

**Department of Homeland Security (DHS)**  
**Funding Opportunity Announcement (FOA)**  
**National Non-Profit Organization Grant Program**

Overview Information

Issued By: **DHS-United States Coast Guard**

Catalog of Federal Domestic Assistance (CFDA) Number: **97.012**

CFDA Title: **Boating Safety Financial Assistance**

Funding Opportunity Announcement Title: **Boating Safety Data Collection and Analysis**

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

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

FOA Number: **DHS-USCG-2014-002**

Key Dates and Time

Application Start Date: **January 2014**

Application Submission Deadline Date: **3/14/2014 at 11:59:59 PM EDT**

Funding Selection Date: N/A

Award Date: **May 2014**

Other Key Dates: N/A

Application Submission Extension Permitted: **No**

Intergovernmental Review Required: **No**

**FOA Executive Summary**

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

Opportunity Category: **Mandatory/Competitive**

Application Process: DHS makes all funding opportunities available through the common electronic “storefront” Grants.Gov, accessible on the Internet at <http://www.Grants.Gov>. If you

experience difficulties accessing information or have any questions please call the Grants.Gov customer support hotline at (800) 518-4726.

Components/Directorates must ensure applicants and recipients use the appropriate OMB Standard Forms when applying for financial assistance. Application forms and instructions are available at Grants.Gov. To access these materials, go to <http://www.Grants.Gov>, select “Apply for Grants,” and then select “Download Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select “Download Application Package,” and then follow the prompts to download the application package. To download the instructions, go to “Download Application Package” and select “Instructions.”

Eligible Applicants: **Non-Profit Organizations (501(c) 3)**

(For additional information, see the *Eligibility Criteria* section of this FOA.)

Type of Funding Instrument: **Cooperative Agreement**

The substantial involvement of the Coast Guard in this cooperative agreement includes review and approval of all timelines; review of all deliverables before public release; and approval of all subcontracts and personnel funded.

Cost Share or Match: **N/A**

Maintenance of Effort: **N/A**

Management and Administration: **Management and administrative costs are allowable, subject to programmatic review. Indirect costs are allowable. Applicants claiming indirect costs must provide a copy of the Indirect Cost Negotiation Agreement covering the period of performance.**

## **FULL ANNOUNCEMENT**

### **I. Funding Opportunity Description**

Program Overview and Priorities: The purpose of the Boating Safety Data Collection and Analysis Grant Award is to conduct a 2015 National Recreational Boating Survey (NRBS) for the purpose of gathering information (e.g., boat registration data) to produce valid and reliable estimates of:

- (1) The numbers of different types and sizes of boats that are owned in the continental United States, Alaska, Hawaii, District of Columbia and Puerto Rico;
- (2) The number of boats that are used out on the water and the number of days and hours that they are used out on the water;

- (3) The number and characteristics of persons comprising the general population that go boating (i.e., go out on the water in a recreational boat);
- (4) The amount of recreational boating (e.g., total annual number of person-days of recreational boating, annual number of person-hours of recreational boating, number of days and hours different type and size boats are used when they are in use out on the water); and
- (5) The amount spent by boaters while on their boating trips and for annual upkeep (e.g., storage, maintenance).

The data collected and analyses conducted will provide the Coast Guard, State boating agencies, and boating organizations better information for program planning, implementing effectiveness measures, conducting education and outreach to the recreational boating community, and economic impact assessment. In turn, the efforts of these organizations will increase the usage of lifejacket wear; increase the awareness and usage of on water instruction; enhance awareness of safe boating operations; enhance recreational boating safety by reducing the number of accidents, injuries, and deaths on America's waterways; and provide a safe enjoyable experience for the boating public. It is anticipated that the final report for all data collected will occur by **August 2016**.

**Data collection and analysis will occur over multiple fiscal years. Although applicants will submit proposals covering the entire project period, the Coast Guard may grant awards to the successful applicant over multiple fiscal years based on funding availability.**

**A listing of selected terms for the National Recreational Boating Survey can be found in Appendix E.**

## **Background**

The Federal Boat Safety Act of 1971 establishes the mission and functions of the National Recreational Boating Safety (RBS) Program. The purpose of the Program is to reduce recreational boating casualties. As coordinator of the Program, the Coast Guard provides support for safety initiatives in every jurisdiction (States and Territories) by providing timely and relevant information on boating activities that occur in each respective jurisdiction.

The Coast Guard estimates that about 27% or 32.3 million of the estimated 118.1 million U.S. households had at least one member who boated, 59.1 million adults and 15.7 million children (under 16 years old) boated, and around 20% of all 118.1 million households owned a recreational boat in 2012 (2012 NRBS). All ages, cultures and backgrounds engage in recreational boating. There is also a great diversity in the kinds and styles of recreational boats owned by households and many changes in the types, sizes, and characteristics of recreational boats that have significant safety, access and facility supply implications. There are many different types of powerboats, from small boats that can get you into shallow waters, through pontoon boats, medium-sized fast boats, houseboats, and large motor yachts. There is a great

array of sailboats, from small sailboats that are fun and exciting, to sailboards and kiteboards, to medium-sized sailboats for those who enjoy the larger open bodies of water, to multi-masted cruising yachts. There are countless types of paddle craft, from traditional canoes to modern-age whitewater canoes, traditional kayaks to squirt boats, to sit-on-top kayaks, and now the rapid emergence of new varieties of paddleboards, including standup paddleboards.

The recreational boating system - access to boating waters (e.g., launch sites, navigation rules and signs, dredging); boating facilities (e.g., harbors, marinas, clubs); safety, rescue, and law enforcement; boat and boating equipment manufacturing and sales outlets; and repair and storage - was developed and is maintained by a combination of different public and private organizations. Boating is a vast industry - manufacturers, retailers, marinas, and service providers - and it's one that is producing economic and fiscal (e.g., tax revenues) impacts throughout the country.

To reduce further the number of boating casualties (deaths and injuries combined), the National RBS Program continues to work to develop a "safety culture" among boaters through outreach and education, regulation, and enforcement. Ideally, the primary goal is to eliminate deaths, injuries, and property damage that could be associated with recreational boating and to enhance the enjoyment of the boating experience. To execute the National RBS Program and garner more participation from States, the Coast Guard awards funds to eligible states that are approved to implement their own state-run recreational boating safety programs.

Decades ago, Congress directed the Coast Guard to conduct research in order to obtain valid data about boating activity and about which initiatives are effective in enhancing safety. The Coast Guard continuously strives to improve program efficiency and effectiveness by setting well-defined, results-based performance goals and objectives; developing targeted strategies in support of those objectives; and collecting valid and reliable information to assess performance. Organizations that are awarded grant funds are required to implement their own boating safety strategies, along with measures of their effectiveness. Such measures are critical to knowing what works and to determining future grant allocations.

