

**The Department of Homeland Security (DHS)  
Notice of Funding Opportunity (NOFO)  
State Recreational Boating Safety Grant Program**

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

**A. Program Description**

**1. Issued By**

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

**2. Assistance Listings (formerly Catalog of Federal Domestic Assistance (CFDA) Number)**

97.012

**3. Assistance Listings Title (formerly CFDA Title)**

Boating Safety Financial Assistance

**4. Funding Opportunity Title**

State Recreational Boating Safety (RBS) Grant Program

**5. Funding Opportunity Number**

DHS-USCG-RBS-2021-001

**6. Authorizing Authority for Program**

*Recreational Boating Safety*, Public Law 114-94, 46 U.S.C 131

**7. Appropriation Authority for Program**

*Fixing America's Surface Transportation Act*, Public Law 114-94.

**8. Announcement Type**

Formula

**9. Program Overview, Objectives, and Priorities**

The purpose of the program is to encourage greater State participation and uniformity in boating safety efforts, particularly to permit the States to assume the greater share of

boating safety education, assistance, and enforcement activities; to reduce the number of accidents, injuries and deaths on America’s waterways; and provide a safe enjoyable experience for the boating public.

You can find more information about the National RBS Program 2017 – 2021 Strategic Plan at <http://uscgboating.org/content/strategic-plan.php>.

**10. Performance Metrics**

Federal programs are required to relate financial data and performance accomplishments to the Office of Management and Budget per [2 C.F.R § 200.301 Performance measurement](#). State RBS applicants can view the performance metrics in the approved Strategic Plan of the National RBS Program 2017 – 2021. The Strategic Plan can be found at: <https://www.uscgboating.org/content/strategic-plan.php>.

**11. Key Changes for the 2021 Competition**

- Updated guidance in **Section D.9. Content and Form of Application Submission** and **Section D.10. Other Submission Requirements**
- Please pay particular attention to **Section H.4. DHS Civil Rights Evaluation Tool**

**B. Federal Award Information**

- |  |   |
|--|---|
| <b>1. Available Funding for the NOFO:</b>                | \$104,076,761                             |
| <b>2. Projected number of Awards:</b>                    | 56  |
| <b>3. Period of Performance:</b>                         | 12 Months – Extensions are not permitted. |
| <b>4. Projected Period of Performance Start Date(s):</b> | 10/01/2020                                |
| <b>5. Projected Period of Performance End Date(s):</b>   | 09/30/2021                                |
| <b>6. Funding Instrument Type:</b>                       | Cooperative Agreement                     |

The Coast Guard is the lead agency in development and maintenance of the Strategic Plan of the National RBS Program. The Coast Guard has entered into a Memorandum of Understanding with each State recipient. We conduct joint patrols with our state partners, serve on committees with individuals from state agencies, and conduct many other activities that constitute substantial involvement with the State RBS Program.

**C. Eligibility Information**

- 1. Eligible Applicants**  
State Governments

This program is not open to the public. Eligibility is determined by federal statute. Applications can only be accepted from the designated State authority or agency.

**2. Applicant Eligibility Criteria**

Ref: 46 U.S.C. 13103 Program acceptance

The Coast Guard shall approve a State RBS program, and the program is eligible to receive amounts authorized to be expended under section 13107 of this title, if the program includes:

- a. a vessel numbering system approved or carried out by the Coast Guard under chapter 123 of this title;
- b. a cooperative boating safety assistance program with the Coast Guard in that State;
- c. sufficient patrol and other activity to ensure adequate enforcement of applicable State boating safety laws and regulations;
- d. an adequate State boating safety education program, that includes the dissemination of information concerning the hazards of operating a vessel when under the influence of alcohol or drugs; and
- e. a system, approved by the Coast Guard, for reporting marine casualties required under section 6102 of this title.

**3. Cost Share or Match**

Cost Match. The amount received by a State under 46 U.S.C. 13104(b) in a fiscal year may be not more than one-half of the total cost incurred by that State in developing, carrying out, and financing that State's RBS program in that fiscal year.

