

UNITED STATES COAST GUARD

FY 2012

Office of Auxiliary and Boating Safety (CG-542)

Boating Safety Grant Program.

2100 2nd Street, SW, Washington, DC 20593

(202) 372-1060

**National Non-Profit Public Service Organization, Boating Safety Grant
Program**

**Boating Safety Financial Assistance
CFDA Number 97.012**

Authorizing and Appropriation Authority for Program—The Federal Boat Safety Act of
1971 [recodified under Title 46, United States Code]

CLOSING DATE-January 27, 2012

FUNDING OPPORTUNITY DESCRIPTION

The Federal Boat Safety Act of 1971 gave the U.S. Coast Guard new authority to deal with the large growth in recreational boating, including new programs for boat and associated equipment safety standards, boat defect correction oversight, boat operator requirements, and State financial assistance. The State financial assistance program was established to promote cooperative efforts between the U.S. Coast Guard and State boating safety programs. The majority of funds are allocated to the States and U.S. territories via a formula fixed in the law. However, up to 5% of the total grant funds available each year are set aside for awards to national non-profit public service organizations to support national boating safety activities. The most recent reauthorization of the program enacted by Congress provides mandatory RBS Program funding based on a percentage of the prior year's receipts deposited in the Sport Fish Restoration and Boating Trust Fund. For FY 2012, funding available for the national non-profit organization grants will be estimated at nearly \$5.7 million.

The primary goal of the National Recreational Boating Safety Program is to reduce casualties to specified levels for each upcoming year. Any initiative that can help to reduce recreational boating deaths, injuries or property damage is welcomed. Potential applicants should focus on partnership, i.e., exploring other sources, linkages, in-kind contributions, cost sharing, and partnering with other organizations or corporations. A listing of U.S. Coast Guard Areas of Interest are in Appendix A.

FY 12 AWARD INFORMATION

Expected Number of Awards: 30-40

Estimated Total Program Funding: \$5,700,000

The Non-Profit Organization Grant Program is initiated in early November. For FY 2012, applications must be submitted by midnight **January 27, 2012**. The application review process normally takes approximately 120 days and award notifications are made in May.

NOTIFICATION OF GRANT PROGRAM FUND AVAILABILITY

As soon as funds become available, notice of grant funds are posted on Grants.gov. Information as to the amount of funds available, submission deadline dates, types of projects of particular interest, and any other pertinent information is available through electronic notification under Grants.gov and posted on <http://www.uscgboating.org>.

Established procedures allow prospective recipients to propose up to a 5 year grant with 12 month (FY) increments. In effect, an award would be made for the first year and thereafter renewal is optional via a new grant application. Each annual increment would not be guaranteed.

Under a *continuation (multi-year)* award the U.S. Coast Guard agrees to support a grant project at a specific level of effort for a specified period of time, with a statement of intention to provide certain additional future support, provided *funds are available, the project continues to support the needs of the government, and the achieved results warrant further support.*

Award of continuation grants and/or cooperative grants will be made on a strict case-by-case basis to assist planning certain large scale projects and ensure continuity.

Established procedures allow awarding *noncompetitive grants* and/or cooperative grants for less than \$20,000 on a case-by-case basis throughout the fiscal year. This authority is judiciously used to fund essential projects that are either projects that can only be accomplished during the grant period or are projects that have a high probability of reducing recreational boating casualties within the near future. Justifications for not competing the award and a rationale for selecting the grantee must be approved by the Program Director.

GRANTS.GOV REGISTRATION PROCESS

FY 2012 grant applications must be submitted via **Grants.gov** by January 27, 2012. Registration for Grants.gov takes approximately 3-5 business days, but please allow 4 weeks for completion of all steps (see below).

- Step 1: Obtain a DUNS Number (www.dnb.com). Webform requests take 1-2 business days. A DUNS number is provided immediately if you request one by phone (1-866-705-5711).
- Step 2: Register with CCR (www.ccr.gov). This could take two days or up to five weeks. If you already have a TIN, your CCR registration will take 3-5 business days to process. If you are applying for an EIN, please allow up to 2 weeks.
- Step 3: Username & Password. Same day. Complete your Authorized Organization Representative (AOR) profile on Grants.gov and create your username and password. You will need to use your organization's DUNS Number to complete this step. (<http://apply07.grants.gov/apply/OrcRegister>).
- Step 4: AOR Authorization. Same day. The E-Business Point of Contact (E-Biz POC) at your organization must login to Grants.gov to confirm you as an AOR. Please note that there can be more than one AOR for your organization. In some cases the E-Biz POC is also the AOR for an organization. Time depends on responsiveness of your E-Biz POC.
- Step 5: Track AOR Status. At any time, you can track your AOR status by logging in with your username and password.

Applications received after the January 27, 2012 deadline will NOT be considered for funding. Application packages that are not properly completed per page four (Grant Application Process) may not be accepted. Please note that one (1) 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 B). 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). When submitting via Grants.gov, we recommend all attached documents be submitted in one PDF file.

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 can be found in Appendix C.

GRANT APPLICATION PROCESS

Potential recipients are encouraged to contact the U.S. Coast Guard to discuss their questions regarding the application submission requirements. The merits of the proposal itself are not discussed. Along with the SF-424 Application for Federal Assistance, the application must consist of the following:

- An Application Checklist
- A completed 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)
- Statement regarding proprietary info
- Auditing Organization
- Reporting Schedule
- Signed Certifications
 - SF-424B Assurances
 - Anti-Lobbying, Drug-Free Workplace, Conflict of Interest, Debarment, Suspension
- 501 (c) (3) letter regarding non-profit status
- Acknowledgement of a federally approved accounting system
- Copyrighted Material (if applicable)
- Supporting documents (if applicable)

ELIGIBILITY INFORMATION

ORGANIZATIONS ELIGIBILITY FOR FUNDING

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 U.S. 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 for grant funding:

1. It must be a nongovernmental organization. (City, County or State governments or municipalities, for example, are **not** eligible).
2. It 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.)
3. It has the ability to provide public boating safety benefits that are **national in scope** or dimension. It must demonstrate that its benefits will be effectively extended nationwide, extending beyond a state or region. A national membership base does not suffice.
4. The organization's **activities** must be nationwide in scope to be grant eligible. However, the lack of a nationwide membership does not preclude the organization's eligibility.
5. It must be primarily in existence to serve the general public.
6. It may not be a school or university, hospital or religious organization.

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.

NATIONAL ORGANIZATIONS

“National organizations” are entities that have members, branches or affiliates covering more than one regional area of the United States of America. An organization that limits its membership to a specific geographical location, or confines its activities to a limited or local area is not eligible.

NATIONAL IN SCOPE

“National in scope” means that an organization must demonstrate that its benefits will be effectively extended nationwide, extending beyond a state or region. A national membership base does not suffice – the organization's **activities** must be nationwide in scope to be grant eligible.

NON-PROFIT

“Non-profit” is defined as having an IRS tax-exempt status under 26 U.S.C. 501(c) (3). 26 CFR 1.501(c) (3)-1 elaborates on the organizational test for tax exemption. For purposes of the grant program, OMB Circular 2 CFR 230 further defines “non-profit” as “an organization ... operated primarily for scientific, educational, service, charitable or similar purposes in the public interest, and uses its net proceeds to maintain, improve, and/or expand its operations.”

