RESTORE Act

Centers of Excellence Research Grants Program
Guidelines and Appication to Receive Federal Financial Assistance

August 2014

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INTRODUCTION

The Resources and Ecosystems Sustainability, Tourist Opportunities, and Revived Economies of the Gulf Coast States Act of 2012 (RESTORE Act), established a new Trust Fund in the Treasury of the United States, known as the Gulf Coast Restoration Trust Fund. Eighty percent of the civil penalties paid after July 6, 2012, under the Federal Water Pollution Control Act (33 U.S.C. 1321) in connection with the *Deepwater Horizon* oil spill will be deposited into the Trust Fund and invested. Trust Fund amounts will be available for programs, projects, and activities described in the RESTORE Act.

This guidance applies solely to the Treasury-administered Centers of Excellence Research Grants Program, whose purpose is to establish Centers of Excellence to conduct research only on the Gulf Coast Region. The Centers of Excellence Research Grants Program is governed by the regulations at 31 C.F.R. Part 34[1], as well as the "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards" at 78 Fed. Reg. 78,590 (December 26, 2013). In addition to the guidance, Treasury includes the OMB Standard Forms and Centers of Excellence Application and Reporting Attachments to the SF-424 Form to assist applicants in developing their grant applications and reporting during the duration of the grant. This guidance focuses on the establishment and initial implementation of the Centers of Excellence Grants Program. Treasury may revise the guidance and application in the future as necessary to reflect the evolution of the program, and will notify all eligible applicants of any changes.

1.0 GETTING STARTED

Before starting the application process, an applicant should check to make sure it is one of the eligible entities and is proposing an eligible discipline. An applicant should make sure it is enrolled in the GrantSolutions.gov online grant system. Finally, before receiving an award, each applicant must complete an operational self-assessment as described in section 1.5 below.

1.1 <u>ELIGIBLE APPLICANTS</u>: Eligible applicants include the States of Texas, Louisiana, Mississippi, Florida, and Alabama. The regulations implementing the RESTORE Act specify that the following entities are responsible for carrying out the duties of each State: in Alabama, the Alabama Gulf Coast Recovery Council or its administrative agent; in Florida, the Florida Institute of Oceanography; in Louisiana, the Coastal Protection and Restoration Authority of Louisiana; in Mississippi, the Mississippi Department of Environmental Quality; and in Texas, the Office of the Governor or an appointee of the Governor.

[1] In the event of a conflict between these guidelines and the Treasury regulation, the regulations control.

1.2 CENTERS OF EXCELLENCE RESEARCH GRANT REQUIREMENTS:

Purpose of Program. Each Gulf Coast State (herein "applicant" or "recipient") is eligible to receive funds to award competitive grants (i.e., subawards) to nongovernmental entities and consortia in the Gulf Coast Region, including public and private institutions of higher education, for the establishment of one or more Centers of Excellence. These subawards will be made following the competitive process established by each eligible state.

Eligible Disciplines. Each Center of Excellence must focus on science, technology, and monitoring in at least one of the following disciplines.

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;
2. Coastal fisheries and wildlife ecosystem research and monitoring in the Gulf Coast Region;
3. Offshore energy development, including research and technology to improve the sustainable and safe development of energy resources in the Gulf of Mexico;
4. Sustainable and resilient growth, economic and commercial development in the Gulf of Mexico; and/or;
5. Comprehensive observation, monitoring, and mapping of the Gulf of Mexico.

Subrecipient Selection Process. Each applicant, when selecting nongovernmental entities and consortia for the establishment of one or more Centers of Excellence, must adhere to the following requirements:

1. The process to select one or more Centers of Excellence must allow nongovernmental entities and consortia in the Gulf Coast Region, including public and private institutions of higher education, to compete.

2. The selection process must guard against any conflicts of interest.

3. The process must give priority to entities and consortia that demonstrate the ability to establish the broadest cross-section of participants with interest and expertise in science, technology, and monitoring in any of the eligible disciplines described above, on which the proposed Center of Excellence will be focused.

4. Subawards may be made only to nongovernmental entities and consortia in the Gulf Coast Region, including public and private institutions of higher education. However, entities and consortia would not have to be located in the Gulf Coast State that makes a subaward. Gulf Coast Region is defined at 31 C.F.R. § 34.2.Any other selection criteria adopted by the applicant must be identified in the application for funding.

If an applicant has selected one or more Centers of Excellence prior to submitting an application, it will describe the selection process used and how that process addressed the requirements above (see application form in section 4.0).

Public Comment. The rules and policies governing the Centers of Excellence Research Grants, including the competitive selection process, must be published and available for public review and comment for a minimum of 45 days. An applicant must demonstrate that the rules and policies were adopted after consideration of meaningful public input, including broad-based participation from individuals, businesses, Indian tribes, and non-profit organizations. This requirement does not apply to state statutes and regulations.

Administration of Subawards. In the application for funding, an applicant must describe the policies it will apply to subawards, such as reporting requirements, performance measures, and compliance monitoring. An applicant also must provide information on its experience administering subawards. If the Center of Excellence anticipates it will make further awards of financial assistance to entities for research or other activities, the application must describe the policies that will apply to such awards. As pass-through entities, applicants must follow all applicable regulations, and ensure that all applicable requirements and cost principles are adhered to by, and included in any subaward documents for, subrecipients. All requirements must flow down to the entities making final expenditure of funds under Centers of Excellence Research Grants, and must be included in any legal agreements with subrecipients. An applicant should ensure it has sufficient processes and systems in place to comply with the subaward and executive compensation reporting requirements found at 2 C.F.R. Part 170.

Reporting requirements. In addition to financial and performance reports required by the Office of Management and Budget "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards" at 78 Fed. Reg. 78,590 (December 26, 2013), each recipient must provide an annual report to the Gulf Coast Ecosystem Restoration Council ("Council") in a form set by the Council no later than 60 days after the end of the federal fiscal year, and provide a copy to Treasury. The annual report, at a minimum, must include the following:

- executive summary
- information on subrecipients,
- subaward amounts,
- discipline or disciplines addressed,
- research projects undertaken,
- status of performance, and
- any other reporting information the Council may require.

