



State of Connecticut  
Department of Economic and Community Development

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## Office of Brownfield Remediation and Development (OBRD)

### Consolidated Application Form

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Check the funding source(s) that are being applied for:

- |                          |   |
|--------------------------|---|
| <input type="checkbox"/> | Municipal Brownfield Grant Program                        |
| <input type="checkbox"/> | Regional Brownfield & Economic Development Grant          |
| <input type="checkbox"/> | EPA Site Assessment Program                               |
| <input type="checkbox"/> | Statewide EPA RLF Program                                 |
| <input type="checkbox"/> | Hartford EPA RLF Program                                  |
| <input type="checkbox"/> | Special Contaminated Remediation Insurance Fund (SCPRIF)  |
| <input type="checkbox"/> | Urban Sites Remedial Action Program (USRAP)               |
| <input type="checkbox"/> | Targeted Brownfield Development Loan Program              |
| <input type="checkbox"/> | Abandoned Brownfield Cleanup (ABC) Program                |
| <input type="checkbox"/> | Remedial Action and Redevelopment Municipal Grant Program |
| <input type="checkbox"/> | CBRA Tax Increment Financing Program (future use)         |
| <input type="checkbox"/> | Urban Act (future use)                                    |
| <input type="checkbox"/> | MAA (future use)  |

# Application Instructions

## Office of Brownfield Remediation and Development

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This application for financial assistance is used to determine applicant, project and program eligibility. This is a *multi-purpose application* for a number of state and federal funding programs and will be used to match a project with the resources that are available at the time of your request. This application may be reviewed by the CT DEEP and the US EPA. Other documentation may be requested. Please answer all of the questions the best you can. Attach additional sheets where necessary. Indicate 'NA' for 'not applicable' and 'not known' if needed.

The Municipal Brownfield Grant Program is competitive and is open only to municipalities and economic development agencies associated with the municipality. The Regional Brownfield & Economic Development Grant is also competitive and is open to municipalities, economic development authorities, regional economic development authorities, or qualified nonprofit community and economic development corporations.

Who should not complete this Application:

- 1) Do not complete this form if you do not own the site and you do not have written permission from the owner(s) to access the site. Municipalities have certain rights as described in Section 22a-133dd. Please consult your attorney about these rights.
- 2) Do not complete this application if your project is a Superfund site; under the authority of the U.S. Environmental Protection Agency; considered a Resource Conservation and Recovery Act (RCRA) site; subject to a consent order or fine by the CT Energy & Environmental Protection; or owned or sold to you by the U.S. government, an agency of the U.S. government or a branch of the U.S. military.

Please return the completed application and required attachments to:

Office of Brownfield Remediation and Development (OBRD)  
Department of Economic and Community Development  
State of Connecticut  
505 Hudson Street  
Hartford, CT 06106  
860-270-8095 hotline



**Liens/Encumbrances (list all associated with the project):**

Federal Withholding	Federal Income	State Sales	State Income	Real Property	Unemployment Insurance	Personal Pro
\$	\$	\$	\$	\$	\$	\$

**16. Site Specifics:** Zoning: \_\_\_\_\_ # of acres: \_\_\_\_\_ # of buildings: \_\_\_\_\_ Total SF: \_\_\_\_\_

Is the site a municipal foreclosure? Yes  No  If yes, (anticipated) date of foreclosure: \_\_\_\_\_

Is the Applicant, or any individual owning more than 10% of the entity, a party to any claim or lawsuit? Yes  No  If yes, provide details. \_\_\_\_\_

Is the Applicant, or any individual owning more than 10% of the entity, ever filed a bankruptcy petition or had a bankruptcy filed against it? Yes  No  If yes, attach copies of filings. \_\_\_\_\_

Will property be sold or transferred? Yes  No  If yes, (anticipated) date of sale/transfer: \_\_\_\_\_

**17. Public disclosure, cooperation, and security:**

Your application and the contents of your application and our discussions with you are subject to public disclosure. We may communicate with the municipality, state agencies, including CT Department of Energy & Environmental Protection, CT Department of Public Health, and the U.S. Environmental Protection Agency, and the general public. You or the owner may be requested to enroll in the CT DEEP Voluntary Remediation Program, and to cooperate with the CT DEEP and the EPA. State funding may require placement of a lien. In addition, if applicant is a private corporation, a personal guaranty may be also required from each owner of 10% or more.