Some organizations meeting the above criteria are affiliated with, or associated with, profit-making or taxable organizations. This affiliation does not disqualify the organization for funding.

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.

PUBLIC SERVICE

“Public service” means the organization exists primarily to serve the general public. Fraternal, lobbying or religious organizations are not eligible.

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 direct grant funding may, however, receive contracts or sub-grants from the recipient organization.

If you are unsure whether you are eligible, or have questions regarding eligibility requirements, contact Mr. Carlin Hertz at (202) 372-1060, email at carlin.r.hertz@uscg.mil or write the U.S. Coast Guard: Commandant (CG-54224), U.S. Coast Guard, 2100 2nd Street, SW, Stop 7581, Washington, D.C. 20593-7581.

APPLICATION PROCEDURES

NOTIFICATION OF FUNDS AVAILABILITY

An electronic notification under [Grants.gov](https://www.grants.gov) is the official public notification of availability of grant funds. The U.S. Coast Guard is not legally committed to expend all funds. However, it has been the policy to award all funds if there are sufficient applications that merit funding.

APPLICATION

Application for funding must be made on Standard Form 424, "Application for Federal Assistance." Please see Grants.gov or <http://www.uscgboating.org> for an electronic copy of this form. The SF-424, project narrative, and a financial plan are required, along with the other items listed in the checklist (Appendix B). An example of a financial plan or budget is found in Appendix E.

More than one application for funding may be submitted; more than one grant may be awarded to any one organization. Actual grant projects under a 1-year grant may be extended up to 3 years to completion.

PROJECT NARRATIVE

The project narrative should be described in sufficient detail to ensure the project can be weighed against other proposals. It should include, at a minimum, the following:

1. 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, extending beyond a state or region.
2. The name of the official representative authorized to sign for the organization.
3. A statement that the organization is a national non-profit public service organization and a copy of the IRS letter designating the organization as tax exempt (as a 501(c) (3) organization).
4. 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. Please also 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. Also 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. For more information please see the National RBS Strategic Plan (http://www.uscgboating.org/assets/1/workflow_staging/News/489.PDF).
5. A schedule of quantitative monthly or quarterly accomplishments. Accomplishments should be quantified to the extent feasible, and listed in chronological order.
6. Resumes of the principal participants in the proposed project(s) (**short one-paragraph bios are not acceptable**).
7. 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.

8. The name of any government agency that now audits the organization on a regular basis and date of last audit.
9. 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 (See example of a preferred financial plan in Appendix E.). 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 - Specify the indirect cost rate and what Federal agency negotiated the rate and when. Provide a copy of a negotiated indirect cost rate agreement. If no indirect cost rate has been negotiated, specify the overhead rate and itemize what is covered under the rate. In order for an indirect cost rate to be approved, it must have an approved indirect cost rate from your cognizant agency.
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 applicable, include the cost of a project audit. (See Appendix F.)

As a rule, initial proposals should not exceed 15 pages. Non-inclusion of any of the items required in the project and budget narrative, as well as non-submission of all required certification forms will be taken into consideration during the proposal review process, and may be cause for a lowered score, or disqualification from consideration.

APPLICATION REVIEW

INITIAL REVIEW

Applications are initially reviewed by the Non-Profit Organization Grants Coordinator in the Office of Auxiliary & Boating Safety (CG-542), Boating Safety Division (CG-5422), Grants Management Branch (CG-54224).

The applications are reviewed for eligibility ensuring that the proposed project is national in scope. The application package is also reviewed for completeness, ensuring that the SF-424A form is filled out correctly, the Project Narrative and Budget Information is enclosed, and all the required certifications are enclosed and signed. The project cost portions of the proposals are reviewed ensuring that they meet Federal requirements. The Grants Coordinator performs a complete Threshold Cost Evaluation checking for unallowable costs. Those portions of the proposals that do not meet our criteria are noted. Note: These proposals are not rejected, but, if chosen for funding, will have to be modified to meet Federal requirements.

MERIT REVIEW

Applications are then subjected to a Merit Review performed by Subject Matter Experts (SME) utilizing a Merit Review Checklist.

SMEs review each application for technical merit, personnel qualifications, and the degree to which a proposal offers potential value and measurements to RBS Program goals as stated and described in the Proposal Rating Criteria section below. SMEs also review the Threshold Cost Evaluation done by the Grants Coordinator to determine if there are any problem areas in the cost evaluation that might impact the technical portion of the grant review.

GRANT REVIEW TEAM (GRANT SELECTION TEAM)

Those applications meeting CG-5422's review standards are forwarded to the Non-Profit Organization Grant Review Team, which reviews and ranks selections and recommends funding amounts to the Program Director.

The Grant Review Team may forward selected applications to various U.S. Coast Guard Headquarters staff that are SMEs for those particular areas for their further review and comments. The Grant Review Team typically reviews 60-80 applications annually. It then makes its recommendations for funding to the Program Director. The Non-Profit Organization

Grants Coordinator prepares the top-ranked grant award recommendations for review and approval of the Program Director. The Director of Prevention Policy (CG-54) has final approving authority.

APPLICATION RATING CRITERIA

The U.S. 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.

The following generic criteria are used during evaluations:

1. The extent to which work under the grant is intended to support the National Recreational Boating Safety (RBS) Program mission, goals and objectives:

Mission: To ensure the public has a safe, secure, and enjoyable recreational boating experience by implementing programs that minimize the loss of life, personal injury, and property damage while cooperating with environmental and national security efforts.

RBS Performance Goals: To reduce the annual number of recreational boating fatalities to 673 in 2012.

The objectives to meet the RBS Performance Goals are as follows:

- Objective 1:** Safety Education Certificates and Successful Course Completions.
- Objective 2:** Boating Safety Outreach.
- Objective 3:** Advanced and/or On-Water, Skills-Based Boating Education.
- Objective 4:** Life Jacket Wear.
- Objective 5:** Operator Compliance – Navigation Rules.
- Objective 6:** Boating Under the Influence.
- Objective 7:** Manufacturer Compliance.
- Objective 8:** Operator Compliance – USCG Required Safety Equipment.
- Objective 9:** Boating Accident Reporting.
- Objective 10:** Research and Development.
- Objective 11:** Effectiveness of Non-Profit Organization Grants

2. Feasibility (probability of project success). An estimate of overall likelihood of achieving the stated project goals. This includes, but is not limited to the following:
 - a. The likelihood of the activity leading to the desired results;
 - b. The technical and managerial competence of the staff, the adequacy of equipment and organizational capacity to perform the proposed project as evidenced by its previous successful completion of work similar to that proposed for funding;
 - c. The reasonableness and consistency of the timetables and milestones relative to the available resources; and

- d. The adequacy of specific delivery systems to ensure that the output is used.
3. Impact/cost (its cost effectiveness). An estimate of external consequences and projected benefits of the project's output in relation to its cost. It includes consideration of:
 - a. Whether proposed project fits criteria noted in the solicitation for projects of particular interest;
 - b. The overall merit of the proposed project or activity. (Does the project support overall the Recreational Boating Safety goals? Does it support the Areas of Interest specified in Appendix A?);
 - c. The value of intended output to nationwide recreational boating safety including the likelihood of the project spurring other beneficial actions and its consistency with the direction of the National Recreational Boating Safety Program; and the project cost and proposals for cost sharing.