**D. Application and Submission Information**

**1) Key Dates and Times**

- a. **Application Start Date:** 07/06/2020
- b. **Application Submission Deadline:** 09/30/2020 at 11:59:59 PM EDT

Applicants must submit an application extension request and justification to the Grants Management Branch prior to the submission deadline. Late applications will be reviewed in the order in which they are received.

- c. **Anticipated Funding Selection Date:** 10/01/2020
- d. **Anticipated Award Date:** 02/01/2021

Programs are authorized to begin on October 1, 2020. Award documents will be sent upon receipt of the final transfer of funds from the Department of Interior, which typically happens in January of the following year.

**2) Agreeing to Terms and Conditions of the Award**

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

**3) Address to Request Application Package**

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

For a hardcopy of the full NOFO, please write a request to [Pavlo.Oborski@uscg.mil](mailto:Pavlo.Oborski@uscg.mil).

Applications will be processed through the Grants.gov portal.

**4) Steps Required to Submit an Application, Unique Entity Identifier, and System for Award Management (SAM)**

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

- a. Apply for, update, or verify their Data Universal Numbering System (DUNS) Number from Dun & Bradstreet (D&B) and Employer ID Number (EIN)
- b. In the application, provide a valid Data Universal Numbering System DUNS number, which is currently the unique entity identifier;
- c. Have an account with [login.gov](http://login.gov);
- d. Register for, update, or verify their SAM account and ensure the account is active before submitting the application;
- e. Create a Grants.gov account;
- f. Add a profile to a Grants.gov account;
- g. Establish an Authorized Organizational Representative (AOR) in Grants.gov;
- h. Submit application in Grants.gov; and
- i. Continue to maintain an active SAM registration with current information at all times during which it has an active federal award or an application or plan under consideration by a federal awarding agency.

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

**5) Electronic Delivery**

DHS is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. DHS encourages or requires applicants to submit their applications online through Grants.gov, depending on the

funding opportunity. For this funding opportunity, the Coast Guard requires applicants to submit applications through Grants.gov.

**6) How to Register to Apply through Grants.gov**

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

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

Organizations must have a Data Universal Numbering System (DUNS) Number, active System for Award Management (SAM) registration, and Grants.gov account to apply for grants. If individual applicants are eligible to apply for this grant funding opportunity, then you may begin with step 3, Create a Grants.gov account, listed below.

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

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

- 1) *Obtain a DUNS Number:* All entities applying for funding, including renewal funding, must have a DUNS number from Dun & Bradstreet (D&B). Applicants must enter the DUNS number in the data entry field labeled "Organizational DUNS" on the SF-424 form.

For more detailed instructions for obtaining a DUNS number, refer to:

<https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

- 2) *Register with SAM:* All organizations applying online through Grants.gov must register with the System for Award Management (SAM). Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually.

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

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

- 3) *Create a Grants.gov Account:* The next step is to register an account with Grants.gov. Follow the on-screen instructions or refer to the detailed instructions here: <https://www.grants.gov/web/grants/applicants/registration.html>
- 4) *Add a Profile to a Grants.gov Account:* A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all of your grant applications. To add an organizational profile to your Grants.gov account, enter the DUNS Number for the organization in the DUNS field while adding a profile.

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

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

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

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

## 7) **How to Submit an Application to DHS via Grants.gov**

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

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities using Workspace, refer to: <https://www.grants.gov/web/grants/applicants/workspace-overview.html>

- a. *Create a Workspace:* Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
- b. *Complete a Workspace:* Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.
- c. *Adobe Reader:* If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

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

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

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

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

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

*Applicant Support:* Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at [support@grants.gov](mailto:support@grants.gov). For questions related to the specific

grant opportunity, contact the number listed in the application package of the grant you are applying for.

If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number. The Support Center ticket number will assist DHS with tracking your issue and understanding background information on the issue.

