

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 the restoration of a natural resource from the Gulf Coast Region. The applicant will list the specific activity in the Direct Component Eligible Activity 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.

10	Proposed End Date is provided by the applicant. This is an estimated end date based on the anticipated project period of performance.
11	Status Leave blank for initial multiyear plan. If this submission is an amendment to a previously Treasury-accepted multiyear plan, state the current status of the activity(ies) included in the previously accepted plan(s) (e.g., activity funded, change in scope, change in eligible activity, completed activity, deleted activity, etc.).
12	Estimated Total Funding Contributions for Activity (ies) The totals should include activities listed on any additional pages.
12a.	Total Funding of Direct Component Contributions 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 portion that the applicant plans to use for the Direct Component's scope of work of its proposed activity, which cannot exceed the combined total of allocated and known to-be-allocated funds, for all proposed activities listed on the Matrix.
12b.	Total Funding of All Other RESTORE Act Contributions for all proposed activities listed on the Matrix that may include the other current allocation(s) and not-yet-deposited funds that represent known future allocations from the Trust Fund.
12c.	Total Funding of all Other Third Party Contributions for all proposed activities listed on the Matrix.
12d.	Total Funding Contributions for all Proposed Activities listed on the Matrix that may include Direct Component; other current allocations and not-yet-deposited funds that represent know future allocations from the Trust Fund; and other third party funds.

RESTORE ACT Direct Component Multiyear Plan Narrative

Department of the Treasury

OMB Approval No. 1505-0250

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

Multiyear Plan Version (Initial or Amendment Number):	
Date of Initial Multiyear Plan Acceptance:	
Date of Last Multiyear Plan Acceptance:	

Eligible Applicant Name:	
Name and Contact Information of the Person to be contacted (POC) on matters concerning this Multiyear Implementation Plan:	
POC Name:	
POC Title:	
POC Email:	
POC Phone:	

NARRATIVE DESCRIPTION:
1. A description of each activity, including the need, purpose, objective(s), milestones and location. Include map showing the location of each activity.
2. How the applicant made the multiyear plan available for 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. The applicant will need to submit documentation (e.g., a copy of public notices) to demonstrate that it made its multiyear plan available to the public for at least 45 days. In addition, describe how each activity in the multiyear plan was approved after consideration of all meaningful input from the public and submit documentation (e.g., a letter from the applicant's leadership approving submission of the multiyear plan to Treasury or a resolution approving the applicant's multiyear plan).

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.

3. How each activity included in the applicant's multiyear plan narrative meets all the requirements under the RESTORE Act, including a description of how each activity is eligible for funding based on the geographic location of each activity and how each activity qualifies for at least one of the eligible activities under the RESTORE Act.

4. Criteria the applicant will use to measure the success of the activities included in the multiyear plan narrative in helping to restore and protect the Gulf Coast Region impacted by the Deepwater Horizon oil spill.

5. How the activities included in the multiyear plan narrative were prioritized and list the criteria used to establish the priorities.

6. If applicable, describe the amount and current status of funding from other sources (e.g., other RESTORE Act contribution, other third party contribution) and provide a description of the specific portion of the project to be funded by the RESTORE Act Direct Component.

