

FEDERAL AGENCY NAME: U.S. Environmental Protection Agency, Office of Enforcement and Compliance Assurance, Office of Federal Activities

FUNDING OPPORTUNITY TITLE: Support for the International Network for Environmental Compliance and Enforcement (INECE)

ANNOUNCEMENT TYPE: Request for Proposals - Initial Announcement

FUNDING OPPORTUNITY NUMBER: EPA-OECA-OFA-1501

CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 66.313
International Compliance and Enforcement Projects

DATES: The deadline for proposals to be received is 11:59 pm Eastern Daylight Savings Time EDT) on October 5, 2015. Submissions must be submitted electronically to EPA through Grants.gov (<http://www.grants.gov>) on or before **October 5, 2015 at 11:59 p.m. EDT** in order to be considered for funding. Proposals received after the closing date and time will not be considered for funding.

OVERVIEW: The Office of Federal Activities in the Office of Enforcement and Compliance Assurance (OECA) at the U.S. Environmental Protection Agency (EPA) is requesting proposals for a cooperative agreement in support of the International Network of Environmental Compliance and Enforcement (INECE). INECE (www.inece.org) is an informal international partnership promoting compliance and enforcement of domestic and international environmental laws through networking, capacity building, and enforcement cooperation. INECE is not part of the United States Government. Comprising 2,500 practitioners from international organizations, governmental agencies and Non-Governmental Organizations (NGOs), INECE is exclusively dedicated to promoting cooperation among governmental and non-governmental stakeholders on environmental compliance and enforcement.

The geographic scope of the cooperative agreement is worldwide. Anticipated funding available for this five-year period is \$750,000, which will be incrementally funded. The initial incremental funding for this project is approximately \$171,000 for a one-year period. Approval of subsequent funding increments (which may range from \$100,000-\$200,000 each year) is dependent on satisfactory project progress, continued relevance of the project to EPA's priorities, and availability of funds.

Proposals for this program should focus on: 1) knowledge and experience with environmental compliance and enforcement issues and practice, both in the United States and in other countries, 2) management of international networks and engaging government officials, non-governmental organizations, international organizations, and other diverse interested parties worldwide, 3) expertise in delivering capacity building on technical and policy issues related to environmental governance, compliance and

enforcement, and 4) strategic planning and project management involving multiple stakeholders and inclusive decision making,

The awarding instrument will be a cooperative agreement. There is no cost share or matching requirement for these funds. Selection of the recipient will be based on the evaluation of the eligible proposals. Once selected, the applicant will receive instructions to submit a full application package. EPA reserves the right to reject all applicants and make no award from this competition.

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SECTION I. FUNDING OPPORTUNITY DESCRIPTION

A. Background

The International Network for Environmental Compliance and Enforcement (INECE) develops and implements practical and innovative activities that strengthen environmental compliance and enforcement at all levels of governance – local, national, regional, and international. INECE builds the capacity of compliance and enforcement stakeholders to contribute to the rule of law and good governance in areas that advance sustainable development.

INECE is an informal network comprised of environmental regulators, investigators, prosecutors, judges, and employees of international environmental and development organizations. Officials from customs, the police, non-governmental organizations, academia, the media, and business also participate. Currently, INECE is not a legal entity, and there are no membership requirements or dues. Both financial and in-kind support is provided by governments and other stake holders from around the world.

Founded in 1989, INECE is the only global entity focused exclusively on achieving compliance with environmental law through effective compliance promotion and enforcement strategies, including administrative, civil, criminal, and judicial enforcement. INECE works on both national implementation of domestic environmental laws and on improving the effectiveness of multilateral environmental agreements.

INECE's goals are to

- Improve enforcement and compliance through better cooperation.
- Strengthen capacity throughout the regulatory cycle to implement and secure compliance with environmental requirements.
- Raise awareness of the importance of environmental compliance and enforcement to sustainable development.

The INECE Secretariat provides technical, managerial, administrative, and communications support for INECE and implements INECE's work plans. The Secretariat coordinates financial and in-kind support from INECE partners and ensures that INECE participants communicate effectively on cooperative compliance and enforcement activities. The INECE Operating Protocols are attached as Annex 1.

INECE is guided by an Executive Committee (EC) consisting of high level environmental compliance and enforcement officials from governments and NGO's around the world. The EC is co-chaired by EPA's OECA and the Netherlands Ministry of Infrastructure & the Environment. International organizations such as the United Nations Environment Program (UNEP) participate in INECE as part of their capacity building programs and in support of their mission. Other governments and NGOs are active in trying to provide their expertise and networking and to leverage assistance for their countries' enforcement programs.

INECE has also helped start regional enforcement networks worldwide that operate independently from, but in close cooperation with the INECE Secretariat. Representatives from each network together with selected government officials serve as the Global Council, which helps inform EC decisions, implement and guide INECE projects, and conduct their own activities in response to the needs of their regions.

EPA is seeking proposals from States, local governments, foreign governments, international organizations, Indian Tribes, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, who are interested and able to serve as the Secretariat for INECE. For-profit organizations and individuals are not eligible entities under this funding opportunity.

B. Project Summary

The EPA is accepting proposals for a cooperative agreement, with the objective to serve as the INECE Secretariat and implement projects corresponding to the three INECE goals listed in Section I.A. of this announcement to strengthen environmental compliance and enforcement, taking into consideration the interests of INECE's stakeholders, emerging trends in the protection of human health and the environment, and the interests of its funders.

Core Secretariat functions that will be funded under this funding opportunity include:

- a) Communicate among environmental enforcement practitioners and other stakeholders through the [INECE website](#), social media tools, direct e-mail, and other forms of remote communication.
- b) Design, produce, collect and/or distribute promotional materials, presentations, academic papers, proceedings, newsletters, press releases, and other material to help promote the INECE goals.
- c) Support the INECE Executive Committee and Global Council by preparing meeting agendas, inviting and coordinating participants, coordinating meetings, and reporting on outcomes including minutes and key decisions.
- d) Help design and implement the INECE Strategic Plan and Annual Work Program in cooperation with the Executive Committee and Global Council.

The awardee may carry out projects, including capacity building, in the priority areas for INECE as listed below, all of which support the three INECE goals.

- a) Governance and rule of law.
- b) Air pollution and climate change.
- c) Illegal trade of waste, and of commodities that may have adverse impacts on the environment.
- d) Environmental impact assessment and permitting.
- e) Water pollution and management.
- f) Enforcement and compliance activities that promote sustainable consumption.

C. Scope of Work:

The list below suggests the types of activities and initiatives that may be supported under this cooperative agreement. This is not intended to be a complete list, nor is it meant to suggest that the INECE Secretariat will have interest and involvement in all listed areas at any particular time, although certain core topics may remain of ongoing critical concern. It is expected that the INECE Executive Committee will identify and prioritize areas for Secretariat completion, including newly emerging issues that may not be included in this preliminary listing.

The elements in the list below are considered to be critical to the successful establishment and functioning of the INECE Secretariat and all elements should be addressed in proposals. It is hoped that underpinnings for elements that are critical to basic program success will be established within the first one year period of performance under this cooperative agreement. However, exercises involving framing, evaluation and prioritization of project elements are expected to be an ongoing part of Secretariat business. Applicants are encouraged to identify additional project elements that may not be included in this list but that may contribute to overall program success in their proposals. In addition, applicants should articulate their approach to making the Secretariat self-sustaining through other sources of funding or contributions from partners.

1. **Serve as INECE Secretariat.** The recipient will support the INECE Executive Committee and Global Council by preparing meeting agendas, invite and coordinate participants, coordinate meetings, and report on outcomes including minutes and key decisions. They will help design and implement the INECE Strategic Plan and Annual Work Program in cooperation with the Executive Committee and Global Council. They will also design, produce, collect and/or distribute promotional materials, presentations, academic papers, proceedings, newsletters, press releases, and other material to help promote the INECE goals.
2. **Updating and maintenance of INECE website.** The recipient will take over the existing INECE website at www.inece.org and associated social media pages and will be responsible for adding new material the recipient believes is appropriate. They should keep the existing material current, ensure its continual accessibility, and integrate new technological features as they become available as the recipient determines best serves the needs of the international enforcement community.
3. **Support for regional and topical networks.** A central goal of the INECE partnership is to support interlocking country, regional and global, topical peer support networks. INECE has successfully fostered networks within several regions, particularly East Africa, Asia, Australia/New Zealand and South America, some of which are thriving independently, and others that need improvement and continued support. INECE has also started global topical networks, some of which have been long-lived and continue to thrive such as the Seaports Environmental Security Network and others, being more *ad hoc* and short-lived, such as the Performance Indicators Workgroup and Climate Compliance Network. Under this opportunity, EPA expects to support efforts to organize regular communications among regional and topical networks and exchange of work-programs and results of cooperation and exchange, strengthening existing networks and establishing new ones where they do not currently exist. The recipient's activities may include translating key documents as they determine appropriate
4. **Strengthening capacity for environmental governance, compliance and enforcement.** This cooperative agreement will support an on-going training effort to build capacity for other countries to enforce their domestic environmental laws. In some cases, the recipient will independently find experts either within their own organization or outside experts to support the development and delivery of the course. At other times, the recipient will work with EPA experts as a delivery partner. In those cases, the recipient may choose to utilize expert facilitators from EPA for the course deliveries and the recipient may use some or all training material that EPA has already developed.

