



Department of Homeland Security (DHS)

Notice of Funding Opportunity (NOFO)

National Non-Profit Organization Grant Program

NOTE: If you are going to apply for this funding opportunity and have not obtained a Data Universal Numbering System (DUNS) number and/or are not currently registered in the System for Award Management (SAM), please take immediate action to obtain a DUNS Number, if applicable, and then to register immediately in SAM . It may take 4 weeks or more after you submit your SAM registration before your registration is active in SAM, then an additional 24 hours for Grants.gov to recognize your information. Information on obtaining a DUNS number and registering in SAM is available from Grants.gov at: <http://www.grants.gov/web/grants/register.html>

The full text of the NOFO follows the format as required per 2 CFR 200 Appendix I.

A. Program Description

Issued By: Department of Homeland Security (DHS) – United States Coast Guard

Catalog of Federal Domestic Assistance (CFDA) Number: 97.012

CFDA Title: Boating Safety Financial Assistance

Notice of Funding Opportunity Title: National Non-Profit Organization Grant Program

NOFO Number: DHS-USCG-2017-001

Authorizing Authority for Program: 46 U.S.C. 13102

Appropriation Authority for Program: 46 U.S.C. 13107 *(All awards are subject to availability of funds.)*

Program Type: Continuation *(Date of Origin for Program: 10/01/1972)*

Program Overview, Objectives, and Priorities: The purpose of the National Recreational Boating Safety Program is to reduce the number of accidents, injuries and deaths on America's waterways and provide a safe enjoyable experience for the boating public. The program also encourages greater non-profit organizations participation and uniformity in boating safety efforts.

As stated in Executive Summary of the National Recreational Boating Safety Program 2017 – 2021 Strategic Plan, the three major priorities for funding are:

- 1) Cultivate a boating public that is better prepared to engage in safer boating behaviors.

- 2) Make better informed policy decisions by building and using highly-integrated systems to gather and evaluate data from many sources; and
- 3) Nurture collaborative efforts among the stakeholders that benefit the boating public within the recreational boating safety community.

More information on the National Recreational Boating Safety Program 2017 – 2021 Strategic Plan can be found in Attachment 1.

B. Federal Award Information

Award Amounts, Important Dates, and Extensions

Estimated Available Funding for the NOFO: \$5,021,274

Projected Number of Awards: 30

Period of Performance: 18 months (Extensions are permitted.)

Recipients must request an extension in writing 30 days prior to grant award end date.

Projected Period of Performance Start Date(s): 03/01/2017

Projected Period of Performance End Date(s): 09/30/2018

Funding Instrument: Cooperative Agreement

The Coast Guard is the lead agency in development and maintenance of the Strategic Plan of the National Recreational Boating Safety Program. The Coast Guard will work closely with each non-profit organization grantee to ensure the funded projects adhere to the Strategic Plan. The Coast Guard conducts joint meetings, conferences, serves on committees with individuals from non-profit organizations, and conducts many other activities that constitute substantial involvement with the National Recreational Boating Safety Program.

C. Eligibility Information

Eligible Applicants: Non-Profits with 501(c)(3) IRS Status, other than institution of higher education

Eligibility Criteria: *Ref: 46 U.S.C. 13103*

In order to apply for a grant, an organization must be eligible for funding. Title 46 United States Code, section 13103(c) authorizes Federal financial assistance for "support of national boating safety activities of national non-profit public service organizations." The Coast Guard has developed the following test for eligibility, based on Federal law and regulations, legal rulings and interpretations, and guidance from other Federal agencies.

Organizations do not have to be boating-related. Any organization meeting the following qualifications is eligible to apply:

1. Must be a nongovernmental organization. (City, County or State governments or municipalities, for example, are not eligible).
2. Must be accorded a non-profit organization tax-exempt status by the Internal Revenue Service in accordance with 26 U.S.C. 501(c) (3). You must provide a copy of the IRS letter designating your organization as a non-profit organization (26 CFR 1.501(c) (3) -1 elaborates on the test for exemption). Contracts or subcontracts to profit-making or taxable organizations are allowed. However, these activities must be explicitly spelled out in the grant project narrative, and be limited to administrative, clerical, or technical functions.
3. The national organization must demonstrate the ability to provide recreational boating safety benefits in all regions; is currently providing recreational boating activities in all regions; and /or demonstrate the intent to partner with other national and/or State and/or local organizations within all regions and indicate a timeline for this to be done if the grant recipient is not already national in scope. National (or nationwide or national-in-scope) is defined as extending beyond a state or region and specifically address all regions of the country that includes: Atlantic, Pacific, Gulf of Mexico/Western Rivers and Great Lakes. A national membership base does not suffice.
4. Must be primarily in existence to provide “public service” and serve the general public. Fraternal, lobbying or religious organizations are not eligible.

