



## Funding Guidance for State and Tribal Response Programs Fiscal Year 2022

Section 128(a) of the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), as amended,<sup>1</sup> authorizes a noncompetitive \$50 million grant program to establish or enhance state<sup>2</sup> and tribal<sup>3</sup> response programs. These CERCLA Section 128(a) response program grants (hereinafter referred to as “Section 128(a)”) are funded with categorical<sup>4</sup> State and Tribal Assistance Grant (“STAG”) appropriations. Section 128(a) cooperative agreements are awarded and administered by the U.S. Environmental Protection Agency (“EPA”) regional offices.

The Catalogue of Federal Domestic Assistance (<https://www.cfda.gov/>) listing for Section 128(a) cooperative agreements is 66.817. This grant program is eligible to be included in state and tribal Performance Partnership Grants (“PPGs”) under 40 CFR Part 35 Subparts A and B, with the exception of funds used to: 1) capitalize a revolving loan fund for brownfields remediation under section 104(k)(3), 2) purchase insurance or develop a risk sharing pool, an indemnity pool, or insurance mechanism to provide financing for response actions under a state or tribal response program, or 3) to provide assistance under section 128(a)(I)(B)(ii)(III).

CERCLA Section 128(a)(1)(B)(ii)(III) authorizes a noncompetitive \$1.5 million technical assistance grant (“Section 128(a) TAG”) program to assist small communities, Indian tribes, rural areas, or disadvantaged areas in carrying out activities described in CERCLA Section 104(k)(7). This Section 128(a) TAG funding can be utilized for activities such as providing training, research, and technical assistance to individuals and organizations, as appropriate, to facilitate the inventory of brownfields sites, site assessments, remediation of brownfield sites, community involvement, or site preparation

This Funding Guidance provides information and instruction to states and tribes requesting Fiscal FY22 Section 128(a) funds.<sup>5</sup> Guidance regarding Section 128(a) TAG funding is located in Appendix A.

For additional information, go to <https://www.epa.gov/brownfields/state-and-tribal-response-program-grants>.

### **Section 128(a) Funding Requests Highlights**

- Requests for funding will be accepted from **October 1, 2021 – December 17, 2021** and should be **sent to the EPA Regional Office contact listed at the end of this guidance.**
- ***Requests that EPA receives after December 17, 2021 will not be considered for FY2022 funding.***
- EPA will accept only one application from each eligible state or tribe.
- Requests for funding must include the information listed in **Sections VII and VIII** of this guidance. States or tribes that do not submit the request in the appropriate manner may forfeit their ability to receive funds.

<sup>1</sup> 42 USC 9628(a).

<sup>2</sup>The term "state" is defined in this document as defined in CERCLA §101(27).

<sup>3</sup>The term "Indian tribe" is defined in this document as it is defined in CERCLA §101(36). Intertribal consortia, as defined in the Federal Register Notice at 67 FR 67181, Nov. 4, 2002, are also eligible for funding under CERCLA §128(a).

<sup>4</sup> Categorical grants are issued by the U.S. Congress to fund state and local governments for narrowly defined purposes.

<sup>5</sup> The Agency may waive any provision of this guidance that is not required by statute, regulation, Executive Order or overriding Agency policies.

- First time requestors are strongly encouraged to contact their Regional EPA Brownfields contact, listed on the last page of this guidance, prior to submitting their funding request.
- EPA will consider funding requests up to a maximum of \$1.0 million per state or tribe for FY2022, depending on the availability of funds.
- EPA will place special emphasis on reviewing a cooperative agreement recipient's use of prior Section 128(a) funding in making allocation decisions. Unexpended balances are subject to 40 CFR 35.118 and 40 CFR 35.518 to the extent consistent with this guidance.
- Once EPA makes final determinations with respect to funding requests and allocations of funds, the state or tribe will work with the appropriate EPA regional office to negotiate a cooperative agreement, which includes a final work plan and budget.
- States and tribes requesting funds are required to provide a Dun and Bradstreet Data Universal Numbering System ("DUNS") number with their cooperative agreement's final package. See Section IX.D.2. of this Guidance. For more information, please visit [www.grants.gov](http://www.grants.gov) and <https://fedgov.dnb.com/webform/>.

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## **I. BACKGROUND**

State and tribal response programs oversee assessment and cleanup activities at brownfield sites across the country. The depth and breadth of these programs vary. Some focus on CERCLA-related activities, while others are multi-faceted, addressing sites regulated by both CERCLA and the Resource Conservation and Recovery Act (“RCRA”). Many states also offer accompanying financial incentive programs to spur cleanup and redevelopment of contaminated properties. In enacting CERCLA Section 128(a),<sup>6</sup> Congress recognized the value of state and tribal response programs in cleaning up and reusing brownfield sites. Section 128(a) strengthens EPA’s partnerships with states and tribes and recognizes their response programs’ critical role in overseeing cleanups.

This funding is intended for states and tribes that have the required management and administrative capacity within their government to administer a federal grant. The primary goal of this funding is to ensure that state and tribal response programs include, or are taking reasonable steps to include, certain elements of an environmental response program and that the program establishes and maintains a public record of sites addressed.

Subject to the availability of funds, EPA regional personnel will provide technical assistance to states and tribes as they apply for and carry out Section 128(a) cooperative agreements.

## **II. ELIGIBILITY FOR FUNDING**

To be eligible for Section 128(a) funding, a state or tribe must:

1. demonstrate that its response program includes, or is taking reasonable steps to include, the four elements of a response program described in Section IV of this guidance; **or** be a party to a voluntary response program Memorandum of Agreement (“VRP MOA”) with EPA;

### **AND**

2. maintain and make available to the public a record of sites at which response actions have been completed in the previous year and are planned to be addressed in the upcoming year (see CERCLA section 128(b)(1)(C)).

## **III. MATCHING FUNDS/COST-SHARE**

States and tribes are not required to provide matching funds for Section 128(a) cooperative agreements, with the exception of Section 128(a) funds a state or tribe uses to capitalize a Brownfields Revolving Loan Fund (RLF), for which there is a 20% cost share requirement. Section 128(a) funds used to capitalize a RLF must be operated in accordance with CERCLA section 104(k)(3).

## **IV. THE FOUR ELEMENTS - SECTION 128(a)(2)**

Section 128(a) recipients that do not have a VRP MOA with EPA must demonstrate that their response program includes, or is taking reasonable steps to include, the four elements enumerated in Section 128(a)(2) of the statute and described below. Achievement of the four elements should be viewed as a priority. Section 128(a) of CERCLA authorizes funding for activities necessary to establish or enhance the four elements and to establish and maintain the public record requirement.

The four elements of a response program are described below:

1. *Timely survey and inventory of brownfield sites in state or tribal land.* The goal for this element is to enable the state or tribe to establish or enhance a system or process that will provide a reasonable estimate of the number, likely locations, and the general characteristics of brownfield sites in their state

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<sup>6</sup>Section 128(a) was added to CERCLA in 2002 by the Small Business Liability Relief and Brownfields Revitalization Act (Brownfield Amendments).

or tribal lands.

