The FY20 Grant Guidelines How to Avoid the Biggest Mistakes



Derek Street U.S. EPA Region 4 Brownfields Project Officer Atlanta, GA

Colette Santasieri, PhD NJIT TAB Executive Director Newark, NJ



Submission Materials

- Additional forms are required when you submit your Application for Federal Assistance (SF-424).
 - Previously, these were only required of winning proposals:
 - Budget Information for Non-Construction Programs (SF-424 A)
 - Assurances for Non-Construction Programs (SF-424 B)
 - Preaward Compliance Review Report (EPA Form 4700-4)
 - EPA Key Contacts (Form 5700-54)
- Workplans are not required with submission materials and will be worked out with those selected for funding.

Threshold Criteria

- Make sure you submit a page marked "Threshold Criteria" and answer each threshold criteria in full.
- If the question does not apply to you, please note "Does not apply" and if necessary explain.
- Site-Specific Assessments, Cleanups, and RLFs have many more requirements than Assessment grants.
- Failure to address even a single threshold question can result in the application being disqualified.
 - EPA can ask for clarification, but does not have to, and can fail the proposal for failure to respond in full.

Programmatic Capability

- These are the "easy" points missing a single point in this section could result in a losing proposal.
- You should be able to answer this section in approx. half a page.
- Common issues in FY19 included:
 - ► Failure to answer the questions <u>specifically</u>.
 - Not listing roles, expertise, qualifications, and experience for Organizational Structure.
 - Unclear procurement process that may not align with federal requirements.
 - Purpose and accomplishments of past grants not presented.
 - No reference to workplan, schedules, timeline, or T&Cs and compliance.

Programmatic Capability

Organizational Structure and Description of Key Staff:

- Your ability to manage and complete your project in 3-years.
- Your project management team (technical, financial & administrative) and how they will manage this grant.
- Name names and discuss the experience and qualifications of your key staff members.

Acquiring Additional Resources:

- Your organization's competitive procurement methods to acquire needed expertise and resources (Federal procurement requirements).
- Qualified Environmental Professional (QEP)
- Legal assistance for access agreements

Programmatic Capability -Past Performance & Accomplishments

- Currently Has or Previously Received an EPA Brownfields Grant:
 - Accomplishments:
 - Look in ACRES for your past accomplishments.
 - Ensure your accomplishments are in ACRES AND up to date at the time you submit your proposal.
 - If you had a grant and failed to update ACRES you will lose points
 - Compliance with Grant Requirements:
 - Discuss your compliance with the workplan, schedule, and terms and conditions under the current/prior brownfield grants(s). Discuss your history of timely and acceptable quarterly performance and grant deliverables.

Programmatic Capability -Past Performance & Accomplishments

Has Not Received an EPA Brownfields Grant but has Received Other Federal or Non-Federal Assistance Agreements

Purpose & Accomplishments:

- Describe the awarding agency/organization, amount of funding, and purpose of the assistance agreements(s).
- Discuss the accomplishments (including specific outputs and outcomes)

Compliance with Grant Requirements:

- Describe your compliance with the workplan, schedule, and terms and conditions under the current/prior assistance agreement
- Include whether you have made and have reported on, or are making and reporting on, progress towards achieving the expected results of the agreement in a timely manner.
- Discuss your history of timely and acceptable reporting.
- Use a table to help you be concise.

Programmatic Capability -Past Performance & Accomplishments

- Has Never Received Any Type of Federal or Non-Federal Assistance Agreements
- You need to affirm that your organization never received any type of federal or non-federal assistance agreement (grant or cooperative agreement).
- Applicants that indicate they do not have a history of performing assistance agreements will receive a "neutral" 5-point score.
- Failure to indicate anything in response to this subcriterion may result in zero points.
- ► These applicants will receive a "neutral" score of 5-points.
 - Unfortunately this is agency policy, not our opinion.