The Coast Guard has conducted five national recreation boating surveys over the past 40 years. The most recent studies, conducted in 2011 and 2012, represent a significant effort to develop a new system of surveys (e.g., recreational boating participants, boating trips) and methods (e.g., survey instruments, sampling, weighting) that would produce reliable and valid measures of the effectiveness of the program elements of the National RBS Program's Strategic Plan. Data collected and information produced by the 2011 and 2012 NRBS include: how many people participate in boating, the number of boating days and hours they are on recreational boats while on the water, the boating activities they engage in, the numbers of different types and sizes of recreational boats that are owned by households in different states and regions of the country, how often and how much recreational boats are used, as well as profiles of annual spending on

boats (e.g., maintenance, storage) and spending on boating trips (e.g., fuel, food, boat launch fees, lodging), and much more.

Primary emphasis for the 2011, 2012 and 2015 NRBS was and continues to be on producing estimates of boaters' exposure hours - that is, the total number of hours boaters (e.g., kayakers, sailboaters) spend out on the water. Risk ratios for boating incidents (accidents and fatalities) are then calculated by dividing accident numbers by the exposure hours from the NRBS. These risk ratios will be used to evaluate safety programs and to track and analyze accident trends. The two different surveys gathered information at the following three distinct analysis levels (2011 and 2012 NRBS):

### **(1) Recreational boats (owners)**

The Boat Survey, which was conducted in the last quarter of 2011 and the beginning of 2012, collected information on the number, type(s) and size(s) of the boats that households owned; number, types and sizes of motors/engines; hull materials; characteristics of boat storage during the boating season and launch sites used (if any); and annual spending on boat maintenance, storage, etc. Approximately 32,570 households completed the boat owner survey either by mail (13,020), or telephone (19,550).

A mail version of the Boat Survey was administered to a sample of owners of registered and documented boats in 43 states, the District of Columbia and Puerto Rico that provided their boat registry information (i.e., the names and addresses of owners of the registered boats). Mail surveys were conducted between November 2011 and February 2012. The size and distribution of the selected sample was designed to meet the following objectives: (1) Overall boat number estimates with an error margin of  $\pm 1$  percent at the 95 percent confidence level; (2) Boat type estimates with an error margin of  $\pm 3$  percent at the 95 percent confidence level; (3) At least 200 registered boats per state, the District of Columbia and Puerto Rico; (4) Recruitment of a boat owner panel to collect data related to 2012 boating outings.

A special, Random Digit Dial (RDD) cell and landline telephone survey of general population was conducted in the last quarter of 2011 to collect data from boat-owning households in all 50 states, the District of Columbia, and Puerto Rico. During the telephone survey, upon reaching a household, an adult member provided a roster of the boats owned by the household. Boats were stratified based on boat type and size, and one boat was randomly selected per household for further profiling. Rare boat types (e.g., large sailboats and power boats) were sub-sampled at a higher rate than more common boat types.

At the end of the boat (owner) survey, respondents were asked if they would be willing to participate in a panel and be contacted two to four times in 2012 to provide information about trips taken on the pre-identified boat. The boat owners comprising the panel boats represented registered and unregistered boats in all 50 states, the District of Columbia, and Puerto Rico. The trip survey sample was broken into two sub-samples, which are the web sample and the

telephone sample. The web sample was comprised of panelists who opted into the panel by providing a valid e-mail address when completing the boat survey. The telephone sample was composed of panelists who opted into the panel by providing their telephone number (but not a valid e-mail address) when completing the boat survey. The panel sample was stratified into Northern and Southern groups based on the state of boat registration for registered boats, or the state of residency of the boat owner for unregistered boats.

## **(2) Recreational boating households and participants**

The Household and Participant Survey were conducted in the last quarter of 2011 and first quarter of 2013. It used a complex, stratified design to collect data about recreational boating participation in 52 jurisdictions, which included all 50 states, the District of Columbia, and Puerto Rico. Both landline (LL) and cell phone (CP) numbers were sampled. Within a selected household, basic demographic and participation data were collected for up to 10 household members. When available, one adult participant (age  $\geq 16$ ) and one child participant were randomly selected from among the eligible (i.e., boating) household members to provide detailed, person-level participation data. Approximately 17,000 surveys were conducted. The participant survey responses were weighted to make data representative of all U.S. households and the general population.

## **(3) Recreational boating trips**

A panel of boat owners, recruited from among persons who completed the boat survey, was surveyed a few times in 2013 concerning their boating trips during the previous month. Inquiring only about the last month was done to reduce recall bias that is a concern with recreational surveys that collect data about entire year's participation. Two data collection modes, the telephone and the Internet, were used to survey the panel.

To collect trip data more efficiently, and fully represent the boating season in those jurisdictions, panelists in southern states were sampled up to four times over 12 months, and panelists in northern states were sampled up to two times over six months (for trips taken from April through September). The sample of boats (both registered and unregistered) was allocated across states proportionally to the state's count of registered boats.

A total of 40,406 trip survey interviews were completed; 25,447 were conducted by telephone, while the remaining 14,959 were conducted via Internet. In order to facilitate the analysis of survey data, three sets of weights were computed. The boat weighting ensures that survey estimates will reflect all boats owned in the United States in 2012. The water-day weight ensures that the survey estimates reflect all days when the boat was taken out on the water, while the docked-day weight makes survey estimates reflect all days when the boat was docked.

A more detailed description of the procedures employed in these three surveys can be found in the technical report to be posted on the Boating Safety Division's website at the end of 2013.

## **Necessary Outputs**

The survey and supplemental information (if utilized) will result in the following 2015 estimates at both the state and national level (District of Columbia and Puerto Rico included in both). Most estimates must be produced for different type and size boat segments, in-season storage segments (e.g., marina, in-water at a second home) and for both registered and non-registered boats.

## **Expected survey outputs**

1. The Coast Guard is looking for State data (including Exposure, Participation and Boat Types) to be at 3-5% level of precision.
2. The Coast Guard will need a final product comparison with 2012 data (Method comparison-is the data different or is the collection Method different).
3. The number and percentage of persons in general population that go recreational boating. The Coast Guard will specify what constitutes “going recreational boating”. Boating persons include boat owners, borrowers and renters, and the companions aboard their boat out on the water.
4. The total annual number of person-days of recreational boating by boat type.
5. The total annual number of person-hours of recreational boating by boat type.
6. The (average) number of boating participants aboard (different type and size) boats on days when boats are in use out on the water (not at the dock).
7. The (average) number of days boats by type and size are used out on the water (not at the dock) (boat-days).
8. The (average) number of hours boats by type and size are used on days when they are in use out on the water (not at the dock) (boat-hours).
9. The number of boat-person hours (hours the boat is out on the water [not at the dock] multiplied by number of people aboard that boat).
10. Demographic profile of persons that go boating (e.g., age, race, marital/family status, income).
11. The average and total annual number of days that persons of various socio-economic segments (e.g., age) go recreational boating.
12. The number of days on boats that are:
  - owned by participant household,
  - owned by persons not residing in their households (e.g., borrowed from family or friends) and,
  - rented (to be operated by the renter).
13. The number and percentage of boats by type and size:
  - having different means of propulsion;
  - that use different fuel types;
  - the horsepower of motors/engines
14. The number and percentage of recreational boats by type and size that are used out on the water (not at the dock). The Coast Guard will define what specifically constitutes boat use out on the water.
15. The number and percentage of boats by type and size used on specific water bodies. The Coast Guard will decide on the list of the water bodies.