When the subrecipient is a consortium, the annual report also must identify the consortium members and the respective discipline(s) addressed. This information will be included in the Council's annual report to Congress.

1.3 TECHNICAL ASSISTANCE: Treasury will offer training and technical support to assist applicants in preparing Centers of Excellence Research Grant Applications. Also, applicants may submit questions regarding the application process or forms in writing to restoreact@treasury.gov. Early consultation with Treasury may avoid issues associated with incomplete applications and streamline the formal review process. Treasury encourages applicants to obtain grants management training for the staff who will be working with Treasury during grants submission, review, and post-award processes, including reporting.

1.4 ACCESS TO GRANTSOLUTIONS.GOV: Treasury will use the Department of Health and Human Services (HHS) GrantSolutions.gov shared-service provider system to receive applications from eligible applicants and to manage its application review and award process. Eligible applicants must submit completed applications electronically via GrantSolutions.gov for proposed Center(s) of Excellence that focus on one or more of the eligible disciplines. In order to do so, an applicant first must have a user account. Treasury will work with HHS and contact each applicant to request information to establish each user account.

1.5 OPERATIONAL SELF-ASSESSMENT: Prior to receiving Center(s) of Excellence funding for eligible disciplines, each applicant must complete an Operational Self-Assessment concerning its internal and financial controls, which Treasury will utilize in its compliance process. The applicant must submit the Operational Self-Assessment to the Department of Treasury's RESTORE Act mailbox, restoreact@treasury.gov. The Operational Self-Assessment can be obtained at http://www.treasury.gov/services/restore-act/Pages/default.aspx.

2.0 GENERAL INSTRUCTIONS

2.1 FUNDING OPPORTUNITY ANNOUNCEMENTS: GRANTS.GOV AND DEPARTMENT OF TREASURY WEBSITE: Treasury will post funding opportunity announcements for the Centers of Excellence Research Grants on Grants.gov (http://www.grants.gov). The funding opportunity announcement will provide a description of the funding opportunity, eligible applicants, and contacts for more information. Treasury also will post the same information, including this guidance and application forms, on its website at http://www.treasury.gov/services/restore-act/Pages/default.aspx.

2.2 HOW TO OBTAIN AN APPLICATION: Grants.gov will not be used for the application submission process. Treasury will be using GrantSolutions.gov to manage the application submission process, and eligible applicants applying for the Centers of Excellence funding opportunity announcement will need to prepare and submit their applications using GrantSolutions.gov. Only eligible applicants may apply to the funding opportunity announcement after obtaining a GrantSolutions.gov username and password. Applications will be accepted only from eligible applicants who submit applications via GrantSolutions.gov. Applicants should access the application within Grantsolution.gov and complete the application package, required forms, and attachments.

2.3 APPLICATION REQUIREMENTS:

- Applications can be accepted only through GrantSolutions.gov. Applications cannot be received via e-mail, paper mail, courier, or delivery service, unless the applicant obtains prior written approval from Treasury.
- Any files uploaded or attached to the GrantSolutions.gov application must be PDF file format and must contain a valid file format extension in the filename, unless otherwise specified in this guidance.
    - Please note that any form templates provided by Treasury must be completed and uploaded in the native format provided by the Treasury.
- Even though GrantSolutions.gov allows applicants to attach other file formats as part of their application, Treasury restricts this practice and only accepts PDF file format or JPEG for scanned copies of signed certifications as noted below, unless otherwise specified in this guidance.
- Any file submitted as part of the GrantSolutions.gov application that is not in a PDF file format or in another format otherwise specified in this guidance, or contains password protection, will not be accepted for processing and will be excluded from the application during the review process. In addition, the use of compressed file formats such as ZIP, RAR or Adobe Portfolio will not be accepted.
- The application must be submitted in a file format that can easily be copied and read by reviewers. Scanned copies of signed certifications must be readable and submitted through GrantSolutions.gov in a PDF or JPEG file format. Pages cannot be reduced resulting in multiple pages on a single sheet.
- All documents that do not conform to the above will be excluded from the application during the review process.

2.4 RECEIPT OF APPLICATIONS: After the funding opportunity announcement is published on http://www.grants.gov, only the five eligible applicants will have access to prepare and submit applications via GrantSolutions.gov. Treasury will review applications on a continuing basis as received. If Treasury later decides to accept applications on a schedule, Treasury will notify all eligible applicants directly about any application due dates that may be implemented, and post the announcement on Treasury's website. As the applicant begins to prepare its grant application, Treasury will assist in responding to questions about the process, application completeness, and satisfaction of criteria under the Act and the regulation. Upon receipt of an application, Treasury will review and consider Centers of Excellence applications and may contact the applicant to request more information.

2.5 DATA UNIVERSAL NUMBERING SYSTEM (DUNS) AND SYSTEM FOR AWARD MANAGEMENT (SAM) REQUIREMENTS

All applicants must have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number (see 2 C.F.R. §25.200). The DUNS number is a nine-digit identification number that uniquely identifies business entities. To obtain a DUNS number, access the following website: http://www.dunandbradstreet.com/, or call 1-866-705-5711. This number should be entered in the block with the applicant's name and address on the cover page of the application (Item 8c on the Form SF-424, "Application for Federal Assistance"). Applicants should obtain this DUNS number immediately, prior to registering with Sam.gov, to ensure all registration steps are completed in time.

Organizations and entities that wish to apply for federal grants are required to be registered with the System for Award Management (SAM) (see 2 C.F.R. §25.200). Applicants can register with the SAM online at: https://www.sam.gov. Organizations are required to maintain an active registration and must renew their registration annually. Failure to renew a SAM registration prior to submission of an application or issuance of a grant will prevent an applicant from successfully receiving an award.