EPA recognizes the varied scope of state and tribal response programs and will not require states and tribes to develop a “list” of brownfield sites. However, at a minimum, the state or tribe should develop and/or maintain a system or process that can provide a reasonable estimate of the number, likely location, and general characteristics of brownfield sites within their state or tribal lands. Inventories should evolve to a prioritization of sites based on community needs, planning priorities, and protection of human health and the environment. Inventories should be developed in direct coordination with communities, and particular attention should focus on communities with limited capacity to compete for and manage a competitive brownfield assessment, revolving loan, or cleanup cooperative agreement.

Given funding limitations, EPA will negotiate work plans with states and tribes to achieve this goal efficiently and effectively and within a realistic time frame. For example, many of EPA's Brownfields Assessment cooperative agreement recipients conduct inventories of brownfield sites in their communities or jurisdictions. EPA encourages states and tribes to work with these cooperative agreement recipients to obtain the information that they have gathered and include it in their survey and inventory.

2. Oversight and enforcement authorities or other mechanisms and resources. The goal for this element is to have state and tribal response programs that include oversight and enforcement authorities or other mechanisms and resources to ensure that:
  - a. a response action will protect human health and the environment and be conducted in accordance with applicable laws; and
  - b. the state or tribe will complete the necessary response activities if the person conducting the response fails to complete them (this includes operation and maintenance and/or long-term monitoring activities).
3. Mechanisms and resources to provide meaningful opportunities for public participation.<sup>7</sup> The goal for this element is to have states and tribes include in their response program mechanisms and resources for meaningful public participation, at the local level, including, at a minimum:
  - a. public access to documents and related materials that a state, tribe, or party conducting the cleanup is relying on or developing to make cleanup decisions or conduct site activities;
  - b. prior notice and opportunity for meaningful public comment on cleanup plans and site activities, including input into the prioritization of sites; and
  - c. a mechanism by which a person who is, or may be, affected by a release or threatened release of a hazardous substance, pollutant, or contaminant at a brownfield site—located in the community in which the person works or resides—may request that a site assessment be conducted. The appropriate state or tribal official must consider this request and appropriately respond.
4. Mechanisms for approval of cleanup plans and verification and certification that cleanup is complete. The goal for this element is to have states and tribes include in their response program mechanisms to approve cleanup plans and to verify that response actions are complete, including a requirement for certification or similar documentation from the state, the tribe, or a licensed site professional that the response action is complete. Written approval by a state or tribal response program official of a proposed cleanup plan is an example of an approval mechanism.

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<sup>7</sup>States and tribes establishing this element may find useful information on public participation on the EPA's community involvement web site at <https://www.epa.gov/superfund/superfund-community-involvement>.

## **V. PUBLIC RECORD REQUIREMENT**

In order to be eligible for Section 128(a) funding, states and tribes (including those with MOAs) must establish and maintain a public record system, as described below, to enable meaningful public participation<sup>8</sup> (refer to Section IV.3 above). Specifically, per CERCLA Section 128(b)(1)(C), states and tribes must:

1. maintain and update, at least annually, or more often as appropriate, a public record that includes the name and location of sites at which response actions have been completed during the previous year;
2. maintain and update, at least annually, or more often as appropriate, a public record that includes the name and location of sites at which response actions are planned in the next year; and
3. identify in the public record whether or not the site, upon completion of the response action, will be suitable for unrestricted use. If not, the public record must identify the institutional controls relied on in the remedy and include relevant information concerning the entity responsible for oversight, monitoring, and/or maintenance of the institutional and engineering controls; and how the responsible entity is implementing those activities (see Section V.C).

Section 128(a) funds may be used to maintain and make available a public record system that meets the requirements discussed above.

### **A. Distinguishing the “survey and inventory” element from the “public record”**

It is important to note that the public record requirement differs from the “timely survey and inventory” element described in the “Four Elements” section above. The public record addresses sites at which response actions have been completed in the previous year or are planned in the upcoming year. In contrast, the “timely survey and inventory” element, described above, refers to identifying brownfield sites regardless of planned or completed actions.

### **B. Making the public record easily accessible**

EPA’s goal is to enable states and tribes to make the public record and other information, such as information from the “survey and inventory” element, easily accessible. For this reason, EPA will allow states and tribes to use Section 128(a) funding to make such information available to the public via the internet or other avenues. For example, the Agency would support funding state and tribal efforts to include detailed location information in the public record such as the street address and latitude and longitude information for each site.<sup>9</sup> *States and tribes should ensure that all affected communities have appropriate access to the public record by making it available on-line, in-print at libraries, or at other community gathering places.*

In an effort to reduce cooperative agreement reporting requirements and increase public access to the public record, EPA encourages states and tribes to place their public record on the internet, if they are able to do so. If a state or tribe places the public record on the internet, maintains the substantive requirements of the public record, and provides EPA with the link to that site, EPA will, for purposes of cooperative agreement funding only, deem the public record reporting requirement met.

### **C. Long-term maintenance of the public record**

EPA encourages states and tribes to maintain public record information, including data on institutional controls, on a long-term basis (more than one year) for sites at which a response action has been completed. Subject to EPA regional office approval, states or tribes may include development and

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<sup>8</sup> CERCLA §128(b)(1)(C).

<sup>9</sup> For further information on data quality requirements for latitude and longitude information, please see the EPA's data standards web site available at [https://www.epa.gov/sites/production/files/2015-06/documents/latlongstandard-v2a\\_10022014.pdf](https://www.epa.gov/sites/production/files/2015-06/documents/latlongstandard-v2a_10022014.pdf).

operation of systems that ensure long-term maintenance of the public record, including information on institutional controls (such as ensuring the entity responsible for oversight, monitoring, and/or maintenance of the institutional and engineering controls is implementing those activities) in their work plans.<sup>10</sup>

## **VI. USE OF FUNDING**

### **A. Overview**

CERCLA Section 128(a)(1)(B) says that states and tribes may use Section 128(a) funding to establish or enhance its response program. Specifically, a state or tribe may use cooperative agreement funds to build response programs that include the four elements outlined in Section 128(a)(2). Eligible activities include, but are not limited to, the following:

- developing legislation, regulations, procedures, ordinances, guidance, etc. that establish or enhance the administrative and legal structure of a response program;
- establishing and maintaining the required public record described in Section V of this guidance;
- operation, maintenance and long-term monitoring of institutional controls and engineering controls;
- conducting site-specific activities, such as assessment or cleanup, provided such activities establish and/or enhance the response program and are tied to the four elements. In addition to the requirement under Section 128(a)(2)(C)(ii) to provide for public comment on cleanup plans and site activities, EPA strongly encourages states and tribes to seek public input regarding the priority of sites to be addressed—especially from local communities with health risks related to exposure to hazardous waste or other public health concerns, those in economically disadvantaged or remote areas, and those with limited experience working with government agencies. EPA will not provide Section 128(a) funds solely for assessment or cleanup of specific brownfield sites; site-specific activities must be part of an overall Section 128(a) work plan that includes funding for other activities that establish or enhance the four elements;
- capitalizing a revolving loan fund (RLF) for brownfields cleanup as authorized under CERCLA section 104(k)(3). These RLFs are subject to the same statutory requirements and cooperative agreement terms and conditions applicable to RLFs awarded under CERCLA section 104(k)(3). Requirements include a 20 percent match (in the form of money, labor, material, or services from a non-federal source) on the amount of Section 128(a) funds used for the RLF, a prohibition on using EPA cooperative agreement funds for administrative costs relating to the RLF, and a prohibition on using RLF loans or subgrants for response costs at a site for which the recipient may be potentially liable under section 107 of CERCLA. Other prohibitions relevant to CERCLA section 104(k)(4) also apply; and
- purchasing environmental insurance or developing a risk-sharing pool, indemnity pool, or insurance mechanism to provide financing for response actions under a state or tribal response program.