RESTORE Act Direct Component Application Narrative
Department of the Treasury

OMB Approval No. 1505-0250

<p><i>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 the separate Direct Component Application Narrative Supplement (i.e., project and budget narratives) and other documentation as required by the relevant Funding Opportunity Announcement.</i></p>			
<p>GENERAL INFORMATION: (This section must be completed)</p>			
Applicant:	Applicant Name:		
Descriptive Title of Project: (refer to SF-424)	Project Title:		
Activity Title from Multiyear Plan (MYP) Matrix: Column #6	MYP Activity Title:		
<p>A. STATUTORY QUESTIONS</p>			
<p>1. Qualifying eligible activity: Please select the primary eligible activity in the first column, and select all other eligible activities that apply in the second column.</p>	<p>Select Primary Activity</p>	<p>Select All Others That Apply</p>	<p>Qualifying Eligible Activity</p>
<input type="radio"/>	<input type="checkbox"/>	1. Restoration and protection of the natural resources, ecosystems, fisheries, marine and wildlife habitats, beaches and coastal wetlands of the Gulf Coast Region	
<input type="radio"/>	<input type="checkbox"/>	2. Mitigation of damage to fish, wildlife and natural resources	
<input type="radio"/>	<input type="checkbox"/>	3. Implementation of a federally approved marine, coastal, or comprehensive conservation management plan, including fisheries monitoring	
<input type="radio"/>	<input type="checkbox"/>	4. Workforce development and job creation	
<input type="radio"/>	<input type="checkbox"/>	5. Improvements to or on State parks located in coastal areas affected by the Deepwater Horizon oil spill	
<input type="radio"/>	<input type="checkbox"/>	6. Infrastructure projects benefitting the economy or ecological resources, including port infrastructure	
<input type="radio"/>	<input type="checkbox"/>	7. Coastal flood protection and related infrastructure	
<input type="radio"/>	<input type="checkbox"/>	8. Planning assistance	
<input type="radio"/>	<input type="checkbox"/>	9. Promotion of tourism in the Gulf Coast Region, including recreational fishing	
<input type="radio"/>	<input type="checkbox"/>	10. Promotion of the consumption of seafood harvested from the Gulf Coast Region	
<p>2. Was this proposed activity included in any claim for compensation paid out by the Oil Spill Liability Trust Fund after July 6, 2012?</p> <p>If "Yes," this activity is not eligible for a Direct Component grant.</p>	<p>Yes</p> <p style="text-align: center;"><input type="radio"/></p>		<p>No</p> <p style="text-align: center;"><input type="radio"/></p>

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.

3. Location/Primary Place of Performance (a) Please provide the actual location for the activity as street address, nearest intersection, and note boundaries on a submitted map. If there is more than one location for the activity, include a list of the additional locations, city/town, county/parish, state, and zip code in the <i>Direct Component Application Narrative Supplement</i> .	Location:
	City/Town:
	County/Parish:
	State:
	Zip code:
(b) If available, provide latitude/longitude(s) or GPS coordinates for the location(s) of the project.	
(c) If a GIS shape file is available, please provide a point of contact (name and email address) from whom the file may be obtained.	

B. DISCUSSION OF SPECIFIC ACTIVITY (This information will supplement the <i>Direct Component Application Narrative Supplement</i> .)	
1. Best Available Science, if applicable	
<p>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.</p> <p>Is the proposed activity designed to protect or restore natural resources? (If yes, a detailed response must be included with the <i>Direct Component Application Narrative Supplement</i>.)</p> <p>Yes <input type="radio"/> No <input type="radio"/></p>	
2. Permits	
<p>Directions: Answer the following items concerning permits, if applicable.</p> <p>(a) Permits</p> <p>Does the proposed activity require any federal, tribal, state, or other permits? (For potential federal environmental permits, see Environmental Checklist and Environmental Checklist Reference Guidance.)</p> <p>Yes <input type="radio"/> No <input type="radio"/></p> <p>If yes, a list of the specific federal, tribal, state, or other permits required for this project and the status of the permits must be included with the <i>Direct Component Application Narrative Supplement</i>.</p>	
3. Land Acquisition, Construction, and Relocation Assistance	
<p>Directions: Answer the following items concerning land acquisition, construction, and relocation assistance, if applicable, and provide the appropriate supporting documentation.</p> <p>a) Land Acquisition Activities</p> <p>Will land or interest in land be acquired? Yes <input type="radio"/> No <input type="radio"/></p>	

If yes, answer questions i - vii:

i. What are the legal rights that will be acquired?