All applicants must provide their DUNS and EIN/TIN numbers in order to register in Sam.gov. Registering an account with the SAM is a separate process from submitting an application. Applicants are encouraged to register early. Registration should be completed in sufficient time to ensure that it does not impair an applicant's ability to apply for and receive an award. Applicants must successfully register with the SAM prior to submitting an application or registering in the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS) as a prime recipient user. Prime recipients must maintain a current registration with the SAM, and if making subawards, then subawards may only be made to entities that have DUNS numbers.

Organizations that must report executive compensation as part of the registration profile at Sam.gov must do so by the end of the month following the month in which the award is made, and annually thereafter (based on the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109-282), as amended by section 6202 of Public Law 110-252 and implemented by 2 C.F.R. Part 170).

3.0 SPECIFIC APPLICATION INSTRUCTIONS

3.1 APPLICATION PROCESS

Applicants may choose to submit a single application or multiple applications seeking a specified amount of funding, which may extend for a period of up to five years. An application to engage one or more Centers of Excellence must focus on science, technology, and/or monitoring for at least one of the following eligible disciplines:

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;
2. Coastal fisheries and wildlife ecosystem research and monitoring in the Gulf Coast Region;
3. Offshore energy development, including research and technology to improve the sustainable and safe development of energy resources in the Gulf of Mexico;
4. Sustainable and resilient growth, economic and commercial development of the Gulf Coast Region; and/or,
5. Comprehensive observation, monitoring, and mapping of the Gulf of Mexico.

Once the applicant chooses its Center(s) of Excellence and prior to drawing down any funds, it must notify Treasury of the following:

1. Name of each Center of Excellence, the entity chosen for each Center that will conduct research, and the name of each member organization if the entity is a consortium;

2. Location of each Center of Excellence and additional member organizations if it is a consortium;
3. Discipline or disciplines on which each Center of Excellence science, technology, or monitoring funding will focus;
4. Description of the actual public review and comment process undertaken, including how the rules and policies governing the Centers of Excellence Research Grants were published and made available for public review for a minimum of 45 days and how meaningful public input was considered;
5. Estimated budget for each Center, including the total allocation of funds for each Center and for each discipline; and,
6. Any additions or changes to the performance measures in the RESTORE Act Centers of Excellence Research Grants Status of Performance Report in Section 5.0 of this guidance.

If the applicant has selected the Center(s) of Excellence prior to submitting an application, the applicant must submit the information described above with the application. The applicant must describe in semi-annual performance reports any changes or additions to milestones included in the application.

3.2 REQUIRED FORMS

Applicants are required to submit an application containing the items listed below. Treasury will not consider application packages for funding until all required forms, narratives, certifications, and attachments listed below are submitted.

For a Centers of Excellence Research Grant application, the applicant must complete and submit the following standard forms and documentation. If an item specifies the use of a template, then the applicant is required to download the template from within the GrantSolutions.gov application kit, complete the template, and upload the completed template, in its native file format, as part of the application submission.

1. Form *SF-424, Application for Federal Assistance*
2. A *RESTORE Act Centers of Excellence Research Grant Financial Assistance Application* that addresses specific requirements under the Act and regulation, including the Treasury RESTORE Act Environmental Checklist *(completion of template required)*.
3. Form *SF-424A, Budget Information for Non-Construction Programs*
4. Form *SF-424B Assurance for Non-Construction Projects*
5. Negotiated Indirect Cost Rate Agreement
6. A letter of designation must be included in the first application from applicant's highest official[2] designating the Senior Authorized Official who can legally bind the entity to execute the *RESTORE Act*

[2] The highest official for the State of Alabama will be the Chairperson of the Alabama Gulf Coast Recovery Council; for Florida, the Director of the Florida Institute of Oceanography; for Louisiana, the Executive Director of the Coastal Protection

Centers of Excellence Research Grant Funding Certification (completion of template required). Whenever the Certification is signed by a different official, the applicant's highest official will need to submit a new letter of designation citing that the Senior Authorized Official can legally bind the entity to execute the Certification.

7. RESTORE Act Center of Excellence Applicant Certifications in Section 6.0 of this guidance *(completion of template required)*, signed by the person designated above.
8. A *RESTORE Act Centers of Excellence Research Grants Status of Performance Report (completion of template required)*. Performance measures should be outcome-oriented to the extent possible and demonstrate progress toward meeting the stated objective(s) for the Center(s) of Excellence. Each measure should include a specific target and date for completion (month/year). The applicant will report its progress on these measures throughout the life of the grant, using the attached Status of Performance Report. Treasury encourages the applicant to develop additional measures that will extend past the grant period to demonstrate program outcomes, when applicable.

3.3 POST-AWARD CHANGES TO CENTERS OF EXCELLENCE

If the recipient chooses to engage another Center of Excellence after a grant agreement has been executed, the recipient may need to submit a new application. The recipient will need to describe in the application how the new Center of Excellence was selected, including the competitive solicitation and selection process and consideration of public comment. If the recipient chooses to add another eligible discipline to an existing Center of Excellence, the recipient must submit an amendment to the existing award. The recipient may contact Treasury to determine if a new application is necessary, as opposed to an amendment to the existing award, such as if the addition of a new discipline occurs near the end date of the existing award.

The recipient may submit an amendment to obtain additional funds when, during a five-year grant period, funds remain available in the recipient's allocation or new funds are deposited into the Gulf Coast Restoration Trust Fund. Once the recipient has submitted an acceptable amendment request, Treasury will amend the award to provide additional funding and/or extend the award as requested. If during the grant period, the recipient decides to remove a Center of Excellence as a subrecipient, or remove an eligible discipline from its scope of work under the grant, the recipient must seek, in writing, the written prior approval of Treasury. The recipient must submit a grant amendment request and revised budget if there are remaining funds for the Center of Excellence subrecipient that was removed.

