

United States Coast Guard
2011

**GRANT APPLICATION PACKAGE FOR
NATIONAL NON-PROFIT PUBLIC SERVICE
ORGANIZATION
BOATING SAFETY GRANT PROGRAM**

Administered by the
OFFICE OF AUXILIARY & BOATING SAFETY
(CG-542)

U.S. COAST GUARD HEADQUARTERS
WASHINGTON, DC 20593-7581

Closing Date: January 28, 2011

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GRANT APPLICATION PROCESS HIGHLIGHTS

Thank you for your interest in the U.S. Coast Guard's National Non-Profit Public Service Organization Boating Safety Grant Program. Fiscal Year (FY) 2011 grant applications must be submitted via Grants.gov by January 28, 2011. 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). The Dun & Bradstreet number must be cited on each payment request when it is submitted.
- 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 28, 2011 deadline will not be considered for funding. Application packages that are not properly completed per page 2 (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-1). The funding for each grant awarded under this application package must be expended by one year after program start date (extensions may be granted on a case-by-case basis).

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 on pages D-3 and D-8.

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 on a case-by-case basis. This authority is judiciously used to fund recurring annual projects or events that can only be carried out by one organization, and projects that present targets of opportunity for timely action on new or emerging program requirements or issues. Justifications for not competing the award and a rationale for selecting the grantee must be approved by the Program Director.

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 award agreement is signed off on by the United States Coast Guard.

OVERVIEW

BACKGROUND

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 funds available each year are set aside for awards to national Non-Profit public service organizations to support national boating safety activities. An amendment to the Federal Boat Safety Act in 1980 continued the State assistance program with a dedicated source of funds, i.e., Federal marine fuel tax revenues paid by boaters for their boat fuel. 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 2011, total RBS Program dedicated funding from Sport Fish Restoration and Boating Trust Fund will be approximately \$119 million. Funding available for the Non-Profit organization grants has grown from \$625,000 in FY 1984 to over \$6,000,000 in FY 2010.

NATIONAL NON-PROFIT ORGANIZATION BOATING SAFETY GRANT PROGRAM ADMINISTRATION

The national Non-Profit Organization grant program is administered at U.S. Coast Guard Headquarters by the Office of Auxiliary & Boating Safety. The following briefly summarizes the grant competition, award, and administration process.

ORGANIZATION ELIGIBILITY FOR FUNDING

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.

GRANT COMPETITION AND AWARD PROCEDURES

The Non-Profit Organization grant program is initiated in early November. For FY 2011, applications must be submitted by January 28, 2011. The application review process normally takes approximately 120 days and award notifications are made by mid-May.

1. Notification of Grant Program Fund Availability

As soon as funds become available, notice of grant funds are posted on Grants.gov. Information as to 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/>.

2. 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
 - Title VI Assurance
 - Anti-Lobbying, Drug-Free Workplace, Conflict of Interest, Debarment, Suspension

- 501 (c) (3) letter regarding non-profit status
- Federally approved accounting system
- Copyrighted Material (if applicable)
- Supporting documents (if applicable)

3. Evaluation of Grant Applications

The proposals are initially screened for organization eligibility; if eligible, a complete cost review and a technical review are conducted. Applications are then scored and ranked by a Grant Selection Team and are evaluated according to criteria specified on page 7 of the Application Review Section. The Non-Profit Organization Grant Coordinator then prepares a list of projects recommended for funding, which is forwarded to the Program Director for approval.

4. 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 new to 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 Review Team recommendations.
- The project budget may have to be revised.

GRANT PROJECT ADMINISTRATION

After the agreements are signed, each grant and cooperative agreement project is assigned a U.S. Coast Guard Grant Technical Manager (GTM). The GTM serves as the grantee's primary point of contact during the life of the project. After the project is completed, a final project audit may be performed.

ELIGIBILITY

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.

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, may not be 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 (202) 372-1060, 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 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.

Notifications are also sent to those organizations on the Non-Profit Organization grant program mailing list. Organizations that previously applied for funding are automatically added to this list. Any other organization wishing to be placed on the list may make a request to the following: Commandant (CG-54221), U.S. Coast Guard, 2100 2nd Street SW, Stop 7581, Washington, DC 20593-7581, Attention: Carlin Hertz, Phone (202) 372-1060.

