs and Outcomes are defined as follows.

1. **Outputs:** The term “outputs” refers to an environmental activity, effort and/or associated work products related to an environmental goal or objective that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative but must be measurable during the project period. The expected outputs for the

grants awarded under these guidelines may include but are not limited to the number of brownfield sites identified, development of an area-wide plan, number of Phase I and Phase II site assessments and number of community meetings held.

2. **Outcomes:** The term “outcomes” refers to the result, effect, or consequence that will occur from carrying out the activities under the grant. Outcomes may be environmental, behavioral, health-related, or programmatic; must be qualitative or quantitative; and may not necessarily be achievable during the project period. Expected outcomes of brownfields grants include the number of jobs leveraged and other funding leveraged through the economic reuse of sites; the number of acres made ready for reuse or acres of greenspace created for communities; and whether the project will minimize exposure to hazardous substances and other contamination.

## **SECTION II - AWARD INFORMATION**

### **II.A What is the Amount of Available Funding?**

The total estimated funding available under the national competition for assessment, cleanup, RLF grants is estimated at \$54.5 million subject to the availability of funds and other applicable considerations. A separate announcement is posted for the cleanup and RLF grant competitions. EPA may expend up to 25 percent of the amount appropriated for brownfields grants on sites contaminated with petroleum. EPA anticipates awarding an estimated 223 grants among the three grant types. Under this announcement, EPA anticipates awarding an estimated 151 assessment grants for a total amount of approximately \$34.1 million in funding. In addition, EPA reserves the right to award additional grants under this competition should additional funding become available. Any additional selections for awards will be made no later than six months from the date of the original selection decision. EPA reserves the right to reject all proposals and make no awards under this announcement or make fewer awards than anticipated.

In appropriate circumstances, EPA reserves the right to partially fund proposals by funding discrete portions or phases of proposed projects. To maintain the integrity of the competition and selection process, EPA, if it decides to partially fund a proposal, will do so in a manner that does not prejudice any applicants or affect the basis upon which the proposal, or portion thereof, was evaluated and selected for award.

### **II.B What is the Project Period for Awards Resulting from this Solicitation?**

The project period for assessment grants is up to three years.

### **II.C Substantial Involvement**

The brownfield assessment grant will be awarded in the form of a cooperative agreement. Cooperative agreements permit the EPA Project Officer to be substantially involved in overseeing the work performed by the selected recipients. Although EPA will negotiate precise terms and conditions relating to substantial involvement as part of the award process, the anticipated substantial federal involvement for this project may include:

- close monitoring of the recipient’s performance to verify the results;

- collaborating during performance of the scope of work;
- reviewing substantive terms of proposed contracts;
- reviewing qualifications of key personnel (EPA will not select employees or contractors employed by the award recipient);
- reviewing and commenting on reports prepared under the cooperative agreement (the final decision on the content of reports rests with the recipient); and
- reviewing sites to verify they meet applicable site eligibility criteria.

## **SECTION III - APPLICANT AND SITE ELIGIBILITY INFORMATION**

### **III.A Who Can Apply?**

The following information indicates which entities are eligible to apply for an assessment grant. Nonprofit organizations are not eligible to apply for an assessment grant.

- General Purpose Unit of Local Government. (For purposes of the brownfields grant program, EPA defines general purpose unit of local government as a “local government” as defined under 2 CFR 200.64.)
- Land Clearance Authority or other quasi-governmental entity that operates under the supervision and control of, or as an agent of, a general purpose unit of local government.
- Government Entity Created by State Legislature.
- Regional Council or group of General Purpose Units of Local Government.
- Redevelopment Agency that is chartered or otherwise sanctioned by a state.
- State.
- Indian Tribe other than in Alaska. (The exclusion of Alaskan tribes from brownfields grant eligibility is statutory at CERCLA §104(k)(1). Intertribal Consortia, comprised of eligible Indian Tribes, are eligible for funding in accordance with EPA’s policy for funding intertribal consortia published in the *Federal Register* on November 4, 2002, at 67 Fed. Reg. 67181. This policy also may be obtained from your Regional Brownfields Contact listed in Section VII.)
- Alaska Native Regional Corporation, Alaska Native Village Corporation, and Metlakatla Indian Community. (Alaska Native Regional Corporations and Alaska Native Village Corporations are defined in the Alaska Native Claims Settlement Act (43 U.S.C. 1601 and following). For more information, please refer to Brownfields FAQs at [http://www2.epa.gov/sites/production/files/2015-10/documents/fy16\\_faqs.pdf](http://www2.epa.gov/sites/production/files/2015-10/documents/fy16_faqs.pdf).)

### **III.B Site Eligibility (Site-Specific Proposals Only)**

The following items provide important information related to determining if a proposed brownfield site is eligible for funding. Refer to this section when responding to the Threshold Criteria in Section III.C.4. The information you submit will be used by EPA solely to make site eligibility determinations for Brownfields grants and is not legally binding for other purposes including federal, state, or tribal enforcement actions.

## 1. Basic Site Definition

To be eligible for a grant, sites must meet the definition of a brownfield as described in Appendix 1.

The following types of properties are not eligible for brownfields funding:

- facilities listed (or proposed for listing) on the National Priorities List (NPL);
- facilities subject to unilateral administrative orders, court orders, administrative orders on consent, or judicial consent decrees issued to or entered into by parties under CERCLA; and
- facilities that are subject to the jurisdiction, custody, or control of the U.S. government. (Note: Land held in trust by the U.S. government for an Indian tribe **is eligible** for brownfields funding.)

## 2. Property-Specific Determination for Eligibility

The following special classes of property require a “Property-Specific Determination” from EPA to be eligible for brownfields funding:

- properties subject to planned or ongoing removal actions under CERCLA;
- properties with facilities that have been issued or entered into a unilateral administrative order, a court order, an administrative order on consent, or judicial consent decree or to which a permit has been issued by the United States or an authorized state under the Resource Conservation and Recovery Act (RCRA), the Federal Water Pollution Control Act (FWPCA), the Toxic Substances Control Act (TSCA), or the Safe Drinking Water Act (SDWA);
- properties with facilities subject to RCRA corrective action (§3004(u) or §3008(h)) to which a corrective action permit or order has been issued or modified to require the implementation of corrective measures;
- properties that are land disposal units that have submitted a RCRA closure notification or that are subject to closure requirements specified in a closure plan or permit;
- properties where there has been a release of PCBs and all or part of the property is subject to TSCA remediation; and
- properties that include facilities receiving monies for cleanup from the Leaking Underground Storage Tank (LUST) trust fund (see Appendix 1 for a definition of LUST Trust Fund sites).

EPA’s approval of Property-Specific Determinations will be based on whether or not awarding a grant will protect human health and the environment and either promote economic development or enable the property to be used for parks, greenways, and similar recreational or nonprofit purposes. Property-Specific Determination requests must be attached to your proposal and do not count in the 15-page limit for Narrative Proposals. (See Appendix 1, for more information or contact your Regional Brownfields Contact listed in Section VII if you think your site requires a Property-Specific Determination.) Additionally, applicants eligible for brownfields grant funds cannot be liable for contamination on the site. Site eligibility related to liability is determined differently at sites



contaminated with hazardous substances than for sites contaminated by petroleum or petroleum product.

### 3. Hazardous Substances, CERCLA Liability, and Demonstration of a Bona Fide Prospective Purchaser

For sites contaminated by hazardous substances, persons, including government entities, who may be found liable for the contamination under CERCLA §107 (the Superfund law) are not eligible for grants. Liable parties may include all current owners and operators, former owners and operators of the site at the time of disposal of hazardous substances, and parties that arranged for, or contributed to, the disposal or treatment of hazardous substances on the site. Therefore, even owners who did not cause or contribute to the contamination may be held liable. To be eligible for a site-specific brownfields grant to address contamination at a brownfields property, eligible entities who fall within one of the categories of potentially liable parties must demonstrate that they meet one of the liability protections or defenses set forth in CERCLA by establishing that they are: (1) an innocent landowner; (2) a bona fide prospective purchaser (BFPP); (3) a contiguous property owner; or (4) a local or state government entity that acquired the property involuntarily through bankruptcy, tax delinquency, or abandonment, or by exercising its power of eminent domain. To claim protection from liability as an innocent landowner, contiguous property owner, or bona fide prospective purchaser, property owners, including state and local governments, must conduct all appropriate inquiries prior to acquiring the property. (Please note that these requirements apply to all property acquisitions, including properties acquired by donation or title transfer at zero cost.)

Because current owners of contaminated property are potentially liable under CERCLA, all site-specific assessment grant applicants must demonstrate in their proposals that they are not a liable party by establishing that they meet the requirements of one of the liability protections or defenses set forth in CERCLA. For more information on these liability protections, please refer to the Brownfields Law, the April 2009 Fact Sheet entitled: “EPA Brownfields Grants, CERCLA Liability and All Appropriate Inquiries,” and the March 6, 2003 EPA guidance entitled *Interim Guidance Regarding Criteria Landowners Must Meet in Order to Qualify for Bona Fide Prospective Purchaser, Contiguous Property Owner, or Innocent Landowner Limitations on CERCLA* (“Common Elements”) (<http://www2.epa.gov/sites/production/files/documents/common-elem-guide.pdf>). Applicants may also call the Regional Brownfields Contact listed in Section VII with questions about eligibility.

The most common liability protection asserted by applicants is the bona fide prospective purchaser protection (BFPP). Although the statute limits eligibility for BFPP liability protection to entities that purchase property after January 11, 2002, a brownfields grant applicant can take advantage of this protection, for grant purposes only, even if it acquired a site prior to January 11, 2002. Applicants must demonstrate that they complied with all the other BFPP requirements listed below.

- All disposal of hazardous substances at the site occurred before the person acquired the site.

- The owner must not be liable in any way for contamination at the site or affiliated with a responsible party. Affiliations include familial, contractual, financial, or corporate relationships that are the result of a reorganization of a business entity with potential liability.
- The owner must have conducted all appropriate inquiries (AAI) prior to acquiring the property. AAI, typically met by conducting a Phase 1 environmental site assessment using the ASTM E1527-13 standard practice, must be conducted or updated within one year prior to the date the property is acquired (i.e., the date on which the entity takes title to the property). In addition, certain aspects of the AAI or Phase I site assessment must be updated, prior to property acquisition, if the activities were conducted more than six months prior to the date of acquisition. Please see the fact sheet “EPA Brownfields Grants, CERCLA Liability and All Appropriate Inquiries,” or EPA’s AAI Final Rule (70 FR 66070) ([www2.epa.gov/brownfields/brownfields-all-appropriate-inquiries](http://www2.epa.gov/brownfields/brownfields-all-appropriate-inquiries)).
- The owner must take appropriate care regarding any hazardous substances found at the site, including preventing future releases and exposures to hazardous substances on the site.
- The owner must provide all legally required notices and cooperate with authorized response persons in the event of discovery or release of any hazardous substances at the site.
- The owner must comply with any land-use restrictions associated with response actions at the site.

Please see All Appropriate Inquiries (AAI) fact sheet, “EPA Brownfields Grants, CERCLA Liability and All Appropriate Inquiries,” for more information:  
[www2.epa.gov/sites/production/files/2014-08/documents/aaifs.pdf](http://www2.epa.gov/sites/production/files/2014-08/documents/aaifs.pdf)

#### 4. Petroleum Site Eligibility

The Brownfields Law outlines specific criteria by which petroleum sites may be eligible for brownfields grant funding. In addition to the basic brownfields eligibility criteria, eligibility for petroleum sites is determined by applying the criteria established by Congress: the site must be of “relatively low risk,” there can be no viable responsible party, the applicant cannot be potentially liable for cleaning up the site, and the site must not be subject to a RCRA corrective action order. If a party is identified as being responsible for the site and that party is financially viable, then the site is not eligible for brownfields grant funds (refer to Appendix 1, Section 1.3.2 for more information). Generally, petroleum site eligibility will be determined by EPA or the state, as appropriate. Where the state is unable to make the eligibility determination, EPA will make the determination. EPA will make the determination for tribes.

### **III.C Threshold Criteria for Assessment Grants**

This section contains the threshold eligibility criteria that ensure applicants are eligible to receive assessment grants. Threshold criteria are pass/fail and include certain requests for information identified below. The information you submit will be used by EPA solely to make site eligibility determinations for Brownfields grants and is not legally binding for other purposes including

federal, state, or tribal enforcement actions. Only those proposals that pass all the threshold criteria will be evaluated against the ranking criteria in Section V.B of this announcement. Applicants that exceed the maximum number of proposals allowable for assessment grants will be contacted, prior to review of any of the proposals by EPA, to determine which proposals the applicant will withdraw from the competition.

Applicants deemed ineligible for funding consideration as a result of the threshold eligibility review will be notified within 15 calendar days of the ineligibility determination. Applicants must respond to the items listed below to ensure that they are eligible for funding.

Your responses to these items are required and must be included as an attachment to the Narrative Proposal you submit to EPA. See Section IV.C for a complete list of required proposal content.

For purposes of the threshold eligibility review, EPA, if necessary, may seek clarification of applicant information and/or consider information from other sources, including EPA files.

Proposals must substantially comply with the proposal submission instructions and requirements set forth in Section IV of this announcement or they will be rejected. Pages in excess of the page limits described in Section IV for the Transmittal Letter and Narrative Proposal, and attachments not specifically required, will not be reviewed.

In addition, initial proposals must be submitted through [www.grants.gov](http://www.grants.gov) as stated in Section IV of this announcement (except in the limited circumstances where another mode of submission is specifically allowed for as explained in Appendix 2) on or before the proposal submission deadline published in Section IV of this announcement. Applicants are responsible for following the submission instructions in Section IV of this announcement to ensure that their proposal is timely submitted.

Proposals submitted after the submission deadline will be considered late and deemed ineligible without further consideration unless the applicant can clearly demonstrate that it was late due to EPA mishandling or because of technical problems associated with [www.grants.gov](http://www.grants.gov) or relevant [www.SAM.gov](http://www.SAM.gov) system issues. An applicant's failure to timely submit their proposal through [www.grants.gov](http://www.grants.gov) because they did not timely or properly register in [www.SAM.gov](http://www.SAM.gov) or [www.grants.gov](http://www.grants.gov) will not be considered an acceptable reason to consider a late submission. Applicants should confirm receipt of their proposal with Jerry Minor-Gordon at 202-566-1817 or [minor-gordon.jerry@epa.gov](mailto:minor-gordon.jerry@epa.gov) as soon as possible after the submission deadline—failure to do so may result in your proposal not being reviewed.

There is no required cost share for assessment grants. See Section IV.E for information on leveraging.

#### 1. Applicant Eligibility

Applicants must demonstrate that they are an eligible entity for an assessment grant. Refer to the description of applicant eligibility in Section III.A, *Who Can Apply?* For

entities other than cities, counties, tribes, or states, please attach documentation of your eligibility (e.g., resolutions, statutes, etc.).

Coalitions applying for assessment grants must document how all coalition members are eligible entities. All coalition members must submit a letter to the grant applicant (lead coalition member) in which they agree to be part of the coalition. Attach these letters to your proposal.