GRANT AGREEMENT NEGOTIATIONS

After the Program Director 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 U.S. 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 September 30, 2012.

Appendix D (Sample Grant Agreement) outlines some of the additional detail in a revised proposal that may be the outcome of negotiations and development of the final grant and/or cooperative agreement

PROJECT ADMINISTRATION

U.S. COAST GUARD GRANT TECHNICAL MANAGER

After the agreements are signed, each grant project is assigned a U.S. Coast Guard Grant Technical Manager (GTM). 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 U.S. Coast Guard staff elements the grantee may be required to deal with (U.S. Coast Guard financial management personnel, for example).

PROJECT GUIDELINES

The following guidelines clarify the expectations of the U.S. Coast Guard regarding what is expected as a final product and what steps should be taken by recipients to assure that a quality product is delivered.

FINANCIAL MANAGEMENT

SF-425 Form-Federal Financial Report

All SF-425s must be submitted on a quarterly basis and it must be submitted with the Final Report. The SF-425 ensures that the grantees are managing their funds properly. Failure to submit timely SF-425 can result in funds being withheld.

ASAP

The Automated Standard Application for Payments or ASAP is a system through which national non-profit organizations receiving Federal funds can draw payments preauthorized by the USCG through the U.S. Treasury. ASAP.gov is an Internet payment and information system developed jointly by the Financial Management Services (FMS) 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 based on the following terms:

- Quarterly Financial Reports (SF-425) are submitted on a timely basis and up to date.
- There are no outstanding programmatic issues.

For additional information, please contact the ASAP Support Hotline at (804) 697-8384 or please refer to the following sites:

www.asap.gov

www.fms.treas.gov/asap/

www.fms.treas.gov/asap/background.html

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 should 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 U.S. Coast Guard GTM. 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).

ACCOUNTING SYSTEM CERTIFICATION

Organizations that receive less than \$1 million annually in Federal grants must attach a certification signed by the certifying official stating that the organization has a functioning accounting system that meets the criteria below. The applicant organization may also designate a qualified entity (include the name and address in the documentation) to maintain a functioning accounting system that meets the criteria below. The certification should attest that the organization's accounting system provides for the following:

- Accurate, current and complete disclosure of the financial results of each federally sponsored project.
- Records that identify adequately the source and application of funds for federally sponsored activities.
- Effective control over and accountability for all funds, property and other assets.
- Comparison of outlays with budget amounts.
- Written procedures to minimize the time elapsing between the transfer of funds.
- Written procedures for determining the reasonableness, allocability and allowability of costs.
- Accounting records, including cost accounting records that are supported by source documentation.
- You can just submit a statement signed off by the executive director that you meet these criteria.

INDIRECT COST RATE

A non-profit organization which has not previously established an indirect cost rate with a Federal agency 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 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 USCG may withhold the indirect cost rate portion of the grant until an agreement is finalized.

PLANNING AND PROGRESS REPORTING

After the grant award, and to allow for sufficient time for review of each project, recipients are asked 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 U.S. Coast Guard Grant Technical Manager. 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 Grant Technical Manager 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 U.S. Coast Guard subject matter expert (SME) 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 U.S. 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 U.S. Coast Guard Grant Technical Manager.

2. If applicable, contain final edits of media, artwork and film that adhere to the U.S. Coast Guard Guidelines for Media (available from the U.S. Coast Guard Grant Technical Manager).
3. Have an appropriate statement indicating that the project was done under a U.S. Coast Guard Grant (see page 14). 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 **master copies or originals** of any printed, film, video or other media materials in a compatible U.S. Coast Guard format. This will allow the U.S. Coast Guard to have on file materials from which copies or segments can be taken to address other audiences or a specific need.

USCG GRANT PRODUCT GUIDELINES

LOGOS AND STATEMENT REQUIREMENTS (Sport Fish Restoration & Boating Trust Fund/DHS/USCG)

General guidance: Wherever the logo of the grantee appears on the product, the DHS and the USCG logos and the printed statement "*Produced under a grant from the Sport Fish Restoration and Boating Trust Fund administered by the U.S. Coast Guard*" must also appear on the same page, same segment of the video, etc. and the logos are to be of equal size as the grantee logo. The printed statement is to be printed in a font the size of the grantee credit. Further clarification follows.

PRINTED PUBLICATIONS

Any printed publication, national research study, textbook, reference manual, poster, etc. shall contain a template located at the bottom of the front cover (and back cover if the grantee credit is given). The specific content of the template follows:

- A printed statement "*Produced under a grant from the Sport Fish Restoration and Boating Trust Fund administered by the U.S. Coast Guard*". This statement is to be printed in a font the size of the grantee credit.
- Two logos, USCG and DHS, are to be placed on opposite sides of the statement. When spacing prohibits this, it is acceptable to place them directly below the printed statement.
- **The logos are to be of equal size to that of the co-sponsor organization/agency logo.**
- **To download the logos please visit <http://www.uscgboating.org/resources/graphics.aspx>**

AUDIO VISUAL PRODUCTS

Any audio visual grant product shall contain the same template as printed publications.

Placement specifications are as follows:

- At the beginning of the video, in full-color as a part of the introduction.
- During the closing credit additional credit is given as funding source and contributing partners.

If you have any questions, please contact the U.S. Coast Guard Grant Technical Manager.

U. S. COAST GUARD MEDIA GUIDELINES FOR BOATING INFORMATION

The U.S. Coast Guard, through its National Recreational Boating Safety Program, is providing materials that demonstrate safe boating operation to the public. To ensure that only the highest quality materials portraying appropriate safety considerations are prepared, these guidelines are to be followed:

GENERAL CONSIDERATIONS

1. **SHOW ALL PERSONS ON BOARD VESSELS WEARING A LIFE JACKET.** Life jackets should fit properly and be zipped or fastened while underway. Life jackets worn should be suitable to the activity being depicted. It is recommended that persons be shown wearing life jackets on docks before getting into the boat, as well as getting out of the boat.
2. **SHOW BOATS AND EQUIPMENT THAT ARE IN OPTIMAL CONDITION.** This includes proper numbering or documentation. Boats should be equipped with (at a minimum) "Federal Requirements," and display a current year Vessel Safety Check decal.
3. **SHOW SAFETY EQUIPMENT AS VISIBLE AND ACCESSIBLE.**
4. **SHOW SAFE BODY POSITIONS FOR OPERATORS AND FOR PASSENGERS.** Persons should be sitting in seats properly, not sitting on seat backs or on the gunwale. If the boat is to

be operated at a high rate of speed (above 45 mph), to depict a specific boat-handling characteristic for the proposed video, appropriate safety equipment should be worn, possibly even a harness and helmet.

5. **SHOW BOATS OPERATING IN A SAFE MANNER**, i.e., accelerating at a safe rate so as not to create a dangerous wake or throw riders around in boat.

6. **SHOW GENERIC PRODUCTS** whenever possible. To avoid unfair product representation or inference of endorsement use generic products or, if brand names are shown, avoid "showcasing" or concentrating on labels.

7. **ALCOHOL SHOULD NOT BE SHOWN ON BOARD VESSELS.**

PRODUCTION CONSIDERATIONS

1. **MODEL SAFE BOATING PRACTICES** as well as teach them. Even though the focus may be on a specific topic or skill, all other safe boating practices should be modeled.