**8) Timely Receipt Requirements and Proof of Timely Submission**

- a. *Online Submission.* All applications must be received by **11:59:59 PM** Eastern time on **September 30, 2020**. Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time stamp is generated within the system when the application is successfully received by Grants.gov. The applicant with the AOR role who submitted the application will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. This applicant with the AOR role will also receive the official date/time stamp and Grants.gov Tracking number in an email serving as proof of their timely submission.

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

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

**9) Content and Form of Application Submission**

- a. **Format:** Applications should be formatted in Times New Roman, 12 pt. black font.
- b. **Page Limits**  
There are no page limits for this program, however, States are encouraged to be clear, concise, and thorough when describing the goals, objectives, and targeted activities of their program.
- c. **Application Forms & Components**
  - 1) **Application for Federal Assistance (SF-424):** This form includes the contact information for the application and the total budget amount for the year. Ensure the budget total matches what is reported on the SF-424A.

- 2) **Budget Information – Non-Construction Programs (SF-424A):** The total budget amount on the form should match the totals on the SF-424. This form may be submitted as a PDF or an Excel worksheet. The budget totals should reflect the minimum 50% matching requirement.

Ensure that the totals in the SF-424A correspond to and align with references to dollar amounts and activities within the narrative or budget narrative. Please see **Section D.9.c.8 Program Narrative** for more guidance.

- 3) **Equipment List (SF-424 page 2A):** **Required if** you intend to purchase equipment that meets the threshold per unit as defined by your State AND has an expected useful life of one (1) year or greater. Ensure the totals reported here match the totals reported in the Equipment line of the SF-424A.
- 4) **Assurances – Non-Construction Programs (SF-424B):** This is required for all applicants.
- 5) **Budget Information – Construction Programs (SF-424C):** **Required if** you include any construction costs on the SF-424A. A separate SF-424C is required for each individual construction project (e.g., If you are submitting 23 public access projects, 23 Budget Information Sheets are required). Ensure the totals reported here match the totals reported in the Construction line of the SF-424A.
- 6) **Site Map:** **Required if** you are submitting any SF-424Cs. A site map is required for each construction or public access project submitted. The purpose of this map is to provide the Coast Guard with a large scale (small area) depiction of the site and enable the Coast Guard to determine precisely which building, dock, boat ramp, etc., is the subject of the project. Architectural drawings are **not** required. Aerial photos, satellite images, or map depictions obtained from the internet are well suited for this purpose but do not preclude the use of other types of site maps. The location of the structure in relation to the site must be annotated on the site map. A single-sided 8.5” X 11” sheet is preferred but not required.

Please see **Section D.9.c.8.f. Public Access & Construction** for more guidance.

- 7) **Assurances – Construction Programs (SF-424D):** All applicants are required to submit this form whether construction is part of their budget or not.
- 8) **Program Narrative**  
The program narrative should include a list of all ongoing and planned RBS activities that are anticipated by the State during the period of performance, regardless of the source of funding for these activities. The narrative should clearly address each function or activity to be funded, why it is important and necessary, and how it contributes to the goals and objectives of your RBS program. Additionally, please identify any projects or activities that you were unable to complete last grant cycle that you plan to do this year. It is important to

make this distinction, otherwise it may appear as a duplication of previous efforts or funding requests.

To better assist Coast Guard staff to review and understand the nuance and structure of your RBS program, please draft your narrative to include the information requested in the categories within this section. Having this information directly in the narrative makes it easier to contextualize the functions or activities to be funded, the internal processes of your State, and how your program addresses the core statutory requirements of the RBS program.

These categories are intentionally structured to match those listed in the SF-424A Section B. You are encouraged to use this as an opportunity to describe and justify the associated costs for each category, provide any necessary itemizations, and include any pertinent information for the need and purpose of what will be funded. Ensure that the data captured within your narrative corresponds to your previous grant cycle's Performance Part II, as appropriate. Indicate any areas where you anticipate a significant variation from the previous grant cycle and provide an explanation as to why. It is important to document and understand the program's continuity from one year to the next and any factors that may affect the data and planned activities.