In both cases, the recipient will work in conjunction with EPA and other partners, to develop a strategy for identifying and inviting workshop participants. The recipient will work with the selected participants eligible for funding assistance to facilitate their travel arrangements in an efficient and effective manner. The recipient shall make logistical arrangements for meeting space, simultaneous

interpretation, and document translation as needed. The recipient will have the final decision on the invited participants and non-EPA experts.

- 5. Seaport Environmental Security Network.** EPA and the Netherlands co-chair the Seaport Environmental Security Network (SESN), where participants work together to build capacity, raise awareness, and facilitate enforcement collaboration on ways to detect and control illegal and dangerous transboundary shipments of environmentally-regulated goods through seaports, including hazardous materials, electronic waste, and ozone depleting substances. SESN is one of the priority topical networks under section 3 above. The recipient will help SESN with training events, developing guidance and inspection protocols, and communicating problems and solutions for stopping illegal shipments.
- 6. Improving Environmental Enforcement in China.** China is recognized as one of the largest sources of air pollution in the world. Over the past ten years, the Chinese government has taken great strides to develop the legal and administrative framework to confront their pollution problems, but continues to lack the capacity at the local and national level to enforce these requirements. INECE will co-host a workshop in China in September 2015 on air pollution enforcement that will clearly identify areas for capacity building. EPA is interested in supporting similar future projects that may include training on compliance monitoring and enforcement for Chinese officials to reduce pollution.
- 7. Enforcement of Environmental Impact Assessment (EIA).** Many countries worldwide use the EIA process to develop requirements for monitoring and mitigation throughout the life of a project. Often these measures are not written with enforceable language that inspectors can use to effectively monitor compliance. EPA will work with the recipient to highlight gaps and collect and distribute best practices and outcomes from successful capacity building projects worldwide. The Recipient shall make the final decision on which best practices and outcomes to distribute.
- 8. Next Generation Compliance.** Today's pollution challenges require a modern approach to compliance, taking advantage of new tools and approaches while strengthening vigorous enforcement of environmental laws. Next Generation Compliance is EPA's integrated strategy to do that, designed to bring together the best thinking from inside and outside EPA. EPA will work with the recipient to share information globally and compliance challenges and solutions using Next Generation approaches. (see <http://www2.epa.gov/compliance/next-generation-compliance>.)

D. Implementation of the program:

This program is to be implemented in close collaboration with EPA. EPA, through its already established contacts in the INECE Executive Committee and the INECE Global Council, will work with the grantee in establishing or strengthening relationships/network with/of stakeholders, and ensure that these stakeholders are appropriately involved in the

activities under this program. The recipient shall make the final decision on which stakeholders are involved in the activities under this program. These stakeholders could include ministries of environment, justice, health, transportation, education and energy; universities; international organizations such as the Organization of American States (OAS) and the Organization of Economic Cooperation and Development (OECD); financial international organizations such as the Inter-American Development Bank and World Bank; Non-Government Organizations; other donors; and the private sector.

E. Statutory Authority

EPA expects to award this grant under the Clean Water Act, Section 104, 33 U.S.C. 1254; Solid Waste Disposal Act, Section 8001, 42 U.S.C. 6981; Clean Air Act, Section 103, 42 U.S.C. 7403; Toxic Substances Control Act, Section 10, 15 U.S.C. 2609; Safe Drinking Water Act, Section 1442 (a) and (c), 42 U.S.C. 300j-1 (a)(1); and National Environmental Policy Act Section 102(2)(F), 42 U.S.C. 4332.

F. Alignment with EPA's Strategic Plan

All proposals must support Goal 5 of EPA's Strategic Plan, Compliance and Environmental Stewardship, Objective 1, Improving Compliance, Subobjective 3, Monitoring and Enforcement. In addition, proposals may also support Goal 4 of EPA 2014-2018 Strategic Plan: Ensuring the Safety of Chemicals and Preventing Pollution; Objective 4.1: "Ensuring Chemical Safety", which states "Reduce the risk and increase the safety of chemicals that enter our products, our environment, and our bodies.

Specifically, the recipient will cooperate with regulators, compliance and enforcement practitioners and the public in other countries worldwide to build capacity to design and implement effective environmental regulatory, enforcement, public participation, and education programs. This is an example of an international capacity building program that provides technical assistance, training, information exchange, and other forms of cooperation to enhance the capabilities of governments and other stakeholders to protect human health and the environment nationally, regionally, and globally.

International capacity-building plays a key role in protecting human health and the environment by providing technical cooperation to help countries reduce pollution, better manage environmental quality, and reduce the global use and emission of mercury.

EPA's strategic plan is available on line at

<http://www2.epa.gov/planandbudget/strategicplan>

G. Measuring Environmental Results

Measuring Environmental Results: Outputs and Outcomes: Pursuant to EPA order 5700.7, "Environmental Results under EPA Assistance Agreements," EPA requires that all grant recipients adequately address environmental outputs and outcomes. Outputs and outcomes differ both in their nature and in how they are measured.

Anticipated Outputs: The term "output" means an environmental activity, effort, and/or associated work products related to an environmental goal and objective, that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative but must be measurable during an assistance agreement funding period.

According to the definitions above, expected **outputs** from the activities funded under this solicitation may include but are not limited to the following:

- Number of countries developing/amending/enforcing environmental policies including but not limited to: drinking water, wastewater management, solid waste, management, and air pollution management;
- Number of internet users measured by hits, followers on social media, pages visited, diversity of user's countries, etc.
- Number of people trained;
- Increased capacity – within regulatory institutions and other related key stakeholders – on environmental enforcement and compliance; and
- Participation in regional and topical networks.

Anticipated Outcomes: The term "outcome" means the result, effect, or consequence that will occur from carrying out an environmental program or activity that is related to an environmental programmatic goal objective. Outcomes may be environmental, behavioral, health-related or programmatic in nature, but must be quantitative. They may not necessarily be achievable within an assistance agreement funding period;

Expected **outcomes** from projects funded under this solicitation may include but are not limited to the following:

- Increased technical capacity to investigate and prosecute environmental violations;
- Enhanced environmental governance and enforcement (e.g. increase awareness, policy development, update and/or implementation of regulations, behavioral change) in the areas of: drinking water, wastewater management, solid waste management, and air pollution management;
- Improved capacity in case preparation and review and/or prosecution;
- Enhanced compliance monitoring capabilities; and
- Increased public awareness in environmental compliance and enforcement.

SECTION II. AWARD INFORMATION

A. Amount of Funding Available

The total estimated funding expected to be available for awards under this competitive funding opportunity is approximately \$750,000. EPA anticipates an initial award of up to \$171,000, with an estimated total award of \$750,000, to be provided incrementally, over

the five years performance period of the cooperative agreement, subject to the availability of funds, quality of evaluated proposals, and other applicable considerations.

In appropriate circumstances, EPA reserves the right to partially fund proposals by funding discrete portions or phases of proposed projects. If EPA decides to partially fund a proposal, it will do so in a manner that does not prejudice any applicants or affect the basis upon which the proposal or portion thereof, was evaluated and selected for award, and therefore maintains the integrity of the competition and selection process.

