



Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements Program

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Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements Program

OVERVIEW

Federal Agency Name: U.S. Environmental Protection Agency; Office of Brownfields Cleanup and Redevelopment (OBCR)

Federal Funding Opportunity Title: Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements Program, Request for Applications (RFA)

Announcement Type: This is an initial announcement of a funding opportunity.

Funding Opportunity Number: BFRES -04

Catalog of Federal Domestic Assistance (CFDA) Number: 66.814, Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements Program, authorized under Comprehensive Environmental Response, Compensation, and Liability Act of 1980, as amended, (CERCLA or Superfund), 42 U.S.C. 9604(k)(6).

Dates: Initial proposals must be submitted to U.S. EPA by November 16, 2004. Award announcements are expected to be made by February 2005.

Executive Summary:

EPA's brownfields program is built upon four basic goals and principles – protecting the environment, partnering for success, stimulating the marketplace, and promoting sustainable reuse. As the federal leader of the national Brownfields Program, EPA is committed to supporting training, research and technical assistance that will further the goals of the program and provide enhanced knowledge, tools, and processes to the broad range of non-Federal brownfields stakeholders (e.g., state, local and other non-governmental entities)

On January 11, 2002, President George W. Bush signed into law the Small Business Liability Relief and Brownfields Revitalization Act. This law expands potential federal financial assistance for training, research, and technical assistance related to brownfields cleanup and redevelopment. The new law requires the U.S. Environmental Protection Agency (EPA) to publish guidance to assist applicants in preparing grant proposals. These guidelines implement that requirement for training, research, and technical assistance grants and cooperative agreements.

Funding for the brownfields training, research, and technical assistance grants and cooperative agreements is authorized under §104(k)(6) of the Comprehensive Environmental Response, Compensation, and Liability Act of 1980, as amended, (CERCLA or Superfund), 42

U.S.C. 9604(k)(6). This statute authorizes EPA to provide, or fund eligible entities or nonprofit organizations to provide brownfields training, research, and technical assistance to individuals and organizations. EPA awards grants and cooperative agreements authorized by §104(k) under a statutory ranking system that includes factors relating to community need, impact on human health and the environment, stimulation or leveraging of other funds, eligibility for funding from other sources, effective use of existing infrastructure. In addition to the statutory factors, EPA also evaluates applicants based on their ability to manage grants and other policy based factors intended to promote effective stewardship of Federal funds.

The need for training, research, and technical assistance of increasing depth and breadth has expanded as the Brownfields program has grown. Projects addressing various topics and reaching various stakeholders will allow for sound decision-making and will help cleanup and revitalize brownfields properties.

The Office of Brownfields Cleanup and Redevelopment of the U.S. EPA's Office of Solid Waste and Emergency Response is soliciting proposals for training, research and technical assistance to focus brownfields programmatic (goals) attention on the environmental and human health conditions in low income communities and socio-economically disadvantaged communities unable to draw on alternative sources of funding for assessment or cleanup of brownfields and their subsequent redevelopment and to provide technical assistance to communities which will enable them to stimulate economic and other beneficial reuses.

These guidelines provide eligible applicants an opportunity to apply for federal funding for brownfields-related training, research or technical assistance. Subsequent sections of these guidelines provide definitions of training, research, and technical assistance, as well as a description of the subject areas for which EPA is interested in supporting projects for the benefit of brownfields stakeholders.

The award will be in the form of a cooperative agreement, which entails substantial involvement by the U.S. EPA to assist successful applicants in carrying out their project(s) effectively. Eligible applicants include governmental applicants and non-profit organizations. Public and non-profit private universities are eligible as well. For-profit organizations are not eligible and may not submit "joint" applications with eligible applicants. See Section 4.1, *Eligible Applicants*.

Funding for financial assistance under CERCLA 104(k)(6) is limited, by statute, to no more than 15% of the amount available for CERCLA 104(k) grants. EPA estimates that \$800,000 will be available to make assistance agreement awards under this competition and that 2-3 grants may be awarded depending on the quality of the applications. EPA intends to fund successful applicants for periods ranging from 1-5 years, contingent upon the availability of funds. The Agency reserves the right to offer partial funding for specific components of an application(s). EPA may also decide to make only one award or no awards, if warranted, by changes in Agency funding obligations.

Guidelines will be published on the EPA brownfields website, www.epa.gov/brownfields and at the Federal Grants Opportunities website at www.fedgrants.gov. Proposals must be postmarked by the U.S. Postal Service or received by EPA at the address indicated by November 16, 2004. No late proposals will be accepted. No fax or e-mail submissions will be accepted. The Standard Form 424 (SF424) **must be included** with your proposal and may be obtained by following the links to SF forms on the following web site: www.gsa.gov/forms. Award announcements are expected to be made in February 2005. EPA reserves the right to reject all applications and make no awards.

