

**The Department of Homeland Security (DHS)
Notice of Funding Opportunity (NOFO)
Boating Safety Data Collection and Analysis Grant**

All entities wishing to do business with the federal government must have a unique entity identifier (UEI). The UEI number is issued by the System for Award Management (SAM).

SAM.gov registration information can be found at: <https://sam.gov/content/entity-registration>.

Grants.gov registration information can be found at: <https://www.grants.gov/web/grants/register.html>.

Additional UEI Update Information can be found on Grants.gov: <https://www.grants.gov/web/grants/forms/planned-uei-updates.html>

A. Program Description

1. Issued By

U.S. Department of Homeland Security (DHS), United States Coast Guard (USCG),
Office of Auxiliary & Boating Safety, Boating Safety Division (BSX)

2. Assistance Listings Number

97.012

3. Assistance Listings Title

Boating Safety Financial Assistance

4. Funding Opportunity Title

Boating Safety Data Collection and Analysis Grant

5. Funding Opportunity Number

DHS-USCG-SURVEY-2023

6. Authorizing Authority for Program

46 U.S.C. §§ 13101-13110

7. Appropriation Authority for Program

Dingell-Johnson Sport Fish Restoration Act, Chp. 658, § 4, 64 Stat. 432, as amended (classified to 16 U.S.C. § 777c); Surface Transportation Assistance Act of 1982, Pub. L. No. 97-424, § 531(a), 96 Stat. 2187-2191 (1983), as amended (classified to 26 U.S.C. § 9503)

8. Announcement Type

Initial

9. Program Overview, Objectives, and Priorities

a. Overview

The Boating Safety Data Collection and Analysis Grant is designed to collect data nationwide and produce a National Recreational Boating Safety Survey (NRBSS) and provide consultancy services to measure recreational boating activity utilizing the data collected from this effort.

This grant will produce two deliverables along with associated methodologies, datasets, ad hoc analyses, and other material. All deliverables must be approved by the USCG.

- 1) Participation Survey: a survey estimating overall public participation and demographics of recreational boating in the United States
- 2) Exposure Survey: a survey estimating exposure hours and metrics for recreational boats on the water by state

Historic recreational boating surveys are available on the USCG Boating Safety website: <https://uscgboating.org/statistics/national-recreational-boating-safety-survey.php>

b. Objectives

For the purposes of this NOFO, any reference to the “United States” is understood to mean the fifty (50) states and the District of Columbia.

This grant seeks to measure the totality of recreational boating in the United States through the administration of a nationwide survey. Objectives include estimating the:

- 1) overall public participation in recreational boating in the United States
- 2) overall demographic information on recreational boaters in the United States
- 3) boating activity of recreational boaters in the United States
- 4) effect of the COVID-19 pandemic on boating in the United States
- 5) estimated number of registered and unregistered boats in the United States
- 6) ownership of recreational boats
- 7) boat exposure data by state, for example:
 - a) number of outings, number of persons on a boat, boat day and hours usage data, day vs. night operation, location of operations, etc.
 - b) boat access, storage, and trailering trends by state
 - c) estimates of safety equipment on boats: radios, engine cutoff switches, marine navigation smartphone apps and smartphone utilization, etc.

c. Priorities

Priorities and tasks specific to this survey will adhere to the standards set forth in the [Office of Management and Budget \(OMB\) Standards and Guidelines for Statistical Surveys](#). Applicants are required to address these standards in the program timeline. Please see **Section D. 10. a. Program Timeline** for more information.

The USCG also prioritizes the completion of the following activities via the administration of the Boating Safety Data Collection and Analysis Grant. Applicants must explain in the program narrative how they intend to achieve the following:

- 1) selecting and weighting of a nationwide sample of registered and unregistered boat owners
- 2) the successful design of a survey instrument with boating safety stakeholders, cognitive interview, and vetting through the appropriate Institutional Research Board (IRB). IRB material will be reviewed and approved by the DHS Science & Technology Compliance Assurance Program Office once funding is awarded but prior to the initiation of work.
- 3) approval of survey methodologies through OMB's Information Collection Request (ICR) process to comply with the Paperwork Reduction Act
- 4) publication of final survey reports, infographics, and factsheets
- 5) public availability of survey datasets
- 6) follow-up/ongoing maintenance & consultancy services.

d. Performance Measures

In compliance with DHS and OMB requirements, the USCG is required to track grant-specific performance measures. Response rate will be utilized as the primary performance measure for this grant. Response rates will be calculated nationally and by state, resulting in over fifty (50) performance metrics for this cooperative agreement. These metrics will be available electronically for the USCG to inspect and be calculated in accordance with OMB and generally accepted guidance.