The length and level of detail of your response to each section may differ depending on how your program is structured. Your responses do not need to be exhaustive, nor do they need to be limited to only the categories within this section. There may also be bullet points or categories that do not apply to your program. Please notate, as appropriate, if something does not apply to your program so we know it is not missing or unaddressed.

**a) Administration**

- Explain how your State defines administration
- Clearly state the purpose(s) for what the funds will be used
  - You do not need to provide a granular breakdown of costs
  - An overview or list is sufficient

**b) Law Enforcement**

- Define what you include in this category
- Provide a description of which items are considered equipment or supplies
  - States are required to follow their internal purchase thresholds and inventory classifications for equipment and supplies. Because this differs for each State, please summarize how your State classifies items such as, but not limited to: weapons, radios, life jackets, and other items you may use for RBS law enforcement activities.

**c) Education**

- Describe the boating education opportunities available in your State

- Include the method of delivery (online, classroom, etc.) and the targeted demographics, if applicable (adults, high school programs, etc.)
- Describe how an education program may be structured and its approved content
- Describe all those involved in delivering a course:
  - What are their roles?
  - How do they contribute to the program's delivery?
  - What is the level of engagement with the intended audience?

**d) Navigational Aids**

- Explain how your State defines an aid to navigation (ATON)
  - Do you have specific markers for State waters?
  - Does your State use informational aids and how are they delineated, e.g. no wake, slow speed, etc.?
- Indicate if your State has a vessel strictly dedicated to ATON maintenance and repair
  - For example, this might be a vessel that is specifically outfitted to tend to buoys repairs, etc.
- Identify and explain if a non-State entity is responsible for your ATON maintenance and repair

**e) Boat Registration & Fees**

- Describe how the vessel registration process is managed in your State
- Clearly identify what entity manages your process
  - Explicitly state if this is managed by the DMV
  - Provide the website for the entity
  - Include a link directly to the online registration forms
- Include the status of any ongoing improvements to your registration process
  - Briefly summarize any progress made during the previous grant cycle
  - Note: This is for our general awareness and better understanding of your State's processes. We know improvements and changes take time to implement.
- Describe how funds under this category will be used, e.g. database maintenance, document printing, stickers, etc.

**f) Public Access & Construction**

- For each individual public access and/or construction site, include the following information:
  - **Need:** State the reason why a new facility is needed or an existing facility needs to be improved, e.g., reduce congestion or repair damage
  - **Objective:** Provide a concise statement of what the project will accomplish in terms of stated need

- **Location:** Identify the specific location of the facility to be constructed or improved and provide a map designating the location. The map must be detailed enough so that a person could drive to the location using the map provided.
- **Approach:** Describe the work and how it will be done. Detailed site plans and specifications are not needed unless specifically requested by the Coast Guard. If applicable, describe third party arrangements for operation of the facility, including how revenue from any user fees will be handled.
- **Estimated Cost:** Provide the work schedule, estimated total cost, and the anticipated cost by year for accomplishing the objectives. The work schedule will include the components of the major structures to be constructed such as boat ramps, parking lots, or toilet facilities.
- Note: public access sites should be open and available to the general public and must provide direct access to the water

**g) Subawarding (if applicable)**

- Indicate if your State serves as a pass-through entity for RBS funds. This may or may not apply to your program.
- States that distribute RBS funds via a subaward process should describe:
  - how applications are requested
  - the review and selection process
  - how subaward amounts are determined
  - if the subaward process is intended to target a specific activity or demographic, e.g. law enforcement, education, etc.
  - the timeline for the subaward process, including the period of performance for the subrecipients
- States acting as a pass-through entity are required to follow [2 C.F.R. 200 Subpart D – Post Federal Award Requirements: Subrecipient Monitoring and Management](#).
- States **DO NOT** need to include subrecipient applications in your application package to the Coast Guard. **DO** include the anticipated total amount of funds to be distributed, and a list of recipients and their awarded dollars amounts, if available at the time of application.
  - Note: The timing of State subaward processes are different and those that are based on an annual formula may have the ability to include this in the application. It is okay if that information is not yet available.