B. Funding Type

This award will be funded through a cooperative agreement and will include substantial involvement from EPA. Although EPA will negotiate precise terms and conditions relating to substantial involvement as part of the award process, the anticipated substantial EPA involvement for this project may include:

- Close monitoring of the successful applicant's performance to verify the results proposed by the applicant;
- Joint operational involvement, participation, and/or collaboration between EPA and the recipient;
- EPA review of project phases or the substantive provisions of proposed contracts found within the scope of the agreement;
- EPA involvement in the selection of key recipient personnel (EPA will not select employees or contractors employed by the award recipient);
- Agency approval of recipient plans prior to award;
- Normal monitoring activities such as site visits, performance reporting, financial reporting and audit;
- Review and comment on reports prepared under the cooperative agreement (the final decision on the content of reports rests with the recipient); and
- Agency review of performance after completion;
- In-kind staff support and expertise to the recipient on technical issues related to environmental compliance and enforcement;
- EPA may nominate or advise about invitees and attendees that require travel funding assistance, but the recipient will make the final decisions about how the funds are used.
- EPA will collaborate with the recipient on communications with INECE members, the INECE Executive Committee (EC), and the public. The recipient will provide draft copies of the following for EPA's review and comment, but will make final decisions on the content of the documents:
 - a. All correspondence with other international organizations and foreign governments on behalf of INECE, and in particular invitations to conferences, workshops, or training courses,
 - b. Brochures and proceedings,
 - c. Draft meeting and conference agendas.

C. Start Date/Project Duration

EPA anticipates that the start date of this project would be no later than November 30, 2015, and the period of performance will not exceed five years (60 months). Should the award of funds be delayed, EPA will work with the applicant to adjust the proposed project start and end dates as needed.

D. Miscellaneous

EPA reserves the right to reject all proposals and make no awards under this announcement. EPA reserves the right to make additional awards under this announcement, consistent with Agency policy and guidance, if additional funding becomes available after the original selection is made. Any additional selections for awards will be made no later than 6 months after the original selection decisions.

SECTION III. ELIGIBILITY INFORMATION

A. Who may apply?

Assistance under this funding opportunity is generally available to States, local governments, foreign governments, international organizations, Indian Tribes, public and private universities and colleges, hospitals, laboratories, other public or private nonprofit institutions, which submit applications with significant technical merit and relevance to EPA's Office of Enforcement and Compliance Assurance's mission.

States are defined in 2 CFR 200.90 as any state of the United States, the District of Columbia, the Commonwealth of Puerto Rico, U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any agency or instrumentality thereof exclusive of local governments.

Non-profit organization, as defined by 2 CFR Part 200, means any corporation, trust, association, cooperative or other organization that: (1) is operated primarily for scientific, educational, service, charitable or similar purposes in the public interest; (2) is not organized primarily for profit; and (3) uses its net proceeds to maintain, improve and/or expand its operations. Note that 2 CFR Part 200 specifically excludes the following types of organizations from the definition of "non-profit organization" because they are separately defined in the Circular: (i) colleges and universities; (ii) hospitals; (iii) state, local and federally-recognized Indian tribal governments; and (iv) those non-profit organizations that are excluded from coverage of this Circular in accordance with paragraph 5 of the Circular. While not considered to be a "non-profit organization(s)" as defined by 2 CFR Part 200, colleges and universities, hospitals, state, local and federally-recognized Indian tribal governments are, nevertheless, eligible to submit proposals under 2 CFR Part 200 and this RFP.

For-profit organizations and individuals are not an eligible entities for this funding opportunity. Additionally, non-profit organizations described in Section 501(c)(4) of the

Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply.

Coalitions/partnerships are encouraged to apply collectively. EPA will consider letters of support for and/or commitment to the project from potential partners.

B. Cost Sharing or Matching

No matching funds are required under this competition. Although cost sharing/matching is not required as a condition of eligibility under this competition, under Section V of this announcement EPA will evaluate proposals based on a leveraging criterion.

Leveraging is generally when an applicant proposes to provide its own additional funds/resources or those from third party sources to support or complement the project they are awarded under the competition which are above and beyond the EPA cooperative agreement funds awarded. Any leveraged funds/resources, and their source, must be identified in the proposal (See Section IV of the announcement, under Collaborations/Partnerships and Leveraging). Leveraged funds and resources may take various forms as noted below.

Voluntary cost share is a form of leveraging. Voluntary cost sharing is when an applicant voluntarily proposes to legally commit to provide costs or contributions to support the project when a cost share is not required. Applicants who propose to use a voluntary cost share must include the costs or contributions for the voluntary cost share in the project budget on the SF-424. If an applicant proposes a voluntary cost share, the following apply:

- A voluntary cost share is subject to the match provisions in the cooperative agreement regulations (2 CFR 200.306).
- A voluntary cost share may only be met with eligible and allowable costs.
- The recipient may not use other sources of federal funds to meet a voluntary cost share unless the statute authorizing the other federal funding provides that the federal funds may be used to meet a cost share requirement on a federal grant.
- The recipient is legally obligated to meet any proposed voluntary cost share that is included in the approved project budget. If the proposed voluntary cost share does not materialize during grant performance, then EPA may reconsider the legitimacy of the award and/or take other appropriate action as authorized by 2 CFR Part 200 as applicable.

Other leveraged funding/resources that are not identified as a voluntary cost share - this form of leveraging may be met by funding from another federal grant, from an

applicant's own resources, or resources from other third party sources. This form of leveraging should not be included in the budget and the costs need not be eligible and allowable project costs under the EPA assistance agreement. While this form of leveraging should not be included in the budget, the cooperative agreement workplan should include a statement indicating that the applicant is expected to produce the proposed leveraging consistent with the terms of the announcement and the applicant's proposal. If applicants propose to provide this form of leveraging, EPA expects them to make the effort to secure the leveraged resources described in their proposals. If the proposed leveraging does not materialize during grant performance, then EPA may reconsider the legitimacy of the award and/or take other appropriate action as authorized by 2 CFR Parts 200 or 1500.

C. Threshold Eligibility Criteria

To be eligible for funding consideration under this announcement, proposals must meet the following threshold eligibility criteria. Failure to meet any of the following threshold eligibility criteria in the proposal will result in the automatic disqualification of the proposal for funding consideration. Ineligible applicants will be notified within 15 calendar days of the determination that they are ineligible based on the threshold eligibility criteria.

1. a. Proposals must substantially comply with the proposal submission instructions and requirements set forth in Section IV of this announcement or else they will be rejected. However, where a page limit is expressed in Section IV with respect to the proposal, pages in excess of the page limitation will not be reviewed.

b. In addition, initial proposals must be submitted through www.grants.gov as stated in Section IV of this announcement (except in the limited circumstances where another mode of submission is specifically allowed for as explained in Section IV) on or before the proposal submission deadline published in Section IV of this announcement. Applicants are responsible for following the submission instructions in Section IV of this announcement to ensure that their proposal/application is timely submitted.

c. Proposals submitted after the submission deadline will be considered late and deemed ineligible without further consideration unless the applicant can clearly demonstrate that it was late due to EPA mishandling or because of technical problems associated with Grants.gov or relevant SAM.gov system issues. An applicant's failure to timely submit their proposal/application through Grants.gov because they did not timely or properly register in SAM.gov or Grants.gov will not be considered an acceptable reason to consider a late submission. Applicants should confirm receipt of their proposal with **Davis Jones at jones.davis@epa.gov** as soon as possible after the submission deadline—failure to do so may result in your proposal not being reviewed.

2. The applicant must demonstrate that it is eligible to apply for financial assistance under this announcement as described in Section III.A. above.

4. Proposals must be submitted in English or they will not be accepted.
5. Ineligible activities: If an application is submitted that includes any ineligible tasks or activities, that portion of the application will be ineligible for funding and may, depending on the extent to which it affects the application, render the entire application ineligible for funding.

SECTION IV. PROPOSAL AND SUBMISSION INFORMATION

Please see Appendix A for:

- Requirement to submit through grants.gov and limited exception procedures
- Grants.gov submission instructions
- Technical issues with submission

A. Proposal Submission Deadline

Your organization's Authorized Organization Representative (AOR) must submit your complete proposal package electronically to EPA through Grants.gov (<http://www.grants.gov>) **on or before October 5, 2015, 11:59pm EDT**. Please allow for enough time to successfully submit your proposal and allow for unexpected errors that may require you to resubmit.

Please submit *all* of the proposal materials described in Section IV.B below using the grants.gov proposal package that you downloaded using the instructions in Appendix A. For additional instructions on completing and submitting the electronic proposal package, click on the "Show Instructions" tab that is accessible within the proposal package itself.

Proposals submitted through grants.gov will be time and date stamped electronically. If you have not received a confirmation of receipt from EPA (not from grants.gov) within 30 days of the proposal deadline, please contact Davis Jones at (202) 564-6035 or jones.davis@epa.gov. Failure to do so may result in your proposal not being reviewed.

B. Content of Proposal Submission

The information in the proposal must provide EPA with a profile of the applicant, the purpose and anticipated results of the project, an explanation of how you plan to accomplish your project, how the project addresses the elements and activities described in Section I.C and the criteria in Section V, and an estimate of the time and money needed to complete the project (see format below).