Section I: FUNDING OPPORTUNITY DESCRIPTION

Under CERCLA 104(k)(6), EPA is authorized to provide financial assistance which facilitates “the inventory of brownfield sites, site assessments, remediation of brownfield sites, community involvement and site preparation” to focus brownfields programmatic (goals) attention on the environmental and human health conditions in low income communities and socio-economically disadvantaged communities unable to draw on alternative sources of funding for assessment or cleanup of brownfields and their subsequent redevelopment and to provide technical assistance to communities which will enable them to stimulate economic and other beneficial reuses. Under this funding announcement, EPA will only consider proposals that have an emphasis on the following subject areas:

- Community Involvement in Low-income and Socio-Economically Disadvantaged Communities
- Integrated Approaches to Brownfields Cleanup and Redevelopment in Low-income and Socio-Economically Disadvantaged Communities
- How the Economics of Brownfields Cleanup and Redevelopment Impact Low-income and Socio-Economically Disadvantaged Communities

These subject areas, which are described in *Section I.1*, below, reflect EPA’s understanding of the current needs of various state, local, and tribal brownfields stakeholders regarding research, training and technical assistance that will facilitate the coordination of brownfields prevention, assessment, cleanup and sustainable reuse in low-income and socio-economically disadvantaged communities. EPA will not consider funding applications for projects that do not fit into the subject areas described below. Projects may, but need not, have components that fit under more than one subject area. EPA expects the applicant to submit a realistic proposal that will provide meaningful outcomes. *Note: EPA cannot legally fund projects that provide products or services for the direct use or benefit of EPA or other federal agencies.*

Sample topic areas for projects are provided in *Appendix B*. The list of sample topics is representative of topics for which EPA would be interested in supporting training, research, or technical assistance. However, the list is not exhaustive; EPA will consider projects other than those related to the sample topics provided the project relates to the three subject areas described

above. Additionally, selecting from the sample topics to develop your project does not guarantee an award.

EPA has previously provided funding to support brownfields training, research or technical assistance. This RFA seeks to support and further the work of the brownfields program by focusing further brownfields training, research or technical assistance on the environmental and human health conditions in low income and socio-economically disadvantaged communities unable to draw on alternative sources of funding for assessment or cleanup of brownfields and their subsequent redevelopment and to provide technical assistance to communities which will enable them to stimulate economic and other beneficial reuses.

This RFA is being issued by the Office of Brownfields Cleanup and Redevelopment in EPA's Office of Solid Waste and Emergency Response which seeks to encourage the cleanup and sustainable redevelopment of Brownfields.

Section I.1: Subject Areas for Training, Research, and Technical Assistance Cooperative Agreements

These subject areas reflect EPA's understanding of the current needs of various state, local, and tribal brownfields stakeholders as they pertain to and support the brownfields program and issues related to the environmental and human health conditions in low income and socio-economically disadvantaged communities unable to draw on alternative sources of funding for assessment or cleanup of brownfields and their subsequent redevelopment and to provide technical assistance to communities which will enable them to stimulate economic and other beneficial reuses.

Section I.2: Subject Area Descriptions

- Community Involvement in Low-income and Socio-Economically Disadvantaged Communities

Research, technical assistance and training in this subject area must address brownfields issues from a community-based perspective. In particular, projects must focus on the challenges facing low-income, socio-economically disadvantaged communities including social, economic, and health impacts surrounding brownfields properties. Projects may also examine and develop ways of enhancing the level of constructive community participation and coordination with local government officials when making brownfields-related decisions. Local government coordination on brownfields redevelopment in various scenarios and for specific reuses such as ports and urban rivers; petroleum sites; and affordable housing may also be examined. Training and technical assistance, as well as research projects should aim to provide communities facing such challenges with information, tools and technology to better understand or participate in the brownfields cleanup and redevelopment process, or to understand the impacts of living near a potentially contaminated brownfields property.

- Integrated Approaches to Brownfields Cleanup and Redevelopment in Low-income and Socio-Economically Disadvantaged Communities

Projects in this subject area must explore linkages between brownfields and other environmental, economic, and social issues, including: port and waterfront utilization, transportation planning, city and regional planning, sustainable development, energy issues, air and water quality issues, and green building design approaches, particularly as these issues may relate to low-income and socio-economically disadvantaged communities facing environmental and brownfields challenges. Training, technical assistance, and research outputs must aim to increase knowledge of linkages amongst various types of cleanup, redevelopment and planning efforts, and to increase coordination amongst such efforts.

- How the Economics of Brownfields Cleanup and Redevelopment Impact Low-income and Socio-Economically Disadvantaged Communities

Projects in this subject area must examine the economic issues surrounding brownfields redevelopment in communities facing environmental and brownfields challenges, from financing brownfields cleanup and redevelopment to market forces that may help or hinder brownfields cleanup and redevelopment. Training, technical assistance, and research outputs must aim to increase state, local, and tribal stakeholders' knowledge base of economic issues allowing for informed decision-making on cleaning up and revitalizing brownfields sites.