- ▶ This is the second "easy" section of your proposal.
 - ► Together with Programmatic Capability to two make up 50% of your score for assessments and cleanups (≈57% for RLFs)
- This section is straight forward and should be pro-forma descriptions of the work to be done.
- This is a great section to look at winning proposals to use as a template, especially for budgets and cost break down.

- Cleanup Grants 3.a. Proposed Cleanup Plan:
 - Describe the cleanup plan(s) for the proposed site(s)
 - Be sure to describe the contaminated media to be addressed and the cleanup methods and disposal requirements.
 - Look at the ABCA, you may find language you can use from the document.
 - Address all contaminates at the site don't leave us wondering why some issues are left in place
 - Think about the redevelopment vision for your target area when preparing the cleanup plan.
 - Emphasize that your project is ready to go once you receive the grant!

- RLF Grants 3.a. Program Description and Marketing Strategy:
 - Make sure to describe a qualified team that can manage this complex grant (i.e a fund manager or those with loan experience)
 - Focus on lending and how you will sustain the program for the long term (potentially 15 years!)
 - Additionally, you must explain how you will report and run the program even <u>after the grant is closed</u>.
 - Use marketing strategies you know will work in your area
 - Unique ideas are always encouraged!
 - Show your homework! Let us know the interest and marketing you have done to prepare for getting an RLF.

Description of Tasks/Activities and Outputs:

- The extent to which the schedule milestones are achievable, and the likelihood of the activities will be completed within the 3-year period of performance.
- Focus on tasks that get the grant up and running: QEP procurement, meetings with internal and external partners.
- Discuss timing and strategy for working on priority site(s).
- Include milestones in the schedule for initiating and completing key tasks at the priority site(s).
- Identify the lead entity overseeing each task/activity. Show the applicant's role or involvement in all tasks/activities whether lead or not.
- Cleanup/RLF timeframe for enrollment in the State's VCP & certifying cleanup completion.

Description of Tasks/Activities and Outputs:

- Fully describe the outputs/deliverables you will achieve in the 3-year grant.
 - Quarterly Reports
 - Community meetings
 - Site Inventories
 - Phase I & Phase II Assessment Reports
 - Area-wide Plans
 - Site Cleanup Plans
 - Cleanup completion report or letter

Cost Estimates:

- How costs for each task were developed and present costs per unit.
 - Ex. Travel: 2 people to attend National BF Conference: \$3,600 (per person: \$500 airfare, 4 nights hotel \$800, 4 days per diem and incidentals \$500).
 - Ex. Personnel Cost: Project Manager at \$20.50/hr x 240 hrs = \$4,920.
- Be sure to distinguish between petroleum and hazardous funds.
- Assessment: Be sure you allocate at least 50% of your funds to PI/IIs
- RLF: Be sure you allocate at least 50% of your funds for loans (more is better)
- Cleanup & RLF describe how you will meet the cost share
 - Ex. Staff hours, contributions of materials or services, or cash.
 - Remember, items can only count as cost share if they are allowable costs under the grant.

- Measuring Environmental Results:
- A reasonable plan to track, measure, and evaluate your project progress via:
 - ACRES (should not be your sole method for tracking)
 - Quarterly Reporting/Meetings
 - Work Plans/Project Schedule
 - Other software or spreadsheets
 - Verbal updates via meetings
 - What you will do if your project is not on schedule?
 - Do you have a corrective action plan if you miss your time table?



3. Task Descriptions, Cost Estimates, and Measuring Progress

- a. Description of Tasks/Activities and Outputs ii. Anticipated Project Schedule
- Show a generalized timeline of how the work will be done in 3 years

Example:	Quarter	Deliverables Completed	Quarter	Deliverables Completed
	1	Sites Inventory	7	
	2	2 Phase 1s	8	
	3	1 Area-wide plan	9	
	4	Community Engagement	10	
	5		11	
	6		12	Final Report



3. Task Descriptions, Cost Estimates, and Measuring Progress

Show how the applicant will easily identify when the project is or is not on schedule

Example:

The town's finance manager will track costs on a project basis, with monthly updates and draft billings for staff to review. These monthly check-ins will reference the anticipated schedule to ensure that we are meeting the grant's deliverables in a timely manner. If it is found that the schedule has slipped, the finance manager will meet with the project manager to determine corrective measures.



