

Direct Component Project Evaluation Form

Please complete the following information needed to evaluate your proposal. In order to be considered, complete evaluation packets must be received by **October 31, 2017**. Do not leave any questions blank; use N/A if not applicable to your project. The completed form is limited to 20 pages, including a 5 page limit for Section B.1 Proposed Scope of Work. See attached FAQs for submission information.

GENERAL INFORMATION	
Applicant Name:	Alabama State Port Authority
Point of Contact for matters concerning this project (POC name, email address and phone):	Bob Harris bharris@asdd.com 251-441-7082
Proposed Project Name:	Alabama State Port Authority Automotive / RO-RO Terminal

A. RESTORE ACT PROJECT CLASSIFICATION

1. Qualifying eligible activity: Please check the primary eligible activity in the first column and then all other eligible activities that apply in the second column by placing an "X" in the column in the row corresponding to the qualifying eligible activity.	Primary Activity	All Others That Apply	Qualifying Eligible Activity
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Restoration and protection of the natural resources, ecosystems, fisheries, marine and wildlife habitats, beaches, and coastal wetlands of the Gulf Coast region
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Mitigation of damage to fish, wildlife, and natural resources
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Implementation of a federally approved marine, coastal, or comprehensive conservation management plan, including fisheries monitoring
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Workforce development and job creation
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Improvements to or on state parks located in coastal areas affected by the Deepwater Horizon oil spill
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Infrastructure projects benefitting the economy or ecological resources, including port infrastructure
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Coastal flood protection and related infrastructure
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Planning assistance
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Promotion of tourism in the Gulf Coast Region, including recreational fishing
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Promotion of the consumption of seafood harvested from the Gulf Coast Region

2. Was this proposed activity included in any claim for compensation paid out by the Oil Spill Liability Trust Fund after July 6, 2012?

Yes No

If "Yes," this activity is not eligible for Director Component funding.

3. Location

a) Please provide the actual location for the activity as street address, nearest intersection, or note boundaries on a submitted map. If there is more than one location for the activity, attach a list of the additional locations, city/town, county, state, and zip code.

Location:

All certain real property comprised of 57.4 acres located on the north end of the Port Authority's Main Docks complex bordering Three Mile Creek (south bank) and the Mobile River (west bank)



City/Town:

Mobile

County:

Mobile

State:

Alabama

Zip Code:

36603

b) Applicants must demonstrate that the proposed activity will be carried out in the Gulf Coast Region. An activity is carried out the Gulf Coast Region when, in the reasonable judgement of the entity applying for a grant, each severable part of the activity is primarily designed to restore or protect that geographic area. Describe how the proposed activity will be carried out in the Gulf Coast Region as defined in 31 CFR 34.2. Applicant must also attach a map including the location the activity is primarily designed to restore or protect. (See FAQs)

The project will take place at the north end of the Alabama State Port Authority's Main Docks Complex, located in Mobile, Alabama. The red star in the image below indicates where the Alabama State Port Authority is located. This area is within the Gulf Coast Region.



B. DISCUSSION OF SPECIFIC ACTIVITY

1. Proposed Scope of Work (See FAQs)

(a) Provide a detailed scope of work that fully describes the project or program for which funding is requested, including:

- Need, purpose, and objectives

Project Need (include cost of No Action):

Description: The Alabama State Port Authority (ASPA) is proposing to convert a derelict former Bulk Handling Facility into a state-of-the-art Roll On-Roll Off (Ro-Ro)/Mobile Vehicle Processing Facility (the Facility) at the Port of Mobile, Alabama. The Facility will complement and support the emergence of automotive import and export supply chains through the Port of Mobile, AL.

The proposed Facility, which will be served by five Class 1 railroads and has nearby interstate highway access, will be used for the handling of Ro-Ro units, to include but not be limited to: automobiles, military vehicles, trucks, other rolling stock, and high/heavy cargos loaded on roll type trailers.

The development of the Facility will allow automobile and equipment manufacturers in Alabama and other neighboring states access to a more cost effective deep-water gateway for exporting American made products, as well as importing commodities and components that support those manufacturers. This will help the nation compete in the global economy, creating jobs and improving the regional and national economy.

The proposed Vehicle Processing/Ro-Ro Facility is being developed under an innovative Public-Private Partnership (P3) arrangement that been employed successfully by ASPA several times within the past 15 years. ASPA will still be the party responsible for overall design, environmental permitting, and construction. Once the terminal is built, the

Alabama State Port Authority will partner with a concessionaire that will operate the facility under a long-term lease. The concessionaire will be required to make a financial contribution towards the capital costs. The cost that the concessionaire will cover is \$10,430,940.

Need: Currently, the Port has the capability to dock Ro-Ro vessels at Pier E, but has no support facilities and limited open storage for the equipment. The new Facility will give the Port capacity for 139,000 Ro-Ro units and 180,000 at full build-out. These increased operational capabilities will allow the Port to boost their importing and exporting capabilities, support regional manufacturing, and break into the Ro-Ro freight movement market.

Project Purpose:

The purpose of this project is to allow automobile and equipment manufacturers in Alabama and other neighboring states access to a more cost effective deep-water gateway for exporting American made products, as well as importing commodities and components that support those manufacturers. This will help the nation compete in the global economy, creating jobs and improving the regional and national economy.

Project Objectives:

The objective of this project is to construct a state-of-the-art automobile Ro/Ro and processing facility.

- **How the project/program meets the identified primary activity designated in A1**

The primary activity identified in A1 is "Infrastructure projects benefitting the economy or ecological resources, including port infrastructure" combined with a secondary activity of "Workforce development and job creation". This project has an economic benefit-cost ratio of 1.21 considering only economic benefits to the freight transportation system, without factoring in job creation. In addition to the transportation system economic benefits it will create more than 500 new direct, indirect and induced jobs.

- **Specific tasks, milestones and related timeframes (Needs to directly correspond to information provided in the Restore Act Milestones Report (See sample in FAQs)**

We will have two (2) milestones. The first milestone will be **Pre-Construction activities**, which will include Field Investigations, Final Design, permitting and procurement of the construction contract. These activities will take approximately 11 months to complete. The second milestone will be the **Construction** of the facility, which will take approximately 15 months.