Section II: AWARD INFORMATION

As noted in the Executive Summary, EPA estimates that \$800,000 will be available to fund successful applications under this funding announcement. EPA expects to award 2-3 assistance grants under this solicitation. Applicants may propose single or multi-year projects with funding periods ranging from 1-5 years. EPA expects to award funds in February 2005. Funding in subsequent years is not guaranteed and will depend on the availability of funds and the recipient's performance.

EPA will only consider applications for \$100,000 or less in the first year of funding, and no more than \$300,000 over the entire funding period. The Agency will reject applications that exceed these amounts. The Agency reserves the right to offer partial funding for components of an applicant's project. EPA may also decide to make only one award or no awards, if warranted, by changes in Agency funding obligations.

Applicants must provide detailed descriptions of the activities proposed for the first-year under this competition, as well as a description of what follow-up activities would be conducted in subsequent years, if additional funding is made available. The assistance agreement awards will be in the form of cooperative agreements. Cooperative agreements entail substantial Federal involvement in the project. Such involvement may include US EPA review and approval of project scope and phases; EPA participation in and collaboration on various phases of the work; approval of the substantive terms of contracts; EPA review of all draft and final products; and regular e-mail, phone, and conference calls. Although EPA will review and provide comments on all draft and final products, the successful applicant will make the final decision on the content of these products.

Section III: ELIGIBILITY INFORMATION

Section III.1: Eligible Applicants

Eligibility is limited to governmental applicants and non-profit organizations. Public and non-profit private universities are eligible as well. For profit organizations are **not** eligible, and may not submit “joint” applications with eligible applicants.

Eligible governmental applicants include a general purpose unit of local government, a 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 government; a governmental entity created by a state legislature; a regional council or group of general purpose unit of local government; a redevelopment agency that is chartered or otherwise sanctioned by a state; a state; “an Indian Tribe (other than in Alaska), or an Alaskan Native Regional Corporation and an Alaska Native Village Corporation as those terms are defined in the Alaska Native Claims Settlement Act(43 U.S.C. 1601 and following) and the Metlakatla Indian Community. State colleges, community colleges, and universities may be eligible as a governmental entity created by a state, depending on state law.

Eligible nonprofit organizations include any organizations that meet the definition of a nonprofit in Section 4(6) of the Federal Financial Management Assistance Act of 1999, Public Law 106-107, 31 U.S.C. 6101 Note. This definition includes nonprofit universities and educational institutions. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are **not** eligible to apply.

Groups of two or more eligible applicants may choose to form a coalition and submit a single application for these assistance agreements. Intertribal consortia, except consortia comprised on ineligible Alaska tribes, are eligible to apply as well. Coalitions must identify which eligible organization will be the recipient of the assistance agreement, and which eligible organization(s) will be subawardees of the recipient. Subawards must be consistent with the definition of that term in 40 CFR 30.2(ff). The recipient must administer the assistance agreement, is accountable to EPA for proper expenditure of the funds, and will be the point of contact for the coalition. As provided in 40 CFR 30.2(gg), subrecipients are accountable to the recipient for proper use of EPA funding.

For profit organizations may **not** be part of a coalition application. Any contracts for services or products funded with EPA financial assistance must be awarded under the competitive procurement provisions of 40 CFR Part 30, or Part 31 as applicable. Naming a particular individual consultant, firm or organization in an application does not exempt a successful applicant from following competitive procurement procedures.

Section III.2: Cost-sharing or Matching

There are no match or cost-sharing requirements. However, the extent to which an award will leverage other funds for environmental assessment or remediation, and subsequent reuse, of an area in which one or more brownfields sites are located is a statutory ranking factor. See, *Section IV.4 - Ranking Criteria 6: Leveraging of Resources (15 Points)*.

Section III.3: Other

Applicants may submit **only one proposal**. EPA will reject all applications from applicants who submit more than one.

Applicants must meet all threshold criteria as well as the maximum funding amounts, due dates, and other administrative requirements described. Threshold criteria will be evaluated on a pass/fail basis. Failure to meet *all* of these criterion will render an application ineligible; ineligible applications will not be reviewed. If an application fails to meet threshold criteria, EPA Headquarters may seek clarification from an applicant regarding its response to the threshold criteria, if appropriate. (*Note: EPA will not seek clarification on an applicant's Cover Letter or their response to any ranking criteria*).

Section IV: APPLICATION AND SUBMISSION INFORMATION

Section IV.1: How to Get Application Materials

There are format and content requirements which are described under *Section IV.2, Content and Form of Application Submission*.

Guidelines will be published on the EPA brownfields website, www.epa.gov/brownfields and at the Federal Grants Opportunities website at www.fedgrants.gov. The Standard Form 424 (SF424) **must be included** with your proposal and may be obtained by following the links to SF forms on the following web site: www.gsa.gov/forms.