B. Federal Award Information

1. **Available Funding for the NOFO:** **Up to \$1,500,000 annually**
The initial award amount will be for Year One of a five-year period of performance. The USCG will fund subsequent budget periods on year-by-year basis pending the recipient's performance, compliance with reporting requirements, and the availability of federal funds. Please see **Section D. 10. c. Budget** for more information.
2. **Projected Number of Awards:** **One**
3. **Period of Performance:** **60 months**
Extensions are permitted. Please refer to **Section H. 1. Period of Performance Extensions**.
4. **Projected Period of Performance Start Date:** **10/01/2023**
5. **Projected Period of Performance End Date:** **09/30/2028**
6. **Funding Instrument Type:** **Cooperative Agreement**
A cooperative agreement is distinguished from a grant in that it provides for substantial involvement between the federal awarding agency and the non-federal entity in carrying out the activity contemplated by the federal award. USCG will work closely with the

recipient throughout the duration of the award to ensure proper project management, the preparation of an ICR package, adherence with federal guidance on surveying, that approved activities are conducted in accordance with program statute and federal regulations, requested costs are allowable and allocable, and deliverables are developed or enhanced with direct input and review by USCG staff. Please see **Section F. 4. Grant Administration** for more information.

The USCG can halt an activity immediately if the detailed performance specifications or requirements, as determined by the agreed upon terms and conditions of the award agreement, are not met. USCG may require the review and approval of proposed tasks, activities, and deliverables prior to the recipient's implementation or dissemination.

USCG staff also play a direct role in the post-award negotiation process. Please see **Section. F. 2. Grant Award Negotiations** for more information.

C. Eligibility Information

1. Eligible Applicants

Nonprofits with 501(c)(3) IRS Status (Other than Institutions of Higher Education)

2. Applicant Eligibility Criteria

Applicants are deemed eligible if their pre-solicitation technical paper submitted to the USCG was approved.

3. Cost Share or Match

None.

D. Application and Submission Information

1. Key Dates and Times

a. **Application Start Date:** **05/25/2023**

b. **Application Submission Deadline:** **07/26/2023 at 11:59:59 PM EST**
All applications must be received by the established deadline.

c. **Anticipated Award Date:** **No later than 08/31/2023**

2. Agreeing to Terms and Conditions of the Award

By submitting an application, applicants agree to comply with the requirements of this NOFO and the terms and conditions of the award, should they receive an award.

3. Address to Request Application Package

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>.

Applications will be processed through the Grants.gov portal.

4. Unique entity identifier (UEI) and System for Award Management (SAM)

Each applicant, unless they have a valid exception under 2 C.F.R. § 25.110, must:

- 1) be registered in SAM.Gov before application submission.
- 2) provide a valid unique entity identifier in its application.
- 3) continue to always maintain an active SAM registration with current information during the Federal Award process.

5. Steps Required to Submit an Application, UEI, and SAM

To apply for an award under this program, all applicants must:

- a. Have an account with <https://login.gov/>
- b. Register for, update, or verify their SAM account and ensure the account is active and Employer ID Number (EIN) before submitting the application.
- c. Create a Grants.gov account.
- d. Add a profile to a Grants.gov account.
- e. Establish an Authorized Organizational Representative (AOR) in Grants.gov.
 - 1) The name listed as the AOR should be the person within your organization who has delegated signing authority. This person will be the primary contact on all official correspondence, including competition updates, notifications, and award documents. Please be sure to identify the correct person at the time of application.
- f. Submit application in Grants.gov.
- g. Continue to maintain an active SAM registration with current information, including information on a recipient's immediate and highest-level owner and subsidiaries, as well on all predecessors that have been awarded a federal contract or grant within the last 3 years, if applicable, at all times during which it has an active federal award or an application or plan under consideration by a federal awarding agency.

Applicants are advised that DHS may not make a federal award until the applicant has complied with all applicable SAM requirements. Therefore, an applicant's SAM registration must be active not only at the time of application, but also during the application review period and when DHS is ready to make a federal award. Further, as noted above, an applicant's or recipient's SAM registration must remain active for the duration of an active federal award. If an applicant's SAM registration is expired at the time of application, expires during application review, or expires any other time before award, DHS 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.