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 G.

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/about/strategic_plan.aspx).

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 G.). 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, if applicable, 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.
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 G.)

CERTIFICATION FORMS

The following certification forms are required to be submitted with your grant proposal.

1. Certification of a Drug-Free Workplace (see Appendix D page D-5 Certification Form).
2. Certification that organization or principal participants' involvement in the project do not represent any conflicts of interest (see Appendix D page D-5 Certification Form).
3. Certification that organization has never been debarred or suspended as a grantee by a Federal awarding department or agency (see Appendix D page D-6 Certification Form).

As a rule, initial proposals do not exceed 15 pages. Non-inclusion of any of the items required in both 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 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-54224's review standards are forwarded to the Non-Profit Grant Organization Review Team, which reviews and ranks selections and recommends funding amounts to the Program Director.

The Grant Selection 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 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 Program (RBS) 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 659 for 2011.

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

Objective 1: Safety Education Certificates.

Objective 2: Awareness of Safe Boating Practices.

Objective 3: Advanced 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: Determine Participant Denominator.

Objective 11: Measure Effectiveness by Reviewing Annual Reports from 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 Recreational Boating Safety goals? Does it support the project objectives 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 AWARDS

GRANT AWARD NEGOTIATIONS

Grant award negotiations begin upon organization notification of the award. Negotiations on the project itself must be completed and a grant and/or cooperative agreement signed by both the grant recipient and the U.S. Coast Guard before funds are released. In some cases, the proposal and budget may have to be revised to accommodate the U.S. Coast Guard's recommendations. 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, 2011**, the end of the FY for which the funds are allocated.

Appendix E (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

Please note that there are five Federal certifications that are integral parts of the grant application:

1. Certification of Compliance with Federal Title VI (Civil Rights) Guidelines.
2. Certification of non-use of grant funds for lobbying purposes.
3. Certification of a Drug-Free Workplace.
4. Certification that the applicant presents no conflict of interest with the U.S. Coast Guard.
5. Certification that the applicant has not been debarred or suspended by any Federal agency.

Refer to Appendix D (Certifications) for forms and details. The Federal certification forms in the package **must be attached to the application, signed and dated. If not received with the application, signed and dated, this may be grounds for disqualification of proposal.**

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

Recipients are requested to review the following documents:

1. AGREEMENT BETWEEN DEPARTMENT OF HOMELAND SECURITY, U.S. COAST GUARD AND (THE GRANTEE)
2. ASSURANCES and Standard Forms 270 and 425.

In accordance with the above mentioned documents, 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).

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 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.

FORMS

Samples of the Federal forms you will use during the project can be found on the Boating Safety Division website at <http://www.uscgboating.org/>. The SF-270 and SF-425 are also available and can be downloaded from the Office of Management & Budget Website (http://www.whitehouse.gov/omb/grants_forms/). The SF-424A is available from the USCG or Grants.gov websites.

SCG 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 Division of Office of Boating Safety

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 the shoot.
 1. At the completion of the rough cut (please provide a DVD for technical evaluation by the Office of Auxiliary & Boating Safety. For print media, provide “comp” art or rough layouts before producing a final product.

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

APPENDIX A: GRANT AREAS OF INTEREST FOR FY 2011

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. A “demonstration” project within a limited geographical area may qualify if it can be demonstrated that the benefits of the project can be extended nationwide. The applicant, of course, must be a national Non-Profit public service organization. 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 Program (RBS) 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.

Performance Goals: To reduce the annual number of recreational boating fatalities to 659 for 2011.

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

Objective 1: Safety Education Certificates.

Objective 2: Awareness of Safe Boating Practices.

Objective 3: Advanced 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: Determine Participant Denominator.

Objective 11: Measure Effectiveness by Reviewing Annual Reports from 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 Recreational Boating Safety goals? Does it support the project objectives 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.

SPECIFIC AREAS OF INTEREST

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.