Section IV.2: Content and Form of Application Submission

To be considered complete and eligible for review, all proposals must include a cover letter, summary information page, budget and budget narrative, project description, response to Threshold Criteria; response to Ranking Criteria. EPA **will reject** applications that do not meet these requirements. The application must not exceed 15 single-sided pages in length, not including the Cover Page and Budget/Budget Narrative information requested below. Pages in excess of this limit will be removed and **not** evaluated. Applicants who exceed the 15 page limit bear the risk that their proposal will be rejected on threshold grounds or ranked low if important information is included on the pages which reviewers do not consider.

Proposals may not use point type smaller than 11 point type, single sided paper and must have page margins all-around of at least one inch. Applicants who do not meet this formatting

standard will lose 5 points under *Section IV.4: - Ranking Criteria 5: Institutional Capacity*. The following format is required for all proposals:

- COVER LETTER (*does not count against page limit*)

The cover letter that accompanies your proposal must be signed by an official with the authority to commit your organization to the project and must be written on your organization's official letterhead. (*Note: EPA will not seek clarification of an applicant's Cover Letter*).

- SUMMARY INFORMATION PAGES

The summary information page must include the **Requested Assistance Type(s) and Funding**. See *Appendix C* and the following information:

- The title and number of this request (Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements Program BFRES-04)
- Project title and location
- Applicant name, address, telephone and fax numbers, and e-mail address
- Name and title of project contact (including how to reach if different from above)
- Type of applicant organization (e.g., nonprofit, local government, state government, etc.)
- Summary budget information (i.e. amount requested from U.S. EPA; amount)
- Provide on a separate page the **Requested Assistance Type(s) and Funding**. See *Appendix C*.

- BUDGET AND BUDGET NARRATIVE (*does not count against page limit*)

- BUDGET. Provide a comprehensive proposed budget for your training, research and/or technical assistance project. This budget narrative must include cost estimates for each of the proposed project activities to be conducted using EPA funds. EPA does not require that applicants include a matching or cost share. Applicants may use the budget categories presented in the chart below to organize their budget. Please note that use of EPA financial assistance compensation for consultants is limited under EPA's appropriations act to the daily equivalent of the rate paid to Federal employees at the ES-IV level. See 40 CFR 30.27(b).
- *Note: As financial assistance will be awarded incrementally, it is important that you provide yearly budgets and a total budget for your project in your proposal. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds. Also note the funding limitations (\$100,000 for the first year and \$300,000 for the entire*

project) described in Section II: AWARD INFORMATION. EPA will reject applications which exceed these funding limitations.

Tasks				
Budget Categories				
Personnel				
Travel				
Equipment				
Supplies				
Contractual				
Other				

- BUDGET NARRATIVE. Provide a budget narrative to accompany the budget and explain each activity, including how it is relevant to the EPA funding authority and to the objective of providing training or technical assistance or conducting research. Describe how each activity and cost is relevant to the EPA funding authority.

For further restrictions on costs see *Appendix A for a description of prohibited administrative costs and eligible programmatic costs.* and *Section V.3 - Additional Considerations below.*

- PROJECT DESCRIPTION
 - ABSTRACT. Provide a 5-10 line abstract of the proposal.
 - EXPERIENCE. Provide information describing your experience in providing training, or technical assistance or conducting research related to complex environmental and brownfields and/or technical subject matter.
 - STAKEHOLDERS RELATIONSHIPS. Provide information describing your relationships with stakeholders in the brownfields community and your knowledge of brownfields issues particularly as they relate to those communities.
- RESPONSE TO THRESHOLD CRITERIA

Provide your response to Threshold Criteria.. If an application fails to meet threshold criteria, EPA Headquarters may seek clarification from an applicant regarding its response to the threshold criteria, if appropriate.

- RESPONSE TO RANKING CRITERIA

Provide your response to the Ranking Criteria. Your response must address each criterion or provide an explanation for why a particular criterion is not applicable. (Note: EPA will not seek clarification on an applicant's response to any ranking criteria).

- ATTACHMENTS

Include attachments as appropriate. Attachments must be kept to a minimum . Please do not include photographs. Do not include responses to ranking criteria as attachments.

Section IV.3: Selection Criteria - Threshold Criteria

To be eligible for this Brownfields training, research and technical assistance announcement, applicants must meet all of the following threshold criteria as well as the maximum funding amounts, due dates, and other administrative requirements described above. Threshold criteria will be evaluated on a pass/fail basis. Failure to meet *all* of these criterion will render an application ineligible; ineligible applications will not be reviewed. If an application fails to meet threshold criteria, EPA Headquarters may seek clarification from an applicant regarding its response to the threshold criteria, if appropriate. (*Note: EPA will not seek clarification on an applicant's Cover Letter or their response to any ranking criteria*).

- Threshold Criterion 1: *Applicant Eligibility*

Describe how you are an eligible applicant for a training, research, or technical assistance grant. See description of eligible applicant *Section III.1: - Eligible Applicants*.

EPA welcomes and encourages applications from coalitions of eligible applicants, but a single eligible applicant must be identified as the legal recipient. See *Section III.1* for additional information on coalition applications.

