



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

## **1. Introduction**

The Catalog of Federal Domestic Assistance number for Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements is 66.814.

### **1.1 Background**

EPA's brownfields program thrives on 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.

### **1.2 Training, Research and Technical Assistance under the National Brownfields Program**

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. As brownfields issues affect many different stakeholders, we anticipate a variety of organizations, representing a variety of non-Federal constituents will have an interest in brownfields-related issues and will want to conduct relevant training, research and technical assistance for the benefit of its constituents.

**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.

### **1.3 Deadlines**

***Proposals must be postmarked by April 14, 2003.*** Depending on the availability of funds, EPA expects to select approximately 10 Brownfields Training, Research, and Technical Assistance Grants/Cooperative Agreements by the end of June 2003. **EPA plans to provide pre-application assistance in the form of an open meeting. The tentative date for the meeting is March 14, 2003. In addition, potential applicants may submit written requests for clarifications to Beth Zelenski at [zelenski.beth@epa.gov](mailto:zelenski.beth@epa.gov). She will post significant clarifications on [www.epa.gov/brownfields](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 does not guarantee selection by the evaluation panel.

### **1.4 Authority for Financial Assistance**

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 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.

EPA anticipates awarding both grants and cooperative agreements under this RFA. Cooperative agreements provide for substantial involvement on the part of the federal government. By awarding a cooperative agreement, EPA anticipates substantial involvement in your training, research or technical assistance activities. EPA may collaborate with cooperative agreement recipients through routinely scheduled conference calls, as well as ad-hoc e-mails, faxes, site visits, and any other necessary communications.

### **1.5 Funds Available for Award**

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 \$2 Million will be available to make up to 10 assistance agreement awards, contingent upon the availability of funds. EPA reserves the right to make no awards.

Grants and cooperative agreements under this RFA will be incrementally funded on a year to

year basis. Approval of subsequent funding increments is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds. EPA expects the period of performance for projects funded under this RFA to range from 2 to 5 years.

*Please note:* As financial assistance will be awarded incrementally, it is important that you provide annual budgets as well as a total budget for your project in your proposal.

## **1.6 Eligible Applicants**

Eligibility is limited to governmental applicants and non-profit organizations. Public and private universities are eligible as well. For profit organizations are not eligible.

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.

## **1.7 Coalition Applications**

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). Any contracts for services or products funded with EPA financial assistance must be awarded under the competitive procurement provisions of 40 CFR Part 30. 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.

## **1.8 Limitations on Uses of EPA Funds**

All funds from the grant or cooperative agreement must be used specifically for activities related to brownfields training, research, or technical assistance. Pursuant to CERCLA §104(k)(6), assistance agreement funds cannot be used to cover administrative costs. For additional information on the statutory administrative cost prohibition, please refer to Appendix A (Prohibition on Use of Funds).

The assistance agreements awarded under this RFA will be subject to 40 CFR Parts 30 and 34 and OMB Cost Circulars A-21 (Universities) A-87 (governmental applicants), and A-122 (non-profit applicants). In accordance with EPA guidance and the OMB Circulars, as appropriate, the recipient must agree that it will not use assistance funds for lobbying, fund-raising or political activities (e.g., lobbying members of Congress, or lobbying for other federal grants, cooperative agreements or contracts). The terms and conditions of the formal assistance agreement may put additional and specific limitations on the funding.

## 2. Definitions of Training, Research and Technical Assistance for Grants/Cooperative Agreements

General definitions of training and technical assistance for the purposes of these grant guidelines are provided below. Research is defined at 40 CFR 30.2(dd). These definitions are meant to provide a general guideline for the type of activities EPA is interested in supporting. EPA will use its discretion to determine if an activity not listed below, and proposed by an applicant, falls under the definition of one of these activities, and is therefore eligible for funding. We anticipate that many proposals will include elements of training, research, **and** technical assistance within one project.