- **Description of all funding sources (please list any other funding sources that will be dedicated to meeting project goals and objectives, both federal and non-federal (corresponds to SF-424-A form in budget attachments)**

This project will be funded by the following funding sources:

1. USDOT TIGER Grant
2. Alabama Gulf Coast Recovery Council RESTORE Act
3. Alabama State Port Authority
4. Automotive/ RO-RO Terminal Private Concessionaire

- **Projects designed to protect or restore natural resources must be based on best available science. (See FAQs). Include a description of the methods to be used to achieve the protection or restoration objective(s). (Also complete Question B10.)**

N/A

(b) If the proposed project is part of a larger project outside the scope of this application, describe the larger project and the proposed project's relationship to it.

N/A

2. Budget Justification (See 2 CFR Sub-part E, Cost Principles)

Directions: 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 and SF-424C to the specific tasks discussed in the response to B1. Provide specific justification for ALL budget categories that apply, including an explanation of the necessity, allowability, reasonableness, and allocability of proposed costs. Please refer to the relevant FAQs for descriptions of the budget categories.

The total cost of the Alabama State Port Authority Automotive/ RO-RO Terminal is \$51,898,650. The project will be funded with TIGER Grant funds, ASPA funds, Private Concessionaire funds and RESTORE funds. The amount of RESTORE funding that we are requesting is \$28,767,710. The project will convert a derelict former Bulk Material Handling Facility into a state-of-the-art Ro-Ro Mobile Vehicle Processing Facility. Without grant support this project cannot proceed. The funds will be allocated to the following budget categories: Maintenance Department relocation expenses, architectural and engineering fees, project inspection fees, site work, demolition and removal, construction, miscellaneous and a 20% contingency rate. Contractors will be procured to perform all engineering and construction activities. Any contractors or subcontractors performing work on the project will be competitively procured and in compliance with all Federal regulations in 2 CFR Part 200, RESTORE Act Standard Terms and Conditions provided by the U.S. Department of Treasury and in accordance with Alabama State Port Authority policies and procedures and Alabama State Law. The Alabama State Port Authority does not plan to charge any indirect costs or general administrative costs including general accounting, personnel or general expenses associated with providing the services required to administer a Federal award. These costs will be funded with Alabama State Port Authority operating revenues.

3. The Applicant's Selection and Oversight of Contractors, if applicable

Directions: Indicate if the applicant plans to contract out any work described under the Budget Justification (see B2) including construction. If so, the applicant must describe the following:

- Nature of the work to be contracted out and the expected number of contracts to be awarded;

We anticipate awarding two contracts to carry out the work of this project. The first contract to be awarded will be a professional services contract to perform the engineering design, permitting and construction inspection and testing for the project. The second contract will be a construction contract to construct the terminal in accordance with the engineering design.

- Procurement method(s) allowable under 2 CFR 200.320 that will be used for the procurement of the contractor(s);

Each contractor will be chosen through a competitive award process. The engineering contract will be awarded based upon the qualifications of the engineering firm, with the most qualified firm being selected for contract negotiation. The construction contract will be awarded by competitive bid with the contract awarded to the lowest responsive bidder.

- Justification under 2 CFR 200.320(f) for sole source procurement, if applicable; and

N/A

- Applicant's plan for monitoring contractor performance and compliance.

The design engineering firm will provide construction inspection and testing services to ensure that the project construction complies with the requirements of the engineering design and specifications. The Alabama State Port Authority will assign one of its engineers as Project Manager over the project. The Project Manager will visit the site daily and have weekly meetings with the contractors. The Vice-President of Technical Services for the Port Authority, with responsibility for all engineering, environmental and grant management activities for the Port Authority will provide oversight for the entire development program.

If a contractor already has been selected, also include the following:

- Name of each contractor;
- DUNS number of each contractor;
- Date the applicant executed each contract;
- Amount of each contract award;

N/A	
<ul style="list-style-type: none"> - Procurement method allowable under 2 CFR 200.320 that was used for the procurement of each contract; - Description of the procurement process, as implemented; and - Justification under 2 CFR 200.320(f) for sole source procurement, if applicable. 	
N/A	
4. Best Available Science	
<p>Directions: If the answer to the following question is "yes" complete this section.</p> <p>Is the proposed activity designed to protect or restore natural resources?</p>	<p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>
<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>The applicant must make a determination that a project designed to protect or restore natural resources is based on the best available science. In order to support this determination, the applicant must clearly state the protection or restoration objective(s) of the project, describe the methods that will be used to achieve the objective(s), and explain how these methods are based on best available science. The response must be sufficiently detailed for Treasury to evaluate the reasonableness of the applicant's determination that the project is based on best available science. In addressing the three-pronged test in the definition of "best available science," the applicant must cite, when available, peer-reviewed, objective, methodologically sound literature sources that support the conclusion that the proposed scope of work is an effective way to achieve the stated objectives.</p>	
<p>For each literature source cited, the applicant must provide sufficient citations, including:</p> <ul style="list-style-type: none"> - Title; - Journal in which the literature source appeared, if applicable; - Publication date; - Author(s); and - Web address if downloaded or available online. 	
N/A	
<p>The applicant must provide written answers to all of the following: (Submission of source materials will not satisfy the requirements for answering this question.)</p> <ul style="list-style-type: none"> - A summary of the peer-reviewed information that justifies the proposed objectives, including methods used for the proposed activity. If peer-reviewed literature sources are unavailable, the Applicant must explicitly State this and provide A brief explanation of what alternative scientific information sources were used. If the Applicant relied on publicly available data, the Applicant must cite the source of the data, the date of collection, and the size of the data set. Whenever possible, the Applicant should use publicly available data from sources such as State agencies and federal agencies, for example the U.S. Census Bureau, U.S. Fish and Wildlife Service, Environmental Protection Agency, National Oceanic and Atmospheric Administration. The Applicant must provide a link to each publicly available data source used. 	
N/A	

- A summary of how the applicant's methods reasonably support and are adaptable to Gulf Coast Region if the information supporting the proposed activity does not directly pertain to the Gulf Coast Region.