The following forms and documents are *required* to be submitted under this announcement.

Mandatory Documents:

- 1. Application for Federal Assistance (SF-424)**
- 2. Budget Information for Non-Construction Programs (SF-424A)**
- 3. Assurances for Non-Construction Programs (SF-424B)**
- 4. Narrative Proposal (Project Narrative Attachment Form)-prepared as described in Section IV.B.2. of the announcement**
- 5. Biographical sketch**

Application for Federal Assistance (SF-424)

Complete the form. There are no attachments. Please be sure to include organization fax number and email address in Block 5 of the Standard Form SF 424. Please note that the organizational Dun and Bradstreet (D&B) Data Universal Number System (DUNS) number must be included on the SF-424. Organizations may obtain a DUNS number at no cost by calling the toll-free DUNS number request line at 1-866-705-5711.

Budget Information for Non-Construction Programs (SF-424A)

Complete the form. There are no attachments. The total amount of federal funding requested for the project period should be shown on line 5(e) and on line 6(k) of SF-424A. If indirect costs are included, the amount of indirect costs should be entered on line 6(j). The indirect cost rate (i.e., a percentage), the base (e.g., personnel costs and fringe benefits), and the amount should also be indicated on line 22.

Assurances for Non-Construction Programs (SF-424B)

Complete the form. There are no attachments.

Narrative Proposal:

The Narrative Proposal must be limited to no more than 15 single spaced pages of English text, including the cover page. **Excess pages will not be reviewed or considered.** Proposals should specify activities that would be accomplished with the initial funding for this cooperative agreement (\$171,000) and plans for use of future funding. The document should be readable in PDF format and consolidated into a single file. It should include the following components:

a. Cover Page -- Include the following information:

- a) Project Title
- b) Project Manager: Identify who will serve as the principal party responsible for accomplishing the activities outlined in the work plan, including name, address, phone number, fax number, and email address
- c) Proposed funding request: Specify the total amount requested from EPA, as well as any resources or funding from other sources that may be contributing support
- d) Project period: Provide anticipated beginning and end dates

- e) **Summary Statement:** One-to-two paragraphs summary of the proposal describing approach and expected results.

b. Narrative Workplan: The narrative work plan must explicitly describe how the proposed project meets the guidelines established in Sections I-III, including the eligibility requirements in Section III, Part C, and address each of the evaluation criteria disclosed in Section V. Part B. The narrative work plan should not exceed 15 pages in length. Maps, charts or photographs may be included within the 15-page limit, but must be included in the document and cannot be submitted as separate attachments.) The proposal must include:

- **Project Approach and Management:** Outline clearly the approach you will take with the available funding of \$171,000 and potential future funding for the tasks outlined in Section I, how you will complete these tasks, and how your proposal meets the criteria. Explain specifically how you plan to ensure sustainability and replicability in the projects.
- **Project Tasks and Schedule:** Outline the steps to be taken and the significant milestones to be achieved to complete the project, as well as the estimated schedule of these achievements with dates. This section should also include a discussion of a communication plan for distributing the project results to interested parties.
- **Project Goals/Outcomes/Outputs** - Specify the quantitative and qualitative outcomes and outputs of the project, including what measurements you will use and how you will measure, evaluate and track the results of your project to prove that you have achieved short, medium, and long-term outcomes and outputs.
- **Stakeholder Involvement/Impacts** - List out all of the proposed stakeholder groups that will be involved in this project and what each of the group's roles will be in the project staffing, funding, design, and implementation. Please also list all the major stakeholders who will be positively impacted by this project and how they will benefit from this project.
- **Collaborations/Partnerships and Leveraging** – Describe the degree to which you intend to work in partnership with other stakeholders to ensure the sustainability of the work and to leverage additional resources to help implement the proposed project. Describe the amount and type of leveraged resources to be provided, how you will obtain the leveraged resources, the likelihood the leveraging will materialize during grant performance, the strength of the leveraging commitment, and the role the leveraged resources will play to support the proposed project activities. Selected applicants are expected to abide by their proposed leveraging commitments during grant performance. Failure to do so may affect the legitimacy of the award. (*Note:* Applicants may also submit letters of support for key personnel or organizations who will be involved in the project.)

c. Project Budget - The proposal must include a detailed budget which clearly explains how funds (\$750,000) will be used for the following categories:

- **Personnel**
- **Fringe Benefits**

- **Contractual Costs**
- **Travel**
- **Equipment**
- **Supplies**
- **Other**
- **Total Direct Costs**
- **Total Indirect Costs: must include documentation of accepted indirect rate**
- **Total Cost**

d. Key Personnel: The applicant should submit an appendix with the resumes of key personnel who will be significantly involved in the project (not to be included in 15 page limit).

e. Reporting Requirements: Outline the process for developing quarterly updates (schedule to be established by EPA) including detailed task-specific budget updates, and a detailed final report.

f. Environmental Results: Identify the expected quantitative and qualitative outcomes of the project (**See Section I.G**), including what measurements will be used to track your progress towards achieving the expected outcomes and how the results of the project will be evaluated. Identify the expected project outputs and how progress towards achieving the expected outputs will be tracked and measured.

g. Programmatic Capability and Past Performance: Submit a list of federally funded assistance agreements (assistance agreements include Federal grants and cooperative agreements but not Federal contracts) similar in size, scope and relevance to the proposed project that your organization performed within the last three years (no more than 5 agreements, and preferably EPA agreements) and describe (i) whether, and how, you were able to successfully complete and manage those agreements and (ii) your history of meeting the reporting requirements under those agreements including whether you adequately and timely reported on your progress towards achieving the expected outputs and outcomes of those agreements (and if not, explain why not) and whether you submitted acceptable final technical reports under the agreements. In evaluating applicants under these factors in Section V, EPA will consider the information provided by the applicant and may also consider relevant information from other sources, including information from EPA files and from current/prior grantors (e.g., to verify and/or supplement the information provided by the applicant). If you do not have any relevant or available past performance or reporting information, please indicate this in the proposal and you will receive a neutral score for these factors (a neutral score is half of the total points available in a subset of possible points). If you do not provide any response for these items, you may receive a score of 0 for these factors.

h. Voluntary cost share/match and other leveraged funds (See Section III.B also)
Demonstrate how you will leverage additional funds/resources beyond the grant funds awarded to support the proposed project activities and how these funds/resources will be used to contribute to the performance and success of the proposed project. This includes

but is not limited to funds and other resources leveraged from businesses, labor organizations, non-profit organizations, education and training providers, and/or Federal, state, tribal, and local governments, as appropriate. Describe the amount and type of leveraged resources to be provided, how you will obtain the leveraged resources, the likelihood the leveraging will materialize during grant performance, the strength of the leveraging commitment, and the role the leveraged resources will play to support the proposed project activities. Selected applicants are expected to abide by their proposed leveraging commitments during grant performance and the failure to do so may affect the legitimacy of the award.

C. Submission Dates and Times:

The deadline for all proposals to be submitted is October 5, 2015. All proposals must be date/time stamped via www.grants.gov, on or before 11:59pm EDT on October 5, 2015. Late proposals will not be reviewed or considered for funding.

D. Additional Provisions For Applicants Incorporated Into the Solicitation:

Additional provisions that apply to this solicitation and/or awards made under this solicitation, including but not limited to those related to confidential business information, contracts and sub-awards under grants, and proposal assistance and communications, can be found at:

http://www.epa.gov/ogd/competition/solicitation_provisions.htm.

These, and the other provisions that can be found at the website link, are important, and applicants must review them when preparing proposals for this solicitation. If you are unable to access these provisions electronically at the website above, please communicate with the EPA contact listed in Section VII of this solicitation to obtain the provisions.

SECTION V. PROPOSAL REVIEW INFORMATION

Only eligible entities whose proposal(s) meet the threshold eligibility criteria in Section III of this announcement will be reviewed according to the evaluation criterion set forth below. Applicants should explicitly address this criterion as part of their proposal package submittal. Each proposal will be rated under a points system, with a total of 100 points possible.