16. The number and percentage of boat-owning households by boat type and size;
  - the average number of boats owned per household;
17. The percentage and number of households that own:
  - = only registered boats,
  - = only non-registered boats and
  - = both registered and non-registered boats; and
  - the percentage and number of households owning various combination of different types of boats (e.g., canoes, kayaks, sailboats, inboards, sterndrives (i/o), outboards, personal watercraft, rowboats, rafts, and other).
18. The number and percentage of household-owned recreational boats by type, size and the registration status (e.g., registered, non-registered). The Coast Guard will identify/ define the types of boats and the size categories of interest/ concern.
19. State of residence of boat-owning households, and
  - state of boat registration (if registered), or
  - state of boat storage for most of the year (if unregistered)
  - the percentage of boats registered/ kept in states other than the states of owners' residence.
20. Statistics by boat type and size.
21. Activities while boating (per boat type, size)
22. Recommended (but not required by regulation) safety equipment aboard boats in use out on the water; boats by type and size.
23. The number and percentage of boats by type and size used in states other than the state where they are registered or primarily kept.
24. Where boats are stored/ kept (e.g., in water at a marina, on trailer at permanent home) during the boating season; by boat type and size. The Coast Guard will provide the storage types of interest/concern.
25. The number and percentage of boats by type and size that are trailered or transported for the purposes of launching them. The number of times they are trailered/ transported and type(s) (e.g., state agency provided, U.S. A.C.O.E., NOAA, of launch sites used).
26. The number and percentage of day and overnight boating trips, and the average number of days/nights on overnight trips. A boating trip means a trip taken by boating person(s) (boat owner[s], borrower[s] and renter[s]).
27. The amount spent per boat day for both day and overnight boating trips (e.g., boat fuel, car/truck fuel, lodging, groceries, restaurant meals, launch fees). The Recreation Marine Research Center (RMRC) at Michigan State University will provide the questions to gather this information and they will conduct the analyses.
28. The amount spent annually on the upkeep, maintenance and storage of boats (by type, size and storage segment). The Coast Guard will recommend the cost/ spending categories (e.g., storage, insurance, accessories). The RMRC at Michigan State University will provide the questions to gather this information and they will conduct the analyses.

### **Requirements to be met by Grantees and their Sub-Contractors**

1. The grant recipient will evaluate different survey methods (telephone, mail, web, panel) and survey instruments used in the 2011 and 2012 National Recreational Boating



Surveys, as well as sampling, weighting, non-response bias correction methods, and recommend/ propose:

- which survey method or combination of methods (e.g., mail, telephone, web, panel) will provide valid and reliable requisite estimates in the most efficient manner (e.g., considering time, cost);
- sampling method (random selection, systematic sampling, stratified sampling) and required sample size(s);
- wording of revised survey questions;
- methods for minimizing and correcting for survey biases (e.g., non-response biases);
- statistical procedures for expanding the survey results (e.g., using survey data to produce overall estimates;
- verification of various estimates (e.g., number of non-registered boats).

2. The grantee will submit a detailed proposal of executing the project to the Coast Guard who will pass it to the Technical Advisory Committee (TAC) for their evaluation and recommendations. The proposed methods should adhere to the OMB's Standards and Guidelines for Statistical Surveys.
3. The grantee must appropriately assess, identify, and adjust for possible biases, including non-response biases, and present the description of the process to the Coast Guard as part of the proposal of methods. The results of the bias assessments and corrections will be made available to the Coast Guard prior to producing the final results.
4. The grantee will establish and describe procedures and mechanisms to ensure the protection/confidentiality of all survey data during the collection, use, storage, transmittal, and disposition of the survey data in any format (e.g., completed mail survey forms, electronic files, and printouts).
5. Prior to completion of the data collection, the grantee will submit a description of the methods that will be employed to check and clean the survey data (e.g., responses that fall outside a reasonable range, omission and duplication of records cases) for Coast Guard review. The data must be edited (in copied versions of variables with questionable responses) to mitigate or correct detectable errors. The grantee will then implement an approved procedure for cleaning the survey data prior to running the ultimate analyses on cleaned variables.
6. Before data collection is complete, the grantee must submit its final plan for conducting analyses of survey data. This will include the statistical methods that will be employed to produce the information required by the Coast Guard.
7. The grant recipient will employ web-based project management software and make it possible for the Coast Guard to access it using a web browser. The project management software must have the capacity to show and describe all research tasks including: responsible parties, scheduled start date, prescribed completion date, and weekly progress reports (See # 8). It must also provide the ability for the grantee and contractors to post and provide reports and results (e.g., sampling scheme, numbers of completed surveys). The Coast Guard must have the ability to post questions and comments.
8. The grant recipient will provide weekly updates on key performance criteria verifying progress in accordance with a pre-established time-line (e.g., draft surveys, sampling method, demonstration database, number of completed surveys to date, analyses and data checks performed) scheduled to be completed. These criteria will be established with the involvement and approval of the Coast Guard.

9. The grant recipient will provide both a raw and a cleaned data set in SPSS, SAS and Excel format along with a data dictionary (syntax) that describes all variable names and value labels (when applicable), and the syntax employed to check and clean the data and conduct different analyses. A preliminary/ test version of the database containing actual survey data, data dictionary and the proposed clean-up syntaxes will be provided to the Coast Guard prior to completion of data collection.
10. The grantee will deliver a computer file of final survey report including: the text describing methods and the findings as well as all supporting analytics (e.g., tables, graphs/charts) within 6 months from the end of survey data collection. The Coast Guard will provide formatting requirements for the file.
11. The grantee will provide a comprehensive report of the survey methods as well as an evaluation of the survey's performance (e.g., response rates, completion rate, percent of questions answered) that meets OMB requirements. This must include an evaluation of the quality of the data to guide future improvement efforts. Response rates (both weighted and unweighted) must be computed using standard formulas to measure the proportion of the eligible sample that is represented by the respondents.