2. Letter from the State or Tribal Environmental Authority

For an applicant other than a state or tribal environmental authority, attach a current letter from the appropriate state or tribal environmental authority acknowledging that the applicant plans to conduct assessment activities and is planning to apply for federal grant funds. Failure to submit this letter will result in the rejection of the proposal for further consideration. Letters regarding proposals from prior years are not acceptable. If you are applying for multiple types of grant program activities, you need to receive only one letter acknowledging the relevant grant activities. However, you must provide a copy of this letter as an attachment to each proposal. Please note that general correspondence and documents evidencing state involvement with the project (i.e., state enforcement orders or state notice letters) are not acceptable. It is the applicant's responsibility to provide advance notice to the appropriate state or tribal environmental authority to allow adequate time for you to obtain the acknowledgement letter and attach it to your proposal.

3. Community Involvement

All applicants must demonstrate how they intend to inform and involve the community and other stakeholders during the planning, implementation and other brownfield assessment activities described in their proposal.

4. Site Eligibility and Property Ownership Eligibility (Site-Specific Proposals Only)

If the site is a hazardous substances site, please respond to items a-h.

If the site is a petroleum site, please respond to items a-d and i, including the requirement to provide a petroleum determination letter.

If the site is commingled hazardous substance and petroleum, the applicant must determine whether the predominant contaminant is petroleum or hazardous substances, and respond to the corresponding items (as noted above).

If applicants are applying for petroleum and hazardous substances funding at the same site, and the hazardous substance and petroleum contaminated areas of the site are distinguishable, the proposal must respond to items a – i, including the requirement to provide a petroleum determination letter.

Refer to III.B, *Site Eligibility (Site-Specific Proposals Only)* when responding to this section.

### **Site Eligibility**

- a. **Basic Site Information** Identify: (a) the name of the site; (b) the address of the site, including zip code; and (c) the current owner of the site.
- b. **Status and History of Contamination at the Site** Identify: (a) whether this site is contaminated by petroleum or hazardous substances; (b) the operational history and current use(s) of the site; (c) environmental concerns, if known, at the site; and (d) how the site became contaminated, and to the extent possible, describe the nature and extent of the contamination.
- c. **Sites Ineligible for Funding** Affirm that the site is: (a) not listed or proposed for listing on the National Priorities List; (b) not subject to unilateral administrative orders, court orders, administrative orders on consent, or judicial consent decrees issued to or entered into by parties under CERCLA; and (c) not subject to the jurisdiction, custody, or control of the U.S. government. (Note: Land held in trust by the U.S. government for an Indian tribe is eligible for brownfields funding.) Please refer to CERCLA §§ 101(39)(B)(ii), (iii), and (vii) and Appendix 1.
- d. **Sites Requiring a Property-Specific Determination** Certain types of sites require a property-specific determination in order to be eligible for funding. Please refer to Appendix 1, Section 1.5, to determine whether your site requires a property-specific determination. If your site requires a property-specific determination, then you must attach the information requested in the Brownfields FAQs, [http://www2.epa.gov/sites/production/files/2015-10/documents/fy16\\_faqs.pdf](http://www2.epa.gov/sites/production/files/2015-10/documents/fy16_faqs.pdf).

### **Property Ownership Eligibility – Hazardous Substance Sites**

EPA grant funding may not be used to pay for response costs at a brownfield site for which the recipient of the grant is potentially liable under CERCLA §107. The following items are intended to help EPA ensure that you are not liable under CERCLA for response costs at the site designated in your proposal, or determine, if necessary, that your site is eligible for funding as a petroleum site. Please respond to the following items fully and in the order that they appear (note that based on your responses, EPA may need to obtain additional information to make this determination).

- e. **CERCLA § 107 Liability** Affirm that you are not potentially liable for contamination at the site under CERCLA §107 (e.g., as a current owner or operator of a facility, an owner or operator of a facility at the time of disposal of a hazardous substance, a party that arranged for the treatment or disposal of hazardous substances, or a party that accepted hazardous substances for transport to disposal or treatment facilities at the site) by establishing that you are eligible for one of the CERCLA liability protections or defenses (see Section III.B.3) **and explain why**. *Please note that brownfields grant applicants*

*that otherwise meet the requirements for a bona fide prospective purchaser, except for having acquired the property prior to January 11, 2002, may still be eligible for brownfields grants. For further information, please see FAQs on All Appropriate Inquiries for more information at, [http://www2.epa.gov/sites/production/files/2015-10/documents/fy16\\_faqs.pdf](http://www2.epa.gov/sites/production/files/2015-10/documents/fy16_faqs.pdf).*

- f. **Enforcement or Other Actions** Identify known ongoing or anticipated environmental enforcement or other actions related to the brownfield site for which funding is sought. Describe any inquiries, or orders from federal, state, or local government entities that the applicant is aware of regarding the responsibility of any party (including the applicant) for the contamination, or hazardous substances at the site, including any liens. The information provided in this section may be verified, and EPA may conduct an independent review of information related to the applicant's responsibility for the contamination or hazardous substances at the site.
- g. **Information on Liability and Defenses/Protections Where Applicant Does NOT Own the Site** If you, the applicant, do not own the site to be assessed, please:
- i) affirm that you did not arrange for the disposal of hazardous substances at the site or transport hazardous substances to the site, and that you did not cause or contribute to any releases of hazardous substances at the site;
  - ii) describe your relationship with the owner and the owner's role in the work to be performed; and
  - iii) indicate how you will gain access to the site.
- h. **Information on Liability and Defenses/Protections Where Applicant Owns the Site or Will Own the Site During the Performance of the Grant** If you, the applicant, own the site to be assessed or will own the site at some point during the performance of the grant, please respond to the following:
- i) **Information on the Property Acquisition** To save space, you may combine responses to the following into one response, though please be sure to answer each item fully. Describe:
    - 1. how you acquired or will acquire ownership (e.g., by negotiated purchase from a private individual, by purchase or transfer from another governmental unit, by foreclosure of real property taxes, by eminent domain, or other (describe));
    - 2. the date you acquired or will acquire the property;
    - 3. the name and identity of the party from whom you acquired or will acquire ownership (i.e., the transferor); and
    - 4. all familial, contractual, corporate, or financial relationships or affiliations you have or had with all prior owners or operators (or other potentially responsible parties) of the property (including the person or entity from which you acquired the property).

- ii) Timing and/or Contribution Toward Hazardous Substances Disposal Identify whether all disposal of hazardous substances at the site occurred before you acquired (or will acquire) the property and whether you caused or contributed to any release of hazardous substances at the site. Affirm that you have not, at any time, arranged for the disposal of hazardous substances at the site or transported hazardous substances to the site.
- iii) Pre-Purchase Inquiry Describe any inquiry by you or others into the previous ownership, uses of the property, and environmental conditions conducted prior to taking ownership. Please include the following in your description.
1. The types of site assessments performed (e.g., ASTM E1527-13 Phase I), the dates of each assessment, and the entity for which they were performed (state whether the assessment was performed specifically for you, or if not, the name of the party that had the assessment performed and that party's relationship to you). Please note that to be eligible for a brownfields grant, parties who may be potentially liable under CERCLA (which includes current owners of the property) must demonstrate they are not liable for contamination at the property. In most cases, this demonstration must include evidence that an AAI investigation, or Phase I Environmental Site Assessment in compliance with ASTM E1527-13 (or ASTM E2247-08) was conducted prior to property acquisition.
  2. Who performed the AAI investigation or Phase I environmental site assessments and identify his/her qualifications to perform such work.
  3. If your original AAI investigation or Phase I environmental site assessment was conducted more than 180 days prior to the date you acquired the property, affirm that you conducted the appropriate updates of the original assessment within 180 days prior to your acquisition of the property in order to take advantage of the bona fide prospective purchaser, innocent landowner, or contiguous property owner provision.
- iv) Post-Acquisition Uses Describe all uses to which the property has been put since you acquired ownership (or the uses that you anticipate once you acquire the property) through the present, including any uses by persons, or entities other than you. Please provide a timeline with the names of all current and prior users during the time of your ownership; the dates of all uses; the details of each use, including the rights or other reason pursuant to which the use was claimed or taken (e.g., lease, license, trespass); and your relationship to the current and prior users.
- v) Continuing Obligations<sup>3</sup> Describe in detail the specific appropriate care that you exercised (or if you have yet to acquire the property, that you will exercise upon

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<sup>3</sup> Applicants that own contaminated land should be aware that some CERCLA liability protections require that the site owner meet certain continuing obligations. For example, grantees must comply with land-use restrictions and institutional controls; take reasonable steps with respect to the hazardous substances on the property; cooperate with, assist, and allow access to authorized representatives; and comply with CERCLA information requests and subpoenas and provide legally required notices. For more information on the obligations of owners of contaminated property, see EPA's *Common Elements Reference Sheet* at, <http://www2.epa.gov/sites/production/files/documents/common-elem-ref.pdf>.

acquiring the property) with respect to hazardous substances found at the site by taking **reasonable steps**<sup>4</sup> to:

1. stop any continuing releases;
2. prevent any threatened future release; and
3. prevent or limit exposure to any previously released hazardous substance.

Please confirm your commitment to:

1. comply with all land-use restrictions and institutional controls;
2. assist and cooperate with those performing the assessment and provide access to the property;
3. comply with all information requests and administrative subpoenas that have or may be issued in connection with the property; and
4. provide all legally required notices.

- i. **Property Ownership Eligibility - Petroleum Sites** (Disregard this item if you do not have a petroleum site.)

Non-tribal applicants must provide the information required for a petroleum site eligibility determination (listed below) to your state, so that the state can make the necessary determination on petroleum site eligibility. You must provide EPA with a copy of the state determination letter as an attachment to your proposal. If the state does not make the determination before the proposal due date or is unable to make the determination, please attach a copy of the request you sent to the state. (**Note:** You must provide EPA with the date you requested your state to make the petroleum site determination. EPA will make the petroleum site eligibility determination if a state is unable to do so following a request from an applicant.) Also in your letter to the state, please request that the state provide information regarding whether it applied EPA's guidelines in making the petroleum determination, or if not, what standard it applied.

Tribal applicants must submit the information required for a petroleum site eligibility determination (listed below) as an attachment to your proposal. EPA will make the petroleum site eligibility determinations for tribes.

Information required for a petroleum site eligibility determination:

- i) **Current and Immediate Past Owners** Identify the current and immediate past owner of the site. For purposes of petroleum eligibility determinations in these guidelines only, the current owner is the entity that will own the site at time of proposal submission.
- ii) **Acquisition of Site** Identify when and by what method the current owner acquired the property (e.g., purchase, tax foreclosure, donation, eminent domain).

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<sup>4</sup> Please note that reasonable steps may include actions such as limiting access to the property, monitoring known contaminants and complying with state and/or local requirements. The steps taken to prevent or limit exposure to previously released hazardous substances may depend, for example, on such things as the location of the site in relation to the public and whether the public has been known to use (or even trespass on) the site.



- iii) No Responsible Party for the Site Identify whether the current and immediate past owner (which includes, if applicable, the applicant): (1) dispensed or disposed of petroleum or petroleum product contamination, or exacerbated the existing petroleum contamination at the site; and (2) owned the site when any dispensing or disposal of petroleum (by others) took place; and (3) took reasonable steps with regard to the contamination at the site.
- iv) Assessed by a Person Not Potentially Liable Identify whether you (the applicant) dispensed or disposed of petroleum or petroleum product, or exacerbated the existing petroleum contamination at the site, and whether you took reasonable steps with regard to the contamination at the site.
- v) Relatively Low Risk Identify whether the site is of “relatively low risk” compared to other petroleum or petroleum product-only contaminated sites in the state in which the site is located, including whether the site is receiving or using Leaking Underground Storage Tank (LUST) trust fund monies.
- vi) Judgments, Orders, or Third Party Suits Provide information that no responsible party (including the applicant) is identified for the site through, either:
  1. a judgment rendered in a court of law or an administrative order that would require any person to assess, investigate, or clean up the site; or
  2. an enforcement action by federal or state authorities against any party that would require any person to assess, investigate, or clean up the site; or
  3. a citizen suit, contribution action, or other third-party claim brought against the current or immediate past owner, that would, if successful, require the assessment, investigation, or cleanup of the site.
- vii) Subject to RCRA Identify whether the site is subject to any order under section 9003(h) of the Solid Waste Disposal Act.
- viii) Financial Viability of Responsible Parties For any current or immediate past owners identified as responsible for the contamination at the site, provide information regarding whether they have the financial capability to satisfy their obligations under federal or state law to assess, investigate, or clean up the site. **Note:** If no responsible party is identified in iii) or vi) above, then the petroleum-contaminated site may be eligible for funding. If a responsible party is identified above, EPA or the state must next determine whether that party is viable. If any such party is determined to be viable, then the petroleum-contaminated site may not be eligible for funding. For more information, see Appendix 1.

## SECTION IV - PROPOSAL SUBMISSION INFORMATION

### IV.A How to Obtain a Proposal Package

Electronic copies of these guidelines can be obtained from the EPA Brownfields Program website ([www2.epa.gov/brownfields/apply-brownfields-grant-funding](http://www2.epa.gov/brownfields/apply-brownfields-grant-funding)) or through [www.grants.gov](http://www.grants.gov). Hard copies may be requested by contacting your Regional Brownfields Contact listed in Section VII.

In order to maintain the integrity of the competition process, EPA staff cannot meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals,

or provide advice to applicants on how to respond to ranking criteria. EPA's limitations on staff involvement with grant applicants are described in EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1). However, EPA staff will respond to questions regarding threshold eligibility criteria, administrative issues related to the submission of the proposal, and requests for clarification about this announcement.

#### **IV.B Due Date and Submission Instructions**

Proposals are due December 18, 2015.

One complete proposal package must be electronically submitted through [www.grants.gov](http://www.grants.gov). This will be the official proposal submission. A second complete courtesy copy of the proposal should be emailed to the appropriate EPA Regional Brownfields Contact listed in Section VII.

Proposals must be received by [www.grants.gov](http://www.grants.gov) by 11:59 p.m. Eastern Time on December 18, 2015. Proposals received after 11:59 p.m. Eastern Time on December 18, 2015, will not be considered for funding. Refer to Appendix 2 for specific instructions on the use of [www.grants.gov](http://www.grants.gov).

**Note:** There is a registration process to complete for electronic submission via [www.grants.gov](http://www.grants.gov). **The registration process may take a week or more to complete.** Occasionally, technical and other issues arise when using [www.grants.gov](http://www.grants.gov). EPA encourages applicants to submit their proposals early.

If an applicant does not have the technical capability to apply electronically through [www.grants.gov](http://www.grants.gov) because of limited or no internet access which prevents them from being able to upload the required application materials to [www.grants.gov](http://www.grants.gov), please refer to the procedures in Appendix 2.

In the event that an applicant experiences difficulties transmitting their proposal(s) through [www.grants.gov](http://www.grants.gov), please refer to the procedures in Appendix 2.

Applications will be time and date stamped electronically. If you have not received a confirmation of receipt from EPA within 30 days of the proposal deadline, please contact Jerry Minor-Gordon at 202-566-1817 or [minor-gordon.jerry@epa.gov](mailto:minor-gordon.jerry@epa.gov). Failure to do so may result in your proposal not being reviewed.