Fee Simple Title Less-Than-Fee Simple Title (e.g., easement)

ii. If an easement, what is the life of the easement?

iii. What is the tax parcel number(s)? _____ (Include the legal description of the property with the *Direct Component Application Narrative Supplement*.)

iv. Will the applicant (or subrecipient) hold title to the land? Yes No

v. What is the total acreage of the proposed property interest to be acquired?

vi. Has the applicant (or subrecipient) obtained a recent certified appraisal of the property? Yes No

If yes, attach a copy of the appraisal with the *Direct Component Application Narrative Upload*.

vii. Has the applicant (or subrecipient) obtained a title opinion or certificate? Yes No

If yes, attach a copy of the title opinion or certificate with the *Direct Component Application Narrative Supplement*.

viii. 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? Yes No

If yes, attach a copy of the signed willing seller statement with the *Direct Component Application Narrative Supplement*.

(b) Construction

Does the project include construction? Yes No

If yes, answer questions i-iii:

i. Will or does the applicant (or subrecipient) hold title to the property to be improved? Yes No

ii. What is the tax parcel number(s) of the property? _____ (Include the legal description of the property with the *Direct Component Application Narrative Supplement*.)

iii. Has the applicant (or subrecipient) obtained a recent certified appraisal of the property? Yes No

If yes, attach a copy of the appraisal with the *Direct Component Application Narrative Supplement*.

(c) Relocation Assistance

Will the proposed project cause the displacement of any persons, businesses, or farm operations? Yes No

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.

Direct Component Narrative Supplement

All applicants must provide a narrative supplement including the following information with the application as an upload in GrantSolutions.gov. The information is required unless it is not applicable to the project, program, or activity. Applicants should review the applicable funding opportunity announcement and Treasury guidance for a complete list and explanation of requirements.

1. Applicant Name
2. Descriptive Project Title (refer to SF-424)
3. Additional Locations (not included in the Direct Component Application Narrative form, if applicable)
4. Proposed Scope of Work - A detailed scope of work that fully describes the project or program for which funding is requested, including:
 - a. Project or Program Description
 - b. Need
 - c. Purpose
 - d. Objectives that clearly identify with the eligible activity(ies)
 - e. How the proposed project activity will be carried out in the Gulf Coast Region as defined in 31 CFR 34.2. Attach a map showing the project location in the Gulf Coast Region.
 - f. Possible material risks in implementing and maintaining the proposed activity, e.g., operational, legal, regulatory, budgetary, or ecological risks, with 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.
 - g. Key Personnel, including name and contact information for the following:
 - i. The applicant's Authorizing Official who is authorized to sign the grant application and award,
 - ii. The Project Director who is responsible for the project, and
 - iii. The Financial Officer who is responsible for maintaining the accounting and financial records of the grant.
 - h. A description of all funding sources included on the SF-424.
5. Budget Justification – 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 (see below) 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.)
 - a. Total Budget
 - b. Amount of Total Budget incurred pre-award
 - c. Personnel (Salaries and Fringe)