- Threshold Criterion 2: *Knowledge of Brownfields Issues*

The applicant must provide demonstrated understanding and experience with the Brownfields program, including the impacts of the recent brownfields legislation. Provide evidence of your understanding of the brownfields program and examples of your involvement in brownfields-related activities, including your roles and responsibilities in such activities.

- Threshold Criterion 3: *Subject Matter*

Applicants must briefly explain how their proposed project(s) fall within one or more of the eligible subject matters described in *Section 1.1: Subject Areas for Training, Research, and Technical Assistance Cooperative Agreements*. Applicants may also cross refer to other section of their application to meet this criterion.

Section IV.4: Selection Criteria - Ranking Criteria

Respond to each of the following 8 ranking criteria. If a particular criterion is not applicable to your project, please provide an explanation.

- Ranking Criteria 1: *Past Performance (20 points)*
 - a. Describe your history of managing federal funds generally. You must include information on all adverse audit findings made within the last five years and special or “high risk” terms and conditions imposed as a result of grant compliance issues within the last five years.
 - b. Describe your history of providing required reports and other project deliverables in a timely manner.
 - c. Identify and describe successful environmental outcomes from your Federally funded activities, including projects that are similar to the one(s) covered by your application.

Note: If you have not previously received Federal funds, you may provide a history of your past performance with private funding, or funding awarded by state, tribal or local governments. Applicants who have not performed projects with outside financing may provide information regarding academic or community projects.

- Ranking Criteria 2: *Constituent/Community Need (20 points)*
 - a. Provide a detailed description of the target state, local, or tribal constituency or community that the project will benefit.
 - b. Characterize the impact of brownfields on your constituency(ies) or community(ies) by describing the extent of brownfields (e.g., size, number, and location) and the economic, health, and/or environmental impacts of the brownfields.
 - c. Describe the extent to which a grant would meet the needs of a community(ies) or constituency(ies) that has an inability to draw on other sources of funding for environmental remediation and subsequent redevelopment of the area in which a brownfield site is located because of the small population or low income of the community(ies) or constituency(ies).
- Ranking Criteria 3: *Impact on human health and the environment (20 points)*
 - a. Describe the extent to which a grant would address or facilitate the identification and reduction of threats to human health and the environment, including environmental and human health conditions in low income communities and socio-economically disadvantaged communities unable to draw on alternative sources of funding for assessment or cleanup of brownfields and their subsequent redevelopment and to provide technical assistance to communities which will enable them to stimulate economic and other beneficial reuses.
 - b. Describe the extent to which a grant would facilitate the creation of, preservation of,

or addition to a park, a greenway, undeveloped property, recreational property or other property used for nonprofit purposes.

- Ranking Criteria 4: *Stakeholder Involvement* (15 points)

Describe the extent to which a grant would foster involvement of local communities in the process of making decisions relating to cleanup and future use of brownfield properties.

- Ranking Criteria 5: *Institutional Capacity* (10 points)

a. Describe your organization's ability to conduct sound research, and/or effective training, and/or effective technical assistance related to brownfields. This can be demonstrated through a description of personnel and other resources of the organization.

b. Describe your ability to manage this grant, including your financial management and procurement system, or describe the system(s) you have in place to hire the requisite expertise.

- Ranking Criteria 6: *Leveraging of Resources* (15 points)

a. Describe the extent to which your project will stimulate the availability of other funds for environmental assessment or remediation, and subsequent reuse, of an area in which one or more brownfields sites are located.

b. Describe your plan for obtaining additional financial and in kind support for your project. Applicants are encouraged to provide information regarding resources (cash/in-kind services) that they, or a project partner would commit to brownfields research, training, and/or technical assistance. As noted above, a formal match is not required. EPA will consider leveraged commitments as part of this ranking factor. Leveraged resources are not limited to eligible and allowable costs under this announcement.

Note: Under OMB Circulars, EPA financial assistance cannot be used for fund-raising. Therefore, any costs associated with fund-raising must not be included in the budget for your proposal or charged to your EPA cooperative agreement if your proposal is successful. In addition, you must make clear, in any solicitation for funds that your organization, and not EPA is asking for funding. You cannot imply that EPA endorses any fund-raising activities in connection with your project. You must also make clear to donors that any gift to the recipient for use in connection with brownfields training, research, and/or technical assistance will go solely toward defraying your expenses, not EPA.

- Ranking Criteria 7: *Objectives and Plans* (15 points)

a. Describe the objectives of your proposed project.

b. For training projects, provide a course outline as an attachment and include a list of training tools and materials that will be provided to trainees.

c. For research projects, provide a project outline or research hypothesis as an attachment.

d. For technical assistance projects, provide (as attachments) a description of the specific topics for which technical assistance will be provided, as well as a list of any tools and materials that will be provided.