If you agree to the above, please check "Yes": Yes  No

**18. Ownership and subsidiaries:** (List Names, Titles, and % Ownership of Stockholders over 10% who own this property.)

*Note: Attach separate pages, as necessary. If other organizations are affiliated, please attach a chart of your corporate structure.*

**19. Is Site a Brownfield?** (changes from new PA) C.G.S. § 32-9kk (a) (1) defines brownfields as any abandoned or underutilized site where redevelopment and reuse (\*\*\*)has not occurred due to the presence or potential presence of pollution in the buildings, soil or groundwater that requires (\*\*\*)remediation before or in conjunction with the restoration, redevelopment and reuse of the property.  
 \*\*\* or expansion  
 \*\*\*\* investigation or  
 Yes  No  Unknown  Comments \_\_\_\_\_

**20. Groundwater Classification:** GAA  GB  GA  GC  ; Private Well ; Public Water

**21. Is site in a 100-year floodplain?** Yes  No  A 500-year floodplain? Yes  No   
 Historic property/structure? (as appearing on the national, state or local register) Yes  No   
 Is site an existing mill? Yes  No  Is site on an existing wetland? Yes  No

Comments (Does project have required floodplain, SHPO, or wetland permits or have they been applied for?) *Note: Please include copies of any permits or communication regarding the same:*

**22. Is contamination on the site confirmed?** Yes  No

If so, indicate time frame in which the contamination \_\_\_\_\_

Is the CT Department of Energy & Environmental Protection aware of this project? If so provide DEEP contact. Yes  No

Has the potentially responsible party been identified? Yes  No

Who is the potentially responsible party? \_\_\_\_\_

Is there off-site contamination? Yes  No  Unknown   
 Is property an Establishment and subject to the CT Transfer Act? Yes  No   
**23. Has Environmental Conditions Assessment Form (ECAAF) been filed?** I  II  III  IV  None   
 Details (of who will sign):

**24. History of Environmental Activities** (Complete this table and insert "This Request" where appropriate. This table will also be used to understand "readiness to proceed.") Submit electronic or hard copies of environmental reports.

	Consultant	Date Completed	Results/ Future Actions/Cost Estimates
Phase I ESA			
Phase II ESA			
Phase III ESA			
Remedial Action Plan			
Asbestos/Lead Surveys			
Demolition			
Abatement and/or Remediation			

**SECTION IV. ECONOMIC DEVELOPMENT AND OTHER BENEFITS**

**25 a. Current jobs:** \_\_\_\_\_ **25 b. Jobs that will be lost without project:** \_\_\_\_\_  
**25 c. Total expected new jobs as a result of improved site:** Temporary: \_\_\_\_\_ Permanent: \_\_\_\_\_  
**26. Projected increase in contribution to municipality's tax base:** \$ \_\_\_\_\_

Current Actual	Projected 1 <sup>st</sup> Year	Projected 2 <sup>nd</sup> Year	Projected 3 <sup>rd</sup> Year	Projected Year 4-10	Projected 11-15
\$	\$	\$	\$	\$	\$

**27. Community Impact:**  
**A. Prime location:** Indicate if project area is within a prime location such as the downtown, a thoroughfare or the community gateway. Also, name the general area that the project will be a part of.  
 Yes  No  Area details:

**B. Landmark:** Indicate if the project would be a neighborhood landmark. Yes  No

**28. Part of Regional Comprehensive Economic Development Strategy (CEDS)?** CEDS is a document prepared by a regional planning or economic development agency seeking to apply for federal funds. Being a part of CEDS is an indicator that the project has regional economic development significance. Please note that this question pertains only to economic development projects.  
 Yes  No  Other Comments:

## 29. Housing

**A. Incentive Housing Zones:** In its effort to reduce sprawl and conserve land, the state has introduced the Incentive Housing Zone program (see C.G.S § 8-13n) whereby municipalities are encouraged to create zones that allow higher density housing.

Has your municipality (in which the property falls) enrolled in the state's HOMEConnecticut Incentive Housing Zone program (visit [www.homeconnecticut.org](http://www.homeconnecticut.org) for details)? Yes  No

Has your municipality pursued building higher density housing after adoption of the incentive housing overlay zone? Yes  No

**B. Workforce Housing Development:** Workforce housing is defined as affordable housing for the typical worker. Workforce housing is an indicator of steps being taken to retain Connecticut's workforce in the state.

