Revised Collection - OMB Approval No. 1505-0250

RESTORE Act Direct Component program & Centers of Excellence Research Grants Program

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RESTORE ACT Direct Component Multiyear Implementation Plan Narrative

Department of the Treasury

OMB Approval
No. 1505-0250

Directions: Use this form for the Initial Multiyear Implementation Plan and any subsequent amendments to an accepted Multiyear Implementation Plan. For amendments, include only new and/or materially modified activities.

Multiyear Implementation Plan Version (Initial or Amendment Number):	Click here to enter text.

Eligible Entity Name:	Click here to enter text.
Name and Contact Information of the Person to be contacted (POC) on matters concerning this Multiyear Implementation Plan:	
POC Name:	Click here to enter text.
POC Title:	Click here to enter text.
POC Email:	Click here to enter text.
POC Phone:	Click here to enter text.

NARRATIVE DESCRIPTION:

1. Please provide the following for **EACH** proposed activity (i.e. project or program) listed in the matrix:
   -Description of the proposed activity (i.e. project or program);
   - If the activity includes third-party funding, describe the amount and current status of funding (e.g., for another grant, whether the funds have been requested or awarded; if requested, where they are in the approval process) from other sources and provide a description of the specific portion of the project to be funded by the RESTORE Act Direct Component;
   - Need (i.e., What is the problem this activity seeks to address, or the anticipated benefit to the community?),
   -Purpose and objective(s) (i.e., How will the proposed activity address the need? What are the desired outcomes?);
   -Anticipated milestones (i.e. What are key phases and milestones by which the entity will monitor progress towards completion?);
   -Milestones for each activity
   -Criteria applicant will use to evaluate the success of each activity (project or program), (i.e., How will the entity determine that the activity achieved its objectives and solved or ameliorated the problem the activity (project or

program) sought to address or provided the anticipated benefits? Note that this does not need to be at the level of proposed performance metrics, which will be negotiated with Treasury at the time of application for an award.) Please also provide **either** a) an individual map of each and every proposed activity listed on the matrix, clearly showing the location of the activity or b) a single map showing all proposed activities listed on the matrix. Note that all proposed activities must be carried out in the Gulf Coast Region, as defined by 31 C.F.R. 34.2 and pursuant to 31 CFR 34.201, except activities designed for the promotion of tourism in the Gulf Coast Region, including promotion of recreational fishing; the promotion of the consumption of seafood harvested from the Gulf Coast Region; and planning assistance.

Click here to enter text.

2. Please summarize the process for developing the draft multiyear implementation plan, including how projects were initially evaluated and prioritized, and how the entity made the draft multiyear implementation plan available for a minimum of 45 days for public review and comment, in a manner calculated to obtain broad-based participation from individuals, businesses, Indian tribes, and non-profit organizations, such as through public meetings, presentations in languages other than English, and postings on the Internet.
   Attach:
   -Documentation (e.g., a copy of public notices) to demonstrate that the entity made its multiyear implementation plan available to the public for at least 45 days;
   - A copy of all meaningful public comments received (OGCR defines “meaningful” as all comments pertaining to the selection of each activity (projects and programs) or the approach to or design of any proposed activities (projects and program));
   - Any responses provided to meaningful public comments;
   - A list of changes made as a result of meaningful public comments. If critical comments were received but no changes were made, the entity should explain why incorporating these comments is infeasible or not in keeping with the public interest; and
   - A letter from the applicant's leadership approving submission of the multiyear implementation plan to Treasury or a resolution approving the applicant's multiyear implementation plan.

Click here to enter text.

RESTORE ACT Direct Component Multiyear Plan Matrix — Department of the Treasury									OMB Approval No. 1505-0250
Applicant Name:									
1. MULTIYEAR PLAN VERSION (INITIAL OR AMENDMENT NUMBER):			2a. DATE OF INITIAL MULTIYEAR PLAN ACCEPTANCE (mm/dd/yyyy):				2b. DATE OF LAST MULTIYEAR PLAN ACCEPTANCE:		
3. CUMULATIVE DIRECT COMPONENT ALLOCATION AVAILABLE FOR DISTRIBUTION TO APPLICANT:					4. TOTAL ALLOCATIONS PLUS KNOWN FUNDS NOT YET DEPOSITED IN TRUST FUND FOR DIRECT COMPONENT:				
5. Primary Direct Component Eligible Activity Further Described in Application (Static Field)	6. Activity Title (Static Field)	7. Location (Static Field)	8. Estimated Total Funding Contributions For Proposed Activity(ies)(refer to Instructions)				9. Proposed Start Date mm/dd/yyyy	10. Proposed End Date mm/dd/yyyy	11. Status (refer to Instructions)
			8a. Direct Component Contribution	8b. Other RESTORE Act Contribution	8c. Other Third Party Contribution	8d. Total Contribution			
						$0.00			
						$0.00			
						$0.00			
						$0.00			
						$0.00			
						$0.00			
						$0.00			
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						$0.00			
						$0.00			
						$0.00			
						$0.00			
						$0.00			
						$0.00			
						$0.00			
	12. ESTIMATED TOTAL FUNDING CONTRIBUTIONS FOR ACTIVITY(IES) (refer to Instructions)		$0.00	$0.00	$0.00	$0.00	**Please note: Grant awards may reflect non-material changes in proposed dates and estimated funding.**		

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1505-0250. Comments concerning the time required to complete this information collection, including the time to review instructions, search existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information, should be directed to the Department of the Treasury, Office of Gulf Coast Restoration, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

Instructions for Completing the Multiyear Implementation Plan Matrix

Note: the term ”static field” means that the information in the field will not change when the applicant amends the Multiyear Plan.

Box or column number	Instructions
1	**Multiyear Plan Version** Indicate whether the version is the initial multiyear plan submittal or an amendment to an existing Treasury-accepted multiyear plan. For example, the first amendment to the plan would be "amendment #1."
2a	**Date of Initial Multiyear Plan Acceptance** If this is the initial multiyear plan, put N/A. If this is an amendment to a Treasury-accepted multiyear plan, provide the date of initial acceptance.
2b	**Date of Last Multiyear Plan Acceptance** Provide the date of the last multiyear plan amendment acceptance.
3	**Cumulative Direct Component Allocation Available For Distribution to Applicant** Total amount of funds that Treasury allocated to the applicant under the Direct Component portion of the RESTORE Act Gulf Coast Restoration Trust Fund, the allocation available to Applicant can be found on Treasury's RESTORE Act website.
4	**Total Direct Component Allocations Plus Known Funds Not Yet Deposited in Trust Fund** All Trust Fund current allocation(s) and not-yet-deposited funds that represent known future allocations from the Trust Fund that the applicant plans to apply to the activities it proposes in its multiyear plan. The reference to the "not-yet-deposited funds that represent known future allocations from the Trust Fund" means ***future*** payments into the Trust Fund expected ***from a final court decree or settlement agreement***.
5	**Primary Direct Component Eligible Activity** From the drop-down menu, choose the primary qualifying Direct Component eligible activity from the RESTORE Act: 1) Restoration and protection of the natural resources, ecosystems, fisheries, marine and wildlife habitats, beaches, and coastal wetlands of the Gulf Coast Region; 2) Mitigation of damage to fish, wildlife, and natural resources; 3) Implementation of a federally approved marine, coastal, or comprehensive conservation management plan, including fisheries monitoring; 4) Workforce development and job creation; 5) Improvements to or on State parks located in coastal areas affected by the Deepwater Horizon oil spill; 6) Infrastructure projects benefitting the economy or ecological resources, including port infrastructure; 7) Coastal flood protection and related infrastructure; 8) Planning assistance; 9) Promotion of tourism in the Gulf Coast Region, including recreational fishing; and 10) Promotion of consumption of seafood harvested from the Gulf Coast Region. The applicant will list any other applicable proposed eligible activities in the Direct Component Federal Financial Assistance Application (A1). (Static Field)
6	**Activity Title** is assigned by the applicant for the activity/project/program.
7	**Location -** If county-wide or state-wide activity, list the specific municipality(ies) where the activity shown on the accompanying map will occur. (Static Field)
8	**Total Funding Contributions for Proposed Activity(ies)** List the total funds the applicant will use for the proposed activity.
8a.	**Direct Component Contribution** may include both the portion of the allocation issued by Treasury and the not-yet-deposited funds that represent known future allocations from the Trust Fund’s Direct Component scope of work portion that the applicant plans to use for the proposed activity.
8b.	**Other RESTORE Act Contribution** includes the total amount of other RESTORE Act funding that the applicant will rely on to complete the proposed activity. For example, the Spill Impact Component (or other RESTORE Act Component) may include both the portion of the current allocation(s) and the not-yet-deposited funds that represent known future allocations from the Trust Fund that the applicant plans to use for the proposed activity. The applicant will list specific RESTORE Act source of funds in the Direct Component Federal Financial Assistance Application.
8c.	**Other Third Party Contribution** includes in-kind, for profit and nonprofit, federal, state, or local funding that the applicant will rely upon to complete the proposed activity. The applicant will list specific sources of funds in the Direct Component Federal Financial Assistance Application.
8d.	**Total Contribution** is the total amount from all funding sources including the Direct Component funds allocated by Treasury and the not-yet-deposited funds that represent known future allocations from the Trust Fund’s Direct Component; other current RESTORE Act allocation(s) and not-yet-deposited funds that represent known future allocations from the Trust Fund; and other third party funds that the applicant plans to use for a proposed activity.
9	**Proposed Start Date** is provided by the applicant. This is an estimated start date that is anticipated by the applicant. It must not be earlier than the project grant award anticipated date.

RESTORE Act Direct Component Application Narrative - Department of the Treasury

OMB Approval No. 1505-0250

The Direct Component Funding Opportunity Announcements describe in detail the content and information required for your application submission. This application form must be included with your application, along with other documentation as required by the relevant Funding Opportunity Announcement.

General Information

1. Applicant Name:
2. Descriptive Title of the Project (refer to SF-424):
3. Activity Title from Multiyear Plan Matrix, column #6:

Statutory Questions

4. Select the Primary Qualifying Eligible Activity:
    a. Restoration and protection of the natural resources, ecosystems, fisheries, marine and wildlife habitats, beaches and coastal wetlands of the Gulf Coast Region
    b. Mitigation of damage to fish, wildlife and natural resources
    c. Implementation of a federally approved marine, coastal, or comprehensive conservation management plan, including fisheries monitoring
    d. Workforce development and job creation
    e. Improvements to or on State parks located in coastal areas affected by the Deepwater Horizon oil spill
    f. Infrastructure projects benefitting the economy or ecological resources, including port infrastructure
    g. Coastal flood protection and related infrastructure
    h. Planning assistance
    i. Promotion of tourism in the Gulf Coast Region, including recreational fishing
    j. Promotion of the consumption of seafood harvested from the Gulf Coast Region
5. Select all other eligible activities that apply:
    - ☐ Restoration and protection of the natural resources, ecosystems, fisheries, marine and wildlife habitats, beaches and coastal wetlands of the Gulf Coast Region
    - ☐ Mitigation of damage to fish, wildlife and natural resources
    - ☐ Implementation of a federally approved marine, coastal, or comprehensive conservation management plan, including fisheries monitoring
    - ☐ Workforce development and job creation
    - ☐ Improvements to or on State parks located in coastal areas affected by the Deepwater Horizon oil spill
    - ☐ Infrastructure projects benefitting the economy or ecological resources, including port infrastructure
    - ☐ Coastal flood protection and related infrastructure
    - ☐ Planning assistance
    - ☐ Promotion of tourism in the Gulf Coast Region, including recreational fishing
    - ☐ Promotion of the consumption of seafood harvested from the Gulf Coast Region

6. Was the Proposed activity included in any claim for compensation paid out by the Oil Spill Liability Trust Fund after July 6, 2012? If "Yes," this activity is not eligible for a Direct Component grant.
   - ☐ Yes
   - ☐ No

Project Location

7. Location/primary place of performance. Please provide the actual location for the activity.
   a. Street Address:
   b. City/Town:
   c. County/Parish:
   d. State:
   e. Zip code:
8. If there is more than one location for the activity, please include a list of the additional locations.
   a. Street Address:
   b. City/Town:
   c. County/Parish:
   d. State:
   e. Zip code:
9. If available, provide latitude/longitude(s) or GPS coordinates for the location(s) of the project.
10. Attach a map showing the project location in the Gulf Coast Region.
11. Is a GIS shape file available?
    - ☐ No.
    - ☐ Yes. If yes, please provide a point of contact (name and email address) from whom the file may be obtained.

