



## **Welcome to the CLU-IN Internet Seminar**

### **FY2011 Brownfields Proposal Guidelines Orientation**

Sponsored by: U.S. EPA Region 5 Brownfields Program

Delivered: September 9, 2010, 10:30 AM - 12:30 PM, EDT (9:30 AM-11:30 AM CDT)

*Instructors:*

*Matthew Didier, EPA Brownfields Project Officer/Manager ([didier.matthew@epa.gov](mailto:didier.matthew@epa.gov))*

*Michael Gifford, EPA Brownfields Project Officer/Manager ([gifford.michael@epa.gov](mailto:gifford.michael@epa.gov))*

*Keary Cragan, EPA Brownfields Project Officer/Manager ([cragan.keary@epa.gov](mailto:cragan.keary@epa.gov))*

*Jan Pels, EPA Brownfields Project Officer/Manager ([pels.jan@epa.gov](mailto:pels.jan@epa.gov))*

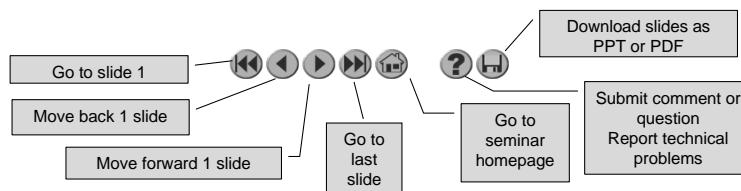
*Moderator:*

*Jan Pels, EPA Brownfields Project Officer/Manager ([pels.jan@epa.gov](mailto:pels.jan@epa.gov))*

*Visit the Clean Up Information Network online at [www.cluin.org](http://www.cluin.org)*

# Housekeeping

- Please mute your phone lines, Do NOT put this call on hold
  - press \*6 to mute #6 to unmute your lines at anytime
- Q&A
- Turn off any pop-up blockers
- Move through slides using # links on left or buttons



- This event is being recorded
- Archives accessed for free <http://clu.in.org/live/archive/>

2

Although I'm sure that some of you have these rules memorized from previous CLU-IN events, let's run through them quickly for our new participants.

Please mute your phone lines during the seminar to minimize disruption and background noise. If you do not have a mute button, press \*6 to mute #6 to unmute your lines at anytime. Also, please do NOT put this call on hold as this may bring delightful, but unwanted background music over the lines and interrupt the seminar.

You should note that throughout the seminar, we will ask for your feedback. You do not need to wait for Q&A breaks to ask questions or provide comments. To submit comments/questions and report technical problems, please use the ? Icon at the top of your screen. You can move forward/backward in the slides by using the single arrow buttons (left moves back 1 slide, right moves advances 1 slide). The double arrowed buttons will take you to 1<sup>st</sup> and last slides respectively. You may also advance to any slide using the numbered links that appear on the left side of your screen. The button with a house icon will take you back to main seminar page which displays our agenda, speaker information, links to the slides and additional resources. Lastly, the button with a computer disc can be used to download and save today's presentation materials.

With that, please move to slide 3.



## **EPA Region 5 Brownfields Grant Workshop: Understanding the FY2011 ARC Proposal Guidelines**





## Introduction

EPA Region 5 Brownfields  
Grant Workshop:

Understanding the FY2011 Brownfields  
Assessment, RLF and Cleanup (ARC)  
Proposal Guidelines

September 7 & 9, 2010

Presented by:  
US EPA Region 5  
Brownfields Program  
<http://www.epa.gov/R5Brownfields>



## Topics

- Brownfields Overview
- Types and Amounts of EPA Brownfields Grants
- Brownfields Competitive Grant Process
- Overview of Threshold Criteria
- ARC Threshold Criteria/Sub-Criteria
- Overview of Ranking Criteria
- ARC Ranking Criteria/Sub-Criteria
- Useful Application Preparation Tips
- Additional Resources and Final Questions



## Brownfields Overview





## Brownfields Mission

- EPA's Brownfields Program is designed to empower states, communities, and other stakeholders in economic redevelopment to work together in a timely manner to prevent, assess, safely clean up, and promote sustainable reuse of brownfields. The Program provides financial and technical assistance for brownfield revitalization, including grants for:
  - Environmental assessment
  - Cleanup
  - Job training



## Brownfields Definition

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

9/9/2010  
8





## **“Hazardous Substances, Pollutants, and Contaminants”**

- Hazardous Substances
- Petroleum Contamination
- Asbestos & Lead Paint are eligible
- Controlled Substances (e.g., Meth. labs)
- Mine-Scarred Lands
- Other environmental contaminants



*UST removal at Riverside Hills,  
Providence, Rhode Island*

9/9/2010  
9



## Benefits of Brownfields Revitalization

- Protects human health and the environment
- Increases local tax base
- Facilitates new job growth
- Utilizes existing infrastructure
- Takes development pressure off undeveloped land
- Prevents sprawl
- Supports cleaner air
- Reduces habitat destruction
- Many more



*The revitalized Gateway District in Salt Lake City, Utah*



## EPA's Investment in Brownfields Grants

- *Since 1995*, EPA has awarded 2,619 brownfields grants totaling more than \$787M. This has helped:
  - Assess more than 14,900 properties.
  - Leverage more than \$14 billion in brownfields cleanup and redevelopment funding from the private and public sectors.
  - Generated more than 61,277 jobs.