#### **IV.C Content and Form of Proposal Submission**

Refer to Section I.A for information on the number of assessment grants and amount of funding that may be requested. Applicants must submit separate proposals for community-wide and site-specific assessment grants. Each proposal must stand on its own merits based on the responses given to the relevant criteria for that grant type and must not reference responses to criteria in another proposal.

Pages exceeding stated page limits will not be evaluated. The page limits indicated for the Transmittal Letter and Narrative Proposal do not include the required attachments described in

item 3 in the Proposal Content below. There is no page limit for the attachments. Only required attachments are allowed – no other attachments will be considered.

All proposal materials must be in English. The Transmittal Letter, Narrative Proposal, and attachments must be typed, on letter-sized (8.5 x 11-inch) paper, and should use standard **12-point font and 1-inch margins**. While these guidelines establish the minimum type size requirements, applicants are advised that readability is of paramount importance. Applicants are responsible for submitting a complete proposal, as described below, by the due date.

Proposal Content: Refer to the sections indicated for detailed instructions on what to include in your proposal. (See Appendix 2 for [www.grants.gov](http://www.grants.gov) instructions.)

1. Transmittal Letter (2 single-spaced page limit; attach Regional Priority Other Factor Form/Other Factors Checklist – not subject to page limit) – See No. 1 below.
2. The Narrative Proposal (i.e., responses to all ranking criteria in Section V.B; 15 single-spaced page limit) – See No 2 below.
3. Attachments (**Only** the listed attachments will be accepted - all others will be removed from the proposal prior to review. There is no page limit for attachments.) – See No. 3 below.

#### **1. Transmittal Letter**

The transmittal letter shall identify the applicant and a contact for communication with EPA. The transmittal letter, including the applicant identification information, shall not exceed two single spaced pages. Any pages submitted over the page limit will not be considered. The transmittal letter must be written on the applicant’s official letterhead, and signed by an official with the authority to commit your organization to the proposed project. Applicants are to submit separate transmittal letters for each proposal they submit. EPA does not consider information in transmittal letters to be responses to the ranking criteria. Each transmittal letter must also include the following.

- a. Applicant Identification Provide the name and full address of the entity applying for funds. This is the agency or organization that will be receiving the grant and will be accountable to EPA for the proper expenditure of funds.
- b. Applicant DUNS number [Refer to Section VI.G for more information if you do not have a DUNS number].
- c. Funding Requested
  - i) Grant type Indicate “Assessment”.
  - ii) Federal Funds Requested \$\_\_\_\_\_ and whether you are requesting a waiver for a site-specific proposal (please refer to funding limitations for each grant type).
  - iii) Contamination Indicate “Hazardous Substances”, “Petroleum”, or both.  
**Note:** If both, provide a breakdown of the amount of funding you are requesting by contaminant type (e.g., \$200,000 hazardous substances and \$200,000 petroleum).

- iv) Indicate “Community-wide”, “Site-specific”, or “Coalition”.
- d. Location City, county, and state or reservation, tribally owned lands, tribal fee lands, etc., of the brownfields community(ies) that you propose to serve. For assessment grant coalitions, list all jurisdictions covered under the proposal.
- e. Property information for site-specific proposals Please provide the property name and complete site address, including zip code.
- f. Contacts
  - i) Project Director Provide name, phone/fax numbers, email address, and mailing address of the Project Director assigned to this proposed project. This person should be the main point of contact for the project, and should be the person responsible for the project’s day-to-day operations. The Project Director may be contacted if other information is needed.
  - ii) Chief Executive/Highest Ranking Elected Official Provide the name, phone/fax numbers, email address, and mailing address of the applicant’s Chief Executive or highest ranking elected official. For example, if your organization is a municipal form of government, provide this information for the Mayor or County Commissioner. Otherwise, provide this information for your organization’s Executive Director or President. These individuals may be contacted if other information is needed.
- g. Date Submitted The date your proposal is submitted electronically through [www.grants.gov](http://www.grants.gov).
- h. Project Period The project period must not exceed three years for assessment grants.
- i. Population
  - i) Provide the general population of your jurisdiction and the jurisdictions of any coalition partners, if applicable.
  - ii) If you are not a municipal form of government, provide both the population of the target area and the jurisdiction to be addressed by this proposal. Tribes must provide the number of tribal/non-tribal members affected. Your jurisdiction’s population can be found at [www.census.gov/](http://www.census.gov/).
- j. Regional Priorities Form/Other Factors Checklist Attach the Regional Priority form/Other Factors Checklist in Appendix 3 to the transmittal letter identifying which, if any, of the items are applicable to your proposal. The Other Factors Checklist does not count towards the two-page limit for this section.

## 2. **The Narrative Proposal**

The narrative proposal must include responses to all ranking criteria (see Section V.B) and address the Regional Priority(ies) (see Section I.E) for the region in which the project is located. The narrative proposal (including citations) shall not exceed 15 single-spaced pages. Any pages submitted over the page limit will not be evaluated. The narrative

proposal must be clear, concise, and specifically address all of the applicable ranking criteria. Responses to the criteria must include the criteria number and title but need not restate the entire text of the criteria. Proposals must provide sufficient detail to allow for an evaluation of the merits of the proposal. Factual information about your proposed project and community must be provided. Do not include discussions of broad principles that are not specific to the proposed work or project covered by your proposal.

### **3. Attachments**

- a. Threshold eligibility documentation (see Section III.B and C).
- b. Letter from the state or tribal environmental authority (see Section III.C.2).
- c. Documentation of applicant eligibility if other than city, county, state, or tribe (see Section III.C.1.).
- d. Letters of commitment from all community organizations identified in the community engagement and partnerships ranking criteria (see Section V.B.3.). You must attach commitment letters to your proposal. Letters not attached or sent separately will not be considered.
- e. Documentation indicating leveraged funds are committed to the project (see Section V.B.2.c.).
- f. Justification for requested waiver of the \$200,000 limit for a site-specific assessment, if applicable (see Section I.A.2.).
- g. Property-specific determination request, if applicable (see Section III.C.4.d)
- h. Letters of commitment from assessment coalition members, if applicable (see Section III.C.1.).
- i. Petroleum eligibility determination information, if applicable (see Section III.C.4.i.).

### **IV.D Intergovernmental Review**

The State Intergovernmental Review process will be needed if you are selected to receive a grant. As appropriate for your state, applicants are encouraged to contact their State Intergovernmental Review Office early to start the required intergovernmental review process. This effort is separate from the threshold criteria related to a state environmental letter attachment (see Section III.C.2). Contact your Regional Brownfields Contact listed in Section VII for assistance.

### **IV.E Voluntary Cost Share/Leveraging**

Although cost-sharing or matching is not required as a condition of eligibility under this competition, under Section V.B.2.c. of this announcement, EPA will evaluate proposals based on a leveraging criterion. Leveraging is generally when an applicant proposes to provide its own additional funds/resources or those from third party sources to support or complement the project they are awarded under the competition which are above and beyond the EPA grant funds awarded. Any leveraged funds/resources, and their source, must be identified in the proposal. Leveraged funds and resources may take various forms as noted below.

**Voluntary cost share is a form of leveraging.** Voluntary cost sharing is when an applicant voluntarily proposes to legally commit to provide costs or contributions to support the project when a cost share is not required or when it is beyond the required cost share requirements.

Applicants who propose to use a voluntary cost share must include the costs or contributions for the voluntary cost share in the project budget on the Standard Form 424.

A voluntary cost share is subject to the match provisions in the grant regulations (2 CFR Section 200.306). A voluntary cost share may only be met with eligible and allowable costs. The recipient may not use other sources of federal funds to meet a voluntary cost share unless the statute authorizing the other federal funding provides that the federal funds may be used to meet a cost share requirement on a federal grant. The recipient is legally obligated to meet any proposed voluntary cost share that is included in the approved project budget. If the proposed voluntary cost share does not materialize during grant performance, then EPA may reconsider the legitimacy of the award and/or take other appropriate action as authorized by CFR 200 and/or 1500, as applicable.

**Other leveraged funding/resources that are not identified as a voluntary cost share.** This form of leveraging may be met by funding from another federal grant, from an applicant's own resources, or resources from other third party sources. This form of leveraging should not be included in the budget and the costs need not be eligible and allowable project costs under the EPA assistance agreement. While this form of leveraging should not be included in the budget, the grant workplan should include a statement indicating that the applicant is expected to produce the proposed leveraging consistent with the terms of the announcement and the applicant's proposal. If applicants propose to provide this form of leveraging, EPA expects them to make the effort to secure the leveraged resources described in their proposals. If the proposed leveraging does not materialize during grant performance, then EPA may reconsider the legitimacy of the award and/or take other appropriate action as authorized by 2 CFR Parts 200 or 1500.

#### **IV.F Additional Provisions for Applicants Incorporated Into the Solicitation**

Additional provisions that apply to this solicitation and/or awards made under this solicitation, including but not limited to those related to confidential business information, contracts and subawards under grants, and proposal assistance and communications, can be found at <http://www2.epa.gov/grants/epa-solicitation-clauses>. These, and the other provisions that can be found at the website link, are important, and applicants must review them when preparing proposals for this solicitation. If you are unable to access these provisions electronically at the website above, please communicate with the EPA contact listed in this solicitation to obtain the provisions.

## **SECTION V - PROPOSAL REVIEW INFORMATION**

### **V.A Review and Selection Process**

Timely submitted proposals will initially be reviewed by the appropriate EPA Regional Office to determine compliance with the applicable threshold criteria for assessment grants (Section III.C). The threshold criteria are pass/fail. Applicants deemed ineligible for funding consideration as a result of the threshold criteria review will be notified within 15 calendar days of the ineligibility determination. All proposals that pass the threshold criteria review will then be evaluated by national evaluation panels chosen for their expertise in the range of activities associated with the brownfield assessment. The national evaluation panels will be composed of EPA staff and potentially other federal agency representatives. Eligible proposals will be evaluated based on the criteria below and ranking lists of applicants will be developed.

For evaluation and selection purposes, EPA's Office of Brownfields and Land Revitalization (OBLR) will prepare two ranked lists of eligible proposals.

One list will be comprised of "new applicants" for brownfield agreements defined as:

- applicants who have never received an EPA brownfields grant, or
- applicants who were awarded a brownfields grant that closed in 2007 or earlier.

A second list will be comprised of "existing and recent recipients" defined as:

- applicants who have a current brownfields grant, or
- applicants who were awarded a brownfields grant that closed in 2008 or later.

The Agency expects to select approximately 151 of the highest ranked proposals for award. Of these selections, the Agency expects to select at least two high ranking proposals from each region that address the regional priorities identified by the region in Section I.E. If among the highest approximately 151 ranked proposals that are selected there are not at least two grants from each region that address the regional priorities identified by the Region in Section I.E, then the agency intends to make additional awards until this requirement is satisfied, depending on the number of proposals received, funding availability, the quality of proposals, and other applicable considerations. In addition, the Agency intends to use approximately 50% of the total amount of funding available under this announcement for grants to "new applicants". This percentage is an estimate and is subject to change based on funding levels, the quality of proposals received and other applicable considerations.

The program will provide both lists to the Selection Official, who is responsible for further consideration of the proposals and final selection of grant recipients. Proposals will be selected for award by this Official based on their evaluated point scores, the regional priority issue described above, the availability of funds, and, if and as appropriate, the other factors described in Section V.C.

### **V.B Ranking Criteria for Assessment Grants**

If your proposal passes the threshold eligibility review (see Section III.C), your responses and the information you provide in response to the ranking criteria below will be evaluated and

scored by national evaluation panels. Your proposal may be assigned up to 200 points based on the ranking criteria. Respond to the following ranking criteria below in your proposal.

**Please respond to all ranking criteria and sub-ranking criteria below regardless of whether the criterion applies to your application. Any criterion left unanswered may result in zero points given for that criterion.**

**1. Community Need [50 Points]**

This section of your proposal provides the context for your project. The needs defined in this section should provide the foundation of your later discussion of the brownfields project, planned community engagement and partnerships, and the ways the project will ultimately benefit your targeted community (both outputs and outcomes). This section of your narrative should identify your targeted community, as well as the community's brownfield issues and the impacts they have on the targeted community in which they are located. This section should also present the environmental, health and/or welfare, and economic challenges faced by the targeted community as related to its brownfields. Proposals will be evaluated on the quality and extent to which you have presented a compelling picture of your brownfield(s) and the needs of your targeted community.

All proposals should demonstrate how the grant will serve a community(ies) to address or facilitate the identification and reduction of threats to the health or welfare of children, pregnant women, minority or low-income communities, or other sensitive populations; and will serve a community(ies) that is unable to draw on other sources of funding because of the small population or low income of the community.

**Coalition proposals** should demonstrate how the grant will serve coalition partners and communities that would otherwise not have access to resources to address brownfields. For example, a state or county may put together a coalition that includes small communities that do not have the capacity to apply for brownfields funding on their own.

EPA anticipates selecting proposals which demonstrate that the identified targeted community(ies) experience significant socio-economic challenges (e.g., high percent low-income, high percent poverty, increased health disparities) and where the assessment could be an anchor of transformation for the community(ies).

**a. Targeted Community and Brownfields [25 points]**

i. Targeted Community Description (5 points)

Include a brief description of your city, town, or geographic area to provide the reader some background on its cultural and industrial history that establishes the context for your brownfield challenges.

Within this geographic area, identify and describe the targeted community where you plan to perform assessment activities, such as a neighborhood, district, corridor, census tract, or other locality around which your project will focus.



ii. Demographic Information (5 points)

Provide demographic information about your targeted community including pertinent indicators of population, unemployment, poverty, minorities, and income such as those shown in the suggested table below, and clearly cite the sources of your data.

Sample Format for Demographic Information (supplement as appropriate)

	Targeted Community (e.g., Census Tract)	City/Town or County	Statewide	National
Population:				311,536,594 <sup>1</sup>
Unemployment:				5.3% <sup>2</sup>
Poverty Rate:				11.3 % <sup>1</sup>
Percent Minority:				36.7% <sup>1</sup>
Median Household Income:				\$53,046 <sup>1</sup>
Other:				
<sup>1</sup> Data are from the 2009 – 2013 American Community Survey and are available on American FactFinder at <a href="http://factfinder.census.gov/faces/tableservices/jsf/pages/productview.xhtml?pid=ACS_13_5YR_DP03&amp;src=pt">http://factfinder.census.gov/faces/tableservices/jsf/pages/productview.xhtml?pid=ACS_13_5YR_DP03&amp;src=pt</a> and <a href="http://factfinder.census.gov/faces/tableservices/jsf/pages/productview.xhtml?pid=ACS_13_5YR_DP05&amp;prodType=table">http://factfinder.census.gov/faces/tableservices/jsf/pages/productview.xhtml?pid=ACS_13_5YR_DP05&amp;prodType=table</a> <sup>2</sup> Data are from the Bureau of Labor Statistics and are available at <a href="http://www.bls.gov">www.bls.gov</a> .				