2. **ALWAYS DEMONSTRATE THE PROPER WAY.** We do not recommend showing improper methods; however, if the grantee chooses to do so (with prior approval from the GTM), the sequence would be to show the improper method first with explanation or graphic that stresses it is an improper method.

3. **DO NOT ATTEMPT UNSAFE CAMERA ANGLES, SPEEDING OR HAZARDOUS PRODUCTION MANEUVERS**, since these may result in a final product calling attention to the fact that whoever was filming was doing so unsafely.

4. **TALENT ENGAGED SHOULD DEPICT THE AVERAGE CITIZEN.** Efforts should be made to include minorities and depict an equal distribution of minority populations. The intent is to make the program believable and not necessarily the "Cover photo look."

5. **TALENT HIRED FOR ROLES WHICH ILLUSTRATE U.S. COAST GUARD PERSONNEL OR STATE MARINE PATROL OFFICERS SHOULD BE APPROPRIATELY DRESSED** in correct uniforms, have regulation haircuts, and meet the appearance standard of the service. For use of U.S. Coast Guard facilities and approval to impersonate USCG personnel, a formal request will need to be made to the local U.S. Coast Guard Public Affairs Office, through your Grant Technical Manager. When warranted, a Public Affairs Officer will assist the Grant Technical Manager to review the script and the filming.

6. **RELEASES MUST BE OBTAINED FROM TALENT PRIOR TO SHOOTS** so that the program can be placed in the public domain without constraint. If you have questions about providing the proper releases necessary to achieve this requirement, contact your Grant Technical Manager for additional assistance.

U.S. COAST GUARD REVIEW PROCESS

When a film, video or other media production is created under a grant, cooperative agreement or contract to the U.S. Coast Guard, review is required by the Boating Safety Division (CG-5422) at the following milestones:

1. At the completion of the proposed treatment, where the objectives and creative approaches are discussed.
2. At the completion of the script and/or story board.
3. When warranted, arrangements should be made to have a U.S. Coast Guard designated representative on site for a shoot.

At the completion of the rough cut (please provide a DVD for technical evaluation by CG-5422). For print media, provide “comp” art or rough layouts before producing a final product.

MEDIA FINAL PRODUCT

When delivering a final media product to the U.S. Coast Guard, the following master copies must be provided:

1. Two (2) DVD's
2. Two (2) CDs-Copies of Scripts/Graphics/etc.
3. Label artwork (if applicable)
4. Print material should be submitted with finished, camera-ready mechanical art.
5. U.S. Coast Guard logos should be from approved logo materials and should be of correct color, placement and proportion. Please refer to the DOT Graphics Standards Directive and/or approval by USCG Public Affairs Staff.

One of the goals of the USCG Boating Safety Grant Program is to utilize grant information and material to the maximum extent possible. In attaining this goal, it is required that all information and material that is created in an electronic format be compatible with the U.S. Coast Guard Standard Workstation and common operating environment. All information and material created in an electronic format shall be provided to the U.S. Coast Guard in a format compatible with Microsoft Office Suite, or the software system being used by the U.S. Coast Guard during time of production. Recipients are expected to coordinate with the Grant Technical Manager to ensure the compatibility of electronic information.

All original footage, pre-print materials and computer disks shall become the property of the U.S. Coast Guard.

EXAMPLE TALENT RELEASE

DATE _____

\$ _____

In consideration of the above stated, I hereby sell, assign and grant to _____ or their licensee, the right to copyright, use and publish photographic or electronic pictures of me taken for a U.S. Coast Guard grant project that may be used by the Federal Government or designated agency in promotion or any other lawful purpose. I hereby waive my right to inspect or approve the finished product or any lawful copy that may be used in connection therewith.

This release applies to work performed by me and photographic or electronic pictures taken of me on the date (dates) of _____

(Signature)

(Name in print)

GENERIC PROPOSAL FOR FILM

PROJECT DESCRIPTION

ASSESSMENT PHASE

1. Relevant data
2. Literature search
3. Organizational needs assessment
4. Interviewing subject and consumer experts
5. Prioritization of needs and concerns

DESIGN PHASE

1. Determine goals and objectives
2. Weighting and grading assessment data to determine what current institutions will be supported.
3. Concept foundation
4. Identification of integration factors
5. Identification of flexibility factors
6. Determination of education methods and mechanisms to be utilized (i.e. video and workbook with questions)
7. Draft of a project plan with review milestones
8. Identification of key people and reviewers
9. Delivery and distribution plan

DEVELOPMENT PHASE

1. Draft of treatment
2. Outline for each set of materials
3. Draft of script
4. Draft of story board
5. Finalization of storyboard (could be slide tape presentation)
6. Draft adjunct materials
7. Review of materials
8. Plan for utilization of existing resources
9. List of production issues and criteria
10. Finalize production plan

PRODUCTION PHASE

1. Assemble equipment
2. Choose actors and obtain releases
3. Design graphics and artwork
4. Finalize graphics artwork etc.
5. Review
6. Produce rough cut
7. Review, edit rough cut
8. Review
9. Final edit

DISTRIBUTION AND DELIVERY

1. Marketing plan
2. Advertising materials
3. Delivery plan to existing outlets
4. Use training seminars or demos

APPENDICES

APPENDIX A: GRANT AREAS OF INTEREST FOR FY 2012

SPECIFIC AREAS OF INTEREST

The U.S. Coast Guard is particularly interested in receiving grant applications on several specific studies/projects this fiscal year, listed below. However, we also encourage proposals addressing other boating safety concerns.

1. Develop and Conduct a National Year-Round Safe Boating Campaign
2. Develop and Conduct a National Recreational Boating Safety Outreach and Awareness Conference
3. Federal/State Cooperative Efforts to Enhance Uniformity and Effectiveness
4. Develop and Conduct Boating Accident Investigation Seminars
5. National Estimate of Life Jacket Wear Rate
6. Conduct On-Water Boat Handling Instruction for Recreational Boat Operators
7. Develop and Conduct Research of Adverse Reactions to Medications Among Adults, 55 and Older, While Boating
8. Develop, Produce, and Distribute ‘Vessel Point of Sale’ Training Program designed for employees of marine distributors, marinas, and marina stores
9. Select Voluntary Standards Development Support

With your application, we encourage you to list and describe to us the tools you will use to measure your application’s performance toward achieving program goals or toward achieving a specific objective that will result in the achievement of Program goals. For some examples of tools for evaluating programs or projects, we invite you to explore this CDC website:

<http://www.cdc.gov/ncipc/pub-res/demonstr.htm>.

The following list includes items of specific interest to the U.S. Coast Guard; however, potential applicants should not be constrained by the list.