- d. Travel
 - e. Equipment
 - f. Supplies
 - g. Contractual
 - h. Subawards
 - i. Construction
 - j. Other
 - k. Indirect Costs
6. Identification of Other Funding Sources (if applicable) - Some Direct Component projects will require additional funds to cover the full cost of the project (“other funds”), which may include local government funds, state funds, or other federal funds. Treasury requires documentation of proof of availability of other funds needed for completion of project activities. 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.
 7. Contractor (if applicable) – Indicate if the applicant plans to contract out any work described in the Scope of Work and included in the Budget Justification above (do not include subrecipient’s contractors). Describe the expected number of contracts, method of procurement, and the applicant’s plan for monitoring contractor performance and compliance. If a contractor has already been selected include the following:
 - a. Name of each contractor;
 - b. DUNS number of each contractor;
 - c. Date the applicant executed each contract; and
 - d. Amount of each contract awarded.
 8. Subrecipient (if applicable) - If the proposed project includes a subaward, include a separate, clearly defined scope of work and budget for the subrecipient. Describe how the applicant selected or 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. If a subrecipient has already been selected include the following:
 - a. Name of each subrecipient;
 - b. DUNS number of each subrecipient;
 - c. Date of applicant selection of each subrecipient; and
 - d. Amount of funds to be provided to each subrecipient
 9. Milestones – List the milestones and the estimated timeframe for completion (i.e., performance period start date + number of months to completion)
 10. Performance Measures – include the following (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.
- 11. MYP Consistency - 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.
- 12. Best Available Science (if applicable) - 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.) In order to support this determination, the applicant must:
 - a. Explain how the project's natural resource protection and/or restoration objectives and proposed methods are based on best available science;
 - b. Summarize any risks or uncertainties associated with the project and explain how these risks will be mitigated;
 - c. Cite and describe peer reviewed literature or publicly available data. For each source cited, the applicant must provide sufficient citations, including:
 - i. Title;
 - ii. Journal in which the literature source appeared, if applicable;
 - iii. Publication date;
 - iv. Author(s); and
 - v. Web address if downloaded or available online.
 - d. Upload 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 with the application.
 - e. Summarize the following:
 - i. The peer-reviewed information that justifies the proposed objectives, including methods used for the proposed activity.
 - ii. The literature sources' conclusions and any uncertainties or risks in the scientific basis that would apply to the proposed activity.
 - iii. How, if the information supporting the proposed activity does not directly pertain to the Gulf Coast Region, the applicant's methods reasonably support and are adaptable to that geographic area.
 - iv. An evaluation of uncertainties and risks in achieving the project's best available science objectives over the longer term.
- 13. Permits or Authorizations (if applicable) – Provide a list of the specific federal, tribal, state, or other permits or authorizations required for the project and their status. If permits or authorizations have already been obtained, include them with the application. (For federal environmental requirements, see Environmental Checklist and Environmental Checklist Reference Guidance.)

14. Construction and Land Acquisition Projects (if applicable) – Projects that include construction and/or land acquisition may require additional supporting documentation including the following:

- a. Legal description of the property and tax parcel number;
- b. Title Opinion or certificate;
- c. 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;
- d. Certified appraisal
- e. Construction drawings

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.

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 Environmental Checklist
Department of the Treasury

OMB Approval Number 1505-0250

*Directions: 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 in the table located on the last page of the checklist. 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 Environmental Checklist completed by an authorized representative employed by the subrecipient. A statement from the applicant attesting to its review of the subrecipient's Environmental Checklist must be submitted 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.***

PROPOSED PROJECT NAME: _____

APPLICANT NAME: _____

INFORMATION PROVIDED BY:

NAME: _____ **DATE:** _____

TITLE: _____ **ORGANIZATION:** _____

- 1) **NATIONAL ENVIRONMENTAL POLICY ACT (NEPA):** 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)?

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

If yes, list the document(s) and federal agency(ies): _____

Upload a copy of the environmental review document with your application.

- 2) **COASTAL ZONE MANAGEMENT ACT (CZMA):** 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

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.

- 3) **NATIONAL MARINE SANCTUARIES ACT:** Is the proposed activity located in a National Oceanic and Atmospheric Administration (NOAA) National Marine Sanctuary?

Yes No

If yes, identify the National Marine Sanctuary: _____

A permit or other authorization may be required from NOAA.

- 4) **MAGNUSON – STEVENS FISHERY CONSERVATION AND MANAGEMENT ACT:** Will the proposed activity occur in proximity to an Essential Fish Habitat (EFH) as identified by NOAA's National Marine Fisheries Service (NMFS)?

Yes No

If yes, identify the EFH types: _____

If yes, consultation with NMFS Habitat Conservation Division may be required.

5) **MARINE MAMMAL PROTECTION ACT (MMPA) (NMFS):** Will the proposed activity occur in proximity to any known marine mammals under the jurisdiction of the NMFS?

Yes No

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

Yes No Uncertain

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

A consultation and/or permit from the NMFS may be required.

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

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

Yes No Uncertain

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

A consultation and/or permit from the USFWS may be required.

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

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: _____

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

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: _____

A consultation and/or permit from the USFWS and/or NMFS may be required.

9) **COASTAL BARRIER RESOURCES ACT (CBRA):** Is the proposed activity located in or adjacent to a unit of the Coastal Barrier Resources System (CBRS)?