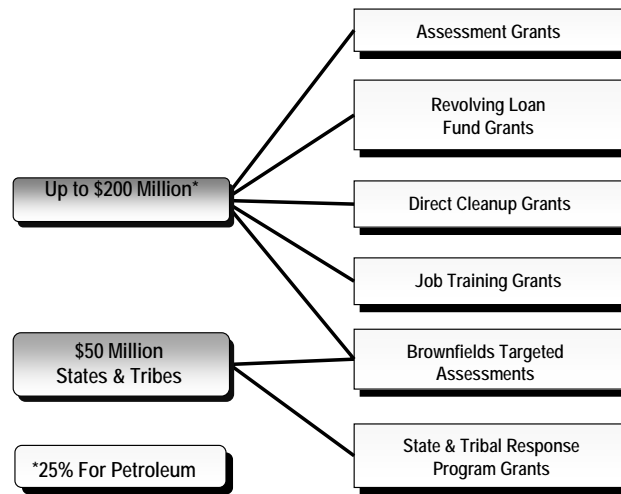


## Types and Amounts of EPA Brownfields Grants





## Authorized Brownfield Funding



9/9/2010  
13

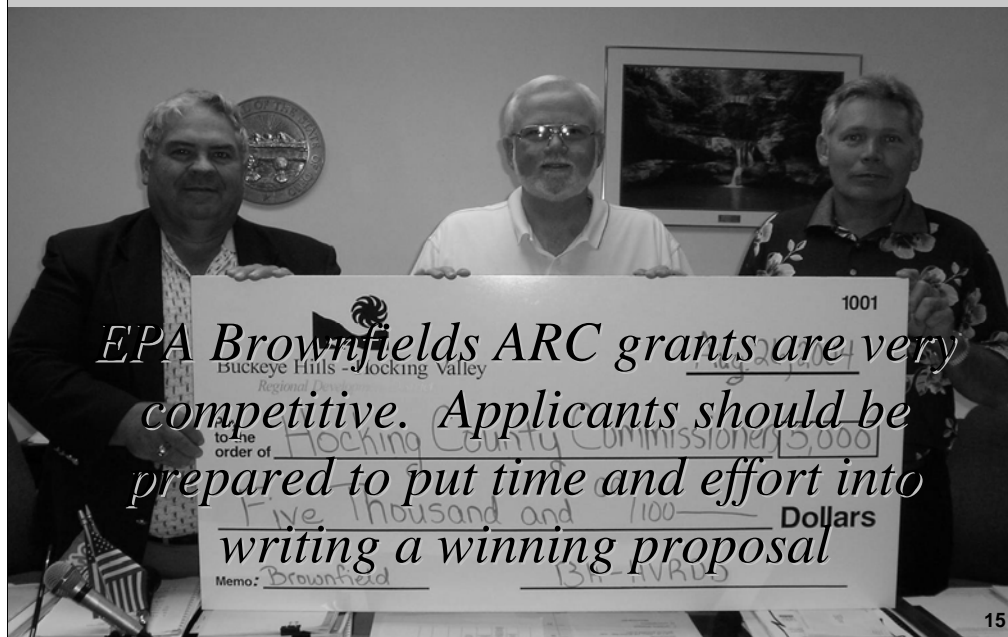


## **Brownfields Assessment, Revolving Loan Fund, and Cleanup (ARC) Grants**

- **Assessment**
- **Revolving Loan Fund (RLF)**
- **Cleanup**
- ❖ **Grant types listed above commonly referred to as  
ARC Grants!**
- Also referred to as:
  - 104(k) grants
  - Competitive brownfields grants
  - Pilots: out-of-date terminology



## Brownfields Competitive Grant Program





## **FY2010 Brownfields ARC Grant Program**

- In FY 2010, EPA received over **650** Proposals for funding
  - Selected 304 grants nationally (\$78.9 million)
    - 188 assessment grants
    - 99 cleanup grants
    - 17 RLF grants
- In FY 2010, Region 5 (6 States and 15 Tribes) received 220 proposals for funding:
  - Funded 71 proposals (~ \$27 million)
    - 45 Assessment proposals funded
    - 17 Clean-up proposals funded
    - 9 new RLF proposals funded
  - \* In addition, R5 existing RLF grantees received \$7.345 mil in supplemental funding.





## FY2011 Proposal Timeline

- August 19, 2010 – ARC Requests for Proposals (RFP)
- October 15, 2010 – Proposal Submission Deadline (must be postmarked by Oct. 15, or if electronic submittal, received by [www.grants.gov](http://www.grants.gov) by 11:59 p.m. Eastern Time Oct. 15, 2010. See guidance.)
- April 2011 – Approx. \$92.9 million to be awarded nationwide
- Awardees should have funds available around Oct. 1, 2011



## Brownfields ARC Grants – Getting Started

- FY2010 Proposal Guidelines for ARC Grants are @:  
[www.epa.gov/brownfields](http://www.epa.gov/brownfields)  
or @:  
**[www.grants.gov](http://www.grants.gov)**

❖ This training is ***NO SUBSTITUTE*** for reading and closely following the detailed Guidelines!

Proposals may be submitted via [www.grants.gov](http://www.grants.gov) or hard copy (see guidance). If using grants.gov, a hard copy must also be sent to the regional BF coordinator.



## Assessment Grant Program

- To inventory, characterize, assess, and conduct planning and community involvement related to brownfield sites.
- **Community-wide, Site-specific** (single site) and **Assessment Coalition Grants**:
  - **Community-wide**
    - Up to \$200,000 for hazardous substance (including asbestos, lead paint, other environmental hazards, or up to \$200,000 for petroleum.
    - Applicant can apply in **ONE community-wide assessment proposal** for \$200k Hazardous Substance and \$200k Petroleum, for a combined total of \$400k.

9/9/2010  
19



## Assessment Grant Program *(con't)*

- Site-specific
  - Up to \$200,000 for petroleum or hazardous substances (or co-mingled)
    - ✓ Up to \$350K per property with approved waiver.
    - ✓ No more than 1 application per eligible entity.
    - ✓ Site Eligibility and Property Ownership Eligibility *Threshold requirement.*



## Assessment Grant Program *(con't)*

### **Assessment Coalitions**

- Up to \$1 million for hazardous substance and/or petroleum (e.g. \$500k hazardous, \$500k petroleum)
  - ✓ **3 or more** eligible entities
  - ✓ Must assess a minimum of 5 sites
  - ✓ Coalition members are not eligible to apply for individual Community-wide or Site-specific Assessment grants in the year they apply as part of a coalition.