The U.S. Coast Guard is particularly interested in receiving grant applications on several specific studies/projects this FY, 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 Localized Outreach Strategies that support the Coast Guard's "Don't Wreck Your Summer" Campaign
3. Develop and Conduct a National Recreational Boating Safety Outreach and Awareness Conference
4. Federal/State Cooperative Efforts to Enhance Uniformity and Effectiveness
5. Develop and Conduct Boating Accident Investigation Seminars
6. National Estimate of Life Jacket Wear Rate
7. Develop, Design, Produce, and Distribute a Safety Equipment Checklist
8. Conduct On-Water Boat Handling Instruction for Recreational Boat Operators
9. Develop and Design a Course Template for On-Water Instruction for Recreational Boat Operators

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 address areas 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 2011 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 National Recreational Boating Safety Program. 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 initiatives. 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 as well as the safety of their passengers. 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 any 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.

2. Develop and Conduct Localized Outreach Strategies that support the U.S. Coast Guard's "Don't Wreck Your Summer" Campaign. The U.S. Coast Guard seeks an applicant to work with its' communications firm to implement, oversee, and conduct effective national "grass roots" outreach efforts that support the U.S. Coast Guard's "Don't Wreck Your Summer" initiative. The overall "grass roots" focus should assist in achieving a reduction in recreational boating casualties and will strengthen boat operators being responsible for their own safety as well as the safety of their passengers. At the conclusion of the project, grant recipients will need to submit reports that clearly specify the measurable accomplishments that were implemented to indicate the effectiveness of the project in achieving our objectives and performance goals. Point of contact: Mr. Michael Baron, 202-372-1063.

3. 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 as well as the safety of their passengers. Significant emphasis should be placed on offering multiple subjects that afford the participants professional development opportunities and educational enhancement. Subjects should focus on, but not be limited to: life jacket wear, safety issues, boater education, vessel safety, accident reporting, 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 any 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 should be designed/provided. Point of contact: Mr. Michael Baron, 202-372-1063

4. 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 uniformity of state boating safety education requirements 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.

5. 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 at least four regional comprehensive recreational boating accident investigation seminars 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. 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 seminars will be determined jointly by the U.S. Coast Guard and the grantee. The regional seminars must, at a minimum, consist of an overview of recreational boat accident investigations, witness interviews, collision physics, 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

§173 Subpart C, & 33 CFR §174 Subparts C & D, paying particular attention to 33 CFR §174.103 which outlines materials necessary for the advancement of recreational boating safety. Point of contact: Mr. Michael Jendrossek, 202-372-1052.

6. 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. In the summer of 2011, 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.

7. Develop, Design, Produce, and Distribute a Safety Equipment Checklist. The U.S. Coast Guard seeks an applicant to develop, design, produce, and distribute a safety equipment checklist for use in boating education course workbooks and as part of ABYC standard owner's manual T24 as a pull-out, weather resistant page. Develop, design, produce, and distribute posters for display at marine stores, and other points-of-sale that specify requirements, the justification for the requirements, and penalties for non-compliance (include Federal and individual State equipment requirements for all US States and Territories). Develop, design, produce, and distribute a weather resistant safety equipment checklist for inclusion in state boat registration and registration renewal packets (Pilot program to specific target areas). The successful application will include a detailed plan for marketing and distribution of product to marine manufacturers, marine dealers, marine equipment retailers, marina operators, and State numbering authorities. Point of contact: Mr. William Burgess, 202-372-1071.

8. Conduct On-Water Boat Handling Instruction for Recreational Boat Operators. The U.S. Coast Guard is seeking an applicant or applicants 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, enhanced marketing and outreach efforts, as well as enhanced instructor development to increase participation in available on-water education programs. The grantee(s) will develop and implement a strategy to increase the capacity to expand 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 throughput 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.

9. Develop and design a course template for on-water instruction for recreational boat operators. The U.S. Coast Guard is seeking applicants to develop and design a course template that represents consensus of opinion from multiple nationally recognized boating education organizations that provides a minimum base-level of Skill Level Development Training to be delivered as on-water instruction for recreational boat operators. Curriculum shall include but not be limited to the following basic components: boats and basic boating knowledge, basic maintenance, underway preparations, onboard briefing and familiarization of boat and equipment, seamanship, and navigation. On the water maneuvers and skill demonstration portion of the curriculum shall include but not be limited to the following; getting underway, come to all stop maintaining a straight bow using reverse propulsion, bring boat to a mooring buoy and retrieving lines, maneuver boat to a position alongside of and parallel to a dock or pier, executing emergency maneuvers, anchoring and retrieving the anchor, etc.. On water maneuvers shall be performed in various wind and current conditions. Point of Contact: Mr. Michael Baron, 202-372-1063.