1. Develop and Conduct a National Year-Round Safe Boating Campaign

The campaign should focus on providing support to the National RBS Strategic Plan and address specific objectives and strategies that have been identified through the U.S. Coast Guard’s Strategic Planning Process. The U.S. Coast Guard seeks an applicant to plan, develop and implement a 2013 National Safe Boating Campaign that parallel’s and supports the U.S. Coast Guard’s national “Boat Responsibly!” campaign initiatives. The campaign should promote a concentrated effort to target specific boater market segments at the grass roots level and recreational boating safety topics. This year-round campaign must coincide with the objectives of the Strategic Plan of the National Recreational Boating Safety Program and promote the “Boat Responsibility” brand. The nationwide activities of this public awareness campaign should be based on the support of the volunteers and professionals nation-wide at the grassroots (local) level. Key to this collaborative effort is how it will complement the U.S. Coast Guard’s national

outreach and “Don’t Wreck Your Summer” initiatives and objectives. The major focus of the effort will be to modify the behavior of all boaters with special focus on boat operators being responsible for their own safety or the safety of their passengers and understanding the consequences of irresponsible behavior on the water. Significant emphasis should be placed on life jacket wear, boating education, safety issues, accident reporting, as well as boating under the influence of alcohol or drugs. Efforts will also be coordinated, year-round, with other national safety initiatives and special media events. At the conclusion of the project, grant recipients will need to submit reports that clearly specify the accomplishments and measures that are implemented to indicate the effectiveness of the project in achieving its objectives and our performance goals. Point of contact: Mr. Michael Baron, 202-372-1063.

2. Develop and Conduct a National Recreational Boating Safety Outreach and Awareness Conference. The U.S. Coast Guard seeks an applicant to plan, implement, oversee, and conduct a National Recreational Boating Safety Outreach and Awareness Conference that supports the organizational objectives of the National Recreational Boating Safety Program, and most specifically the National RBS Strategic Plan. The overall conference focus should assist in achieving a reduction in recreational boating casualties and have promotional strategies with special focus on boat operators being responsible for their own safety and being aware of the consequences of irresponsible actions on the water. Significant emphasis should be placed on offering multiple subject areas that afford the participants professional development opportunities and educational enhancement. Subject areas should focus on, but not be limited to: life jacket wear, operator inattention, boater education, vessel safety, accident reporting, navigation rules, outreach and awareness efforts, as well as boating under the influence of alcohol or drugs. At the conclusion of the project, grant recipients will need to submit reports that clearly specify the accomplishments and measures that are implemented to indicate the effectiveness of the project in achieving its objectives and our performance goals. In addition an effective post-conference instrument for surveying the attendees and finding out if they did in fact take home initiatives that they learned about at the conference and implemented them in their own programs is to be designed/provided. Point of contact: Mr. Michael Baron, 202-372-1063.

3. Federal/State Cooperative Partnering Efforts to Enhance Uniformity and Effectiveness. The U.S. Coast Guard seeks an applicant to provide programs to measurably enhance uniformity and reciprocity in State boating safety laws/regulations and other State boating safety efforts, with a special focus concerning accident reporting, and uniformity of state boating safety education and life jacket wear requirements. Applicants would provide a forum to encourage such uniformity and reciprocity among jurisdictions, and closer cooperation and assistance in developing, administering, and enforcing State laws and regulations pertaining to boating safety. The applicant would further provide a forum to encourage sufficient patrol and other activities to ensure adequate enforcement of State boating laws, provision of an adequate USCG recognized State boating safety education program, enhanced maintenance of USCG approved vessel numbering system, and enhanced implementation of a USCG approved marine casualty reporting system. In addition, an effective instrument for surveying the states at the end of the grant period to discover what state laws or regulations were amended that enhanced uniformity is to be implemented and reported on in the project closing report. Point of contact: Mr. William Burgess, 202-372-1071.

4. Develop and Conduct Boating Accident Investigation Seminars. The U.S. Coast Guard seeks an applicant to develop, provide instructional materials and training aids, and conduct recreational boating accident investigation seminars for Federal and State recreational boating accident investigators. The grantee should plan to conduct four regional comprehensive recreational boating accident investigation courses and two advanced recreational boating accident investigation courses at the NTSB Training Facility located in Ashburn, VA. Each investigative training session must be capable of accommodating 60 students. Each course of instruction must reserve a minimum of four quotas for U.S. Coast Guard Marine Investigators; these quotas will be assigned by the Boating Safety Division's Product Assurance Branch. The U.S. Coast Guard also requires four annual four-hour seminars to be conducted at the U.S. Coast Guard's Maritime Law Enforcement Academy in Charleston, SC. The location of the regional courses will be determined jointly by the U.S. Coast Guard and the grantee. The regional courses must, at a minimum, consist of an overview of recreational boat accident investigations, witness interviews, collision dynamics, evidence collection and preservation, diagramming, and report writing with an emphasis on adherence to definitions and detail in the accident narrative. The advanced course of instruction will consist of hands-on investigative instruction of accidents simulated on video with actual recreational boats used as training aids. All instructional material must include the requirements contained in 46 USC §6102, 33 CFR PART 173 Subpart C, 33 CFR PART 174 Subparts C & D, paying particular attention to 33 CFR §174.103, which outlines materials necessary for the advancement of recreational boating safety, and the requirements of 33 CFR 179, Defect Notification. Point of contact: Mr. Michael Jendrossek, 202-372-1052.

5. National Estimate of Life Jacket Wear Rate. The U.S. Coast Guard seeks an applicant to provide reliable and valid national estimates of life jacket wear rates by recreational boaters. Wear rate of life jackets should be based on actual observation taken from a representative sample of boaters across a range of water venues that include lakes, rivers and bays. It is essential that observation methods remain as close as possible to those used in previous years so the number of boats, types of boats, length of boats, operation and activity of boats, as well as the age and gender of the boaters observed remain consistent. Using the design of the National Life Jacket Wear Rate Study as a base, a supplemental observational study is solicited to determine if life jacket wear rates are higher in an area after the roll-out of the Army Corps of Engineers multi-year project whereby they are requiring life jacket wear on selected Army Corps reservoirs. These areas should be included in whatever proposals may be made, along with the possibility of conducting a supplemental observational study in a "Wear-It" state. In the summer of 2012, the post-campaign measurement will be conducted. The applicant shall conduct observations in areas around the country that have relatively high boating activity in the summer and therefore may be expected to have a reasonable level of activity to make conclusions about changes in wear rates more stable. Point of contact: Mr. Jeff Ludwig, 202-372-1061.

6. Conduct On-Water Boat Handling Instruction for Recreational Motorboat Operators. The U.S. Coast Guard is seeking a potential grantee to increase their current capabilities to conduct on-water boat handling instruction for recreational boat operators of power driven vessels through such means as an increase in physical resources, marketing, specific outreach efforts, and enhanced instructor development to increase the capacity to deliver available on-water education programs. The grantee(s) will develop and implement a strategy to expand the delivery

of such on-water instruction. The successful applicant(s) will develop a measurement capability and report on 1) number of participants with basic demographic information (age, gender, region), and 2) number of successful participant/course completions, and 3) increase in overall student participation as a result of strategy elements implemented. To assist the U.S. Coast Guard in measuring the effectiveness of the on-water training program, the successful applicant shall conduct a three year follow up survey of participants to determine if any were involved in a reportable boating accident to include type and cause of accident, number of injuries, number of fatalities, and provide a brief narrative. Point of contact: Mr. Wayne Stacey, 202-372-1067.