**Applications for the National Non-Profit Organization Grant Program will be accepted under FOA # DHS-USCG-2014-001.**

## II. Funding Information

Estimated Available Funding (under the National Non-Profit Organization Grant Program and the Boating Safety Data Collection and Analysis Grant): **Up to \$5,100,000 (Combined with FOA# DHS-USCG-2014-001 and DHS-USCG-2014-002).**

Number of Awards: **One (1)**

Projected Award Start Date(s): **05/01/2014**

Projected Award End Date(s): **09/30/2015**

Period of Performance: **05/01/2014 through 09/30/2015**

Is an extension to the period of performance permitted? **Yes. Recipients must request an extension in writing 30 days prior to grant award end date.**

Additional Funding Information: **This program is funded by the Sport Fish Restoration and Boating Trust Fund.**

## III. Eligibility Criteria

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

In order to apply for a grant, an organization must be eligible for funding. Title 46 United States Code, section 13103(c) authorizes Federal financial assistance for "support of national boating

safety activities of national non-profit public service organizations." The Coast Guard has developed the following test for eligibility, based on Federal law and regulations, legal rulings and interpretations, and guidance from other Federal agencies.

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

1. 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). Contracts or subcontracts to profit-making or taxable organizations are allowed. However, these activities must be explicitly spelled out in the grant project narrative, and be limited to administrative, clerical, or technical functions.
3. It must be primarily in existence to provide "public service" and serve the general public. Fraternal, lobbying or religious organizations are not eligible.

Subcontracts to profit-making businesses, colleges or universities are allowed. However, the grant recipient 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.

### **Technical Capability of Applicants**

Applicants are expected to provide sufficient related experience of comparable scope for themselves and any contractors that perform research tasks that clearly demonstrates their capability to perform all the requirements of this survey, with available and experienced personnel. Applicants shall demonstrate their ability to complete a nationwide statistical survey for the Federal Government that will met the standards of quality required by the Office of Management and Budget (OMB). Applicants shall demonstrate their ability to use state-of-the-art data collection techniques as well as advanced statistical techniques in the areas of sampling, weighting and variance estimation.

OMB has established standards and guidelines that document the professional principles and practices Federal agencies are required to adhere to including the level of quality and effort expected in all statistical activities. OMB standards and guidelines for statistical surveys can be downloaded using the following web links:

[http://www.whitehouse.gov/omb/inforeg/pmc\\_survey2006.pdf](http://www.whitehouse.gov/omb/inforeg/pmc_survey2006.pdf)

[http://www.whitehouse.gov/omb/inforeg.statpolicy/standards\\_stat\\_surveys.pdf](http://www.whitehouse.gov/omb/inforeg.statpolicy/standards_stat_surveys.pdf)

The two previous NRBS surveys collected boating data using the telephone, the mail and the Internet. The telephone component of the surveys required the Computer Assisted Telephone Interview (CATI) approach and boaters are selected by the list-assisted RDD method. The successful applicant will require CATI personnel as well as a technical staff capable of implementing the RDD sampling method. The CATI personnel and staff will also “weigh” the survey design characteristics in order to produce reliable national and state level estimates. The use of a modern survey call center will be necessary to successfully complete this survey.

Applicants shall provide proof of their ability to perform thorough non-response analyses and reporting in accordance with the guidelines provided by the American Association for Public Opinion Research (AAPOR) (<http://www.aapor.org/bestpractices?s=quality#best8>). AAPOR has established standards for the statistical community that OMB requires for Federal statistical surveys (see OMB document links above).

Applicants may download past survey questionnaires for review from the following URL: [http://www.reginfo.gov/public/do/PRAICList?ref\\_nbr=201103-1625-003](http://www.reginfo.gov/public/do/PRAICList?ref_nbr=201103-1625-003).

Due to differing State policies about boat operation as well as the unique waterways in each State where boating takes place, reporting individual State-level estimates of boating activity and operation rather than grouping similar States is required so that safety advocates can better address the diverse needs of boaters in each respective State. Thus, a primary objective of the information collection effort is to capture sufficient data for each State in order to yield precise State-level estimates of boat use, operator age, boating safety instruction levels, and safety measures taken; this information is critical to State program direction and policy development.

Applicants are expected to have the capability to exploit the three core sources of sample for the NRBS, which include (1) a RDD list of landline telephone numbers, (2) a list of mobile telephone numbers, and (3) the State vessel registry. A generated RDD list of landline telephone numbers will be the basis for obtaining information regarding participants, including boat ownership, exposure to boating activities on rented vessels, safety awareness, behaviors, and demographics. Recognizing the impact of mobile phone adoption on telephone survey coverage, lists of mobile telephone numbers will be purchased for a complementary telephone effort which is critical for ensuring representation of key demographic groups. State vessel registry lists are available for most States, making it possible to sample boats for a mail study to determine the economic impact of boating as well as gather boat statistics. A commercial vendor generally provides these lists after obtaining the necessary authorization from States. For boats which would not be listed in a purchased list, this data will be obtained during telephone interviews with boat owners.

## EXCLUSIONS

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

#### IV. Restrictions on Use of Award Funds

All expenditures under this program must be for activities for the Boating Safety Data Collection and Analysis grant award.

#### V. Application Review Information and Selection Process

The applications are first reviewed for eligibility and completeness. The project cost portions of the proposals are reviewed ensuring that they meet Federal requirements. Applications are then subjected to a merit review performed by Subject Matter Experts. Subject Matter Experts review each application for technical merit, personnel qualifications, and the degree to which a proposal offers potential value and measurements to Program goals as stated and described in the Proposal Rating Criteria section below. The Non-Profit Organization Grants Coordinator prepares the top-ranked grant award recommendations for review and approval to the Director of Prevention Policy that has final approving authority.

#### APPLICATION RATING CRITERIA

The Coast Guard has funded a wide variety of projects related to boating safety, ranging from highly technical engineering studies to the development of public service announcements. For the Boating Safety Data Collection and Grant Analysis awards, applications will be evaluated using the following generic criteria are used during evaluations:

1. Feasibility (probability of project success). An estimate of overall likelihood of achieving the stated project goals. This includes, but is not limited to 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.
2. Impact/cost (its cost effectiveness). Costs associated with the grantees proposal will be reviewed to determine costs are deemed reasonable.
3. Past experience. Applicants shall provide proof of their ability (within the past three years) to successfully conduct a national survey of this magnitude and complexity and reporting in accordance with the guidelines provided by the AAPOR.

#### VI. Post-Selection and Pre-Award Guidelines

Award Notices: Award notices will be issued prior to May 31<sup>st</sup>.

Administrative and Financial Requirements: Quarterly Federal Financial Reports (SF-425) are required. They are due within 30 days after the end of each quarter with a final report due within 90 days after the end of the federal fiscal year.

Programmatic Reporting Requirements: Annual Performance Reports (narrative) are due within 30 days after the end of each quarter.

**Additional Information: If funded, grant recipients will be required to travel to Coast Guard Headquarters for two mandatory meetings in the Spring/Summer 2014.**

## **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 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 June 30, 2014. After the agreements are signed, each grant project is assigned a Grant Technical Manager. That individual remains as the grant recipient's primary point of contact during the life of the project, and should:

1. Provide technical assistance as required;
2. Review and approve grant recipient'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 grant recipient and any other Coast Guard staff elements the grant recipient's may be required to deal with (Coast Guard financial management personnel, for example).