N/A

- A summary of an evaluation of uncertainties and risks in achieving the project's best available science objectives over the longer term; e.g., is there an uncertainty or risk that in 5-10 years the project/program will be obsolete or not function as planned given projections of sea level rise or other environmental change such as in freshwater inflows to estuaries?

N/A

- A summary of the literature sources' conclusions and any uncertainties or risks in the scientific basis that would apply to the proposed activity, including any uncertainties or risks that were identified by the public or by a Gulf Coast Ecosystem Restoration Council member.

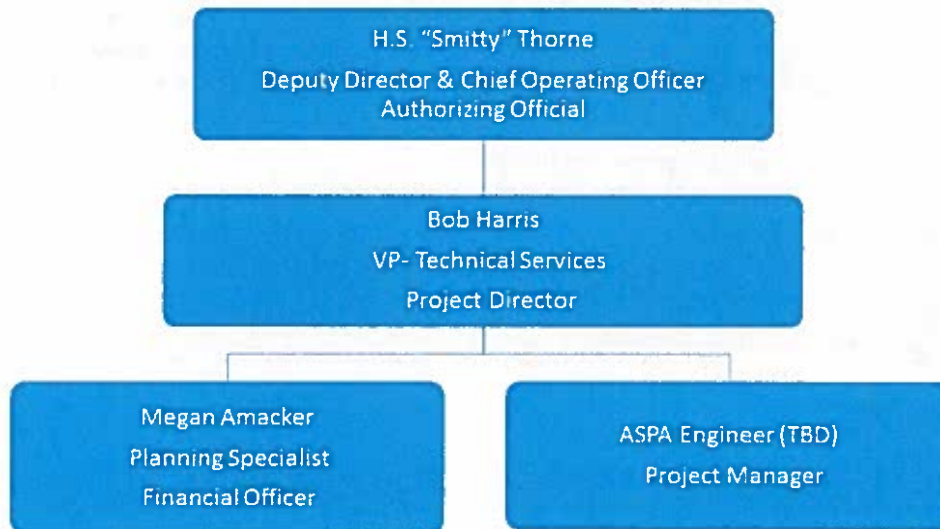
N/A

5. Key Personnel

Directions: Key personnel should include the applicant's Authorizing Official who is authorized to sign the grant application and award, the Project Director who is responsible for the project, and the Financial Officer who is responsible for maintaining the accounting and financial records of the grant. Please provide an Organizational Chart.

Authorizing Official H.S. "Smitty" Thorne, Deputy Director & Chief Operating Officer
Project Director Bob Harris – Vice President, Technical Services
Financial Officer Megan Amacker – Planning & Economic Development Specialist
Project Manager – ASPA Engineer to be determined

Alabama State Port Authority



6. Possible Material Risks to Implement and Maintain the Proposed Activity

Directions: List the possible material risks, 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 to implement and maintain the proposed activity, then put 'None' in the Risk column below.

Risks:

1. The challenges that may delay the Alabama State Port Authority / RO-RO Terminal include the timely negotiation and completion of the P3 procurement. A P3 Partnership is a cooperative agreement between a public sector entity and a private sector entity that outlines the provision of assets. It is possible that the concessionaire could view currency fluctuations as risky, making new and used automotive exports less competitive.
2. There may also be a challenge due to the concessionaire's perception of the reliability of rail service to the project site, and the desire to have one or more Class 1 providers to deliver imports and exports in a timely fashion.
3. While poor soils are often a challenge for marine projects, the lack of excavation and the previous heavy-use bulk facility indicate that this is a very low risk for the Project.

Mitigation Strategy:

1. This risk will be mitigated through contract negotiation with the Concessionaire. Such provisions are typical in global trade agreements.
2. This risk will be mitigated by the active engagement of ASPA in the rail negotiation and oversight process for the facility. This type of risk sharing is common among US seaports.
3. ASPA will mitigate this risk by ensuring that fill brought to the site to increase elevation will be properly inspected and compacted to meet ASPA and contractual standards.

7. Permits, Land Acquisition, Construction, and Relocation Assistance

Directions: Answer the following items concerning permits, construction, land acquisition, and relocation assistance, if applicable.

(a) Permits

Does the proposed activity require any federal, tribal, state, or local permits? For potential federal permits needed, see: (<https://www.permits.performance.gov/tools/federal-environmental-review-and-authorization-inventory>). If yes, list the specific federal, tribal, state, or local permits required for this project and the status of the permits:

Yes, the following Alabama State Department of Environmental Management (ADEM) permits will be required and will be obtained during the detailed engineering design:

National Pollutant Discharge Elimination System (NPDES) Construction Permit and Associated Best Management Practices Plan
Alabama Coastal Zone Management Program Coastal Consistency Determination

(b) Land Acquisition and Construction Activities

Will land be improved? If yes, answer questions i-vi

Yes No

Will land or interest in land be acquired? If yes, answer questions i-vii

Yes No

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

Fee Title Easement Other _____

ii. If an easement, what is the life of the easement?
N/A
iii. Who will hold title to the land?
The Alabama State Port Authority holds the title to the land
iv. What is the total acreage of the proposed property interest to be acquired (easement or fee title)?
The proposed project is on 57.4 acres of property owned by the Alabama State Port Authority
v. Has the applicant obtained a recent certified appraisal of the property? If yes, attach a copy of the appraisal.
Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
vi. Has the applicant obtained a recent title opinion or certificate? If yes, attach a copy of the title opinion or certificate.
Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
vii. Attach 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.
N/A
viii. Attach the legal description of the property and the tax parcel number.
There is no legal description, however, a surveyor conducted a boundary survey and provided the following: the RO/RO terminal project acreage is part of larger tracts owned by the Port Authority located on the main docks complex. The City of Mobile GIS and the Mobile County revenue Department shows the subject RO/RO property in two sub parcels. The larger portion of the project site also contains a significant portion of Pier E, the CG Railway and area south of 13 th Street. The second sub parcel entails a portion of the western storage yard of the old Bulk Material Handling Plant (BMHP). The Key ID/Parcel 00714720 / 2904520001001 and in Key ID/Parcel # 00714739 / R022904520002001 respectively cover the area identified for the project.
(c) Relocation Assistance
Will the proposed project cause the displacement of any persons, businesses, or farm operations? 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.
The proposed project will not cause any persons, businesses or farm operations to be displaced.
8. Additional Project-Specific Factors
- Please discuss the proposed project's short-term and long-term benefits
The primary benefits associated with the development of the Ro-Ro Facility are the transportation cost savings stemming from the optimization of the auto import/export industry throughout Mobile's Least Cost Market Area (LCMA), resulting in reduced mileage and operating costs for truckers and railroads. On the truck side, this will also lead to reduced congestion on U.S. Highways and lower air emissions from trucks increasing the benefits associated with the economic competitiveness of the Project. The project will also create more than 500 new direct, indirect and induced jobs

- The purpose of the RESTORE Act is to provide funding for ecological and economic recovery efforts for damages incurred as a result of the Deepwater Horizon Oil Spill. Please discuss how the proposed project's implementation will prevent any adverse impacts elsewhere.