3. Task Descriptions, Cost Estimates, and Measuring Progress

b. Cost Estimates

- Need to substantiate costs (don't back into them). Include unit costs
- Create an Excel spreadsheet with formulas so if the #s change, the totals will be correct.
- Check your math



3. Task Descriptions, Cost Estimates, and Measuring Progress b. Cost Estimates

3.a. Description of Tasks and Activities

Task 1: Programmatic Oversight (\$16,457.80): ...

Task 2: Community Outreach, Site Inventory and Prioritization (\$14,542.20): ...

Task 3: Environmental Site Assessments Phase I ESA's and Phase II (\$99,000): ...

Task 4: Remedial Action Planning (\$70,000):...

3.b. Cost Estimates and Outputs

Task 1, Programmatic Oversight - \$16,457.80 Personnel Costs: \$8,028.80

• Project Manager: 240 hours at a rate of \$20.50/hour = \$4,920

• Project Director: 80 hours at a rate of \$38.86/hour = \$3,108.80

Fringe Benefits Costs: **\$5,229** = (\$8,028.80 Personnel Costs) x 66% (Fringe Benefit Rate)

Travel Costs: \$3,200

 National Brownfields Conference (x 2 Staff): Registration (\$200) + Lodging (\$300) + Transportation + Flight/rental car and Fuel/Parking (\$300) + Per Diem (\$100)

The "Essay" Contest

- Criteria 1 and Criteria 2 are where the essay portion begins.
 - The answers to the criteria require more thought and planning on your part as the applicant
- You must create an authentic story for YOUR community and carry that story though to the other sections.
 - Continuity between sections is a common weakness
 - Distinguish your uniqueness in terms more specific than the need for economic redevelopment.
- Many questions are 2 part questions in the evaluation criteria but not the ranking criteria. Look for the word "AND".
- Do not generalize smart growth and sustainable practices.
- Do not use works like "encourage" or "hope" either you intend to do something or be silent about it.
- Use words like "blight" carefully, they can be unclear.

Ranking Criteria vs Evaluation Criteria

Ranking Criteria:

(3) Disproportionately Impacted Populations

Populations in the target area(s) that have environmental justice challenges and/or disproportionately share the negative environmental consequences resulting from industrial, governmental, and/or commercial operations or policies.

Evaluation Criteria:

(3) Disproportionately Impacted Populations (5 points)

The degree to which populations in the <u>target area(s)</u> have environmental justice challenges and/or disproportionately share the negative environmental consequences resulting from industrial, governmental and/or commercial operations or policies, and the extent to which this grant will address or facilitate the identification and reduction of those threats. This required portion of the response is NOT in the Ranking Criteria.

- Evaluation Criteria is what reviewers use to score proposals, not the Ranking Criteria.
- Note that the Evaluation Criteria asks more than the Ranking Criteria.

Project Area Description & Plans for Revitalization Issues

Target Area & Brownfields:

- Signs of distress or neglect: dilapidated buildings, building code violations, litter, people moving out of the area, etc.
- Sensitive or vulnerable populations: Young children, elderly, women of child bearing age, etc.
- Need for remediation and redevelopment
- Clear target area(s)
- Carry your issues and target area(s) consistently through the proposal
- Description of Priority Brownfield Sites:
 - Your priority site(s)
 - Past & current land uses
 - Current site conditions
 - Why the sites were identified as a priority
 - Potentially related environmental issues

Project Area Description & Plans for Revitalization Issues

Reuse Strategy & Alignment with Revitalization Plans:

- Reference your specific community land use/redevelopment plan by name.
- Clearly state a redevelopment strategy for your brownfield site(s).
- The redevelopment of your brownfield sites should further the goals of your community plan.
- Give specific details!