## Assessment Applicant Options

An applicant applying for an assessment grant can do the following combinations:

- up to 3 grant proposals (2 community-wide not to exceed \$400k and 1 site-specific not to exceed \$350k)

OR

- 1 proposal as part of a coalition not to exceed \$1 M if not applying for individual assessment funds

Community Wide	Site Specific	Coalitions
Up to \$200,000 for hazardous substances <i>and</i> \$200,000 for petroleum addressing the same community.	Up to \$200,000 for petroleum <i>or</i> hazardous substances (co-mingled)	Up to \$1 million per coalition. <i>Coalition Members can <b>NOT</b> apply for individual assessment funding.</i>
	May request a waiver for up to \$350,000	
Maximum Combined Amount \$400,000	Maximum Amount \$350,000	Maximum Amount \$1 million

9/9/2010  
22



## Assessment Success Story – Indianapolis, IN

- Area-wide assessment of 75 parcels
- Completed 25 residential units;
  - Many with green building elements;
- More homes under construction;
- Commercial and greenspace also being constructed



9/9/2010  
23

**-Canyon Creek (2004-2007):** Located in Ouray County, CO the project assessed 231 mining claims over approximately 2,200 acres. (*Assessment Grant*)

-Resulted in transfer of numerous claims to public ownership

-10 claims with greatest envi impact IDed and sampled in advance of cleanup efforts



## Revolving Loan Fund Grant Program

- Only applicants who do not have an existing RLF may apply in 2011
- To make loans and subgrants to carryout cleanup activities at brownfields properties.
- Up to \$1M per eligible entity
- Coalitions may apply
- (Minimum) 50% loans
- (Maximum) 50%-cleanup subgrants
- Cost share requirement of 20%
- Nonprofit organizations are not eligible apply.
- May request waiver of subgrant limitation on a case by case basis once the grant is awarded



9/9/2010  
24

•An eligible entity can apply for up to \$1M for a RLF grant. This grant is a three tier process, the funds flow from EPA-Grant Recipient-Loan Recipient. These funds are generally used to provide no-interest or low interest loans to Site Owners, Developers and others; including non-profit organizations

•Up to 40% can be used for RLF Cleanup subgrants and 60% or more to capitalize a RLF

•With RLF grants, there is a 20% match share requirement, unless a hardship waiver is granted (Can be in the form of a contribution of labor, money, labor, material or services as well as fees from loan recipients)

•Grant funds can be use to purchase insurance





## Former Ottawa Street Power Station Lansing, MI

- Coal-fired power plant constructed in 1930s and vacant for 10+ yrs
- Historic structure in both design features and appearance
- Wide-spread soil and ground water contamination from historical industrial and commercial operations in project area
- Hazardous building materials including asbestos and lead paint





## Planned Sustainable and LEED Aspects of Project

- Buildings will be LEED certified
- Attention to indoor air and environmental quality by using low VOC-emitting materials, maximizing day lighting and views, and thermal comfort
- Use of under floor air distribution system allowing temp control of individual work areas
- Deconstruction waste mgmt by diverting 7,000 tons of material away from landfills including 800 tons of steel and 600 tons of concrete



26





## Former Montgomery Wards Dearborn, MI

- Built in 1937 at major downtown intersection
- Expanded to include fuel station and automotive repair
- Vacated in 2001
- Functionally obsolete with soil contamination beneath building
- After several failed attempts to reuse the site, the City took control in 2005





## Site Cleanup – Spring 2009

- Funded primarily by \$1.1M loan from DCC's RLF grant to Dearborn BRA
- Building demolished which included asbestos abatement and universal waste disposal (light ballasts, fluorescent lamps, etc.)
- Removal and off-site disposal of 35,000 cubic yards of contaminated soil and importing clean backfill





## Dearborn Town Center

30



9/9/2010

30



## Cleanup Grant Program

- Must own site at the time of proposal submission
- To carry out cleanup activities at brownfield sites
- Up to \$200K per property
- Hazardous substances or petroleum contamination
- May apply for up to 3 properties: Separate proposals for each property
- Applicant applying for both hazardous substance and petroleum cleanup grant funding at the same site must submit **ONE** proposal, which cannot exceed \$200,000
- Non-profits may apply
- Cost share requirement of 20%
- Community Notification (Threshold Criteria Only)

9/9/2010  
31



## Cleanup Success Story – Milwaukee, WI

- In 2004 the City of Milwaukee was awarded \$200,000 to remediate a former dry cleaning facility.
- The result is five retail spaces and 21 condominium units with parking.
- This project increased the land value over \$6,000,000.







## Other EPA Brownfields Programs

### Brownfields Job Training Grant Program

- [www.epa.gov/brownfields/job.htm](http://www.epa.gov/brownfields/job.htm)

### Targeted Brownfields Assessment (TBA) Program\*

- [www.epa.gov/brownfields/tba.htm](http://www.epa.gov/brownfields/tba.htm)

### Region 5 TBA Program \*

- [www.epa.gov/R5Brownfields](http://www.epa.gov/R5Brownfields)

*\*non-grant program that provides direct  
EPA assessment assistance to communities*

9/9/2010  
33



## Overview of ARC Threshold Criteria





## Threshold Criteria – Must Pass

- **Threshold Criteria** developed for ARC grants to:
  - Ensure applicants are eligible to receive assessment grants.
  - For site-specific proposals, ensure site is eligible.
  
- **Applicant Responses to Threshold Criteria**
  - Regional Review
    - Pass/Fail
    - Must Pass All
    - Failure Means- the proposal will not be competed in the national competition

9/9/2010  
35



## Threshold Criteria – Must Pass

- Applicant Eligibility (ARC)
- Letter from the State or Tribal Environmental Authority (ARC)
- Site Eligibility and Property Ownership Eligibility (Site-specific Assessment and Cleanup Only)
- Cost Share (RLF and Cleanup Only)
- Legal Authority to Manage a Revolving Loan Fund (RLF Only)
- Description of Jurisdiction (RLF Only)
- Cleanup Authority and Oversight Structure (RLF & Cleanup Only)
- Community Notification (Cleanup Only)

9/9/2010  
36



## Applicant Eligibility (ARC Applicants)

- All applicants must describe how they are an eligible entity in order to receive an ARC grant(s).
- Eligible entities are:
  - General Purpose Unit of Local Government (as defined under 40 CFR Part 31)
  - States and Tribes
  - Quasi-government entities (e.g., regional councils, redevelopment authorities, economic development agencies, etc.)
  - ***501(c)(3) Non-profits (Cleanup Grants Only)***