## **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 a timely SF-425 can result in funds being withheld.

### Automated Standard Application for Payments

ASAP is a system through which national non-profit organizations receiving Federal funds can draw payments preauthorized by the Coast Guard through the U.S. Treasury. ASAP.gov is an Internet payment and information system developed jointly by the Financial Management Services (FMS) and the Federal Reserve Bank of Richmond.

Grant recipients 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, refer to the following sites:

<http://www.asap.gov>

<http://www.fms.treas.gov/asap>

<http://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 shall be kept for audit purposes.

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

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

### **PLANNING AND PROGRESS REPORTING**

After the grant award, and to allow for sufficient time for review of each project, recipients are to submit a work plan delineating:

1. All research tasks with a time-line including start and completion dates.
2. The techniques and systems it will employ to assure quality (e.g., integrity, reliability, validity) of the methods employed to conduct the research, the data that is collected, and all analyses that are performed.
3. When products (e.g., research methodology, survey instruments, databases) will be made available for review.
4. Scheduled reviews to be completed by the USCG and by when they should be conducted.
5. A weekly progress report outlining the tasks completed and progress on tasks remaining. The progress reports should convey the status of the project to the Coast Guard including implications of tasks that are delayed, measures that will be employed to restore the timeline, and any proposed changes to tasks or the project timeline. This report should be posted and made accessible using the project management software.
6. 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 review methods or accomplishments, for example, or to otherwise meet with the project team. This should be noted in the plan submitted so the Coast Guard may plan and allocate resources as needed.
7. 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.
8. 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**

The final product of the grant shall be made up of the following:

1. 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.
2. An abstract describing the grant 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.
3. Both a raw and a cleaned data set in SPSS, SAS and Excel formats along with a data dictionary (syntax) that describes all variable names and value labels (when applicable), and the syntax employed to check and clean the data and conduct different analyses.
4. A computer file of final survey report including: the text describing methods and the findings as well as all supporting analytics (e.g., tables, graphs/charts) within 6 months from the end of survey data collection.
5. A comprehensive report of the survey methods as well as an evaluation of the survey's performance (e.g., response rates, completion rate, percent of questions answered) that



meets OMB requirements. This must include an evaluation of the quality of the data to guide future improvement efforts. Response rates (both weighted and unweighted) must be computed using standard formulas to measure the proportion of the eligible sample that is represented by the respondents.

6. 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.
7. If applicable, contain final edits of media, artwork and film that adhere to the Coast Guard Guidelines for Media Information.
8. Incorporate all technical changes identified in the review process with the GTM.
9. Incorporate all technical changes identified in the review process with the GTM.

## VII. DHS Contact and Resource Information

**Applicants are STRONGLY encouraged to contact the Coast Guard before the submission of their grant application.**

For programmatic related questions or questions regarding applying for this announcement, please contact the Grant Technical Manager:

Donald Kerlin, Grant Technical Manager: Tel. (202) 372-1054  
E-Mail: [Donald.J.Kerlin@uscg.mil](mailto:Donald.J.Kerlin@uscg.mil)

For all fiscal related questions please contact the Non Profit Grants Coordinator:

Carlin Hertz, Non Profit Organization Grants Coordinator: Tel. (202) 372-1060  
E-Mail: [Carlin.R.Hertz@uscg.mil](mailto:Carlin.R.Hertz@uscg.mil)

## VIII. Other Critical Information

For information on Coast Guard Grant Product Guidelines and Copyright, please visit [http://www.uscgboating.org/grants/nonprofit\\_grants.aspx](http://www.uscgboating.org/grants/nonprofit_grants.aspx)

## **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." The awarded applicant will have an audit conducted of all its annual activities, with the specific grant projects identified. The cost of the audit 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.

## IX. Application Instructions

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

Components/Directorates must ensure applicants and recipients use the appropriate OMB Standard Forms when applying for financial assistance. Application forms and instructions are available at Grants.Gov. To access these materials, go to <http://www.Grants.Gov>, select “Apply for Grants,” and then select “Download Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this announcement. Select “Download Application Package,” and then follow the prompts to download the application package. To download the instructions, go to “Download Application Package” and select “Instructions.”

Applications received after the **March 14, 2014** deadline will **NOT** be considered for funding. Application packages that are not properly completed may not be accepted. Please note that one completed application must be submitted in order to be considered for funding. The checklist must be completed and attached to your grant application package (see Appendix 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. If you experience difficulties accessing information or have any questions please call the Grants.Gov customer support hotline at (800) 518-4726.

## **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. Description of the organization. The narrative must also 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. The organization must also substantiate its capability and capacity to manage a complex national research project.
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. The study should produce a measure of boating exposure that is reliable at both national and state levels and measure incidence of participation, rate of boat ownership, types of boats owned, boat usage rates, boating safety awareness and behavior, economic impact of recreational boating, incidence of negative events and risk, and general boating statistics.
5. A schedule of monthly tasks/accomplishments. Accomplishments should be quantified to the extent feasible, and listed in chronological order.
6. A work plan that describes how the organization will manage the project (e.g., quality assurance, time line fulfillment)
7. A description of the expertise and related experience(s) of all contractors that will be engaged in the research.
8. Resumes of the principal participants (including the organization and primary contractors) in the proposed research project that are relevant to their assigned roles (e.g., sampling, statistical analyses). Short one-paragraph bios are not acceptable).
9. 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.
10. Name of any government agency that now audits the organization on a regular basis and date of last audit, if applicable.
11. A bibliography, i.e., any citations to any literature pertinent to the project or referenced in the application package.

## **BUDGET NARRATIVE**

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

1. Direct Costs
  - a. Personnel - Identify salaries and wages of the personnel associated with the project. Include both principal project participants and support staff. Specify what type of appointment the individuals are under (full-time or part-time), and amount or percentage of time that will be devoted to the project
  - b. Fringe benefits - contributions to employee benefits (i.e. social security, pension funds, etc.)
  - c. Travel - Delineate proposed travel and associated costs. Specify whether foreign or domestic, mode of transportation, and class of travel. Identify number of trips, places to be visited, the purpose, anticipated dates of travel, number of travelers, etc. Please itemize these costs with justifications.
  - d. Equipment - List any equipment required for project and indicate whether it will be purchased or leased.
  - e. Supplies - List materials and supplies as separate line item in budget.

- f. Contractual - Identify consultant services, subcontracts, and identify subcontractor (if known) and service or product to be provided.
- g. Construction – Non-applicable for non-profit organization grants
- h. Other - Estimate any publication, distributions or other extraordinary expenses.
- i. Indirect charges - 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.

## **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 by the executive director that you meet these criteria.
- Non-Profit organization grant recipients will be required to submit a travel policy outlining the most cost effective way grant funds are utilized when traveling. This includes the selection of air travel, rental cars, lodging, meals, etc.
- A list of the Non-Profit Organization's Board of Directors outlining duties, responsibilities, etc will also be required.