- Ranking Criteria 8: *Quality Assurance/Quality Control* (10 points)
 - a. Describe monitoring and quality assurance and project management activities. For example, describe management tools, management plans, scheduling tools, organizational charts, and any other methods and tools you will use to ensure timely, efficient, and coordinated completion of tasks. Describe your quality assurance/quality control procedures and how they will ensure development of high quality final products.
 - b. Provide a timetable showing start and completion dates for significant tasks.
 - c. Describe an ongoing evaluation process that will assess the management of the grant and achievement of goals. Describe how an ongoing evaluation process will be accomplished.
 - d. Describe any reports or other deliverables you plan to provide to EPA as documentation of your project's progress and success.

Section IV.5: Submission Dates and Times

Applicants will be given approximately 60 days from the date of publication of these competition guidelines for the submission of proposals. Guidelines will be published on the EPA brownfields website, www.epa.gov/brownfields and proposals must be postmarked by the U.S. Postal Service or received by EPA at the address indicated by November 16, 2004. No late proposals will be accepted. No fax or e-mail submissions will be accepted. The Standard Form 424 (SF424) **must be included** with your proposal and may be obtained by following the links to SF forms on the following web site: www.gsa.gov/forms.

Section IV.6: Other Submission Requirements

Applicants must submit **one original and three copies** of their full proposal. The full proposal includes the cover letter, summary information page, project description, budget and budget narrative, responses to threshold and ranking criteria, and attachments. All applications must be submitted in paper copy in accordance with the requirements stated above. No fax or e-mail submissions will be accepted.

Applications must be postmarked by the U.S. Postal Service or received by EPA at the address below by November 16, 2004. The delivery address for submitting your proposal will vary depending on whether you are mailing your proposal or arranging for hand delivery. If you are sending your proposal via hand delivery (e.g., commercial delivery service, courier or some other means) send it to:

Linda Garczynski
U.S. EPA
Office of Brownfields Cleanup and Redevelopment
Office of Solid Waste and Emergency Response
1301 Constitution Avenue N.W.
Room 2402
Washington, D.C. 20004

If you are mailing your proposal, send it to:

Linda Garczynski
U.S. EPA Office of Brownfields Cleanup and Redevelopment
Office of Solid Waste and Emergency Response
1200 Pennsylvania Avenue N.W.
Mail code 5105 T
Washington, D.C. 20460

Please note that there may be substantial delays in conventional mail service to U.S. EPA due to heightened security screening.

Section V. APPLICATION REVIEW INFORMATION

Section V.1: Criteria

See *Section IV : Application and Submission Information. (IV.3 and IV.4)*

Section V.1: Review and Selection Process

Applications will be evaluated and ranked by an EPA evaluation panel based on information the applicant provides in the application and related attachments. EPA evaluation panel members may verify the accuracy of any information an applicant provides in its application. The EPA evaluation panel will score each eligible application, rank the applications, and forward the recommended rankings to Senior Agency management for final ranking decisions. In making final decisions, Senior Agency management may also consider such factors as geographic diversity, project diversity, avoiding duplication of effort, and applicant diversity (i.e., type(s) of organizations) in deciding which applicant's to approve for funding. As noted, the Agency reserves the right to offer partial funding for specific components of an applicant's project or make no awards.

Section V.2: Additional Considerations

EPA has drafted a proposed new Order that formally documents EPA's policy on research misconduct, entitled, Policy and Procedures for Addressing Research Misconduct, which establishes the policy on research misconduct that governs all research conducted, sponsored or funded, in whole or in part, by EPA. The proposed new Order is in response to legislation, issued on December 6, 2000, (65 Federal Register 76260), that requires all Federal Agencies that conduct or support research to implement a uniform policy on research misconduct. The recipient of a research cooperative agreement must agree to abide by the policies and procedures set forth in this order and any subsequent orders which supercede it.

Section V.3: Funding Restrictions

Funding is only available for the activities authorized under CERCLA 104(k)(6) and the terms of this funding announcement. All costs incurred under this program must be allowable under the applicable OMB Cost Circulars (A-21 for universities, A-87 for governments, and A-122 for nonprofit organizations) and eligible for funding under EPA's appropriations authority. Ineligible and unallowable costs include lobbying, entertainment, and litigation against the

Federal government.

In accordance with CERCLA 104(k)(4)(B)(i)(III), EPA cannot fund a successful applicant's administrative costs. Prohibited administrative costs include proposal preparation costs and a successful applicant's indirect costs. See Appendix A for a detailed description of prohibited administrative costs and eligible programmatic costs.

Pre-award costs are governed by 40 CFR 30.25(f) and 40 CFR 31.23, as applicable. EPA will not fund construction activity under this announcement. Equipment costs are allowable only with the prior written consent of EPA.

Applicants must comply with the procurement requirements of the EPA financial assistance regulations, 40 CFR Part 30 for nonprofit organizations, and 40 CFR Part 31 for states, tribes, and local governments. Subawards/subgrants must be consistent with the definitions of these terms in 40 CFR 30.2 (ff) and 40 CFR 31.3 "*Subgrant*," as applicable. EPA encourages applicants to compete subgrants.