9/9/2010  
37



## **Applicant Eligibility (*con't*) (RLF/Assessment Applicants Only)**

### **Coalition Applicants**

- **Three or More** Coalition Members (Assessment Only);  
**Two or More** Coalition Members (RLF only)

- All Separate Legal Entities
- All Eligible Applicants

Include in proposal:

- Documentation that all members are eligible entities
- Coalition Members' Letters agreeing to be part of Coalition

9/9/2010  
38



## Applicant Eligibility (*con't*) (Cleanup Applicants Only)

- Site Ownership
  - *All applicants must own the site at the time of proposal submission*
- Environmental Assessment
  - *A written ASTM E1903-97 or equivalent Phase II assessment report (draft is ok) must be completed prior to proposal submission.*
  - *A Phase I is no longer a requirement unless it is the basis for a CERCLA liability defense*

9/9/2010  
39



## Letter from State or Tribal Environmental Authority (ARC Applicants)

- Provide a **current** letter from the state or tribal\* environmental authority acknowledging that the applicant plans to conduct assessment and/or cleanup activities and to apply for grant funds.
- If you are applying for multiple types of grant program activities, you need to submit only one letter acknowledging the relevant grant activities. *However, you must provide the letter as an attachment to **EACH** proposal.*
- Provide your state/tribal environmental authority sufficient notice.

**\*Except for State or Tribal Environmental Authority**

9/9/2010  
40





## Site and Property Ownership Eligibility (Site-Specific Assessment and Cleanup Applicants Only)

- The Brownfields Law prohibits EPA from providing grant funds to an entity that is considered potentially liable under CERCLA Section 107.
- CERCLA contains very broad liability provisions.
- Liability for site owners is highly dependent on *HOW* and *WHEN* the site was acquired.
- Therefore, site eligibility is dependent on *HOW* and *WHEN* the site was acquired.

9/9/2010  
41



**Site and Property Ownership Eligibility**  
**(Site-Specific Assessment and Cleanup Applicants Only)**  
*(con't)*

Sites That Are *NOT* Eligible

- Property on, or proposed for listing on, the National Priorities List
- Property subject to unilateral administrative orders, court orders, administrative orders on consent, or judicial consent decrees
- Property subject to the jurisdiction, custody, or control of the U.S. government\*

*\*Lands held in Trust by the U.S. Government are generally eligible for funding.*

9/9/2010  
42



**Site and Property Ownership Eligibility**  
**(Site-Specific Assessment and Cleanup Applicants Only)**  
*(con't)*

- **Hazardous Sites Eligibility**
  - EPA Is Decision Maker
  - Applicant Can Not Be Potentially Liable under federal law (CERLCA)
- **Petroleum Sites Eligibility**
  - State Is Decision Maker (*Except for Tribes- EPA is decision maker*)
  - State Petroleum Eligibility Letter
    - Request Early
    - Unique From State Acknowledgement Letter
    - Proposal Attachment

9/9/2010  
43



## Site and Property Ownership Eligibility (Site-Specific Assessment and Cleanup Applicants Only) (con't)

- **Ownership Eligibility**
  - Owner Liable Unless Exemption Applies
  - Common Liability Exemptions/Defenses (burden is on applicant to demonstrate eligibility)
    - Involuntary
      - Tax Foreclosure
      - Eminent Domain
    - Bona Fide Prospective Purchaser
    - Innocent Landowner
    - Contiguous Property Owner



• If Exemption Applies, Site Eligible!

9/9/2010  
44



## Site and Property Ownership Eligibility (Site-Specific Assessment and Cleanup Applicants Only) (con't)

- **Ownership Eligibility (continued...)**
- Most common acquisition scenarios:
  - **Involuntary acquisition**
    - Tax foreclosure
    - Eminent domain
    - *Involuntary acquisition = property is eligible for brownfields grants*
  - **Voluntary acquisition**
    - Purchase
    - Donation
    - Voluntary acquisition = Must meet a CERCLA defense:
  - Bona Fide Prospective Purchaser (BFPP)
  - Innocent Land Owner
  - Contiguous Property Owner

9/9/2010  
45



## Site and Property Ownership Eligibility (Site-Specific Assessment and Cleanup Applicants Only) (*con't*)

- **Ownership Eligibility (*con't*)**
- **Bona Fide Prospective Purchaser (BFPP)**
  - Not Responsible For Contamination
  - Not Affiliated With Responsible Party
  - Jan 11, 2002, Criteria Not Applicable For Grant Purpose
  - Other Continuing Obligations
- **All Appropriate Inquiry**
  - ASTM E1527 Ph I Environmental Site Assessment
  - Prior To Acquisition
  - Current (Phase I must be current, e.g., not more than one year old at the time of property acquisition, with some information updated within 180 days)



## **Site and Property Ownership Eligibility** **(Site-Specific Assessment and Cleanup Applicants Only)** *(con't)*

- **Ownership Eligibility (continued...)**
- **What All Appropriate Inquiry Standard Applies?**
  - Depends On When Site Was Acquired
  - After Nov 1, 2006, ASTM E1527-05 or E2247-08
  - Nov 1, 2005 - Nov 1, 2006, ASTM E1527-97, 00, or 05
  - May 31, 1997 - Nov 1, 2005, ASTM E1527-97 or 00
  - Before May 31, 1997, Case Specific
    - Totality of Information About Purchase & Price
    - Commonly Known Information
    - Site Visit Record
    - Acquisition must be consistent with customary practices at the time of acquisition, etc...



## **Site and Property Ownership Eligibility (*con't*) (Cleanup Applicants Only)**

Requires an ASTM E1903-97, or equivalent Phase II site assessment report. This report must be completed prior to proposal submission, which is used as a guide to describe the cleanup plan and estimated costs. Equivalent reports would include site investigations or remedial action plans developed for a state cleanup program or Office of Surface Mining surveys for mine-scarred lands. Describe the assessments conducted, along with the date of the reports.