Subcontracts to profit-making businesses, colleges or universities are allowed. However, the grantee organization is required to maintain all project records, provide the point of contact, and maintain funding accountability. If a profit-making organization or college or university performs a portion of the contract, the project proposal and grant agreement shall lucidly describe its activities. Non-Profit organizations that are associated with profit-making or taxable organizations are eligible for grants if they meet all the eligibility requirements above.

EXCLUSIONS

The following organizations are not eligible for funding: (1) colleges and universities; (2) hospitals; (3) governments or governmental organizations; (4) churches; (5) municipalities; (6) local units of national organizations; and (7) organizations that do not have an impact at the national level. These organizations that are excluded from applying for funding may contract with a recipient organization.

Maintenance of Effort: No

Cost Share or Match: None

D. Application and Submission Information

Submission Date and Other Key Dates and Times

Application Start Date: October 14, 2016

Application Submission Deadline: 01/27/2017 at 11:59:59 PM EDT

Applications received after the **January 27, 2017** deadline will **NOT** be considered for funding. Application packages that are not properly completed may not be accepted. Please note that one completed application must be submitted in order to be considered for funding. The checklist must be completed and attached to your grant application package (see Appendix A). The funding for each grant awarded under this application package must be expended by project end date (extensions may be granted on a case-by-case basis and may require a detailed timeline outlining justification for an extension).

Application packages **must** be submitted in Grants.gov. If you experience difficulties accessing information or have any questions please call the Grants.Gov customer support hotline at (800) 518-4726.

For the ease of application reviewers, we **highly recommend** the program and budget narratives are in one PDF file with your agency and “narrative” in the file name. The remaining documents may all be in one additional PDF file.

Anticipated Funding Selection Date: March 2017

Anticipated Award Date: March 2017

Address to Request Application Package

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Applicants” then “Apply for Grants,” read the registration requirements and register if necessary (**Allow up to 7-10 business days after you submit before your registration is active in SAM, then an additional 24 hours for Grants.gov to recognize your information**). In order to obtain the application package select “Download a Grant Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this NOFO, select “Download Package,” and then follow the prompts to download the application package.

For a hardcopy of the full NOFO, please write or fax a request to:

Carlin Hertz: Tel. (202) 372-1060

E-Mail: Carlin.R.Hertz@uscg.mil

Fax: (202) 372-8366

**COMMANDANT (CG-BSX-24)
ATTN: CHIEF, GRANTS MANAGEMENT BRANCH
US COAST GUARD
2703 MARTIN LUTHER KING JR. AVE. SE
WASHINGTON DC 20593-7501**

Applications will be processed through the Grants.gov portal.

Content and Form of Application Submission

For consistency and easier review, please submit all documents via Grants.gov in PDF format. Please ensure that all documents with the exception of the Project and Budget Narrative(s) and Narrative of Previous work are uploaded into one attachment. Please name the Project and Budget Narrative(s), and Narrative of Previous work separately so they can be easily identified by the Non-Profit Grants Coordinator and the reviewers. Applications should be formatted in Times New Roman 12 pt. black font.

PROJECT NARRATIVE

The project narrative should be described in sufficient detail to ensure the project can be weighed against other proposals. Applicants should refer to the application rating criteria to ensure that the application being submitted meets all of the requirements. Project narratives should be no longer than 10 pages and it should include, at a minimum, the following:

1. A short summary of the project not more than one page in length. The summary consists of an overview of what the project will accomplish, a statement of merit of the proposed activity and a statement of the broader impact of the proposed activity.
2. A brief description of the organization. In addition, the narrative must outline how the organization's project will be national in scope. The organization must demonstrate that its benefits will be effectively extended nationwide by:
 - a. encouraging safer recreational boating participation by organizations, the public, and others involved in all regions or be research related to such;
 - b. must NOT be specifically limited to a local (less than national) area, with an exception. It can be a local (less than national) project if the grant is intended to be a phased project where the first grant, or portion thereof, is to create a test project and plans are submitted with the initial application to expand the project to be national if it is successful and funding is available; and
 - c. must be related to human recreational boating safety, whereby our Program's performance goals relate solely to human casualties.
3. A specific description of the proposed project that demonstrates the need for assistance (needs assessment) and states the objectives (short-term and long-term) and methods (methodology) of the project. Identify results and benefits to be derived. Identify how the project will clearly demonstrate the linkages to reduce deaths, injuries or damage and environmental impact of recreational boating on a national basis. Describe the methods the organization will use to monitor the progress of the program and what measures of accountability will be used to evaluate the project results.
4. If the applicant submits a proposal for a conference on recreational boating safety outreach, the conference must provide opportunities for grant recipients to present results of completed grant projects and/or plans on recently funded projects. The applicant must provide an agenda that shows adequate time and opportunity for all FY 2017 grantees to conduct a presentation on each of their projects.

5. When identifying the proposed project, applicants are required to describe how their project adheres to at least one of the three major priorities listed in Executive Summary of the National Recreational Boating Safety Program 2017-2021 Strategic Plan:
 - a. Cultivate a boating public that is better prepared to engage in safer boating behaviors;
 - b. Make better informed policy decisions by building and using highly-integrated systems to gather and evaluation data from many sources; and
 - c. Nurture collaborative efforts among stakeholders that benefit the boating public within the recreational boating safety community.In addition, projects must reflect one or more of the following initiatives and clearly articulate how their proposal directly addresses it:
 - a. Improve and expand recreational boating education, training, and outreach;
 - b. Update, leverage, and enforce policies, regulations, and standards; and
 - c. Improve upon and expand recreational boating data collection and research.
6. A schedule of quantitative monthly or quarterly accomplishments. Accomplishments should be quantified to the extent feasible, and listed in chronological order.
7. Demonstrate that the timeline is reasonable and show that the project is able to be completed within the timeframe provided by the grantee.
8. Clearly state how their work will be measured and determined successful.
9. Quantify the scope of their work as much as possible. For example, educated 10,000 students in FY 16; will educate 20,000 students in FY 17.
10. A statement that the project proposal does not contain proprietary information or a statement identifying the information that is considered proprietary. Note any special considerations that are relevant to the project, i.e. special permission requirements or clearances, and certifications. Special concerns should be identified, i.e. special treatment of proprietary or privileged information in the application, individual privacy matters, etc.
11. The name of the agency that conducts an independent financial audit of the organization on a regular basis and date of last audit. Non-Profit Organizations that expend \$750,000 or more during the grant cycle of the awarded fiscal year must have a single or program-specific audit conducted for that year.
12. A bibliography, i.e., any citations to any literature pertinent to the project or referenced in the application package.

BUDGET NARRATIVE

A detailed budget narrative should correspond with the SF-424A Section B. It should include, at a minimum, the following:

1. Direct Costs
 - a. Personnel - Identify salaries and wages of the personnel associated with the project. Include both principal project participants and support staff. Specify what type of appointment the individuals are under (full-time or part-time), and amount or

- percentage of time that will be devoted to the project
 - b. Fringe benefits - Contributions to employee benefits (i.e. social security, pension funds, etc.)
 - c. Travel - Delineate proposed travel and associated costs. Specify whether foreign or domestic, mode of transportation, and class of travel. Identify number of trips, places to be visited, the purpose, anticipated dates of travel, number of travelers, etc. Please itemize these costs with justifications.
 - d. Equipment - List any equipment required for project and indicate whether it will be purchased or leased.
 - e. Supplies - List materials and supplies as separate line item in budget.
 - f. Contractual - Identify consultant services, subcontracts, and identify subcontractor (if known) and service or product to be provided.
 - g. Construction – Non-applicable for non-profit organization grants
 - h. Other - Estimate any publication, distributions or other extraordinary expenses.
 - i. Indirect charges – **If applicable**, specify the indirect cost rate and what Federal agency negotiated the rate and when. Provide a copy of a negotiated indirect cost rate agreement. See page 9 for additional information regarding allowable indirect costs.
2. Delineate costs for proposed activities sufficient to establish their source.
 3. Separately list in the financial plan any expenses of \$2000 or more. Items under \$2000 can be consolidated by category.
 - 4. If the Coast Guard provides funding for a Boating Safety Summit or equivalent in 2018, grantees must budget travel costs to attend and present on their awarded grant.**
 5. If applicable, include the cost of a project audit.