For resources to gather demographic information, please go the FAQs at [http://www2.epa.gov/sites/production/files/2015-10/documents/fy16\\_faqs.pdf](http://www2.epa.gov/sites/production/files/2015-10/documents/fy16_faqs.pdf).

iii. Description of Brownfields (10 points)

Describe the brownfields sites in your targeted community. Include information on the:

- nature and extent of your brownfields (such as past land uses and site activities, potentially related environmental issues or contaminants, and current conditions);
- real or perceived negative environmental impacts associated with the brownfields; and
- brownfields’ proximity to the targeted community.

iv. Cumulative Environmental Issues (5 points)

In addition to the presences of brownfield sites, provide a summary (using available information) of other various cumulative environmental issues (e.g. siting of power plants, incinerators, industry, landfills, congested highways, or other sources of air, water and land pollution) or other environmental justice concerns (such as overburdening from existing sources of pollution) which may be present.

**b. Impacts on Targeted Community [10 points]**

Using existing available information, please respond to the items below.

- Discuss impacts the brownfields have on public health or welfare of your targeted community.

- Provide information describing the threats to health and welfare to sensitive groups in the targeted community who are potentially subject to the environmental exposures, including brownfields. (Please refer to FAQs for information on sensitive populations, [http://www2.epa.gov/sites/production/files/2015-10/documents/fy16\\_faqs.pdf](http://www2.epa.gov/sites/production/files/2015-10/documents/fy16_faqs.pdf).)
- Describe how cumulative environmental and/or brownfield issues have disproportionately impacted your targeted community.

**c. Financial Need [15 points]**

i. Economic Conditions (5 points)

Describe why you, as the applicant, need this funding and are unable to draw on other sources of funding because of a small population, low income or other factors of the targeted community.

Describe how local economic conditions may have been made worse due to industrial decline, plant closures, natural disasters, or other significant economic disruptions.

ii. Economic Effects of Brownfields (10 points)

Elaborate on the demographic table above (Section V.B.1.a) and discuss the key economic effects (e.g. reduced tax base, lost jobs and business opportunities, depressed property values, ongoing costs to secure vacant properties, etc.) of the brownfields on the targeted community.

Describe other economic effects associated with brownfields such as blight, property vacancy, community disinvestment, burden on municipal services etc. To the extent that this discussion may include quantitative estimates and statistics, clearly cite the sources of such data.

**2. Project Description and Feasibility of Success [50 Points]**

This section of your proposal describes your project and how it will be implemented. This section should demonstrate the feasibility of the project you will fund with this grant, and the extent to which the grant will stimulate the availability of other funds for environmental assessment or remediation, and the subsequent reuse of the target area in which the brownfield site(s) is located.

Proposals will be evaluated, as further described below, on the quality and extent to which you demonstrate:

- How your project will further the targeted community's land use and revitalization plans or vision;
- a reasonable approach and methodology to achieve project goals, and expend funds in a timely and effective manner;

- a realistic basis for project costs;
- a reasonable plan to track and measure project progress; and
- the availability of, and access to, sufficient resources to complete the project.

**All proposals** should demonstrate that the majority of grant funds are allocated for tasks directly associated with environmental site assessments.

**Site-specific proposals** should demonstrate how the task descriptions and budget justify the need for the amount of funding requested for the proposed site.

**Coalition proposals** should demonstrate how the grant funds will address a minimum of five sites as well as sites located in each coalition member’s jurisdiction.

Refer to Section VI.D, *Brownfields Programmatic Requirements*, to read EPA expectations of projects funded with brownfields assessment grants.

**a. Project Description, Project Timing and Site Selection [25 points]**

i. Project Description (15 points)

Describe the project that will be funded under this grant and how the project aligns with the targeted community’s land use and revitalization plans. In addition to the description of the grant-funded assessment work, describe the redevelopment strategy or projected redevelopment for the property or properties that are assessed.

ii. Project Timing (5 points)

Describe your approach for implementing and executing key project activities within the three year period of performance. Specifically address the timing of key project activities (including contractor procurement, site selection, and securing site access) and state who will be responsible for implementing/completing those activities.

iii. Site Selection (5 points)

For community-wide proposals, describe the process for prioritizing and selecting sites to assess, and for obtaining access to those sites.

**OR**

For assessment coalition proposals, describe the proposed governance structure amongst your coalition partners which be implemented to prioritize and select sites to assess, and the process for obtaining access to those sites.

**OR**

For site-specific assessment proposals describe the existing conditions of the subject property including anticipated levels of contamination, size, and/or status of ownership of the site.

**b. Task Descriptions and Budget Table [20 points]**

i. Task Descriptions (15 points)

List the tasks required to implement the proposed project, including the work that will take place under each grant-funded task and any additional work or services necessary to carry out the project that will be funded by sources other than this grant. Identify and enumerate specific outputs from the project, which may include, but are not limited to, Phase I environmental site assessments, Phase II environmental site assessments, site cleanup plans, area-wide plans, or site inventories. [Refer to Section I.F.1 for an explanation of outputs.]

Provide a cost estimate for each **grant-funded** task, which describes the basis for the estimated costs, and specifies costs by the budget categories shown in the table below. Applicants requesting hazardous substance and petroleum funding in the same proposal must distinguish hazardous substance related tasks from petroleum related tasks. Where appropriate, present unit costs and quantify work products (e.g., Contractual Costs: Conduct Phase 1 assessments on five sites at a cost of \$2,500 each for a total of \$12,500). Explain any costs that appear to be atypical (i.e., unusually high or low).

Do not include tasks for activities that are ineligible uses of funds under EPA's assessment grant (e.g., land acquisition, building demolition that is not necessary to assess contamination at the site, building or site preparation, or administrative costs, such as indirect costs). Please refer to the Brownfields FAQs at [http://www2.epa.gov/sites/production/files/2015-10/documents/fy16\\_faqs.pdf](http://www2.epa.gov/sites/production/files/2015-10/documents/fy16_faqs.pdf) for additional examples of ineligible uses of funds. For questions not covered by the FAQs, contact your Regional Brownfields Contact listed in Section VII.

Discuss how you plan to track and measure your progress in achieving the project results (outcomes and outputs).

ii. Budget Table (5 points)

The table format below can be used to present the allocation of EPA grant funds to the specific tasks described above. Specify the costs by budget category. Include **ONLY** EPA grant funds in this table. Activities not supported by the grant **should not** be included in the budget table.

Applicants requesting hazardous substance and petroleum funding in the same proposal must provide either two separate budget tables, or two separate line items within one budget table, which distinguish hazardous substance funds from petroleum funds.

Note: EPA encourages the use of the table format below.

**Sample Format for Budget**

Budget Categories	Project Tasks (\$) [programmatic costs only]				
	[Task 1]	[Task 2]	[Task 3]	[Task 4]	Total
Personnel					
Fringe Benefits					
Travel <sup>1</sup>					
Equipment <sup>2</sup>					
Supplies					
Contractual					
Other (specify) _____					
<b>Total Budget</b>					

<sup>1</sup> Travel to brownfields-related training conferences is an acceptable use of these grant funds.

<sup>2</sup> EPA defines equipment as items that cost \$5,000 or more with a useful life of more than one year. Items costing less than \$5,000 are considered supplies. Generally, equipment is not required for assessment grants.

Reminder: Administrative costs, such as indirect costs, of grant administration with the exception of financial and performance reporting costs are ineligible grant activities.

**c. Ability to Leverage [5 points]**

Describe other sources of funding or resources that you have, or may be seeking, to ensure the successful revitalization of brownfields sites assessed with this grant. This should include public or private resources (beyond this grant) to achieve the assessment, cleanup, and/or redevelopment needs of the brownfields sites. Attach copies of any letters or documentation to substantiate firm commitments of leveraged funding.

If you are not yet able to identify sources of leveraged funding needed for this project, then provide a recent example where you or your project partners have successfully leveraged resources to achieve an environmental or revitalization goal of your community (not necessarily on a brownfields site). See the Brownfields FAQs at [http://www2.epa.gov/sites/production/files/2015-10/documents/fy16\\_faqs.pdf](http://www2.epa.gov/sites/production/files/2015-10/documents/fy16_faqs.pdf) for more information on how to demonstrate leveraging commitments.

**3. Community Engagement and Partnerships [35 Points]**

This section of your proposal demonstrates how you will inform involve and inform the community and other stakeholders during the planning and implementation of your project. Your responses to the criteria will also explain how your proposed community engagement plan will meet the needs of the targeted community identified in the Community Need (Section V.B.1) portion of your proposal and identify the stakeholders and partners necessary to achieve the benefits discussed in Project Benefits (Section V.B.4).

Proposals will be evaluated on the quality and extent to which they:

- demonstrate actions or plans to effectively involve and inform the targeted community and relevant stakeholders;
- identify the relevancy of the local/state/tribal environmental authority to the project;
- identify roles of other relevant governmental partnerships; and
- identify the relevant roles of community organizations and affirm their involvement in the project through commitment letters.

**Community-wide proposals** should demonstrate how the whole community, not just localized groups directly affected by a site or sites, has provided input from the project inception and will be engaged throughout the project.

**Site-Specific proposals** should discuss and demonstrate meaningful efforts to involve and inform community groups or representatives directly affected by the site, in addition to the broader community.

**Coalition proposals** should demonstrate how all communities addressed through this project have provided input from the beginning of the project, and will be engaged and informed throughout the project. Coalition proposals should demonstrate that the grant recipient will ensure that community engagement is tailored specifically to the needs of each targeted community and coalition member.

**a. Plan for Involving Targeted Community & Other Stakeholders; and Communicating Project Progress [15 points]**

i. Community Involvement Plan (10 points)

Discuss your plan for involving the targeted community and other stakeholders (such as neighborhood organizations, citizens groups, property owners, lenders, business organizations and developers) in the planning and implementation of your project (which may include project planning, site selection for assessments, cleanup decisions, and reuse planning).

ii. Communicating Progress (5 points)

Describe your plans for communicating the progress of your project to community members. Also, describe how the identified communication plans are appropriate and effective for the targeted community(ies).

*Note: Applicants may address this criterion by various means that show meaningful public engagement where information is shared and views and input are actively solicited, including public meetings, webinars, use of media, and internet forums. Applicants must demonstrate how they will engage the targeted community in meaningful ways to ensure success of the proposed project.*

**b. Partnerships with Government Agencies [10 points]**

Describe your current efforts and plans to initiate and develop new partnerships or to develop your existing partnerships with relevant governmental entities; including a description of the role they may play to ensure your brownfields project is successful.

i. Local/State/Tribal Environmental Authority (5 points)

Please identify and provide information on the agency which runs the relevant brownfields, voluntary cleanup or other similar program at the local/state/tribal level (i.e., the environmental agency and/or health agency).

ii. Other Governmental Partnerships (5 points)

Identify and provide information on other relevant federal, state, and/or local governmental agencies with which you will partner during your assessment project (e.g., EPA, DOT, HUD, a health agency).

**c. Partnerships with Community Organizations [10 points]**

Describe your current efforts and plans to initiate and develop partnerships with community organizations and discuss how they will be involved in the planning and implementation of your project.

i. Community Organization Description & Role (5 points)

Include a description of each community organization involved in your project, as well as, their role in and commitments to the planning and implementation of the project. EPA may conduct reference checks to ensure that organizations identified are supportive and involved with the brownfields project.

ii. Letters of Commitment (5 points)

Attach current letters to the proposal from all of the community organizations you have discussed. These letters should discuss their support for the project, and describe and affirm their roles and commitments to the planning and implementation of the project. The numbers of partners is not as important as the contributions and the relevance of their organization.

**Note:** Community organizations do **not** include local government departments, the local planning department/district/office, local contractors, the mayor's office, or other elected officials. See FAQs ([http://www2.epa.gov/sites/production/files/2015-10/documents/fy16\\_faqs.pdf](http://www2.epa.gov/sites/production/files/2015-10/documents/fy16_faqs.pdf)) for more information about Community Organizations.

**Note:** Letters of commitment must be addressed to the applicant and be included with the applicant's proposal package. Letters should not be sent directly to EPA.

**Note:** If there are no community organizations in your community, then state this and demonstrate how the community is engaged and will continue to be involved in your project. This can be done by including support letters from residents, letters from residents to the editors of local newspapers, attendance lists at public meetings

concerning the project, comments from local citizens received on the plans and implementation of the project, etc.

**4. Project Benefits [25 Points]**

This section of your proposal describes the anticipated outcomes and benefits expected from your project in the context of the needs you discussed in the Community Need (Section V.B.1), the broader planning efforts as discussed in the Project Description (Section V.B.2), including sustainable redevelopment and the near-term efforts to support sustainable environmental practices in the community. It will also describe how the outcomes of this assessment work will contribute to the community plan for the revitalization of brownfields sites. Proposals will be evaluated on the quality and extent to which they demonstrate the potential of the project, or the development plan for the project area, to realize significant outcomes and benefits to the health/welfare and environment of the community, facilitate environmentally sustainable redevelopment planning and equitable development, and stimulate economic or non-economic benefits.

Note that most of these sub-criteria present an either/or option for response – allowing some portion of each sub-criteria to apply to all applicants.

**a. Health and/or Welfare and Environmental Benefits [10 points]**

i. Health and/or Welfare Benefits (5 points)

Describe the health and/or welfare benefits anticipated from this grant (or broader project), and how these benefits will address the health and/or welfare challenges discussed in the Community Need section of your narrative (Section V.B.1).

ii. Environmental Benefits (5 points)

Describe the environmental benefits anticipated from this grant (or broader project), and how these benefits will address the environmental challenges discussed in the Community Need section of your narrative (Section V.B.1).

**b. Environmental Benefits from Infrastructure Reuse/Sustainable Reuse [8 points]**

i. Policies, Planning, and Other Tools (5 points)

Provide examples of how you will use your community or organization's policies, ordinances, planning or other tools to foster and implement sustainable development outcomes, including the use of existing infrastructure, for sites addressed with this grant. Examples of sustainable development practices are listed in Section I.D of these guidelines.

ii. Integrating Equitable Development or Livability Principles (3 points)

Describe how your approach to address and revitalize brownfield sites will incorporate equitable development practices or the HUD-DOT-EPA Livability Principles; such as improved transportation choices, affordable housing, and other considerations as described in Section I.D of these guidelines.



**c. Economic and Community Benefits (long-term benefits) [7 points]**

i. Economic or Other Benefits (5 points)

Discuss potential outcomes and economic benefits, such as increased employment and expanded tax base, which may be achieved through the redevelopment of sites assessed under this grant (be as specific as possible);

or

discuss non-economic benefits associated with sites to be reused for greenspace or other not-for-profit activities. Examples may include areas redeveloped for uses such as parks, recreation areas, greenways, environmental buffers and other not-for-profit, governmental or charitable organization spaces libraries, schools, health centers, community centers, fire stations, etc.

ii. Job Creation Potential: Partnerships with Workforce Development Programs (2 points)

Describe any planned efforts to promote local hiring and procurement or link members of the community to potential employment opportunities in brownfields assessment, cleanup, or redevelopment related to your proposed projects. Such efforts may include, but are not limited to partnering with local workforce development entities or Brownfields job training grantees. A list of Brownfields job training grantees can be found at

[cfpub.epa.gov/bf\\_factsheets/#\\_ga=1.179644452.1468935873.1432832844](http://cfpub.epa.gov/bf_factsheets/#_ga=1.179644452.1468935873.1432832844).