Yes No

If yes, indicate the CBRS unit(s): _____

If yes, the federal funding for the activity may be prohibited. Treasury may be required to make a determination regarding CBRA compliance.

10) **MIGRATORY BIRD TREATY ACT:** Will the proposed activity affect any migratory bird species protected by the Migratory Bird Treaty Act?

Yes No

If yes, list the migratory bird species: _____

A consultation and/or permit from the USFWS may be required.

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

Will the proposed activity affect any bald or golden eagles protected by the Bald and Golden Eagle Protection Act?

Yes No

If yes, a consultation and/or permit from the USFWS may be required.

12) **WILD AND SCENIC RIVER ACT:** Is the proposed activity located on a designated Wild and Scenic River?

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.

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

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

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

- 14) **RIVERS and HARBORS ACT - SECTION 10 (and SECTION 408 if applicable):** Will the proposed activity involve any work (including structures) that will occur in, over or under navigable waters of the United States?

Yes No

If yes, a Section 10 permit may be required from the USACE. (In cases of use or alteration of a federal civil works project, a Section 408 consultation with the USACE may be required.)

- 15) **CLEAN WATER ACT (CWA), SECTION 404:** Will the proposed activity result in any discharge of dredge or fill material to the nation's waters or wetlands?

Yes No

If yes, a Section 404 permit may be required from the USACE.

- 16) **CLEAN WATER ACT (CWA), SECTIONS 401 and 402:** Will the proposed activity result in any discharge of a pollutant to the nation's waters or wetlands?

Yes No

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.

- 17) **MARINE PROTECTION, RESEARCH, AND SANCTUARIES ACT (MPRSA):** Does the proposed activity involve the transportation of materials from the US for the purpose of ocean dumping covered by the MPRSA?

Yes No

If yes, a permit may be required from the EPA or, for dredged materials, the USACE.

18) **CLEAN AIR ACT (CAA):** Will the proposed activity result in any emissions of pollutants to the air within a non-attainment area or maintenance area?

Yes No

If yes, the activity may require compliance with the CAA including obtaining a permit in some circumstances from EPA or a delegated state agency.

19) **RESOURCE CONSERVATION AND RECOVERY ACT (RCRA):** Will the proposed activity include the treatment, storage, or disposal of hazardous waste or involve underground storage tanks?

Yes No

If yes, RCRA hazardous waste storage tank requirements may apply.

20) **COMPREHENSIVE ENVIRONMENTAL RESPONSE, COMPENSATION, AND LIABILITY ACT (CERCLA):** Will the proposed activity involve a Superfund site?

Yes No

If yes, the activity requires coordination with EPA.

21) **SAFE DRINKING WATER ACT (SDWA):** Will the proposed activity involve underground injection, which may impact drinking water sources?

Yes No

If yes, a SDWA permit may be required from EPA or a state with an EPA-approved primacy program.

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.

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

If yes, the purchase of Federal Flood Insurance may be required.

24) **E.O. 11988 and E.O. 12148 – FLOODPLAIN MANAGEMENT:** Is the proposed activity located in a Special Flood Hazard Area on a National Flood Insurance Program map?

Yes No

If yes, a public notice may be required.

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

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.

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

If yes, the activity may require mitigation.

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.

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

If yes, action to prevent the introduction of invasive species may be 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

If yes, the activity may be prohibited or require mitigation from the USFWS.