**h) Additional Guidance**

- States may write a strategic plan that describes the program and clearly identifies goals and objectives. You may still submit this as part of your narrative; however, you must also include the information requested in the categories within this section.

- States may also include a separate budget narrative. Ensure that your narrative and budget are in alignment.
- Your application is your best guesstimate of what your State intends to accomplish during the period of performance. It should include a realistic list of projects and activities to be funded; not a “wish list” of activities that have a narrow likelihood of actually happening.

#### **10) Other Submission Requirements**

- a. Please keep your file names short. If the file name is too long, it affects our ability to download it from Grants.gov.
- b. **Do not submit any documents that contain Personal Identifiable Information.**
- c. Applicants are discouraged from submitting the following documents in the application package. While they are important to have on-hand, they are not necessary for the annual review and approval of your RBS program.
  - 1) Copies of contracts
  - 2) Procurement documentation
  - 3) Staff resumes and photos

#### **11) Intergovernmental Review**

If a State has selected the RBS program for review under Executive Order 12372, the State review process must be followed. A 60-day comment period is provided by Executive Order 12372. Any comments must accompany the application. If the program was not selected for review or no comments were made, this should be indicated in item 16 of the Application for Federal Assistance (SF-424).

#### **12) Funding Restrictions**

All expenditures under this program must be for allowable RBS costs. Please see State RBS Programs (COMDTPUB 16755.3).

#### **13) Allowable Costs**

##### **a. Pre-Award Costs**

States may claim pre-award costs when encumbered within 90 calendar days prior to the effective date of the federal award. Encumbrances occurring more than 90 days prior to the effective date of the federal award require additional written approval from the Coast Guard.

##### **b. Management and Administration (M&A) Costs**

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

##### **c. Indirect Facilities & Administrative (F&A) Costs**

Indirect costs are allowable. Applicants claiming indirect costs must provide a copy of the Indirect Cost Negotiation Agreement (ICNA) covering the period of performance. The ICNA must be provided at the time of application.

## **E. Application Review Information**

### **1. Application Evaluation Criteria**

#### **a. Financial Integrity Criteria**

Prior to making a federal award, the Coast Guard is required by 31 U.S.C. § 3321 note, 41 U.S.C. § 2313, and 2 C.F.R. § 200.205 to review information available through any OMB-designated repositories of government wide eligibility qualification or financial integrity information. Therefore, application evaluation criteria may include the following risk-based considerations of the applicant:

- 1) Financial stability.
- 2) Quality of management systems and ability to meet management standards.
- 3) History of performance in managing federal award.
- 4) Reports and findings from audits.
- 5) Ability to effectively implement statutory, regulatory, or other requirements.

#### **b. Supplemental Financial Integrity Criteria and Review**

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

- 1) The Coast Guard is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM, which is currently the [Federal Awardee Performance and Integrity Information System](#) (FAPIIS) and is accessible through the [SAM](#) website.
- 2) An applicant, at its option, may review information in FAPIIS and comment on any information about itself that a federal awarding agency previously entered.
- 3) The Coast Guard will consider any comments by the applicant, in addition to the other information in FAPIIS, in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 2 C.F.R. § 200.205.

### **2. Review and Approval Process**

The Grants Management Branch reviews the application package from eligible applicants for completeness. Once verified, the package is forwarded to the Program Management & Operations Branch for programmatic review. States will be contacted if the application

package requires additional information or further explanation. All applications from eligible recipients will be reviewed for approval.

After each application is approved, the Grants Management Specialist will alert the State that their application is “programmatically approved.” The Grants Management Branch will provide the official award documents once the interagency transfer of RBS funds to the Coast Guard is finalized. Please see **Section F.1. Notice of Award** for more information.