### **B. Uses related to establishing a state or tribal response program**

Under Section 128(a), “establish” includes activities necessary to build the foundation for the four elements of a state or tribal response program and the public record requirement. For example, a state

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<sup>10</sup>States and tribes may find useful information on institutional controls on the EPA's institutional controls web site at <https://www.epa.gov/superfund/superfund-institutional-controls-guidance-and-policy>.

or tribal response program may use Section 128(a) funds to develop regulations, ordinances, procedures, guidance, and a public record.

### **C. Uses related to enhancing a state or tribal response program**

Under Section 128(a), “enhancing” a state or tribal response program includes related activities that add to or improve a state or tribal response program or increase the number of sites at which response actions are conducted under such programs.

The exact enhancement activities that may be allowable depend upon the work plan negotiated between the EPA regional office and the state or tribe. For example, regional offices and states or tribes may agree that Section 128(a) funds may be used for outreach and training directly related to increasing awareness of its response program and improving the skills of program staff (training examples include ASTM standards for conducting Limited Transaction Screens, Environmental Phase I and Phase IIs). It may also include developing better coordination and understanding of other state or tribal programs, (e.g., programs that address RCRA or underground storage tanks (USTs)). As another example, states and tribal response program enhancement activities can also include outreach to local communities to increase awareness about brownfields, building a sustainable brownfields program, federal brownfields technical assistance opportunities<sup>11</sup> (e.g., holding workshops to assist communities in applying for federal Brownfields grant funding, attending health fairs and cleanup days to inform individuals how to identify hazards in their own living areas, abandoned buildings and among dumping areas), and knowledge regarding the importance of monitoring engineering and institutional controls. Additionally, enhancement activities can include facilitating the participation of the state and local agencies (e.g., transportation, water, other infrastructure) in implementation of brownfields projects. States and tribes can also help local communities collaborate with local workforce development entities or Brownfields Environmental Workforce Development and Job Training recipients on the assessment and cleanup of brownfield sites.<sup>12</sup> Other enhancement uses may be allowable as well.

### **D. Uses related to site-specific activities**

#### **1. Eligible uses of funds for site-specific activities**

Site-specific assessment and cleanup activities should establish and/or enhance the response program and be tied to the four elements. Site-specific assessments and cleanups can be both eligible and allowable if the activity is included in the work plan negotiated between the EPA regional office and the state or tribe, but activities must comply with all applicable laws and are subject to the following restrictions:

- a. Section 128(a) funds can only be used for assessments or cleanups at sites that meet the definition of a brownfields site at CERCLA section 101(39). EPA encourages states and tribes to use site-specific funding to perform assessment (e.g. phase I, phase II, supplemental assessments and cleanup planning) and cleanup activities that will expedite the reuse and redevelopment of sites, and prioritize sites based on need.<sup>13</sup> Furthermore,

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<sup>11</sup> EPA expects states and tribes will familiarize themselves with EPA’s brownfields technical assistance opportunities for brownfields communities. For more information on technical assistance opportunities, please visit: <https://www.epa.gov/brownfields/brownfields-technical-assistance-training-and-research>.

<sup>12</sup> For more information about EPA’s Brownfields Environmental Workforce Development and Job Training Program, please visit: <https://www.epa.gov/brownfields/brownfields-job-training-jt-grants>.

<sup>13</sup> An example of prioritizing sites based on need can be focusing on environmental justice. EPA defines environmental justice as the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies. EPA



states and tribes that perform site-specific activities should plan to directly engage with and involve affected communities. For example, a Community Relations Plan (CRP) could be developed to provide reasonable notice about a planned cleanup, as well as opportunities for the public to comment on the cleanup. States and tribes should work towards securing additional funding for site-specific activities by leveraging resources from other sources such as businesses, non-profit organizations, education and training providers, and/or federal, state, tribal, and local governments;

- b. absent EPA approval, no more than \$200,000 per site assessment can be funded with Section 128(a) funds, and no more than \$200,000 per site cleanup can be funded with Section 128(a) funds;
- c. absent EPA approval, the state/tribe may not use funds awarded under this agreement to assess and/or cleanup sites owned or operated by the recipient or held in trust by the United States Government for the recipient; and
- d. assessments and cleanups cannot be conducted at sites where the state/tribe is a potentially responsible party (PRP) pursuant to CERCLA section 107, except:
  - at brownfield sites contaminated by a controlled substance as defined in CERCLA section 101(39)(D)(ii)(I); or
  - when the recipient would satisfy all of the elements set forth in CERCLA section 101(40) to qualify as a bona fide prospective purchaser, or would satisfy all elements of section 101(40), except where the date of acquisition of the property was on or before January 11, 2002.

Subawards are defined at 2 CFR 200.1 and may not be awarded to for-profit organizations. If the recipient plans on making any subawards under the cooperative agreement, then it becomes a pass-through entity. As the pass-through entity, the recipient must report on its subaward monitoring activities under 2 CFR 200.332(d). Additional reporting requirements for these activities will be included in the cooperative agreement. In addition, subawards cannot be provided to entities that may be potentially responsible parties (pursuant to CERCLA section 107) at the site for which the assessment or cleanup activities are proposed to be conducted, except:

- at brownfields sites contaminated by a controlled substance as defined in CERCLA section 101(39)(D)(ii)(I); or
- when the recipient would satisfy all of the elements set forth in CERCLA section 101(40) to qualify as a bona fide prospective purchaser or would satisfy all elements of CERCLA section 101(40)(D) except where the date of acquisition of the property was on or before January 11, 2002.

## 2. Limitations on the amount of funds used for site-specific activities and waiver process

- a. States and tribes may use Section 128(a) funds for site-specific activities that improve state or tribal capacity. However, the amount recipients may request for site-specific assessments and cleanups may not exceed 50% of the total amount of funding.<sup>14</sup> In order to exceed the

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has this goal for all communities and persons across the nation. Environmental justice will be achieved when everyone enjoys the same degree of protection from environmental and health hazards and equal access to the decision-making process to have a healthy environment in which to live, learn, and work. For more information, please visit <https://www.epa.gov/environmentaljustice>.

<sup>14</sup> Oversight of assessment and cleanup activities performed by responsible parties (other than the state or tribe) does not count toward the 50% limit.

50% site-specific funding limit, a state or tribe must submit a waiver request to the EPA Project Officer. The request must include a brief justification describing the reason(s) for spending more than 50% of an annual allocation on site-specific activities.