- **Training** – providing special and practical knowledge of a specialized brownfields subject area through various methods, including: class-room style training, workshops, conferences, roundtables, and computer-based training. Training must impart brownfields knowledge, with the goal that the person(s) or organization(s) being trained will achieve some level of self-sufficiency with regard to the subject matter.
- **Technical Assistance** – providing ongoing advice and support, in the form of specialized knowledge, to a person(s) or organization(s) with the goal of guiding them through a particular process, or helping them understand complex brownfields-related subject matter.
- **Research (as defined at 40 CFR 30.2(dd))** - a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. The term research also includes activities involving the training of individuals in research techniques where such activities utilize the same facilities as other research and development activities and where such activities are not included in the instruction function.

*If you believe that your proposed project fits under one or more of these definitions, please proceed to the next section of these guidelines to review the subject area descriptions.*

### **3. Description of Subject Areas for Training, Research, and Technical Assistance**

#### **3.1 Introduction**

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, or site preparation.” The following section describes the general subject areas for which EPA would like to fund brownfields training, research, or technical assistance projects, namely:

- Community Involvement
- Health Impacts of Brownfields sites
- Science and Technology Relating to Brownfields assessment, remediation, and site preparation
- Integrated Approaches to Brownfields Cleanup and Redevelopment
- Economics of Brownfields Cleanup and Redevelopment
- Results Analysis
- State, Local and Tribal Government Brownfields Programs.

These subject areas reflect EPA’s understanding of the current needs of various state, local, and tribal brownfields stakeholders. Please note that EPA cannot legally fund projects that provide products or services for the direct use or benefit of EPA or other federal agencies. EPA will consider other projects that don’t fit into these subject areas. However, EPA believes the subject areas it has provided in these guidelines represent most of the needs of brownfields stakeholders at this time.

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. That is, an in-depth focus on one or two topics with a realistic project plan will be looked upon more favorably than a project that includes a shallow examination of several topics.

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

**EPA plans to award 10 grants ranging in annual value from approximately \$50,000 to \$500,000 annually under this RFA.**

**Please note:** Your organization may submit a proposal for more than one project. You will need to submit separate budgets and separate responses to threshold and ranking criteria for each distinct project.

## **3.2 Subject Area Descriptions**

### **Community Involvement**

Training, research and technical assistance in this subject area should look at brownfields issues from a community-based perspective. In particular, projects should address social, economic, and health impacts on communities surrounding brownfields properties. Projects may also examine the level of community participation and coordination with local government officials when making brownfields-related decisions. Training and technical assistance, as well as research projects should aim to provide communities 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.

### **Health Impacts of Brownfields Sites**

Projects in this subject area should address the connection between health issues and brownfields. Training, research, and technical assistance should focus on the impacts to health and quality of life when brownfields are not cleaned up and redeveloped, or examine effects on health and quality of life as a result of brownfields cleanup and redevelopment. Training and technical assistance, and research projects should strive to improve the health of individuals living near brownfields (particularly, those belonging to sensitive populations) and to increase the level of understanding of brownfields-related health issues.

### **Science and Technology Relating to Brownfields Assessment, Remediation and Site Preparation**

Projects in this subject area should focus on technical aspects of brownfields cleanup and redevelopment, including: assessment and inventory methods, sampling and cleanup methods, institutional controls to ensure long-term protection of human health and the environment, and risk assessment methods and policies. Projects that examine how access or lack of access to technology and technical information can affect brownfields cleanup and redevelopment and communities will also be considered in this subject area.

### **Integrated Approaches to Brownfields Cleanup and Redevelopment**

Projects in this subject area should 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. Training, technical assistance, and research outputs should aim to increase knowledge of linkages amongst various types of cleanup, redevelopment and planning efforts, and to increase coordination amongst such efforts.

### **Economics of Brownfields Cleanup and Redevelopment**

Projects in this subject area should examine the economic issues surrounding brownfields redevelopment, from financing brownfields cleanup and redevelopment to market forces that may help or hinder brownfields cleanup and redevelopment. Outputs should increase state, local, and tribal stakeholders' knowledge base of economic issues allowing for informed decision-making.