4.0 APPLICATION FORMS

This section provides the forms that are required for a complete application. The fillable forms in sections 4.0 and 5.0 will be available for download from http://www.grantsolutions.gov. Other information to be uploaded to GrantSolutions.gov should be in PDF format.

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and Restoration Authority of Louisiana; for Mississippi, the Executive Director of the Mississippi Department of Environmental Quality; and for Texas, the Governor.

4.0 RESTORE ACT CENTERS OF EXCELLENCE RESEARCH GRANT FINANCIAL ASSISTANCE APPLICATION

Directions: Complete this form to apply for Centers of Excellence Research Grants Program funding. A new application also may be needed for a request to add another Center of Excellence or to add a new discipline.	
GENERAL INFORMATION:	
Applicant Name:	
Name and Contact Information of the person to be contacted (POC) on matters concerning this application:	**POC Name:** **POC Title:** **POC Email:** **POC Phone:**
A. SELECTION PROCESS QUESTIONS	
FIRST-TIME APPLICATION QUESTION: Did the applicant complete a competitive process, consistent with the RESTORE Act regulations, to select the subrecipient organization(s) to establish a Center of Excellence prior to submitting an application? (If yes, skip questions 1 and 2 in Section A. This question is not applicable after Treasury issues an award based on the applicant's initial Center of Excellence grant application and the applicant executes a Center of Excellence grant agreement, unless the applicant establishes additional Center(s) of Excellence in the future.) **Yes [ ] No [ ]**	
1. Please describe the competitive review process that the applicant will use to select a Center of Excellence(s), including: a) the qualifications for entities and consortia; b) the criteria for selection and how those criteria will be applied; c) how priority 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 (see http://www2.ed.gov/about/offices/list/ocr/edlite-minorityinst.html); and d) any other selection factors. As appropriate, provide references to existing state statutory or regulatory requirements.	

2. Please choose the applicable eligible discipline(s) that the applicant proposes to include in this Center of Excellence solicitation by placing an 'X" in the 'Select' column in the row corresponding to the qualifying eligible discipline focus area. *(After completing this question, please go to Section B.)*	**Select (check all that apply)**	**Eligible Discipline**
	☐	**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**
	☐	**B. Coastal fisheries and wildlife ecosystem research and monitoring in the Gulf Coast Region**
	☐	**C. Offshore energy development, including research and technology to improve the sustainable and safe development of energy resources in the Gulf of Mexico**
	☐	**D. Sustainable and resilient growth and economic and commercial development in the Gulf Coast Region**
	☐	**E. Comprehensive observation, monitoring, and mapping of the Gulf of Mexico**

3. *[Answer if the applicant selected a COE prior to submitting this application]:* Please describe the competitive review process that the applicant used in selecting its first subrecipient(s) as a Center of Excellence, including a) the qualifications for entities and consortia; b) the criteria for selection and how those criteria were applied; c) how priority was given to entities that demonstrated the ability to organize the broadest cross-section of participants with interest and expertise in the discipline(s) on which their proposal was focused, including participation by minority-serving institutions; and d) any other selection factors. As appropriate, provide references to existing state statutory or regulatory requirements. Attach additional documentation if needed.]

4. *If the applicant answered question 3,* please provide the	Name:	Select (check all that apply)	Eligible Discipline
address and contact information for each organization selected to operate a Center of Excellence as a subrecipient of the applicant prior to the date of submission of this application; attach more pages as needed. (Include a name and phone number and/or email address for Principal Contact Information. Attach additional information as needed.) Also, please select the letter of the applicable eligible discipline(s) that each organization will be focusing on. *(After completing this question, please go to Section B.)*	Street address:		
	City:	☐	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
	County/Parish:	☐	B. Coastal fisheries and wildlife ecosystem research and monitoring in the Gulf Coast Region
	State:	☐	C. Offshore energy development, including research and technology to improve the sustainable and safe development of energy resources in the Gulf of Mexico
	Zip code:	☐	D. Sustainable and resilient growth and economic and commercial development in the Gulf Coast Region
	Principal Contact Information:	☐	E. Comprehensive observation, monitoring, and mapping of the Gulf of Mexico
	DUNS Number:		
	Type of Entity (Institution of Higher Education, corporation, etc):		Is the Center of Excellence a consortium? ☐ yes ☐ no If yes, list all member organizations and addresses:
	Minority-Serving Institution(s) included? ☐ yes ☐ no If yes, 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		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 ☐ no

B. DISCUSSION OF PUBLIC INPUT AND APPLICANT PROCEDURES – *All applicants answer this section for each application*
1. Public Input
[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. Please 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.]

2. Applicant's procedures for issuing and managing subrecipients and subawards under the COE research grants program.
[Directions: Describe the applicant's policies and procedures for issuing subawards to the COE(s), including the process to guard against conflicts of interest; the process for selecting science, technology, or monitoring projects; and the process for monitoring performance, reporting, and compliance for COE(s)). Please also describe any requirements for COE(s) in working with third parties (e.g., performance monitoring and reporting for lower tier subrecipients).]

3. Applicant's research grants management experience.
[Directions: Describe the applicant's experience with issuing and monitoring subawards.]

4. Budget Narrative
[Directions: Explain how the overall budget supports the proposed scope of work. Attach a copy of the negotiated indirect cost agreement and provide specific justification for all that apply: • **personnel and fringe (see 5. Key Personnel);** • **travel including the number of trips and estimated cost per trip;** • **supplies;** • **all equipment greater than $5,000;** • **contractual costs** **If other federal or non-federal funds will be used to complete the activity, provide an explanation and total funds by type:** • **other RESTORE Act funds,** • **other federal funds,** • **other state or local funds,** • **other private funds.]**

5. Key personnel
[Directions: Identify key applicant personnel who will undertake and complete the activities. This will include state entity staff managing the process to establish Center(s) of Excellence, and if known, the principle investigator(s)/program director(s) for Center(s) of Excellence if already established. Specify the position titles, duties, and responsibilities of each key individual.]