OTHER INFORMATION

The application package must also include:

1. The name of the official representative authorized to sign for the organization;
2. A copy of the IRS letter designating the applicant as tax exempt (a 501(c)(3) organization);
3. A travel policy outlining the most cost effective way grant funds are utilized when traveling. This includes the selection of air travel, rental cars, lodging, meals, etc. The travel policy should also specify who will be traveling, the purpose of traveling, the location, the estimated time frame of travel and the means of transportation. It is advised that grantees use federal per diem rates or less.
4. A list of the Board of Directors outlining duties, responsibilities, etc.
5. Applicants that are requesting additional funding for the continuation for a project previously funded must submit a separate narrative on the outcomes from the project. The applicant must describe their experience with managing previous grants from the Coast Guard, the complexity of the project, and the competence and experience of administrators that will be managing the project.

Unique Entity Identifier and System for Award Management (SAM)

DHS is participating in the Grants.gov Initiative that provides the Grant Community a single site to find and apply for grant funding opportunities; therefore, applicants with electronic access are to submit their applications electronically through

<http://www.grants.gov/web/grants/applicants/apply-for-grants.html>. Before you can apply for a DHS grant at Grants.gov, you must have a DUNS number, be registered in the SAM, and be approved as an AOR.

Applicants are encouraged to register early. The registration process can take four weeks or more to be completed. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required submission deadlines.

DUNS number. Instructions for obtaining a DUNS number can be found at the following website: <http://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>. The DUNS number must be included in the data entry field labeled "Organizational DUNS" on the Standard Forms (SF)-424 forms submitted as part of this application.

System for Award Management (SAM) In addition to having a DUNS number, applicants applying electronically through Grants.gov must register with the federal System for Award Management (SAM). Step-by-step instructions for registering with SAM can be found here: <http://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>. All applicants must register with SAM in order to apply online. Failure to register with the SAM will result in your application being rejected by Grants.gov during the submissions process.

Authorized Organizational Representative. The next step in the registration process is creating a username and password with Grants.gov to become an AOR. AORs will need to know the DUNS number of the organization for which they will be submitting applications to complete this process. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the AOR; this step is often missed and it is crucial for valid submissions. To read more detailed instructions for creating a profile on Grants.gov visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-3-username-password.html>

AOR Authorization. After creating a profile on Grants.gov, the E-Biz Point of Contact (E-Biz POC) a representative from your organization who is the contact listed for SAM will receive an email to grant the AOR permission to submit applications on behalf of their organization. The E-Biz POC will then log in to Grants.gov and approves an applicant as the AOR, thereby giving him or her permission to submit applications. After you have been approved as an AOR you will be able to submit your application online. To learn more about AOR Authorization visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-4-aor-authorization.html>. To track an AOR status visit: <http://www.grants.gov/web/grants/applicants/organization-registration/step-5-track-aor-status.html>.

Electronic Signature. Applications submitted through Grants.gov constitute a submission as electronically signed applications. When you submit the application through Grants.gov, the name of your AOR on file will be inserted into the signature line of the application.

If you experience difficulties accessing information or have any questions please call the Grants.gov customer support hotline at (800) 518-4726 or email Grants.gov at support@grants.gov.

The Federal awarding agency may not make a Federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

Funding Restrictions. All expenditures under this program must be for allowable recreational boating safety costs.

Management and Administration. Management and administrative costs are allowable, subject to programmatic review.

Indirect (Facilities & Administrative) Costs. Non-Profit organizations that have never received a negotiated indirect cost rate, may elect to charge an indirect cost rate of 10% of total direct costs which may be used indefinitely.

Any non-profit organization that has a federally negotiated indirect cost rate may apply for a one-time extension of a current negotiated indirect cost rate for a period of up to four years. This extension will be subject to the review and approval of the cognizant agency for indirect costs. If an extension is granted the non-profit organization may not request a rate review until the extension period ends. At the end of the 4-year extension, the non-profit organization must re-apply to negotiate a rate.

A non-profit organization which has not previously established an indirect cost rate with a Federal agency and opts to charge a rate different than 10% of total direct costs shall submit its initial indirect cost proposal immediately after the organization is advised that an award will be made and, in no event, later than **three months** after the effective date of the award. Organizations that have previously established indirect cost rates and opt not to extend the approved negotiated rate must submit a new indirect cost proposal to the cognizant agency within six months after the close of each fiscal year. During the Indirect Cost Rate review period, the Coast Guard may withhold the indirect cost rate portion of the grant until an agreement is finalized.