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)			
2	SF-424A Budget Information			
3	Narrative: Proposed Project, Objectives, Methods, Expected Results and Benefits			
4	Detailed Budget Narrative (corresponding to SF-424A)			
5	Reporting Schedule			
6	Resumes of principal participants (if applicable)			
7	Statement regarding proprietary info			
8	Auditing Organization			
	Signed Certifications			
9	Title VI Assurance (Appendix D)			
10	Anti-Lobbying, Drug-Free Workplace, Conflict of Interest, Debarment, Suspension (Appendix D)			
11	501 (c) (3) letter regarding non-profit status			
12	Federally approved accounting system			
13	Will you copyright any material? (See Appendix I)			
14	Supporting documents, if applicable			

APPENDIX C: APPLICATION FORM

Organizations applying for grant funding must complete SF-424 and SF-424A.

An electronic copy is available from Grants.gov:

http://www.grants.gov/agencies/approved_standard_forms.jsp

APPENDIX D: CERTIFICATIONS

In addition to the provisions in the Assurances section of the grant agreement, recent Federal laws and regulations require certifications that must be signed by recipients before they can receive Federal funds. Blank copies of certification forms that are required for this program are attached in Appendix D. If they apply to your organization, they must be completed and forwarded with your grant application if you are to be considered for FY 2011 funding.

TITLE VI CERTIFICATION

All recipients must file with the U.S. Coast Guard a Title VI Certification form, signed and dated, for each grant proposal. Prior certifications will not be accepted. **New certifications must be appended with the grant application.**

ANTI-LOBBYING CERTIFICATION

Any grantee receiving \$100,000 or more in Federal funds in any one year must comply with the provisions of Section 319 of Public Law 101-121, see page D-5 regarding lobbying. **The certification form must be signed, dated, and forwarded with your grant proposal.**

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

49 CFR Part 29 requires any grantee receiving \$25,000 or more in Federal funds in any one year to certify that they will comply with all "Drug Free Workplace" provisions. See page D-5 regarding Drug-Free Workplace. **The certification form must be signed, dated, and forwarded with your grant proposal.**

CONFLICT OF INTEREST CERTIFICATION

A determination must be made regarding any conflict of interest. **If any conflict exists, please identify potential reviewer and identify what the conflict would be.** See page D-5 regarding Conflict of Interest. The certification form must be signed, dated, and forwarded with your grant proposal.

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

Certification that your organization is not debarred, suspended or otherwise excluded from or ineligible for participation in Federal assistance programs or activities is required. See page D-6 regarding Debarment, Suspension, and other Responsibility Matters. The certification must be signed, dated, and forwarded with your grant proposal.

DEPARTMENT OF HOMELAND SECURITY
TITLE VI ASSURANCE

_____, (hereinafter referred to as the "Recipient") HEREBY AGREES THAT as a condition to receiving any Federal financial assistance from the Department of Homeland Security (DHS) it will comply with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 U.S.C. 2000d-42 U.S.C. 2000d-4 (hereinafter referred to as the Act), and all requirements imposed by or pursuant to Title 49, Code of Federal Regulations, Part 21, (hereafter referred to as the Regulations) and other pertinent directives, to the end that in accordance with the Act, Regulations and other pertinent directives, no person in the United States shall, on the grounds 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 from DHS, including the UNITED STATES COAST GUARD, and HEREBY GIVES ASSURANCE THAT it will promptly take any measures necessary to effectuate this agreement. This assurance is required by subsection 21.7(a) (1) of the Regulations.

More specifically and without limiting the above general assurance, the Recipient hereby gives the following specific assurances with respect to its projects funded, in whole or in part, by the U.S. Coast Guard Financial Assistance Program for National Non-Profit Public Service Organizations:

1. That the Recipient agrees that each "program" and each "facility" as defined in subsections 21.23(e) and 21.23(b) of the Regulations, will be (with regard to a "program") conducted, or will be (with regard to a "facility") operated in compliance with all requirements imposed by, or pursuant to the Regulations.