**5. Programmatic Capability and Past Performance [40 Points]**

This section of your proposal demonstrates that your organization (“the applicant”/lead coalition member) has programmatic capability (experience, knowledge and resources, or ability to obtain them) necessary to ensure successful completion of all required aspects of this project and grant as discussed in the previous section of your proposal and Section VI of these guidelines. Proposals will be evaluated on the quality and extent to which your proposal demonstrates the ability of your organization to successfully manage and complete the project, considering your programmatic and administrative capacity, and your past and/or current performance under federally and/or non-federally funded assistance agreements (past and current).

*Note:* In evaluating an applicant’s response to this criterion, in addition to the information provided by the applicant, EPA may consider relevant information from other sources including information from EPA files and/or from other federal or non-federal grantors to verify or supplement information provided by the applicant.

**a. Programmatic Capability [28 points]**

Describe the organizational structure you will utilize to ensure the timely and successful expenditure of funds and completion of all technical, administrative and financial requirements of the project and grant. Include a brief discussion of the key staff including their roles, expertise, qualifications, and experience.

Describe the system(s) you have in place to appropriately acquire any additional expertise and resources (e.g. contractors or subawardees) required to successfully complete the project. Please refer to Section IV.F regarding contractors and subawards.

**b. Audit Findings [2 points]**

Describe any adverse audit findings. If you have had problems with the administration of any grants (e.g., compliance reporting, expenditure of funds), please describe how you have corrected, or are correcting, the problems. If you have not, please affirm that you have not had any adverse audit findings. Respond to this criterion regardless of whether or not you have had a federal or non-federal assistance agreement. [*Failure to address this section may result in zero points for this factor.*]

**c. Past Performance and Accomplishments [10 points]**

If you have ever received an EPA Brownfields grant (including Assessment, Cleanup, Revolving Loan Fund, and 128(a) grants; excluding Targeted Brownfields Assessments), please respond to **item i** below.

If you have never received an EPA Brownfields grant, but have received other federal or non-federal assistance agreements (such as a grant or cooperative agreement), please respond to **item ii** below.

If you have never received any type of federal or non-federal assistance agreements please indicate this in response to **item iii** below, and you will receive a neutral score of 5 points for this factor.

**i. Currently or Has Ever Received an EPA Brownfields Grant [10 points]**

Identify and provide information regarding each of your current and most recent EPA brownfields grant(s) (but no more than five). Demonstrate how you successfully managed the grant(s), and successfully performed all phases of work under each grant by providing information on the items listed below.

**1. Compliance with Grant Requirements (5 points)**

Discuss your compliance with the work plan, schedule and terms and conditions. Include whether you have made, or are making, progress towards achieving the expected results of the grant in a timely manner. If you are not, please explain why. Discuss what corrective measures you took, or are taking, and how the corrective measures were documented and communicated.

Discuss your history of timely and acceptable quarterly performance and grant deliverables, as well as, ongoing Assessment, Cleanup and Redevelopment Exchange System (ACRES) reporting.

If you have an open EPA Brownfields grant(s), please explain your need for additional funding. Additionally, for all open grant(s) indicate the grant period (start and end date), if there are funds remaining, and the plan to expend funds by the end of the grant period.

For all closed EPA Brownfields grant(s), indicate if there were funds remaining at the time of closure, the amount of remaining funds and a brief explanation of why the funds were not expended.

2. Accomplishments (5 points)

Describe the accomplishments (including specific outputs and outcomes) of your grant funded program, including at minimum, the number of sites assessed and/or cleaned up. Discuss whether these outputs and outcomes were accurately reflected in ACRES at the time of this proposal submission, and if not, please explain why.

– OR –

ii. **Has Not Received an EPA Brownfields Grant but has Received Other Federal or Non-Federal Assistance Agreements [10 points]**

Identify and describe each of your current and/or most recent federally and non-federally funded grants (no more than five) that are most similar in size, scope, and relevance to the proposed project. Demonstrate how you successfully managed the grant(s), and successfully performed all phases of work under each grant by providing the following information.

1. Purpose and Accomplishments (5 points)

Describe the awarding agency/organization, amount of funding, and purpose of the grant(s) you have received.

Discuss the accomplishments (including specific outputs and outcomes) of the project supported by these grants, including specific measures of success for the project supported by each type of grant received.

2. Compliance with Grant Requirements (5 points)

Describe your compliance with the work plan, schedule and terms and conditions. Include whether you made, or are making, progress towards achieving the expected results of the grant in a timely manner. Discuss what corrective measures you took, or are taking, and how the corrective measures were documented and communicated.

Discuss your history of timely and acceptable reporting, as required by the awarding agency/organization.

– OR –

iii. **Has Never Received Any Type of Federal or Non-Federal Assistance Agreements [5 points]**

Affirm that your organization has never received any type of federal or non-federal assistant agreement (grant). [*Failure to indicate anything in response may result in zero points for this factor.*]

## V.C Considerations and Other Factors

In making final selection recommendations from among the most highly ranked applicants on each of the lists discussed in Section V.A, EPA’s Selection Official may consider the following factors if appropriate. In their proposals, applicants should provide a summary on whether and how any of these potentially applicable other factors apply:

- the proposed assessment project advances the applicable Region’s regional priority;
- fair distribution of funds between urban and non-urban areas including an equitable distribution to “micro” communities (those communities with populations of 10,000 or less). EPA strongly encourages non-urban communities, including “micro” communities to apply;
- the distribution of funds among EPA’s ten Regions and among the states and territories;
- compliance with the 25 percent statutory petroleum funding allocation;
- whether the applicant is a federally recognized Indian tribe or United States territory or whether the project is assisting a Tribe or territory;
- whether targeted brownfield sites are impacted by mine-scarred land;
- whether the project primarily focuses on Phase II assessments;
- demonstrated firm leveraging commitments for facilitating brownfield project completion by identifying amounts and contributors of funding in the proposal and have included documentation that tie directly to the project;
- recent (2008 or later) significant economic disruption has occurred within community, resulting in a significant percentage loss of community jobs and tax base;
- whether the applicant is one of the 24 recipients or a core partner/implementation strategy party of a “manufacturing community” designation provided by the Economic Development Administration (EDA) under the Investing in Manufacturing Communities Partnership. Applicants must clearly demonstrate there is a nexus between their IMCP designation and the proposed Brownfields activities;
- whether the applicant is a recipient or a core partner of a HUD-DOT-EPA Partnership for Sustainable Communities (PSC) grant that is directly tied to the project area, and can demonstrate that funding from a PSC grant has or will benefit the project area. To be considered, **the applicant must attach documentation** which demonstrates this connection to a HUD-DOT-EPA PSC grant; and/or
- whether the applicant is a recipient of an EPA Brownfields Area-Wide Planning grant.

## V.D Proposal Checklist for Assessment Grants

Before you submit your proposal(s) for assessment grants, please ensure the following documents are included in your proposal package.

<input checked="" type="checkbox"/> Transmittal Letter (2-page limit)	
<input checked="" type="checkbox"/> Regional Priorities Form/Other Factors Checklist (located in Appendix 3) attached to the Transmittal Letter	
<input checked="" type="checkbox"/> The Narrative Proposal, which includes the responses to ranking criteria (15-page limit)	
<input checked="" type="checkbox"/> Documentation of all applicable threshold criteria (see Section III. B and C)	
<input checked="" type="checkbox"/> Letter from the state or tribal environmental authority (see Section III.C.2)	

<input checked="" type="checkbox"/> Documentation of applicant eligibility if other than city, county, state, or tribe (see Section III.C.1)	
<input checked="" type="checkbox"/> Documentation indicating committed firm leveraged resources, if applicable (see Section V.B.2.c)	
<input checked="" type="checkbox"/> Letters of Commitment from all community organizations identified in the Community Engagement and Partnerships ranking criterion (see Section V.B.3)	
<input checked="" type="checkbox"/> Justification for requested waiver of the \$200,000 limit for a site-specific assessment, if applicable (see Section I.A.2)	
<input checked="" type="checkbox"/> Property-Specific Determination request, if applicable (see Section III.C.4.d)	
<input checked="" type="checkbox"/> Letters of commitment from assessment coalition members, if applicable (see section III.C.1)	
<input checked="" type="checkbox"/> Petroleum eligibility determination information, if applicable (see Section III.C.3.i)	

Please also remember to complete the following items

<input checked="" type="checkbox"/> Register on <a href="http://www.grants.gov">www.grants.gov</a> and <a href="http://www.sam.gov">www.sam.gov</a> as soon as possible.	
<input checked="" type="checkbox"/> Submit your complete proposal package through <a href="http://www.grants.gov">www.grants.gov</a> no later than December 18, 2015 at 11:59 p.m. Eastern Time.	
<input checked="" type="checkbox"/> Email a courtesy copy of your proposal package to the appropriate Regional Brownfields Contact listed in Section VII.	

## SECTION VI - AWARD ADMINISTRATION INFORMATION

### VIA Award Notices

EPA Regions will notify applicants who fail threshold eligibility requirements within 15 calendar days of the Agency's determination of ineligibility. EPA will notify applicants who have not been selected for award based on the ranking criteria and other factors within 15 calendar days of EPA's final decision on selections for this competition.

EPA anticipates notification to successful applicants will be made via telephone or electronic or postal mail by Spring 2016. The notification will be sent to the original signer of the proposal or the project contact listed in the proposal. This notification, which informs the applicant that its proposal has been selected and is being recommended for award, is not an authorization to begin work. The official notification of an award will be made by Regional Grants Management Official for regional awards. Applicants are cautioned that only a grants officer is authorized to bind the Government to the expenditure of funds; selection does not guarantee an award will be made. For example, statutory authorization, funding or other issues discovered during the award process may affect the ability of EPA to make an award to an applicant. The award notice, signed by an EPA grants officer, is the authorizing document and will be provided through electronic or postal mail. The successful applicant may need to prepare and submit additional documents and forms (e.g., work plan), which must be approved by EPA, before the grant can

officially be awarded. The time between notification of selection and award of a grant can take up to 90 days or longer.

## **VI.B Administrative and National Policy Requirements**

1. Funding will be awarded as a cooperative agreement. The applicants whose proposals are selected will be asked to submit a cooperative agreement application package to their EPA Regional Office. This package will include the application (Standard Form 424), a proposed work plan, a proposed budget, and other required forms. An EPA Project Officer will work with you to finalize the budget and work plan. It is EPA's expectation that the selected applicants will complete the award process within six months of the announcement.
2. Approved cooperative agreements will include terms and conditions that will be binding on the grant recipient. Terms and conditions specify what grantees must do to ensure that grant-related and Brownfields Program-related requirements are met. Applicants also will be required to submit progress reports in accordance with grant regulations found in 2 CFR 200.328.

## **VI.C Reporting Requirements**

During the life of the cooperative agreement, recipients are required to submit progress reports to the EPA Project Officer within 30 days after each reporting period. The reporting period (i.e., quarterly, annually) is identified in the terms and conditions of the cooperative agreement. These reports cover work status, work progress, difficulties encountered, an accounting of financial expenditures, preliminary data results, anticipated activities, and any changes of key personnel involved with the project. Site-specific accomplishments are reported on Property Profile Forms and can be submitted electronically to EPA's ACRES reporting system. Information provided in the quarterly reports and submitted in ACRES helps EPA monitor the community's progress with implementing their project and also directly supports the continuation of the Brownfields program by highlighting measurable site-specific accomplishments to the public and Congress.

At the end of the cooperative agreement, a final project report also is required. The final report will summarize accomplishments, expenditures, outcomes, outputs, lessons learned, and any other resources leveraged during the project and how they were used.

## **VI.D Brownfields Programmatic Requirements**

Brownfields grantees must comply with all applicable federal and state laws to ensure that the assessment and cleanup protects human health and the environment. Brownfields grantees also must comply with the program's technical requirements, which may include, but are not limited to, the following requirements below.

### **1. Quality Assurance (QA) Requirements**

When environmental samples are collected as part of any brownfields cooperative agreement (e.g., assessment and site characterization, cleanup verification sampling, post-cleanup confirmation sampling), recipients shall submit to EPA for approval a Quality Assurance Project Plan (QAPP) prior to the collection of environmental samples. The QAPP must

document quality assurance practices sufficient to produce data adequate to meet project objectives and minimize data loss. Compliance with the Quality Assurance requirements is an eligible use of grant funds for assessment grants.

2. Historic Properties or Threatened and Endangered Species

If historic properties or threatened or endangered (T&E) species may be impacted by the assessment or cleanup of a site, the requirements of the National Historic Preservation Act (NHPA) or the Endangered Species Act (ESA) may apply, respectively. Grantees are required to consult with EPA prior to conducting any on-site activity (such as invasive sampling or cleanup) that may affect historic properties or T&E species to ensure that the requirements of Section 106 of NHPA and Section 7(a)(2) of the ESA are met. Assessment grantees should plan for these consultation requirements.

3. All Appropriate Inquiries

All Appropriate Inquiries (AAI) must comply with 40 CFR Part 312 and must, at a minimum, include the information below. All AAI reports submitted to EPA Project Officers as deliverables under this assessment cooperative agreement must be accompanied by a completed “Reporting Requirements Checklist” that EPA’s Project Officer will provide to the recipient. The checklist also is available to grantees on the EPA website at [www2.epa.gov/brownfields/brownfields-all-appropriate-inquiries](http://www2.epa.gov/brownfields/brownfields-all-appropriate-inquiries). They must include the information below.

- a. An *opinion* as to whether the inquiry has identified conditions indicative of releases or threatened releases of hazardous substances, and as applicable, pollutants and contaminants, petroleum or petroleum products, or controlled substances, on, at, in, or to the subject property.
- b. An identification of “*significant*” *data gaps* (as defined in 40 CFR 312.10), if any, in the information collected for the inquiry. Significant data gaps include missing or unattainable information that affects the ability of the environmental professional to identify conditions indicative of releases or threatened releases of hazardous substances, and as applicable, pollutants and contaminants, petroleum or petroleum products, or controlled substances, on, at, in, or to the subject property. The documentation of significant data gaps must include information regarding the significance of these data gaps.
- c. **Qualifications and signature** of the environmental professional(s). The environmental professional must place the statements below in the document and sign the document.
  - “[I, We] declare that, to the best of [my, our] professional knowledge and belief, [I, we] meet the definition of Environmental Professional as defined in §312.10 of this part.”
  - “[I, We] have the specific qualifications based on education, training, and experience to assess a property of the nature, history, and setting of the subject property. [I, We] have developed and performed the all appropriate inquiries in conformance with the standards and practices set forth in 40 CFR Part 312.”

**Note: Please use either “I” or “We.”**

- d. In compliance with §312.31(b), the environmental professional must include in the final report an *opinion regarding additional appropriate investigation*, if the environmental professional has such an opinion.