## **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 Coast Guard may withhold the indirect cost rate portion of the grant until an agreement is finalized.

## **IX. Application and Submission Information**

Application Process: Applications must be submitted via Grants.Gov. Eligible applicants are encouraged to contact the 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)
- Resumes of principal participants (if applicable)
- Reporting Schedule
- Signed Certifications and Assurances
  - Form ED-80-0013 Certifications Regarding Debarment, Suspension, and Other Responsibility Matters; Drug-Free Workplace Requirements and Lobbying
  - SF-424B Assurances – Non Construction Programs
- 501 (c) (3) letter regarding non-profit status
- Acknowledgement of a federally approved accounting system
- List of Board of Directors
- Travel Policy

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# APPENDICES

## APPENDIX A: APPLICATION CHECKLIST

APPLICANT NAME \_\_\_\_\_

PROPOSAL TITLE \_\_\_\_\_

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:

- Application for Federal Assistance (SF-424) ☐
- SF-424A Budget Information ☐
- Narrative: Proposed Project, Objectives, Methods, Expected Results and Benefits ☐
- Detailed Budget Narrative (corresponding to SF-424A) ☐
- Reporting Schedule ☐
- Resumes of principal participants (if applicable) ☐
- **Signed Certifications and Assurances**
  - Form ED-80-0013 Certifications Regarding Debarment, Suspension, and Other Responsibility Matters; Drug-Free Workplace Requirements and Lobbying ☐
  - SF-424B Assurances – Non Construction Programs ☐
- 501 (c) (3) letter regarding non-profit status ☐
- Federally approved accounting system ☐
- List of Board Directors ☐
- Travel Policy ☐

## **APPENDIX B: PROGRAMMATIC TERMS AND CONDITIONS**

### **UNITED STATES COAST GUARD AWARD TERMS AND CONDITIONS**

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 National Non-Profit Organization 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. For more information please refer to following link [http://www.uscgboating.org/grants/nonprofit\\_grants.aspx](http://www.uscgboating.org/grants/nonprofit_grants.aspx)
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 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 Coast Guard 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 Coast Guard 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 Coast Guard Grant (see Coast Guard 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 Coast Guard Guidelines for Media Information.
- Incorporate all technical changes identified in the review process with the Grant Technical Manager.

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.

## APPENDIX C: DHS AWARD TERMS AND CONDITIONS

### Assurances, Administrative Requirements and Cost Principles

a. Recipients of DHS federal financial assistance must complete OMB Standard Form 424B Assurances – Non-Construction Programs. Certain assurances in this document may not be applicable to your program, and the awarding agency may require applicants to certify additional assurances. Please contact the program awarding office if you have any questions.

The administrative requirements that apply to DHS award recipients originate from two sources:

- Office of Management and Budget (OMB) Circular A-102, *Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments* (also known as the “A-102 Common Rule”). These A-102 requirements are also located within DHS regulations at Title 44, Code of Federal Regulations (CFR) Part 13.
- OMB Circular A-110, *Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations*, relocated to 2 CFR Part 215.

b. The cost principles that apply to DHS award recipients through a grant or cooperative agreement originate from one of the following sources:

- OMB Circular A-21, *Cost Principles for Educational Institutions*, relocated to 2 CFR Part 220.
- OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments*, relocated to 2 CFR Part 225.
- OMB Circular A-122, *Cost Principles for Non-Profit Organizations*, relocated to 2 CFR Part 230.

The audit requirements for State, Local and Tribal recipients of DHS awards originate from:

- OMB Circular A-133, *Audits of States, Local Governments and Non-Profit Organizations*.

### II. Acknowledgement of Federal Funding from DHS

All recipients must acknowledge their use of federal funding when issuing statements, press releases, requests for proposals, bid invitations, and other

documents describing projects or programs funded in whole or in part with Federal funds.

### **III. Activities Conducted Abroad**

All recipients must ensure that project activities carried on outside the United States are coordinated as necessary with appropriate government authorities and that appropriate licenses, permits, or approvals are obtained.

### **IV. Age Discrimination Act of 1975**

All recipients must comply with the requirements of the *Age Discrimination Act of 1975* (42 U.S.C. § 6101 *et seq.*), which prohibits discrimination on the basis of age in any program or activity receiving Federal financial assistance.

### **V. Americans with Disabilities Act of 1990**

All recipients must comply with the requirements of Titles I, II, and III of the *Americans with Disabilities Act*, which prohibits recipients from discriminating on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§ 12101–12213).

### **VI. Best Practices for Collection and Use of Personally Identifiable Information (PII)**

All recipients who collect PII are required to have a publically-available privacy policy that describes what PII they collect, how they use the PII, whether they share PII with third parties, and how individuals may have their PII corrected where appropriate.

Award recipients may also find as a useful resource the DHS *Privacy Impact Assessments*: [http://www.dhs.gov/xlibrary/assets/privacy/privacy\\_pia\\_guidance\\_june2010.pdf](http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_guidance_june2010.pdf) and [http://www.dhs.gov/xlibrary/assets/privacy/privacy\\_pia\\_template.pdf](http://www.dhs.gov/xlibrary/assets/privacy/privacy_pia_template.pdf), respectively.

### **VII. Title VI of the Civil Rights Act of 1964**

All recipients must comply with the requirements of Title VI of the *Civil Rights Act of 1964* (42 U.S.C. § 2000d *et seq.*), codified at 6 CFR Part 21 and 44 CFR Part 7, which provides that no person in the United States will, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.

## **VIII. Civil Rights Act of 1968**

All recipients must comply with Title VIII of the Civil Rights Act of 1968, which prohibits recipients from discriminating in the sale, rental, financing, and advertising of dwellings, or in the provision of services in connection therewith, on the basis of race, color, national origin, religion, disability, familial status, and sex (42 U.S.C. § 3601 *et seq.*), as implemented by the Department of Housing and Urban Development at 24 CFR Part 100. The prohibition on disability discrimination includes the requirement that new multifamily housing with four or more dwelling units—i.e., the public and common use areas and individual apartment units (all units in buildings with elevators and ground-floor units in buildings without elevators)—be designed and constructed with certain accessible features (see 24 CFR § 100.201).

## **IX. Copyright**

All recipients must affix the applicable copyright notices of 17 U.S.C. § 401 or 402 and an acknowledgement of Government sponsorship (including award number) to any work first produced under Federal financial assistance awards, unless the work includes any information that is otherwise controlled by the Government (e.g., classified information or other information subject to national security or export control laws or regulations).

## **X. Debarment and Suspension**

All recipients must comply with Executive Orders 12549 and 12689, which provide protection against waste, fraud and abuse by debarring or suspending those persons deemed irresponsible in their dealings with the Federal government.