This project will support the continued growth of the Automobile Manufacturing industry in the State of Alabama. The facility will also diversify the mix of commodities transported through the Port of Mobile with a corresponding increase in the economic resiliency of the Alabama Gulf Coast. Increase economic resiliency will help the local economy withstand the impacts of both natural and man-made disasters such as the Deepwater Horizon.

- Does the proposed project expand or promote an existing industry or offer diversification? If so, please explain:

The new facility will allow the port to break into the Ro-Ro freight movement markets, which will make the port more diversified. It will also support the Automobile Manufacturing industry in the State of Alabama.

Currently, there are no regional automotive RO/RO logistics terminals serving Alabama and adjoining regional automotive manufacturing and assembly markets. The new facility will bring an existing industry to the region.

- Does the proposed project create short-term job opportunities? If so, how many? Please justify:

Yes, the total direct and indirect jobs for the construction period are estimated to be 528 while total direct, indirect and induced jobs for the same period are estimated to be 782.

- Does the proposed project create long-term job opportunities? If so, how many? Please justify:

Yes, based on the Bureau of Economic Analysis' Regional Input-Output Modeling System (RIMS II), the total number of direct and indirect jobs created by the operation of the facility is estimated to be 170 jobs. Including induced jobs, the total number of jobs created by this facility would be approximately 532.

- Please discuss how the proposed project will be sustained post-implementation including any annual recurring costs

The Alabama State Port Authority plans to enter into a concessionaire partnership agreement with a private terminal operator to operate and maintain the facility. The concessionaire and the Port Authority will be responsible for annual operating and maintenance costs to be funded by terminal revenues.

- Please discuss how the proposed project will use cutting-edge technology (i.e., LID, LEED, permeable surfaces)

The great majority of the pavement for automobile staging will be light duty asphalt. The Port Authority is considering using permeable paving in these areas to reduce stormwater runoff. For new buildings, LEED standards will be evaluated also. The final decision will be based upon the recommendation of the facility design engineer.

- Because the Gulf Coast Restoration Trust Fund will receive deposits over a 15-year period, the Council may consider funding projects in phases. In the event this proposed project is not fully funded, please discuss how the project might be implemented in phases. Keep in mind each phase must result in a stand-alone product.

We are only requesting the funds for Phase I and that is the smallest increment that will result in a stand-alone project.

Rev. 8/10/17

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 may be required from listed agencies and submitted with the grant application. Follow up to the questions should be listed in the table located on the last page of the checklist. Treasury will use the submittals to record the Applicant's assertion that it has complied with applicable environmental laws.

PROPOSED PROJECT NAME: Alabama State Port Authority Automotive /Ro-Ro Terminal
APPLICANT NAME: Alabama State Port Authority

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. An Environmental Review may be required based on the answers to the following questions:

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

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.

be found at: <https://ceq.doe.gov/>.

- 4) Has any environmental review (e.g., NEPA documentation or state or tribal equivalent) been prepared for this proposed eligible activity?

Yes No

If yes, please attach a copy of the documentation to this checklist.

1.2. COASTAL ZONE MANAGEMENT ACT (CZMA)

A federal consistency determination or certification pursuant to Section 307 of the Coastal Zone Management Act may be required from the state coastal zone management program, based on the answers to the following questions:

- 1) Will the proposed activity occur in or near the state designated coastal zone (<https://coast.noaa.gov/czm/media/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 (<https://coast.noaa.gov/czm/about/?redirect=301ocm>) for further guidance on federal consistency requirements in your state. Additional information on federal consistency can be found at: <https://coast.noaa.gov/czm/consistency/>.

1.3 ENDANGERED SPECIES ACT (ESA)

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

- 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://www.fws.gov/endangered/>)?

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 NMFS or USFWS?

Yes No

If the answer to either of these questions is "yes," or you are unsure, 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>. Additional information concerning Section 10 permits and conservation plans can be found at: http://www.nmfs.noaa.gov/pr/permits/ESA_permits.html.

1.4 MIGRATORY BIRD TREATY ACT AND BALD AND GOLDEN EAGLE PROTECTION ACT The Migratory Bird Treaty Act makes it illegal for anyone to take, possess, import, export, transport, sell, purchase, barter, or offer for sale, purchase, or barter, any migratory bird, or the parts, nests, or eggs of such a bird except under the terms of a valid permit issued pursuant to Federal regulations. The migratory bird species protected by the Act are listed in 50 C.F.R. 10.13. The Bald and Golden Eagle Protection Act prohibits anyone, without a permit issued by the Secretary of the Interior, from "taking" bald eagles [or any golden eagle], including their parts, nests, or eggs. The Act defines "take" as "pursue, shoot, shoot at, poison, wound, kill, capture, trap, collect, molest or disturb." A permit may be required based on the answers to the following questions:

- 1) Will the proposed activity affect any migratory bird species protected by the Migratory Bird Treaty Act?

Yes No

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

Yes No

If the answer to either question is "yes" or you are unsure, contact the regional office of USFWS (<http://www.fws.gov/offices/>). More information can be found at: <http://www.fws.gov/birds/policies-and-regulations/laws-legislations/migratory-bird-treaty-act.php> and <http://www.fws.gov/birds/policies-and-regulations/laws-legislations/bald-and-golden-eagle-protection-act.php>.