## **Additional Requirements for Cleanup Grants**

- Grantee is restricted to conducting work on the site as it was defined in the application
- Grantee must maintain ownership of the site for the duration of the cleanup



## Site and Property Ownership Eligibility (Site-Specific Assessment and Cleanup Applicants Only) (con't)

### Petroleum Sites Only

- **Non-Tribal\*** petroleum site applicants must provide answers to the petroleum threshold questions in order to make contact with the appropriate state expert in sufficient time to make an eligibility determination.
- **State** reviews are based on statutory requirements to determine if the site:
  - Has Relative Low Risk;
  - Has No Viable Responsible Party;
  - Applicant Is Not A Responsible Party; and
  - Has no RCRA Corrective Action.

*\*Tribal applicants submit their petroleum threshold answers to EPA with their proposal.*

9/9/2010  
50



## Cleanup or Legal Authority and Oversight Structure (Cleanup and RLF Applicants Only)

- **Cleanup Oversight (*Cleanup and RLF Applicants*):**
  - Describe how you will oversee the cleanup at the site. Document whether you plan to enroll in a state or tribal voluntary response program, or follow the requirements of programs that have no formal enrollment.
- **Property(s) Access Plan (*Cleanup only*)**
  - Document your plan to obtain access to adjacent, or neighboring properties, as necessary.
- **Legal Opinion (*RLF only*)**
  - Provide One Letter From Applicant's Counsel:
    - (a) Legal Authority to Access & Secure Sites.
    - (b) Legal Authority to Manage Revolving Loan Fund (e.g. Hold Funds, Make Loans, Enter Into Loans, & Collect Repayment)
  - **Coalition Applicants** must have the broader jurisdiction, authority, and program capacity to ensure adequate program performance of coalition members, borrowers, and/or subgrantees, if warranted.



9/9/2010  
51



## Cost Share (Cleanup and RLF Only)

- Cleanup and RLF ***Grant Recipients*** are required to provide a 20% cost share (e.g., \$200,000 Grant has \$40,000 Match)
  - Just A ***Plan*** Required
    - Do Not Exceed Requirement Amount
    - Know The Difference Between Leveraging And Matching
- ***Non Federal Funds For Match***
  - Document the cost share, which may be in the form of a contribution of money, labor, material, or services from a ***non-federal source***.
  - If contribution is labor, materials or other services, it must be incurred for an eligible and allowable expense.
- Hardship Waivers Can Be Requested (decision is made by EPA HQ)
- ***Cost Share Can Be Passed To Borrower (RLF Only)***

9/9/2010  
52



## Community Notification (Cleanup Applicants Only)

- Cleanup Applicants Only must provide the community with notice of its intent to apply for an EPA Brownfields Grant, and inform them that they can submit comments. All applicants must:
  - ✓ Place an ad (or equivalent) in your local newspaper that covers the targeted area by your proposal, at least two weeks prior to the submittal date of your proposal. (And no later than ***October 1, 2010***).
  - ✓ Clearly communicating that a copy of the grant proposal is available for public review by indicating in your ad where the draft proposal is located (e.g. town hall, library, website).



## Community Notification (Cleanup Applicants Only) *(con't)*

- ✓ Indicating that you will accept comments on the draft proposal.
- ✓ Stating the date and time of a public meeting that you must hold prior to proposal submission.
- ❖ Applicants who are submitting more than one proposal may plan to have a single community notification ad and meeting. However, all targeted communities must receive the notification and be provided an opportunity to comment on the proposal(s) relevant to their community.



## Description of Jurisdiction (RLF Only)

Provide a description of jurisdictional boundaries

- e.g. “the city limits of The City of ABC”



## **RLF Funds Can be Used For:**

- Cleanup activities must be eligible and can include:
  - Installing site control measures, e.g., fencing
  - Soil removal and disposal, including bringing in fill to restore grade
  - Cleanup planning, e.g., preparing cleanup plans, design documents, bid specs., etc.
  - Capping contaminated soils
  - Removal of drums, tanks, & other bulk containers





## **RLF Funds Can be Used For: (cont.)**

- Additional eligible cleanup activities:
  - Abatement of asbestos and lead-based paint
  - Demolition , if integral to the cleanup
  - Oversight of cleanup activities
  - Treatment of contaminated soil/groundwater
  - Cleanup verification sampling
  - Preparation of closure report



## **RLF Funds Cannot be Used for:**

- Property acquisition
- Redevelopment activities
- Environmental assessment- no Phase I or Phase II activities
- Reimbursement for costs already incurred



## Overview of ARC Ranking Criteria





## Ranking Criteria

- Proposal must have passed the “Threshold Criteria” to be “Ranked.”
- **4 Ranking Criteria Sections** for ARC Applicants:
  1. Community Need
  2. Project Description and Feasibility of Success
  3. Community Engagement and Partnerships
  4. Project Benefits

9/9/2010  
60



## Ranking Criteria *(con't)*

- Each criterion is made up of Sub-criteria.
  - Answer each individually!
  - Sub-criteria may be the same or different per Ranking Criterion per Grant Type!
    - ***Sub-criteria point totals may vary per Ranking Criterion per grant type.***
- Total possible points for each grant type is **100**.



## 1. Community Need (ARC Applicants)

- Community Need - Under this criterion, ARC proposals will be evaluated on:
  - Applicant's description of the health, welfare, environmental, *and*
  - Financial needs of the targeted community as it is affected by the presence of brownfields.
- ❖ *Responses should clearly identify the sources of information used in this section.*



## 1. Community Need (ARC Applicants) *(con't)*

- Health, Welfare, and Environment *Provide information on the number and size of the brownfields you would like to address; and the health, welfare, and environmental impacts these sites impose on your targeted community.*
- Brownfields Effects On Target Community
  - Type, Number, Size, Location Of Sites
  - Typical Contamination
  - Sensitive Population In the Community
    - For example: minorities, children, and women of child-bearing age
  - Disproportionate Environmental Impact Data
    - For example: Cancer Studies, Asthma

*The majority of  
Assessment applications  
are Community-wide.  
Clearly identify your  
TARGET community!*



Identify All Information Sources!!!