## **F. Federal Award Administration Information**

### **1. Notice of Award**

Before accepting the award, the AOR and recipient should carefully read the award package. The award package includes instructions on administering the grant award and the terms and conditions associated with responsibilities under federal awards.

**Recipients must accept all conditions in this NOFO as well as any special terms and conditions in the Notice of Award to receive an award under this program.**

The Grants Management Branch sends the official award documentation to each State once the interagency transfer of RBS funds to the Coast Guard is complete. This typically happens during the 2<sup>nd</sup> quarter of the fiscal year. The Grants Management Specialist will provide an approval letter, financial agreement, and relevant terms and conditions. The State may be asked to submit a revised budget depending on the final allocations of the interagency transfer.

### **2. Pass-Through Requirements (if applicable)**

States that have a subaward process and serve as a pass-through entity for RBS funds must follow [2 C.F.R. § 200.331 Requirements for pass-through entities](#). This does not apply to every State program.

### **3. Administrative and National Policy Requirements**

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

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

### **4. Reporting**

#### **a. Federal Financial Reporting Requirements**

The Federal Financial Report (FFR) form is available online at: [SF-425 OMB #4040-0014](#)

Recipients are required to submit quarterly financial reports due no later than 30 days after the end of each quarter. All extension requests must be submitted to and approved by the Coast Guard.

If the State is able to reconcile and report upon year-end totals by the due date for the fourth quarter report, the State may submit the report as “4<sup>th</sup> and Final.” This would preclude the State from submitting an additional final financial report per **Section F.3.c. Closeout Reporting Requirements.**

The reporting schedule for this program is:

- Quarter 1: Oct 1 – Dec 31<sup>th</sup>, due Jan 30<sup>th</sup>
- Quarter 2: Jan 1 – Mar 31<sup>th</sup>, due Apr 30<sup>th</sup>
- Quarter 3: Apr 1 – Jun 30<sup>th</sup>, due Jul 30<sup>th</sup>
- Quarter 4: Jul 1 – Sept 30<sup>th</sup>, due Oct 30<sup>th</sup>

**b. Programmatic Performance Reporting Requirements**

States are required to submit four annual programmatic reports by the following dates:

1. *Certification of Numbered Vessels*: **January 31<sup>st</sup>**
2. *Report of Certificates of Number Issued to Boats* (CG-3923 or equivalent): prior to **March 1<sup>st</sup>**
3. *Annual Performance Report* (narrative): **December 31<sup>st</sup>**
4. *Performance Report Part II* (statistical data): **December 31<sup>st</sup>**

**c. Closeout Reporting Requirements**

Within 90 days after the end of the period of performance, or after an amendment has been issued to close out a grant, recipients must submit the following:

- 1) The final request for payment, if applicable;
- 2) The final FFR (SF-425);
- 3) The final progress report detailing all accomplishments;
- 4) A qualitative narrative summary of the impact of those accomplishments throughout the period of performance; and
- 5) Other documents required by this NOFO, terms and conditions of the award, or other Coast Guard guidance.

If applicable, an inventory of all construction projects that used funds from this program must be reported with the final progress report.

After these reports have been reviewed and approved by Coast Guard staff, a closeout notice will be completed to close out the grant. The notice will indicate the period of performance as closed, list any remaining funds that will be deobligated, and address the requirement of maintaining the grant records for three years from the date of the final FFR, unless a longer period applies, such as due to an audit or litigation, for equipment or real property used beyond the period of performance, or due to other circumstances outlined in 2 C.F.R. § 200.333.

In addition, any recipient that issues subawards to any subrecipient is responsible for closing out those subawards as described in 2 C.F.R. § 200.343. Recipients acting as pass-through entities must ensure that they complete the closeout of their subawards in time to submit all necessary documentation and information to the Coast Guard during the closeout of their prime grant award.