Environmental Compliance Status

Report the status of your contact with required agencies/tribes or date permission obtained on the table below which coincides with the environmental laws and executive orders outlined in the checklist. If none, state so. Upload completed environmental compliance documentation (e.g., NEPA documents, permits)

Federal law or EO listed in checklist	Name of responsible agency/tribe	Permit, certification, determination or mitigation required	Date agency/tribe contact or date permission obtained	Status (complete/ in process/ not required)	Document Upload

Applicant/Grantee:	
Title:	
Reporting Period Ending (Options: initial report, Mar 31, Sept 30), 20XX	

INSTRUCTIONS FOR COMPLETING FORM

Please complete Columns B-E in the initial report submitted as part of an application package. After a grant is awarded, complete Columns G-H for each milestone as applicable and submit as part of the performance reports described in the Standard Terms and Conditions. Columns E and H will calculate automatically, and will show an error message unless the values in each column 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 <small>Provide a brief description of the significant steps that comprise the scope of work</small>	-C- Estimated Completion Timeframe of Milestone <small>(Format: award + # of months)</small>	-D- Is milestone contingent upon completion of another milestone (Y/N)? <small>If yes, which milestone is it contingent upon (# from Column A)?</small>	-E- What percentage of the Scope of Work is estimated to be completed with this milestone?	-G- Actual Completion Date of Milestone <small>(Format: Month-Year)</small>	-H- Estimated percentage of budget for the awarded Scope of Work spent on milestone
1				0%		0%
2				0%		0%
3				0%		0%
4				0%		0%
5				0%		0%
6				0%		0%
7				0%		0%
8				0%		0%
9				0%		0%
10				0%		0%
TOTAL				_____		_____

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 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 plan.

Baseline: The starting point of the measure. It is the status quo without the grant award.

Target: The anticipated result of the measure. It is the anticipated new status with the grant award.

Target Date: It is the anticipated date for reaching the target.

Progress toward target (reporting period/cumulative): Leave blank on the initial report. For subsequent reports, record progress made during the reporting period and the progress made from the start date of the grant award through the current reporting period.

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 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.

Civil Rights Act of 1964 Title VI Narrative for RESTORE Act Direct Component and Centers of Excellence Research Grants Applicants

All applicants must provide a Title VI Narrative as an upload in GrantSolutions.gov. 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. A copy of the applicant's plan for providing language assistance to persons with limited English proficiency, based on the Treasury LEP Guidance.
5. 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.

6. 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).
7. A list of the applicant's pending applications for federal financial assistance and existing assistance. (A download file from [USAspending.gov](https://www.usaspending.gov) is acceptable for existing federal financial assistance.)
8. 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.

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

OMB Approval No. 1505-0250

<p>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 the separate <i>Centers of Excellence Application Narrative Supplement</i> (i.e., project and budget narratives) and other documentation as required by the relevant Funding Opportunity Announcement.</p>	
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?	<input type="radio"/> Existing Center(s) of Excellence (complete Section A)
	<input type="radio"/> New/Additional Center(s) of Excellence (complete Section B)
	<input type="radio"/> Both Existing and New/Additional Center(s) of Excellence (complete Sections A and B)
A. EXISTING CENTER(S) OF EXCELLENCE:	
1. Selection Process and Public Input	
<p>(a) Directions: List existing Center(s) and the corresponding grant number(s) under which it was first established, thereby incorporating previous responses by reference.</p>	
<p>(b) Directions: 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).</p>	

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.

B. NEW/ADDITIONAL CENTER(S) OF EXCELLENCE:
1. Selection Process – New/Additional Center(s) of Excellence
Directions: 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
Directions: 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
1. Subaward Management
Directions: 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.

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.

D. CENTER OF EXCELLENCE INFORMATION:		
<p>1. 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.</p>	Name of Center of Excellence:	
	Name of Subrecipient:	
	Street address:	
	City:	
	County/Parish:	
	State:	
	Zip code:	
	DUNS Number:	
	PI Name:	
	PI Phone Number:	
	PI Email Address:	
<p>2. Select the applicable eligible disciplines that each Center will be focusing on as part of this grant request.</p>	Select all that apply	Eligible Discipline
	<input type="checkbox"/>	A. 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
	<input type="checkbox"/>	B. Coastal fisheries and wildlife ecosystem research and monitoring in the Gulf Coast Region
	<input type="checkbox"/>	C. Offshore energy development, including research and technology to improve the sustainable and safe development of energy resources in the Gulf of Mexico
	<input type="checkbox"/>	D. Sustainable and resilient growth and economic and commercial development in the Gulf Coast Region
	<input type="checkbox"/>	E. Comprehensive observation, monitoring, and mapping of the Gulf of Mexico

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.