A. Proposal Evaluation Criteria:

Evaluation Criteria	Weight
<p>Criterion 1: Technical Expertise and Knowledge</p> <p>Under this criterion the applicant will be evaluated on the extent and quality to which the narrative proposal describes the following:</p> <ul style="list-style-type: none">a) Technical expertise and knowledge on and environmental governance, particularly environmental enforcement and compliance. (10 pts.)b) Qualified technical capacity for carrying out the work, and should include convincing information that the applicant has the necessary capability in coordinating/managing all the environmental areas to be addressed under this cooperative agreement (10 pts.)	20 points
<p>Criterion 2: Project Approach and Management Plan</p> <p>Under this criterion the applicant will be evaluated on the extent and quality to which the narrative proposal describes the following: (5 pts.)</p> <ul style="list-style-type: none">a) Clearly articulated approach to maintaining the INECE Secretariat and eventual transition to a self-sustaining organization. (10 pts.)b) Comprehensive strategy to support capacity building, particularly the courses outlined in section I.C.3. (5 pts.)c) Approach to sustain communication among INECE participants through network activities, management of the website and other social media outlets. (5 pts.)d) Clearly articulated milestone timeline with tasks and anticipated deliverables (outputs and outcomes), and reporting schedule. The plan to measure and track progress toward achieving the expected outcomes identified in Section E. (5 pts.)	25 points
<p>Criterion 3: International Experience</p> <ul style="list-style-type: none">a) Under this criterion the applicant will be evaluated on the extent and quality to which the narrative proposal describes the following: The applicant's relevant international experience which demonstrates a commitment to support policies and programs for good environmental governance management. (5 pts.)	10 points

Evaluation Criteria	Weight
<p>b) Major and/or current experience with any other environmental improvement or projects, including training and capacity building, both in the U.S. or outside the U.S. (5 pts.)</p>	
<p>Criterion 4: Programmatic Capability and Past Performance:</p> <p>Under this criterion, applicants will be evaluated based on their ability to successfully complete and manage the proposed project taking into account their:</p> <ul style="list-style-type: none"> a) Past performance in successfully completing and managing the assistance agreements identified in the narrative proposal as described in Section IV.C of the announcement. (5 pts) b) History of meeting the reporting requirements under the assistance agreements identified in the narrative proposal as described in Section IV.C of the announcement including whether the applicant submitted acceptable final technical reports under those agreements and the extent to which the applicant adequately and timely reported on their progress towards achieving the expected outputs and outcomes under those agreements and if such progress was not being made whether the applicant adequately reported why not. (5 pts) c) Organizational experience and plan for timely and successfully achieving the objectives of the proposed project. (5 pts) d) Staff expertise and qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project. (5 pts) <p>Note: In evaluating applicants under items a) and b) of this criterion, the Agency will consider the information provided by the applicant and may also consider relevant information from other sources including agency files and prior/current grantors (e.g., to verify and/or supplement the information supplied by the applicant). If you do not have any relevant or available past performance or reporting information, please indicate this in the proposal and you will receive a neutral score for these sub-factors (items a) and b) above – a neutral score is half of the total points available in a subset of possible points). If you do not provide any response for these items, you may receive a score of 0 for these factors.</p>	<p>20 points</p>

Evaluation Criteria	Weight
<p>Criterion 5: Leveraging: Under this criterion, applicants will be evaluated based on the extent they demonstrate that they will leverage additional funds/ resources, beyond the grant funds awarded, to support the proposed project activities and how these funds/resources will be used to contribute to the performance and success of the proposed project. This includes but is not limited to funds and other resources leveraged from businesses, labor organizations, non-profit organizations, education and training providers, and/or Federal, state, tribal, and local governments, as appropriate. Applicants will also be evaluated based on the amount and type of leveraged resources to be provided, how they will obtain the leveraged resources, the likelihood the leveraging will materialize during grant performance, the strength of the leveraging commitment, and the role the leveraged funds/resources will play to support the proposed project activities.</p>	<p>10 pts</p>
<p>Criterion 6: Budget: Under this criterion, the Agency will evaluate the proposed project budget to determine whether,</p> <ul style="list-style-type: none"> a) costs are reasonable to accomplish the proposed goals, objectives, and measurable environmental outcomes, (5 pts.) b) the proposed budget provides a detailed breakout of the approximate funding used for each major activity. (5 pts.) <p>An applicant's budget and budget narrative must account for both federal funds and any non-federal funds (e.g., any required or voluntary cost share/match if applicable). Applicants must precisely describe in their budget narrative how they will account for any required or voluntary cost share/match, if applicable, and what role EPA funding will play in the overall project.</p>	<p>10 pts</p>
<p>Criterion 7: Expenditure of Awarded Grant Funds:</p> <p>Under this criterion, applicants will be evaluated based on their approach, procedures, and controls for ensuring that awarded grant funds will be expended in a timely and efficient manner.</p>	<p>5 pts</p>

B. Review and Selection Process

Proposals will first be evaluated against the threshold eligibility criteria listed in Section III. Only those proposals which meet all of the threshold eligibility criteria will be evaluated using the evaluation criteria listed above by an EPA evaluation team. Each eligible proposal will be given a numerical score and will be rank-ordered according to the numerical score. Preliminary funding recommendations will be provided to the Approving Official based on this ranking. The selected applicant will be asked to submit a full proposal package.

C. Other Factors

Final funding decisions will be made by the Approving Official based on the rankings and preliminary recommendation of the EPA evaluation team. In making the final funding decisions, the Approving Official may also consider programmatic priorities.

SECTION VI. AWARD ADMINISTRATION INFORMATION

A. Award Notification:

EPA anticipates notification to successful applicant will be made in writing or through electronic mail. The notification will be sent to the original signer of the proposal or the project contact listed in the proposal. This notification, which informs the applicant that its proposal has been selected and is being recommended for award, is **not** an authorization to begin work. The official notification of an award will be made by the award official for headquarter awards. Applicants are cautioned that only an award official is authorized to bind the Government to the expenditure of funds; selection does not guarantee an award will be made. The award notice, signed by an EPA grants officer, is the authorizing document and will be provided through electronic or postal mail. The successful applicant may need to prepare and submit additional documents and forms (e.g., work plan), which must be approved by EPA, before the grant can officially be awarded. The time between notification of selection and award of a grant can take up to 90 days or longer.

B. Administrative and National Policy Requirements

1. A listing and description of general EPA Regulations applicable to the award of assistance agreements may be viewed at:
http://www.epa.gov/ogd/AppKit/applicable_epa_regulations_and_description.htm
2. To the extent required by Federal, state, and local laws, successful applicants must abide by the competition requirements for all procurements under grants (this includes contracts for goods and services). Successful applicants must also conduct a price and cost analyses to the extent required by federal, state, or local procurement requirements before awarding any contracts.
3. Use of cooperative agreement funds: An applicant that receives an award under this announcement is expected to manage assistance agreement funds efficiently and effectively and make sufficient progress towards completing the project activities described in the work-plan in a timely manner. The assistance agreement will include terms/conditions implementing this requirement.

C. Additional Provisions For Applicants Incorporated Into The Solicitation:

Additional provisions that apply to this solicitation and/or awards made under this solicitation, including but not limited to those related to DUNS, SAM, copyrights, disputes, and administrative capability, can be found at http://www.epa.gov/ogd/competition/solicitation_provisions.htm.

These, and the other provisions that can be found at the website link, are important, and applicants must review them when preparing proposals for this solicitation. If you are unable to access these provisions electronically at the website above, please communicate with the EPA contact listed in Section VII of this solicitation to obtain the provisions.

D. Disputes

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which can be found at: <http://www.epa.gov/ogd/competition/resolution.htm>.

Copies of these procedures may also be requested by contacting the agency contact below in Section VII.

E. Reporting Requirements:

Quarterly progress reports and a detailed final technical report will be required. Quarterly reports summarizing technical progress, planned activities for the next quarter and a summary of expenditures are required. The final technical report shall be completed within 90 calendar days of the completion of the period of performance. The final technical report should include: summary of the project or activity, advances achieved, and costs of the project or activity. In addition, the final technical report should discuss the problems, successes, and lessons learned from the project or activity that could help overcome structural, organizational or technical obstacles to implementing a similar project elsewhere. The schedule for submission of quarterly reports will be established by EPA at time of award.

A final project report and final Federal Financial Report (FFR) (SF-425) will be required. The FFR must accurately account for federal funds expended and identify appropriate use of federal funds.

SECTION VII. AGENCY CONTACT

Davis Jones
U.S. Environmental Protection Agency
1200 Pennsylvania Ave, N.W. (M.C. 2254-A)

Washington, D.C. 20460-0001

Email: jones.davis@epa.gov / Telephone: 202-564-6035

APPENDIX A.