## **Results Analysis**

Projects in this category should analyze the impacts of brownfields and brownfields-related programs on state, local, tribal, and non-governmental constituents, impacts of the new brownfields legislation, and long-term impacts of brownfields cleanup and redevelopment on these entities. Project outputs should increase understanding of various program results as well as identify areas of opportunity and improvement.

## **State, Local, and Tribal Government Brownfields Programs**

Projects in this subject area should focus on providing information to state, local, and tribal government representatives to allow them to understand brownfields issues, various brownfields and brownfields-related government programs, and opportunities to receive support (e.g., financial, technical assistance) for their brownfields cleanup and redevelopment efforts. Projects in this subject area may also examine aspects of state, local, and/or tribal brownfields and brownfields-related programs and measure their impacts as well as identify areas of opportunity and improvement.

#### **4. Requested Assistance Type(s) and Funding**

##### **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
- Health Impacts of Brownfields sites
- Science and Technology Relating to Brownfields Assessment, Remediation, and Site Preparation
- Integrated Approaches to Brownfields Cleanup and Redevelopment
- Economics of Brownfields Cleanup and Redevelopment
- Results Analysis
- State, Local, and Tribal Government Brownfields Programs

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

## **5. Proposal Contents**

***NOTE: Applicants must clearly mark any information they consider to be proprietary, confidential business information. EPA will make final confidentiality decisions in accordance with Agency regulations at 40 CFR Part 2, Subpart B.***

### **5.1 Cover Page**

This page is intended to identify the applicant and a point of contact for communication with EPA. The cover page should be on a single page and include the following data elements in the format of your choice.

- Applicant identification: the name of the main implementor of the project
- Contact: the name of the person who is responsible for the proposal. We will contact this person if we need further information.
- Mailing address of the contact
- Telephone/Fax/E-mail of the contact
- Date Submitted: the date when the proposal is post-marked or sent to EPA via registered or tracked mail

### **5.2 Overview**

The Overview section of the proposal provides an important opportunity to briefly summarize the overall vision for your training, research, or technical assistance project, as well as your strategy for accomplishing this vision. Information you provide in the Overview may overlap with your responses to the evaluation criteria. Provide an overview of the following topics:

#### *Background*

- Describe your experience in providing training or technical assistance or conducting research related to complex environmental and/or technical subject matter.
- Describe your relationships with stakeholders in the brownfields community and your knowledge of brownfields issues.

#### *Goals and Objectives*

- Describe your vision of success for your Brownfields training, research, or technical assistance project

#### *Strategy*

- Provide an overview of your proposed project plan.
- Provide an overview of your plan to achieve a successful project.

### **5.3 Budget**

Provide a comprehensive proposed budget for your training, research, or technical assistance project. This should 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).

<b>Tasks</b>				
<b>Budget Categories</b>				
Personnel				
Travel				
Equipment				
Supplies				
Contractual				
Other				

*Please 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.

**Budget Narrative**

A budget narrative should 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.

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 the Brownfields Training, Research, and Technical Assistance Grant. **See Appendix A for a description of prohibited administrative costs and eligible programmatic costs.**

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.

#### **5.4 Response to Threshold Criteria**

Provide your response to Threshold Criteria. Responses for this section of the proposal should not exceed two pages.

#### **5.5 Response to Ranking Criteria**

Provide your response to the Ranking Criteria. Your response should address each criterion or provide an explanation for why a particular criterion is not applicable. Responses for this entire section should not exceed 15 pages per project.

#### **5.6 Attachments**

As appropriate, please include any attachments. If you have multiple attachments, please provide an index.

## **6. Threshold Criteria**

Respond to the following two threshold criterion. Responses for this section of the proposal should not exceed two pages.

### *Applicant Eligibility*

Describe how you are an eligible applicant for a training, research, or technical assistance grant. See description of eligible applicant below.