E. Application Review Information

Application Evaluation Criteria

All applications received via Grants.gov are reviewed for completeness. Any required missing documents may disqualify applications. Please ensure that you have all required documents from the checklist (Appendix A). Please refer to the section on Content and Form of Application Submission for additional information.

The criteria for eligibility must be met, all the required forms and certifications must be appended to the application, and the completed proposal must be signed and dated in order for an application to be considered for funding. Please note certification forms to be signed are found as mandatory documents to be submitted in the Grants.Gov application package.

Prior to making a Federal award, the Federal awarding agency is required by 31 U.S.C. 3321 and 41 U.S.C. 2313 to review information available through any OMB-designated repositories of government wide eligibility qualification or financial integrity information. Therefore application evaluation criteria may include the following risk based considerations of the applicant: (1) financial stability; (2) quality of management systems and ability to meet management standards; (3) history of performance in managing federal award; (4) reports and findings from audits; and (5) ability to effectively implement statutory, regulatory, or other requirements

The Coast Guard has funded a wide variety of projects related to boating safety, ranging from highly technical engineering studies to the development of public service announcements. The sole requirement is that the project must have the potential to benefit recreational boating safety at the national level.

Prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, DHS is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS).

An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.

DHS will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 2 CFR §200.205 Federal awarding agency review of risk posed by applicants."

Review and Selection Process

The following criteria are used in evaluating proposals:

1. The extent to which work under the grant is intended to support the National Recreational Boating Safety Program mission, goals and objectives as indicated in the National Recreational Boating Program 2017-2021 Strategic Plan. Proposals must reflect one or more

of the following initiatives and clearly articulate how their proposal directly addresses it:

- a. Improve and expand recreational boating education, training, and outreach.
 - b. Update, leverage, and enforce policies, regulations, and standards.
 - c. Improve upon and expand recreational boating data collection and research.
2. The proposal having a high probability of success. Proposals should indicate the technical and managerial competence of staff, the organization's capability in performing the proposed project, a delivery system that ensures the desired outcomes, and an adequate timeline in completing the project.
 3. The cost effectiveness of the project. The proposal budget should be reasonable and not excessive.
 4. An evidence-based approach that demonstrates innovative approaches to problems that are both controllable and preventable and that are effectively measured and evaluated.
 5. The applicant's plan to evaluate the results of the project. The proposal should have a methodology in evaluating the success and failures of the project. If continued funding occurs for the project, the applicant must demonstrate the lessons learned from previous funding.

Applications are subjected to a Merit Review performed by Subject Matter Experts. Final selection of Subject Matter Experts is determined by the Director of Inspections and Compliance (CG-5PC). In the prior years, Subject Matter Experts were selected from the USCG Office of Auxiliary and Boating Safety, other USCG Offices, the Federal Emergency Management Agency, and the Fish and Wildlife Service.

Subject Matter Experts review each application for technical merit, personnel qualifications, and the degree to which a proposal offers potential value and measurements to Program goals as stated in the Notice of Funding Opportunity. Any persons who score the non-profit organization grant applications will be required to complete a DHS Conflict of Interest Form. In addition, the Grants Management Branch Chief will conduct a kick-off meeting with the reviewers and discuss the application review sheets and potential conflicts of interest. As a reference, Appendix B shows key elements of the score sheet used by the reviewers for fiscal year 2016.

At the end of each review cycle, the Subject Matter Experts will provide feedback to the Grants Management Branch in regards to better capture the scoring of applications. This feedback may be incorporated to the following year's grant review process.

After receiving the information from the reviewers, the Grants Management Specialist logs the score and prepares a ranking list for presentation ultimately to the Division Chief along with the recommended funding levels from the Subject Matter Experts and Branch Chiefs. This list is peer reviewed by another member of the Boating Safety Division for accuracy before submission to the Division Chief.

The Division Chief validates the scores and determines the Division-recommended funding level for those proposals recommended for award. The validated scores and recommended funding

levels are forwarded to the Office Chief and then the Director of Inspections and Compliance for review and ultimate approval. The Director of Inspections and Compliance has the authority to approve the awards.

Once the Director of Inspections and Compliance determines the final funding level, an approval memo is generated from the Grants Management Branch Chief through the Division Chief and Office Chief to the Director of Inspections and Compliance for approval. The approval memo is kept as part of the official program file. The Division Chief notifies the Branch Chiefs to assign Grant Technical Managers for the grants and notify the Grant Technical Managers of the assignments.

Prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, DHS is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS).

An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.