7. Develop and Conduct Research of Adverse Reactions to Medications Among Adults, 55 and Older, While Boating. Since 2005, there have been 4800 vessels and almost 900 fatalities involving boat operators who were 55 years or older. Because of physiological changes (e.g., decreased kidney and liver function) and because older adults often take multiple medications, they are at higher risk of experiencing an adverse reaction to drugs than younger persons. On the water, these risks can be exacerbated by stressors such as glare, heat, motion, noise, vibration and that have an effect on the fatigue of the body. The Coast Guard seeks an applicant to develop and conduct research to determine the contributing factors to adverse reactions from medications taken by adults, 55 and older, while boating. The grantee should plan, develop and conduct at least three regional, comprehensive research studies with the support of professional medical agencies to advise and substantiate the findings. The grantee shall develop research parameters, that outline the goals, and objective of the research, identify targeted participants and outline proposed research methodology. The Grantee shall recommend the best method for executing the research and implement the research based on the Coast Guard's approval of the methodology. At the conclusion of the project, the grant recipient will need to submit reports that clearly specify the accomplishments and measures that are implemented to indicate the effectiveness of the project in achieving its objectives and our performance goals. Point of contact: Ms. Jo Calkin, 202-372-1065.

8. Develop, Produce, and Distribute 'Vessel Point of Sale' Training Program designed for employees of marine distributors, marinas, and marina stores. The Coast Guard seeks an applicant to develop, produce and distribute a training product (CD, DVD, and/or on-line product), to be used as a stand-alone training tool for marine industry sales personnel. The primary focus would be to educate marine industry employees about Federal Carriage Requirements and to the contents of the "Coast Guard Safety Package" often included with boat sales. Additional areas to emphasize are the importance of life jacket wear, availability of recreational boating safety courses, the importance of obtaining a Vessel Safety Check, and how to properly register DSC, VHF-FM radios. Other information regarding Coast Guard approved alternatives to required equipment, Life Jackets, Visual Distress Signals (VDS), etc. is also to be included. At the conclusion of the project, the grant recipients will need to submit reports that clearly specify the accomplishments and measures that are implemented to indicate the effectiveness of the project in achieving its objectives and our performance goals. Specific data should include tracking of products distributed, numbers of employees/personnel trained, and number of recipients. Point of Contact: Mr. Joseph Carro, 202-372-1068.

9. Select Voluntary Standards Development Support. The Coast Guard seeks an applicant to carry out a program to encourage active participation by members of the public and other qualified persons to specifically develop technically sound, voluntary safety standards on reducing accidents in which stability, collision, or propeller injury mitigation are factors. Such standards would be those that address capsizing and falls overboard prevention (handholds, seat arrangements, gunwale heights), collision avoidance (visibility and driver distraction), and propeller strike avoidance (prop guard test protocol matrix). Point of contact: Mr. Po Chang, 202-372-1075.

APPENDIX B: APPLICATION CHECKLIST

APPLICANT NAME _____

PROPOSAL TITLE _____

Strategic Plan (SP) or Objective (OBJ) # _____

How much Federal funding from any source did you receive last year? (Please circle one)

Less than \$25,000

\$25,000-500,000

\$500,000 or more

Please complete the following and attach to your application:				
ITEM #		YES	NO	N/A
1	Application for Federal Assistance (SF-424)	X		
2	SF-424A Budget Information	X		
3	SF-424B Assurances	X		
4	Narrative: Proposed Project, Objectives, Methods, Expected Results and Benefits			
5	Detailed Budget Narrative (corresponding to SF-424A)			

6	Reporting Schedule			
7	Resumes of principal participants (if applicable)			
8	Statement regarding proprietary info			
9	Auditing Organization			
10	USCG Certifications (Appendix C)-Scanned			
11	501 (c) (3) letter regarding non-profit status			
12	Federally approved accounting system			
13	Will you copyright any material? (See Appendix G)			
14	Supporting documents, if applicable			

APPENDIX C: USCG CERTIFICATIONS

(1) CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

The _____ certifies

(Agency)

that it will establish and continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying actions that will be taken against employees for violation of such prohibition.

(b) Establishing an ongoing drug-free awareness program to inform employees about –

- (1) The dangers of drug abuse in the workplace;
- (2) The Applicant's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

(c) Making it a requirement that each employee to be engaged in the performance of the grant or cooperative agreement be given a copy of the statement required by paragraph (a).

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant or cooperative agreement, the employee will –

- (1) Abide by the terms of the statement; and
- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction.

(e) Notifying the Federal agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every project officer or other designee on whose project activity the convicted employee was working. Notice shall include the identification number(s) of each affected grant or cooperative agreement.

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted –

- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirement of the Rehabilitation Act of 1973, as amended; or
- (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by Federal, State, or local health, law enforcement, or other appropriate agency.

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

(2) CONFLICT OF INTEREST CERTIFICATION

The undersigned certifies, to the best of his or her knowledge and belief, that

- (1) The undersigned in no way presents a potential conflict of interest with the U. S. Coast Guard.
- (2) The undersigned in no way presents a potential conflict of interest with anyone in the U. S. Coast Guard who would possibly be a reviewer or a reviewer's spouse, etc., whereas the reviewer would have a financial interest in the application.
- (3) The undersigned in no way has a relationship with a potential U. S. Coast Guard reviewer and/or a reviewer's spouse, etc., who would be expected to be the principal investigator or a member of the staff conducting the project.
- (4) The undersigned in no way has a potential conflict where a potential reviewer and/or reviewer's spouse, etc, would serve as an officer, director, trustee, partner, or employee of the
- (5) applicant, its parent, or subsidiary organization.
- (6) The undersigned in no way has a potential conflict where a potential reviewer, or their spouse, etc., is negotiating prospective employment (or other similar association) with the applicant, its parent or subsidiary organization.

- (7) The undersigned in no way has a potential conflict where a potential reviewer, or their spouse, etc., has a financial interest in the applicant, its parent or subsidiary organization.

Explanation of conflict of interest if applicable:

(3) CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

The undersigned certifies, to the best of his or her knowledge and belief, that

- (1) The undersigned in no way is debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal department or agency.
- (2) The undersigned has not within a three year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain , or performing a public (Federal, State or local) transaction or contract under a public transaction, violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
- (3) The undersigned is not presently indicated for or otherwise criminally or civilly charged by a government entity (Federal, State, local) with commission of any of the offenses enumerated in paragraph (1) (b) of this certification.
- (4) The undersigned has not within a three year period preceding this application/proposal had one or more public transaction (Federal, State, or local) terminated for cause or default.

The undersigned shall require that the language of this certification be included in the award documents for all subawards at all levels (including subcontracts, subgrants, and contracts under grants, loans and cooperative agreements) and that all subgrantees shall certify and disclose accordingly.

(Organization)

(Name and Title of Authorized Representatives)

(Signature)

(Date)

APPENDIX D: GRANT AWARD AGREEMENT

**AGREEMENT BETWEEN
DEPARTMENT OF HOMELAND SECURITY
UNITED STATES COAST GUARD**

and

XXXXXX

3312FAN1202.00

TITLE OF GRANT

The United States of America (acting through the United States Coast Guard, and herein called the Coast Guard), pursuant to and for the purpose of carrying out 46 U.S.C. 13103(c), agrees to pay the Government's share of allowable costs incurred in accomplishing the project described in the project proposal (herein called the project) to the **XXXXXX** (herein called the recipient) subject to the following:

A. Purpose of Agreement. The purpose of this agreement is to provide assistance to the recipient in conducting national boating safety activities in the public interest.