6. Task and Major Milestones
[Directions: Describe tasks and list major milestones with a description and target completion date.]

7. Permits
Does the proposed activity require any federal, state, or local permits? For potential federal permits needed, see: http://www.permits.performance.gov/permit-inventory. ☐ **yes** ☐ **no** If yes, list local, state, tribal, or federal permits required for this project and the status of the permits: [If the permits have not been obtained, and the applicant is seeking the permits, work may not begin until the permits have been issued and received by the applicant.]

Treasury RESTORE Act Environmental Checklist

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 may be submitted with the grant application. Treasury will use the submittals to record the Applicant's assertion that it has complied with applicable environmental laws.

FEDERAL LAWS

1.1 NATIONAL ENVIRONMENTAL POLICY ACT (NEPA)
The NEPA of 1969 (42 U.S.C. 4321 et seq.) provides a national policy that encourages "productive and enjoyable harmony between man and his environment; to promote efforts which will prevent or eliminate damage to the environment and biosphere and stimulate the health and welfare of man . . ." The NEPA requires that all federal agencies use a systematic, interdisciplinary approach for protection of the human environment; this approach will ensure the integrated use of the natural and social sciences in any planning and decision-making that may have an impact upon the environment. The NEPA also requires the preparation of a detailed Environmental Impact Statement (EIS) on any major federal action that may have a significant impact on the environment.

1) Will the proposed activity be under the permitting authority of any federal agency?
Yes No

2) Will the proposed activity receive federal assistance (other than RESTORE Act funding)?
Yes No

3) Will the proposed activity be subject to any federal regulatory decision or approval?
Yes No

If the answer to any of these questions is "yes," contact the relevant federal agency or agencies for further guidance on environmental compliance. Additional information concerning NEPA can be found at: http://ceq.hss.doe.gov/nepa/nepanet.htm.

1.2. COASTAL ZONE MANAGEMENT ACT (CZMA)
[Direct Component or Centers of Excellence] grant applications may be subject to the review provisions of Section 307 of the Coastal Zone Management Act (CZMA) and implementing regulations at 15 C.F.R. Part 930. Questions as to the applicability of the CZMA consistency provisions should be directed to the Office of Ocean and Coastal Resource Management/Coastal Services Center within the National Oceanic and Atmospheric Administration. A federal consistency determination or certification may be required from the state coastal zone management program, based on the following questions:

1) Will the proposed activity occur in or near the state designated coastal zone (http://coastalmanagement.noaa.gov/mystate/docs/StateCZBoundaries.pdf)?
Yes No
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 the answer to either of these questions is "yes," contact the State Coastal Zone Management Program

((http://coastalmanagement.noaa.gov/programs/czm.html) for further guidance on federal consistency requirements in your state. Additional information on federal consistency can be found at: http://coastalmanagement.noaa.gov/consistency/welcome.html

1.3 ENDANGERED SPECIES ACT (ESA)
Section 7 consultations may be required if a threatened or endangered species or critical habitat is present.

1) 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 National Marine Fisheries Service (NMFS) (http://www.nmfs.noaa.gov/pr/laws/esa/) or the U.S. Fish and Wildlife Service (USFWS) (http://endangered.fws.gov/)?
Yes No

2) Will the proposed activity potentially affect threatened or endangered species or critical habitat as defined by the ESA and under the jurisdiction of National Marine Fisheries Service (NMFS)or U.S. Fish and Wildlife Service (USFWS)?
Yes No

If the answer to either of these questions is "yes," contact the regional office of USFWS (http://www.fws.gov/offices/) and/or NMFS (http://www.nmfs.noaa.gov/) to determine if consultation is required. Most consultations are conducted informally with the federal agency or a designated non-federal representative. Non-federal representatives may be involved in the informal consultation process and may request and receive species lists, prepare the biological assessment, and provide information for the formal consultation. However, the USFWS requires the action agency to designate formally the non-federal representative in writing. Moreover, the ultimate responsibility for Section 7 obligations remains with the action agency. Additional information concerning Section 7 consultations can be found in the Endangered Species Act Consultation Handbook at: http://www.fws.gov/policy/m0002.html

1.4 MAGNUSON – STEVENS FISHERY CONSERVATION AND MANAGEMENT ACT (FCMA)
Consultation with the NMFS may be required if Essential Fish Habitat (EFH) is present. The trigger for EFH consultation is a federal agency's determination that an action or proposed action, funded, authorized, or undertaken by that agency may adversely affect EFH.

1) Will the proposed activity occur in proximity to EFH as identified by the nearest Regional Fishery Management Council (http://www.fisherycouncils.org/ and
http://www.nmfs.noaa.gov/sfa/management/councils/)
Yes No

2) Will the proposed activity potentially adversely affect EFH?
Yes No

If the answer to either of these questions is "yes," contact the nearest regional office of the NMFS (http://www.nmfs.noaa.gov/) or Regional Fishery Management Council (http://www.fisherycouncils.org/) to determine if consultation is required. Additional information concerning EFH can be found at: http://www.habitat.noaa.gov/index.html. Information about consultations can be found in the Essential Fish Habitat Consultation Guidance at: http://www.habitat.noaa.gov/pdf/efhconsultationguidancev1_1.pdf.

1.5 MARINE MAMMAL PROTECTION ACT (MMPA)
A permit may be required if an activity will result in the "take" of a marine mammal. Taking is defined as "to harass, hunt, capture, or kill, or attempt to harass, hunt, capture, or kill any marine mammal." Permits for most marine mammals are issued by NMFS. Manatees, polar bears, sea otters, walruses, and dugongs, however, are under the jurisdiction of the USFWS.