## **XI. Drug-Free Workplace Regulations**

All recipients must comply with the *Drug-Free Workplace Act of 1988* (412 U.S.C. § 701 *et seq.*), which requires that all organizations receiving grants from any Federal agency agree to maintain a drug-free workplace. These regulations are codified at 2 CFR 3001.

## **XII. Duplication of Benefits**

State, Local and Tribal Recipients must comply with 2 CFR Part §225, Appendix A, paragraph (C)(3)(c), which provides that any cost allocable to a particular Federal award or cost objective under the principles provided for in this authority may not be charged to other Federal awards to overcome fund deficiencies.

### **XIII. False Claims Act and Program Fraud Civil Remedies**

All recipients must comply with the requirements of 31 U.S.C. § 3729 which set forth that no recipient of federal payments shall submit a false claim for payment. See also 38 U.S.C. § 3801-3812 which details the administrative remedies for false claims and statements made.

### **XIV. Federal Debt Status**

All recipients are required to be non-delinquent in their repayment of any Federal debt. Examples of relevant debt include delinquent payroll and other taxes, audit disallowances, and benefit overpayments. See OMB Circular A-129 and form SF-424B, item number 17 for additional information and guidance.

### **XV. Fly America Act of 1974**

All recipients must comply with Preference for U.S. Flag Air Carriers: (air carriers holding certificates under 49 U.S.C. § 41102) for international air transportation of people and property to the extent that such service is available, in accordance with the *International Air Transportation Fair Competitive Practices Act of 1974* (49 U.S.C. § 40118) and the interpretative guidelines issued by the Comptroller General of the United States in the March 31, 1981, amendment to Comptroller General Decision B138942.

### **XVI. Hotel and Motel Fire Safety Act of 1990**

In accordance with Section 6 of the *Hotel and Motel Fire Safety Act of 1990*, 15 U.S.C. §2225(a), all recipients must ensure that all conference, meeting, convention, or training space funded in whole or in part with Federal funds complies with the fire prevention and control guidelines of the *Federal Fire Prevention and Control Act of 1974*, 15 U.S.C. §2225.

### **XVII. Limited English Proficiency (*Civil Rights Act of 1964, Title VI*)**

All recipients must comply with the *Title VI of the Civil Rights Act of 1964* (Title VI) prohibition against discrimination on the basis of national origin, which requires that recipients of federal financial assistance take reasonable steps to provide meaningful access to persons with limited English proficiency (LEP) to their programs and services. Providing meaningful access for persons with LEP may entail providing language assistance services, including oral interpretation and written translation. In order to facilitate compliance with Title VI, recipients are encouraged to consider the need for language services for LEP persons served or encountered in developing program budgets. Executive Order 13166,

*Improving Access to Services for Persons with Limited English Proficiency* (August 11, 2000), requires federal agencies to issue guidance to recipients, assisting such organizations and entities in understanding their language access obligations. DHS published the required recipient guidance in April 2011, *DHS Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons*, 76 Fed. Reg. 21755-21768, (April 18, 2011). The Guidance provides helpful information such as how a recipient can determine the extent of its obligation to provide language services; selecting language services; and elements of an effective plan on language assistance for LEP persons. For additional assistance and information regarding language access obligations, please refer to the DHS Recipient Guidance <https://www.dhs.gov/guidance-published-help-department-supported-organizations-provide-meaningful-access-people-limited> and additional resources on <http://www.lep.gov>.

#### **XVIII. Lobbying Prohibitions**

All recipients must comply with 31 U.S.C. § 1352, which provides that none of the funds provided under an award may be expended by the recipient to pay any person to influence, or attempt to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any Federal action concerning the award or renewal.

#### **XIX. Non-supplanting Requirement**

Recipients who receive awards made under programs that prohibit supplanting by law must ensure that Federal funds do not replace (supplant) funds that have been budgeted for the same purpose through non-Federal sources. Where federal statutes for a particular program prohibits supplanting, applicants or recipients may be required to demonstrate and document that a reduction in non-Federal resources occurred for reasons other than the receipt of expected receipt of Federal funds.

#### **XX. SAFECOM**

Recipients who receive awards made under programs that provide emergency communication equipment and its related activities must comply with the SAFECOM Guidance for Emergency Communication Grants, including provisions on technical standards that ensure and enhance interoperable communications.



## **XXI. Title IX of the Education Amendments of 1975 (Equal Opportunity in Education Act)**

All recipients must comply with the requirements of Title IX of the Education Amendments of 1972 (20 U.S.C. § 1681 *et seq.*), which provides that no person in the United States will, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any educational program or activity receiving Federal financial assistance. These regulations are codified at 6 CFR Part 17 and 44 CFR Part 19

## **XXII. Trafficking Victims Protection Act of 2000**

All recipients must comply with the requirements of the government-wide award term which implements Section 106(g) of the *Trafficking Victims Protection Act (TVPA) of 2000*, as amended (22 U.S.C. § 7104), located at 2 CFR Part 175. This is implemented in accordance with OMB Interim Final Guidance, *Federal Register*, Volume 72, No. 218, November 13, 2007.

In accordance with the statutory requirement, each agency award under which funding is provided to a private entity, Section 106(g) of the TVPA, as amended, requires the agency to include a condition that authorizes the agency to terminate the award, without penalty, if the recipient or a subrecipient —

- (a) Engages in severe forms of trafficking in persons during the period of time that the award is in effect;
- (b) Procures a commercial sex act during the period of time that the award is in effect; or
- (c) Uses forced labor in the performance of the award or subawards under the award.

Full text of the award term is provided at 2 CFR § 175.15.

## **XXIII. Rehabilitation Act of 1973**

All recipients of must comply with the requirements of Section 504 of the *Rehabilitation Act of 1973*, 29 U.S.C. § 794, as amended, which provides that no otherwise qualified handicapped individual in the United States will, solely by reason of the handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. These requirements pertain to the provision of benefits or services as well as to employment.

#### **XXIV. USA Patriot Act of 2001**

All recipients must comply with the requirements of the *Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act* (USA PATRIOT Act), which amends 18 U.S.C. §§ 175–175c. Among other things, the USA PATRIOT Act prescribes criminal penalties for possession of any biological agent, toxin, or delivery system of a type or in a quantity that is not reasonably justified by a prophylactic, protective, bona fide research, or other peaceful purpose.

#### **XXV. Use of DHS Seal, Logo and Flags**

All recipients must obtain DHS's approval prior to using the DHS seal(s), logos, crests or reproductions of flags or likenesses of DHS agency officials, including use of the United States Coast Guard seal, logo, crests or reproductions of flags or likenesses of Coast Guard officials.

#### **XXVI. DHS Specific Acknowledgements and Assurances**

All recipients must acknowledge and agree—and require any sub-recipients, contractors, successors, transferees, and assignees acknowledge and agree—to comply with applicable provisions governing DHS access to records, accounts, documents, information, facilities, and staff.