Proposed Scope of Work

The applicant must provide a detailed scope of work that fully describes the project or program for which funding is requested, including all the questions below.

12. Key Personnel
    a. Applicant's Authorizing Official authorized to sign the grant application and award:
       Name
       Email
       Phone
    b. Project Director responsible for the project:
       Name
       Email
       Phone
    c. Financial Officer responsible for maintaining accounting and financial records of the grant:
       Name
       Email
       Phone

13. Project or Program Description:
    a. Need:
    b. Purpose:
    c. Objectives that clearly identify with the eligible activity(ies)
14. Identify how the proposed project activity will be carried out in the Gulf Coast Region as defined in 31 CFR 34.2. (select appropriate response)
    - ☐ In Gulf Coast States, the coastal zones defined under section 304 of the CZMA that border the Gulf
    - ☐ Land within coastal zones held in trust by the Federal Government
    - ☐ Any adjacent land, water, and watersheds within 25 miles of coastal zone
    - ☐ All federal waters of the Gulf of Mexico
    - ☐ The eligible activity is exempt from being located in the Gulf Coast Region. If the eligible activity is exempt, provide the reason for exemption:
15. Describe possible material risks in implementing and maintaining the proposed activity, e.g., operational, legal, regulatory, budgetary, or ecological risks, and include a brief discussion of mitigation strategies that the applicant may need to address in order to implement and/or maintain the proposed activity. If the applicant determines that there are no material risks, then include a statement summarizing the determination.
16. Describe whether the proposed scope of work differs from the corresponding project/program identified in the applicant's Multiyear Plan accepted by Treasury. If no differences exist, make an affirmative statement as to their consistency.

Best Available Science

The RESTORE Act requires activities designed to protect or restore natural resources to be based on the 'best available science,' which is defined in the Act as science that (a) maximizes the quality, objectivity, and integrity of information, including statistical information; (b) uses peer-reviewed and publicly available data; and (c) clearly documents risks and uncertainties in the scientific basis for such projects. The applicant must make a determination that a project designed to protect or restore natural resources is based on the best available science. (See Direct Component FAQs on Treasury's RESTORE Act website.)

17. Is the proposed activity a restoration or natural resource project or does the proposed project include restoration or natural resource objectives?
    - ☐ No
    - ☐ Yes. If yes, a detailed response must be included with the application and supporting documentation may be required. In your responses cite and describe peer reviewed literature or publicly available data. For each source cited, the applicant must provide sufficient citations, including title; journal in which the literature source appeared, if applicable; publication date; author(s); and URL if downloaded or available online.
        a. Provide a response with the following:
            - an explanation of how the project's natural resource protection and/or restoration objectives and proposed methods are based on best available science
            - a summary of any risks or uncertainties associated with the project and explain how these risks will be mitigated

- a description of the peer-reviewed information that justifies the proposed objectives, including methods used for the proposed activity.
- a description of the literature sources' conclusions and any uncertainties or risks in the scientific basis that would apply to the proposed activity.
- if the information supporting the proposed activity does not directly pertain to the Gulf Coast Region, an explanation on how the applicant's methods reasonably support and are adaptable to that geographic area.
- an evaluation of uncertainties and risks in achieving the project's best available science objectives over the longer term.

b. To support the Best Available Science determination, provide copies of any cited planning documents, internal reports and/or other documentation of site conditions that are not part of peer-reviewed literature and/or are not publicly available.

Budget Justification

18. Provide a detailed budget that supports the proposed scope of work. The budget justification should relate each budget category listed in the SF-424A and SF-424C to the specific tasks identified in the proposed scope of work, including any third-party funding. The budget justification should provide specific justification for all budget categories that apply, including an explanation of the necessity, allowability, reasonableness, and allocability of proposed costs. (See relevant Funding Opportunity Announcement for a complete description of the budget categories.)
19. If indirect costs are requested, the applicant must select the appropriate response below and provide relevant supporting documentation:
    - ☐ Indirect costs are based on a grant-by-grant method and do not exceed 3% of award amount
    - ☐ Indirect costs are based on the Aggregate Method and do not exceed 3% of the total Administrative Cost Pool available.

    a. If requesting the aggregate method, provide a table of administrative costs requested to date and the available funds in the recipient's administrative indirect cost pool. (We recommend using the worksheet from the Aggregate Method Administrative Cost Tool.)

    b. Indirect costs must be supported by either a current federally approved Indirect Cost Rate Agreement or an election to use the de minimis indirect cost rate. Applicants electing to use the de minimis rate should upload a letter or other similar document, signed by their Chief Financial Officer or other senior official. Applicants electing to use a federally approved Indirect Cost Rate Agreement (Negotiated Indirect Cost Rate Agreement, NICRA) should upload the current NICRA.
20. Does the project include Other Funding Sources?
    - ☐ No.
    - ☐ Yes. If yes, provide documentation of proof of availability of other funds needed for completion of project activities. (See relevant Funding Opportunity Announcement for a complete description of what Treasury accepts as documentation as proof of available other funds).

Direct Component Funds to Satisfy Non-Federal Cost Share

Treasury's RESTORE Act regulations at 31 CFR § 34.200(b) allow eligible applicants to use funds under the Direct Component to satisfy the non-Federal cost-share of an activity that is eligible for funding under 31 CFR § 34.201 and authorized by Federal law. Applicants seeking to use Direct Component funding to cover the non-Federal cost-share of another federally funded project or program which is a Direct Component eligible activity must include documentation in its application. Treasury will not award funds for the non-federal share of a project receiving funding from another Federal agency until the other Federal agency has approved the activity and Treasury receives documentation of the approval. (See relevant Funding Opportunity Announcement for a complete description of what must be provided.)

21. Will the proposed activity use Direct Component funding to cover the non-Federal cost-share of another federally funded project or program which is a Direct Component eligible activity?
    - ☐ No.
    - ☐ Yes.
        a. If yes, has the other Federal agency approved the activity?
            - ☐ No. If no, the applicant must provide the additional information as follows.
                i. The project description/scope of work and performance metric.
                ii. A narrative describing the activity's status and the approximate timeline for the Federal agency to approve or decline the activity.
                iii. A letter of commitment from that agency or other documentation that indicates the applicant will receive funding.
            - ☐ Yes. If yes, the applicant must upload a copy of the grant agreement or other approval document as part of this Direct Component application.

Contractor

22. Does the applicant plan to contract out any work described in the Scope of Work and included in the Budget Justification (do not include subrecipient's contractors)?
    - ☐ No.
    - ☐ Yes.
        a. Describe the expected number of contracts, method of procurement, and the applicant's plan for monitoring contractor performance and compliance.
        b. Has a contractor already been selected?
            - ☐ No.
            - ☐ Yes. If yes, provide information for each contractor.
                i. Name:
                ii. Unique Entity ID (SAM):
                iii. Date the applicant executed contract:
                iv. Amount of contract awarded:

Subrecipient

23. Does the proposed project include a subaward?
    - ☐ No.
    - ☐ Yes. If yes, provide a separate, clearly defined scope of work and budget for the subrecipient(s).
      a. Has a subrecipient already been selected?
        - ☐ No. If no, describe how the applicant plans to select subrecipient(s), the applicant's plan for monitoring the subrecipient(s) performance and compliance, and the means by which the applicant will assess each subrecipient's level of risk.
        - ☐ Yes. If yes, provide information for each subrecipient.
          i. Name:
          ii. Unique Entity ID (SAM):
          iii. Date of applicant selection of subrecipient:
          iv. Amount of funds to be provided to subrecipient:
          v. Describe how the applicant selected the subrecipient; the applicant's plan for monitoring the subrecipient's performance and compliance, and the means by which the applicant assessed the subrecipient's level of risk.

Land Acquisition, Construction, and Relocation Assistance

24. Will land, or an interest in land, be acquired?
    - ☐ No.
    - ☐ Yes. If yes, answer the questions below. Based on the applicant's responses to the following questions, the applicant may be required to upload supporting documentation.

      a. What are the legal rights that will be acquired?
        - ☐ Fee simple title
        - ☐ Less-Than Fee Simple Title (e.g., easement)

      b. If an easement, what is the life of the easement?
      c. If known, what is the tax parcel number(s)? If tax parcel known, provide a copy of the legal description of the property.
      d. Will the applicant (or subrecipient) hold title to the land?
        - ☐ No. If no, please provide a brief explanation for ownership of the property including how access to property for the project will be obtained.
        - ☐ Yes. If obtained, provide the applicable evidence of title/rights documentation pursuant to the Treasury's guidance at Treasury's RESTORE Act Direct Component Resources website.
      e. If known, what is the total acreage of the proposed property interest to be acquired?
      f. Are the property boundaries known for the project site?
        - ☐ No.
        - ☐ Yes. If yes, provide a map of the area in which the real property to be acquired will be located, with the boundaries of the project site clearly delineated and provide a Federal Emergency Management Agency (FEMA) floodplain map of the area in which the real property to be acquired will be located with the boundaries of the site clearly delineated.

g. Has the applicant (or subrecipient) obtained a recent certified appraisal of the property?
   - ☐ No.
   - ☐ Yes. If obtained, provide a copy of the recent certified appraisal. If the appraisal is older than one year from the date of the grant application, please provide a written justification.

h. Has the applicant (or subrecipient) obtained a title opinion or certificate?
   - ☐ No
   - ☐ Yes. If obtained, provide the applicable evidence of title/rights documentation pursuant to the Treasury's guidance at Treasury's RESTORE Act Direct Component Resources website.

i. Has the applicant (or subrecipient) obtained a signed statement from the seller(s) that he/she is a willing seller and has not been coerced into selling or conveying the property interest?
   - ☐ No.
   - ☐ Yes. If obtained, provide a copy of the signed willing seller statement.

25. Does the project include construction?
   - ☐ No.
   - ☐ Yes. If yes, answer the questions below. Based on the applicant's responses to the following questions, the applicant may be required to upload supporting documentation.

   a. Will or does the applicant (or subrecipient) hold title to the property to be improved?
      - ☐ No. If no, please provide a brief explanation of the ownership of the property including how access to property for the project will be obtained.
      - ☐ Yes. If obtained, provide the applicable evidence of title/rights documentation pursuant to the Treasury's guidance at Treasury's RESTORE Act Direct Component Resources website.

   b. If known, what is the tax parcel number(s) of the property? If tax parcel known, provide a copy of the legal description of the property.

   c. Are the property boundaries known for the project site?
      - ☐ No.
      - ☐ Yes. If property boundaries known, provide a map of the area in which the construction project will be located, with the boundaries of the project site clearly delineated and a Federal Emergency Management Agency (FEMA) floodplain map of the area in which the construction project will be located with the boundaries of the site clearly delineated.

   d. Has the applicant (or subrecipient) obtained a recent certified appraisal of the property?
      - ☐ No.
      - ☐ Yes. If obtained, provide a copy of the recent certified appraisal. If the appraisal is older than one year from the date of the grant application, please provide a written justification.

   e. Has the applicant (or subrecipient) obtained construction drawings for the project?
      - ☐ No.
      - ☐ Yes. If obtained, provide a copy of the construction drawings for the project.

   f. Is the applicant proposing an Estimated Useful Life for the construction activity?
      - ☐ No.

- ☐ Yes. If yes, provide a proposed Estimated Useful Life for infrastructure (in years) and provide a description of the method used to determine the Estimated Useful Life of the project.

26. Relocation Assistance: Will the proposed project cause the displacement of any persons, businesses, or farm operations?
    - ☐ No.
    - ☐ Yes. If yes, as required by Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, explain: the number of displaced persons, including businesses and farm operations; what fair and reasonable relocation payments and advisory services will be provided to any displaced persons; and what provisions will be made to ensure that safe, decent, and sanitary replacement dwellings will be available to such persons within a reasonable period of time prior to displacement.

RESTORE Act Centers of Excellence Research Grant Program Application Narrative - Department of the Treasury

OMB Approval No. 1505-0250

The Centers of Excellence Research Grants Program Funding Opportunity Announcement describes in detail the content and information required for your application submission. This application form must be included with your application, along with other documentation as required by the relevant Funding Opportunity Announcement.