DHS will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 2 CFR §200.205 Federal awarding agency review of risk posed by applicants

F. Federal Award Administration Information

Notice of Award

Award notices will be issued upon release of funding. Awarded grantees will receive a letter from the Coast Guard stating which project or projects were funded, the award amount and the assigned Grant Technical Manager. The letter will also indicate important dates regarding budget negotiations and mandatory Webinar participation.

Administrative and National Policy Requirements

All successful applicants and sub applicants for all DHS grant and cooperative agreements are required to comply with DHS Standard Administrative Terms and Conditions, which are available online at:

<http://www.dhs.gov/publication/fy15-dhs-standard-terms-and-conditions>

All successful applicants and sub applicants for all USCG grant and cooperative agreements are required to comply with USCG Terms and Conditions, which are available online at:

<http://www.uscgboating.org/library/grants/FY-2016-Example-%20NonProfit-Award-Agreement.pdf>

In addition, all successful applicants and sub applicants for Federal grant and cooperative agreements are required to comply with 2 CFR 200.

Before accepting the award the authorized official should carefully read the award package for instructions on administering the grant award and the terms and conditions associated with responsibilities under Federal Awards. Recipients must accept all conditions in this NOFO as well as any Special Terms and Conditions in the Notice of Award to receive an award under this program.

GRANT AGREEMENT NEGOTIATIONS

After the Director of Inspections and Compliance approves the grant awards, the organizations are informed of the decision, and negotiations begin. In most cases, the procedure is simple. A grant agreement is prepared and the required parties sign it. However, there are exceptions:

- If the organization is a new grantee of the Coast Guard, or has never received Federal funds before, its accounting system must be examined and approved.
- The proposal itself may have to be revised to accommodate Grant Review Team recommendations.
- The project budget may have to be revised.

Note: Organizations awarded a grant cannot use the grant funds to pay for work performed prior to the grant start date. Payments cannot be processed until the award agreement is signed by the United States Coast Guard.

After mutual acceptance of the revised proposal, a formal grant and/or cooperative agreement is drafted and signed. Agreements must be signed and funds obligated before April 30, 2017. After the agreements are signed, each grant project is assigned a Grant Technical Manager. That individual remains as the grantee's primary point of contact during the life of the project, and should:

1. Provide technical assistance as required;
2. Review and approve grantee's progress reports and requests for payments;
3. Provide required Federal forms, explain how to fill them out; and
4. Act as liaison between the grantee and any other Coast Guard staff elements the grantee may be required to deal with (Coast Guard financial management personnel, for example).

During the grant negotiation process, grantees and Grant Technical Managers will discuss and agree on specific deliverable and grant goals and objectives requirements that will be included in the Grant Award Agreement that will be signed by both the Coast Guard and grantee.

FINANCIAL MANAGEMENT

The Automated Standard Application for Payments (ASAP) is a system through which national non-profit organizations receiving Federal funds can draw payments preauthorized by the Coast Guard through the U.S. Treasury. ASAP.gov is an Internet payment and information system

developed jointly by the Financial Management Services and the Federal Reserve Bank of Richmond.

Grantees will request all payments through ASAP. Once a payment request has been made, the Non-Profit Organization Grant Coordinator will review the request and approve it contingent on all reporting being up to date and there are no programmatic and financial issues.

In accordance with the above, recipients are requested to keep a record of all transactions for the project in an accounting system that is agreed upon by both parties and one that will withstand an external audit. All contracts shall be in accordance with government standards, and records of bids and proposals shall be kept for audit purposes.

PLEASE NOTE: Recipients shall maintain advances of Federal funds in interest-bearing accounts, unless the conditions listed below apply: (1) The recipient receives less than \$120,000 in Federal awards per year, (2) The best reasonably available interest-bearing account would not be expected to earn interest in excess of \$250 per year on Federal cash balances, or (3) The depository would require an average or minimum balance so high that it would not be feasible within the expected Federal and non-Federal cash resources.

For those entities where the Cash Management Improvement Act (CMIA) (Public Law 101-453) and its implementing regulations do not apply, interest earned on Federal advances deposited in interest-bearing accounts shall be remitted annually to Department of Health and Human Services, Payment Management System, P. O. Box 6021, Rockville, MD 20852 with a copy of said payment letter provided to the Coast Guard. Interest amounts up to \$250 per year may be retained by the recipient for administrative expenses. See 49 CFR Part 19 Section 19.22 (k&l).