Project Area Description & Plans for Revitalization Issues

Outcomes and Benefits of Reuse Strategy:

Green Space	Non-profit & Charitable	
Parks	Affordable housing	
Recreation areas	Community centers	
Wetlands & open space	Local government uses	

- Tangible direct outcomes.
- Reviewers need little explanation to understand what these look like.

Economic Benefits

Increased employment

Expanded tax base

Increased property value

Reduction in vacancy

- These benefits are amorphous when not described.
- Everyone wants these but you must distinguish what they look like for you.
- Use projections or estimates

Be sure to point out the project is in an Opportunity Zone or will spur economic growth in an Opportunity Zone

Project Area Description & Plans for Revitalization Issues

Resources Needed For Site Reuse:

- How does this grant open doors for other funds for environmental assessment or remediation, and subsequent reuse of the priority site(s)?
- What other sources of funding are available to you as the applicant?
 - Other grants, State BF tax incentives, Opportunity Zones, TIFS, historic tax credits, foundations, investors, donations, etc.
- Cleanups secured funding sources for your proposed site(s). Attach appropriate documentation.
- **Use of Existing Infrastructure**:
 - Clearly connect the proposed project with the use of existing infrastructure.



1. Project Area Description and Plans for Revitalization

- The application is your community's story. This section lays the foundation for your community's story.
- > Don't be generic. What makes your community stand out?
- Clearly define your priorities and weave them throughout your application, starting here.
- ➢ Be concise, but impactful.
- > Tell how has the past influenced the present.



1. Project Area Description and Plans for Revitalization

a. Target Area and Brownfields

i. Background and Description of Target Area Include a brief description of your city, town, or geographic area to provide background on its cultural and industrial history that establishes your brownfield challenges and their impact on the community.



<u>1. Project Area Description and Plans for Revitalization</u></u>

Weak Example:

Weak Town, with a population of 25,000, is located in Fragile County. Weak Town is being revitalized. The Feeble neighborhood is diverse and has a good housing stock. There is potential for improvement. We demolished some buildings and are ready to rebuild. We have a 30 acre brownfield site that we propose for mixed use development (residential, retail, commercial). The EPA Brownfields funding would support our revitalization efforts.



1. Project Area Description and Plans for Revitalization

Weak Example:

- ✤ No background on its cultural and industrial history
- No clear discussion of the town's current conditions/situation tied to its past
- No clear delineation of the brownfields challenges



1. Project Area Description and Plans for Revitalization

Good Example:

The Good Town, located in Better County was settled in 1690 by Welsh families from Vermont. Taking advantage of its shoreline and harbors, along with its abundant timber and farmland, Good Town became a vibrant, prosperous market center for the region, enjoying the rise of industries such as shipbuilding, fishing, and maritime commerce. But during the 20th century these maritime-related industries which created the area's early wealth fell into decline. Unfortunately, Good Town was not spared the consequences of this disinvestment. Good Town's recovery did not begin until 1980, when a tech company built a new campus. Today, Good Town possesses a modest and fragile economy diversified into multiple industries. It continues to be Better County's most populous municipality, serving as its seat of government, as its service center, and as a location for most of its significant employers.



1. Project Area Description and Plans for Revitalization

Good Example continued:

At the heart of Good Town's cultural and industrial history is the "waterfront district", the target area where multiple brownfields exist and assessment activities are planned. The waterfront district has felt both the booms and the busts of the various industries that have operated in Good Town, from having served as the setting for our bustling industries to now being the home to many known brownfields and their associated signs of distress, blight, and neglect. Forty percent of Good Town's residents, including members of its sensitive populations, live in proximity to these brownfields, which are in need of being cleaned up and redeveloped.



<u>1. Project Area Description and Plans for</u> <u>Revitalization</u>

Show community in the most impoverished light possible

Example:

With 18 dilapidated structures per square mile, the prevalence of derelict houses in occupied neighborhoods and abandoned commercial structures in downtown diminish opportunities to develop affordable housing and foster start-up businesses.