1) Will the proposed activity occur in proximity to any known marine mammals
(http://www.nmfs.noaa.gov/pr/species/mammals)?
Yes No

2) Will the proposed activity likely result in the take of a marine mammal?
Yes No

If the answer to either of these questions is "yes," contact the nearest regional office of NMFS (http://www.nmfs.noaa.gov/) to determine if a permit is required. Additional information concerning marine mammal permits can be found at:
http://www.nmfs.noaa.gov/pr/permits/mmpa_permits.htm and
http://www.nmfs.noaa.gov/pr/permits/guide.htm.

1.6 CLEAN WATER ACT (CWA)

A separate type of permit is required to dispose of dredge or fill material in the Nation's waters, including wetlands. Authorized by Section 404 of the Act, this permit program is administered by the U.S. Army Corps of Engineers (USACE), subject to and using environmental guidance from the Environmental Protection Agency (EPA). Some types of activities are exempt from permit requirements, including certain farming, ranching, and forestry practices that do not alter the use or character of the land; some construction and maintenance; and activities already regulated by States under other provisions of the Act.

A permit may be required from the USACE for the disposal of dredge or fill material in the nation's waters, including wetlands.

1) Will the proposed activity result in any disposal of dredge or fill material to the nation's waters or wetlands?
Yes No

If the answer to this question is "yes," contact the Regulatory Program of the nearest District Office of the USACE (http://www.usace.army.mil/Locations.aspx)for further guidance on Section 404 permits.

A Water Quality Certification (Section 401) is required for activities that may result in a discharge into navigable waters, including wetlands, watercourses, and natural or man-made ponds. A National Pollution Discharge Elimination System (NPDES) permit may also be required for such discharges. 1) Will the proposed activity result in any discharge to navigable waters?
Yes No

If the answer to this question is "yes," contact your state water quality agency for additional guidance. Additional information concerning Section 401 or NPDES requirements can be found at: http://www.epa.gov/owow/wetlands/waterquality and (http://cfpub.epa.gov/npdes/).

1.7 CLEAN AIR ACT (CAA)
Special conditions may be required on projects that could affect air quality.

1) Will the proposed activity result in any direct or indirect emissions within a non-attainment area (http://www.epa.gov/oar/oaqps/greenbk/index.html)?
Yes No

If the answer to this question is "yes," contact the nearest state air quality agency (http://www.4cleanair.org) for further guidance on determining conformity with the state implementation plan.

1.8 NATIONAL HISTORIC PRESERVATION ACT (NHPA)
Special conditions may be required on projects that could affect historic resources.

1) Will the proposed activity occur near property listed or eligible for listing in the National Register of Historic Places (http://www.cr.nps.gov/nr), or near property otherwise protected by section 106 of the National Historic Preservation Act (http://www.nps.gov/history/local-law/nhpa1966.htm) or a similar State Preservation Act?
Yes No

If the answer to this question is "yes," contact the U.S. Advisory Council on Historic Preservation (http://www.achp.gov), or your state historic preservation office (http://www.ncshpo.org/) for further guidance concerning compliance requirements.

1.9 COASTAL BARRIER RESOURCE ACT (CBRA)
Federal funding may be prohibited for projects that occur on certain designated coastal barriers.

1) Is the proposed activity located on an undeveloped coastal barrier designated by the Coastal Barriers Resources Act (http://www.fws.gov/cbra/)?
Yes No

If the answer to this question is "yes," contact the nearest Regional Office of USFWS (http://www.fws.gov/where) for further guidance.

1.10 RIVERS AND HARBORS ACT
A permit may be required from the USACE if the proposed activity involves any work in, over, or under navigable waters of the United States.

1) 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 the answer to this question is "yes," contact the Regulatory Program of the nearest District Office of the USACE (http://www.usace.army.mil/Locations.aspx) for further guidance on Section 10 permits. The USACE can authorize activities by a standard individual permit, letter-of-permission, nationwide permit, or regional permit. The USACE will make the determination on what type of permit is needed.

1.11 RESOURCE CONSERVATION AND RECOVERY ACT (RCRA)
A RCRA permit may be required from the EPA or designated state agency for the long-term storage, treatment, or disposal of hazardous materials or petroleum products.

1) Will the proposed activity include the long-term storage of hazardous materials or petroleum products?
Yes No

If the answer to this question is "yes," contact the nearest RCRA Regional Office of the EPA or state authorized agency (http://www.epa.gov/epawaste/inforesources/online/index.htm) for further guidance on RCRA compliance.

1.12 COMPREHENSIVE ENVIRONMENTAL RESPONSE, COMPENSATION, AND LIABILITY ACT (CERCLA)
Special provisions and requirements may apply if the proposed activity involves a Superfund site (http://www.epa.gov/superfund/sites/index.htm).

1) Will the proposed activity involve a known Superfund site?
Yes No

If the answer to this question is "yes," contact the nearest Regional Office of the EPA (http://www2.epa.gov/aboutepa#pane-4) for further guidance on CERCLA requirements.

1.13 WILD AND SCENIC RIVERS ACT
The Wild and Scenic Rivers Act prohibits federal support for actions such as the construction of dams or other instream activities that would harm the free-flowing condition, water quality, or outstanding resource values of a designated Wild and Scenic River. There are designated rivers in the Gulf Coast States.

1) Is the proposed activity located on a designated Wild and Scenic River (http://www.rivers.gov/index.php)?
Yes No

If the answer to this question is "yes" contact contact the nearest Regional Office of the USFWS (http://www.fws.gov/where) for further guidance.

1.14 SAFE DRINKING WATER ACT
A permit may be required if the proposed activity will involve underground injection which may impact drinking water sources.

1) Will the proposed activity involve underground injection which may impact drinking water sources?
Yes No

If the answer to the question is "yes," contact the nearest state drinking water or underground injection control program. For more information see: http://water.epa.gov/lawsregs/guidance/sdwa/.

EXECUTIVE ORDERS

Executive Orders are directives from the President of the United States to federal agencies and officials.