Does the project promote workforce housing? Yes  No  Other Comments:

## SECTION V. *Readiness to Proceed* READINESS TO PROCEED

### 30. Project Plan:

A. What stage of planning is the project in?

No plan  Conceptual  Schematic  Design and Development  Construction Drawings

Comments:

**31. End Use:** The more detailed the end uses are, the closer it is that a project is ready to be implemented. Is the type of end use (e.g. industrial, mixed use etc.) and the size (number of units, square footage etc.) known? Or is the type of the project only known with specifics such as size of the project to be determined later? Or is the end use not identified or known at all?

Type and size known  Only type known  End use not identified or known

A. Is there intent to sell the property after clean-up?

No  Yes, buyer known  Yes, buyer unknown

Details of buyer (if known):

**32. Partnerships/Agreements (provide details, if needed):** (*Note: Please provide copies of any agreements, RFPs/RFQs and/or selection or contract awards.*)

Partnerships or agreements been made?  RFP/RFQ been sent out?  Has a developer been identified?

Details:

**33. Project Timeline:** When is the project ready to start using this requested funding?

**34. Permits and approvals:** Please list all required permits and approvals with status.

**SECTION VI.**

**DEMONSTRATION OF FINANCIAL NEED**

**35. Project Financials Table:** Please complete the table below showing the sources and uses of funds. Attach separate tables if required.

Project Activity (Use of Fund)	Source of Fund					
	DECD	Other State funds	Federal	Local	Private	Total
Land purchase						
Environmental						
Assessment						
Remediation						
Abatement						
Monitoring						
Demolition						
Construction						
Administration soft costs						
Development fee						
Legal costs						
Other costs						
Other costs						
Other costs						
<b>Total</b>						

**Comments:** Please include any details that cannot be included in the table. Example, details of type of fund (cash, grant, or loan); any specifics regarding source of funds; or any requirement for matching funds or collateral.

**36. Applicant's Commitment of Funds:** Please confirm that private funds are committed and available. In addition, should the funding be approved, has the bank financing been secured? (*Note: Please provide documentation confirming the above.*)

**SECTION VII. ENVIRONMENTAL BENEFITS (CONSISTENT WITH RESPONSIBLE GROWTH)**

Note: It is important to note that proposed projects do not have to satisfy all of the responsible growth criteria. This process will help identify projects that are more supportive of the state's responsible growth policies. Please provide narrative discussion if required to support any of your answers.

**37. Regional Collaboration:** Is the project a regional collaboration effort of two or more municipalities?

Yes  No  Comments:

**38. Public Utility Service Area:** Is the project within an existing public utility service area? Yes  No

If no, would the project need new public utilities? Yes  No  Details:

**39. Old Mills/Historic Buildings:** Does the project include or assist in reuse or rehabilitation of any old mills or historic buildings (appearing on the national Register of Historic Places, State Register, or a designated Local Historic Property)? Yes  No  Details:

**40. Transit-oriented Development (TOD), Public Transit and Pedestrian Environment:**

A. Is the project a TOD? Yes  No

B. Is the proposed project within about half a mile from a train station or a bus transit stop? Yes  No

C. Does the project have any features that would encourage use of public transit? (Example: bus shelters, bus pull-offs, train station facilities, sidewalks, shuttle buses, bicycle lockers, etc.) Yes  No

D. Does the project area (half-mile radius of site) have sidewalks and/or pedestrian and bicycle facilities? Yes  No

Details:

**41. Mixed-use Development:**

A. Is the project a mixed-use development? Or does the project area (half-mile radius of site) include a variety of land uses such as residential, commercial, office, retail, etc.? Or does the project address obtain a walkscore™ (approximate measure of the proximity from the project site to variety of land uses – go to [www.walkscore.com](http://www.walkscore.com)) of 50 or more? Yes  No  Walkscore™ :

B. Does the project application include any zoning changes to enable mixed-uses in the project site or general project area? Yes  No

Comments:

**42. Sustainable Standards (provide details if necessary):**

A. Are LEED, ASTM, Green Globes or any other comparable best management practices/standards for green building design proposed to be used? Yes  No

B. Will construction and/or appliances and fixtures meet ENERGY STAR standards? Or does the project propose to use alternative energy sources such as wind, solar, hydro, geothermal, etc.? Yes  No

C. Does the project promote land conservation through the use of higher densities, compact building design, smaller lot sizes, smaller setbacks, etc.? Yes  No