GENERAL INFORMATION:

Applicant Name:

Federal Funding Opportunity Announcement #:

Is this application to fund the establishment of a new/additional Center(s) of Excellence and/or an existing Center(s) of Excellence?

☐ Existing Center(s) of Excellence (If yes, complete Sections A, C, D, and E)
☐ New/Additional Center(s) of Excellence (If yes, complete Sections B, C, D, and E)
☐ Both Existing and New/Additional Center(s) of Excellence (If yes, complete Sections A, B, C, D, and E)

A. EXISTING CENTER(S) OF EXCELLENCE:

1. Selection Process and Public Input

a. List existing Center(s) and the corresponding grant number(s) under which it was first established, thereby incorporating previous responses by reference.

b. Provide a description of any modifications to the rules and policies that were approved after consideration of meaningful input from the public made since the selection of the existing Center(s).

B. NEW/ADDITIONAL CENTER(S) OF EXCELLENCE:

1. Selection Process – New/Additional Center(s) of Excellence

Describe the competitive review process that the applicant used, or will use, to select a new/additional Center(s) of Excellence, including: a) the qualifications for entities and consortia; b) the criteria for selection and how those criteria have been/will be applied; c) how priority has been/will be given to entities and consortia that demonstrate the ability to organize the broadest cross- section of participants with interest and expertise in the discipline(s) on which this application is focused, including participation by minority-serving institutions; d) timeframe of selection process; and e) any other selection factors. As appropriate, provide references to existing state statutory or regulatory requirements.

2. Public Input – New/Additional Center(s) of Excellence

Explain the process the applicant has engaged in or will engage in to provide 45-day minimum public review and comment on its rules and policies, including the competitive selection process, and the consideration of meaningful input from the public, including broad-based participation from individuals, businesses, Indian tribes, and non-profit organizations. Provide links to public comments, newspaper articles, transcripts, or minutes of meetings, etc. If these are not available on the Internet, please attach relevant documents to the application package.

C. RECIPIENT INFORMATION (required for all applications):

1. Subaward Management

Describe how the applicant will manage the subaward(s) to the Center(s), including the applicant's policies and procedures for issuing subawards; the process to guard against conflicts of interest; the process for selecting science, technology, or monitoring projects; and monitoring subrecipient's performance and compliance, including the subrecipient's oversight of lower tier subrecipients.

D. CENTER OF EXCELLENCE INFORMATION (required for all applications):

1. Contact Information

Please provide the name of the Center(s) of Excellence and the name and address for each entity selected to operate the Center(s) of Excellence as a subrecipient of the applicant; attach more pages as needed. Also, provide the Principal Investigator's (PI) contact information.

a. Name of Center of Excellence:
b. Name of Subrecipient:
c. Street address:
d. City:
e. County/Parish:
f. State:
g. Zip code:
h. UEI Number
i. PI Name:
j. PI Phone Number:
k. PI Email Address:

2. Eligible Disciplines

Select the applicable eligible disciplines that each Center will be focusing on as part of this grant request. (Select all that apply)

☐ Coastal and deltaic sustainability, restoration and protection, including solutions and technology that allow citizens to live in a safe and sustainable manner in a coastal delta in the Gulf Coast Region

☐ Coastal fisheries and wildlife ecosystem research and monitoring in the Gulf Coast Region

☐ Offshore energy development, including research and technology to improve the sustainable and safe development of energy resources in the Gulf of Mexico

☐ Sustainable and resilient growth and economic and commercial development in the Gulf Coast Region

☐ Comprehensive observation, monitoring, and mapping of the Gulf of Mexico

3. Center Details

Provide more information on each Center, including what type of entity it is and whether it is a consortium.

a. Type of Entity (Institution of higher education, corporation, etc.):

b. Is the Center of Excellence a consortium?

☐ No.

☐ Yes. If yes, list all member organizations and addresses:

4. Minority-Serving Institutions

Select whether there is a Minority-Serving Institution(s) and name the entity and type of MSI if applicable.

☐ No.

☐ Yes. If yes, name and type of institution(s): (e.g., Historically Black College or University or Hispanic Serving Institution – see definition of Minority Institution and list of institutions.

5. Location

Is the Center of Excellence located in the Gulf Coast Region, as defined at 31 CFR § 34.2? Explain or upload a map if necessary.

☐ No.

☐ Yes.

E. PROGRAM DETAILS (required for all applications):

1. Proposed Scope of Work

A detailed scope of work that fully describes the program for which funding is requested, including:

a. Key Personnel. Include the name and contact information for the following:

i. Applicant's Authorizing Official authorized to sign the grant application and award:

Name
Email
Phone

ii. Project Director responsible for the project:

Name
Email

Phone

iii. Financial Officer responsible for maintaining accounting and financial records of the grant:

Name
Email
Phone

b. Program Description. The Program Description must include the following:
Need:
Purpose:
Objectives, including how they are designed to contribute to establishing/maintaining the Center(s) and monitoring the subrecipient(s)
Science, technology, and monitoring activities and how these activities relate to the eligible discipline(s):

c. Subrecipient Scope of Work. Include a separate, clearly defined scope of work for the subrecipient(s) and a detailed subrecipient budget.

2. Budget Justification

Explain in detail how the proposed budget supports the proposed scope of work. The budget justification should relate each budget category listed in the SF-424A to the specific tasks identified in the proposed scope of work. The budget justification should provide specific justification for all budget categories that apply, including an explanation of the necessity, allowability, reasonableness, and allocability of proposed costs. (See the Centers of Excellence Research Grants Program Funding Opportunity Announcement for a complete description of the budget categories.)

a. Indirect costs must be supported by a current federally approved Indirect Cost Rate. Applicants electing to use a federally approved Negotiated Indirect Cost Rate Agreement should upload the current agreement. *Please contact Treasury if the applicant does not have an indirect cost rate from its cognizant federal agency and wishes to include indirect costs in the proposed budget.*

3. Permits

Do the Center's proposed activities require any federal, tribal, state, or other permits?

☐ No.

☐ Yes. If yes, provide a list of specific federal, tribal, state, or other permits or authorizations required for science, technology, and monitoring activities in this program and their status. If permits or authorizations have been obtained, include them with the application. (For federal environmental requirements, see Environmental Checklist - Reference Guidance on the RESTORE Act Centers of Excellence Resources webpage.)

RESTORE Act Direct Component Applicant Certifications
Department of the Treasury

OMB Approval No. 1505-0250

Directions: These certifications are required by federal law and Department of the Treasury (Treasury) regulations to be submitted with each application to Treasury for financial assistance under the RESTORE Act Direct Component. The certifications must be signed by an authorized senior official of the Applicant who can legally bind the entity and has oversight for the administration and use of the Direct Component funds.

A. RESTORE Act Certification

1. Pursuant to the RESTORE Act, I certify that for any award agreement resulting from this application:
(a) Each activity funded under this agreement has been primarily designed to plan for or undertake activities to restore and protect one or more of the following: the natural resources, ecosystems, fisheries, marine and wildlife habitats, beaches, coastal wetlands, or economy of the Gulf Coast region.
(b) Each activity funded under this agreement is designed to carry out one or more of the eligible activities for the Direct Component.
(c) Each activity funded under this agreement was selected after consideration of all meaningful input from the public, including broad-based participation from individuals, businesses, Indian tribes, and nonprofit organizations, as described in the grant application. The certification in this paragraph (1)(c) does not apply to planning assistance funds to prepare and amend the Multiyear Implementation Plan.
(d) Each activity funded under this agreement that protects or restores natural resources is based on the best available science, as that term is defined in 31 C.F.R. Part 34.
(e) The Applicant has procedures in place for procuring property and services under this award that are consistent with the procurement standards applying to Federal grants. The Applicant will not request funds under this award for any contract unless this certification remains true and accurate.
(f) Pursuant to 2 C.F.R. § 200.303, the Applicant will establish and maintain effective internal control over all award agreements resulting from this application, and provide reasonable assurance that the Applicant will manage the award in compliance with Federal statutes, regulations, and the terms and conditions of the award. The Applicant knows of no material deficiencies in its internal controls.
(g) A conflict of interest policy consistent with 2 C.F.R. § 200.318(c) is in effect and covering each activity funded under this Agreement.
(h) The Applicant will comply with Title VI of the Civil Rights Act of 1964, the Rehabilitation Act of 1973, and all other applicable federal laws and regulations concerning anti-discrimination.
2. I make each of these certifications based on my personal knowledge and belief after reasonable and diligent inquiry, and I affirm that the Applicant maintains written documentation sufficient to support each certification made above, and that the Applicant's compliance with each of these certifications is a condition of the Applicant's initial and continuing receipt and use of the funds provided under this Agreement.

B. Certification Regarding Debarment, Suspension, and Other Responsibility Matters -- Primary Covered Transactions: Instructions for Certification

1. By signing and submitting this Application, the prospective primary participant (the Applicant) is providing the certification set out below.
2. The inability of an Applicant to provide the certification required below will not necessarily result in the denial of participation in this covered transaction. The prospective Applicant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with Treasury's approval of the proposed application. However, failure of the Applicant to furnish a certification or an explanation shall disqualify such person/entity from participation in this transaction.
3. This certification is a material representation of fact upon which reliance is placed when Treasury determines to enter into this transaction. If it is later determined that the Applicant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal government, Treasury may terminate this transaction for cause or default.
4. The Applicant shall provide immediate written notice to Treasury if at any time the Applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transactions," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal", and "voluntarily excluded," as used in this clause (certification), have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact Treasury for assistance in obtaining a copy of those regulations (31 C.F.R. Part 19).
6. The Applicant agrees by submitting this Application that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by Treasury.
7. The Applicant further agrees by submitting this Application that it will not award any contract or subaward to any entity on the government-wide Excluded Parties List System (see 31 C.F.R. Part 19, Appendix).
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1505-0250. Comments concerning the time required to complete this information collection, including the time to review instructions, search existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information, should be directed to the Department of the Treasury, Office of Gulf Coast Restoration, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal government, Treasury may terminate this transaction for cause or default.

C. Certification Regarding Debarment, Suspension, and Other Responsibility Matters -- Primary Covered Transactions

1. The prospective primary participant (the Applicant) certifies to the best of its knowledge and belief, that it and its principals:
(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
(b) Have not within a three-year period preceding this Application 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;
(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
(d) Have not within a three-year period preceding this Application had one or more public transactions (Federal, State or local) terminated for cause or default.
2. Where the Applicant is unable to certify to any of the statements in this certification, such Applicant shall attach an explanation to this proposal.

D. Certification Regarding Drug-Free Workplace Requirements

1. The Applicant certifies that it will provide a drug-free workplace by:
(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against the employee for violations of such prohibition;
(b) Establishing a drug-free awareness program to inform employees about:
(i) The dangers of drug abuse in the workplace;
(ii) The Applicant's policy of maintaining a drug-free workplace;
(iii) Any available drug counseling, rehabilitation, and employee assistance program; and
(iv) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.
(c) Making it a requirement that each employee to be engaged in the performance of the award be given a copy of the statement required by paragraph (a);
(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment in such grant, the employee will:
(i) Abide by the terms of the statement; and
(ii) Notify the employer of any criminal drug use statute conviction for a violation occurring in the workplace no later than five calendar days after such conviction;
(e) Notifying the granting agency in writing, within ten calendar days after receiving notice of a conviction under paragraph (d)(ii) from an employee or otherwise receiving actual notice of such conviction;
(f) Taking one of the following actions, within 30 days of receiving notice under paragraph (d)(ii) , with respect to any employee who is so convicted:
(i) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
(ii) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency; and
(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a) through (f).