Requirement to Submit Through Grants.gov and Limited Exception Procedures

Applicants, except as noted below, must apply electronically through [Grants.gov](https://www.Grants.gov) under this funding opportunity based on the grants.gov instructions in this announcement. If an applicant does not have the technical capability to apply electronically through grants.gov because of limited or no internet access which prevents them from being able to upload the required application materials to [Grants.gov](https://www.Grants.gov), the applicant must contact OGDWaivers@epa.gov or the address listed below in writing (e.g., by hard copy, email) *at least 15 calendar days prior to the submission deadline under this announcement* to request approval to submit their application materials through an alternate method.

Mailing Address:

OGD Waivers
c/o Barbara Perkins
USEPA Headquarters
William Jefferson Clinton Building
1200 Pennsylvania Ave., N. W.
Mail Code: 3903R
Washington, DC 20460

Courier Address:

OGD Waivers
c/o Barbara Perkins
Ronald Reagan Building
1300 Pennsylvania Ave., N.W.
Rm # 51267
Washington, DC 20004

In the request, the applicant must include the following information:

Funding Opportunity Number (FON)

Organization Name and DUNS

Organization's Contact Information (email address and phone number)

Explanation of how they lack the technical capability to apply electronically through Grants.gov because of 1) limited internet access or 2) no internet access which prevents them from being able to upload the required application materials through www.Grants.gov.

EPA will only consider alternate submission exception requests based on the two reasons stated above and will timely respond to the request -- all other requests will be denied. If an alternate submission method is approved, the applicant will receive documentation of this approval and further instructions on how to apply under this announcement. Applicants will be required to submit the documentation of approval with any initial application submitted under the alternative method. In addition, any submittal through an alternative method must comply with all applicable requirements and deadlines in the announcement including the submission deadline and requirements regarding proposal content and page limits (although the documentation of approval of an alternate submission method will not count against any page limits).

If an exception is granted, it is valid for submissions to EPA for the remainder of the entire calendar year in which the exception was approved and can be used to justify alternative submission methods for application submissions made through December 31 of the calendar year in which the exception was approved (e.g., if the exception was approved on March 1, 2015, it is valid for any competitive or non-competitive application submission to EPA through December 31, 2015). Applicants need only request an exception once in a calendar year and all exceptions will expire on December 31 of that calendar year. Applicants must request a new exception from required electronic submission through Grants.gov for submissions for any succeeding calendar year. For example, if there is a competitive opportunity issued on December 1, 2015 with a submission deadline of January 15, 2016, the applicant would need a new exception to submit through alternative methods beginning January 1, 2016.

Please note that the process described in this section is only for requesting alternate submission methods. All other inquiries about this announcement must be directed to the Agency Contact listed in Section VII of the announcement. Queries or requests submitted to the email address identified above for any reason other than to request an alternate submission method will not be acknowledged or answered.

Grants.gov Submission Instructions Grants.gov Proposal/Application Instructions

The electronic submission of your application must be made by an official representative of your institution who is registered with Grants.gov and is authorized to sign applications for Federal assistance. For more information on the registration requirements that must be completed in order to submit an application through grants.gov, go to <http://www.grants.gov> and click on “Applicants” on the top of the page and then go to the “Get Registered” link on the page. If your organization is not currently registered with Grants.gov, please encourage your office to designate an Authorized Organization Representative (AOR) and ask that individual to begin the registration process as soon as possible. Please note that the registration process also requires that your organization have a DUNS number and a current registration with the System for Award Management (SAM) and the process of obtaining both could take a month or more. Applicants must ensure that all registration requirements are met in order to apply for this opportunity through grants.gov and should ensure that all such requirements have been met well in advance of the submission deadline. Registration on grants.gov, SAM.gov, and DUNS number assignment is FREE.

To begin the application process under this grant announcement, go to <http://www.grants.gov> and click on “Applicants” on the top of the page and then “Apply for Grants” from the dropdown menu and then follow the instructions accordingly. Please note: To apply through grants.gov, you must use Adobe Reader software and download the compatible Adobe Reader version. For more information about Adobe Reader, to verify compatibility, or to download the free software, please visit <http://www.grants.gov/web/grants/support/technical-support/software/adobe-reader-compatibility.html>

You may also be able to access the application package for this announcement by searching for the opportunity on <http://www.grants.gov>. Go to <http://www.grants.gov> and then click on “Search Grants” at the top of the page and enter the Funding Opportunity Number, EPA-OECA-OFA-1501, or CFDA 66.131, in the appropriate field and click the Search button. Alternatively, you may be able to access the application package by clicking on the Application Package button at the top right of the synopsis page for the announcement on <http://www.grants.gov>. To find the synopsis page, go to <http://www.grants.gov> and click “Browse Agencies” in the middle of the page and then go to “Environmental Protection Agency” to find the EPA funding opportunities.

Application Submission Deadline: Your organization’s AOR must submit your complete application package electronically to EPA through Grants.gov (<http://www.grants.gov>) no later than October 5, 2015. Please allow for enough time to successfully submit your application process and allow for unexpected errors that may require you to resubmit.

Please submit all of the application materials described below using the grants.gov application package that you downloaded using the instructions above. For additional instructions on completing and submitting the electronic application package, click on the “Show Instructions” tab that is accessible within the application package itself.

Proposal/Application Materials: The following forms and documents are required under this announcement:

Mandatory Documents:

- Application for Federal Assistance (SF-424)
- Budget Information for Non-Construction Programs (SF-424A)
- Assurances for Non-Construction Programs (SF-424B)
- Narrative Proposal (Project Narrative Attachment Form)-prepared as described in Section IV.B.2. of the announcement

Optional Documents-See Section IV.C of announcement: Use “other attachments” form.

Applications submitted through grants.gov will be time and date stamped electronically.

If you have not received a confirmation of receipt from EPA (not from grants.gov) within 30 days of the application deadline, please contact Davis Jones, at (202) 564-6035. Failure to do so may result in your application not being reviewed.

Technical Issues with Submission

1. Once the application package has been completed, the “Submit” button should be enabled. If the “Submit” button is not active, please call Grants.gov for assistance at 1-800-518-4726. Applicants who are outside the U.S. at the time of submittal and are not able to access the toll-free number may reach a Grants.gov representative by calling 606-545-5035. Applicants should save the completed application package with two different file names

before providing it to the AOR to avoid having to re-create the package should submission problems be experienced or a revised application needs to be submitted.

2. Submitting the application. The application package must be transferred to Grants.gov by an AOR. The AOR should close all other software before attempting to submit the application package. Click the “submit” button of the application package. Your Internet browser will launch and a sign-in page will appear. Note: Minor problems are not uncommon with transfers to Grants.gov. It is essential to allow sufficient time to ensure that your application is submitted to Grants.gov BEFORE the due date identified in Section IV of the solicitation. The Grants.gov support desk operates 24 hours a day, seven days a week, except Federal Holidays. A successful transfer will end with an on-screen acknowledgement. For documentation purposes, print or screen capture this acknowledgement. If a submission problem occurs, reboot the computer – turning the power off may be necessary – and re-attempt the submission. Note: Grants.gov issues a “case number” upon a request for assistance.

3. Transmission Difficulties. If transmission difficulties that result in a late transmission, no transmission, or rejection of the transmitted application are experienced, and following the above instructions do not resolve the problem so that the application is submitted to www.Grants.Gov by the deadline date and time, follow the guidance below. The Agency will make a decision concerning acceptance of each late submission on a case-by-case basis. All emails, as described below, are to be sent to Davis Jones with the FON in the subject line. If you are unable to email, contact Davis Jones at 202-564-6035. Be aware that EPA will only consider accepting applications that were unable to transmit due to www.Grants.gov or relevant www.Sam.gov system issues or for unforeseen exigent circumstances, such as extreme weather interfering with internet access. Failure of an applicant to submit timely because they did not properly or timely register in SAM.gov or Grants.gov is not an acceptable reason to justify acceptance of a late submittal.

a. If you are experiencing problems resulting in an inability to upload the application to Grants.gov, it is essential to call www.Grants.gov for assistance at 1-800-518-4726 before the application deadline. Applicants who are outside the U.S. at the time of submittal and are not able to access the toll-free number may reach a Grants.gov representative by calling 606-545-5035. Be sure to obtain a case number from Grants.gov. If the problems stem from unforeseen exigent circumstances unrelated to Grants.gov, such as extreme weather interfering with internet access, contact Davis Jones at 202-564-6035.

b. Unsuccessful transfer of the application package: If a successful transfer of the application cannot be accomplished even with assistance from Grants.gov due to electronic submission system issues or unforeseen exigent circumstances, send an email message to jones.davis@epa.gov prior to the application deadline. The email message must document the problem and include the Grants.gov case number as well as the entire application in PDF format as an attachment.

c. Grants.gov rejection of the application package: If a notification is received from Grants.gov stating that the application has been rejected for reasons other than late submittal promptly send an email to jones.davis@epa.gov with the FON in the subject line within one business day of the closing date of this solicitation. The email should include any materials provided by Grants.gov and attach the entire application in PDF format.