Section VI: AWARD ADMINISTRATION INFORMATION

Section VI.1: Announcement and Award Dates

EPA anticipates notifying applicants who fail one or more of the threshold criteria or who are otherwise ineligible (e.g. excessive funding requests) within 15 working days of the Agency's decision. The Agency anticipates announcing selections under this competition by February 2005. EPA expects to provide written notification in February 2005 to applicants whose applications are eligible but are not selected for funding by Senior Agency management.

Section VI.2: Award Notices

Awards are not final until the successful applicants receive an official notice of award from EPA's Grants Administration Division (GAD). EPA will announce award recipients on the U.S. EPA Brownfields web site (www.epa.gov/brownfields). This information will be posted within 30 days after GAD issues a written offer of award to the recipient.

Pre-award costs are governed by 40 CFR 30.25(f) and 40 CFR 32.23, as appropriate. Until the award is final, successful applicants incur pre-award costs at their own risk.

Section VI.3: Administrative and National Policy Requirements

This announcement provides all of the instructions needed for preparing an application for funding under this announcement. Successful applicants will submit required forms and certifications after being notified of selection by EPA. Applicants may download applicable forms from the Internet at <http://www.epa.gov/ogd/AppKit/application.htm>.

Applicants must comply with the standard requirements, terms and conditions of EPA assistance agreements. Funded activities must be allowable under EPA statutory authority. All

recipients must have a Dun and Bradstreet Data Universal Numbering System (DUNS) number on their formal SF424 applications. A DUNS number can be obtained by calling 1-866-705-5711. A DUNS number is not required for initial proposals.

Section VI.4: Reporting

Recipients will be required to submit quarterly progress reports and will have to participate in annual reviews of their projects with their U.S. EPA project officer. A project officer will be designated at the time of the award of this cooperative agreement; that project officer will work in partnership with the recipient.

Section VI.5: Intergovernmental Review

All applicants must be aware that, if their application is successful, formal requests for assistance and associated documentation may be subject to intergovernmental review under Executive Order 12372, "Intergovernmental Review of Federal Programs." Applicants should contact their state's Single Point of Contact (SPOC) for further information. There is a list of these contacts at the following web site: <http://whitehouse.gov/omb/grants/spoc.html>.

Section VII: AGENCY CONTACTS

If you have questions about this solicitation, please contact:

Sven-Erik Kaiser
U.S. EPA Office of Brownfields Cleanup and Redevelopment
Office of Solid Waste and Emergency Response
1200 Pennsylvania Avenue N.W.
Mail code 5105 T
Washington, D.C. 20004
phone: 202-566-2753

Potential applicants may submit written requests for clarifications to Mr. Kaiser via e-mail (kaiser.sven-erik@epa.gov) or letter. He will post significant clarifications on the brownfields website <http://www.epa.gov/brownfields>. This is the only pre-application assistance available. EPA staff will not meet with applicants to discuss draft proposals or provide informal comments on draft proposals. Please note that taking advantage of pre-application assistance from EPA staff does not guarantee selection by the evaluation panel.

Section VIII: OTHER INFORMATION

Both initial proposals and formal request for funding are subject to the Freedom of Information Act. This means that anyone can request, and receive, copies of information contained in proposals that is not exempt from disclosure under FOIA. Applicants must clearly mark information they consider confidential. U.S. EPA will make final confidentiality decisions

in accordance with agency regulations (40CFR part 2, subpart B).

Any disputes regarding funding decisions will be resolved in accordance with 40 CFR part 30 or 31, depending on the applicant. U.S. EPA reserves the right to reject all applications and make no awards.

Appendix A. Prohibited Uses of Funds

The following discussion of the administrative cost prohibition is provided to you for illustrative purposes only. If you receive a grant as a result of this competition, your agreement will include a more detailed term and condition specifying requirements for complying with the administrative cost prohibition.

The Brownfields law prohibits the use of any “part of a grant or loan” awarded under Section 104(k) of CERCLA for the payment of:

- a penalty or fine
- a federal cost-share requirement (for example, a cost share required by other federal funds)
- an administrative cost, including indirect costs

In implementing the administrative cost prohibition, EPA has made a distinction between prohibited **administrative costs** and eligible **programmatic costs**.