PLANNING AND PROGRESS REPORTING

After the grant is awarded, allow for sufficient time for review of each project. Recipients are to submit a work plan delineating:

1. When the various tasks are projected to be completed.
2. When reviews should be conducted. If the grant is for the design, development, production, final edit, duplication and distribution of a program or publication, a review or series of reviews is required prior to production and prior to final edit. These reviews will be conducted by the Coast Guard. A minimum of two weeks should be scheduled for each review.
3. All products should be field-tested to assure quality products.
4. When progress reports may be expected. It is suggested that a concise progress report shall be submitted each quarter outlining the tasks completed and the tasks remaining. The progress reports should convey to the Coast Guard the status of the project and any changes to the schedule outlined in the plan. (Depending on the scope of the change, an amendment to the grant and/or cooperative agreement may be initiated.)
5. When on-site inspection or review is required. In some cases it may be considered

appropriate or necessary to have a Coast Guard Subject Matter Expert on scene to observe a test or filming, for example, or to meet with the project team. This should be noted in the plan submitted so the Coast Guard Grant Technical Manager may plan travel.

THE FINAL PRODUCT

The final product of the grant shall:

1. Incorporate all technical changes directed by the review process of the Coast Guard Grant Technical Manager.
2. If applicable, contain final edits of media, artwork and film that adhere to the Coast Guard Guidelines for Media (available from the Coast Guard Grant Technical Manager). For information on Coast Guard Grant Product Guidelines and Copyright, please visit http://www.uscgboating.org/grants/nonprofit_grants.aspx
3. Have an appropriate statement indicating that the project was done under a Coast Guard Grant (as stated in the USCG award Terms and Conditions). Credits may include other organizations but may NOT be used as a recruiting or advertising mechanism.
4. Include an **executive summary** of the work done to complete the project (i.e., a summary of the literature search, review of past projects, design methodology, and development process). This executive summary should be no more than two pages in length.
5. Include an **abstract** that describes the grant product or products and intended uses that would be suitable for publication in a magazine or newsletter that could serve as an announcement of the completion of the grant project.
6. Include web site links, **master copies or originals** of any printed, film, video or other media materials in a compatible Coast Guard format. This will allow the Coast Guard to have on file materials from which copies or segments can be taken to address other audiences or a specific need.

Federal Financial Reporting Requirements

The Federal Financial Reporting Form (FFR) is available here:

http://www.whitehouse.gov/sites/default/files/omb/grants/approved_forms/SF-425.pdf, SF-425
OMB #00348-0061

Recipients are required to submit quarterly FFR's due no later than 30 days after the end of each quarter. Additionally, a final report is required, due no later than 90 after the end of the fiscal year. The 4th quarter and final report may be combined into a single report, provided that you notify the Coast Guard of your intention to do so. When combined, the 4th and final report is due no later than 90 days after the end of the fiscal year.

Close Out Reporting Requirements

Within 90 days after the end of the period of performance, or after an amendment has been issued to close out a grant, whichever comes first, recipients must submit a final FFR and final progress report detailing all accomplishments and a qualitative summary of the impact of those accomplishments throughout the period of performance.

After these reports have been reviewed and approved by the Program and Grants Branches, a close-out notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR.

The recipient is responsible for returning any funds that have been drawn down but remain as unliquidated on recipient financial records.

G. DHS Awarding Agency Contact Information Contact and Resource Information

Carlin Hertz: Tel. (202) 372-1060

E-Mail: Carlin.R.Hertz@uscg.mil

Fax: (202) 372-8366

COMMANDANT (CG-BSX-24)
ATTN: CHIEF, GRANTS MANAGEMENT BRANCH
US COAST GUARD
2703 MARTIN LUTHER KING JR. AVE. SE
WASHINGTON DC 20593-7501

H. Additional Information

Extensions

Extensions to this program are allowed. Recipients must request an extension in writing 30 days prior to grant award end date.