EPA may review checklists and AAI final reports for compliance with the AAI regulation documentation requirements at 40 CFR Part 312 (or comparable requirements for those using ASTM Standard 1527-13). Any deficiencies identified during an EPA review of these documents must be corrected by the recipient within 30 days of notification. Failure to correct any identified deficiencies may result in EPA disallowing the costs for the entire AAI report as authorized by 2 CFR 200.338 (b). If a recipient willfully fails to correct the deficiencies, the Agency may consider other available remedies under 2 CFR 200.338 – 2 CFR 200.342 and 2 CFR Part 180.

#### 4. Sufficient Progress

EPA will evaluate whether the recipient has made sufficient progress 18 months from the date of award. For purposes of assessment grants, the recipient demonstrates “sufficient progress” when 35% of funds have been drawn down and obligated to eligible activities; for assessment coalition grants “sufficient progress” is demonstrated when a solicitation for services has been released, sites are prioritized or an inventory has been initiated if necessary, community involvement activities have been initiated and a Memorandum of Agreement is in place. If EPA determines that the recipient has not made sufficient progress, the recipient must implement a corrective action plan approved by EPA. Failure to comply with the reporting requirements may result in an early termination of the grant and return of grant funds to the EPA.

#### 5. Collection of Post-Grant Information

Under the Government Performance and Results Act, EPA reports on the many benefits of brownfields funding. One such measure provides information on additional resources leveraged as a result of using brownfields grant funds. These leveraged, non-EPA funds may include additional cleanup funds or redevelopment funding from other federal agencies, state, tribal, and local governments, or private organizations. As many of these activities occur beyond the grant period, please note that EPA may contact you well after the grant period of performance to collect this information.

#### 6. Protection of Nearby and Sensitive Populations

Grantees are required to protect all nearby populations, including sensitive populations in the targeted community from contaminants during assessment work conducted on brownfield sites under this grant. Activities include implementing procedures necessary to mitigate any potential exposure from the contamination.

### **VI.E Use of Funds**

An applicant that receives an award under this announcement is expected to manage assistance agreement funds efficiently and effectively and make sufficient progress towards completing the



project activities described in the work-plan in a timely manner. The assistance agreement will include terms/conditions implementing this requirement.

### **VI.F Disputes**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which can be found at <http://www2.epa.gov/grants/dispute-resolution-procedures>. Copies of these procedures may also be requested by contacting the person listed in Section VII of the announcement.

### **VI.G Additional Provisions for Applicants Incorporated Into the Solicitation**

Additional provisions that apply to this solicitation and/or awards made under this solicitation, including but not limited to those related to DUNS, SAM, copyrights, disputes, and administrative capability, can be found at <http://www2.epa.gov/grants/epa-solicitation-clauses>. These, and the other provisions that can be found at the website link, are important, and applicants must review them when preparing proposals for this solicitation. If you are unable to access these provisions electronically at the website above, please communicate with the EPA contact listed in this solicitation to obtain the provisions.

## SECTION VII – AGENCY CONTACTS – Regional Brownfields Contacts

REGIONAL CONTACTS & STATES		EMAILS FOR COURTESY COPY OF PROPSALS /ADDRESS
<b>EPA Region 1</b> <b>Frank Gardner</b> <a href="mailto:Gardner.Frank@epa.gov">Gardner.Frank@epa.gov</a> <b>Phone</b> (617) 918-1278	<b>CT, ME, MA, NH, RI, VT</b>	Email proposals to <a href="mailto:R1Brownfields.gov">R1Brownfields.gov</a> 5 Post Office Square Suite 100, Mail code: OSRR7-2 Boston, MA 02109-3912
<b>EPA Region 2</b> <b>Lya Theodoratos</b> <a href="mailto:Theodoratos.Lya@epa.gov">Theodoratos.Lya@epa.gov</a> <b>Phone</b> (212) 637-3260	<b>NJ, NY, PR, VI</b>	Email proposals to <a href="mailto:Theodoratos.Lya@epa.gov">Theodoratos.Lya@epa.gov</a> 290 Broadway; 18th Floor New York, NY 10007
<b>EPA Region 3</b> <b>Tom Stolle</b> <a href="mailto:Stolle.Tom@epa.gov">Stolle.Tom@epa.gov</a> <b>Phone</b> (215) 814-3129	<b>DE, DC, MD, PA, VA, WV</b>	Email proposals to <a href="mailto:R3_LR_Update@epa.gov">R3_LR_Update@epa.gov</a> 1650 Arch Street Mail Code 3HS51 Philadelphia, PA 19103
<b>EPA Region 4</b> <b>Barbara Alfano</b> <a href="mailto:Alfano.Barbara@epa.gov">Alfano.Barbara@epa.gov</a> <b>Phone</b> (404) 562-8923	<b>AL, FL, GA, KY, MS, NC, SC, TN</b>	Email proposals to <a href="mailto:Alfano.Barbara@epa.gov">Alfano.Barbara@epa.gov</a> Atlanta Federal Center 61 Forsyth Street, S.W. 10th FL Atlanta, GA 30303-8960
<b>EPA Region 5</b> <b>Matthew Didier</b> <a href="mailto:Didier.Matthew@epa.gov">Didier.Matthew@epa.gov</a> <b>Phone</b> (312) 353-2112	<b>IL, IN, MI, MN, OH, WI</b>	Email proposals to <a href="mailto:Didier.Matthew@epa.gov">Didier.Matthew@epa.gov</a> 77 West Jackson Boulevard Mail Code SE-7J Chicago, IL 60604-3507
<b>EPA Region 6</b> <b>Paul Johnson</b> <a href="mailto:Johnson.Paul@epa.gov">Johnson.Paul@epa.gov</a> <b>Phone</b> (214) 665-2246	<b>AR, LA, NM, OK, TX</b>	Email proposals to <a href="mailto:Kemp.Mary@epa.gov">Kemp.Mary@epa.gov</a> 1445 Ross Avenue Suite 1200 (6SF-VB) Dallas, TX 75202-2733
<b>EPA Region 7</b> <b>Susan Klein</b> <a href="mailto:Klein.Susan@epa.gov">Klein.Susan@epa.gov</a> <b>Phone</b> (913) 551-7786	<b>IA, KS, MO, NE</b>	Email proposals to <a href="mailto:Klein.Susan@epa.gov">Klein.Susan@epa.gov</a> 11201 Renner Blvd Lenexa, KS 66219
<b>EPA Region 8</b> <b>Daniel Heffernan</b> <a href="mailto:Heffernan.Daniel@epa.gov">Heffernan.Daniel@epa.gov</a> <b>Phone</b> (303) 312-7074	<b>CO, MT, ND, SD, UT, WY</b>	Email proposals to <a href="mailto:Heffernan.Daniel@epa.gov">Heffernan.Daniel@epa.gov</a> 1595 Wynkoop Street (EPR-B) Denver, CO 80202-1129
<b>EPA Region 9</b> <b>Noemi Emeric-Ford</b> <a href="mailto:Emeric-Ford.Noemi@epa.gov">Emeric-Ford.Noemi@epa.gov</a> <b>Phone</b> (213) 244-1821	<b>AZ, CA, HI, NV, Pacific Island Territories</b>	Email proposals to <a href="mailto:Emeric-Ford.Noemi@epa.gov">Emeric-Ford.Noemi@epa.gov</a> 75 Hawthorne Street, SFD6-1 San Francisco, CA 94105
<b>EPA Region 10</b> <b>Susan Morales</b> <a href="mailto:Morales.Susan@epa.gov">Morales.Susan@epa.gov</a> <b>Phone</b> (206) 553-7299	<b>AK, ID, OR, WA</b>	Email proposals to <a href="mailto:Brownfields.R10@epa.gov">Brownfields.R10@epa.gov</a> 1200 Sixth Avenue, Suite 900 Mailstop: ECL-112 Seattle, WA 98101 <b>Fax</b> (206) 553-0124

# Appendix 1

## Information on Sites Eligible for Brownfields Funding Under CERCLA §104(k)

### 1.1 Introduction

The information provided in this Appendix will be used by EPA in determining the eligibility of any property for brownfields grant funding. The Agency is providing this information to assist you in developing your proposal for funding under CERCLA §104(k) and to apprise you of information that EPA will use in determining the eligibility of any property for brownfields grant funding.

**This information is used by EPA solely to make applicant and site eligibility determinations for Brownfields grants and is not legally binding for other purposes including federal, state, or tribal enforcement actions.**

### 1.2 General Definition of Brownfield Site

**The Brownfields Law defines a “Brownfield Site” as:**  
“...real property, the expansion, redevelopment, or reuse of which may be complicated by the presence or potential presence of a hazardous substance, pollutant, or contaminant.”  
Brownfield sites include all “real property,” including residential, as well as commercial and industrial properties.

### 1.3 Additional Areas Specifically Eligible for Funding

The Brownfields Law also identifies three additional types of properties that are specifically eligible for funding:

1. Sites contaminated by **controlled substances**.
2. Sites contaminated by **petroleum or a petroleum product**.
3. **Mine-scarred lands**.

See below for guidance on determining the scope of each of these three types of sites. Applicants should identify properties included within their funding proposals that fall within the scope of any of the following three areas.

#### 1.3.1 Contamination by Controlled Substance

Sites eligible for funding include real property, including residential property, that is contaminated by a controlled substance. A “controlled substance” is defined under the Controlled Substances Act as “a drug or other substance, or immediate precursor, included in schedule I, II, III, IV, or V of part B of this title (21 USC Section 812). The term does not include distilled spirits, wine, malt beverages, or tobacco...” For example, sites eligible for brownfields funding may include private residences formerly used for the manufacture and/or

distribution of methamphetamines or other illegal drugs where there is a presence or potential presence of controlled substances or pollutants, contaminants, or hazardous substances (e.g., red phosphorous, kerosene, acids).

### **1.3.2 Contamination by Petroleum or Petroleum Product**

Petroleum-contaminated sites must meet certain requirements to be eligible for brownfields funding. Petroleum is defined under CERCLA as “crude oil or any fraction thereof which is not otherwise specifically listed or designated as a hazardous substance under that section.”

For a petroleum-contaminated site(s) that otherwise meets the definition of a brownfield site to be eligible for funding, EPA or the state must determine:

1. The site is of “relatively low risk” compared with other “petroleum-only” sites in the state; and
2. There is no viable responsible party.
3. The site will not be assessed, investigated, or cleaned up by a person that is potentially liable for cleaning up the site.
4. The site must not be subject to a corrective action order under the Resource Conservation and Recovery Act (RCRA) §9003(h).

Site-specific assessment or cleanup grant proposals for petroleum-contaminated sites must provide information in their proposal indicating whether the site meets each of the criteria listed above. If EPA awards an applicant a revolving loan fund grant, the state or EPA must make the same determinations for site(s) that will be cleaned up under a loan or subgrant. These criteria are explained below.

**Please note that states may, but are not required to, use this guidance to determine whether sites contaminated by petroleum or petroleum products are eligible for brownfields grant funding. States may apply their own laws and regulations, if applicable, to eligibility determinations under this section.**

**Note: A petroleum eligibility determination by the EPA or a state under CERCLA section 101(39)(D) for the purpose of brownfields funding does not release any party from obligations under any federal or state law or regulation, or under common law, and does not impact or limit EPA or state enforcement authorities against any party.**

#### “Relatively Low Risk”

Applicants whose brownfield site(s) include properties or portions of properties contaminated with petroleum or petroleum products must provide information in their proposal indicating that the property represents a relatively low risk (compared to other petroleum-only sites). EPA’s view is that the following types of petroleum-contaminated sites are high-risk sites, or are not of “relatively low risk:”

1. “High risk” sites currently being cleaned up using LUST trust fund monies.
2. Any petroleum-contaminated site that currently is subject to a response under the Oil Pollution Act (OPA).

**Note: Any site that does not fall under any of the provisions listed above would be considered to be of relatively low risk for purposes of determining eligibility for a brownfields grant.**

“A Site for Which There is No Viable Responsible Party”

EPA or the state is required to determine that there is no viable responsible party that can address the petroleum contamination at the site. If EPA, or the state, identifies a party that is responsible for the activities contemplated by the grant proposal, and that party is financially viable, then the site is not eligible for funding and EPA cannot award the grant. This analysis is twofold – EPA or the state must first determine whether a responsible party exists and, if a responsible party is identified, then determine whether that party is viable for the activities identified in the grant proposal. Applicants are responsible for providing information in their proposal that demonstrates that the activities for which they seek funding have no viable responsible party.

A petroleum-contaminated site may be determined to have no responsible party if the site was last acquired (regardless of whether the site is owned by the applicant) through tax foreclosure, abandonment, or equivalent government proceedings, and that the site meets the criteria in (1) below. Any petroleum-contaminated site not acquired by a method listed above will be determined to have a responsible party if the site fails to meet the criteria in both (1) and (2) below.

1. No responsible party has been identified for the site through:
  - a. an unresolved judgment rendered in a court of law or an administrative order that would require any party (including the applicant) to conduct the activities (including assessment, investigation or cleanup) contemplated by the grant proposal;
  - b. an unresolved enforcement action by federal or state authorities that would require any party (including the applicant) to conduct the activities (including assessment, investigation, or cleanup) contemplated by the grant proposal; or
  - c. an unresolved citizen suit, contribution action, or other third party claim brought against the current or immediate past owner for the site that would, if successful, require the activities (including assessment, investigation, or cleanup) contemplated by the grant proposal to be conducted.
  
2. The current and immediate past owner did not dispense or dispose of, or own the subject property during the dispensing or disposal of, any contamination at the site, did not exacerbate the contamination at the site, and took reasonable steps with regard to the contamination at the site.<sup>1</sup>

If no responsible party is identified above, then the petroleum-contaminated site may be eligible for funding. If a responsible party is identified above, EPA or the state must next

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<sup>1</sup> For purposes of determining petroleum brownfield grant eligibility, “reasonable steps with regard to contamination at the site” includes, as appropriate: stopping continuing releases, preventing threatened future releases, and preventing or limiting human, environmental, or natural resource exposure to earlier petroleum or petroleum product releases. Reasonable steps are discussed in more detail on pages 9-12 of EPA’s March 6, 2003, “*Common Elements*” guidance.

determine whether that party is viable. If any such party is determined to be viable, then the petroleum-contaminated site is not eligible for funding.

If there is a responsible party for the site, the applicant should explain in its application what steps it took to determine a responsible party's financial status, and why the information presented indicates that the responsible party is not viable. A state making the "viable responsible party" determination for the applicant may use the standards contained in this Appendix or its own standard. If a state is not making the determination or a tribe is the applicant, EPA will follow the standard set forth in this Appendix. Note that any viability determination made by EPA is for purposes of the CERCLA Section 104(k) grant program only.

EPA will consider a party to be viable if the party is financially capable of conducting the activity (i.e., assessment, investigation, or cleanup) identified in the grant proposal.

Generally, EPA will consider ongoing businesses or companies (corporations, LLCs, partnerships, etc.) and government entities to be viable. EPA will generally deem a defunct or insolvent company and an individual responsible party to be not viable. EPA will apply these assumptions to its petroleum grant viability determinations, unless there is information suggesting that the assumption is not appropriate in a particular case (e.g., if there is information that an individual has adequate financial resources to address contamination at a site, or if there is information indicating an ongoing business is not, in fact, viable). An applicant should indicate if one of the above assumptions applies and provide support for the assertion. In circumstances not covered by one of the above assumptions, the applicant should explain why the responsible party is not viable.