B. Allocation. To assist the **XXXXXX**, in financing the project, the Government agrees to allocate to the recipient the sum of **\$XXXXX** which will be distributed as reflected in the Reporting and Payment Schedule. Approval of each payment is contingent upon (a) the recipient submitting all reports and complying fully with the Agreement; and (b) the Coast Guard determination that cash is being made available only in accordance with the project disbursement needs. The funds must be expended by **TBD**. The project completion date is **TBD**.

C. Program. The recipient agrees to undertake and complete the actions proposed in the project in accordance with the Assurances/Certifications of this Agreement.

D. Assurances/Certifications. The recipient hereby assures and certifies that it will

comply with the regulations, policies, guidelines and requirements, including 2 CFR Part 215 (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations), as they relate to the acceptance and use of Federal funds for this project. Also, the recipient assures and certifies to the Coast Guard that:

1. It will establish and maintain administrative and fiscal practices and policies that conform to generally accepted standards. The recipient will insure that the accounting system and related controls are operating effectively and that adequate records are being maintained, that allocated funds are being controlled and expended in accordance with this Agreement, and that receipt and expenditure of the funds can be audited without difficulty. The recipient is required to maintain all accounting records pertaining to subcontractors which are hired.
2. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
3. Acknowledges its agreement to comply with the Department of Homeland Security's Standard Terms and Conditions that were included as part of the State Recreational Boating Safety grant announcement.
4. It will adhere to all Coast Guard Grant Product Guidelines, and as applicable, Coast Guard Media and Film Guidelines for Boating Information.
5. It will ensure that the cost of the program includes only costs that are allowable under 2 CFR Part 230 (Cost Principles for Non-Profit Organizations). Standard government travel regulations will be used to determine reasonableness of any travel costs.
6. It will obtain prior approval on any transfer of funds for awards in which the Federal share of the project exceeds \$100,000 and/or the cumulative amount of such transfers exceeds or is expected to exceed 10 percent of the total budget as per 2 CFR Part 215 (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations).
7. It will make outlays of allocated Federal funds in general conformity with the proposed actions and estimated costs listed in the approved budget. It will ensure that time schedules are being met, projected work units by time periods are being accomplished, and other performance goals are being achieved. Substantial deviations from the proposed schedule of actions and costs must be approved by the Coast Guard to

qualify for payment.

8. It will retain program income earned during the project period. It will add this income to funds committed to the project and thereby further eligible program objectives. It will return any interest earned on grant funds in accordance with provisions of 49 CFR Part 19, Section 19.22 (k&l) as outlined in the Grant Application Package.

9. It will give the Coast Guard or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents relating to the assistance.

10. It will comply with all applicable Federal audit requirements in accordance with OMB Circular A-133 (Audits of Institutions of Higher Education and Other Non-Profit Institutions.).

11. It will furnish to the Coast Guard one copy of any audit report performed on recipient's account within 30 days of receipt of such report.

12. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) as amended, which stipulates that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the recipient receives Federal financial assistance, and will immediately take any measures necessary to effectuate this agreement. It will sign a certification to this effect.

13. It will comply with the Federal requirements for drug-free workplace certification as contained in 49 CFR Part 29, including: (1) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition; (2) Establishing a drug-free awareness program for its employees and/or agents; (3) Making it a requirement that each employee/agent engaged in the performance of the grant be given a copy of the awareness program; and (4) Taking appropriate follow-up action when violations occur.

14. It will comply with the Federal requirements for prohibition or disclosure of lobbying activities as contained in Section 319 of Public Law 101-121.

15. It is not debarred, suspended, or otherwise excluded from or ineligible for participation in Federal financial assistance programs or activities.

16. It will establish safeguards to prohibit employees from using their positions for a purpose that is, or gives, the appearance of being, motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.

17. It will act responsibly in matters of safety and shall take all reasonable safety measures in performing project activities, and comply with all applicable Federal, State and local laws and regulations governing safety, health and sanitation.

18. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of State and local governments.

19. It will furnish reports to the Coast Guard in accordance with the Reporting and Payment Schedule. The following reports will be required to be completed and submitted quarterly:

a. Federal Financial Report (Standard Form 425).

(1) The recipient shall prepare the Federal Financial Report on an accrual basis. If its accounting records are not normally kept on an accrual basis, the recipient shall develop such accrual information through best estimates based on an analysis of the documentation on hand. Submit a Federal Financial Report (SF-425) together with a narrative performance report describing the accomplishments of the boating safety project.

(2) The performance report shall list any nonexpendable personal property (personal property having a useful life of more than one year and an acquisition cost \$500 or more per unit) that was purchased in whole or in part with Federal funds.

b. Planning and progress reports.

(1) Recipient is required to submit a work plan delineating:

(a) When the various tasks are projected to be completed.

(b) When reviews should be conducted. If the grantee requests the Coast Guard Grant Technical Manager (GTM) to review materials prior to production, a minimum of two weeks should be scheduled for each review.

(c) A concise progress report will be submitted each quarter (at a minimum) outlining the tasks completed and the tasks remaining. The progress reports should convey the status of the project to the GTM and any changes to the schedule outlined in the plan.

(d) When on-site inspection or review is required. In some cases it may be considered appropriate or necessary to have a subject matter expert from the Coast Guard 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 GTM may plan and allocate resources as needed.

- (e) Grant recipients will need to be sure to submit reports at the conclusion of the project clearly specifying the accomplishments and any measures that are implemented to indicate the effectiveness of the project in achieving its objectives and our performance goals.

Alternate methods of reporting are acceptable upon the recipient's submission and the Coast Guard's acceptance of a request for such a method.

The final product of the grant shall:

- Include an **executive summary** of the work done to complete the grant 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.
- Include an **abstract** describing the grant product or products and their 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. This abstract should be no more than one page in length.
- Include **master copies or originals** of any printed, film, video or other media materials in a pre-agreed upon 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.
- Have an appropriate statement indicating that the project was done under a U.S. Coast Guard Grant (see USCG Grant Product Guidelines). Credits may include other organizations but may not be used as a recruiting or advertising mechanism.
- If applicable, contain final edits of media, artwork and film that adhere to the U.S. Coast Guard Guidelines for Media Information.
- Incorporate all technical changes identified in the review process with the GTM.

20. It will grant the Coast Guard (at no cost) a non-exclusive, irrevocable license to publish, duplicate, exhibit or otherwise dispose of reports, data, or other information developed by the grantee under this grant, including any copyrightable material.

21. It will submit any requests for amendments to the original Agreement in writing using the Amendment form approved by the Coast Guard.

REPORTING AND PAYMENT SCHEDULE

TBD

SPECIAL CONDITION(S) OF AWARD: **N/A**

In witness whereof, the recipient has caused this Agreement to be executed on its behalf, and thereafter the Government has caused it to be executed on its behalf. I understand and agree to the foregoing terms and conditions of this grant, and hereby certify my authority to execute this agreement.