APPENDIX B. BUDGET SAMPLE

Budget Detail

This section of the work plan is a detailed description of the budget found in the SF-424A, and must include a detailed discussion of how EPA funds will be used. Applicants must itemize costs related to personnel, fringe benefits, travel, equipment, supplies, contractual costs, other direct costs, indirect costs, and total costs.

If the project budget includes any cost-share, mandatory or voluntary, the Budget Detail portion of the narrative proposal must include a detailed description of how the applicant will obtain the cost-share and how the cost-share funding will be used. Delete sentence if cost share is voluntary*If EPA accepts an offer for a voluntary cost-share, applicants must meet their sharing commitment as a legal condition of receiving EPA funding. If the proposed cost-share is to be provided by a third-party, a letter of commitment is required. Any form of cost-share included in the Budget Detail must also be include on the SF 424 and SF 424A. Please see Section III.B if this RFP for more detailed information on cost-share.

Applicants should use the following instructions, budget object class descriptions, and example table to complete the Budget Detail section of the work plan.

- **Personnel - List all staff positions by title. Give annual salary, percentage of time assigned to the project, and total cost for the budget period.** This category includes only direct costs for the salaries of those individuals who will perform work directly for the project (generally, paid employees of the applicant organization). If the applicant organization is including staff time (in-kind services) as a cost share, this should be included as Personnel costs. Personnel costs do not include: (1) costs for services of consultants, contractors, consortia members, or other partner organizations, which are included in the “Contractual” category; (2) costs for employees of subrecipients under subawards, which are included in the “Other” category; or (3) effort that is nor directly in support of the proposed project, which may be covered by the organization’s negotiated indirect cost rate. The budget detail must identify the personnel category type by Full Time Equivalent (FTE), including percentage of FTE for part-time employees, number of personnel proposed for each category, and the estimated funding amounts.
- **Fringe Benefits - Identify the percentage used, the basis for its computation, and the types of benefits included.** Fringe benefits are allowances and services provided by employers to their employees as compensation in addition to regular salaries and wages. Fringe benefits include, but are not limited to the cost of leave, employee insurance, pensions and unemployment benefit plans.
- **Travel - Specify the mileage, per diem, estimated number of trips in-State and out-of-State, number of travelers, and other costs for each type of travel.** Travel may be integral to the purpose of the proposed project (e.g. inspections) or related to proposed project activities (e.g. attendance at meetings). Travel costs do not include: (1) costs for travel of consultants, contractors, consortia members, or other partner organizations, which are included in the “Contractual” category; (2) travel costs for employees of subrecipients under subawards, which are included in the “Other” category.

- **Equipment - Identify each item to be purchased which has an estimated acquisition cost of \$5,000 or more per unit and a useful life of more than one year.** Equipment also includes accessories necessary to make the equipment operational. Equipment does not include: (1) equipment planned to be leased/rented, including lease/purchase agreement; or (2) equipment service or maintenance contracts. These types of proposed costs should be included in the “Other” category. Items with a unit cost of less than \$5,000 should be categorized as supplies, pursuant to 2 CFR Part 200. The budget detail must include an itemized listing of all equipment proposed under the project.
- **Supplies - “Supplies” means all tangible personal property other than “equipment”.** The budget detail should identify categories of supplies to be procured (e.g., laboratory supplies or office supplies). Non-tangible goods and services associated with supplies, such as printing service, photocopy services, and rental costs should be included in the “Other” category.
- **Contractual - Identify each proposed contract and specify its purpose and estimated cost.** Contractual/consultant services are those services to be carried out by an individual or organization, other than the applicant, in the form of a procurement relationship. Leased or rented goods (equipment or supplies) should be included in the “Other” category. The applicant should list the proposed contract activities along with a brief description of the scope of work or services to be provided, proposed duration, and proposed procurement method (competitive or non-competitive), if known.
- **Other - List each item in sufficient detail for EPA to determine the reasonableness and allowability of its cost.** This category should include only those types of direct costs that do not fit in any of the other budget categories. Examples of costs that may be in this category are: insurance, rental/lease of equipment or supplies, equipment service or maintenance contracts, printing or photocopying, rebates, and subaward costs. Subawards (e.g., subgrants) are a distinct type of cost under this category. The term “subaward” means an award of financial assistance (money or property) by any legal agreement made by the recipient to an eligible subrecipient. This term does not include procurement purchases, technical assistance in the form of services instead of money, or other assistance in the form of revenue sharing, loans, loan guarantees, interest subsidies, insurance, or direct appropriations. Subcontracts are not subawards and belong in the contractual category. Applicants must provide the aggregate amount they propose to issue as subaward work and a description of the types of activities to be supported.
- **Indirect Charges - If indirect charges are budgeted, indicate the approved rate and base.** Indirect costs are those incurred by the grantee for a common or joint purpose that benefit more than one cost objective or project, and are not readily assignable to specific cost objectives or projects as a direct cost. In order for indirect costs to be allowable, the applicant must have a federal or state negotiated indirect cost rate (e.g., fixed, predetermined, final or provisional), or must have submitted a proposal to the cognizant Federal or State agency. Examples of Indirect Cost Rate calculations are shown below:
 - Personnel (Indirect Rate x Personnel = Indirect Costs)
 - Personnel and Fringe (Indirect Rate x Personnel & Fringe = Indirect Costs)

- Total Direct Costs (Indirect Rate x Total direct costs = Indirect Costs)
- Direct Costs minus distorting or other factors such as contracts and equipment
(Indirect Rate x (total direct cost – distorting factors) = Indirect Costs)

Example Budget Table adjust budget numbers if necessary

	EPA Funding	**Cost-Share
Personnel		
(1) Project Manager @ \$40/hr x 10 hrs/week x 52 wks		\$20,800
(3) Project Staff @ \$25/hr x 40 hrs/week x 40 wks	\$120,000	
TOTAL PERSONNEL	\$120,000	\$20,800
Fringe Benefits		
20% of Salary and Wages	20% (120,000)	20% (20,800)
- Retirement, Health Benefits, FICA, SUI	\$24,000	\$4,160
TOTAL FRINGE BENEFITS	\$24,000	\$4,160
Travel		
Travel for Project Manager and staff: 500 mi/mo @ \$0.55/mi x 12 mos.	\$3,300	
TOTAL TRAVEL	\$3,300	
Equipment		
TOTAL EQUIPMENT	0	
Supplies		
Office and related supplies to support training	\$10,000	
TOTAL SUPPLIES	\$10,000	
Contractual		
Support Services Contract	\$20,000	
TOTAL CONTRACTUAL	\$20,000	
Other		
TOTAL OTHER	\$0	
Indirect Charges		
Federal Negotiated Indirect Cost Rate = 10% (Indirect Rate x Personnel = Indirect Costs)	\$12,000	
TOTAL INDIRECT	\$12,000	
TOTAL FUNDING	\$189,300 (fed)	\$24,960 (non-fed)
TOTAL PROJECT COST (federal and non-federal)	\$214,260	

** Cost-Share funds, while not required under this RFA, must also be included on the SF-424A as detailed in Section III.B of this RFP.

Note on Management Fees: When formulating budgets for proposals, applicants must not include management fees or similar charges in excess of the direct costs and indirect costs at the rate approved by the applicant's cognizant Federal audit agency, or at the rate provided for by the terms of the agreement negotiated with EPA. The term "management fees or similar charges" refers to expenses added to the direct costs in order to accumulate and reserve funds for ongoing business expenses, unforeseen liabilities, or for other similar costs that are not allowable under EPA assistance agreements. Management fees or similar charges

cannot be used to improve or expand the project funded under this agreement, except to the extent authorized as a direct cost of carrying out the work plan.

ANNEX 1: INECE OPERATING PROTOCOLS



INTERNATIONAL NETWORK FOR ENVIRONMENTAL COMPLIANCE AND ENFORCEMENT

INECE OPERATING PROTOCOLS

January 2014

1. INTRODUCTION

1.1 Overview

INECE is a global network that: (1) facilitates enforcement and compliance cooperation; (2) strengthens capacity throughout the regulatory cycle to implement and secure compliance with environmental requirements; and (3) raises awareness of the critical importance of environmental compliance and enforcement to sustainable development.