Eligible governmental applicants include a general purpose local unit of 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. Intertribal consortia, except consortia comprised on ineligible Alaska tribes, are eligible to apply as well. 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 corporation, trust, association, cooperative, or other legally established organization that is operated mainly for scientific, educational, service, charitable, or similar purpose in the public interest; is not organized primarily for profit; and uses net proceeds to maintain, improve, or expand the operation of the organization. This definition includes non profit 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. For profit or proprietary training organizations or trade schools are not eligible to apply.

EPA welcomes and encourages applications from coalitions of eligible applicants, but a single eligible applicant must be identified as the legal recipient. See Section 1.7 for additional information on coalition applications.

### *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.

## 7. Ranking Criteria

**Please note:** Respond to the following ranking criteria. If a particular criterion is not applicable to your project, please provide an explanation. Responses for this entire section should not exceed 15 pages per project.

### *Past Performance (20 points)*

- 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.
- Describe your history of providing required reporting in a timely manner.

### *Constituent/Community Need (20 points)*

- Provide a detailed description of the target state, local, or tribal constituency or community that the project will benefit.
- 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.
- 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).

### *Impact on human health and the environment (20 points)*

- Describe the extent to which a grant would address or facilitate the identification and reduction of threats to human health and the environment, including threats in areas in which there is a greater-than-normal incidence of diseases or conditions (including cancer, asthma, or birth defects) that may be associated with exposure to hazardous substances, pollutants, or contaminants.
- Describe the extent to which a grant would 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.
- 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.

### *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.

### *Institutional Capacity (10 points)*

- 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, and may include description of past performance of similar activities.
- Describe your ability to manage this grant or describe the system(s) you have in place to hire the requisite expertise.

### *Leveraging of Resources (15 points)*

- 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.
- 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 costs are not limited to allowable costs.

Please note that 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. 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 the expenses of the recipient, not EPA.

### *Objectives and Plans (15 points)*

- Describe the objectives of your proposed project.
- 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.
- For research projects, provide a project outline or research hypothesis as an attachment.
- 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.

### *Quality Assurance/Quality Control (10 points)*

- 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.
- Provide a timetable showing start and completion dates for significant tasks.

- 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.
- Describe any reports or other deliverables you plan to provide to EPA as documentation of your project's progress and success.

**Please Note:** 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.

## **8. Evaluation of the Proposals**

Brownfields Training, Research, and Technical Assistance Grants and Cooperative Agreements are awarded to the highest ranking applicants, as determined by EPA under a competitive ranking system. National experts in brownfields, including EPA staff, will comprise the evaluation panels and will evaluate the proposals and make recommendations to EPA senior management. All final decisions will be made by EPA senior management. Disputes will be resolved under 40 CFR 30.63 and 40 CFR Part 31, Appendix F.

The evaluation panels will assess how well the proposals meet the evaluation criteria outlined below. There are two different types of criteria—*threshold criteria* and *ranking criteria*. If a response to the *threshold criteria* fails, the proposal will be disqualified from further consideration under these guidelines. However, EPA may seek clarification from an applicant regarding its response to the threshold criteria.

Scores on each *ranking criterion* will be totaled to determine proposal rankings. EPA will not seek clarification of responses to ranking criteria. The panels determine which proposals have the potential to effectively use the limited funds EPA has available for awards. The highest ranking proposals will be selected by EPA senior management taking into consideration the recommendations of the review panel and other policy considerations such as geographic distribution of funds, avoiding duplication of other EPA financial assistance programs, and ensuring that the needs of state, local, and tribal co-implementors of the Brownfields law are met.

Proposals must be clear and concise and strictly follow each of the criteria. Sufficient detail must be provided for the panel to evaluate the merits of each proposal and decide which proposals best support the intent of the assistance agreement program. Vague descriptions, redundancy, and failure to address budgetary responsibility may result in a lower rating. Incomplete proposal packages will not be accepted.