The Standard Language for Using Grants.gov to Apply is provided to aid in fulfilling these requirements (if applicable), based off of

<https://www.grants.gov/web/grants/grantors/grantor-standard-language.html>.

6. Electronic Delivery

DHS is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. DHS encourages or requires

applicants to submit their applications online through Grants.gov, depending on the funding opportunity. For this funding opportunity, the USCG requires applicants to submit applications through Grants.gov.

7. **How to Register to Apply through Grants.gov**

- a. **Instructions:** Registering in Grants.gov is a multi-step process. Read the instructions below about registering to apply for DHS funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

The registration process can take up to four weeks to complete. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required application submission deadlines.

Organizations must have a UEI Number with an active SAM registration, and Grants.gov account to apply for grants. If individual applicants are eligible to apply for this grant funding opportunity, then you may begin with step 3, Create a Grants.gov account, listed below.

Creating a Grants.gov account can be completed online in minutes, but SAM registration may take several weeks. Therefore, an organization's registration should be done in sufficient time to ensure it does not impact the entity's ability to meet required application submission deadlines. Complete organization instructions can be found on Grants.gov here:

<https://www.grants.gov/web/grants/applicants/organization-registration.html>.

- 1) **Register with SAM:** All organizations applying online through Grants.gov must register with SAM.gov. Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually. Organizations will be issued a UEI number with the completed SAM registration.

For more detailed instructions for registering with SAM, refer to:

<https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>.

- 2) **Create a Grants.gov Account:** The next step is to register an account with Grants.gov. Follow the on-screen instructions or refer to the detailed instructions here: <https://www.grants.gov/web/grants/applicants/registration.html>.
- 3) **Add a Profile to a Grants.gov Account:** A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and

have a profile for each, you may log in to one Grants.gov account to access all of your grant applications. To add an organizational profile to your Grants.gov account, enter the UEI Number for the organization in the UEI field while adding a profile.

For more detailed instructions about creating a profile on Grants.gov, refer to: <https://www.grants.gov/web/grants/applicants/registration/add-profile.html>.

- 4) **EBiz POC Authorized Profile Roles:** After you register with Grants.gov and create an Organization Applicant Profile, the organization applicant's request for Grants.gov roles and access is sent to the EBiz POC. The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the AOR role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been assigned the AOR role.

For more detailed instructions about creating a profile on Grants.gov, refer to: <https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html>.

- 5) **Track Role Status:** To track your role request, refer to: <https://www.grants.gov/web/grants/applicants/registration/track-role-status.html>.
- 6) **Electronic Signature:** When applications are submitted through Grants.gov, the name of the organization applicant with the AOR role that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC **must** authorize people who are able to make legally binding commitments on behalf of the organization as a user with the AOR role; **this step is often missed, and it is crucial for valid and timely submissions.**

8. **How to Submit an Application to DHS via Grants.gov**

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different webforms within an application. For each NOFO, you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities using Workspace, refer to:

<https://www.grants.gov/web/grants/applicants/workspace-overview.html>.

- a. **Create a Workspace:** Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
- b. **Complete a Workspace:** Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will

display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.

- c. **Adobe Reader:** If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at:

<https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>.

- d. **Mandatory Fields in Forms:** In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.
- e. **Complete SF-424 Fields First:** The forms are designed to fill in common required fields across other forms, such as the applicant's name, address, and UEI number. To trigger this feature, an applicant must complete the SF-424 information first. Once it is completed, the information will transfer to the other forms.
- f. **Submit a Workspace:** An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.
- g. **Track a Workspace Submission:** After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

For additional training resources, including video tutorials, refer to:

<https://www.grants.gov/web/grants/applicants/applicant-training.html>.

Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. For questions related to the specific grant opportunity, contact the number listed in the application package of the grant to which you are applying.

If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number. The Support Center ticket

number will assist DHS with tracking your issue and understanding background information on the issue.

9. **Timely Receipt Requirements and Proof of Timely Submission**

- a. **Online Submission.** All applications must be received by **07/26/2023 at 11:59:59 PM EST**. Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time stamp is generated within the system when the application is successfully received by Grants.gov. The applicant with the AOR role who submitted the application will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. This applicant with the AOR role will also receive the official date/time stamp and Grants.gov Tracking number in an email serving as proof of their timely submission.