9/9/2010  
63



## 1. Community Need (ARC Applicants) *(con't)*

- **Financial Need** - Describe the economic impact of brownfields on the targeted community/Demonstrate the economic needs of the targeted community's residents
  - Provide rates of poverty, household income, unemployment rate, and other widely available demographic information (Provide Examples)
    - Use current and relevant data sources
    - Use Table Format
    - Compare to State and National Data
  - Discuss the impact of closed factories, i.e. number of jobs lost, property tax impacts, etc.
  - Provide factors explaining why other financial resources are Not available for assessment of brownfields
    - For Example: Fiscal Condition, Population Size



Identify All Information Sources!!!

9/9/2010  
64





## 2. Project Description/Feasibility of Success (ARC Applicants)

- **Project Description and Feasibility of Success** - Under this criterion, proposals will be evaluated on Applicant's ability to Demonstrate:

- Reasonable approach to the project
- Sufficient resources to complete the project, and
- Capability to complete the project in a timely manner.
- Demonstrate likelihood of near term success



Proposals that budget the majority of grant funds for conducting site assessments will be viewed more favorably than those that focus on inventory or planning activities.



For coalitions, you must assess a minimum of five sites under the grant.



For assessment grants that include area-wide planning, proposals will be viewed more favorably where the assessment of at least one (or more) site within the planning area is conducted under the grant.



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



## 2. Project Description/Feasibility of Success (ARC Applicants) (*con't*)

- ***ALL ARC*** Applicants must describe the proposed project to be funded.
- For Cleanup Proposals, Also Describe:
  - ***Proposed*** Cleanup Plan
  - Site Reuse Plans, and
  - Institutional and/or Engineering Controls



## 2. Project Description/Feasibility of Success (RLF Applicants Only) *(con't)*

- For RLF Proposals Describe:
  - YOUR ***Brownfields Redevelopment Program***. How the requested RLF grant funding will be used to support that program
  - Fund Sustainability Plan
  - Expected Borrowers & Subgrantees
  - Marketing Plan
  - Plan For RLF Success
    - For Example: Staff or Program Manager Commitment, Entire Team, Organization, Borrower/Sub-grantee Selection, Lending Practices, Protective Cleanups, Pre-proposal marketing, Need for outside expertise



## 2. Project Description/Feasibility of Success (ARC Applicants) *(con't)*

- **Budget**

- Table (*USE Sample Format for Budget*)
- Separate lines for Hazardous Substance and Petroleum contamination
- Narrative
  - (Describe Each Task (Please No Acronyms e.g. ESA - spell it all out)
  - Give outputs (e.g., 5 Ph I, 2 Ph II) and associated costs where possible
- Know Cost Eligibility (***Administrative Cost Ban***, Purpose Of Grant)
  - Never use the word “administrative” to describe a task. Use “program development” or something similar.
- Equipment Costs
  - Explain and justify equipment and/or supply budget items. Equipment is generally expected for cleanup applicants only.
- 10% Health Monitoring for Local Gov't

9/9/2010  
68



## 2. Project Description/Feasibility of Success (ARC Applicants) - Assessment Budget

### Sample Format for Budget

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

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

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

<sup>3</sup> Applicants must comply with the procurement procedures contained in 40 CFR 31.36, or for non-profits, with 40 CFR 30.40 through 30.48.

9/9/2010  
69



## 2. Project Description/Feasibility of Success (ARC Applicants) - Cleanup Budget

### Sample Format for Budget

Budget Categories	Project Tasks				
(Programmatic costs only)	[Task 1]	[Task 2]	[Task 3]	[Task 4]	Total
Personnel					
Fringe Benefits					
Travel <sup>1</sup>					
Equipment <sup>2</sup>					
Supplies					
Contractual <sup>3</sup>					
Other (specify) _____					
<b>Subtotal:</b>					
<b>Cost Share</b>					

<sup>1</sup> Travel to brownfield-related training conferences is an acceptable use of these grant funds.  
<sup>2</sup> EPA defines equipment as items that cost \$5,000 or more with a useful life of more than one year. Items costing less than \$5,000 are considered supplies. Generally, equipment is not required for RLF grants.  
<sup>3</sup> Applicants must comply with the procurement procedures contained in 40 CFR 31.36, or for non-profits, with 40 CFR 30.40 through 30.48.

9/9/2010  
70



## 2. Project Description/Feasibility of Success (ARC Applicants) - RLF Budget

### Sample Format for Budget

Budget Categories	Project Tasks for Loans (at least 60 percent of amount requested)				
(Programmatic costs only)	[Task 1]	[Task 2]	[Task 3]	[Task 4]	Total
Personnel					
Fringe Benefits					
Travel <sup>1</sup>					
Equipment <sup>2</sup>					
Supplies					
Contractual <sup>3</sup>					
Loans					
Other (specify) _____					
<b>Subtotal:</b>					
<b>Cost Share</b>					

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

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

<sup>3</sup> Applicants must comply with the procurement procedures contained in 40 CFR 31.36, or for non-profits, with 40 CFR 30.40 through 30.48.



## 2. Project Description/Feasibility of Success (ARC Applicants) - RLF Budget *(con't)*

### Sample Format for Budget

Budget Categories	Project Tasks for Subgrants (no more than 40 percent of amount requested)				
(Programmatic costs only)	[Task 1]	[Task 2]	[Task 3]	[Task 4]	Total
Personnel					
Fringe Benefits					
Travel <sup>1</sup>					
Equipment <sup>2</sup>					
Supplies					
Contractual <sup>3</sup>					
Subgrants					
Other (specify) _____					
<b>Subtotal:</b>					
<b>Cost Share</b>					
<b>Total</b>					
<b>Total Cost Share</b>					

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

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

<sup>3</sup> Applicants must comply with the procurement procedures contained in 40 CFR 31.36, or for non-profits, with 40 CFR 30.40 through 30.48.





## 2. Project Description/Feasibility of Success-

**NEW:** Area -wide Planning Activity for Assessment Grants



- Grant funds may be used to conduct area-wide planning activities within a specific brownfields-impacted area, such as a neighborhood, district, city block or brownfields corridor, that lead to the development of an area-wide plan.
- This may include planning to identify potential future uses for brownfields properties, to the extent necessary to make informed assessment and cleanup decisions, in order to stimulate economic development upon completion of the cleanup.
- This may also include creating a set of area-wide strategies which will help ensure successful assessment, cleanup and reuse of brownfields properties within the impacted area.