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

**d. Disclosing Information per 2 C.F.R. § 180.335**

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

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

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

**e. Reporting of Matters Related to Recipient Integrity and Performance**

Per 2 C.F.R. Part 200, Appendix I § F.3, the additional post-award reporting requirements in 2 C.F.R. Part 200, Appendix XII may apply to applicants who, if upon becoming recipients, have a total value of currently active grants, cooperative agreements, and procurement contracts from all federal awarding agencies that exceeds \$10,000,000 for any period of time during the period of performance of an award under this funding opportunity. Recipients that meet these criteria must maintain current information reported in FAPIIS about civil, criminal, or administrative proceedings described in paragraph 2 of Appendix XII at the reporting frequency described in paragraph 4 of Appendix XII.

**5. Monitoring**

Per 2 C.F.R. § 200.336, the Coast Guard, through its authorized representatives, has the right, at all reasonable times, to make site visits to review project accomplishments and management control systems to review project accomplishments and to provide any required technical assistance. During site visits, the Coast Guard will review grant recipients' files related to the grant award. As part of any monitoring and program

evaluation activities, grant recipients must permit the Coast Guard, upon reasonable notice, to review grant-related records and to interview the organization's staff and contractors regarding the program. Recipients must respond in a timely and accurate manner to Coast Guard requests for information relating to the grant program.

## **G. DHS Awarding Agency Contact Information**

### **1. Contact and Resource Information**

Pavlo Oborski: (202) 372-1055

[Pavlo.Oborski@uscg.mil](mailto:Pavlo.Oborski@uscg.mil)

## **H. Additional Information**

### **1. Period of Performance Extensions**

Extensions to the period of performance under this program are not allowed.

### **2. Program Income**

Program income means gross income earned by the State that is directly generated by a supported RBS activity or earned as a result of the RBS award during the period of performance. Program income includes, but is not limited to, income from fees for services performed, the use of rental of real or personal property acquired under the RBS award, the sale of commodities or items fabricated under the RBS award, license fees and royalties on patents and copyrights associated with the State RBS program, and principal and interest on loans made with RBS award funds. Interest earned on advances of RBS funds is not program income. Program income does not include rebates, credits, discounts, and interest earned on any of them.

- a. Per the Terms and Conditions of the Financial Agreement, program income is to be spent on allowable State RBS expenditures and applied to the State's share of expenditures as described by the cost sharing or matching method in 2 C.F.R. § 200.307(e)(3).
- b. Taxes, special assessments, levies, fines, and other such revenues raised by the State are not program income.

### **3. Payments**

Payments will be made by reimbursement. The State expends funds for the State RBS program under its usual procedures. When submitting the quarterly Federal Financial Report, SF-425, the State determines the portion of program expenditures that are considered to be the Federal share. The reimbursement request(s) should match the cumulative Federal share of expenditures reported for the quarter(s). Please note that the State must liquidate all obligations incurred under the Federal award within ninety (90) calendar days after the end of the period of performance.

Payments will be made by Electronic Funds Transfer from the Department of the Treasury. It is the responsibility of the State to ensure that the Coast Guard Finance Center has on file a current Vendor Express Form (ACH), which provides information on the State's agency and financial institution.

#### **4. DHS Civil Rights Evaluation Tool**

Recipients of federal financial assistance from DHS must complete the DHS Civil Rights Evaluation Tool within thirty (30) days of receipt of the Notice of Award or, for State Administering Agencies, thirty (30) days from receipt of the DHS Civil Rights Evaluation Tool from DHS or its awarding component agency. After the initial submission for the first award under which this term applies, recipients are required to provide this information once every two (2) years if they have an active award, not every time an award is made. Recipients should submit the completed tool, including supporting materials, to [CivilRightsEvaluation@hq.dhs.gov](mailto:CivilRightsEvaluation@hq.dhs.gov). This tool clarifies the civil rights obligations and related reporting requirements contained in the DHS Standard Terms and Conditions. Subrecipients are not required to complete and submit this tool to DHS. The evaluation tool can be found at <https://www.dhs.gov/publication/dhs-civil-rights-evaluation-tool>.

Please direct any questions to your Grants Management Specialist.