When DHS successfully retrieves the application from Grants.gov, and acknowledges the download of submissions, Grants.gov will provide an electronic acknowledgment of receipt of the application to the email address of the applicant with the AOR role who submitted the application. Again, proof of timely submission shall be the official date and time that Grants.gov receives your application. Applications received by Grants.gov after the established due date for the program will be considered late and will not be considered for funding by DHS.

Applicants using slow internet, such as dial-up connections, should be aware that transmission can take some time before Grants.gov receives your application. Again, Grants.gov will provide either an error or a successfully received transmission in the form of an email sent to the applicant with the AOR role attempting to submit the application. The Grants.gov Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. Please be patient and give the system time to process the application.

10. **Content and Form of Application Submission**

Applicants shall expand upon the pre-solicitation technical papers that were previously submitted to the USCG and will address the priorities identified in **Section A. 9. c. Priorities** in the program timeline and narrative.

Applicants must include the following:

a. **Program Timeline**

Applicants must submit a timeline that clearly explains the entire duration of their administration of the NRBSS utilizing the seven sections prescribed in [OMB Standards and Guidelines for Statistical Surveys](#):

- 1) development of concepts, methods, and design
- 2) collection of data
- 3) processing and editing of data
- 4) production of estimates and projections

- 5) data analysis
- 6) review procedures
- 7) dissemination of information

Additional Instructions

- 1) The timeline should provide a clear, chronological description that supports and coincides with the program narrative, budget, and budget narrative for the entire five-year period of performance.
- 2) The timeline must incorporate preparation of an ICR and the appropriate submission timeline/review period by OMB based on the applicant's experience with ICR reviews.
- 3) Applicants are not required to use the following format, but it is included to help conceptualize what a timeline might look like.

	Task	Timeframe	Additional Information
1			
2			
3			
4			
5			

b. Program Narrative

Applicants should use the program narrative to provide a comprehensive explanation of the elements within the program timeline, to expand upon or update pre-solicitation paper concepts previously submitted to the USCG, and to explain how they intend to achieve the following:

- 1) selecting and weighting of a nationwide sample of registered and unregistered boat owners
- 2) the successful design of a survey instrument with boating safety stakeholders, cognitive interview, and vetting through the appropriate IRB. IRB material will be reviewed and approved by the DHS Science & Technology Compliance Assurance Program Office once funding is awarded but prior to the initiation of work.
- 3) approval of survey methodologies through OMB's ICR process to comply with the Paperwork Reduction Act
- 4) publication of final survey reports, infographics, and factsheets
- 5) public availability of survey datasets
- 6) follow-up/ongoing maintenance & consultancy services.

Additional Instructions

Applicants should also expand upon the following:

- 1) survey design, pre-test, cognitive interviewing, sample frames, and IRB processes
- 2) previous experience developing and submitting ICRs
- 3) post-survey consultancy: ad-hoc consulting on survey data, research papers, etc.

c. **Budget**

- 1) Applicants must submit a separate, detailed, Excel-based budget using **Appendix B. Budget Template**. Applicants must download the Excel file separately from the funding opportunity in Grants.gov and follow the instructions in **Appendix A. Budget & Budget Narrative Instructions**.
- 2) The budget should include estimated expenses for the entire duration of the five-year period of performance. The successful recipient will have the opportunity to revise their annual budget prior to receiving funds for the next budget period.
- 3) Applicants should craft their budgets using the same annual amount for each year. This is the amount that should be inputted in *Section 18. Estimated Funding* of the *Application for Federal Assistance SF-424*.
 - a) *This form is part of the application package in Grants.gov.*

d. **Budget Narrative**

- 1) The budget narrative should describe, explain, and fully justify, in the same order and in complete sentences, the requested items in your budget.
- 2) The budget narrative should explain the estimated or projected costs for the entire five-year period of performance.
- 3) Applicants must follow the instructions in **Appendix A. Budget & Budget Narrative Instructions**.