## 2. Project Description/Feasibility of Success-

### NEW: Area -wide Planning Activity for Assessment Grants (cont)



- Planning can include developing strategies for facilitating the reuse of existing infrastructure, determining next steps and identifying resources needed to implement the area wide plan.
- Proposals that include area-wide planning will be reviewed more favorably if they include assessment of at least one or more BF sites within the planning area.
- Please note that under the 2012 ARC competitions, applicants who have completed area-wide plans may receive additional consideration under the evaluation factors.



## 2. Project Description/Feasibility of Success (ARC Applicants) *(con't)*

- **Leveraging** - If you determine additional work (*e.g.*, assessment and/or cleanup) may be required, describe other funding or resources (public and private) you have or will seek to complete the additional work.
  - Describe Any Gap In Overall Project Funding
    - Assessment,
    - Cleanup Planning,
    - Cleanup, and
    - Reuse
  - Describe ***ALL*** Possible Gap Funding Sources, and if some are already committed
  - Provide Examples Of Past Leveraging Experience

9/9/2010  
75



## 2. Project Description/Feasibility of Success (ARC Applicants) *(con't)*

- Programmatic Capability – **All ARC Applicants** must **clearly** demonstrate your ability to manage a grant and oversee the work (i.e. demonstrate sufficient resources to complete the project and a capability to complete the project in a timely manner).
  - **Prior** Brownfields Grantee
    - Past Grant(s) Management & Performance
      - Funding Expenditure
      - Compliance
      - Accomplishments
    - Adverse Audit Findings
    - Corrective Action For Past Grant Management Issue



## 2. Project Description/Feasibility of Success (ARC Applicants) (*con't*)

- Programmatic Capability (*con't*)
  - ***Not*** A Prior Brownfields Grantee, Document:
    - Plans For Management & Performance
    - In-house or Plans For Expertise Acquisition
    - Prior Three Years Grant Management
      - Federal, State, Foundations
      - Adverse Audit Findings
      - Corrective Action For Past Grant Management Issue



### 3. Community Engagement and Partnerships (ARC Applicants)

- **Community Engagement and Partnerships** - Under this criterion, proposals will be evaluated on:
  - *Applicant's* plan for engaging the targeted community in the project to be funded under this grant;
  - *Extent* to which the applicant has identified and established relationships with the partners necessary to achieve the project's goals; and
  - *Extent* to which the support letters provided by community-based organizations involved with the project demonstrate specific and valuable commitments to the project.

9/9/2010  
78



### 3. Community Engagement and Partnerships (ARC Applicants) *(con't)*

- **Community Engagement** - Describe your Plan For Community Involvement:
  - Site Selection
  - Cleanup Planning
  - Site Reuse Planning
- Past Community Involvement
- Project Progress Reporting Plan
- Address Any Language Barriers
- Create An Aggressive And Detailed Plan



### 3. Community Engagement and Partnerships (ARC Applicants) *(con't)*

- **Partnerships** - Describe your efforts and/or plans to develop partnerships with:
  - Both Local Environmental and Health Agencies
  - Local community groups
  - Past Efforts Toward Partnerships
  - Show Knowledge Of State Programs
  - Indicate Plan To Enroll In State Programs





### 3. Community Engagement and Partnerships (ARC Applicants) (*con't*)

**Community-based Organizations** - Provide a **description of, and role of, the key** community-based organizations involved in your project.

- Describe Organizations
  - Describe Role In Project
  - Describe Any Commitments By Organizations
  - Support Letter From EACH Organization
    - Proposal Attachment
    - Must Describe Role
    - Must Describe Commitments
- Community-based organizations are NOT your congress persons or other elected officials. It is NOT the Mayor's office.
- Support Letters ***Required***

\*EPA will focus on the unique contributions and strength of partnerships, instead of the sheer number of letters an applicant submits.



### **3. Community Engagement and Partnerships (ARC Applicants) *(con't)***

- If no Community-based organizations exist in your area, provide background affirming the lack of such organizations.
- Then, demonstrate how the community is engaged and involved in your project, which can be demonstrated by resident support letters, letters to the editor, attendance at public meetings, etc.



## 4. Project Benefits (ARC Applicants)

- **Project Benefits** - Under this criterion, proposals will be evaluated on the extent to which your project's anticipated outcomes:
  - Promote general welfare through the improvement of the public health and safety, economy, and environment of the targeted community; and
  - Contribute to your overall community "vision" for the revitalization of brownfield sites.
- ❖ *Consideration will be given to how public health issues are addressed during the project, the anticipated benefits of redevelopment, and the incorporation of sustainable practices .*



## 4. Project Benefits (ARC Applicants) *(con't)*

- **Welfare and/or Public Health** - Describe the environmental, social, and/or public health benefits anticipated from the redevelopment of sites assessed and/or cleaned up under this grant. Communicate all benefits including:
  - Direct & Indirect From Assessment, Cleanup, and/or Site Reuse
    - For Example: Exposure, Risk & Blight Reductions
  - Plan For Community & Sensitive Populations Protection From Project Contaminants
    - For Example: Signs, Fences, Dust Control



## 4. Project Benefits (ARC Applicants) *(con't)*

- **Economic Benefits and/or Greenspace** - Explain how the grant will produce Economic and/or Non-Economic Benefits.
  - Describe All Direct Economic Benefits to be Accomplished by Your Project – ***Be Specific!***
    - For Example: expected results in ***x% increase*** in tax revenues, ***x number*** of jobs, ***x% increase*** in property values
  - Describe All Other Non-Economic Benefits
    - For Example: Non-Profit Reuse, Charitable Reuse, ***x number of acres*** created for Greenspace, Open Space, Developed Parks, Recreational, Preservation of Open Space on Urban Edge



## 4. Project Benefits (ARC Applicants) *(con't)*

- **Environmental Benefits from Infrastructure Reuse/Sustainable Reuse** -Describe How the ARC Grant *will help* Facilitate Infrastructure Reuse –***Be Specific!***
  - For Example: Water, Sewer, Electricity, Roads, Storm Drain, Public Transit, Building
  - Describe How the ARC Grant *will help* Facilitate Sustainable Reuse - ***Be Specific!***
    - For Example: green buildings, energy efficiency, water management, green remediation, construction and demolition materials recycling, diesel emissions reductions, and renewable energy on brownfields, community character, transit, live/work