- b. When requesting a waiver, an applicant must include the following information in the written justification:
- total amount requested for site-specific activities;
  - percentage of the site-specific activities (assuming waiver is approved) in the total budget;
  - site-specific activities that will be covered by this funding. If known, provide site-specific information and describe how work on each site contributes to the development or enhancement of your state/tribal response program. Explain how the community will be (or has been) involved in prioritization of site work and especially those sites where there is a potential or known significant environmental impact to the community;
  - an explanation of how this shift in funding will not negatively impact the core programmatic capacity (i.e., the ability to establish/enhance the four required elements of a response program) and how the core program activities will be maintained in spite of an increase in site-specific work. Recipients must demonstrate that they have adequate funding from other sources to effectively carry out work on the four elements for EPA to grant a waiver of the 50% limit on using 128(a) funds for site-specific activities; and
  - an explanation as to whether the sites to be addressed are those for which the affected community(ies) has requested work be conducted (refer to Section VI.A Overview of Funding for more information).
- c. EPA's Office of Brownfields and Land Revitalization will review waiver requests based on the information in the justification and other information available to the Agency. The EPA Project Officer will inform recipients whether the waiver is approved.

3. Uses related to site-specific activities at petroleum brownfield sites

States and tribes may use Section 128(a) funds for activities that establish or enhance response programs addressing petroleum brownfield sites. Subject to the restrictions listed above (see Section VI.D.1) for all site-specific activities, the costs of site-specific assessment and cleanup activities at petroleum brownfield sites, as defined in CERCLA section 101(39)(D)(ii)(II), are both eligible and allowable if the activity is included in the work plan negotiated between the EPA regional office and the state or tribe. Section 128(a) funds used to capitalize a Brownfields RLF may be used at brownfield sites contaminated by petroleum to the extent allowed under CERCLA section 104(k)(3).

4. Additional Examples of Eligible Site-Specific Activities

Other eligible uses of funds for site-specific related work include, but are not limited to, the following activities:

- technical assistance to federal CERCLA 104(k) brownfields cooperative agreement recipients;
- development and/or review of quality assurance project plans ("QAPPs"); and

- entering data into the Assessment Cleanup and Redevelopment Exchange System (“ACRES”) database.

### **E. Uses related to activities at “non-brownfield” sites**

Other uses not specifically referenced in this guidance may also be eligible and allowable. Recipients should consult with their EPA Project Officer for additional guidance. Costs incurred for activities at non-brownfield sites may be eligible and allowable if such activities are included in the state’s or tribe’s work plan. *Direct assessment and cleanup activities may only be conducted on eligible brownfield sites, as defined in CERCLA Section 101(39).*

## **VII. GENERAL PROGRAMMATIC GUIDELINES FOR SECTION 128(a) GRANT FUNDING REQUESTS**

Funding authorized under Section 128(a) is awarded through a cooperative agreement<sup>15</sup> between EPA and a state or a tribe (the cooperative agreement recipient (“CAR”)). The program administers cooperative agreements under the *Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards* regulations for all entity types including states, tribes, and local governments found in the Code of Federal Regulations (CFR) at 2 CFR Part 200 and any applicable EPA regulations at 2 CFR Part 1500, as well as applicable provisions of 40 CFR Part 35 Subparts A and B. Under these regulations, the CAR for a Section 128(a) grant is the government to which a cooperative agreement is awarded and which is accountable for use of the funds provided.

The CAR is the legal entity even if only a particular component of the entity is designated in the cooperative agreement award document. Further, unexpended balances of cooperative agreement funds are subject to restrictions under 40 CFR 35.118 and 40 CFR 35.518. EPA allocates funds to state and tribal response programs consistent with 40 CFR 35.420 and 40 CFR 35.737.

### **A. One application per state or tribe**

Subject to the availability of funds, EPA regional offices will negotiate and enter into Section 128(a) cooperative agreements with eligible and interested states or tribes. EPA will accept only one application from each eligible state or tribe.

### **B. Maximum funding request**

For Fiscal Year 2022, EPA will consider funding requests up to a maximum of \$1.0 million per CAR. Please note that demand for this program continues to increase. Due to the increasing number of entities requesting funding, it is possible that individual CAR funding amounts in FY22 will be less than FY21 individual funding amounts.

### **C. Define the state or tribal response program**

CARs must define in their work plan the Section 128(a) response program(s) to which the funds will be applied and may designate a component of the state or tribe that will be EPA’s primary point of contact. When EPA funds the Section 128(a) cooperative agreement, CARs may distribute these funds among the appropriate state and tribal agencies that are part of the Section 128(a) response program. This distribution must be clearly outlined in their annual work plan.

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<sup>15</sup> A cooperative agreement is an agreement with a state/tribe that includes substantial involvement by the EPA on activities described in the work plan, which may include technical assistance, collaboration on program priorities, etc.

#### **D. Separate cooperative agreements for the capitalization of RLFs using Section 128(a) funds**

If a portion of the Section 128(a) grant funds requested will be used to capitalize a revolving loan fund for cleanup, pursuant to section 104(k)(3), two separate cooperative agreements must be awarded (i.e., one for the RLF and one for non-RLF uses). States and tribes must, however, submit one initial request for funding, delineating the RLF as a proposed use. Section 128(a) funds used to capitalize an RLF are not eligible for inclusion into a Performance Partnership Grant (PPG).

#### **E. Authority to manage a revolving loan fund program**

If a state or tribe chooses to use its Section 128(a) funds to capitalize a revolving loan fund program, the state or tribe must have the lead authority to manage the program (e.g., hold funds, make loans, enter into loan agreements, collect repayment, access and secure the site in event of an emergency or loan default). If the agency/department listed as the point of contact for the Section 128(a) cooperative agreement does not have this authority, it must be able to demonstrate that another agency within that state or tribe has the authority to manage the RLF and is willing to do so.

#### **F. Section 128(a) cooperative agreements can be part of a Performance Partnership Grant (PPG)**

States and tribes may include Section 128(a) cooperative agreements in their PPG as described in 69 Fed. Reg. 51,756 (2004). Section 128(a) funds used to capitalize an RLF or purchase environmental insurance or develop a risk sharing pool, an indemnity pool, or insurance mechanism to provide financing for response actions under a state or tribal response program are not eligible for inclusion in the PPG.

#### **G. Project period**

EPA regional offices will determine the project period for each cooperative agreement. These may be for multiple years depending on the regional office's cooperative agreement policies. Notwithstanding this potential overall structure, each cooperative agreement must have an annual budget period tied to an annual work plan. While not prohibited, pre-award costs are subject to 40 CFR 35.113 and 40 CFR 35.513 as well as 2 CFR 200.458.

#### **H. Demonstrating the four elements**

As part of the annual work plan negotiation process, CARs that do not have VRP MOAs must demonstrate that their program includes, or is taking reasonable steps to include, the four elements described in Section IV. EPA will not fund a CAR's annual work plan if EPA determines that these elements are not met, or reasonable progress is not being made. EPA may base this determination on the information the CAR provides to support its work plan, on progress reports, or on EPA's review of the CAR's response program.