1.5 MAGNUSON – STEVENS FISHERY CONSERVATION AND MANAGEMENT ACT (FCMA)

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

- 1) Will the proposed activity occur in proximity to Essential Fish Habitat 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” or you are unsure, 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.

1.6 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,” or you are unsure, 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/> and http://www.nmfs.noaa.gov/pr/permits/mmpa_permits.html.

1.7 MARINE PROTECTION, RESEARCH, AND SANCTUARIES ACT (MPRSA)

Titles I and II of the Marine Protection, Research, and Sanctuaries Act (MPRSA), also referred to as the Ocean Dumping Act, generally prohibits (1) transportation of material from the United States for the purpose of ocean dumping; (2) transportation of material from anywhere for the purpose of ocean dumping by U.S. agencies or U.S.-flagged vessels; (3) dumping of material transported from outside the United States into the U.S. territorial sea. A permit may be required based on the answers to the following questions:

1) Does the proposed activity involve an activity covered by the MPRSA?

Yes No

If the answer to this question is "yes," contact the Environmental Protection Agency's (EPA's) Office of Wetlands, Oceans, and Watersheds/Oceans and Coastal Protection Division for further guidance (<http://www.epa.gov/aboutepa/about-office-water#wetlands>). Additional information about permits under the MPRSA can be found at: <http://www.epa.gov/laws-regulations/summary-marine-protection-research-and-sanctuaries-act>.

1.8 NATIONAL MARINE SANCTUARIES ACT

Each National Marine Sanctuary has its own unique set of regulations. There are some regulatory prohibitions that are typical for many sanctuaries: 1) discharging material or other matter into the sanctuary; 2) disturbance of, construction on or alteration of the seabed; 3) disturbance of cultural resources; and 4) exploring for, developing or producing oil, gas or minerals (with a grandfather clause for preexisting operations). A permit may be required from the National Oceanic and Atmospheric Administration (NOAA) based on the answers to the following questions:

1) Is the proposed activity located in a National Marine Sanctuary (<http://sanctuaries.noaa.gov/about/regions.html>)?

Yes No

If the answer to this question is "yes," contact the nearest Regional Office of NOAA's National Marine Sanctuaries Program for further guidance (<http://sanctuaries.noaa.gov/about/southeast.html>).

1.9 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 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 based on the answers to the following

questions:

- 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://w3.saj.usace.army.mil/permits/HQAvatar/index.htm>) 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/>

1.10 CLEAN AIR ACT (CAA)

Special conditions may be required on projects that could affect air quality, based on the answers to the following questions:

- 1) Will the proposed activity result in any direct or indirect emissions within a non-attainment area (<http://www3.epa.gov/airquality/greenbook/define.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.

1.11 NATIONAL HISTORIC PRESERVATION ACT (NHPA) AND THE ARCHAEOLOGICAL AND HISTORIC PRESERVATION ACT (AHPA)

Special conditions may be required on projects that could affect historic resources, based on the answers to the following questions:

- 1) Will the proposed activity occur near property listed or eligible for listing in the National Register of Historic Places (<http://www.nps.gov/nr>), or near property otherwise protected

by section 106 of the National Historic Preservation Act (<http://www.achp.gov/nps.html>) or a similar State Preservation Act?

Yes No

If the answer to this question is "yes," or you are unsure, contact your state historic preservation office (<http://www.ncshpo.org/>) for further guidance concerning compliance requirements.

1.12 COASTAL BARRIER RESOURCE ACT (CBRA)

Federal funding may be prohibited for projects that occur on certain designated coastal barriers, based on the answer to the following questions:

- 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.

1.13 RIVERS AND HARBORS ACT

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

- 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://w3.saj.usace.army.mil/permits/HQAvatar/index.htm>) 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.

1.14 RESOURCE CONSERVATION AND RECOVERY ACT (RCRA)

A RCRA permit may be required from the EPA or designated state agency based on the answers to the following question:

- 1) Will the proposed activity include the long-term storage, treatment, or disposal 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/compliance/resource-conservation-and-recovery>).

[act-rcra-compliance-monitoring](#)) for further guidance on RCRA compliance.

1.15 COMPREHENSIVE ENVIRONMENTAL RESPONSE, COMPENSATION, AND LIABILITY ACT (CERCLA)

Special provisions and requirements may apply based on the answer to the following question: (<http://www.epa.gov/superfund/sites/index.htm>).

1) Will the proposed activity involve a Superfund site?

Yes No

If the answer to this question is "yes," contact the nearest Regional Office of the EPA (<http://www.epa.gov/aboutepa/visiting-regional-office>) for further guidance on CERCLA requirements.

1.16 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 and the Act may apply based on the answer to the following questions:

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 the nearest Regional Office of the USFWS (<http://www.fws.gov/where>) for further guidance.

1.17 SAFE DRINKING WATER ACT

A permit may be required if the proposed activity will involve underground injection which may impact drinking water sources and based on the answer to the following question:

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/>.

1.18 FARMLAND PROTECTION POLICY ACT (FPPA)

Projects are subject to FPPA requirements if they may irreversibly convert farmland (directly or indirectly) to nonagricultural use and are completed by a Federal agency or with assistance from a Federal agency. The project may be subject to the FPPA based on the answers to the following questions:

- 1) Will the proposed activity irreversibly convert farmland (directly or indirectly) to nonagricultural use?

Yes No

If the answer to the question is "yes," contact your local office of the Natural Resources Conservation Service (NRCS) or USDA Service Center. For more information see: http://www.nrcs.usda.gov/wps/portal/nrcs/detail/?cid=nrcs143_008275

EXECUTIVE ORDERS

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

2.1 E.O. 11988 AND E.O. 13690 – FLOODPLAIN MANAGEMENT

Executive Order 11988, as amended by Executive Order 13690 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/portal>)?