E. Certification Regarding Lobbying

1. The Applicant certifies, to the best of its knowledge and belief, that:
(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
(b) If any funds other than Federal appropriated funds have been paid or will be paid 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 of a Member of Congress in connection with this Application, the undersigned shall complete and submit Standard Form-LLL, ''Disclosure Form to Report Lobbying,'' in accordance with its instructions.
(c) The Applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.
2. This certification is a material representation of fact upon which reliance is placed when this transaction is made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by title 31 U.S. Code section 1352. 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.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1505-0250. Comments concerning the time required to complete this information collection, including the time to review instructions, search existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information, should be directed to the Department of the Treasury, Office of Gulf Coast Restoration, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

Signature of Authorized Senior Official:			
Name:		Date:	
Title:		Organization:	

RESTORE Act Centers of Excellence Applicant Certifications
Department of the Treasury

OMB Approval No. 1505-0250

Directions: These certifications are required by federal law and Department of the Treasury (Treasury) regulations to be submitted with each application to Treasury for financial assistance under the RESTORE Act Centers of Excellence Research Grants program. The certifications must be signed by an authorized senior official of the Applicant who can legally bind the entity and has oversight for the administration and use of the Centers of Excellence Research Grants program funds.

A. RESTORE Act Certification

1. Pursuant to the RESTORE Act, I certify that for any award agreement resulting from this application:

(a) Funds will be used to award competitive grants for the establishment of Centers of Excellence that focus on science, technology, and monitoring in at least one of the following disciplines:

(i) Coastal and deltaic sustainability, restoration, and protection, including solutions and technology that allow citizens to live in a safe and sustainable manner in a coastal delta in the Gulf Coast region;

(ii) Coastal fisheries and wildlife ecosystem research and monitoring in the Gulf Coast Region;

(iii) Offshore energy development, including research and technology to improve the sustainable and safe development of energy resources in the Gulf of Mexico;

(iv) Sustainable and resilient growth and economic and commercial development in the Gulf Coast Region; and

(v) Comprehensive observation, monitoring, and mapping of the Gulf of Mexico.

(b) Rules and policies for Centers of Excellence Research Grants, including the competitive selection process and measures to guard against conflicts of interest, were published and available for public review and comment for a minimum of 45 days, and that they were adopted after consideration of all meaningful input from the public, including broad-based participation from individuals, businesses, Indian tribes, and non-profit organizations. The certification in this paragraph (1)(b) does not apply in instances where state statutes and regulations or policies addressing this issue were in effect prior to August 15, 2014.

(c) The Applicant has procedures in place for procuring property and services under this award that are consistent with the procurement standards applying to Federal grants. The Applicant will not request funds under this award for any contract unless this certification remains true and accurate.

(d) Pursuant to 2 CFR § 200.303, the Applicant will establish and maintain effective internal control over all award agreements resulting from this application, and provide reasonable assurance that the Applicant will manage the award in compliance with Federal statutes, regulations, and the terms and conditions of the award. The Applicant knows of no material deficiencies in its internal controls.

(e) A conflict of interest policy consistent with 2 CFR § 200.318(c) is in effect and covering each Center of Excellence funded under this Agreement.

(f) The Applicant will comply with Title VI of the Civil Rights Act of 1964, the Rehabilitation Act of 1973, and all other applicable federal laws and regulations concerning anti-discrimination.

2. I make each of these certifications based on my personal knowledge and belief after reasonable and diligent inquiry, and I affirm that the Applicant maintains written documentation sufficient to support each certification made above, and that the Applicant's compliance with each of these certifications is a condition of the Applicant's initial and continuing receipt and use of the funds provided under an award Agreement.

B. Certification Regarding Debarment, Suspension, and Other Responsibility Matters -- Primary Covered Transactions: Instructions for Certification

1. By signing and submitting this Application, the prospective primary participant (the Applicant) is providing the certification set out below.

2. The inability of an Applicant to provide the certification required below will not necessarily result in the denial of participation in this covered transaction. The prospective Applicant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with Treasury's approval of the proposed application. However, failure of the Applicant to furnish a certification or an explanation shall disqualify such person/entity from participation in this transaction.

3. This certification is a material representation of fact upon which reliance is placed when Treasury determines to enter into this transaction. If it is later determined that the Applicant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal government, Treasury may terminate this transaction for cause or default.

4. The Applicant shall provide immediate written notice to Treasury if at any time the Applicant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transactions," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal", and "voluntarily excluded," as used in this clause (certification), have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact Treasury for assistance in obtaining a copy of those regulations (31 CFR Part 19).

6. The Applicant agrees by submitting this Application that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by Treasury.

7. The Applicant further agrees by submitting this Application that it will not award any contract or subaward to any entity on the government-wide Excluded Parties List System (see 31 CFR Part 19, Appendix).

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal government, Treasury may terminate this transaction for cause or default.

C. Certification Regarding Debarment, Suspension, and Other Responsibility Matters -- Primary Covered Transactions

1. The prospective primary participant (the Applicant) certifies to the best of its knowledge and belief, that it and its principals:
(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
(b) Have not within a three-year period preceding this Application 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;
(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
(d) Have not within a three-year period preceding this Application had one or more public transactions (Federal, State or local) terminated for cause or default.
2. Where the Applicant is unable to certify to any of the statements in this certification, such Applicant shall attach an explanation to this proposal.

D. Certification Regarding Drug-Free Workplace Requirements

1. The Applicant certifies that it will provide a drug-free workplace by:
(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against the employee for violations of such prohibition;
(b) Establishing a drug-free awareness program to inform employees about:
(i) The dangers of drug abuse in the workplace;
(ii) The Applicant's policy of maintaining a drug-free workplace;
(iii) Any available drug counseling, rehabilitation, and employee assistance program; and
(iv) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.
(c) Making it a requirement that each employee to be engaged in the performance of the award be given a copy of the statement required by paragraph (a);
(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment in such grant, the employee will:
(i) Abide by the terms of the statement; and
(ii) Notify the employer of any criminal drug use statute conviction for a violation occurring in the workplace no later than five calendar days after such conviction;
(e) Notifying the granting agency in writing, within ten calendar days after receiving notice of a conviction under paragraph (d)(ii) from an employee or otherwise receiving actual notice of such conviction;
(f) Taking one of the following actions, within 30 days of receiving notice under paragraph (d)(ii) , with respect to any employee who is so convicted:
(i) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
(ii) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency; and
(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a) through (f).

E. Certification Regarding Lobbying

1. The Applicant certifies, to the best of its knowledge and belief, that:
(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
(b) If any funds other than Federal appropriated funds have been paid or will be paid 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 of a Member of Congress in connection with this Application, the undersigned shall complete and submit Standard Form-LLL, ''Disclosure Form to Report Lobbying,'' in accordance with its instructions.
(c) The Applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.
2. This certification is a material representation of fact upon which reliance is placed when this transaction is made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by title 31 U.S. Code section 1352. 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.

Signature of Authorized Senior Official:			
Name:		Date:	
Title:		Organization:	

RESTORE Act Application Milestones and Performance Measures – Department of the Treasury

OMB Approval No. 1505-0250

A. Milestones:

Provide the milestones and the estimated timeframe for completion (Number of Months After Performance Period Start Date).

B. Performance Measures:

Include the following information. For guidance, see Treasury RESTORE guidance on performance metrics.

a. Measure: An indicator of success toward reaching a goal. The measure should reflect how the applicant will evaluate success from the narrative of the accepted multiyear plan.

RESTORE Act Environmental Compliance Form - Department of the Treasury

OMB Approval Number 1505-0250

The following questions will aid the applicant in identifying the environmental laws that may apply to the eligible activity and the environmental documents that should be submitted with the application. If a response of 'Yes' is recorded to any of the following questions, the applicant should summarize the status of any actions taken to implement the requirements of the law. If a response of 'No' is recorded to any of the following questions, the applicant has the option to summarize their analysis and conclusion regarding the non-applicability of the environmental law. Treasury will use submitted documents to record the applicant's assertion that it has complied with applicable environmental laws. For projects that will be implemented by a subrecipient, applicants may submit an RESTORE Act Environmental Compliance Form completed by the subrecipient's authorized representative. A signed statement from the applicant attesting to its review of the subrecipient's RESTORE Act Environmental Compliance Form must be included with the application.

Please note: More information, references, and links to all the laws and executive orders can be found in the Environmental Checklist Reference Guide on Treasury's RESTORE Act website.

A. FORM INTAKE

1) Please offer the following details about who provided the information to complete this form.
   Name:
   Title:
   Organization:
   Date:

2) For projects that do not involve construction activities, has the applicant identified any environmental laws that may apply to the eligible activity?
   - ☐ Yes. If yes, the applicant will proceed to question 3.
   - ☐ No.
   - ☐ Not applicable. The project includes construction activities.

3) Will the project be implemented by a subrecipient?
   - ☐ Yes. If yes, provide the subrecipient organization:
   - ☐ No. If no, proceed to Section B.

4) Has the subrecipient's authorized representative completed and certified the Environmental Compliance Form?
   - ☐ Yes. If the subrecipient has completed and certified the Environmental Compliance Form at time of application, the applicant should upload the certified form and any supporting documentation.
   - ☐ No. If the subrecipient has not completed and certified the Environmental Compliance Form

review at time of application, please provide a brief explanation (for example, the subrecipient agreement has not been executed and the applicant will require the subrecipient to submit a completed and certified Environmental Compliance Form prior to commencing construction activities within the scope of work.)

5) Certification of Review
If the Environmental Compliance Form is completed and certified by the subrecipient, the applicant must complete the following statement attesting to review of the subrecipient's Environmental Compliance Form.

The Applicant certifies that it has reviewed the subrecipient's RESTORE Act Environmental Compliance Form and attest to its accuracy.
Signature of Applicant's Authorized Senior Official:
Name:
Date:
Title:
Organization:

B. ASSESSMENT OF APPLICABILITY OF ENVIRONMENTAL LAWS

If the project will be implemented by the recipient, the following questions must be completed by the applicant.

1) **NATIONAL ENVIRONMENTAL POLICY ACT (NEPA)**
An Environmental Review may be required based on the answers to the following questions:

Will the proposed activity be subject to any federal permitting authority, subject to any federal regulatory decision or approval, and/or receive federal assistance of any federal agency (other than RESTORE Act funding associated with this application)?
*If the answer to **any** of these questions is "yes," contact the relevant federal agency or agencies for further guidance on environmental compliance.*

Yes ☐ No ☐ Uncertain ☐
If yes, list the federal agency(ies): _____

Has a NEPA or NEPA-like review been prepared for this proposed eligible activity or is a NEPA review underway?
NEPA documentation may include a Categorical Exclusion (CE), Environmental Assessment (EA)/Finding of No Significant Impact, or an Environmental Impact Statement (EIS), or a state or tribal equivalent, or the issuance of or a public notice of intent to issue a federal permit, such as a USACE Section 404/10 permit.

Yes ☐ No ☐ Uncertain ☐
If yes, list the document(s) and federal agency(ies): _____

If no, briefly summarize your entity's determination that a NEPA or NEPA-like review will not be required for this proposed eligible activity. (optional)
Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include a copy of the environmental review, correspondence with the relevant federal agency(ies), or copy of a public notice of intent to issue a federal permit.

2) **COASTAL ZONE MANAGEMENT ACT (CZMA)**
A federal consistency determination or certification pursuant to Section 307 of the Coastal Zone Management Act may be required from the state coastal zone management program, based on the answers to the following questions:

If the activity will occur in or near the state's designated coastal zone, and therefore in the Gulf Coast Region as defined in Treasury's regulations at 31 CFR 34.2, is the activity likely to have reasonably foreseeable effects on any land or water use or natural resource of the designated coastal zone?
Yes ☐ No ☐ Uncertain ☐
If yes, a federal consistency determination or certification pursuant to Section 307 of the CZMA may be required, from the state agency responsible for CZMA consistency.

If no, briefly summarize your entity's determination that the activity will not be likely to have reasonably foreseeable effects on any land or water use or natural resource of the designated coastal zone. (optional)

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include correspondence with relevant State Coastal Zone Management Program regarding CZMA applicability and requirements, a copy of a federal consistency

determination, or copy of a certificate. In cases of joint reviews, documentation of CZMA compliance may include a copy of a state permit. In Florida, documentation may include a copy of a clearance letter from the state Clearinghouse.

3) **NATIONAL MARINE SANCTUARIES ACT**

A permit or other authorization may be required from the National Oceanic and Atmospheric Administration (NOAA) based on the answer to the following question:

Is the proposed activity located in a National Oceanic and Atmospheric Administration (NOAA) National Marine Sanctuary?
If the answer to this question is "yes" or "uncertain" contact the nearest Regional Office of NOAA's National Marine Sanctuaries Program for further guidance.
Yes ☐ No ☐ Uncertain ☐
If yes, identity the National Marine Sanctuary: _____

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include a copy of a state or federal permit, copy of a consultation, or correspondence with a Regional Office of NOAA's National Marine Sanctuaries Program to determine whether a permit and/or consultation or further coordination is required.