Appendix A- Application Checklist

Appendix B – FY 2016 Example Review Sheet Used by Grant Scorers

APPENDIX A: APPLICATION CHECKLIST

APPLICANT NAME _____

PROPOSAL TITLE _____

Please complete the following and attach to your application:

- Application for Federal Assistance (SF-424) ☐
- SF-424A Budget Information ☐
- Narrative: Proposed Project, Objectives, Methods, Expected Results and Benefits ☐
- Detailed Budget Narrative (corresponding to SF-424A) ☐
- Reporting Schedule ☐
- Resumes of principal participants (if applicable) ☐
- **Signed Certifications and Assurances**
 - o SF-424B Assurances – Non Construction Programs ☐
- 501 (c) (3) letter regarding non-profit status ☐
- Federally approved accounting system ☐
- List of Board Directors ☐
- Travel Policy ☐

APPENDIX B

FY 2016 Example Review Sheet Used by Grant Scorers

Grant Proposal Evaluation Criteria

2. If successful, which of the following RBS Performance Objectives from the 2012-2016 Strategic Plan will the proposed project contribute to their attainment? Check all that apply. NOTE: This question will be updated for the FY 2017 grant cycle.	
☐ Increase the number of Safety Education Certificates issued and successful course completions	
☐ Enhance the reach and effectiveness of Boating Safety Outreach	
☐ Encourage advanced and/or on-water skills-based boating education	
☐ Boost life jacket wear rates	
☐ Increase operator compliance of navigation rules	
☐ Decrease boating under the influence (BUI)	
☐ Enhance manufacturer compliance	
☐ Increase operator compliance of USCG required safety equipment	
☐ Improve the timeliness and accuracy of boating accident reporting	
☐ Encourage boating safety-related research and development	
☐ Effectiveness of non-profit organization grants	
☐ None	
3. If the objectives of the proposed project are successfully achieved, is it likely that the outputs/results will contribute to a decrease in recreational boating accidents (e.g., fatalities, injuries, property damage)?	
☐ Yes => Skip to Q4	
☐ No => Go to Q3a	
☐ Inadequate information to assess => Go to Q3a	
3a. If "No", or "Inadequate information to assess", please explain your assessment.	

.....	
4. During what time period is it likely that the project outputs/results will contribute to reducing recreational boating accidents?	
☐ 1-3 years after the project is initiated	
☐ 4-6 years after the project is initiated	
☐ 7-10 years after the project is initiated	
☐ More than 10 years after the project is initiated	
5. Given the projected outputs and benefits of the proposed project, please assess the reasonableness of funding that the applicant is requesting.	
☐ Excessive	
☐ Somewhat high	
☐ Reasonable	
☐ Inadequate	
☐ Very inadequate	
☐ Inadequate information to assess	
6. Based on the information provided in the proposal, do the staff identified to work on the project have the technical capabilities to successfully accomplish the various project activities/tasks?	
☐ Very capable	
☐ Capable	
☐ Not capable in some areas	
☐ Very incapable	
☐ Inadequate information to assess	
7. Based on the information provided in the proposal, and also the results of risk assessment, what is your appraisal of the applicant's ability to successfully manage/administer the proposed project?	

☐ Very capable	
☐ Capable	
☐ Not capable in some areas	
☐ Very incapable	
☐ Inadequate information to assess	
8. Based on the information provided in the proposal (previous successful completion of work similar to that proposed for funding), does the organization have adequacy of equipment and organizational capacity (e.g., facilities) to successfully accomplish the project as described?	
☐ More than adequate	
☐ Adequate	
☐ Inadequate	
☐ Very inadequate	
☐ Inadequate information to assess	
9. Does the proposal provide a time-line (i.e., schedule) showing the projected start and finish time of the different project activities and the scheduled completion time of the overall project?	
☐ Yes => Go to Q10	
☐ No => Skip to Q11	
10. Does it appear that the resources (e.g., budget, staff) will be sufficient to successfully complete the project on schedule and as time-lined?	
☐ Yes	
☐ No	
☐ Inadequate information to assess	
11. Does the proposal adequately describe the different methods that will be employed to communicate and make available the outputs (findings and results) of the proposed project?	
☐ Yes => Go to Q12	
☐ No => Skip to Q13	

12. How effective do you believe the outreach/delivery methods proposed by the applicant will be in encouraging the implementation/usage of the project outputs by other agencies and organizations comprising the RBS community?	
☐ Very effective	
☐ Effective	
☐ Ineffective	
☐ Very Ineffective	
☐ Insufficient information to assess	
13. Does applicant provide a description of the methods that will be employed to evaluate whether and which project objectives were successfully accomplished?	
☐ Yes => Go to Q14	-
☐ No => Skip to Q15	-
14. What types of performance measures will the evaluation methods, as described and if implemented, produce?	
☐ End Outcomes Measures	
☐ Intermediate or Advanced Output Measures	
☐ Basic Output Measures	
☐ Inadequate information to determine	
15. General comments related to the proposal and your assessment	
.....	