An applicant seeking to determine the financial status (i.e., the viability) of a responsible party should consider consulting the following resources and any other resources it may deem to be useful to make this determination:

1. **Responsible Party:** Ask the responsible party for its financial information (tax returns, bank statements, financial statements, insurance policies designed to address environmental liabilities, etc.), especially if the responsible party is still associated with the site or is the applicant, and, therefore, will receive the benefit of the grant. An applicant that is a responsible party and claiming it is not viable should provide conclusive information, such as an INDIPAY or MUNIPAY analysis, on its inability to pay for the assessment or cleanup.
2. **Federal, State, and Local Records:** Federal, state, and local (i.e., county and city) records often provide information on the status of a business. An applicant that is a state or local government should at the very least search its own records for information on a responsible party. Examples of such resources include regulatory records (e.g., state hazardous waste records), Secretary of State databases, and property/land records.
3. **Public and Commercial Financial Databases:** Applicants also may obtain financial data from publicly available and commercial sources. Listed below are examples of

sources for financial data that applicants may consider. Please note that some commercial sources may charge fees. EPA does not endorse the use of any specific sources, and EPA will accept reliable data from other sources as part of a proposal for funding.

Examples of sources: Lexis/Nexus, Dun & Bradstreet reports, Hoover's Business Information, Edgar Database of Corporate Information, Thomas Register of American Manufacturers, The Public Register, Corporate Annual Reports, Internet search engines (Google, Ask).

#### “Cleaned Up by a Person Not Potentially Liable”

Brownfields funding may be awarded for the assessment and cleanup of petroleum-contaminated sites provided they meet the requests below.

1. The applicant has not dispensed or disposed of or owned the property during the dispensing or disposal of petroleum or petroleum product at the site, and
2. The applicant did not exacerbate the contamination at the site and took reasonable steps with regard to the contamination at the site.

#### “Is not subject to any order issued under §9003(h) of the Resource Conservation and Recovery Act (RCRA)”

Proposals that include requests for an assessment or direct cleanup grant to address petroleum-contaminated sites must not be subject to a corrective action order under RCRA §9003(h). If EPA awards an applicant a revolving loan fund grant, the state or EPA must make the same determination for site(s) that will be cleaned up under a loan or subgrant.

### **1.3.3 Mine-Scarred Lands**

Mine-scarred lands are eligible for brownfields funding. EPA's view is that “mine-scarred lands” are those lands, associated waters, and surrounding watersheds where extraction, beneficiation, or processing of ores and minerals (including coal) has occurred. For the purposes of this section, the definition of extraction, beneficiation, and processing is the definition found at 40 CFR 261.4(b)(7).

Mine-scarred lands include abandoned coal mines and lands scarred by strip mining.

#### Examples of coal mine-scarred lands may include, but are not limited to:

- abandoned surface coal mine areas;
- abandoned deep coal mines;
- abandoned coal processing areas;
- abandoned coal refuse areas;
- acid or alkaline mine drainage; and
- associated waters affected by abandoned coal mine (or acid mine) drainage or runoff, including stream beds and adjacent watersheds.

#### Examples of non-coal hard rock mine-scarred lands may include, but are not limited to:

- abandoned surface and deep mines;
- abandoned waste rock or spent ore piles;

- abandoned roads constructed wholly or partially of waste rock or spent ore;
- abandoned tailings, disposal ponds, or piles;
- abandoned ore concentration mills;
- abandoned smelters;
- abandoned cyanide heap leach piles;
- abandoned dams constructed wholly or partially of waste rock, tailings, or spent ore;
- abandoned dumps or dump areas used for the disposal of waste rock or spent ore;
- acid or alkaline rock drainage; and
- waters affected by abandoned metal mine drainage or runoff, including stream beds and adjacent watersheds.

#### **1.4 Sites Not Eligible for Brownfields Funding**

The following three types of properties are not eligible for brownfields funding under the Brownfields Law, even on a property-specific basis. Applicants should not include these types of sites in the funding proposals.

- 1) Facilities listed or proposed for listing on the National Priorities List (NPL).
- 2) Facilities subject to unilateral administrative orders, court orders, administrative orders on consent, or judicial consent decrees issued to or entered into by parties under CERCLA.
- 3) Facilities that are subject to the jurisdiction, custody, or control of the U.S. government. Facilities owned by, or under the custody or control of, the federal government are not eligible for brownfields funding. EPA’s view is that this exclusion may not extend to:
  - a. privately-owned, Formerly Used Defense Sites (FUDS);
  - b. privately-owned, Formerly Utilized Sites Remedial Action Program (FUSRAP) properties; and
  - c. other former federal properties that have been disposed of by the U.S. government.

Note that land held in trust by the U.S. government for an Indian tribe is not excluded from funding eligibility. In addition, eligibility for brownfields funding does not alter a private owner’s ability to cost recover from the federal government in cases where the previous federal government owner remains liable for environmental damages.

#### **1.5 Particular Classes of Sites Eligible for Brownfields Funding Only With Property-Specific Determinations**

The following special classes of property are generally ineligible brownfield sites unless EPA makes a “Property-Specific Determination” and determines they are eligible for funding. These include:

- properties subject to planned or ongoing removal actions under CERCLA;
- properties with facilities that have been issued or entered into a unilateral administrative order, a court order, an administrative order on consent, or judicial consent decree or to which a permit has been issued by the United States or an authorized state under RCRA, FWPCA, TSCA, or SDWA;



- properties with facilities subject to RCRA corrective action (§3004(u) or §3008(h)) to which a corrective action permit or order has been issued or modified to require the implementation of corrective measures;
- properties that are land disposal units that have submitted a RCRA closure notification or that are subject to closure requirements specified in a closure plan or permit;
- properties where there has been a release of PCBs and all or part of the property is subject to TSCA remediation; and
- properties that include facilities receiving monies for cleanup from the LUST trust fund.

EPA's approval of Property-Specific Determinations will be based on whether or not awarding a grant will protect human health and the environment and either promote economic development or enable the property to be used for parks, greenways, and similar recreational or nonprofit purposes. Property-Specific Determination requests should be attached to your proposal and do not count in the 15-page limit. See the Brownfields FAQs at [http://www2.epa.gov/sites/production/files/2015-10/documents/fy16\\_faqs.pdf](http://www2.epa.gov/sites/production/files/2015-10/documents/fy16_faqs.pdf) for more information on how to prepare and submit a Property-Specific Determination.

### **1.5.1 Facilities Subject to CERCLA Removal Actions**

Properties (including parcels of properties) where there are removal actions may not receive funding, unless EPA makes a property-specific determination of funding eligibility.

EPA's view is that a removal may be identified by the occurrence of one of the following events, whichever occurs first in time: EPA issues an action memo; EPA issues an Engineering Evaluation/Cost Analysis approval memo; EPA mobilizes onsite; EPA issues a notice of federal interest to one or more potentially responsible parties (PRPs), which in emergencies may be made verbally; or EPA takes other actions that are consistent with a removal.

Once a removal action is complete, a property is eligible for brownfields funding without having to obtain a property-specific funding determination. EPA's view is that, solely for the purposes of eligibility to receive brownfields funding, a removal is complete when the actions specified in the action memorandum are met, or when the contractor has demobilized and left the site (as documented in the "pollution report" or POLREP). Applicants applying for brownfields funding for sites at which removal actions are complete must include documentation of the action being complete with their funding proposal.

Parcels of facilities not affected by removal action at the same property may apply for brownfields funding and may be eligible for brownfields funding on a property-specific basis. Property-specific funding decisions will be made in coordination with the on-scene coordinator (OSC) to ensure that all removals and cleanup activities at the property are conducted in safe and protective manners and to ensure that the OSC retains the ability to address all risks and contamination.

Please note that if a federal brownfields-funded site assessment results in identifying the need for a new removal action, the grantee may continue to expend assessment grant funds on additional

assessment activities. However, any additional expenditure of federal brownfields funds and any additional site assessment activities should be conducted in coordination with the OSC for the site.

### **1.5.2 Facilities to which a permit has been issued by the United States or an authorized state under the Resource Conservation and Recovery Act (RCRA), the Federal Water Pollution Control Act, the Toxic Substances Control Act, or the Safe Drinking Water Act**

Generally, in cases where a property or a portion of a property is permitted under the Resource Conservation and Recovery Act, Section §1321 of the Clean Water Act, the Safe Drinking Water Act, and/or the Toxic Substances and Control Act, the property, or portion of the property, may not receive funding without a property-specific determination. Therefore, applicants should review the following guidance regarding which types of permitted facilities may not receive funding unless EPA makes a property-specific determination to provide funding. Applicants should note that the exclusion for permitted facilities does not extend to facilities with National Pollutant Discharge Elimination System (NPDES) permits issued under the authorities of the Federal Water Pollution Control Act, but is limited to facilities issued permits under the authorities of the Oil Pollution Act (i.e., §1321 of FWPCA).

In cases where one or more portions of a property are not eligible for funding, the applicant should identify the specific permit and situation that causes the property to be excluded. In addition, the applicant must include, within the proposal, documentation that federal brownfields funding for the assessment or cleanup of the property will further the goals established for property-specific funding determinations as described in the Brownfields FAQs at [http://www2.epa.gov/sites/production/files/2015-10/documents/fy16\\_faqs.pdf](http://www2.epa.gov/sites/production/files/2015-10/documents/fy16_faqs.pdf).

In some cases, a facility may not have a permit or order because it is not in compliance with federal or state environmental laws requiring that it obtain a permit or the facility has failed to notify EPA of its regulatory status. Such facilities are not eligible for brownfields funding. For example, a RCRA treatment unit operator is required to obtain a permit and/or notify EPA of its operation. An operator that fails to fulfill those obligations will likely not have a permit or order as EPA will be unaware of its existence. Therefore, it is EPA's view that such facilities are ineligible to receive brownfields funds as a result of their failure to comply with a basic regulatory requirement. Additional guidance on the eligibility of RCRA-permitted facilities, including facilities under administrative or court orders, including corrective action orders, is provided in the Brownfields FAQs at [http://www2.epa.gov/sites/production/files/2015-10/documents/fy16\\_faqs.pdf](http://www2.epa.gov/sites/production/files/2015-10/documents/fy16_faqs.pdf).

### **1.5.3 RCRA Sites**

#### RCRA Facilities that are Eligible for Funding

EPA's view is that the following types of RCRA facilities are eligible for brownfields funding and do not require Property-Specific Determinations:

- a. RCRA interim status facilities that are not subject to any administrative or judicial order or consent decree;
- b. RCRA interim status facilities that are subject to administrative or judicial orders that do **not** include corrective action requirements or any other cleanup provisions (e.g., RCRA §3008(a) orders without provisions requiring the owner/operator to address contamination); and

- c. parcels of RCRA facilities that are not under the scope of a RCRA permit or administrative or judicial order.

#### RCRA Facilities that Require Property-Specific Determinations

EPA's view is that the following types of RCRA facilities **may not receive funding without a property-specific determination**:

- a. RCRA-permitted facilities;
- b. RCRA interim status facilities with administrative orders requiring the facility to conduct corrective action or otherwise address contamination, including facilities with orders issued under the authorities of RCRA §3008(a), §3008(h), §3013, and §7003;
- c. facilities under court order or under an administrative order on consent or judicial consent decree under RCRA or CERCLA that require the facility to conduct corrective action or otherwise address contamination at the facility; and
- d. land disposal units that have notified EPA or an authorized state of their intent to close and have closure requirements specified in closure plans or permits.

#### **1.5.4 Land disposal units that have filed a closure notification under Subtitle C of RCRA and to which closure requirements have been specified in a closure plan or permit**

RCRA hazardous waste landfills that have submitted closure notifications, as required under 40 CFR 264.112(d) or 265.112(d), generally will not be funded. This may include permitted facilities that have filed notification of closure and for which EPA and/or an authorized state is proceeding with final closure requirements for the facility. For interim status facilities, this is done through approval of a closure plan submitted with closure notification. For permitted facilities, this is routinely done as a modification to the permit, requested by the facility at the time of closure notification.

Please note that RCRA hazardous waste landfills that have submitted closure notifications may be eligible for brownfields funding with a Property-Specific Determination.

#### **1.5.5 Sites Contaminated with PCBs**

The Brownfields Law excludes from funding eligibility portions of facilities where there has been a release of PCBs that are subject to remediation under TSCA.

EPA's view is that all portions of properties **are eligible** for brownfields site assessment grants, except where EPA has initiated an involuntary action with any person to address PCB contamination. Also, it is EPA's view that all portions of properties **are eligible** for cleanup and RLF grants, except where EPA has an ongoing action against a disposer to address PCB contamination. However, any portion of a property where EPA has initiated an involuntary action with any person to address PCB contamination and portions of properties where EPA has an ongoing action against a disposer to address PCB contamination will require a Property-Specific Determination to be eligible for brownfields funding, including:

- there is a release (or disposal) of any waste meeting the definition of "PCB remediation waste" at 40 CFR 761.3; **and**

- at which EPA has initiated an involuntary action with any person to address the PCB contamination. Such involuntary actions could include:
  - enforcement action for illegal disposal;
  - Regional Administrator’s order to characterize or remediate a spill or old disposal (40 CFR 761.50(b)(3));
  - penalty for violation of TSCA remediation requirements;
  - superfund removal action; or
  - remediation required under RCRA §3004(u) or §3004(v).

PCBs may be remediated under any one of the following provisions under TSCA:

- a. section 761.50(b)(3), the directed characterization, remediation, or disposal action;
- b. section 761.61(a), the self-implementing provision;
- c. an approval issued under §761.61(c), the risk-based provision;
- d. section 761.61(b) to the level of PCB quantification (i.e., 1 ppm in soil);
- e. an approval issued under §761.77, the coordinated approval provision;
- f. section 761.79, the decontamination provision;
- g. an existing EPA PCB Spill Cleanup Policy; or
- h. any future policy or guidance addressing PCB spill cleanup or remediation specifically addressing the remediation of PCBs at brownfield sites.

### **1.5.6 LUST Trust Fund Sites**

The Brownfields Law requires a Property-Specific Determination for funding at those sites (or portions of properties) for which assistance for response activity has been obtained under Subtitle I of RCRA from the LUST trust fund. EPA’s view is that this provision may exclude UST sites where money is being spent on actual assessment and/or cleanup of UST/petroleum contamination.

However, in cases where the state agency has used LUST trust fund money for state program oversight activities on an UST site, but has not expended LUST trust funds for specific assessment and/or cleanup activities at the site, the site would be eligible for brownfields funding and does not need a Property-Specific Determination. Such sites may receive brownfields funding on a property-specific basis, if it is determined that brownfields funding will protect human health and the environment and the funding will promote economic development or enable the creation of, preservation of, or addition to greenspace (see guidance on documenting eligibility for property-specific funding determinations provided in the Brownfields FAQs at [http://www2.epa.gov/sites/production/files/2015-10/documents/fy16\\_faqs.pdf](http://www2.epa.gov/sites/production/files/2015-10/documents/fy16_faqs.pdf)).

