

**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 Application Milestones and Performance Measures – Department of the Treasury**

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### **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 illustrative list of performance measures on Treasury's RESTORE Act website.

- 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.
- b. Baseline: The starting point of the measure. It is the status quo without the grant award.
- c. Target: The anticipated result of the measure. It is the anticipated new status with the grant award.

## 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, identify 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, identify 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 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:	