e. **Other Required Documents:**

- 1) 501 (c) (3) letter from the IRS designating the applicant's nonprofit status
- 2) Verification of a federally approved accounting system
- 3) A copy of the Negotiated Indirect Cost Rate Agreement, if applicable
- 4) A Board of Directors roster that outlines duties, responsibilities, etc.
- 5) Resumes of principal participant(s), if applicable:
 - a) *A principal participant is the primary individual(s) responsible for the preparation, conduct, and administration of the grant, and serves as the lead for the project.*
- 6) Travel policy
 - a) *Ensure that all travel requests and expenses are allowable and consistent with this policy.*
- 7) Procurement policies
 - a) *Include the procurement policies for your organization. Policies should be consistent with 2 C.F.R. § 200.317-200.327 Procurement Standards.*

11. Funding Restrictions and Allowable Costs

- a. All expenditures under this program must be for allowable recreational boating safety survey costs.
- b. Applicants must be aware of the prohibitions described in section 889 of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (FY 2019 NDAA), Pub. L. No. 115-232 (2018) and 2 C.F.R. §§ 200.216, 200.327, 200.471, and Appendix II to 2 C.F.R. Part 200.

12. Allowable Costs

a. **Pre-Award Costs**

Pre-award costs are those incurred prior to the effective date of the federal award directly pursuant to the negotiation and in anticipation of the federal award where such costs are necessary for efficient and timely performance of the scope of work. Such costs are allowable only to the extent that they would have been allowable if incurred after the date of the federal award and only with the written approval of the federal awarding agency. The USCG provides written approval of pre-award costs in its terms and conditions.

b. **Indirect Facilities and Administrative (F&A) Costs**

Nonprofit organizations that do not have a current negotiated (including provisional) rate may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely. No documentation is required to justify the 10% de minimis indirect cost rate. As described in 2 C.F.R. § 200.403, costs must be consistently charged as either indirect or direct costs but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all federal awards until such time as a non-federal entity chooses to negotiate for a rate, which the non-federal entity may apply to do at any time.

Any non-federal entity that has a current federally negotiated indirect cost rate may apply for a one-time extension of the rates in that agreement 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-federal entity may not request a rate review until the extension period ends. At the end of the four-year extension, the non-federal entity must re-apply to negotiate a rate. Subsequent one-time extensions (up to four years) are permitted if a renegotiation is completed between each extension request.

E. **Application Review Information**

1. **NRBSS Application Evaluation Criteria**

a. **Programmatic Criteria**

The USCG will use the following programmatic criteria to assess the application package and use those results to inform the final award and funding recommendation.

- 1) Does the timeline clearly explain the administration of the five-year period of performance utilizing the seven sections prescribed by the [OMB Standards and Guidelines for Statistical Surveys](#)? (15 points)
- 2) Does the program narrative comprehensively explain each of the required elements of the timeline? (10 points)
- 3) Does the program narrative demonstrate how the applicant plans to achieve the six USCG-prioritized activities? (20 points)
- 4) Does the applicant substantiate its previous experience developing and submitting ICRs for review by OMB? (20 points)

- 5) Does the applicant demonstrate knowledge and/or experience in recreational boating safety data collection? (15 points)
- 6) Does the applicant have proven experience in providing datasets to the public? (10 points)
- 7) Are the budget line items necessary and/or reasonable to achieve program priorities? (5 points)
- 8) Are the budget and budget narrative aligned with the project timeline? (5 points)

b. Financial Integrity Criteria

Prior to making a federal award, the USCG is required by the Payment Integrity Act of 2019, 41 U.S.C. § 2313 – Database for federal agency contract and grant officers and suspension and debarment officials, and 2 C.F.R. § 200.206 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
- 5) ability to effectively implement statutory, regulatory, or other requirements.

c. Supplemental Financial Integrity Criteria and Review

Prior to making a federal award where the anticipated total federal share will be greater than the simplified acquisition threshold, currently \$250,000 (see Section 805 of the National Defense Authorization Act for Fiscal Year 2018, Pub. L. No. 115-91, OMB Memorandum M-18-18 at <https://www.whitehouse.gov/wp-content/uploads/2018/06/M-18-18.pdf>).

- 1) The USCG is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM, which is currently the [Federal Awardee Performance and Integrity Information System](#) (FAPIIS) and is accessible through the sam.gov website.
- 2) An applicant, at its option, may review information in FAPIIS and comment on any information about itself that a federal awarding agency previously entered.
- 3) The USCG will consider any comments by the applicant, in addition to the other information in FAPIIS, 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 C.F.R. § 200.206.