#### **I. Establishing and maintaining the public record**

Prior to funding a CAR's annual work plan, EPA regional offices will verify and document that a public record, as described in Section V and below, exists and is being maintained.<sup>16</sup> Specifically, for:

- CARs that received initial funding prior to FY21: Requests for FY22 funds will not be accepted from states or tribes that fail to demonstrate, by the December 17, 2021 request deadline, that they established and are maintaining a public record. (*Note*, this would potentially impact any state or tribe that had a term and condition placed on their FY21 cooperative agreement that

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<sup>16</sup> This public record requirement applies to the CAR's response program(s) that utilized the Section 128(a) funding.

prohibited drawdown of FY21 funds prior to meeting the public record requirement). CARs in this situation will not be prevented from drawing down their prior year funds once the public record requirement is met; and

- CARs that received initial funding in FY21: By the time of the actual FY22 award, the CAR must demonstrate that they established and maintained the public record (those states and tribes that do not meet this requirement will have a term and condition placed on their FY22 cooperative agreement that prohibits the drawdown of FY22 funds until the public record requirement is met).

### **J. Demonstration of significant utilization of prior years' funding**

CARs should be aware that EPA and its Congressional appropriations committees place significant emphasis on the utilization of prior years' funding. Unused funds awarded prior to FY21 will be considered in the allocation process. Existing balances of cooperative agreement funds, as reflected in EPA's Financial Data Warehouse as of January 1, 2022, may result in a decreased allocation amount or, if appropriate, the de-obligation and reallocation of prior funding by EPA Regions, as provided for in 40 CFR 35.118 and 40 CFR 35.518.

If a CAR places their Section 128(a) funds into a PPG, they must be able to demonstrate their progress on the four statutory elements and the maintenance of the public record as an equivalent of demonstrating how they utilized prior year's funding.

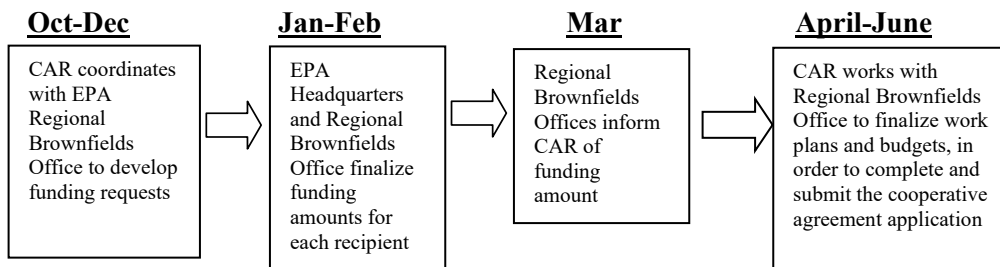
### **K. Allocation system and process for distribution of funds**

After the December 17, 2021 request deadline, EPA's regional offices will submit summaries of state and tribal requests and allocation recommendations to the Office of Brownfields and Land Revitalization ("OBLR"). Before doing so, regional offices may take into account additional factors when determining recommended allocation amounts. Such factors include, but are not limited to, the depth and breadth of the state or tribal program, and scope of the perceived need for funding (e.g., size of state or tribal jurisdiction or the proposed work plan balanced against capacity of the program, amount of current year funding, funds remaining from prior years, etc.).

After receipt of the regional recommendations, OBLR will consolidate requests and make decisions on the final funding allocations.

EPA regional offices will work with interested states and tribes to develop their preliminary work plans and funding requests. Final cooperative agreement work plans and budgets will be negotiated with the regional office once final allocation determinations are made.

The general schedule and process is illustrated below (*dates are estimates and subject to change*):



## **VIII. INFORMATION TO BE SUBMITTED WITH THE FUNDING REQUEST**

### **A. Funding Requests for entities that received Section 128(a) funding in previous years**

All cooperative agreement recipients (“CARs”) requesting FY22 funds must submit a summary of the planned use of Section 128(a) funds to their regional brownfields contact listed on the last page of this guidance.

#### **1. Each funding request should include the following:**

- a. Prepare a draft work plan and budget for your FY22 funding request. The funding requested should be reasonably spent in one year. As early as possible in the process, the CAR should work with their EPA Project Officer to ensure that the funding amount requested, and related activities, are reasonable. Please also contact your regional brownfields contact or visit <https://www.epa.gov/brownfields/state-and-tribal-response-program-grant-funding-guidance-resources> for a sample draft work plan.
- b. CARs who do not have a MOA with EPA: Include in your funding request and/or draft workplan an explanation of how your program includes, or is taking reasonable steps to include, the four elements described in Section VI. As noted in Section VII.H. above, this demonstration of the four elements is part of the annual work plan negotiation process.
- c. If your funds are in a PPG, your regional brownfields contact may allow for the funding request to be submitted in an alternative format. Please contact your EPA Project Officer for more information.
- d. In your funding request, note any un-spent funding amounts from prior years’ awards. This includes any funds that you, the CAR, have not received or drawn down in payments (i.e., funds EPA has obligated for grants that remain in EPA’s Financial Data Warehouse) and disbursed. EPA will consider these funds in the allocation process when determining the CAR’s programmatic needs. The CAR should include a detailed explanation and justification of prior year funds that remain in EPA’s Financial Data Warehouse. The CAR should consult with the region regarding the amount of unspent funds which require explanation to ensure they have addressed the full amount of any remaining balance.

#### **2. Programmatic Capability – [Only Include if Specifically Requested by Region]**

- a. EPA Regions may request demonstration of Programmatic Capability if the returning CAR has experienced key staff turnover or has open programmatic review findings.
- b. The CAR’s corresponding EPA Region will notify returning recipients if the information below is required; if so, it must be included with your funding request.
  - i. Describe the organizational structure you will utilize to ensure sound program management to guarantee or confirm timely and successful expenditure of funds, and completion of all technical, administrative, and financial requirements of the program and cooperative agreement.
  - ii. Include a brief description of the key qualifications of staff to manage the response program and/or the process you will follow to hire staff to manage the response program. If key staff is already in place, include their roles, expertise, qualifications, and experience.

- iii. Discuss how this response program fits into your current environmental program(s). If you do not have an environmental program, describe your process to develop, or interest to start one.
- iv. Describe if you have had adverse audit findings. If you had problems with the administration of any grants or cooperative agreements, describe how you have corrected, or are correcting, the problems.

***B. Funding Requests for Entities that have never received CERCLA 128(a) funding***

*All first-time requestors are strongly encouraged to contact their Regional EPA Brownfields contacts, listed on the last page of this guidance, prior to submitting their funding request.*

***1. Each funding request should include the following:***

- a. Describe your plan to establish a response program, why it is a priority for your state or tribe, and why CERCLA 128(a) funding will be beneficial to your program. If your tribe is already supported by a tribal consortium receiving CERCLA 128(a) funding, explain why additional resources are necessary.
- b. Prepare a draft work plan and budget for your first funding year. The funding requested should be reasonably spent in one year. The requestor should work, as early as possible, with their EPA regional program contact to ensure that the funding amount requested, and related activities, are reasonable.
- c. For budget planning purposes, it is recommended that you assume funding sufficient to support 0.5 staff to establish a response program and travel to attend regional and national trainings or events.
- d. Please contact your regional brownfields contact or visit <https://www.epa.gov/brownfields/state-and-tribal-response-program-grant-funding-guidance-resources> for sample draft work plans.