Administrative Costs

Prohibited administrative costs are direct costs including those in the form of salaries, benefits, contractual costs, supplies, and data processing charges incurred to comply with most provisions of the “Uniform Administrative Requirements for Grants” contained in 40 CFR Part 30 or 40 CFR Part 31. Direct costs for grant administration are ineligible even if the grantee or sub-grantee is required to carry out the activity under the grant agreement. Ineligible grant administration costs include expenses for:

- Preparation of applications for Brownfields grants and sub-grants,
- Record retention required under 40 CFR 30.53 and 40 CFR 31.42,
- Record-keeping associated with supplies and equipment purchases required under 40 CFR 30.33, 30.34, and 30.35 and 40 CFR 31.32 and 31.33,
- Preparing revisions and changes in the budgets, scopes of work, program plans and other activities required under 40 CFR 30.25 and 40 CFR 31.30,
- Maintaining and operating financial management systems required under 40 CFR 30.20 and 40 CFR 31.20,
- Preparing payment requests and handling payments under 40 CFR 30.22 and 40 CFR 31.21,
- Nonfederal audits required under 40 CFR 30.26, 40 CFR 31.26, and OMB Circular A-133, and,
- Close out under 40 CFR 30.71 and 40 CFR 31.50.

Prohibited administrative costs are also **all indirect costs** under OMB Circulars A-21 (Educational Institutions), A-87 (Governments), and A-122 (Non-profit Organizations), and Subpart 31.2 (Commercial Organizations) of the Federal Acquisition Regulation. Indirect costs are not eligible even if your organization has a negotiated indirect cost agreement with a

cognizant Federal agency.

For governmental recipients, indirect costs include the indirect costs originating in departments of the governmental unit carrying out the assistance agreement and the costs of central governmental services distributed through the central service cost allocation plan. Indirect costs are normally charged to Federal awards by the use of an indirect cost rate. Because of the diverse characteristics and accounting practices of governmental units, the types of costs which may be classified as indirect costs cannot be specified in all situations. However typical examples may include certain State/local-wide central service costs, general administration of the grantee department, accounting and personnel services performed within the grantee department, depreciation or use allowances on buildings and equipment, the costs of operating and maintaining facilities, etc.

For non-profit organizations, indirect costs are those that have been incurred for common or joint objectives and cannot be readily identified with a particular final cost objective. After direct costs have been determined and assigned directly to awards or other work as appropriate, indirect costs are those remaining to be allocated to benefitting cost objectives. Typical examples of indirect costs for many non-profit organizations may include depreciation or use allowances on buildings and equipment, the costs of operating and maintaining facilities, and general administrative costs, such as the salaries and expenses of executive officers, personnel administration, and accounting.

Programmatic Costs

EPA has determined that the administrative cost prohibition does not apply to “programmatic” costs, i.e., direct costs for activities that are integral to achieving the purpose of the assistance agreement, even if the Agency considered the costs to be “administrative” under the prior Brownfields program. In the case of assistance agreements for implementation of Brownfields programs under CERCLA 104(k)(6), programmatic costs would include expenses for providing training, research, and technical assistance. Eligible programmatic costs can include expenses for travel, training, equipment, supplies, reference materials and contractual support if those costs are reasonable and allocable to tasks specified in a recipient’s approved scope of work. Direct costs, as defined in the applicable OMB Cost Principle Circular, for the following programmatic activities are not subject to the administrative cost prohibition:

- Costs incurred for complying with procurement provisions of 40 CFR Part 30 and 31 are considered eligible programmatic costs only if the procurement contract is for services or products that are direct costs for research, training, and/or technical assistance.
- Costs for performance and financial reporting required under 40 CFR 30.51 and 30.52, and 40 CFR 31.40 and 31.41 are eligible programmatic costs. Performance and financial reporting are essential programmatic tools for both the recipient and EPA to ensure that assistance agreements are carried out in accordance with statutory and regulatory requirements.

Appendix B. Sample Topics for Brownfields Training, Research and Technical Assistance Projects

This appendix provides a listing of sample topics for training, research, and technical assistance projects to focus attention on the environmental health and conditions in low-income or socioeconomically disadvantaged communities.

The list below is not exhaustive; it is meant to be representative of the general types of projects EPA is interested in supporting. EPA will consider projects focused on other topics.

- Technical assistance to enhance community involvement and ability to reach alternative sources of funding.
- Research related to community involvement in ports and urban rivers; railyards; petroleum sites; and affordable housing and brownfields
- Technical assistance to state, local, and tribal governments on how to link land reuse strategies to state cleanup standards
- Sustainable future uses of Brownfields
- Financing tools for brownfields cleanup and redevelopment
- Impact of brownfields assessment and cleanup on real estate transactions
- Impact of environmental workforce development on state, local, and tribal economies
- State relations/local government relations including peer exchange.
- Technical assistance in leveraging funding for brownfields cleanup and redevelopment
- Research related to assisting communities with an inability to draw on other sources of funding because of a small population or low income of the community.

Appendix C.

Requested Assistance Type(s) and Funding Form

Requested Grant/Cooperative Agreement Type and Funding (print/copy and complete and submit with proposal)

Name of Applicant: _____

Please respond as appropriate.

Subject Area (check all that apply)

- Community Involvement
- Integrated Approaches to Brownfields Cleanup and Redevelopment
- Economics of Brownfields Cleanup and Redevelopment

What is the total amount of funds requested? \$ _____

What is the approximate period of performance for your project?

- 2 year 3 year 4 year 5 year