2. Review and Selection Process

A team of subject matter experts (reviewers) will review each proposal and assess it against the criteria published in **Section E. 1. a. Programmatic Criteria**. Any persons who assess and score the applications are required to complete a DHS Conflict of Interest Form.

The application package for review will consist of the applicant's pre-solicitation technical paper and the materials submitted to this funding opportunity. Reviewers will assess the applications for technical merit, personnel qualifications, and the degree to which a proposal offers potential value and measurements to program goals as stated in this NOFO.

Upon completion of the review, BSX-2 staff logs the scores and prepares a ranking list, along with the recommended funding levels from the reviewers, for discussion and consideration. All recommendations are presented to the BSX-2 Branch and Division Chiefs for their review. The Office Chief then reviews and presents a recommendation to the Director of Inspections and Compliance for their 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 levels, an approval memo is generated, co-signed, and kept as part of the official program file.

E. Federal Award Administration Information

1. Notice of Award

Before accepting the award, the AOR and recipient should carefully read the award package. The award package includes instructions on administering the grant 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, to receive an award under this program.**

All applicants will be notified of their funding status. Successful applicants will receive a letter indicating the funded proposal, award amount, and the assigned Grant Technical Manager (GTM) and Grants Management Specialist. The letter will also include important information regarding award negotiations and scheduling a mandatory kick-off meeting with all involved parties.

2. Grant Award Negotiations

- a. The assigned GTM and Grants Management Specialist will work with the recipient to identify areas of the application package that may require revision upon award. Revisions may be required if:
 - 1) there are activities and/or costs that are not allowable or approved
 - 2) adjustments need to be made to the project timeline.
 - 3) activities in the project timeline or narrative do not align with USCG requirements or OMB guidelines for statistical surveys.
- b. Pending the results of the negotiations, recipients must submit the appropriate revised documents to USCG staff for review and approval. USCG staff may provide guidance and/or stipulations that help inform the recipient's revisions.

- c. After review and mutual acceptance of the modified document(s), the Grants Management Specialist will send the recipient the DHS Notice of Award and the USCG Terms & Conditions for signature.

3. Kick-Off Meeting & Schedule

The USCG and recipient will schedule a kick-off meeting to introduce key staff and review the requirements of the award. The USCG and recipient will also create a meeting schedule to coordinate check-ins, deliverables, and other key tasks identified in the timeline.

4. Grant Administration

The assigned USCG GTM and Grants Management Specialist will remain the recipient's primary points of contact for the duration of the award, and should:

- a. monitor progress of the prescribed program timeline and ensure adherence to OMB guidance for statistical surveys
- b. provide guidance, direction, and technical assistance to the recipient
- c. facilitate the ICR process once the package has been completed by the recipient and will work with the recipient to adjudicate all public comments
- d. review all recipient deliverables and submit for USCG clearance
- e. act as liaison between the recipient and any other USCG staff
- f. act as liaison between the recipient and external shareholders
- g. provide technical assistance as required
- h. review and approve the recipient's progress reports and requests for payments
- i. provide required federal forms and explain how to fill them out.

5. Administrative and National Policy Requirements

All successful applicants for DHS grant and cooperative agreements are required to comply with DHS Standard Terms and Conditions, which are available online at: [DHS Standard Terms and Conditions](#).

The applicable DHS Standard Terms and Conditions will be those in effect at the time the award was made unless the application is for a continuation award. In that event, the terms and conditions in effect at the time the original award was made will generally apply. What terms and conditions will apply for the award will be clearly stated in the award package at the time of award.

6. Reporting

a. Federal Financial Reporting Requirements

- 1) The Federal Financial Report (FFR) form is available online at: [SF-425 OMB #4040-0014](#)
- 2) The financial reporting schedule for this program is semi-annual.
 - a) Reports are due on January 30th and July 30th of each year.
 - b) The Final Financial Report is due January 30, 2029.