## Useful Application Preparation Tips





## Encourage Good Basic Proposal Prep

- Read the entire Guidelines and follow directions.
- Get mentoring from prior grantees (listed @ [www.epa.gov/brownfields/bfwhere.htm](http://www.epa.gov/brownfields/bfwhere.htm))
- Write as though the reader knows **NOTHING** about your community or your state response program.
- Address *all* criteria – *if it doesn't apply say so and explain why.*
- Use the Proposal *Check Lists* at the end of the Ranking Criteria section.
- Avoid using acronyms and technical/organizational jargon

9/9/2010  
88





## Encourage Good Basic Proposal Prep *(con't)*

- Use “white space” and obey 18 page limits (not including the 2-page cover letter)!
- There is a 2 page cover letter limit.
- Total proposal pages may not exceed 20 (18 page narrative; 2 page cover letter).
- 20 page limit for all attachments
- 1” margins; 12 pt font; no binders; **NO COLOR.**
- Limit attachments to required and relevant documents and letters. 20 page limit for all attachments.

9/9/2010  
89



## Encourage Good Basic Proposal Prep *(con't)*

- Contact **State/Tribe/EPA** with eligibility questions **early**.
- Lead time for State support letters can be a couple of weeks, so contact them early for your required support letter!
- Contact partners for assistance in preparing and/or reviewing your proposal!
- Contact State if applying for petroleum.
- Set up public meeting and get meaningful public input.

9/9/2010  
90



## Additional Resources





## EPA Region 5 Presenters

- **Matthew Didier, R5 BF Project Officer** [didier.matthew@epa.gov](mailto:didier.matthew@epa.gov),  
(312) 353-2112
- **Michael Gifford, R5 BF Project Officer** [gifford.michael@epa.gov](mailto:gifford.michael@epa.gov)  
(312) 886-7257
- **Jan Pels, R5 BF Project Officer** [pels.jan@epa.gov](mailto:pels.jan@epa.gov)  
(312) 886-3009

[www.epa.gov/R5Brownfields](http://www.epa.gov/R5Brownfields)



## State Brownfield Contacts in Region 5

- **Illinois Environmental Protection Agency (IEPA)**  
Heather Nifong, [heather.nifong@illinois.gov](mailto:heather.nifong@illinois.gov), (217) 785.4729
- **Indiana Finance Authority (IFA)**  
Michele Oertel, [moertel@ifa.in.gov](mailto:moertel@ifa.in.gov), (317) 234.0235
- **Michigan Department of Natural Resources and Environment (MDNRE)**  
Ron Smedley, [smedleyr@michigan.gov](mailto:smedleyr@michigan.gov), (517) 373.4805
- **Minnesota Pollution Control Agency (MPCA)**  
Hans Neve, [Hans.Neve@state.mn.us](mailto:Hans.Neve@state.mn.us), (651) 757-2608
- **Ohio Environmental Protection Agency (OEPA)**
  - *Hazardous Substances Sites:*  
Amy Yersavich, [amy.yersavich@epa.state.oh.us](mailto:amy.yersavich@epa.state.oh.us), (614) 644-2285
  - *Petroleum Sites:*  
Vern Ord, [verne.ord@com.state.oh.us](mailto:verne.ord@com.state.oh.us), (614) 752.7095
- **Wisconsin Department of Natural Resources (WDNR)**  
Melissa Enoch, [Melissa.Enoch@wisconsin.gov](mailto:Melissa.Enoch@wisconsin.gov), (608) 266-9263

9/9/2010  
93



## Web-Based Resources

- **FY10 ARC Proposal Guidelines:**  
<http://www.epa.gov/oswer/grants-funding.htm>
- **FY10 ARC Frequently Asked Questions (FAQ):**  
[http://www.epa.gov/brownfields/proposal\\_guides/FY10\\_FAQs\\_v1.pdf](http://www.epa.gov/brownfields/proposal_guides/FY10_FAQs_v1.pdf)
- **Fact sheet on Brownfield Assessment Coalitions:**  
[http://www.epa.gov/brownfields/publications/acfs\\_062408.pdf](http://www.epa.gov/brownfields/publications/acfs_062408.pdf)
- **EPA Land Revitalization Projects and Construction and Demolition (C&D) Recycling:**  
<http://www.epa.gov/epaoswer/non-hw/debris-new/factsheet.htm>
- **Regional Information on-line:** [www.epa.gov/R5Brownfields](http://www.epa.gov/R5Brownfields)
- **Headquarters Information on-line:** [www.epa.gov/brownfields](http://www.epa.gov/brownfields)
- **SmartE-Online Sustainable Management Approaches and Revitalization Tools:** [www.smarte.org](http://www.smarte.org)

9/9/2010  
94



**Congratulations....This Could Be You!!**





Register October 4th for  
The National Brownfields 2011 Conference



**WHEN: April 3-5, 2011**

**WHERE: PA Convention Center  
Philadelphia, PA**

**WHY ATTEND?**

Largest networking event of its kind  
The best of past conferences combined  
Where green decision-makers convene  
Unique property transaction opportunities  
Market your services & properties  
Mobile workshops & walking tours  
A Brownfield Grant can fund your expenses to  
attend this conference

Registration is free! Go to [Brownfields2011.org](http://Brownfields2011.org)



# Resources & Feedback

- To view a complete list of resources for this seminar, please visit the **Additional Resources**
- Please complete the **Feedback Form** to help ensure events like this are offered in the future

The screenshot shows a web browser window with the EPA logo and the title "U.S. EPA Technical Support Project Engineering Forum Green Remediations Opening the Door to Field Use Session C (Green Remediation Tools and Examples) Seminar Feedback Form". The form includes fields for First Name, Last Name, Email Address, and Date of Seminar. A checkbox labeled "Please send a copy of my feedback confirmation as a record of my participation to this address" is highlighted with a red box and an arrow. The date of the seminar is listed as December 15, 2009.

Need confirmation of your participation today?

Fill out the feedback form and check box for confirmation email.