***2. Programmatic Capability.***

- a. Describe the organizational structure you will utilize to ensure sound program management to guarantee or confirm timely and successful expenditure of funds, and completion of all technical, administrative and financial requirements of the program and cooperative agreement.
- b. Include a brief description of the key qualifications of staff to manage the response program and/or the process you will follow to hire staff to manage the response program. If key staff is already in place, include their roles, expertise, qualifications, and experience.
- c. Discuss how this response program fits into your current environmental program(s). If you do not have an environmental program, describe your process to develop, or interest to start one.
- d. Describe if you have had adverse audit findings. If you had problems with the administration of any grants or cooperative agreements, describe how you have corrected, or are correcting, the problems.

## **IX. TERMS AND REPORTING**

Once EPA makes final determinations with respect to funding requests and allocations of funds, the CAR will work with the appropriate EPA regional office to negotiate a cooperative agreement, which includes a final work plan and budget. Cooperative agreements between EPA and CARs will include programmatic and administrative terms and conditions. These terms and conditions will describe EPA's substantial involvement,

including technical assistance and collaboration on program development and prior approvals for site-specific activities. Each of the subsections below summarizes the basic terms and conditions and related reporting that will be incorporated into your cooperative agreement.

### **A. Progress reports**

In accordance with 2 CFR 200.329 and related EPA-specific regulations, CARs must provide progress reports meeting the terms and conditions of their negotiated cooperative agreement. CAR costs for complying with reporting requirements are an eligible expense under the Section 128(a) cooperative agreement. At a minimum, progress reports must include both a narrative discussion and performance data relating to the CAR's accomplishments and environmental outputs associated with the approved budget and work plan.

Reports must also provide an accounting of Section 128(a) funding. If applicable, the CAR must include information on activities related to establishing or enhancing the four statutory elements of the CAR's response program. All CARs must provide information related to establishing or, if already established, maintaining the public record.

Depending upon the activities included in the CAR's work plan, the CAR will also need to report on the following:

1. *Interim and final progress reports.* Reports must prominently display the following information, as reflected in the current EPA strategic plan: Strategic Plan Goal 1: Core Mission: Deliver real results to provide Americans with clean air, land, and water, and ensure chemical safety; Strategic Plan Objective 1.3: Revitalize Land and Prevent Contamination; and Work Plan Commitments and Timeframes. EPA's strategic plan can be found on the internet at <http://www.epa.gov/planandbudget/strategicplan.html>.
2. *Reporting for Non-MOA states and tribes.* All CARs without a VRP MOA must report activities related to establishing or enhancing the four elements of its response program. For each element CARs must report how they are maintaining the element or how they are taking reasonable steps to establish or enhance the element as negotiated in individual CAR work plans. For example, pursuant to CERCLA section 128(a)(2)(B), reports on the oversight and enforcement authorities/mechanisms element may include a:
  - narrative description and copies of applicable documents developed or under development to enable the response program to conduct enforcement and oversight at sites. For example:
    - legal authorities and mechanisms (e.g., statutes, regulations, orders, agreements); and
    - policies and procedures to implement legal authorities; and other mechanisms;
  - description of the resources and staff allocated/to be allocated to the response program to conduct oversight and enforcement at sites as a result of the cooperative agreement;
  - narrative description of how these authorities or other mechanisms, and resources, are adequate to ensure that:
    - a response action will protect human health and the environment; and be conducted in accordance with applicable federal and state laws; and if the person conducting the response action fails to complete the necessary response activities, including operation and maintenance or long-term monitoring activities, the necessary response activities will be completed; and
  - narrative description and copy of appropriate documents demonstrating the exercise of



oversight and enforcement authorities by the response program at a brownfield site.

3. *Reporting for site-specific assessment or cleanup activities.*

CARs with work plans that include funding for *brownfield site assessment or cleanup* must input information required by the OMB-approved Property Profile Form into the ACRES database for each site assessment and/or and cleanup.

In addition, per CERCLA Section 128(a)(2)(C)(ii), CARs must report how they will provide the affected community with prior notice and opportunity for meaningful participation on proposed cleanup plans and site activities. For example, EPA strongly encourages CARs to seek public input regarding the priority of sites to be addressed and to solicit input from local communities, communities with a health risk related to exposure to hazardous waste or other public health concerns, economically disadvantaged or remote communities, and communities with limited experience working with government agencies.

4. *Reporting for other site-specific activities.*

CARs with work plans that include funding for *other site-specific related activities* must include a description of the site-specific activities and the number of sites at which the activity was conducted. For example, the:

- number and frequency of oversight audits of licensed site professional certified cleanups;
- number and frequency of state/tribal oversight audits conducted;
- number of sites where staff conducted audits, provided technical assistance, or conducted other oversight activities; and
- number of staff conducting oversight audits, providing technical assistance, or conducting other oversight activities.

5. *Reporting required when using funding for an RLF.* CARs with work plans that include funding for a revolving loan fund must include the information required by the terms and conditions for progress reporting under CERCLA section 104(k)(3) RLF cooperative agreements.

6. *Reporting environmental insurance.* CARs with work plans that include funding for environmental insurance must report the:

- number and description of insurance policies purchased (e.g., name of insurer, type of coverage provided, dollar limits of coverage, any buffers or deductibles, category and identity of insured persons, premium, first dollar or umbrella, whether site specific or blanket, occurrence or claims made, etc.);
- number of sites covered by the insurance;
- amount of funds spent on environmental insurance (e.g., amount dedicated to insurance program, or to insurance premiums); and
- amount of claims paid by insurers to policy holders.

7. *EPA Regional Office discretion to request additional information*

EPA's regional offices may also request that additional information be added to the progress reports, as appropriate, to properly document activities described by the cooperative agreement work plan. EPA regions may allow CARs to provide performance data in appropriate electronic format.

The regional offices will forward progress reports to EPA Headquarters, if requested. This information may be used to develop national reports on the outcomes of Section 128(a) funding to states and tribes.

## **B. Reporting of program activity levels**

By December 17, 2021, CARs must report a summary of the *previous federal fiscal year's* work (October 1, 2020 through September 30, 2021), known as Program Activity Levels (PALs).

EPA strongly encourages reporting this information directly in [EPA's Assessment, Cleanup and Redevelopment Exchange System \(ACRES\) database](#). For a quick reference guide with detailed instructions on how to report PALs in ACRES, and information on upcoming trainings, please see <https://www.epa.gov/brownfields/brownfields-grantee-reporting-using-assessment-cleanup-and-redevelopment-exchange>.

PALs information may also be submitted by filling out the form found at <https://www.epa.gov/brownfields/program-activity-levels-pals-reporting-form> and providing it to the appropriate EPA regional office along with the FY22 funding request.

## **C. Reporting of public record**

All CARs must report information related to establishing, or if already established, maintaining a public record, as specified in the terms and conditions of their cooperative agreement and Section VII.I of this guidance.