INECE operates through a decision making body called the Executive Committee (EC), which is responsible for approving and assuring the implementation of the INECE strategic plan and work programs, in cooperation with the Secretariat. A Global Council (GC) provides expertise and advice to INECE on the development and implementation of INECE's Strategic Plan.

The INECE Secretariat provides technical, administrative, and communications support for INECE and implements INECE's Strategic Plan and annual work programs. The Secretariat coordinates financial and in-kind support from INECE partners and ensures that INECE participants communicate effectively on cooperative compliance and enforcement activities. The Secretariat also provides support for the governance of INECE.

The Director of the INECE Secretariat is responsible for the work of the Secretariat. The Director will arrange proper procedures within the Secretariat to provide adequate oversight and project management to ensure effective implementation of the Strategic Plan and associated work plans. The Director is also responsible for raising funds to support the Secretariat and implementing the Strategic Plan in conjunction with the EC Fundraising Committee.

1.2 Strategic Plan

In furtherance of INECE policy, the Secretariat will work with the EC and GC to develop strategic plans for approval by the EC. The EC will update the plan every five years or as otherwise appropriate. The Secretariat oversees its implementation and reports progress to the EC and GC. The Secretariat will present a draft of the annual work plan to the EC for input.

1.3 Communications Protocol

In coordination with relevant subcommittees and in furtherance of INECE policy, the Secretariat will develop the communication protocol for approval by the EC. The Secretariat will update this communication protocol as appropriate, supervise its implementation, comply with the protocol on external and internal communication, and report progress to the EC.

1.4 Funding Strategy

In coordination with relevant subcommittees, the Secretariat will work with the EC to develop, update, and implement the funding strategy for approval by the EC. The major organizations represented on the EC and the GC, along with other interested members, will participate on the funding subcommittee within the confines of their organizational limitations.

The Secretariat will work with the EC to develop and approve, subject to available funding, an annual work program to support the implementation of the INECE Strategic Plan. The annual work program will include major task categories, milestones, and deliverables, along with an indication of whether currently available funding supports each project. The Secretariat and EC and GC will implement the work program, including by assigning specific tasks under the annual work plan to EC and GC members, subject to availability of funding and in-kind support, and will report progress to the EC, as well as funding agencies.

2. GENERAL APPROVALS

2.1 CHAIR CORRESPONDENCE

The INECE EC Chair and Vice Chair approve letters and correspondence that are sent under their signature. The Secretariat forwards documents, drafted for signature by the Chairs, to the Chairs' designees, prior to publication. After any revisions, the Secretariat forwards copies of the revised draft to the Chairs and designees. Upon approval of the text of the correspondence, the Secretariat adds the digital signatures of the Chairs and distributes the document to the intended audience, with copies to the Chairs and designees for their files.

2.2 INECE Publications and Materials

Routine materials to the EC, GC, and INECE participants are sent by the Secretariat under the name of the Director or Managing Director as appropriate. Written communications that raise new policy issues outside the parameters of the INECE goals, Strategic Plan, and other policy documents will be circulated in draft to the Chairs prior to public distribution. Whenever possible, materials are sent by e-mail, either as an attachment or by pointing to the relevant address on the INECE Web site. A reasonable amount of time is provided for review, according to the circumstances. INECE publications guidance is elaborated further in the communication protocol.

2.3 INECE Policies

The EC will approve INECE policy by consensus as well as other decisions that can be efficiently presented at the regular EC meetings. The Chairs are authorized to make decisions, consistent with INECE policies, as required, between EC meetings.

3 GOVERNANCE STRUCTURE

3.1 Executive Committee

INECE operates through a decision making body called the Executive Committee (EC), which is responsible for approving and assuring the implementation of the INECE strategic plan and work plans, in cooperation with the Secretariat. The EC is a group of up to 8 leaders, primarily from national governments, who serve as the governing body of INECE. The EC builds partnerships and advocates for strong national implementation and enforcement to advance environmental compliance at all levels of governance.

The EC consists of:

- a. **Chair** - Selected by EC for a 3-year term.
- b. **Vice-Chair** – Selected by EC for a 3-year term.
- c. **Selection process** – Initially co-chairs will nominate members of the EC. The EC will solicit and make future selections. The Global Council (GC) will have a representative on the EC.
- d. **Meeting frequency** – Quarterly calls, with a minimum of one in-person meeting annually.
- e. **Responsibilities** – Each EC member will have specific responsibilities for strategic planning, project leadership, fundraising, or promotion, and will be responsible for coordinating with a subgroup of GC members. Each EC member will ensure that his or her obligations are carried out, including through assigning an internal staff person.
- f. **Term** – The term length of each EC member is 3 years, with opportunity for renewal.

EC will make decisions by majority vote of all appointed members. Such a vote will be required for approving new Strategic Plans, changing the Operating Protocols, approval of annual work plans, membership appointments to the EC and GC, and other major decisions.

3.2 Global Council

The INECE Global Council (GC) is a maximum of 30 prestigious environmental compliance and enforcement experts who provide expertise to INECE and advice on the development and implementation of INECE's Strategic Plan. The Global Council provides expertise and advice on the development and implementation of INECE's Strategic Plan. GC members take leadership roles in

project development and implementation, including decision-making; providing advice and recommendations on the strategic direction of INECE to the EC; sharing ideas on broad trends in international environmental policy with the EC and the Secretariat; and contributing expertise to support the implementation of INECE projects, including topical and regional networks.

- a. **Selection process** - The EC will consider nominations of environmental compliance and enforcement experts and other relevant disciplines from around the world. The EC will select and confirm members to the GC.
- b. **Regional Network Representation** – Each regional enforcement network will appoint one representative to the GC in accordance with its own operating protocols.
- c. **Selection criteria** - The EC will consider the following criteria in selecting members for the GC to ensure diversity and balance: (a) substantive expertise (e.g., inspector, prosecutor, judge, policy maker, fundraiser, and other relevant experts); (b) geographic representation; (c) organizational affiliation - governmental environmental agencies, donors and strategic partners, international organizations; and (d) gender.
- d. **Responsibilities** – Provide regional, subject matter or financial expertise, promotion of INECE and its activities, project leadership and participation, partnership building, website content, and act as delivery partners.
- e. **Meeting frequency** – Annually (in person or by remote conferencing).
- f. **Biannual updates** – Concise written update to the EC on progress and challenges (2/yr); and regular project-specific consultations with the Secretariat and EC members as necessary.
- g. **Representation to EC** – The GC will select one member as representative to the EC for a three year term.
- h. **Term** – 3 years, with potential eligibility for renewal.
- i. The chair of the GC will represent the GC at EC meetings.

3.3 Evaluation

The Leadership Subcommittee will review the contribution and participation of EC and GC members regularly in accordance with the responsibilities set out in sections 3.1 and 3.2.

3.4 INECE Secretariat

The INECE Secretariat provides leadership, management, and guidance for the implementation of the INECE Strategic Plan. The Secretariat delivers technical, substantive, communications, and administrative support for the EC and GC functions and oversees the day-to-day implementation of INECE's work program under the guidance of the EC. The Director of the Secretariat participates on the EC. The Secretariat builds partnerships, solicits expertise from and collaborates with the GC on project implementation, promotes compliance and enforcement, publicizes INECE's activities and tools such as the website, and solicits and manages funding to support the implementation of the work program.

3.4.1 Review of the Secretariat

The Co-Chairs will review the performance of the Director of the Secretariat every two years or as required. Important factors for their review will be the management of the Secretariat and associated staff, the execution of annual work plans, the progress of the Strategic Implementation Plan, diversification of financing opportunities, representation of INECE at meetings relevant to environmental compliance and enforcement, and communication and promotion of INECE activities.

The Secretariat will prepare briefing materials, as required, in consultation with presenters, for electronic distribution two weeks prior to each EC meeting, whenever possible. The Secretariat will also coordinate a meeting of the Co-Chairs prior to the EC meeting to finalize the agenda.

The Secretariat will keep the minutes of the meeting, and within two weeks circulate a list of key decisions and action items taken during the meeting. Within 30 days, the Secretariat will circulate draft minutes, after review by the Co-Chairs. The final minutes will be presented at the subsequent meeting for adoption by the EC.

3.5 Subcommittees

EC members will establish subcommittees and appoint subcommittee members, in consultation with the Secretariat, and members of the GC as necessary to assist with and advise INECE activities. The Secretariat will support EC subcommittees as needed and as consistent with the strategic plan, funding strategy, work program, budget, and available funding. The EC shall be encouraged to invite members of their staffs to participate at a working level on INECE subcommittees.