4) **MAGNUSON – STEVENS FISHERY CONSERVATION AND MANAGEMENT ACT**

Consultation with the NMFS may be required if Essential Fish Habitat (EFH) is present and based on the answers to the following questions:

Will the proposed activity occur in proximity to an Essential Fish Habitat (EFH) as identified by NOAA's National Marine Fisheries Service (NMFS)?
If yes, consultation with NMFS Habitat Conservation Division may be required.
Yes ☐ No ☐ Uncertain ☐
If yes, identity the EFH types: _____
If no, briefly summarize your entity's determination that EFH is not present: (optional)

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further

coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include a copy of a state or federal permit, copy of a consultation, or correspondence with NOAA NMFS to determine whether a permit and/or consultation or further coordination is required.

5) **MARINE MAMMAL PROTECTION ACT (MMPA) (NMFS)**
A permit may be required if an activity will result in the "take" of a marine mammal, based on the answers to the following questions. "Take" as defined under the MMPA means "to harass, hunt, capture, or kill, or attempt to harass, hunt, capture, or kill any marine mammal" (16 U.S.C. 1362).
Permits for most marine mammals are issued by NMFS.

If the answer to either of these questions is "yes" or you are unsure, contact NMFS.

Will the proposed activity occur in proximity to any known marine mammals under the jurisdiction of the NMFS?
Yes ☐ No ☐ Uncertain ☐
If no, briefly summarize your entity's determination that the proposed activity will not occur in proximity to any known marine mammals under the jurisdiction of NMFS. (optional)

Will the proposed activity likely result in the take of a marine mammal?
Yes ☐ No ☐ Uncertain ☐
If yes, identify the marine mammal(s): _____
If no, briefly summarize your entity's determination that the proposed activity will not likely result in the take of a marine mammal. (optional)

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with NMFS. This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include a copy of a state or federal permit, copy of a consultation, or correspondence with a NMFS Field Office to determine whether a permit and/or consultation or further coordination is required.

6) **MARINE MAMMAL PROTECTION ACT (USFWS)**

A permit may be required if an activity will result in the "take" of a marine mammal, based on the answers to the following questions. "Take" as defined under the MMPA means "to harass, hunt, capture, or kill, or attempt to harass, hunt, capture, or kill any marine mammal" (16 U.S.C. 1362). Manatees, polar bears, sea otters, walruses, and dugongs are under the jurisdiction of the USFWS.

If the answer to either of these questions is "yes" or you are unsure, contact the appropriate USFWS ecological services office to determine if a permit is required.

Will the proposed activity occur in proximity to any known marine mammals under the jurisdiction of the U.S. Fish and Wildlife Service (USFWS)?

Yes ☐ No ☐ Uncertain ☐

If no, briefly summarize your entity's determination that the proposed activity will not occur in proximity to any known marine mammals under the jurisdiction of USFWS. (optional)

Will the proposed activity likely result in the take of a marine mammal?

Yes ☐ No ☐ Uncertain ☐

If yes, identify the marine mammal(s): _____

If no, briefly summarize your entity's determination that the proposed activity will not likely result in the take of a marine mammal. (optional)

Do you have anything to report on environmental compliance status for this law?

Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.

N/A ☐ Yes ☐ No ☐

Name of responsible agency/tribe:

Permit, certification, determination mitigation required:

Date of contact or permission obtained:

Status:

Upload supporting documents.

Documentation may include a copy of a state or federal permit, copy of a consultation, or correspondence with a USFWS Field Office to determine whether a permit and/or consultation or further coordination is required.

7) **ENDANGERED SPECIES ACT (ESA) (USFWS)**

A consultation pursuant to Section 7 or 10 of the Endangered Species Act and/or a permit and conservation plan pursuant to Section 10 may be required based on the answers to the following questions:

If the answer to either of these questions is "yes," or you are unsure, contact the appropriate ecological services field office of the USFWS and/or the Office of Protected Resources Program of the NMFS to determine if consultation is required. Most consultations are conducted informally with the

federal agency or a designated non-federal representative.

Will the proposed activity occur in proximity to threatened or endangered species or critical habitat as defined by the ESA and under the jurisdiction of the USFWS?

Yes ☐ No ☐ Uncertain ☐

If no, briefly summarize your entity's determination that the proposed activity will not occur in proximity to threatened or endangered species or critical habitat as defined by the ESA and under the jurisdiction of USFWS. (optional)

Will the proposed activity potentially affect threatened or endangered species or critical habitat as defined by the ESA and under the jurisdiction of the USFWS?

Yes ☐ No ☐ Uncertain ☐

If yes, list the species: _____

Do you have anything to report on environmental compliance status for this law?

Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.

N/A ☐ Yes ☐ No ☐

Name of responsible agency/tribe:

Permit, certification, determination mitigation required:

Date of contact or permission obtained:

Status:

Upload supporting documents.

Documentation may include a copy of a consultation pursuant to Section 7 of the ESA and/or a copy of a Section 10 permit and conservation plan. Documentation may include correspondence with the appropriate USFWS Field Office to determine if consultation is required.

8) **ENDANGERED SPECIES ACT (NMFS)**

A consultation pursuant to Section 10 of the Endangered Species Act and/or a permit and conservation plan pursuant to Section 10 may be required based on the answers to the following questions:

If the answer to either of these questions is "yes," or you are unsure, contact the Office of Protected Resources Program of NMFS to determine if consultation is required. Most consultations are conducted informally with the federal agency or a designated non-federal representative.

Will the proposed activity occur in proximity to threatened or endangered species or critical habitat as defined by the ESA and under the jurisdiction of the NMFS?

Yes ☐ No ☐ Uncertain ☐

If no, briefly summarize your entity's determination that the proposed activity will not occur in proximity to threatened or endangered species or critical habitat as defined by the ESA and under the jurisdiction of NMFS. (optional)

Will the proposed activity potentially affect threatened or endangered species or critical

habitat as defined by the ESA and under the jurisdiction of the NMFS?
Yes ☐ No ☐ Uncertain ☐
If yes, list the species: _____
If no, briefly summarize your entity's determination that the proposed activity will not occur in proximity to threatened or endangered species or critical habitat as defined by the ESA and under the jurisdiction of NMFS. (optional)

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include a copy of a consultation pursuant to Section 7 of the ESA and/or a copy of a permit and conservation plan pursuant to Section 10. Documentation may include correspondence with the appropriate NMFS Office to determine if consultation is required.

9) **COASTAL BARRIER RESOURCES ACT (CBRA)**
Federal funding may be prohibited for projects that occur on certain designated coastal barriers, based on the answer to the following question:

Is the proposed activity located in or adjacent to a unit of the Coastal Barrier Resources System (CBRS)?
If yes, the federal funding for the activity may be prohibited. Treasury may be required to make a determination regarding CBRA compliance. If the answer to this question is "yes," contact the appropriate USFWS ecological services office for further guidance. If yes, the federal funding for the activity may be prohibited.

Yes ☐ No ☐
If yes, indicate the CBRS unit(s): _____
If no, briefly summarize your entity's determination that the proposed activity is not located in or adjacent to a unit of the CBRS. (optional)

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:

Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include a copy of an exception to meeting CBRA, correspondence with the appropriate USFWS Field Office, and/or a CBRS Mapper image that demonstrates the project is not located in or adjacent to a unit of CBRA.

10) **MIGRATORY BIRD TREATY ACT**

The migratory bird species protected by the Act are listed in 50 C.F.R. 10.13. A consultation with USFWS may be required based on the answers to the following question:

Will the proposed activity affect any migratory bird species protected by the Migratory Bird Treaty Act?
Yes ☐ No ☐ Uncertain ☐
If the answer is "yes" or you are unsure, contact the appropriate ecological services field office of the USFWS. More information can be found at FWS Migratory Bird Treaty Act. A consultation and/or permit from the USFWS may be required.
If yes, list the migratory bird species: _____
If no, briefly summarize your entity's determination that the proposed activity will not affect any migratory bird species protected by the Migratory Bird Treaty Act. (optional)

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include a copy of a permit, a copy of a consultation, or correspondence with the appropriate USFWS Field Office to determine whether a permit, and/or consultation or further coordination is required.

11) **BALD AND GOLDEN EAGLE PROTECTION ACT**

A permit may be required based on the answers to the following questions:

Will the proposed activity affect any bald or golden eagles protected by the Bald and Golden Eagle Protection Act?
Yes ☐ No ☐ Uncertain ☐
If no, briefly summarize your entity's determination that the proposed activity will not affect any bald or golden eagles protected by the Bald and Golden Eagle Protection Act. (optional)

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include a copy of a permit, a copy of a consultation, or correspondence with the appropriate USFWS Field Office to determine whether a permit, and/or consultation or further coordination is required.

12) **WILD AND SCENIC RIVER ACT**

There are designated Wild and Scenic rivers in the Gulf Coast States and the Act may apply based on the answer to the following question:

Is the proposed activity located on a designated Wild and Scenic River?
If the answer to this question is "yes," contact the appropriate USFWS ecological services office *for further guidance.*
Yes ☐ No ☐
If yes, list the river: _____

Will the proposed activity located on a designated Wild and Scenic River harm the free-flowing condition, water quality, or outstanding resource values of the river?
Yes ☐ No ☐
If yes, the activity may be prohibited. Contact the USFWS.

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include correspondence with the appropriate USFWS ecological service office for further guidance and any necessary mitigation requirements.

13) **NATIONAL HISTORIC PRESERVATION ACT (NHPA) AND THE ARCHAEOLOGICAL AND HISTORIC PRESERVATION ACT (AHPA)**

If the answer to this question is "yes," or you are unsure, contact your state historic preservation office for further guidance concerning compliance requirements.

Will the proposed activity occur either near property listed or eligible for listing in the National Register of Historic Places or near property otherwise protected by section 106 of the NHPA or a similar State Preservation Act?

Yes ☐ No ☐ Uncertain ☐

If no, briefly summarize your entity's determination that the proposed activity will not occur near property listed or eligible for listing in the National Register of Historic Places or near property otherwise protected by section 106 of the NHPA or a similar State Preservation Act. (optional)

Will the proposed activity adversely affect either a property listed or eligible for listing in the National Register of Historic Places or near property otherwise protected by section 106 of the NHPA or a similar State Preservation Act?

Yes ☐ No ☐ Uncertain ☐

If yes, the activity may be prohibited or require mitigation from the State Historic Preservation Officer or Tribal Historic Preservation Officer.

Do you have anything to report on environmental compliance status for this law?

Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.

N/A ☐ Yes ☐ No ☐

Name of responsible agency/tribe:

Permit, certification, determination mitigation required:

Date of contact or permission obtained:

Status:

Upload supporting documents.

Documentation may include a description of special conditions required on the project, or correspondence with the appropriate state historic preservation office or tribal historic preservation office for further guidance concerning any compliance requirements.

14) **RIVERS and HARBORS ACT - SECTION 10 (and SECTION 408 if applicable)**

A permit may be required from the USACE based on the answer to the following question:

Will the proposed activity involve any work (including structures) that will occur in, over or under navigable waters of the United States?

Yes ☐ No ☐ Uncertain ☐

In cases of use or alteration of a federal civil works project, a Section 408 consultation with the USACE may be required. If the answer to this question is "yes" or you are unsure, contact the Regulatory Program of the nearest District Office of the USACE for further guidance on Section 10 permits. If yes, a Section 10 permit may be required from the USACE.

If no, briefly summarize your entity's determination that the proposed activity will not occur in, over, or under navigable waters of the United States. (optional)

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include a copy of a Section 10 permit from USACE (standard individual permit, letter-of-permission, nationwide permit, or regional permit), a Section 408 consultation with USACE, or correspondence with USACE to determine whether a permit, and/or consultation or further coordination is needed.

15) **CLEAN WATER ACT (CWA), SECTION 404**
A permit may be required based on the answer to the following question**:**

Will the proposed activity result in any discharge of dredge or fill material to the nation's waters or wetlands?
If the answer to this question is "yes" or you are unsure, contact the Regulatory Program of the nearest District Office of the USACE for further guidance on Section 404 permits. If yes, a Section 404 permit may be required from the USACE.