Yes No

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

2.2 E.O. 11990 and E.O. 12608 – WETLAND PROTECTION

This Executive Order requires agencies to avoid providing assistance for new construction located in wetlands unless there is no practicable alternative to such construction, and that the proposed action includes all practicable measures to minimize harm to wetlands which may result from such use. The Executive Order defines wetlands: "(c) The term "wetlands" means those areas that are inundated by surface or ground water with a frequency sufficient to support and under normal circumstances does or would support a prevalence of vegetative or aquatic life that requires saturated or seasonally saturated soil conditions for growth and reproduction. Wetlands generally include swamps, marshes, bogs, and similar areas such as sloughs, potholes, wet meadows, river overflows, mud flats, and natural ponds." (See <http://www.fws.gov/wetlands/Data/Mapper.html>)

1) Is any portion of the project proposing a new construction 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: https://ceq.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. 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: <https://ceq.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.

Executive Order 13653 can be found at: <https://www.gpo.gov/fdsys/pkg/FR-2013-11-06/pdf/2013-26785.pdf>.

Report the status of your contact with required agencies/tribes on the table below which coincides with the environmental laws outlined in the checklist. Provide the date of contact, name of agency/tribe contacted, location, and any necessary permit, certification, or other determination or mitigation proposed by the agency/tribe. If none, state so.

Status of Contact Table

Federal law as listed in checklist	Date of contact	Name of agency/tribe contacted	Location	Permit, certification, determination or mitigation required
NEPA	None			
CZMA	None			
CWA	None			

Signature of Authorized Senior Official: 
 Name: H.S. "Smitty" Thorne Date: 10/25/2017
 Title: Deputy Director & Chief Operating Officer Organization: Alabama State Port Authority

1.1 National Environmental Policy Act (NEPA)

3. Will the proposed activity be subject to any federal regulatory decision or approval?

A U.S. Department of Transportation (USDOT) NEPA Decision may be required.

4. Has any environmental review (e.g., NEPA documentation or state or tribal equivalent) been prepared for this proposed eligible activity?

No, we believe the project will qualify for a Categorical Exclusion under the USDOT Maritime Administration CE7 guidance.

1.2 Coastal Zone Management Act (CZMA)

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, the activity will affect land use that falls within the Alabama Department of Environment Management (ADEM) Special Management Areas Program (335-8-1-.04) within the designated "Port of Mobile" Geographic Area of Particular Concern (GAPC). The activity is consistent with the permissible uses within the Port of Mobile GAPC.

335-8-1-.04 Special Management Areas.

The following special management areas are hereby recognized and defined, with use priorities established for each area:

(1) Geographical Areas of Particular Concern (GAPC).

(a) Port of Mobile - the existing urbanized waterfront extending from the Brookley Industrial area northward up the Mobile River to its confluence with Chickasaw Creek including Pinto Island, McDuffie Island, Blakeley Island (excepting the undeveloped wetlands located north and east of the existing approved disposal sites), Three Mile Creek east of Telegraph Road, Chickasaw Creek up to the northern extent of the Port of Chickasaw, and the existing urbanized shorefront of the Theodore Industrial Complex.

(1) Within the Port of Mobile GAPC, uses which are water dependent or water related and improve or promote port operations and development shall be permissible;

(2) Within the Port of Mobile GAPC, uses, other than those Uses of Regional Benefit, which are determined by the Department to significantly interfere with port operations may be denied.

1.6 Marine Mammal Protection Act (MMPA)

1. *Will the proposed activity occur in proximity to any known marine mammals?*

Yes, a manatee could potentially be in the area. We will comply with the U.S. Army Corps of Engineers standard manatee provisions for any dredging activity, which may be required. Any required dredging will be conducted under the Alabama State Port Authority Facility Wide Maintenance Dredging Permit, Corps of Engineers Permit number SAM-2014-00848-GAC.

1.9 Clean Water Act (CWA)

Water Quality Certification (Section 401)

1. *Will the proposed activity result in any discharge to navigable waters?*

Yes, NPDES permits will be required for both construction and operation of the facility and will be applied for with the Alabama Department of Environmental Management (ADEM) prior to the start of any construction activities. Any discharges related to dredging will be managed under ADEM Water Quality Certification 2014-331-COE-CZM.

2.7 E.O.13653 – Preparing the United States for the Impacts of Climate Change

1. *Will the proposed activity incorporate elements that promote climate-resilience (e.g., to rising sea levels)?*

Yes, the site will be filled to elevations above the 100-year level (12 feet), thereby increasing resiliency.

RESTORE Act Milestones Report

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 F-G for each milestone as applicable and submit as part of the performance reports. The values in Columns E and G should each total 100%. These milestones should reflect what is in the applicant's scope of work as described in the applicable RESTORE Act Direct Component Application Narrative.

Applicant/Grantee: Alabama State Port Authority
Title: Alabama State Port Authority / Ro-RO Terminal
Reporting Period Ending:* Initial

A. Milestone #	B: Milestone Description	C. Estimated Completion Timeframe of Milestone (Format: award + # of months)	D. Is milestone contingent upon completion of another milestone (Y/N)? If yes, which milestone is it contingent upon (# from Column A)?	E. What percentage of the Scope of Work is estimated to be completed with this milestone?	F. Actual Completion Date of Milestone (Format: Month/Year)	G. Estimate percentage of budget for the awarded Scope of Work spent on milestone
1	Pre-Construction Activities	Award + 11 Months	N	44.00%		0.00%
2	Construction Activities	Award + Milestone 1 + 15 Months	Contingent on Milestone #1	56.00%		0.00%
				0.00%		0.00%
				0.00%		0.00%
				0.00%		0.00%
				0.00%		0.00%
				0.00%		0.00%
				0.00%		0.00%
This row is for Columns E and G Totals				100.00%		0.00%

RESTORE Act Status of Performance Report

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 (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).

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.

Eligible Activity/Discipline #: For a DC grant, select the DC number from the list that corresponds to the DC Eligible Activity associated with that measure. The DC numbers, along with the corresponding Eligible Activities, 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

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.

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 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.

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

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

1. Each activity funded under this Agreement has been primarily designed to restore and protect [select all that are appropriate: the natural resources, ecosystems, fisheries, marine and wildlife habitats, beaches, coastal wetlands, or economy] of the Gulf Coast region.
2. Each activity funded under this Agreement is designed to carry out one or more of the eligible activities for the Direct Component.
3. 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.
4. 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.
5. 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.
6. 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.
7. 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.
8. 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 this 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.
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,

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. The time required to complete this information collection is estimated to average 10 hours, including the time to review instructions, search existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Comments concerning the accuracy of the time estimate and suggestions for reducing this burden should be directed to the Department of the Treasury, RESTORE Act Program, 1500 Pennsylvania Ave., NW, Washington, DC 20005.