1. Project Area Description and Plans for Revitalization

b. Revitalization of the Target Area

i. Reuse Strategy and Alignment with Revitalization Plans

Make sure you discuss how the reuse strategy/projected reuse aligns with the local government's land use and revitalization plans.

Example:

The Regional Council's 2019 Comprehensive Economic Development Strategy lists "Goal 1: To create....; "Objective 1: To expand and improve... ; Strategy 1: "Support the reuse of abandoned industrial and commercial sites", and "Pursue federal funding to assess the extent of brownfield sites in the region."



1. Project Area Description and Plans for Revitalization

For areas without plans, highlight what you have already done: visioning sessions, community outreach, brownfield inventory, community investment (i.e., streetscape improvements, utility upgrades, BID, etc.)

Community Need & Community Engagement

- The Community's Need for Funding:
- Identify a small population (10,000 or less) and/or have low income residents in the target area.
 - ▶ How these factors impact the **community's** ability to obtain funding.
 - Community means you the applicant.
 - Why funding is not available in the target area to address the sites/cleanup.
 - Use real numbers.
 - Examples of why you cannot fund: limited tax base, decline in tax base, internal rules don't permit this use of funds, emergency situations that drained resources, natural disaster response, etc.

- Threats to Sensitive Populations Health or Welfare:
- For Health Issues:
 - Health issues that are impacting your sensitive populations.
 - The availability of health department statistics.
 - Potential contamination pathways.
 - How this grant will help to reduce these threats.
- For Welfare Issues:
 - Social negatives such as crime, vandalism, illegal dumping, people moving out.
 - Abandoned properties.
 - Community disinvestment.
 - Burden on municipal services.

- Greater Than Normal Incidence of Disease & Adverse Health Conditions:
 - ▶ The potential contaminants that may be connected to your site(s).
 - The potential health threats that may affect your community such as:

Cancer rates	Asthma rates	Birth defect	Blood lead	Obesity	Other data that
		rates	levels		fits your story

- These are not the only possible issues you could be experiencing.
- Use hard health data that fit your community, not necessarily the examples from the guidelines.
- Keep in mind you must explain how the grant will either help identify and reduce the adverse health conditions.

Disproportionately Impacted Populations:

- Think about this criteria as "cumulative impacts" affecting your target area.
- Lack of job opportunities, access to services, and/or transportation.
- Zoning issues
- Food deserts
- Loss of population
- Air pollution
- Drinking water & soil issues
- Low property values
- Disinvestment
- Remember, the grant must be able to help with identification and reducing the threats.
 - ▶ I.e. the grant must, "move the needle".

- Community Engagement:
 - Your community project partners and how their roles are relevant and meaningful to your project.
 - Its only meaningful if its unique.
 - How will they be involved in the site selection, cleanup & future redevelopment?
 - This is much more than just support, it's active participation!
 - Its not about quantity, its about the quality of what your partners bring.
- Examples of Community Partner Involvement:
 - Participate on the cleanup project committee
 - Talk to their constituency about the project
 - Host public meetings
 - Provide technical assistance

- Incorporating Community Input:
 - How these plans are appropriate for your targeted community.
 - How to convince the reviewer that your plan is effective.
 - How do you ensure you accommodate your sensitive populations or those living within the target areas?
 - Make sure you have an effective way to both consider and respond to community input.
 - Missing this component was a common mistake in FY19.



2. Community Need and Community Engagement

- a. Community Need
 - i. The Community's Need for Funding

Quantify impacts to community when possible

Reinforce community challenges



2. Community Need and Community Engagement

Example:

The Port District is only **30%** occupied (state the source). Our Target Area has a higher density & concentration of sensitive populations (low income, children, women of child-bearing age) & is disproportionately impacted by brownfields because of exposure to contamination. The town's median household income (\$42,000) is **71%** lower than the county (state the source). The City has a higher unemployment (**10%**) rate & poverty rate (18%) than the County (3%, 15%) & the State (2%, 12%). The problems noted above divert the City's limited financial resources. As a result, we lack the essential ingredients that foster successful redevelopment – higher income, jobs, etc. This grant will provide funding for environmental, cleanup, planning activities, & redevelopment that otherwise would not take place & sensitive populations will continue to be negatively impacted.