**Examples of sites receiving LUST trust fund monies that EPA would consider to be good candidates to receive brownfields grants or loans include:**

- a. all UST fields pilots (50 pilots);
- b. sites (or portions of properties) where an assessment was completed using LUST trust fund monies and the state has determined that the site is a low-priority UST site, and therefore, additional LUST trust fund money cannot be provided for the cleanup of petroleum contamination, but the site still needs some cleanup and otherwise is a good candidate for economic revitalization; and

- c. sites (or portions of properties) where LUST trust fund money was spent for emergency activities, but then the site was determined to be ineligible for further expenditures of LUST trust funds, yet the site needs additional funding for continued assessment and/or cleanup that will contribute to economic revitalization of the site.

### **1.6 Eligible Response Sites/Enforcement Issues**

The Brownfields Law limits EPA's enforcement and cost recovery authorities at "eligible response sites" where a response action is conducted in compliance with a state response program. Section 101(40) of CERCLA defines an "eligible response site" by referencing the general definition of a "brownfield site" in §101(39)(A) and incorporating the exclusions at §101(39)(B). The law places further limitations on the types of properties included within the definition of an eligible response site, but grants EPA the authority to include within the definition of eligible response site, and on a property-specific basis, some properties that are otherwise excluded from the definition. Such property-specific determinations must be based upon a finding that limits an enforcement will be appropriate, after consultation with state authorities, and will protect human health and the environment and promote economic development or facilitate the creation of, preservation, or addition to a park, a greenway, undeveloped property, recreational property, or other property used for nonprofit purposes. While the criteria appear similar to those for determining eligibility for funding on a property-specific basis, the determinations are distinct, will be made through a separate process, and may not be based on the same information requested in this document for property-specific funding determinations.

Also, please note that in providing funding for brownfield sites, and given that a limited amount of funding is available for brownfields grants, EPA's goal is to not provide brownfields funding to sites where EPA has a planned or ongoing enforcement action. While EPA does not intend that the existence of a planned or ongoing enforcement action will necessarily disqualify a site from receipt of brownfields funding, EPA does believe it is necessary that EPA be aware of the existence of any such action in making funding decisions. As a result, EPA will conduct an investigation to evaluate whether a site is, or will be, subject to an enforcement action under CERCLA or other federal environmental statutes. EPA is requesting that applicants identify ongoing or anticipated environmental enforcement actions related to the brownfield site for which funding is sought.

## Appendix 2 Grants.gov Proposal Submission Instructions

### A. Requirement to Submit Through [www.grants.gov](http://www.grants.gov) and Limited Exception Procedures

Applicants, except as noted below, must apply electronically through [www.grants.gov](http://www.grants.gov) under this funding opportunity based on the grants.gov instructions in this announcement. If an applicant does not have the technical capability to apply electronically through [www.grants.gov](http://www.grants.gov) because of limited or no internet access which prevents them from being able to upload the required application materials to [www.grants.gov](http://www.grants.gov), the applicant must contact [OGDWaivers@epa.gov](mailto:OGDWaivers@epa.gov) or the address listed below in writing (e.g., by hard copy, email) at *least 15 calendar days prior to the submission deadline under this announcement* to request approval to submit their application materials through an alternate method.

**Mailing Address:**

OGD Waivers  
c/o Barbara Perkins  
USEPA Headquarters  
William Jefferson Clinton Building  
1200 Pennsylvania Ave., N.W.  
Mail Code: 3903R  
Washington, DC 20460

**Courier Address:**

OGD Waivers  
c/o Barbara Perkins  
Ronald Reagan Building  
1300 Pennsylvania Ave., N.W.  
Rm # 51267  
Washington, DC 20004

In the request, the applicant must include the following information:

- Funding Opportunity Number (FON)
- Organization Name and DUNS
- Organization's Contact Information (email address and phone number)
- Explanation of how they lack the technical capability to apply electronically through [www.grants.gov](http://www.grants.gov) because of 1) limited internet access or 2) no internet access which prevents them from being able to upload the required application materials through [www.grants.gov](http://www.grants.gov).

EPA will only consider alternate submission exception requests based on the two reasons stated above and will timely respond to the request -- all other requests will be denied. If an alternate submission method is approved, the applicant will receive documentation of this approval and further instructions on how to apply under this announcement. Applicants will be required to submit the documentation of approval with any initial application submitted under the alternative method. In addition, any submittal through an alternative method must comply with all applicable requirements and deadlines in the announcement including the submission deadline and requirements regarding proposal content and page limits (although the documentation of approval of an alternate submission method will not count against any page limits).

If an exception is granted, it is valid for submissions to EPA for the remainder of the entire calendar year in which the exception was approved and can be used to justify alternative submission methods for application submissions made through December 31<sup>st</sup> of the calendar

year in which the exception was approved (e.g., if the exception was approved on March 1, 2015, it is valid for any competitive or non-competitive application submission to EPA through December 31, 2015). Applicants need only request an exception once in a calendar year and all exceptions will expire on December 31<sup>st</sup> of that calendar year. Applicants must request a new exception from required electronic submission through [www.grants.gov](http://www.grants.gov) for submissions for any succeeding calendar year. For example, if there is a competitive opportunity issued on December 1, 2015, with a submission deadline of January 15, 2016, the applicant would need a new exception to submit through alternative methods beginning January 1, 2016.

Please note that the process described in this section is only for requesting alternate submission methods. All other inquiries about this announcement must be directed to the Regional Brownfield Contact listed in Section VII. Queries or requests submitted to the email address identified above for any reason other than to request an alternate submission method will not be acknowledged or answered.

## **B. Submission Instructions**

The electronic submission of your application must be made by an official representative of your institution who is registered with [www.grants.gov](http://www.grants.gov) and is authorized to sign applications for federal assistance. For more information on the registration requirements that must be completed in order to submit an application through [www.grants.gov](http://www.grants.gov), go to [www.grants.gov](http://www.grants.gov) and click on “Applicants” on the top of the page and then go to the “Get Registered” link on the page. If your organization is not currently registered with [www.grants.gov](http://www.grants.gov), please encourage your office to designate an Authorized Organization Representative (AOR) and ask that individual to begin the registration process as soon as possible. Please note that the registration process also requires that your organization have a DUNS number and a current registration with the System for Award Management (SAM) and the process of obtaining both could take a month or more. Applicants must ensure that all registration requirements are met in order to apply for this opportunity through [www.grants.gov](http://www.grants.gov) and should ensure that all such requirements have been met well in advance of the submission deadline. Registration on [www.grants.gov](http://www.grants.gov), [www.sam.gov](http://www.sam.gov), and DUNS number assignment is FREE.

Applicants need to ensure that the AOR who submits the application through [www.grants.gov](http://www.grants.gov) and whose DUNS number is listed on the application is an AOR for the applicant listed on the application. Additionally, the DUNS number listed on the application must be registered to the applicant organization’s SAM account. If not, the application may be deemed ineligible.

To begin the application process under this grant announcement, go to [www.grants.gov](http://www.grants.gov) and click on “Applicants” on the top of the page and then “Apply for Grants” from the dropdown menu and then follow the instructions accordingly. Please note: apply through [www.grants.gov](http://www.grants.gov), you must use Adobe Reader software and download the compatible Adobe Reader version. For more information about Adobe Reader, to verify compatibility, or to download the free software, please visit <http://www.grants.gov/web/grants/support/technical-support/software/adobe-reader-compatibility.html>.

You may also be able to access the application package for this announcement by searching for

the opportunity on [www.grants.gov](http://www.grants.gov). Go to [www.grants.gov](http://www.grants.gov) and then click on “Search Grants” at the top of the page and enter the Funding Opportunity Number, **EPA-OSWER-OBLR-15-04**, or the CFDA number that applies to the announcement (**CFDA 66.818**), in the appropriate field and click the “Search” button. Alternatively, you may be able to access the application package by clicking on the “Application Package” button at the top right of the synopsis page for the announcement on [www.grants.gov](http://www.grants.gov). To find the synopsis page, go to [www.grants.gov](http://www.grants.gov) and click “Browse Agencies” in the middle of the page and then go to “Environmental Protection Agency” to find the EPA funding opportunities.

**Proposal Submission Deadline:** Your organization’s AOR must submit your complete application package electronically to EPA through [www.grants.gov](http://www.grants.gov) **no later than December 18, 2015, 11:59 p.m. EDT**. Please allow for enough time to successfully submit your application process and allow for unexpected errors that may require you to resubmit.

Please submit all of the application materials described below using the [www.grants.gov](http://www.grants.gov) application package that you downloaded using the instructions above. For additional instructions on completing and submitting the electronic application package, click on the “Show Instructions” tab that is accessible within the application package itself.

Applications submitted through [www.grants.gov](http://www.grants.gov) will be time and date stamped electronically. If you have not received a confirmation of receipt from EPA (not from grants.gov) within 30 days of the proposal deadline, please contact Jerry Minor-Gordon at [minor-gordon.jerry@epa.gov](mailto:minor-gordon.jerry@epa.gov). Failure to do so may result in your proposal not being reviewed.

## **Application Materials**

**The following forms and documents are mandatory under this announcement.**

- I. Application for Federal Assistance (Standard Form 424)
- II. Budget Information for Non-Construction Programs (Standard Form 424A)
- III. Transmittal Letter and Narrative Proposal. See Section IV.C for details on the content of the Transmittal Letter and Narrative Proposal, and the associated page limits.
- IV. Required Attachments. See Section IV.C of this announcement.

## **C. TRANSMISSION DIFFICULTIES**

1. Once the application package has been completed, the “Submit” button should be enabled. If the “Submit” button is not active, please call Grants.gov for assistance at 1-800-518-4726. Applicants who are outside the U.S. at the time of submittal and are not able to access the toll-free number may reach a Grants.gov representative by calling 606-545-5035. Applicants should save the completed application package with two different file names before providing it to the AOR to avoid having to re-create the package should submission problems be experienced or a revised application needs to be submitted.
2. Submitting the application. The application package must be transferred to [www.grants.gov](http://www.grants.gov)



by an AOR. The AOR should close all other software before attempting to submit the application package. Click the “submit” button of the application package. Your Internet browser will launch and a sign-in page will appear. **Note: Minor problems are not uncommon with transfers to [www.grants.gov](http://www.grants.gov). It is essential to allow sufficient time to ensure that your application is submitted to [www.grants.gov](http://www.grants.gov) BEFORE the proposal submission deadline.** The Grants.gov support desk operates 24 hours a day, seven days a week, except Federal Holidays. A successful transfer will end with an on-screen acknowledgement. For documentation purposes, print or screen capture this acknowledgement. If a submission problem occurs, reboot the computer – turning the power off may be necessary – and re-attempt the submission. Note: [www.grants.gov](http://www.grants.gov) issues a “case number” upon a request for assistance.

3. If you are experiencing transmission difficulties that result in a late transmission, no transmission, or rejection of the transmitted proposal, follow the guidance below. EPA may decide to review the proposal if it is clearly demonstrated that these transmission difficulties were due solely as a result of problems associated with the transfer to [www.grants.gov](http://www.grants.gov). The decision regarding acceptance of the proposal for review will be made by EPA and provided to the applicant within ten working days of the request. All e-mails, as described below, are to be sent to Jerry Minor-Gordon at [minor-gordon.jerry@epa.gov](mailto:minor-gordon.jerry@epa.gov) with the Applicant Name in the Subject Line.
  - (1) Late transfer or no transmission due to electronic submission problems - should electronic submission problems result in the proposal being transferred to [www.grants.gov](http://www.grants.gov) after 11:59 p.m. Eastern Time on the solicitation closing date, send an e-mail documenting the problem, include the Grants.gov “case number” and attach the entire proposal.
  - (2) [www.grants.gov](http://www.grants.gov) rejection of proposal - if a notification is received from [www.grants.gov](http://www.grants.gov) stating that the proposal has been rejected for reasons other than late submittal, immediately send an email which includes the notice provided by [www.grants.gov](http://www.grants.gov) documenting rejection and attach the entire proposal.

Applications submitted through grants.gov will be time and date stamped electronically. If you have not received a confirmation of receipt from EPA (not from grants.gov) within 30 days of the proposal deadline, please contact Jerry Minor-Gordon at [minor-gordon.jerry@epa.gov](mailto:minor-gordon.jerry@epa.gov). Failure to do so may result in your proposal not being reviewed.

### Appendix 3 Regional Priorities Form/Other Factors Checklist

Name of Applicant: \_\_\_\_\_

#### *Regional Priorities Other Factor*

If your proposed Brownfields Assessment project will advance the regional priority(ies) identified in Section I.E, please indicate the regional priority(ies) and the page number(s) for where the information can be found within your 15-page narrative. Only address the priority(ies) for the region in which your project is located. EPA will verify these disclosures prior to selection and may consider this information during the selection process. If this information is not clearly discussed in your narrative proposal, it will not be considered during the selection process.

Regional Priority Title(s):

\_\_\_\_\_

\_\_\_\_\_

Page Number(s): \_\_\_\_\_

#### *Assessment Other Factors Checklist*

Please identify (with an **x**) which, if any of the below items apply to your community or your project as described in your proposal. To be considered for an Other Factor, you must include the page number where each applicable factor is discussed in your proposal. EPA will verify these disclosures prior to selection and may consider this information during the selection process. If this information is not clearly discussed in your narrative proposal or in any other attachments, it will not be considered during the selection process.

<b>Other Factor</b>	<b>Page #</b>
<i>None of the Other Factors are applicable.</i>	
Community population is 10,000 or less.	
Applicant is, or will assist, a federally recognized Indian tribe or United States territory.	
Targeted brownfield sites are impacted by mine-scarred land.	
Project is primarily focusing on Phase II assessments.	
Applicant demonstrates firm leveraging commitments for facilitating brownfield project completion by identifying amounts and contributors of funding in the proposal and have included documentation.	
Recent (2008 or later) significant economic disruption has occurred within community, resulting in a significant percentage loss of community jobs and tax base.	

<p>Applicant is one of the 24 recipients, or a core partner/implementation strategy party, of a “manufacturing community” designation provided by the Economic Development Administration (EDA) under the Investing in Manufacturing Communities Partnership (IMCP). To be considered, <b>applicants must clearly demonstrate in the proposal the nexus between their IMCP designation and the Brownfield activities. Additionally, applicants must attach documentation</b> which demonstrate either designation as one of the 24 recipients, or relevant pages from a recipient’s IMCP proposal which lists/describes the core partners and implementation strategy parties.</p>	
<p>Applicant is a recipient or a core partner of HUD-DOT-EPA Partnership for Sustainable Communities (PSC) grant funding or technical assistance that is directly tied to the proposed Brownfields project, and can demonstrate that funding from a PSC grant/technical assistance has or will benefit the project area. Examples of PSC grant or technical assistance include a HUD Regional Planning or Challenge grant, DOT Transportation Investment Generating Economic Recovery (TIGER), or EPA Smart Growth Implementation or Building Blocks Assistance, etc. To be considered, <b>applicant must attach documentation.</b></p>	
<p>Applicant is a recipient of an EPA Brownfields Area-Wide Planning grant.</p>	