To meet this reporting requirement, a CAR needs to demonstrate that the public record: a) exists, b) is up-to-date, and c) is adequate. CARs can refer to an existing public record (e.g., website or other public database) to meet the public record requirement

A public record must, as appropriate, include the following information:

1. A list of sites at which response actions have been completed in the past year, including:
  - date the response action was completed;
  - site name;
  - name of owner at time of cleanup, if known;
  - location of the site (street address, and latitude and longitude);
  - whether an institutional control is in place;
  - type of institutional control(s) in place (e.g., deed restriction, zoning restriction, local ordinance, state registries of contaminated property, deed notices, advisories, etc.);
  - nature of the contamination at the site (e.g., hazardous substances, contaminants or pollutants, petroleum contamination, etc.); and
  - size of the site in acres.
2. A list of sites planned to be addressed by the state or tribal response program in the coming year, including:
  - site name and the name of owner at time of cleanup, if known;
  - location of the site (street address, and latitude and longitude);
  - to the extent known, whether an institutional control is in place;
  - type of the institutional control(s) in place (e.g., deed restriction, zoning restriction, local ordinance, state registries of contaminated property, deed notices, advisories, etc.);

- to the extent known, the nature of the contamination at the site (e.g., hazardous substances, contaminants, or pollutants, petroleum contamination, etc.); and
- size of the site in acres.

#### **D. Updating the State Brownfields and Voluntary Response Programs Report in ACRES**

State CARs will have a new requirement starting in FY22. The *State Brownfields and Voluntary Response Program Report* that was previously a .pdf document and published periodically<sup>17</sup> will now be a dynamic report in ACRES. Starting in FY22, State CARs will need to update their state response program information in ACRES at least once a year (or more often, if appropriate), so that EPA has accurate, up-to-date information to share with the public. EPA anticipates that this annual update will occur when states are already in the ACRES database performing other required ACRES updates, reducing the administrative burden.

For FY22, the new State Brownfields and Voluntary Response Programs database in ACRES will be “live” and available for editing starting on November 1, 2021. State CARs will need to have their updates complete by the December 17, 2021 funding request due date.

For a quick reference guide with detailed instructions on how to update your state brownfields information in ACRES, and information on upcoming trainings, please see <https://www.epa.gov/brownfields/brownfields-grantee-reporting-using-assessment-cleanup-and-redevelopment-exchange>.

#### **E. Cooperative Agreement Award administration information**

##### 1. Subaward and executive compensation reporting

Applicants must ensure that they have the necessary processes and systems in place to comply with the subaward and executive total compensation reporting requirements established under OMB guidance at 2 CFR Part 170, unless they qualify for an exception from the requirements, should they be selected for funding.

##### 2. System for Award Management (SAM) and Data Universal Numbering System (DUNS) Requirements

Unless exempt from these requirements under OMB guidance at 2 CFR Part 25\_(e.g., individuals), applicants must:

- Be registered in SAM prior to submitting an application or proposal under this announcement. SAM information can be found at <https://www.sam.gov/portal/public/SAM/>;
- Maintain an active SAM registration with current information at all times during which they have an active federal award or an application or proposal under consideration by an agency; and
- Provide their DUNS number in each application or proposal submitted to the agency. Applicants can receive a DUNS number, at no cost, by calling the dedicated toll-free DUNS

<sup>17</sup> A copy of the 2017 *State Brownfields and Voluntary Response Programs Report* can be found at: [https://www.epa.gov/sites/default/files/2017-2/documents/state\\_brownfields\\_voluntary\\_response\\_program\\_report\\_508\\_11-2017\\_web.pdf](https://www.epa.gov/sites/default/files/2017-2/documents/state_brownfields_voluntary_response_program_report_508_11-2017_web.pdf)

Number request line at 1-866-705-5711, or visiting the D&B website at: <http://www.dnb.com>

**If an applicant fails to comply with these requirements, it will affect their ability to receive the award.**

Please note that the Central Contractor Registration (CCR) system has been replaced by the System for Award Management (SAM). To learn more about SAM, go to [SAM.gov](http://SAM.gov) or <https://www.sam.gov/portal/public/SAM/>.

3. Submitting an application via Grants.gov

a. If Section 128(a) funding is allocated to a requestor, it will be provided through a cooperative agreement award. All cooperative agreement applications for non-competitive assistance agreement awards must be submitted using Grants.gov. Below is the information that the applicant will use to submit their State and Tribal Response Program Grant applications via grants.gov:

CDFA number: 66.817

Funding Opportunity Number (FON): EPA-CEP-02

To learn more about the Grants.gov submission requirements, go to <https://www.epa.gov/grants/how-apply-grants>.

**b. Recipients should only submit their *final work plan* via Grants.gov. The draft work plan due on December 17, 2021 should *not* be submitted via Grants.gov. The draft work plan should be emailed to the regional contact listed at the end of this guidance.**

c. When the EPA Project Officer informs you when to submit your final work plan in Grants.gov, it must be submitted using the “Workspace” feature. Information on the Workspace feature can be found at Grants.gov Workspace Overview Page.

4. Use of funds

An applicant that receives an award under this announcement is expected to manage assistance agreement funds efficiently and effectively and make sufficient progress towards completing the project activities described in the work plan in a timely manner. The cooperative assistance agreement will include terms and conditions related to this requirement.