D. Does the project incorporate other sustainable development practices such as water conservation, good storm water management techniques, natural resources conservation and/or other comparable sustainable standards, conditions or characteristics? Yes  No

Details:

**SECTION XIII. ATTACHED DOCUMENTS (CHECKLIST)**

Please indicate which documents are attached. *Please do not include original document, only copies.*

- Applicant/Ownership/Site Information:
  - 501(c) 3 or corporate certificate (see Item 1)
  - 3 years of financials if for-profit company (see Item 1)
  - Business Pro Forma
  - Property tax card, rights to site access and/or intention to acquire title to property (see Item 4)
  - Site Location map (see Item 13)
  - Ownership and Subsidiary Information (see Item 19)
- Environmental Information
  - Permits (see Item 21 and 35)
  - Correspondence, consent orders, violations, corrective action from EPA/DEEP, RCRA Permit (see Item 24)
  - Environmental Site Assessments (Phase I, II, III), RAPs, Cost Estimates (see Item 24)
  - Environmental Land Use Restriction, Environmental Conditions Assessment Form (see Item 23)
- Readiness to Proceed/Financials
  - Agreements, RFPs/RFQs, and/or selection or contract awards (see Item 33)
  - Applicant's commitment of funds (see Item 33)
- Other enclosed documents that would be helpful to evaluate your request for financial assistance:
  - Please describe:
  - Please describe:
- For all applicants:
  - State of Connecticut State Elections Enforcement Commission Form 10 (N/A for municipalities)

**SECTION IX. CERTIFICATION BY APPLICANT**

It is hereby represented by the undersigned that, to the best of my knowledge and belief, no information or data contained in the application, the financial statements or in the attachments are in any way false or incorrect, and that no material information has been omitted. The undersigned agrees that banks, credit agencies, the Connecticut Department of Labor, the Connecticut Department of Revenue Services, the Connecticut Department of Energy & Environmental Protection, the U.S. Environmental Protection Agency and other references are hereby authorized now, or anytime in the future, to give the Connecticut Department of Economic and Community Development any and all information in connection with matters referred to in this application, including information concerning the payment of taxes by the applicant. In addition, the undersigned agrees that any funds provided pursuant to this application will be utilized exclusively for the purposes represented in this application, as may be amended. The undersigned understands that the Connecticut Department of Economic and Community Development's agreement to review this application is in no way a commitment to provide funding. Such a commitment can be provided only following the execution of a contract between the applicant and the State of Connecticut. As such, any funds expended by the applicant prior to these approvals will be done entirely at the risk of the applicant.

<b>Signature</b>	<b>Title</b>	<b>Date</b>
<b>Print Name</b>	<b>Organization</b>	



**STATE OF CONNECTICUT  
STATE ELECTIONS ENFORCEMENT COMMISSION  
20 Trinity Street Hartford, Connecticut 06106-1628**

**SEEC FORM 10**

**NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS OF CAMPAIGN CONTRIBUTION AND SOLICITATION BAN**

This notice is provided under the authority of Connecticut General Statutes 9-612(g)(2), as amended by P.A. 07-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined on page 2):

**Campaign Contribution and Solicitation Ban**

No *state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor*, with regard to a *state contract or state contract solicitation* with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to, or *solicit* contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee;

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

**Duty to Inform**

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

**Penalties for Violations**

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

**Civil penalties**--\$2000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of \$2000 or twice the amount of the prohibited contributions made by their principals.

**Criminal penalties**— Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or \$5000 in fines, or both.

**Contract Consequences**

Contributions made or solicited in violation of the above prohibitions may result, in the case of a state contractor, in the contract being voided.

Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The state will not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Receipt Acknowledged: \_\_\_\_\_ (Date)  
 \_\_\_\_\_ (Signature)

Print Name: \_\_\_\_\_ Title: \_\_\_\_\_

Company Name: \_\_\_\_\_

Additional information and the entire text of P.A. 07-1 may be found on the website of the State Elections Enforcement Commission, [www.ct.gov/seec](http://www.ct.gov/seec). Click on the link to "State Contractor Contribution Ban"

Definitions:

"State contractor" means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Principal of a state contractor or prospective state contractor" means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has managerial or discretionary responsibilities with respect to a state contract, (v) the spouse or a dependent child who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

"State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes.

"State contract solicitation" means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

"Managerial or discretionary responsibilities with respect to a state contract" means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

"Dependent child" means a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax of such individual.

"Solicit" means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (IV) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.