Yes ☐ No ☐ Uncertain ☐
If no, briefly summarize your entity's determination that the proposed activity will not result in any discharge of dredge or fill material in the Nation's waters or wetlands. (optional)

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include a copy of a CWA Section 404 permit from USACE or delegated state agency, or evidence of exemption from permit requirements. Documentation may include correspondence with USACE or delegated state agency to determine whether a permit or further

coordination is needed.

16) **CLEAN WATER ACT (CWA), SECTIONS 401 and 402**

A National Pollution Discharge Elimination System (NPDES) permit may be required based on the answer to the following question:

Will the proposed activity result in any discharge of a pollutant to the nation's waters or wetlands?
Yes ☐ No ☐ Uncertain ☐
If yes, a Section 401 Water Quality Certification and/or 402 National Pollutant Discharge Elimination System (NPDES) permit may be required from the Environmental Protection Agency (EPA) or a State or local agency authorized by EPA to administer the NPDES permitting program under State law. If the answer to this question is "yes," or you are unsure, contact your state water quality agency for additional guidance.
If no, briefly summarize your entity's determination that the proposed activity will not result in any discharge of pollutants to the Nation's waters or wetlands. (optional)

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include a copy of a CWA Water Quality Certification (Section 401) or a copy of a National Pollution Discharge Elimination System (NPDES) permit for discharges. Documentation may include correspondence with the relevant state water quality agency with guidance concerning any Section 401 or NPDES requirements.

17) **MARINE PROTECTION, RESEARCH, AND SANCTUARIES ACT (MPRSA)**

A permit may be required based on the answer to the following question:

Does the proposed activity involve the transportation of materials from the US for the purpose of ocean dumping covered by the MPRSA?
Yes ☐ No ☐ Uncertain ☐
If the answer to this question is "yes" or you are unsure, contact the Environmental Protection Agency's (EPA) Office of Wetlands, Oceans, and Watersheds/Oceans and Coastal Protection Division for further guidance.

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further

coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include a copy of a state or federal permit, or correspondence with EPA to determine whether a permit and/or consultation or further coordination is required.

18) **CLEAN AIR ACT (CAA)**
Special conditions may be required on projects that could affect air quality, based on the answer to the following question:

Will the proposed activity result in any emissions of pollutants to the air within a non-attainment area or maintenance area?
Yes ☐ No ☐ Uncertain ☐
If the answer to this question is "yes" or you are unsure, contact the nearest state air quality agency for further guidance on determining conformity with the state implementation plan. If yes, the activity may require compliance with the CAA including obtaining a permit in some circumstances from EPA or a delegated state agency.

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include a copy of a CAA permit from EPA or a delegated state agency, or correspondence with the EPA or delegated state agency to determine conformity with the relevant state implementation plan.

19) **RESOURCE CONSERVATION AND RECOVERY ACT (RCRA)**
A RCRA permit may be required from the EPA or designated state agency based on the answer to the following question:

Will the proposed activity include the treatment, storage, or disposal of hazardous waste or involve underground storage tanks?
Yes ☐ No ☐ Uncertain ☐
If the answer to this question is "yes" or you are unsure, contact the nearest RCRA Regional Office of

the EPA or state authorized agency for further guidance on RCRA compliance. If yes, RCRA hazardous waste storage tank requirements may apply.

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include a copy of a permit, or correspondence from EPA or authorized state agency with further guidance on RCRA compliance.

20) **COMPREHENSIVE ENVIRONMENTAL RESPONSE, COMPENSATION, AND LIABILITY ACT (CERCLA)**
Special provisions and requirements may apply based on the answer to the following question:

Will the proposed activity involve a Superfund site?
Yes ☐ No ☐ Uncertain ☐
If the answer to this question is "yes" or you are unsure, contact the nearest Regional Office of the EPA for further guidance on CERCLA requirements. If yes, the activity requires coordination with EPA.

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include a copy of a permit, or correspondence from EPA or authorized state agency with further guidance on CERCLA compliance, including any special provisions and requirements that may apply.

21) **SAFE DRINKING WATER ACT (SDWA)**
A permit may be required if the proposed activity will involve underground injection which may impact drinking water sources and based on the answer to the following question:

Will the proposed activity involve underground injection, which may impact drinking water sources?

Yes ☐ No ☐ Uncertain ☐
If yes, a SDWA permit may be required from EPA or a state with an EPA-approved primacy program.

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include a copy of a permit, or correspondence from EPA or state drinking water or underground injection control program with further guidance on SDWA compliance, including any special provisions and requirements that may apply.

22) **FARMLAND PROTECTION POLICY ACT (FPPA)**
Will the proposed activity irreversibly convert farmland (directly or indirectly) to nonagricultural use?
Yes ☐ No ☐
If yes, the project may be subject to U.S. Department of Agriculture FPPA requirements.

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include a correspondence with the local office of the Natural Resources Conservation Service with further guidance on FPPA requirements and any applicable permits or mitigation steps.

23) **FLOOD DISASTER PROTECTION ACT OF 1973**
Is the proposed activity located in a Special Flood Hazard Area on a National Flood Insurance Program map?
Yes ☐ No ☐ Uncertain ☐
If yes, the purchase of Federal Flood Insurance may be required.

Do you have anything to report on environmental compliance status for this law?

Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.

N/A ☐ Yes ☐ No ☐

Name of responsible agency/tribe:

Permit, certification, determination mitigation required:

Date of contact or permission obtained:

Status:

Upload supporting documents.

Documentation may include a map image that demonstrates the project is not located in a Special Flood Hazard Area on a NFIP map. Documentation may include a record of the eight-step process to be followed for projects that may have potential impacts to or within floodplains, or correspondence with the nearest Regional Office of FEMA with further guidance.

24) **E.O. 11988 and E.O. 12148 – FLOOD MANAGEMENT**

Is the proposed activity located in a Special Flood Hazard Area on a National Flood Insurance Program map?

Yes ☐ No ☐ Uncertain ☐

If yes, a public notice may be required.

Do you have anything to report on environmental compliance status for this law?

Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.

N/A ☐ Yes ☐ No ☐

Name of responsible agency/tribe:

Permit, certification, determination mitigation required:

Date of contact or permission obtained:

Status:

Upload supporting documents.

Documentation may include a map image that demonstrates the project is not located in a Special Flood Hazard Area on a NFIP map. Documentation may include a record of the eight-step process to be followed for projects that may have potential impacts to or within floodplains, or correspondence with the nearest Regional Office of FEMA with further guidance.

25) **E.O 11990 and E.O 12608 – WETLAND PROTECTION**

Is any portion of the project proposing a new construction activity in wetlands?

Yes ☐ No ☐ Uncertain ☐

If yes, action to minimize the destruction, loss or degradation of wetlands, and to preserve and enhance the natural and beneficial values of wetlands may be required.

If no, briefly summarize your entity's determination that the project is not proposing a new construction activity in wetlands. (optional)

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include a determination that there is no practicable alternative to the construction, and/or the proposed action includes all practicable measures to minimize harm to wetlands. Documentation may include correspondence with the appropriate USFWS Field Office to determine whether consultation or further coordination is necessary. Documentation may include a Wetlands Mapper image depicting the project location and proximity to wetlands.

26) **E.O. 12898 ENVIRONMENTAL JUSTICE**
Will the proposed activity have disproportionately high and adverse human health or environmental effects on minority or low-income populations?
Yes ☐ No ☐ Uncertain ☐
If yes, the activity may require mitigation.

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include further guidance from the Council on Environmental Quality regarding the incorporation of EJ into environmental reviews.

27) **E.O. 13089 – CORAL REEF PROTECTION**
Will the proposed activity involve a coral reef ecosystem or National Marine Sanctuary?
Yes ☐ No ☐
If yes, the activity should not degrade the condition of coral reef ecosystems.

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.

N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include a copy of a permit, or correspondence with NOAA Coral Reef Program to determine with a permit, and/or consultation or further coordination is required.

28) **E.O. 13112 – INVASIVE SPECIES**

Will the proposed activity have the potential to introduce or cause the spread of an invasive species?
Yes ☐ No ☐ Uncertain ☐
If yes, action to prevent the introduction of invasive species may be required.

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.
Documentation may include a description of actions necessary to prevent the introduction of invasive species, or correspondence with the USDA to determine whether further coordination or guidance is required.

29) **E.O. 13186 – RESPONSIBILITIES OF FEDERAL AGENCIES TO PROTECT MIGRATORY BIRDS**

Is the proposed activity likely to occur during a time of the year when migrating birds are in the vicinity?
Yes ☐ No ☐ Uncertain ☐
If yes, the activity may be prohibited or require mitigation from the USFWS.

Do you have anything to report on environmental compliance status for this law?
Please select 'yes' to report any coordination that your entity has conducted with the relevant federal agency(ies). This may include correspondence leading to a determination that further coordination, permits, certifications, consultations, or mitigation is not required for this project.
N/A ☐ Yes ☐ No ☐
Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:

Upload supporting documents.
Documentation may include a description of mitigation actions or correspondence with the appropriate USFWS Field Office to determine whether further coordination or guidance is required.

C. OTHER PERMITS AND CERTIFICATIONS

Does the applicant anticipate that the proposed activity will require any other federal, tribal, state, or local permits or certifications that have not yet been addressed?

Yes ☐ No ☐ Uncertain ☐

If yes, please provide the following information for any additional permits or certifications.

Name of responsible agency/tribe:
Permit, certification, determination mitigation required:
Date of contact or permission obtained:
Status:
Upload supporting documents.

D. Certification

Please select the statement that most accurately reflects the status of the information provided on the Environmental Compliance Form submitted with this application.

☐ The information provided on this form is preliminary. The Applicant will complete and submit to Treasury an updated Environmental Compliance form, certified by the Applicant's Authorized Official (and subrecipient, if applicable), prior to or with its written request to Treasury for permission to commence construction or to initiate other project implementation activities that require prior approval. (This option may be appropriate when the proposed scope of work includes an initial planning and design phase during which any applicable environmental laws will be identified, and all required permits, certifications or authorizations will be identified and acquired.)

☐ The information provided on this form is final, to the best of the Applicant's knowledge, and the Applicant's Authorized Official certifies to its accuracy and completeness.

Civil Rights Act of 1964 Title VI Narrative for RESTORE Act - Direct Component and Centers of Excellence Research Grants Applicants – Department of the Treasury

OMB Approval No. 1505-0250

All applicants must provide a Title VI Narrative as an upload in their applications. The Title VI Narrative must be approved by the applicant's board of directors or appropriate governing entity or official(s) responsible for policy decisions prior to submission to Treasury. Applicants must submit a copy of the board resolution, meeting minutes, or similar documentation with the Title VI Narrative as evidence that the board of directors or appropriate governing entity or official(s) has approved the Title VI Narrative.

The Title VI Narrative, submitted with the application, shall include the information listed below. Treasury will accept a Title VI compliance form recently prepared and submitted to another Federal agency. If any information required by Treasury is not included in the other agency's Title VI compliance form, the missing information must be submitted with the application for the Title VI Narrative to be considered a complete response. If any item listed below is not relevant to the project for which federal financial assistance is requested, the information should be marked as "not applicable." The Title VI Narrative should include:

1. A statement that the Title VI notice to the public is posted in a prominent place or places, and the type of postings being used (i.e., in the recipient's place(s) of business, in written communications to the beneficiaries, or on the recipient's website).

2. A list of any pending Title VI investigations, complaints, or lawsuits filed with the applicant. This list should include those investigations, complaints, or lawsuits that pertain to allegations of discrimination on the basis of race, color, and/or national origin that pertain to the applicant submitting the narrative.

3. Information regarding the applicant's Title VI compliance history if it has previously received funding from another federal agency. The information shall include a copy of any Title VI compliance review reports issued by such other federal agency in the previous two years. The information shall include:
    a. The purpose or reason for the review.
    b. The name of the agency or organization that performed the review.
    c. A summary of the findings and recommendations of the review.
    d. A report on the status and/or disposition of such findings and recommendations.

4. Applicants that have program-related, non-elected planning boards, advisory councils or committees, or similar bodies, the membership of which is selected by the applicant, must provide a table depicting the racial breakdown of the membership of those committees, and a description of efforts made to encourage the participation of minorities on such committees or councils.