2. That the Recipient shall insert the following notification in all solicitations for bids for work or material subject to the Regulations and made in connection with all projects funded, in whole or in part, by the U.S. Coast Guard Financial Assistance Program for National Non-Profit Public Service Organizations and, in adapted form, in all proposals for negotiated agreements:

_____, in accordance with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 U.S.C. 2000d-4 and Title 49, Code of Federal Regulations, Part 21 issued pursuant to such Act, hereby notifies all bidders that it will affirmatively insure that in any contract entered into pursuant to this advertisement, minority business enterprises will be afforded full opportunity to submit bids in response to this invitation, and will not be discriminated against on the grounds of race, color, or national origin in consideration for an award.

3. That the Recipient shall insert the clauses of Appendix A of this assurance in every contract subject to the Act and the Regulations.

4. That this assurance obligates the Recipient for the period during which Federal financial assistance is extended to the program.

6. The Recipient shall provide for such methods of administration for the program as are found by the Secretary or the official to whom he/she delegates specific authority to give reasonable guarantee that it, other recipients, subgrantees, contractors, subcontractors, transferees, successors in interest, and other participants of Federal financial assistance under such program will comply with all requirements imposed or pursuant to the Act, the Regulations and this assurance.
7. The Recipient agrees that the United States has a right to seek judicial enforcement with regard to any matter arising under the Act, the Regulations and this assurance.

THIS ASSURANCE is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts or other Federal financial assistance extended after the date hereof to the Recipient by the Department of Homeland Security under the U.S. Coast Guard Financial Assistance Program for National Non-Profit Public Service Organizations and is binding on it, other recipients, subgrantees, contractors, subcontractors, transferees, successors in interest and other participants in the Program. The person or persons whose signatures appear below are authorized to sign this assurance on behalf of the Recipient.

DATED: _____

BY: _____
(Signature of Authorized Official)

TITLE: _____

ATTACHMENT A

ATTACHMENT A TO TITLE VI ASSURANCE

During the performance of this contract, the contractor, for itself, its assignees and successors in interest (hereinafter referred to as the "contractor") agrees as follows:

- (1) Compliance with Regulations: The contractor shall comply with the Regulations relative to nondiscrimination in Title 49, Code of Federal Regulations, Part 21, as they may be amended from time to time, (hereinafter referred to as the "Regulations"), which are herein incorporated by reference and made a part of this contract.
- (2) Nondiscrimination: The contractor, with regard to the work performed by it during the contract, shall not discriminate on the grounds of race, color, or national origin in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The contractor shall not participate either directly or indirectly in the discrimination prohibited by Section 21.5 of the regulations, including employment practices when the contract covers a program set forth in Appendix B of the Regulations.
- (3) Solicitation for Subcontracts, Including Procurement of Materials and Equipment: In all solicitations either by competitive bidding or negotiation made by the contractor for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential subcontractor or supplier shall be notified by the contractor of the contractor's obligations under this contract and the Regulations relative to nondiscrimination on the grounds of race, color, or national origin.
- (4) Information and Reports: The contractor shall provide all information and reports required by the Regulations or directives issued pursuant thereto, and shall permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the (Recipient) or the U.S. Coast Guard to be pertinent to ascertain compliance with such Regulations, orders and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish this information the contractor shall so certify to the (Recipient), or the U.S. Coast Guard as appropriate, and shall set forth what efforts it has made to obtain the information.
- (5) Sanctions for Noncompliance: In the event of the contractor's noncompliance with nondiscrimination provisions of this contract, the (Recipient) shall impose contract sanctions as it or the U.S. Coast Guard may determine to be appropriate, including but not limited to: (a) withholding of payments to the contractor under the contract until the contractor complies; and/or (b) cancellation, termination, or suspension of the contract, in whole or in part.
- (6) Incorporation of Provisions: The contractor shall include the provisions of paragraphs (1) through (6) in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Regulations, or directives issued pursuant thereto. The contractor shall take such action with respect to any subcontract or procurement the (Recipient) or the U.S. Coast Guard may direct as a means of enforcing such provisions including sanctions for noncompliance. Provided, however, that in the event a contractor becomes involved in, or is threatened with, litigation with a subcontractor or supplier as a result of such direction, the

contractor may request the (Recipient) to enter into such litigation to protect the interests of the (Recipient), and in addition, the contractor may request the United States to enter into such litigation to protect the interests of the United States.