**EPA plans to provide pre-application assistance in the form of an open meeting. The tentative date for the meeting is March 14, 2003. Date and location information for the open meeting will be posted on <http://www.epa.gov/brownfields>. In addition, potential applicants may submit written requests for clarifications to Beth Zelenski at [zelenski.beth@epa.gov](mailto:zelenski.beth@epa.gov). She will post significant clarifications on <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.

Following the panel review and senior management selection, successful applicants will receive a confirmation letter. EPA anticipates that other applicants will be informed of EPA's decision within approximately 60 days of final decisions on grants by senior management.

EPA will ask the successful applicants to submit a formal assistance agreement application package. This package will include a formal work plan that describes the work to be performed, including a final budget, and the required certification forms. EPA staff and Grants Specialists

will work closely with the applicants to process and finalize the assistance agreement package. Additionally, Executive Order 12372, Intergovernmental Review of Federal Programs, applies to the award of these assistance agreements. EPA encourages successful applicants to contact their State Intergovernmental Review Office early so that the required intergovernmental review process may begin immediately upon selection by EPA. If the state does not have an Intergovernmental Review Office, the successful applicant must provide notice of the proposed agreement directly to affected state, area-wide, regional, and local entities.

Proposal funding is not guaranteed at any stage of the proposal process until the Financial Assistance Agreement is finalized and the final award is made. EPA reserves the right to reject all proposals and make no awards.

EPA anticipates awarding both grants and cooperative agreements under this RFA. Cooperative agreements provide for substantial involvement on the part of the federal government. By awarding a cooperative agreement, EPA anticipates substantial involvement in your training, research or technical assistance activities. EPA may be in contact with cooperative agreement recipients through routinely scheduled conference calls, as well as ad-hoc e-mails, faxes, site visits, and any other necessary communications.

## **9. Proposal Submission Schedule**

February 26, 2003	Web Posting of Request for Applications (RFA)
April 14, 2003	Proposals due to EPA
June 2003	Announcement of Grants

Submit three hard copies of your proposal, including attachments, to EPA headquarters. Proposals must be sent to EPA by April, 14 2003. The Standard Form 424 (SF 424) Application for Federal Assistance should 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](http://www.gsa.gov/forms).

Mail your proposal to:

U.S. Environmental Protection Agency  
OSWER Office of Brownfields Cleanup and Redevelopment  
Mail Code 5105-T  
Attn: Beth Zelenski  
1200 Pennsylvania Avenue, NW  
Washington, DC 20460

OR send your proposal by private delivery service to:

U.S. Environmental Protection Agency  
OSWER Office of Brownfields Cleanup and Redevelopment  
Attn: Beth Zelenski (MC 5105-T)  
1301 Constitution Ave, NW (Rm 2402)  
Washington, DC 20004  
(202) 566-2745

## 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.

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., 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. **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
- Research on health risk averted by brownfields redevelopment (sensitive populations)
- Ecological risk considerations in brownfields cleanup and redevelopment
- Improving site characterization and QA/QC for state, local, and tribal assessments and cleanups
- Brownfields inventorying tools
- Technical assistance to state, local, and tribal governments on how to link land reuse strategies to state cleanup standards
- Connection between ports and brownfields, rail yards and brownfields
- Impact of brownfields sites on air quality, water quality, erosion, wildlife populations
- Sustainable future uses of Brownfields
- Environmental Insurance
- Cost estimates for site assessment and cleanup
- Financing tools for brownfields cleanup and redevelopment
- Impact of brownfields assessment and cleanup on real estate transactions
- Technical assistance for state, local, and tribal revolving loan fund programs
- Technical assistance on laboratory analytical and toxicological services to augment tribal response programs
- Impact of environmental workforce development on state, local, and tribal economies
- State relations/local government relations
- State environmental liability provisions and protections
- Institutional controls
- Technology and information transfer (amongst State programs, local governments)
- State brownfields response programs
- Technical assistance in leveraging funding for brownfields cleanup and redevelopment