## REGIONAL STATE AND TRIBAL BROWNFIELDS CONTACTS

REGION	STATE	TRIBAL
<b>1</b> CT, ME, MA, NH, RI, VT	<b>AmyJean McKeown</b> 5 Post Office Square, Suite 100 (OSRR07-2) Boston, MA 02109-3912 <b>Phone</b> (617) 918-1248 <b>Fax</b> (617) 918-1294 mckeown.amyjean@epa.gov	<b>AmyJean McKeown</b> 5 Post Office Square, Suite 100 (OSRR07-2) Boston, MA 02109-3912 <b>Phone</b> (617) 918-1248 <b>Fax</b> (617) 918-1294 mckeown.amyjean@epa.gov
<b>2</b> NJ, NY, PR, VI	<b>John Struble</b> 290 Broadway, 25th Floor New York, NY 10007-1866 <b>Phone</b> (212) 637-4291 <b>Fax</b> (212) 637-3083 struble.john@epa.gov	<b>John Struble</b> 290 Broadway, 25th Floor New York, NY 10007-1866 <b>Phone</b> (212) 637-4291 <b>Fax</b> (212) 637-3083 struble.john@epa.gov
<b>3</b> DE, DC, MD, PA, VA, WV	<b>Mike Taurino</b> 1650 Arch Street (3HS51) Philadelphia, PA 19103 <b>Phone</b> (215) 814-3371 <b>Fax</b> (215) 814-3274 taurino.michael@epa.gov	<b>Mike Taurino</b> 1650 Arch Street (3HS51) Philadelphia, PA 19103 <b>Phone</b> (215) 814-3371 <b>Fax</b> (215) 814-3274 taurino.michael@epa.gov
<b>4</b> AL, FL, GA, KY, MS, NC, SC, TN	<b>Cindy Nolan</b> 61 Forsyth Street, S.W, 10TH FL (9T25) Atlanta, GA 30303-8960 <b>Phone</b> (404) 562-8425 <b>Fax</b> (404) 562-8788 nolan.cindyj@epa.gov	<b>Cindy Nolan</b> 61 Forsyth Street, S.W, 10TH FL (9T25) Atlanta, GA 30303-8909 <b>Phone</b> (404) 562-8425 <b>Fax</b> (404) 562-8788 nolan.cindyj@epa.gov
<b>5</b> IL, IN, MI, MN, OH, WI	<b>Keary Cragan</b> 77 West Jackson Boulevard (SB-5J) Chicago, IL 60604-3507 <b>Phone</b> (312) 353-5669 <b>Fax</b> (312) 692-2161 cragan.keary@epa.gov	<b>Rosita Clarke</b> 77 West Jackson Boulevard (SB-5J) Chicago, IL 60604-3507 <b>Phone</b> (312) 886-7251 <b>Fax</b> (312) 697-2075 clarke.rosita@epa.gov
<b>6</b> AR, LA, NM, OK, TX	<b>Ana Esquivel</b> 1201 Elm Street, Suite 500 Dallas, Texas 75270-2102 <b>Phone</b> (214) 665-3163 <b>Fax</b> (214) 665-6660 esquivel.ana@epa.gov	<b>Elizabeth Reyes</b> 1201 Elm Street, Suite 500 Dallas, Texas 75270-2102 <b>Phone</b> (214) 665-2194 <b>Fax</b> (214) 665-6660 reyes.elizabeth@epa.gov
<b>7</b> IA, KS, MO, NE	<b>Susan Klein</b> 11201 Renner Boulevard (LCRD/BSPR) Lenexa KS 66219 <b>Phone</b> (913) 551-7786 klein.susan@epa.gov	<b>Jennifer Morris</b> 11201 Renner Boulevard ((LCRD/BSPR) Lenexa KS 66219 <b>Phone</b> (913) 551-7341 morris.jennifer@epa.gov
<b>8</b> CO, MT, ND, SD, UT, WY	<b>Christina Wilson</b> 1595 Wynkoop Street (8LCR-BR) Denver, CO 80202-1129 <b>Phone</b> (303) 312-6706 <b>Fax</b> (303) 312-6065 wilson.christina@epa.gov	<b>Melisa Devincenzi</b> 1595 Wynkoop Street (8LCR-BR) Denver, CO 80202-1129 <b>Phone</b> (303) 312-6377 <b>Fax</b> (303) 312-6962 devincenzi.melisa@epa.gov
<b>9</b> AZ, CA, HI, NV, AS, GU, MP	<b>Jose Garcia, Jr.</b> 600 Wilshire Blvd, Suite 1460 Los Angeles, CA 90017 <b>Phone</b> (213) 244-1811 <b>Fax</b> (213) 244-1850 garcia.jose@epa.gov	<b>Jose Garcia, Jr.</b> 600 Wilshire Blvd, Suite 1460 Los Angeles, CA 90017 <b>Phone</b> (213) 244-1811 <b>Fax</b> (213) 244-1850 garcia.jose@epa.gov
<b>10</b> AK, ID, OR, WA	<b>Madison Sanders-Curry</b> 1200 Sixth Ave, Suite 155 (mail code 15-H04) Seattle, WA 98101 <b>Phone</b> (206) 553-1889 <b>Fax</b> 206 553-8581 sanders-curry.madison@epa.gov	<b>Madison Sanders-Curry</b> 1200 Sixth Ave, Suite 155 (mail code 15-H04) Seattle, WA 98101 <b>Phone</b> (206) 553-1889 <b>Fax</b> (206) 553-8581 sanders-curry.madison@epa.gov

## **APPENDIX A: FUNDING GUIDANCE FOR CERCLA SECTION 128(a) TECHNICAL ASSISTANCE GRANTS**

Section 128(a)(1)(B)(ii)(III) of the Comprehensive Environmental Response, Compensation, and Liability Act (“CERCLA”), as amended, authorizes a noncompetitive \$1.5 million<sup>18</sup> technical assistance grant (“Section 128(a) TAG”) program to assist small communities,<sup>19</sup> Indian tribes,<sup>20</sup> rural areas, or disadvantaged areas<sup>21</sup> to carry out activities outlined in CERCLA Section 104(k)(7) (e.g. providing training, research, and technical assistance to individuals and organizations to facilitate the inventory of brownfields sites, site assessments, remediation of brownfield sites, community involvement, or site preparation). These funds may not be used to augment an existing CERCLA 128(a) State and Tribal Program and may not be placed in Performance Partnership Grants (“PPGs”). For additional information on Section 128(a) TAG, see the Section 128(a) TAG fact sheet at <https://www.epa.gov/brownfields/state-and-tribal-response-program-grants>.

Cooperative agreement recipients (“CARs”) with active CERCLA Section 128(a) grants who are requesting funds in fiscal year (FY) 2022 are eligible to submit one request on behalf of a small community, Indian tribe, rural area, or disadvantaged area. The maximum amount of funding allowed is \$20,000. The funding will be awarded as part of the FY22 Section 128(a) funding grant.

Requests will be considered based on the following:

- readiness of the recipient and community to complete the project within a year of award,
- the recipient is in good standing with their current CERCLA Section 128(a) grant,
- the recipient has documented support from the community benefiting from this grant, and
- the recipient adequately responds to the criteria listed below.

Requests should be no more than 2-3 pages and should include the following:

1. the amount of funding requested,
2. a description of the target community and how it meets the definition of a small community, Indian tribe, rural area, or disadvantaged area,
3. a description of the proposed project, including a description of key activities and how it will further brownfields reuse,
4. the expected outcomes and timeline to complete the project,
5. how/who will be conducting the activities (e.g., state, tribe, contractor)<sup>22</sup>
6. if additional resources are necessary to complete the project, please explain how you will secure them,
7. an explanation of why existing state or tribal funding is inadequate to complete the proposed project,
8. a demonstration that the community supports the state or tribe receiving the grant; this may be a separate letter attached to the submission, and
9. if the CAR has previously received Section 128(a) TAG, include a brief update on the previous project’s status or successful completion.

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<sup>18</sup> If EPA receives over \$1.5 million in requests, it will evaluate projects based on criteria listed in Appendix A. EPA will prioritize fully funding high quality projects until appropriation cap is reached.

<sup>19</sup> CERCLA Section 128(a)(1)(B)(iv)(II) defines Small Community as a community with a population of not more than 15,000 individuals, as determined by the President based on the latest available decennial census.

<sup>20</sup> CERCLA Section 101(36) defines Indian Tribe.

<sup>21</sup> CERCLA Section 128(a)(1)(B)(iv)(I) defines Disadvantaged Area as a community with an annual median household income that is less than 80 percent of the statewide annual median household income, as determined by the President based on the latest available decennial census

<sup>22</sup> If a state or tribe plans to use a contractor or provide a subaward, states and tribes will have to follow EPA’s general procurement terms and conditions, as well as any relevant state or tribal requirements.