**CERTIFICATION REGARDING LOBBYING, DRUG-FREE WORKPLACE
REQUIREMENTS, CONFLICT OF INTEREST CERTIFICATION AND
CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER
RESPONSIBILITY MATTERS**

This form must be completed and forwarded with your grant application if you are to be considered for FY 2011 funding.

(1) CERTIFICATION REGARDING LOBBYING

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee or a Member of Congress in connection with the making and/or awarding of any Federal U.S. Coast Guard grant, and the extension, continuation, amendment, or modification of any Federal U.S. Coast Guard grant.

(2) 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.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into the transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

(2) CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

49 CFR Part 29 requires any grantee receiving \$25,000 or more in Federal funds in any one year to certify that they will comply with all "Drug Free Workplace" provisions:

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

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 employees; (3) Making it a requirement each employee 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.

(3) 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:

(4) 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 E: GRANT AND/OR COOPERATIVE AGREEMENT

The grant agreement is the formal contracting document that obligates the grantee organization to perform, and the U.S. Coast Guard to pay for, that performance.

The agreement has two parts: (1) The formal agreement itself; and (2) an "assurance" section, which spells out specific requirements.

A copy of a draft agreement is available at <http://www.uscgboating.org/>.

GRANT AGREEMENT

The agreement is a six-page document that formally contracts the U.S. Coast Guard and the grantee organization. Refer to the underlined blanks in draft agreement. The grantee's name, the agreement number (the U.S. Coast Guard financial account number), and the amount awarded are added to the first page. The grantee organization's formal corporate name is added to page six. An authorized representative of the grantee organization signs the agreement. The signature must be attested (witnessed) to, but it does not have to be notarized. The Chief, Grants Management Branch, signs and dates the document on behalf of the U.S. Coast Guard, thereby executing the grant agreement.

ASSURANCES

The assurances section spells out specific obligations of the grantee organization required by various Federal laws, regulations, and OMB Circulars. An authorized representative of the grantee organization signs and dates the document. The signature must be attested to, but it does not have to be notarized. It is not signed by the U.S. Coast Guard.

PROJECT NARRATIVE

The narrative specifies (1) what product or service is to be provided, (2) how the work is to be performed, and (3) the payment schedule.

APPENDIX F: FINANCIAL FORMS

The U.S. Coast Guard will assign a Grant Technical Manager (GTM) for each grant award after the grant agreement is signed. The GTM will contact the grantee organization and provide their project staff with all Federal report forms required for that particular project. These forms must be used by the grantee to request grant funds, report fund transactions, and account for funds during and upon completion of the project. Electronic copies of the financial forms are available at http://www.whitehouse.gov/omb/grants_forms.

Financial Plan (Budget Narrative)

This section should contain detailed budget information which will delineate costs for proposed activities. Items under \$2000 can be consolidated by category. Separately list in the financial narrative any expenses of \$2000 or more.

SF-425, Federal Financial Report

This form is used by the grantee to summarize grant fund transactions during and upon completion of the project. An SF-425 must be filed not later than 30 days after the end of each FY quarter during the term of the grant. A final SF-425 must be filed not later than 90 days after completion of the project funded by the grant. The GTM will assist the grantee in determining how to break out costs by functions.

SF-270, Request for Advance or Reimbursement

This form must be completed by the grantee when requesting funds from the U.S. Coast Guard. Funds cannot be disbursed without this form being completed and signed.

APPENDIX G: SAMPLE BUDGET NARRATIVE

Must correspond with SF-424A, Section B

PROPOSED COST BUDGET for the Period June 1, 2011 through May 30, 2012

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**

Under the organization's administrative and accounting system, fringe personnel expense is an experience-rated charge based on actual expense.

FICA 7.15%

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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PROPOSED COST BUDGET CONTINUED

PAGE TWO

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

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>
TOTAL	\$5,670

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
Printing and Duplicating	\$560
Postage	\$100
Telephone	\$200
Local travel	<u>\$70</u>
TOTAL	\$1,130

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 (Total Federal Share of this Budget)	\$31,655

Cost Share (if applicable) **\$0**

Example if cost share proposed: The cost share of 20% of total costs will be met through in-kind contributions of executive time and other services by participating partners. We will account for this in our quarterly report by breaking down the in-kind contributions by partner and cost of services.

TOTAL Federal Share Plus Cost Share **\$31,655**

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 H: 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 I: 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)."