1. Recipients must cooperate with any compliance review or complaint investigation conducted by DHS.
2. Recipients must give DHS access to and the right to examine and copy records, accounts, and other documents and sources of information related to the grant and permit access to facilities, personnel, and other individuals and information as may be necessary, as required by DHS regulations *and* other applicable laws or program guidance.
3. Recipients must submit timely, complete, and accurate reports to the appropriate DHS officials and maintain appropriate backup documentation to support the reports.
4. Recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance.
5. If, during the past three years, the recipient has been accused of discrimination on the grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status, the recipient must provide a list of all such proceedings, pending or completed, including outcome and copies of settlement agreements to the DHS awarding office and the DHS Office of Civil Rights and Civil Liberties.

6. In the event any court or administrative agency makes a finding of discrimination on grounds of race, color, national origin (including limited English proficiency), sex, age, disability, religion, or familial status against the recipient, or the recipient settles a case or matter alleging such discrimination, recipients must forward a copy of the complaint and findings to the DHS Component and/or awarding office.

The United States has the right to seek judicial enforcement of these obligations.

## **Appendix D: STANDARD FORMS, CERTIFICATIONS AND ASSURANCES**

The standard forms, certifications and assurances apply to most every DHS award recipients through a grant or cooperative agreement and may be found through Grants.Gov using the following link:

<https://apply07.Grants.Gov/apply/FormsMenu?source=agency>

More specifically, the following are the mandatory and/or required by statute to be completed upon submission of all applications for Federal financial assistance.

For the convenience of applicants, the Department of Education and Grants.Gov have combined the three most common certification documents into one form for submission with the grant award packet. Such form is located here:

[http://apply07.Grants.Gov/apply/forms/sample/ED\\_80\\_0013-V1.1.pdf](http://apply07.Grants.Gov/apply/forms/sample/ED_80_0013-V1.1.pdf)

Additional forms, including all forms for R&R and construction projects may be found using the first Grants.Gov link above. The links which provide certification documents have been OMB approved.

## **Appendix E: DEFINITIONS OF SELECTED TERMS FOR THE NATIONAL RECREATIONAL BOATING SURVEY**

**RECREATIONAL BOATS** – craft that are operated out on the water for pleasure and recreation, not for commercial purposes. Recreational boats include: outboard, inboard and stern-drive power boats, jet boats, pontoons, houseboats, row boats, canoes, kayaks, dragon boats, personal watercraft (e.g., jet skis), inflatable boats, kite boards, stand-up paddleboards and wind surfers. Recreational boats are also boats rented to be operated by the renter, but they not include captained charter or party boats, ferries, cruise ships or toy boats.

### **EXPOSURE**

Depending on the application, **RECREATIONAL BOATING EXPOSURE** (RBE) rate can be calculated and presented in the following ways:

- (1) **boat day** - any day that a boat is used out on the water regardless of the amount of time that day it is used;
- (2) **boat hours** - the number of hours a boat is used out on the water during a given period of time (e.g., a day, month, year);
- (3) **boat-person day** - an estimate of the number of persons on a boat on the day that it is used;
- (4) **boat-person hours** - the total number of hours persons are aboard a boat in use out on the water.

For example, if 4 persons are aboard a boat that is out on the water on a particular day for 3 hours, this translates into 1 boat day, 3 boat hours, 4 boat-person days and 12 boat-person hours.

Calculating RBEs for specific boat types and sizes requires valid and reliable estimates of:

- (1) the number of different type and size boats that are used out on the water during a given period of time,
- (2) the average number of days and hours per day boats are used out on the water, and
- (3) the average number of persons aboard the boats while they are used out on the water.

The USCG desires to produce various exposure estimates for (1) different types and sizes of boats, and (2) various states and regions of the country.

**RECREATIONAL BOATING EXPOSURE RATIO** (RBER) is a fraction where exposure rate (boat days/ hours, or boat-person days/ hours) is the denominator and either the number of recreational boating accidents or fatalities is the numerator. For example: number of recreational boating accidents/ boat days, number of boating fatalities/ boat-person days.

A **RECREATIONAL BOATER** or **BOATING PARTICIPANT** is a person aboard a boat out on the water, meaning while it was being prepared for immediate departure out on the water or while the boat was away from the dock or designated mooring buoy/ post.

Persons using unmodified inner tubes or who are passengers on a captained charter or party boat, ferry or a cruise ship are not considered to be recreational boaters/ participants.

**RECREATIONAL BOAT OPERATOR** is a person aboard a recreational boat that is in charge or in control (e.g., steering, maneuvering) of that boat at any time, regardless of the amount of time, when the boat is in use out on the water, meaning while it was being prepared for immediate departure out on the water or while the boat was away from the dock or designated mooring buoy/ post.

A **BOAT OWNER**: a household, in which at least one person holds the title, registration, and/or ownership rights to a recreational boat.

**BOAT USE** includes operation of, or presence on, a recreational boat out on the water, meaning while it is being prepared (e.g., supplied, fueled, launched) for immediate departure or while it is on the water away from the dock or designated mooring buoy/ post.

A **BODY OF WATER** or **WATER BODY** has been defined as any significant accumulation of water, such as oceans, seas, and lakes, but it also includes man-made reservoirs and smaller pools of water, such as ponds or wetlands. Rivers, streams, canals, and other geographical features where water moves from one place to another are also considered bodies of water.

A **BOAT TRAILER** is a two- (or more-) wheel platform or a structure designed to transport, launch and retrieve boats and sometimes to store them.

To **LAUNCH** means to put a boat into the water in readiness for use.

A **BOAT LAUNCH** refers to a location by the shore of a body of water that is designated and designed for the purpose of launching/ placing a boat in the water.

A **PADDLING BOAT LAUNCH** is a space located on a shore of a waterway where paddlers can put in their canoe or kayak.

A **RECREATIONAL BOATING TRIP** – a trip taken by person(s) who leave(s) the residence and who intend(s) to and actually do(es) go out on the water on a recreational boat.

The trip is counted from the moment of departure from the residence until the return there.

In case of long-term trips (e.g., elder New Yorkers or Michiganders who spend entire winters in southern states), the boating trips would count from the moment long-term vacationers leave their secondary residence until they return there.

The recreational boat does not have to be with the boater(s) through the entire duration of the boating trip. Boaters may have to travel first to the boat's storage place or boat rental place. The boat does not have to be used out on the water every day of the trip for all days out of the residence to be counted as the boating trip.

Going out on the water in a boat has to be the primary or secondary-but-planned purpose of the trip for the trip to be included in the estimates of economic impact of recreational boating. A trip when going out on the water on a boat is an unplanned activity should not be counted as a boating trip, as should not be a trip for the purpose of repairing the boat or performing maintenance on it without taking it out on the water.

Trip spending (for the purpose of estimating economic significance) should include local spending on preparation for the trip (e.g., gasoline, groceries, boating accessories).