2.1 E.O. 11988 – FLOODPLAIN MANAGEMENT
This Executive Order requires that an eight-step process be followed for projects that may have potential impacts to or within

floodplains.

1) Is the proposed activity located in a designated floodway or "V-zone" on a National Flood Insurance Program map: (http://msc.fema.gov/webapp/wcs/stores/servlet/FemaWelcomeView?storeId=10001&catalogId=10001&langId=-1)?
Yes No

If the answer to this question is "yes," contact the nearest Regional Office of the Federal Emergency Management Agency (http://www.fema.gov/regional-operations) for further guidance.

2.2 E.O. 11990 – WETLAND PROTECTION
This Executive Order requires agencies to minimize the destruction, loss, or degradation of wetlands, and to preserve and enhance the natural beneficial values of wetlands.

1) Is any portion of the proposed activity in wetlands?
Yes No

If the answer to this question is "yes," provide documentation in the grant application demonstrating that: (1) there is no practicable alternative, and (2) the proposed activity includes all practicable measures to minimize harm to wetlands.

2.3 E.O. 12898 – ENVIRONMENTAL JUSTICE
This Executive Order requires that "each federal agency shall make achieving environmental justice part of its mission by identifying and addressing, as appropriate, disproportionately high and adverse human health or environmental effects of its programs, policies, and activities on minority populations and low-income populations."

1) Will the proposed activity have disproportionately high and adverse human health or environmental effects on minority or low-income populations?
Yes No

If the answer to this question is "yes," see the Council on Environmental Quality website for further guidance on Environmental Justice: http://ceq.hss.doe.gov/nepa_information/justice.html.

2.4 E.O. 13089 – CORAL REEF PROTECTION
This Executive Order requires that any actions that are authorized or funded by federal agencies not degrade the condition of coral reef ecosystems. The some of the Gulf Coast States contain coral reef ecosystems and include National Marine Sanctuaries (http://sanctuaries.noaa.gov).

1) Will the proposed activity involve a coral reef ecosystem or National Marine Sanctuary?
Yes No

If the answer to this question is "yes," contact the National Oceanic and Atmospheric Administration Coral Reef Conservation Program (http://www.coralreef.noaa.gov) for further guidance. Additional information regarding Executive Order 13089 can be found at: http://ceq.hss.doe.gov/nepa/regs/eos/eo13089.html.

2.5 E.O. 13112 – INVASIVE SPECIES
This Executive Order requires agencies to prevent the introduction of invasive species and provide for their control.

1) Will the proposed activity have the potential to introduce or cause the spread of an invasive species? For more information on invasive species, see http://www.invasivespeciesinfo.gov/index.shtml.
Yes No

If the answer to this question is "yes," provide documentation demonstrating that the benefits of the activity clearly outweigh the potential harm caused by invasive species, and that all feasible and prudent measures to minimize risk of harm will be taken in conjunction with the actions.

2.6 E.O. 13186 – RESPONSIBILITIES OF FEDERAL AGENCIES TO PROTECT MIGRATORY BIRDS
This Executive Order requires the incorporation and promotion of migratory bird conservation considerations into all agency activities. The Gulf Coast States contain North American migration flyways.
1) Is the proposed activity likely to occur during a time of the year when migrating birds are in the vicinity?

Yes No

If the answer to this question is "yes," contact the nearest Regional Office of the U.S. Fish and Wildlife Service (http://www.fws.gov/where) for further guidance. Additional information regarding Executive Order 13186 can be found at: http://www.fws.gov/migratorybirds.

2.7 E.O. 13653 – PREPARING THE UNITED STATES FOR THE IMPACTS OF CLIMATE CHANGE
This Executive Order requires federal agencies to identify and support smarter, more climate-resilient investments by States, local communities, and tribes, including by providing incentives through agency guidance and grants.

1) Will the proposed activity incorporate elements that promote climate-resilience (e.g., to rising sea levels)?
Yes No

If yes, include a brief description of the climate-resilient elements in the grant application - proposed activity description.

Additional information regarding Executive Order 13563 can be found at: https://sftool.gov/learn/annotation/427/executive-order-13653-preparing-united-states-impacts-climate-change.

SECTION 5.0 RESTORE ACT CENTERS OF EXCELLENCE RESEARCH GRANTS STATUS OF PERFORMANCE REPORT

5.0 RESTORE ACT CENTERS OF EXCELLENCE RESEARCH GRANTS STATUS OF PERFORMANCE REPORT

If the measures of success have been selected for the Center(s) of Excellence, include this form with the application and fill in "Measure," "Baseline," and "Target." If not, the form must be submitted within 90 days of the award or with the first performance report, whichever comes first. The form below is provided as an example.

RESTORE Act Status of Performance Report — Department of the Treasury	OMB Approval No. 1505-0250
Applicant/Grantee:	
Grant Title:	
Applicable Eligible Activities/Disciplines: (For Direct Component grants, enter the applicable number(s) from the list of eligible activities below. For Centers of Excellence grants, enter the applicable number(s) from the list of eligible disciplines below. The applicable eligible activity/eligible discipline number(s) should be used as the pretext of the measure numbers. For example, the measure number 1.2 indicates that it is the second measure relating to the first eligible activity/eligible	
Objective(s):	
Reporting Period Ending:	

Measure #	Measure	Baseline	Target	Target Date (month/ year)	Progress toward target (reporting period)	Progress toward target (cumulative)	Status/Next Steps

Direct Component Eligible Activities	
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, including recreational fishing
10	Promotion of consumption of seafood

Centers of Excellence Eligible Disciplines	
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
2	Coastal fisheries and wildlife ecosystem research and monitoring in the Gulf Coast Region
3	Offshore energy development, including research and technology to improve the sustainable and safe development of energy resources in the Gulf of Mexico
4	Sustainable and resilient growth, economic and commercial development in the Gulf Coast Region.
5	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, RESTORE Act Program, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