RECIPIENT: XXXX

BY _____

Title _____

Date _____

UNITED STATES OF AMERICA

UNITED STATES COAST GUARD

BY _____

PAVLO OBORSKI,

Title Chief, Grants Management Branch

Date _____

APPENDIX E: SAMPLE BUDGET NARRATIVE

Must correspond with SF-424A, Section B

PROPOSED COST BUDGET

for the Period June 1, 2012 through May 30, 2013

6.a. **PERSONNEL**

Project Director (114 hours @ \$25/hr)	\$2,850
Project Secretary (533 hours @ \$15/hr)	\$7,995
Other Staff (315 @ \$12/hr)	<u>\$3,780</u>
Total	\$14,625

In addition to the project director and project secretary, other staff specialists are utilized on a per day basis to assist in accomplishing project tasks. This assistance is primarily in planning and developing senior partner executive involvement in the projects and training staff for new projects. Resumes of key members to be used are included in the proposal under "staff qualifications." Depending on the staff member, cost will range from \$140 to \$200 per day. Charges will be made at the actual salary rate of the individual performing the work.

6.b. **FRINGE BENEFITS**

(20% x \$14,625)	\$2,925
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Under the organization's administrative and accounting system, fringe personnel expense is an experience-rated charge based on actual expense.

FICA 7.15%

PROPOSED COST BUDGET CONTINUED

PAGE TWO

for the Period June 1, 2012 through May 30, 2013

Worker's Compensation .1%

Unemployment Insurance Tax 1.6%

Health and Life Insurance 6.25%

Retirement 4.0%

TOTAL Personnel (\$14,625) + Fringe Benefits (\$2,925) = \$17,550

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6.c. **TRAVEL**

Travel for Project Director and two staff members for the purpose of presentations to Partners' association staff, boards and members, assistance in establishing program operations, conduct of negotiations with local participating partners, staff training, and follow-up on established programs. It is estimated that nine trips will be required during the project year to the following cities:

- Chicago, IL
- San Diego, CA
- San Francisco, CA
- Boston, MA
- Miami, FL

All air transportation will be coach or economy fares. Since these fares vary widely depending on airline selected, time of travel, advance purchase, length of stay, etc., it is not possible to project exact fare to each city. However, based on experience, the following estimate is submitted:

Airfare: 9 trips @ \$350 each	\$3,150
Subsistence: 27 days @ \$80/day	\$2,160

Ground transportation & parking 9 @ 40/day	<u>\$360</u>
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TOTAL	\$5,670
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6.h. **OTHER**

Office supplies to be purchased for use by the project include: stationary, computer paper, filing materials, binders for presentations, note pads, audio tape, film, acetate for overhead project transparencies, pens, markers, calendars, appointment books, message pads, etc.

Materials and Supplies	\$200
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Printing and Duplicating	\$560
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Postage	\$100
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Telephone	\$200
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Local travel	<u>\$70</u>
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TOTAL	\$1,130
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PROPOSED COST BUDGET CONTINUED

PAGE THREE

for the Period June 1, 2011 through May 30, 2012

6.i. TOTAL DIRECT EXPENSE	\$24,350
6.j. INDIRECT CHARGE (see "Budget Considerations")	
<i>30% of Total Direct Expense</i>	<u>\$7,305</u>
6.k. TOTAL Direct and Indirect Expense	\$31,655
(Total Federal Share of this Budget)	
Cost Share (if applicable)	\$0
TOTAL Federal Share Plus Cost Share	<u>\$31,655</u>

Budget Considerations

All data and budget considerations provided in this three-page Proposed Cost Budget follow from the Budget Information Summary on SF-424, Section B. Budget line items or the object class categories of the kind shown in Budget Information, SF-424, Section B – Budget Categories are limiting with respect to such administration, but recognize an allowed tolerance of 10% with respect to each line item so long as total costs do not exceed the funds provided under the award related to the budget.

APPENDIX F: AUDITS

Grantee organizations receiving grant funds must comply with the Federal audit requirements contained in OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations.”

Compliance depends on the size of the grant award.

1. Recipients receiving less than \$25,000 a year from any Federal source are exempt from any Federal audit requirements, but records must be kept for review by the U.S. Coast Guard grant project manager.
2. Recipients receiving \$25,000 to \$500,000 a year from any Federal source will be responsible for having a project review completed for each U.S. Coast Guard grant project. The U.S. Coast Guard GTM shall perform the project review.
3. Recipients **expending** \$500,000 or more a year from any Federal source will have an audit conducted of all its annual activities, with the specific grant projects identified. A prorated cost of the audit covering that part dealing with USCG grant projects can be paid for with applicable grant funds, but only if the project narrative includes the cost of the audits as part of the grant application proposal.

In certain instances, a grantee can request waiver of these provisions. Waivers are rare, and will be considered only if:

1. the organization receives vendor-type grant awards;
2. less than 1% of the organization’s revenues are derived from Federal sources;
and;
3. the organization has adequate internal controls, including provisions for an internal annual audit by an independent commercial auditor.

The waiver request will be forwarded to the U.S. Coast Guard for review and approval. Please raise any questions regarding audit requirements prior to applying for funding.

APPENDIX G: COPYRIGHTS

Although not intended, earlier Federal copyright legislation essentially prohibited recipients from copyrighting anything done with grant funds. Public Law 94-553 "Copyright Law Revisions" revised earlier legislation, allowing the copyright of materials produced under a grant.

Recipients are usually given permission to copyright any materials developed under a grant, subject to the Government (i.e., the U.S. Coast Guard) being granted a paid up exclusive license to print, duplicate, or otherwise dispose of the materials itself. (Part 19 of the Assurances section of the grant agreement spells this out. See below.) Sometimes the grantee is not given copyright permission. Example: The grantee is doing some highly speculative research as an agent of the U.S. Coast Guard, and the U.S. Coast Guard wishes to evaluate the results before releasing the report.

Regarding this program, the grantee may copyright any materials developed under the grant, provided:

1. it is not specifically prohibited in the grant agreement;
2. the grantee provides any materials requested by the U.S. Coast Guard for the U.S. Coast Guard's own use; and
3. if the recipient wishes to sell the report or product developed with grant funds, it sells it on an "at cost" basis. (Essentially, the recipient cannot make a profit on the sale of the product.) This must be spelled out in the grant agreement with cost breakdowns and approved by the grant technical manager in writing with an amendment to the grant agreement.

Provision 19 of the Assurance section of the grant agreement:

"19. It will grant to the U.S. Coast Guard a non-exclusive, irrevocable license to publish, duplicate, exhibit or otherwise dispose of reports, data, or other information developed by the grantee under this grant, including any copyrightable material."

49 CFR Part 19 "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations", paragraph 19.36 "Intangible property" states:

"(a) The recipient may copyright any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. The Federal awarding agency reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so.

(b) Recipients are subject to applicable regulations governing patents and inventions, including government-wide regulations issued by the Department of

Commerce at 37 CFR Part 401, "Rights to Inventions Made by Non-Profit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements."

(c) Unless waived by the Federal awarding agency, the Federal Government has the right to the following:

- (1) Obtain, reproduce, publish or otherwise use the data first produced under an award.
- (2) Authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes.

(d) Title to intangible property and debt instruments acquired under an award or subaward vests upon acquisition in the recipient. The recipient shall use that property for the originally-authorized purposes, and the recipient shall not encumber the property without approval of the Federal awarding agency. When no longer needed for the originally authorized purposes, disposition of the intangible property shall occur in accordance with the provisions of paragraph 19.34(g)."