5. A description of the location of existing or proposed facilities connected with the proposed project, program, or activity, and whether the location has or will have the effect of unnecessarily denying access to any persons on the basis of prohibited discrimination (race, color or national origin).

6. A list of all Federal agencies providing federal financial assistance.

7. A description of the procedures the applicant will use to ensure subrecipients comply with Title VI and a proposed schedule of Title VI Narrative submissions from the subrecipient for this project or program.

8. A copy of the applicant's plan for providing language assistance to persons with limited English proficiency, based on the Treasury LEP Guidance.

RESTORE Act Milestones Report — Department of the Treasury	*OMB Approval No. 1505-0250*
Applicant/Grantee:	
Title:	
Reporting Period Ending (Options: initial report, Mar 31, Sept 30), 20XX	

INSTRUCTIONS FOR COMPLETING FORM

After a grant is awarded, complete item F for each milestone as applicable and submit as part of the performance reports described in the Standard Terms and Conditions. Leave item F blank if the actual completion date has not passed. All percentages entered for item E will calculate automatically, and will show an error message unless the values total 100%. These milestones should reflect what is in the applicant's scope of work as described in the applicable RESTORE Act Direct Component or Centers of Excellence Application Narrative.

TO COMPLETE

-A- Milestone Number	-B- Milestone Description Provide a brief description of the significant steps that comprise the scope of work	-C- Estimated Completion Timeframe of Milestone (Format: award + # of months)	-D- Is milestone contingent upon completion of another milestone (Y/N)? If yes, which milestone is it contigent upon (# from Column A)?	-E- What percentage of the Scope of Work is estimated to be completed with this milestone?	-F- Actual Completion Date of Milestone (Format: Month-Year)
1				0%	
2				0%	
3				0%	
4				0%	
5				0%	
6				0%	
7				0%	
8				0%	
9				0%	
10				0%	
TOTAL				**ERROR!**	

RESTORE Act Status of Performance Report

Applicant/Grantee:				
Title:				
Reporting Period Ending (Options: initial report, Mar 31, Sept 30)				
Goal(s):				
Eligible Activity/ Discipline #	**Measure #**	**Measure**	**Current actual results vis-a-vis measure (quantitative)**	**Status/Next Steps**
-				
-				
-				
-				
-				
-				
-				
-				
-				
-				
-				
-				
-				

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1505-0250. Comments concerning the time required to complete this information collection, including the time to review instruction s, search existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information, should be directed to the Department of the Treasury, Office of Gulf Coast Restoration, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

Instructions for Completing Form

The purpose of this form is to report the status of progress toward reaching priority goals of the eligible Direct Component (DC) activity/Centers of Excellence (COE) discipline (i.e., measuring success, rather than listing milestones or tasks). Please focus on a discrete number of priority goals (1- 3) and the corresponding performance measures (1- 5). Complete boxes shaded in blue.

Goal(s): Anticipated result(s). State the priority goal(s) to be achieved with the grant award. Priority goal(s) should clearly identify with the eligible DC activity/COE discipline.

Eligible Activity/Discipline #: For a DC grant, select the DC number from the drop -down list that corresponds to the DC Eligible Activity associated with that measure. For a (COE)grant, select the COE number from the drop -down list that corresponds to the COE Eligible Discipline associated with that measure. The DC numbers and COE numbers, along with the corresponding Eligible Activities and Disciplines, are listed directly below.

Direct Component (DC) Eligible Activities	
DC - 1	Restoration and protection of the natural resources, ecosystems, fisheries, marine and wildlife habitats, beaches, and coastal wetlands of the Gulf Coast region.
DC - 2	Mitigation of damage to fish, wildlife, and natural resources.
DC - 3	Implementation of a federally approved marine, coastal, or comprehensive conservation management plan, including fisheries monitoring.
DC - 4	Workforce development and job creation.
DC - 5	Improvements to or on State parks located in coastal areas affected by the Deepwater Horizon oil spill.
DC - 6	Infrastructure projects benefitting the economy or ecological resources, including port infrastructure.
DC - 7	Coastal flood protection and related infrastructure.
DC - 8	Planning assistance.
DC - 9	Promotion of tourism in the Gulf Coast Region, including recreational fishing
DC - 10	Promotion of consumption of seafood harvested from the Gulf Coast Region

Centers of Excellence (COE) Eligible Disciplines	
COE - 1	Coastal and deltaic sustainability, restoration and protection, including solutions and technology that allow citizens to live in a safe and sustainable manner in a coastal delta in the Gulf Coast Region.
COE - 2	Coastal fisheries and wildlife ecosystem research and monitoring in the Gulf Coast Region.
COE - 3	Offshore energy development, including research and technology to improve the sustainable and safe development of energy resources in the Gulf of Mexico.
COE - 4	Sustainable and resilient growth, economic and commercial development in the Gulf Coast Region.
COE - 5	Comprehensive observation, monitoring, and mapping of the Gulf of Mexico.

Measure #: Starting with 1, number each performance measure.

Measure: An indicator of success toward reaching a goal. This should reflect "how the applicant will evaluate success" from the narrative of an accepted multiyear implementation plan.

Current actual results vis-a-vis measure (reporting period/cumulative): Leave blank on the initial report. For subsequent reports, record progress made to achieve the performance measure during the reporting period and the progress made from the start date of the grant award through the current reporting period. This should be a quantitative response. Please see Treasury RESTORE guidance on performance metrics for more information and further instructions.

Status/Next Steps: Briefly describe specific progress and/or challenges related to the measure.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1505-0250. Comments concerning the time required to complete this information collection, including the time to review instruction s, search existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information, should be directed to the Department of the Treasury, Office of Gulf Coast Restoration, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

Treasury Office of Gulf Coast Restoration
RESTORE Act Eligible Entity
OPERATIONAL SELF-ASSESSMENT (OSA)

OSA Instructions

On July 6, 2012, the President signed the Resources and Ecosystems Sustainability, Tourist Opportunities, and Revived Economies of the Gulf Coast States Act of 2012 (RESTORE Act) into law. The Act establishes a Trust Fund in the Treasury of the United States, known as the Gulf Coast Restoration Trust Fund. Under the Act, amounts in the Trust Fund are available for programs, projects, and activities that restore and protect the environment and economy of the Gulf Coast region. For the Direct Component and Centers of Excellence Research Grants Program, Treasury is responsible for determining eligibility and monitoring compliance with requirements in the RESTORE Act and other federal laws and policies on grants.

Treasury's RESTORE Act guidance requires that all eligible entities under the Direct Component and the Centers of Excellence Research Grants Program complete an Operational Self-Assessment (OSA) prior to receiving funding and once a year thereafter. The OSA focuses on operational internal control areas and will be used, in part, to assist Treasury in determining an appropriate compliance monitoring protocol. The OSA is not intended to provide guidance regarding compliance or audit requirements, but simply as a data gathering tool.

Please complete the OSA form electronically. Once you have entered the required information, please print the last page and have the OSA signed by the individual who has the authority to commit your organization to Treasury's grant management requirements. Please scan and include the signature pages with your electronic submission.

The completed OSA form should be submitted via email to restoreact@treasury.gov.

The OSA form contains three parts:

- Organization Contact information
  Enter the required descriptive information about the recipient organization and identify the name, title and contact information of the individual who is responsible for completing this form. The contact person who completes the form may be different from the individual, described above, who has the authority to commit the organization to the requirements. Be sure to include the date on which the form was completed.

- Operational Self-Assessment Questions
  The OSA questions are organized by the five components of internal control consistent with the Government Accountability Office (GAO) *Standards for Internal Control in the Federal Government* (known as the Green Book): control environment, risk assessment, control activities, information and communication, and monitoring.

Please click on the "Y" to answer Yes or the "N" to answer No for each question in the OSA. Provide any additional comments pertinent to your answers. The Comment spaces are set so that the text will wrap when you type.

- Certification of the Applicant's Authorized Representative
  Identify the individual who has the authority to commit the organization to the Council's grant management requirements and who can certify the accuracy of the statements made in the form. As noted above, the signed certification page is required.

Treasury Office of Gulf Coast Restoration

RESTORE Act Eligible Entity

OPERATIONAL SELF-ASSESSMENT (OSA)

	Organization Contact Information			
Entity Name				
OSA Completed By				
Job Title				
Contact Details	Email		Phone number	
Entity Address				
Date OSA Completed				
Comments				

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1505 -0250. Comments concerning the time required to complete this information collection, including the time to review instructions, search existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information, should be directed to the Department of the Treasury, Office of Gulf Coast Restoration, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

Self-Assessment Questions			
Environment			
Questions	**Please respond "Y" or "N"**		**Comments**
1. Does management promote open communications throughout the organization and effectively provide information to employees and other stakeholders?	Y	N	
2. Does management provide adequate training and supervisory oversight to all employees to ensure that the organization effectively carries out its programs and activities, including employees working on federal grant programs?	Y	N	
3. Do policies, procedures and processes for managing federal grant funds meet the requirements of OMB 2 CFR Chapter I and Chapter II, Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards?	Y	N	
4. Are the organization's internal controls in compliance with guidance in the "Standards for Internal Control in the Federal Government" issued by the United States Government Accounting Office?	Y	N	
5. Does management regularly create, review and update policies, procedures and processes to ensure that the organization effectively carries out its programs and activities, including updates that may be needed for federal grant funds?	Y	N	
6. Does management periodically assess and maintain proper segregation of duties?	Y	N	
7. Does management have a written code of conduct or ethics policy that is reviewed and signed off by employees at least annually?	Y	N	
8. Does management have a written conflict of interest policy that is reviewed and signed off by employees at least annually?	Y	N	
9. Do management and employees attend anti-fraud awareness training at least annually and is that training evidenced by attendance sheets or other mechanisms?	Y	N	
10. Does management have written policies and procedures in place for employees to confidentially report suspected violations of policies and or suspected instances of fraud or other criminal activity, including specifically those related to federal grant programs?	Y	N	
11. Does management perform the following: a. Address breaches of the code of conduct or ethics policy b. Address instances of fraud or other criminal activity c. Take remedial actions to prevent future violations d. Notify the appropriate federal agency in cases of confirmed fraud related to federal funds	 Y Y Y Y	 N N N N	
12. Does the organization have a written grants management manual or standard operating procedures?	Y	N	

Risk Assessment		
Questions	**Please respond "Y" or "N"**	Comments
13. Does the organization have a documented internal control program and risk assessment methodology for managing and monitoring operational, financial and regulatory compliance risks that is periodically reviewed and updated as needed?	Y N	
14. Does the organization have a documented risk assessment and compliance monitoring process in place specifically for federal grant programs?	Y N	
Objectives		
Questions	**Please respond "Y" or "N"**	Comments
15. Allowable / Unallowable Activities & Costs – Does an effective system of internal controls exists to provide reasonable assurance that federal awards are expended only for allowable activities and that the costs of goods and services charged to federal awards are allowable and in accordance with the applicable cost principles?	Y N	
16. Cash – Does an effective system of internal controls exists to provide reasonable assurance that the (1) drawdown of federal cash is only for immediate needs, (2) reimbursement is requested only after costs have been incurred, (3) entities comply with applicable Treasury agreements, and (4)recipients limit payments to subrecipients to immediate cash needs?	Y N	
17. Davis-Bacon Act – Does an effective system of internal controls exists to provide reasonable assurance that contractors and subcontractors were properly notified of the Davis-Bacon Act requirements and the required certified payrolls were submitted to the non-federal entity?	Y N	
18. Eligibility – Does an effective system of internal controls exists to provide reasonable assurance that only eligible individuals and organizations receive assistance under federal award programs and that subawards are made only to eligible subrecipients?	Y N	
19. Equipment & Real Property – Does an effective system of internal controls exists to provide reasonable assurance that: a. Proper records are maintained for equipment acquired with federal awards b. Equipment is adequately safeguarded and maintained c. Disposition or encumbrance of any equipment or real property is in accordance with federal requirements d. A physical inventory and reconciliation of property is conducted at least every two years e. The federal awarding agency is appropriately compensated for its share of any property sold or converted to non-federal use	Y N Y N Y N Y N Y N	
20. Real Property Acquisition & Relocation – Does an effective system of internal controls exists to provide reasonable assurance of compliance with the real property acquisition, appraisal, negotiation, and relocation requirements?	Y N	