6.0 CENTERS OF EXCELLENCE APPLICANT CERTIFICATIONS

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

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

1. 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:
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;
b. Coastal fisheries and wildlife ecosystem research and monitoring in the Gulf Coast Region;
c. Offshore energy development, including research and technology to improve the sustainable and safe development of energy resources in the Gulf of Mexico;
d. Sustainable and resilient growth and economic and commercial development in the Gulf Coast Region;
e. Comprehensive observation, monitoring, and mapping of the Gulf of Mexico.
3. Rules and policies for Centers of Excellence grants, including the competitive selection process, were or will be published and available for public review and comment for a minimum of 45 days, and that they were or will be adopted after consideration of all meaningful input from the public, including broad-based participation from individuals, businesses, Indian tribes, and non-profit organizations.
4. This recipient has procedures in place for procuring property and services under this award that are consistent with the procurement standards applying to Federal grants. This recipient will not request funds under this award for any contract unless this certification remains true and accurate. 5. Pursuant to 2 C.F.R. § 200.303, this recipient will establish and maintain effective internal control over any award made based on this application that provides reasonable assurance that this recipient is managing the award in compliance with Federal statutes, regulations, and the terms and conditions of the award. No material deficiencies in this recipient's internal controls are known.
6. A conflict of interest policy consistent with 2 C.F.R. § 200.318(c) is in effect and covering each project, program, and activity funded under this Agreement.
7. This recipient 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.

I make each of these certifications based on my personal knowledge and belief after reasonable and diligent inquiry, and I affirm that this Applicant maintains written documentation sufficient to support each certification made above, and that this Applicant's compliance with each of these certifications is a condition of this 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: 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. Please be advised of the following:

1. 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.
2. 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.
3. 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).
4. 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.
5. The Applicant further agrees by submitting this Application that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," to be provided by Treasury, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions (see 31 C.F.R. Part 19, Appendix).
6. 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.
7. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

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

8. Except for transactions authorized under paragraph 4 of this certification, 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.

By signing and submitting this Application, the prospective primary participants (the Applicant) is providing the certification set out below. **The prospective primary participant (the Applicant) certifies to the best of its knowledge and belief, that it and its principals:**

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
2. 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;
3. 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
4. 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.

Where the Applicant is unable to certify to any of the statements in this certification, such Applicant shall attach an explanation to this proposal.

C. Certification Regarding Drug-Free Workplace Requirements

The Applicant certifies that it will provide a drug-free workplace by:
1. 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 employee for violations of such prohibition;
2. Establishing a drug-free awareness program to inform employees about:
    a. The dangers of drug abuse in the workplace;
    b. The Applicant's policy of maintaining a drug-free workplace;
    c. Any available drug counseling, rehabilitation, and employee assistance program;
    d. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace
3. 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 (1) of this certification;
4. Notifying the employee in the statement required by paragraph (1) of this certification that, as a condition of employment in such grant, the employee will:
    a. Abide by the terms of the statement; and
    b. 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;
5. Notifying the granting agency in writing, within ten calendar days after receiving notice of a conviction under paragraph (4)(b) of this certification from an employee or otherwise receiving actual notice of such conviction;
6. Taking one of the following actions, within 30 days of receiving notice under paragraph (4)(b) of this certification, with respect to any employee who is so convicted:
    a. 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
    b. 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
7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1 through 6 above.

D. Certification Regarding Lobbying

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

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the 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.

2. 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 Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

3. 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. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into 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.

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

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

7.0 RESTORE ACT CENTERS OF EXCELLENCE PERIODIC REPORTING DOCUMENTATION

After receiving an award, all recipients will have access to their grant portfolio in GrantSolutions.gov, where they will be able to manage their grant activities and reporting requirements throughout the effective performance period of each grant. This will include the ability to electronically submit Post Award Amendment requests, as well as the required Federal Financial Reports (SF-425) and Performance Progress Reports (SF-PPR) and all associated reporting templates. All recipients will be required to file the following reports periodically, as set forth in the Centers of Excellence Standard Terms and Conditions in the recipient's grant agreement, executed by the recipient and Treasury (click on the links to view blank forms).

7.1 *SF-425 – Federal Financial Report*

7.2 *SF-PPR – Performance Progress Report*

7.3 *SF-PPR Attachment – Status of Performance Report*

7.4 If applicable, *SF-424A*, based upon the original application. The Standard Terms and Conditions in the recipient's grant agreement will describe the instances when a recipient must submit an update.

7.5 Annual Report to Gulf Coast Ecosystem Restoration Council, as described at 31 C.F.R. § 34.706(a), which is submitted annually at least 60 days after the end of the fiscal year.

7.6 The Recipient must report subaward data under the Federal Funding Accountability and Transparency Act (FFATA). See http://www.fsrs.gov/ for details on how and when to file.

In addition, the following forms may be required, depending on the nature of the award or activities undertaken by the recipient. The grant agreement will specify which forms are required:

7.7 *SF-LLL – Disclosure of Lobbying Activities.* See 31 C.F.R. Part 21 for information on who must file.

7.8 *SF-428 – Tangible Personal Property Report*

APPENDIX A – SUMMARY REFERENCE FOR CENTERS OF EXCELLENCE APPLICATIONS

1. Operational Self-Assessment (must be on file with Treasury prior to award of funds)
2. Form *SF-424 Application for Federal Assistance*
3. Form *SF-424A Budget Information – Non-Construction Programs*
4. Form *SF-424B Assurance for Non-Construction Projects*
5. Negotiated Indirect Cost Rate Agreement
6. A letter from the applicant's highest official designating a senior authorized official who can legally bind the entity to execute the "Centers of Excellence Funding Certification by Authorized Senior Official "
7. Required "Centers of Excellence Applicant Certifications"
8. Centers of Excellence Financial Assistance Application, including the Treasury RESTORE Act Environmental Checklist
9. Centers of Excellence Status of Performance Report