3. Provide more information on each Center, including what type of entity it is and whether it is a consortium.	Type of Entity (Institution of higher education, corporation, etc.)	
	Is the Center of Excellence a consortium?	yes <input type="radio"/> no <input type="radio"/>
	If yes, list all member organizations and addresses:	
4. Select whether there is a Minority-Serving Institution(s), and name the entity and type of MSI if applicable.	Minority-Serving Institution(s) included?	yes <input type="radio"/> no <input type="radio"/>
	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 at http://www2.ed.gov/about/offices/list/ocr/edlite-minorityinst.html)	
5. Select whether the Center is located in the Gulf Coast Region.	Is the Center of Excellence located in the Gulf Coast Region, as defined at 31 C.F.R. § 34.2? Explain or attach a map if necessary. yes <input type="radio"/> no <input type="radio"/>	
8. Permits		
Does the Center's proposed activities require any federal, tribal, state, or other permits? (For potential federal environmental permits see Environmental Checklist and Environmental Checklist Reference Guidance.) Yes <input type="radio"/> No <input type="radio"/>		
If yes, a list of the federal, tribal, state, or other permits required for the Center's proposed activities and the status of the permits must be included with the <i>Centers of Excellence Application Narrative Supplement</i> .		

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.

Centers of Excellence Application Narrative Supplement

All applicants must provide a narrative including the following information with the application as an upload in GrantSolutions.gov. The information is required unless it is not applicable to the project, program, or activity. Applicants should review the applicable funding opportunity announcement and Treasury guidance for a complete list and explanation of requirements.

1. Applicant Name
2. Proposed Scope of Work - A detailed scope of work that fully describes the program for which funding is requested, including:
 - a. Program Description
 - b. Need
 - c. Purpose
 - d. Objectives, including how they are designed to contribute to establishing/maintaining the Center(s) and monitoring the subrecipient(s)
 - e. Science, technology, and monitoring activities and how these activities relate to the eligible discipline(s)
 - f. Key Personnel, including:
 - i. The applicant's Authorizing Official who is authorized to sign the grant application and award,
 - ii. The Project Director who is responsible for the program,
 - iii. The Financial Officer who is responsible for maintaining the accounting and financial records of the grant, and
 - iv. The Principal Investigator(s) leading the Center(s).
 - g. A description of all funding sources included on the SF-424.
3. Subrecipient Scope of Work - Include a separate, clearly defined scope of work for the subrecipient(s) and a detailed subrecipient budget
4. Milestones – List the milestones and the estimated timeframe for completion (i.e., performance period start date + number of months to completion)
5. Performance Measures – include the following:
 - 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.
6. 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 (see below) 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. Total Budget
 - b. Amount of Total Budget incurred pre-award
 - c. Personnel (Salaries and Fringe)
 - d. Travel
 - e. Equipment
 - f. Supplies
 - g. Contractual
 - h. Subawards (including a detailed subaward budget by object class category)
 - i. Other
 - j. Indirect Costs
7. Permits or Authorizations (if applicable): 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 and Environmental Checklist Reference 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 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.

(e) A conflict of interest policy consistent with 2 C.F.R. § 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 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.

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:	



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 Treasury'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 Accountability 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	N	
	Y	N	
	Y	N	
	Y	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 exist 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 exist 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 exist 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 exist 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 exist 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	

Objectives (Continued)

Questions	Please respond "Y" or "N"		Comments
20. Real Property Acquisition & Relocation – Does an effective system of internal controls exist to provide reasonable assurance of compliance with the real property acquisition, appraisal, negotiation, and relocation requirements?	Y	N	
21. Matching, Level of Effort, Earmarking – Does an effective system of internal controls exist 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 purposes 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) exist 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 exist 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 exist 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 exist 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	
	Y	N	
27. Time-keeping – Does an effective personnel time system exist 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, (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)	