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: H.S. "Smitty" Thorne	Date: 10/25/2017
Title: Deputy Director & Chief Operating Officer	Organization: Alabama State Port Authority



ALABAMA GULF COAST RECOVERY COUNCIL

Subrecipient Questionnaire

This questionnaire is used to help determine a subrecipient organization's financial and management strength, which helps assess risk and dictates the monitoring plan for subrecipients. Please complete the following questionnaire and submit all related documents as necessary.

SECTION A: GENERAL INFORMATION	
Project Title:	Alabama State Port Authority Automotive /Ro-Ro Terminal
Point of Contact for matters concerning this project:	Name: Robert C. Harris, Jr., P.E. Address: <small>Post Office Box 1588 Mobile, AL 36633</small> Phone: 251-441-7082 Fax: 251-441-9395 Email: bharris@asdd.com URL: www.asdd.com DUNS #: 04 4490183 EIN: 63-6000265 Reg. in SAM? Yes <input type="radio"/> No <input checked="" type="radio"/> Number of Employees: 488 Exp. Date of Current SAM Registration: <small>5/22/16</small> _____
SECTION B. SUBRECIPIENT ELIGIBILITY	
Is your organization or your organization's principals presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency?	
<input type="radio"/> Yes <input checked="" type="radio"/> No	
If yes, please skip the rest of the questionnaire, sign and return the questionnaire with the Project Evaluation Packet.	
SECTION C. SUBRECIPIENT ORGANIZATION INFORMATION (please fill out the information below, as appropriate)	
1. Type of organization (check all that apply):	
<input type="radio"/> University <input checked="" type="radio"/> Government Entity <input type="radio"/> Foundation <input type="radio"/> Non-Profit Org <input type="radio"/> For-Profit Org <input checked="" type="radio"/> Other <u>Port Authority</u>	
2. Fiscal year dates (month and year):	
October 1 - September 30	
3. Name of designated federal cognizant agency, if applicable:	
N/A	

4. Negotiated Indirect Cost Rate:

Yes No URL: _____

If yes, please provide a copy of your current rate agreement or provide the URL. If no, a de minimis rate of 10% of MTDC will be used in accordance with 2 CFR 200.414.

5. Fringe Benefit rate:

Yes No URL: ** We have a fringe benefit rate but we are not including salaries in our budget therefore, this is N/A. _____

If yes, please provide a copy of your current fringe benefit rate memorandum or provide the URL.

6. Has organization received in the past the same or similar Federal subawards to the current subaward? (2 CFR 200.331)

Yes No

If yes, subrecipient hereby agrees to provide further documentation upon request.

7. Does organization have on-going direct Federal awards? (2 CFR 200.331)

Yes No

If yes, is the awarding agency currently monitoring subrecipient activity?

Yes No

If yes, please describe:

8. Please certify policies and/or procedures exist that address the following:

- | | | |
|---|---|--|
| <input checked="" type="radio"/> Pay Rates and Benefits | <input checked="" type="radio"/> Conflict of Interest | <input checked="" type="radio"/> Purchasing |
| <input checked="" type="radio"/> Time and Attendance | <input checked="" type="radio"/> Travel | <input checked="" type="radio"/> Equipment & Inventory |
| <input checked="" type="radio"/> Leave | | |

By signing this document, subrecipient certifies that policies and/or procedures shown above are in place. If not, then subrecipient agrees to abide by the State's policies and/or procedures.

9. Is Government property inventory maintained that identifies purchase date, cost, vendor, description, serial number, location, and ultimate disposition data?

Yes No N/A

10. Has any new system been recently put in place or has there been any change to the existing system (e.g., accounting, information, management, etc.)? (2 CFR 200.331)

Yes No

If yes, please explain:

In October 2013, the Alabama State Port Authority upgraded the Accounting system. The new system includes a Grants Management Module.

11. Does organization have any new personnel (e.g., key personnel financial management, grants management, IT management, or other staff serving in grants administration role)? (2 CFR 200.331)

Yes No

If yes, please explain:

12. Has organization in the preceding fiscal year expended any federal funds in either direct or indirect Federal awards?

Yes No

If yes, please indicate the expenditure amount:

In FY16, the Alabama State Port Authority expended \$5,419,061 in federal funds.

13. Have annual financial statements been audited by an independent audit firm? If yes, provide a copy of the statements for the most current fiscal year.

Yes No

14. Does organization adhere to Subpart E Cost Principles of 2 CFR 200 under the proposed subaward?

Yes No N/A

15. Does organization have a financial management system that provides records that can identify the source and application of funds for award-supported activities?

Yes No

16. Does the financial system provide for the control and accountability of project funds, property, and other assets?

Yes

No

17. Are duties separated so that no one individual has complete authority over an entire financial transaction?

Yes

No

If no, please explain below:

18. Does your organization have controls to prevent expenditure of funds in excess of approved, budgeted amounts?

Yes

No

If no, please explain below:

19. Are all disbursements properly documented with evidence of receipt of goods or performance?

Yes

No

If no, please explain below:

20. Are all bank accounts reconciled monthly?

Yes

No

If no, please explain below:

21. Are payroll charges checked against program budgets?

Yes

No

If no, please explain below:

22. What system does your organization use to control paid time, especially time charged to sponsored agreements?

ASPA utilizes Oracle Financial and Project Management Systems. We do not plan to charge any time to this agreement.

23. Does the organization have procedures which provide assurance that consistent treatment is applied in the distribution of charges to all sponsored agreements, grants and contracts?

Yes No

If no, please explain below:

We don't charge fringe benefits, indirect costs or payroll to sponsored agreements.

24. Does your organization have a formal policy of nondiscrimination and a formal system for complying with Federal civil rights requirements?

Yes No

If no, please explain below:

25. Describe your organization's procedures to ensure that costs deemed unallowable, per Federal guidelines (2 CFR 200), are excluded from the amount charged to a grant?