b. Programmatic Performance Reporting Requirements

- 1) **Weekly Status Reports:** The recipient shall provide a weekly status report to USCG staff highlighting key milestones and accomplishments on any ongoing actions.
- 2) **Ongoing Status:** The recipient shall provide a continuously updated dashboard on any ongoing items that require surveillance (state-by-state response rates, etc.).
- 3) **Annual Interim Report:** Prior to the conclusion of each budget period, the recipient will be required to submit an annual interim report that summarizes the key accomplishments and activities of that year. The GTM and Grants Management Specialist will use this report to verify that the recipient is making substantial progress on the approved grant activities, and acceptance of this report will trigger the obligation of the next allocation of funds.
- 4) **Criteria for Reporting**
The USCG is putting forth these requirements in order to provide a transparent and horizontal communication structure. The USCG wants to be notified early and in advance of potential issues that may arise. These are including, but not limited to:
 - a) delay in meeting an established milestone
 - b) nonresponse from a state, boating safety governing agency, or other body
 - c) response rate not being met in a timely manner
 - d) inability to derive estimate for a specific state.

c. Closeout Reporting Requirements

Within 120 days after the end of the period of performance, or after an amendment has been issued to close out a grant, recipients must submit the following:

- 1) the final request for payment, if applicable
- 2) the final FFR (SF-425)
- 3) a final progress report detailing all accomplishments
- 4) other documents required by this NOFO, terms and conditions of the award, or other USCG guidance.

After these reports have been reviewed and approved by the USCG, a closeout 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 de-obligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR, unless a longer period applies, such as due to an audit or litigation, for equipment or real property used beyond the period of performance, or due to other circumstances outlined in 2 C.F.R. § 200.334 Retention requirements for records.

In addition, any recipient that issues subawards to any subrecipient is responsible for closing out those subawards as described in 2 C.F.R. § 200.344 Closeout. Recipients acting as pass-through entities must ensure that they complete the closeout of their

subawards in time to submit all necessary documentation and information to the USCG during the closeout of their prime grant award.

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

7. Disclosing Information per 2 C.F.R. § 180.335

This reporting requirement pertains to disclosing information related to government-wide suspension and debarment requirements. Before a recipient enters into a grant award with the USCG, the recipient must notify the USCG if it knows if it or any of the recipient's principals under the award fall under one or more of the four criteria listed at 2 C.F.R. § 180.335:

- 1) are presently excluded or disqualified
- 2) have been convicted within the preceding three years of any of the offenses listed in 2 C.F.R. § 180.800(a) or had a civil judgment rendered against it or any of the recipient's principals for one of those offenses within that time period
- 3) are presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses listed in 2 C.F.R. § 180.800(a)
- 4) have had one or more public transactions (federal, state, or local) terminated within the preceding three years for cause or default.

At any time after accepting the award, if the recipient learns that it or any of its principals falls under one or more of the criteria listed at 2 C.F.R. § 180.335, the recipient must provide immediate written notice to the USCG in accordance with 2 C.F.R. § 180.350.

8. Monitoring and Oversight

Per 2 C.F.R. § 200.329, the USCG, through its authorized representatives, has the right, at all reasonable times, to conduct desk reviews, make site visits to review project accomplishments and management control systems to review project accomplishments and to provide any required technical assistance. During site visits, the USCG will review recipients' files related to the grant award. As part of any monitoring and program evaluation activities, grant recipients must permit the USCG, upon reasonable notice, to review grant-related records and to interview the organization's staff and contractors regarding the program. Recipients must respond in a timely and accurate manner to the USCG requests for information relating to the grant program.

G. DHS Awarding Agency Contact Information

1. Contact and Resource Information

Jonathan Hsieh: jonathan.c.hsieh2@uscg.mil

H. Other Information

1. Period of Performance Extensions

One-time extensions are allowed. Recipients must request an extension in writing 10 days prior to the end of the period of performance. The USCG staff will review the request, as well as the award's agreed-upon deliverables, milestones, and timeline, to determine if the request is both appropriate and feasible. The USCG will notify the recipient via email and/or an official notification letter.

2. SAM.gov Registration: Beware Third Party Scammers

There is **NO FEE** to register or maintain your SAM.gov registration.

If you get an email, text, or phone call from a company asking you to contact them right away about your SAM.gov registration, be cautious. If you are asked to pay money to complete or renew your SAM.gov registration, be cautious. **These messages are not from the federal government.** It is **FREE TO REGISTER** in SAM.gov for any entity. You engage third party vendors at your own risk.

Please report these type of messages to the Federal Service Desk (FSD) at <https://fsd.gov/fsd-gov/home.do>. It will be reviewed by General Services Administration (GSA) staff.

3. Appendices

- a. **Budget & Budget Narrative Instructions**
- b. **Budget Template:** Applicants must download the Excel file separately from the funding opportunity in Grants.gov.