Objectives (Continued)		
Questions	**Please respond "Y" or "N"**	Comments
21. Matching, Level of Effort, Earmarking – Does an effective system of internal controls exists to provide reasonable assurance that matching, level of effort, or earmarking requirements are met using only allowable funds or costs which are properly calculated and valued?	Y N	
22. Financial Management – Does a financial management system provide for effective control over and accountability for all funds, property and other assets, including ensuring that all such assets are used solely for authorized purposed and activities that are allowable in accordance with the applicable cost principles and are only used during the authorized period of availability?	Y N	
23. Procurement, Suspension & Debarment – Does an effective system of internal controls (including written procurement procedures) exists to provide reasonable assurance that procurement of goods and services are made in compliance with the provisions of 2 CFR 200 and that covered transactions are not made with a debarred or suspended party?	Y N	
24. Program Income – Does an effective system of internal controls exists to provide reasonable assurance that program income is correctly earned, recorded, and used in accordance with the program requirements?	Y N	
25. Reporting – Does an effective system of internal controls exists to provide reasonable assurance that reports of federal awards submitted to the federal awarding agency include all activity of the reporting period, are supported by underlying accounting or performance records, and are fairly presented in accordance with program requirements?	Y N	
26. Subrecipient Monitoring – Does an effective system of internal controls exists to provide reasonable assurance that: a. Federal award information and compliance requirements are communicated to subrecipients b. Subrecipient performance is monitored c. Subrecipient audit findings are resolved, and the impact of any subrecipient noncompliance on the pass- through entity is evaluated d. A risk assessment of the subrecipient is performed e. Subrecipient eligibility is assessed	Y N Y N Y N Y N Y N	
27. Time-keeping – Does an effective personnel time system exists which has the capability to create periodic reports of activities and time of each employee whose compensation is charged to a project that employee works on, including each Federal assistance program?	Y N	

Information & Communication		
Questions	**Please respond "Y" or "N"**	**Comments**
28. Are external and internal Communication channels established between organization and (1) federal agency, (2) state agencies, (3) sub-recipients and (4) contractors and vendors and (5) other stakeholders?	Y N	
29. Is information related specifically to federal fund awards (including grant agreements, program guidelines, legal requirements, required reporting and other requirements), communicated to relevant internal and external stakeholders?	Y N	
30. Does the organization have management, information and accounting systems in place that are designed to meet all federal and grant specific program requirements, including reporting and record retention requirements?	Y N	
31. Do information systems policies and procedures exist for the safeguarding of data, including personally identifiable information (PII), authorization and addition of system users, termination of user rights, information back-up and recovery, and retention and destruction of data?	Y N	
32. Is access to data, including PII, protected against unauthorized access and limited to appropriate individuals based on job functions?	Y N	

Monitoring		
Questions	**Please respond "Y" or "N"**	**Comments**
33. Are the associated grant fund operations regularly assessed by an internal auditor, Inspector General and/or external audit function (Uniform Guidance audit)?	Y N	
34. Does the organization formally respond to all internal audit, Inspector General and external audit findings in writing and make timely remedial actions/corrections?	Y N	
35. Does management periodically review all reports, deliverables, expenditures, and other requirements related to federal grant programs to ensure that guidelines and requirements are being met?	Y N	

Treasury Office of Gulf Coast Restoration
RESTORE Act Eligible Entity
OPERATIONAL SELF-ASSESSMENT (OSA)

CERTIFICATION OF APPLICANT'S AUTHORIZED OFFICIAL (REQUIRED) I certify that the statements made on this form are true, accurate, and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under the applicable law.	
Name of Authorized Official	
Title of Authorized Official	
Signature	
Date Signed (mm/dd/yyyy)	

RESTORE Act Permission to Commence with Construction Checklist – Department of the Treasury

OMB Approval No. 1505-0250

The recipient must not commence construction prior to the date of the Award. The recipient must make a written request to Treasury for permission to commence with construction after the construction contractor has been selected and at least 30 days prior to construction. No construction funds may be drawn from ASAP without Treasury's written permission. If the recipient commences construction prior to Treasury's determination, the recipient proceeds at its own risk.

Directions: The following questions will aid the applicant's request for permission to commence with construction. Treasury will use submitted documents to determine that the award of all contracts with associated costs are in compliance with the scope of the project and all terms and conditions of this award, and that all necessary permits have been or will be obtained, all Special Award Conditions tied to the commencement of construction have been satisfied, and the federal interest is secure.

REQUIREMENTS

Based on the recipient's responses to the following, supporting documentation may be requested.

1. Upload a written request for permission to commence construction. *Permission to commence construction should be requested after the construction contractor has been selected and at least 30 days prior to the anticipated construction start date.*

2. Has a good and merchantable title free of all mortgages, foreclosable liens, or encumbrances, to all land, rights of way and easements necessary for completion of the project been acquired?
   - ☐ No.
   - ☐ Yes. If yes, upload the appropriate supporting documentation pursuant to Treasury's guidance on evidence of title or other property rights with respect to project property at the Direct Component Resources website.

3. Have all federal, state, and local permits necessary for the completion of the project been obtained?
   - ☐ No.
   - ☐ Yes. If yes, provide a list of all required permits, or an updated Environmental Compliance Form. Note status of permits and the expiration date of any existing permits. Upload any supporting documentation.

4. Has the federal interest been recorded on the property?
   - ☐ No.
   - ☐ Yes. If yes, provide documentation of the recorded federal interest. Recipients must record a "Covenant of Purpose, Use of Ownership" in real property records in the jurisdiction in which the real property is located. The covenant should be filed prior to the initiation of construction.
   - ☐ N/A. If not applicable, please provide an explanation.

5. Has an Estimated Useful Life for the project been established for the project?
   - ☐ No.

☐ Yes. If yes, provide the EUL (in years).

6. Are all contracts awarded with associated costs in compliance with award terms & conditions?
   ☐ No.
   ☐ Yes. If yes, please upload relevant contracts.

7. Do Davis-Bacon Act Provisions apply to this award?
   ☐ No.
   ☐ Yes.
      a. If yes, was a copy of DOL's prevailing wage determination included in each solicitation?
         ☐ No.
         ☐ Yes. If yes, please upload supporting documentation, as appropriate.
         ☐ N/A. Please provide an explanation.

8. Are all subawards in compliance with award terms & conditions?
   ☐ No. *All relevant subaward agreements must be signed and in place prior to commencement of construction.*
   ☐ Yes.
   ☐ N/A.

9. Has a performance bond and payment bond on the part of the contractor been agreed to?
   ☐ No. *A performance bond and payment bond on the part of the contractor for 100% of the contract price are required.*
   ☐ Yes. If yes, please upload supporting documentation, as appropriate.

10. Have Floodplain Notice requirements been met? *The Floodplain Notice is only required when the action will be in or affecting a designated 100-year floodplain and will have potential to adversely affect the designated 100-year floodplain. Agencies are allowed to use their environmental review process (e.g., Categorical Exclusion determination, Findings of No Significant Impact, and Environmental Impact Statement) as a vehicle to satisfy this requirement.*
    ☐ No.
    ☐ Yes. If yes, please upload supporting documentation, as appropriate.
    ☐ N/A.

11. Have Floodplain Protection and Floodplain Insurance requirements been met? *The National Flood Insurance Program requirement only applies to structures which are defined as a walled and roofed building, including a gas or liquid storage tank that is principally above ground, as well as a manufactured home. A residential building built in a floodplain must be elevated above the Base Flood Elevation (BFE). Non-residential buildings may be elevated or flood proofed.*
    ☐ No.
    ☐ Yes. If yes, please upload supporting documentation, as appropriate.
    ☐ N/A

12. Have all Special Award Conditions (SAC's) associated with commencement of construction been addressed?
    ☐ No. If no, please provide an explanation.
    ☐ Yes. If yes, please list SACs addressed.
    ☐ N/A.

RESTORE ACT Direct Component Build America, Buy America Act Waiver Request Form – Part I

Department of the Treasury

Instructions:

The applicant/recipient under the RESTORE Act, Direct Component program that seeks a waiver from the requirements of the Build America, Buy America Act for its infrastructure project must complete all required fields on this form (Part I), attach the Excel spreadsheet (Part II), if required (see below for further details), and submit via the Treasury RESTORE Act Grants Management System (RGMS) unless this functionality is unavailable in RGMS and Treasury instructs the applicant/recipient to submit this form via email instead.

1. Entity name – will be prepopulated by RGMS if the applicant/recipient submits via an electronic version of this form in RGMS
2. Entity Unique Entity Identifier (UEI) – will be prepopulated by RGMS if the applicant/recipient submits via an electronic version of this form in RGMS
3. Waiver Title:
4. Waiver level:
    - Award
    - Project (Only applies if seeking waiver for specific project included in multi-project program award)
5. FAIN for Which BABAA Waiver is Sought – will be prepopulated by system if the applicant/recipient submits via an electronic version of this form in RGMS (leave blank if entity hasn't been awarded a grant yet)
6. Project for which BABAA Waiver is Sought – only required if "waiver level" = "project
7. Are you requesting a waiver on the basis of the public interest?
    - Yes
    - No
8. If you indicated you are applying for a public interest waiver, please enter a justification (note: public interest waivers will only be granted under extenuating circumstances; please consult with Treasury OGCR first)
9. What does this waiver cover?
    - Specific product(s)
    - Category of products (note that waivers for categories of products will be granted only in exceptional circumstances and we recommend consulting with Treasury OGCR first)
10. If you are requesting a waiver for one or more specific products, please attach Part II of this information collection, with one row for each product.
11. If you are requesting a waiver for one or more specific products or one or more categories of projects on the basis of nonavailability, please attach a narrative response with the following:
        i. A description of the due diligence performed by the applicant/recipient, engineer/architect, or contractor, including names

and contact information of the manufacturers, distributors, or suppliers contacted for quotes (minimum 3), and the responses provided. Please provide documentation of any evidence of market research conducted, including documentation of quotes received.

ii. If one or more respondent indicated that they could provide a BABAA compliant item, but you are requesting the non-availability waiver because the lead time to obtain the BABAA compliant item is excessive, indicate how the difference in lead time between a BABAA compliant and non-compliant item is going to cause the project to miss a significant milestone or deadline.

12. If you are requesting a waiver for one or more specific products or one or more categories of projects on the basis of unreasonable cost, please attach a narrative response addressing the following:
    i. The BABAA requirements will be waived for individual items until the total additional cost of BABAA compliance is less than 25% of the total project cost. Given that, for which items does the applicant/recipient request to be waived from the BABAA requirements to reduce costs below the 25% cost threshold?
    ii. If part of your calculation of unreasonable cost is based on the additional administrative costs to research and compare the costs of foreign products and domestically-produced alternatives, attach documentation showing the costs associated with this research and cost comparison.
13. If you are requesting a waiver for a category of products, please specify the category of product(s):
    - Iron
    - Steel
    - Manufactured goods
    - Construction materials
14. If you are requesting a waiver for a category of products, please provide a detailed description of items, products and materials or categories (e.g. drywall); the county or origin (if known), and a detailed justification of why these categories of products cannot be procured in a timely manner for reasonable cost from domestic sources:
15. Please indicate any additional information for Treasury's consideration of the requested waiver and provide any supporting documentation as appropriate. Depending on the nature of the waiver you are requesting, this might include the project plans and specifications or a technical description of the project to provide context for the request.
16. Please describe the anticipated impact to the project if no wavier is issued and provide any supporting documentation as appropriate.
17. Individual to contact about this waiver request – name
18. Individual to contact about this waiver request – title
19. Individual to contact about this waiver request – email
20. Individual to contact about this waiver request – phone
21. ☐ The applicant affirms that a good faith effort was made to find domestic products to complete the project. (required to submit the form)
22. Certifying Official Name

23. Certifying Official Signature
24. Date of Certification

RESTORE ACT Direct Component Build America, Buy America Act Waiver Request Form – Part II

Waiver type	**Product type**	**Product name**	**NAICS code**	**PSC code**	**Product description/specs (optional)**
Options:	Options:				
Nonavailability	Iron				
Unreasonable cost	Steel				
	Manufactured good				
	Construction material				

		For unreasonable cost only		
Quantity needed	**Delivery date needed**	**Unit price - foreign source**	**Unit price - lowest price domestic source**	**Country of origin of foreign product for which waiver is sought**