2. Community Need and Community Engagement

- a. Community Need
 - ii. Threats to Sensitive Populations

Example:

The town desperately needs safe, affordable housing & jobs for existing residents & to attract new residents. Residents are the ones who lost jobs when manufacturers left. They are among the town's lowest paid workers & continue to struggle.

- 68% of renters in town qualify for rent-restricted units (state the source)
- 80% of students at the Elementary School adjacent to the brownfield sites, qualify for free/reduced lunch, more than double the state average of 38% (state the source)
- Households Receiving Food Stamps: Our town 26% vs. the County's 14%, illustrating low-income residents (state the source)
- Percent Below Poverty: Our town **17%** (vs the County's **8%**), further demonstrates disproportionately impacted residents (state the source)



- **b.** Community Engagement
 - ii. Incorporating Community Input
- Describe your community engagement plan, even if it's ongoing.
- Make sure you discuss how the input from the community engagement plan will be meaningfully incorporated into the project



2. Community Need and Community Engagement

b. Community Engagement

ii. Incorporating Community Input

Example:

Our strategy is to actively solicit community input at our community's open houses, local officials' forums, art exhibits, fundraisers, and concerts. Our design charrettes allow citizens, designers and others to collaborate on a vision for development. These charrettes provide a forum for ideas and offer the advantage of giving the town's leadership immediate feedback on the community's ideas. To date, we have hosted more than 10 design charrettes and they were, and continue to be, an important method of gaining community feedback and steering our redevelopment. We will host charrettes quarterly and also solicit input via social media at other scheduled town events.



Use tables to summarize where appropriate

Example:

2.b.i. Community Involvement: The following local community partners will be involved:

Partner Name and Mission	Point of Contact	Specific Roles



FOLLOW DIRECTIONS (read entire Guidelines first)



- Address all criteria if it doesn't apply say so and explain why
- Use the Application Check Lists that are associated with NOFA
- Write your application from the evaluation criteria section of the guidelines versus the ranking criteria



- Use the outline provided in the guidelines; don't make up new headings; don't rearrange the sections; and number application pages
- If you don't know what something is, don't just skip it! Check out EPA's Frequently Asked Questions
- Be kind to your reviewers minimize use of acronyms/technical/organizational jargon
- Keep extraneous stuff out; it distracts from your story (No graphics or photos)
- Do not use hyperlinks other than sourcing data



- Write as though the reviewer knows NOTHING about your community
- Don't rely on past successes keep the application forward-focused
- Get an outside editor who has limited knowledge of the project to read and evaluate your application
- Read and evaluate any application written by a consultant. Remember it is *your* story. Also make sure you have provided that story and all relevant important to your consultant.



If you need assistance, contact NJIT TAB



NJIT TAB

USEPA designated Technical Assistance to Brownfield Communities provider for Region 4

serve as independent resources to: state, regional, county, tribal, and local government entities, and nonprofits attempting to cleanup and reclaim brownfields

Assistance is provided through...
Resource Center
Educational Forums
Direct Technical Assistance





Cindy J. Nolan **Brownfields Section** Chief

Derek Street



And now a word (or two) from our brownfield staff!

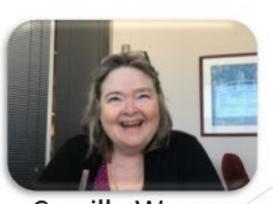
Bob Rosen Targeted Assessments



Wanda Jennings **Budget & Grants**



Olga Perry State & Tribal



Camilla Warren



Brian Gross



Barbara Johnson ACRES Coordinator

QUESTIONS?

Derek Street Region 4 US EPA Atlanta, GA 404-562-8574 Street.Derek@epa.gov

Colette Santasieri, PhD NJIT TAB Newark, NJ 973-642-4165 santasieri@njit.edu

THANK YOU!