The Vice President of Technical Services reviews all expenditures to determine if they are allowable or not. He has many years of experience in managing grants.

26. Are there procedures to ensure procurement at competitive prices?

Yes No

If no, please explain below:

27. Are detailed records of individual capital assets kept and periodically balanced with the general ledger accounts?

Yes No

If no, please explain below:

28. How does the organization ensure that all cost transfers are legitimate and appropriate?

The Project Manager (PM) reviews all invoices and approves for payment. If the invoice is for a grant project, the PM reviews grant project requirements with the Grant Representative (GR). Once approved by the PM, the invoice is entered into the accounting system and gets the final approval from the Vice President of Technical Services who has many years of experience in managing grant related projects.

Authorized Representative Approval

By signing below, the authorized representative certifies, to the best of subrecipient's knowledge, all information submitted on this form, or attached for submission to ADCNR, is accurate and complete.

H. S. Thorne
Signature

Date: 10/25/2017

H. S. "Smitty" Thorne, Deputy Director and COO

Printed Name & Title

For ADCNR Use Only:

Risk Level Determination: Lower Medium Higher

Notes: _____

Approved: _____ Date: _____

Application for Federal Assistance SF-424		
* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): _____ * Other (Specify): _____
* 3. Date Received: 10/31/2017	4. Applicant Identifier: _____	
5a. Federal Entity Identifier: _____	5b. Federal Award Identifier: _____	
State Use Only:		
6. Date Received by State: _____	7. State Application Identifier: _____	
8. APPLICANT INFORMATION:		
* a. Legal Name: Alabama State Port Authority		
* b. Employer/Taxpayer Identification Number (EIN/TIN): 63-6000265	* c. Organizational DUNS: 0444901830000	
d. Address:		
* Street1: 250 North Water Street	_____	
Street2:	_____	
* City: Mobile	_____	
County/Parish:	_____	
* State:	AL: Alabama	
Province:	_____	
* Country:	USA: UNITED STATES	
* Zip / Postal Code: 36602-4000	_____	
e. Organizational Unit:		
Department Name:	Division Name:	
_____	_____	
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix:	* First Name: Bob	_____
Middle Name:	_____	
* Last Name: Harris	_____	
Suffix:	_____	
Title: Vice President, Technical Services		
Organizational Affiliation:		

* Telephone Number: 251-441-7082	Fax Number: _____	
* Email: bharris@asdd.com		

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

X: Other (specify)

Type of Applicant 3: Select Applicant Type:

*** Other (specify):**

Port Authority

*** 10. Name of Federal Agency:**

Office of Gulf Coast Restoration, Department of the Treasury

11. Catalog of Federal Domestic Assistance Number:

CFDA Title:

*** 12. Funding Opportunity Number:**

GR-RDC-17-006

*** Title:**

RESTORE Act Direct Component

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

*** 15. Descriptive Title of Applicant's Project:**

The Automotive /RO-RO Terminal Project will convert a derelict Bulk Handling Facility into a state-of-the-art Ro-Ro Facility at the Main Docks Terminal in Mobile, Alabama.

Attach supporting documents as specified in agency instructions.

Application for Federal Assistance SF-424	
16. Congressional Districts Of:	
* a. Applicant: <input type="text" value="AL-001"/>	* b. Program/Project: <input type="text" value="AL-001"/>
Attach an additional list of Program/Project Congressional Districts if needed.	
<input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
17. Proposed Project:	
* a. Start Date: <input type="text" value="03/01/2018"/>	* b. End Date: <input type="text" value="03/31/2020"/>
18. Estimated Funding (\$):	
* a. Federal	<input type="text" value="41,467,710.00"/>
* b. Applicant	<input type="text" value="10,430,940.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="51,898,650.00"/>
* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?	
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input type="text"/>	
<input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review.	
<input type="checkbox"/> c. Program is not covered by E.O. 12372.	
* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)	
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If "Yes", provide explanation and attach	
<input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)	
<input checked="" type="checkbox"/> ** I AGREE	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
Authorized Representative:	
Prefix: <input type="text"/>	* First Name: <input smitty""="" type="text" value="H.S. "/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="Thorne"/>	
Suffix: <input type="text"/>	
* Title: <input type="text" value="Deputy Director & Chief Operating Officer"/>	
* Telephone Number: <input type="text" value="251-441-7238"/>	Fax Number: <input type="text"/>
* Email: <input type="text" value="sthorne@asdd.com"/>	
* Signature of Authorized Representative: <input type="text" value="H.S. Thorne"/>	* Date Signed: <input type="text" value="10/18/2017"/>

BUDGET INFORMATION - Construction Programs

NOTE: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case, you will be notified.

COST CLASSIFICATION	a. Total Cost	b. Costs Not Allowable for Participation	c. Total Allowable Costs (Columns a-b)
1. Administrative and legal expenses	\$ 0.00	\$	\$ 0.00
2. Land, structures, rights-of-way, appraisals, etc.	\$ 0.00	\$	\$ 0.00
3. Relocation expenses and payments	\$ 554,990.00	\$	\$ 554,990.00
4. Architectural and engineering fees	\$ 1,776,259.00	\$	\$ 1,776,259.00
5. Other architectural and engineering fees	\$ 0.00	\$	\$ 0.00
6. Project inspection fees	\$ 197,362.00	\$	\$ 197,362.00
7. Site work	\$ 3,460,363.00	\$	\$ 3,460,363.00
8. Demolition and removal	\$ 2,303,209.00	\$	\$ 2,303,209.00
9. Construction	\$ 16,009,383.00	\$	\$ 16,009,383.00
10. Equipment	\$ 0.00	\$	\$ 0.00
11. Miscellaneous	\$ 0.00	\$	\$ 0.00
12. SUBTOTAL (sum of lines 1-11)	\$ 24,301,566.00	\$	\$ 24,301,566.00
13. Contingencies	\$ 4,466,144.00	\$	\$ 4,466,144.00
14. SUBTOTAL	\$ 28,767,710.00	\$	\$ 28,767,710.00
15. Project (program) income	\$ 0.00	\$	\$ 0.00
16. TOTAL PROJECT COSTS (subtract #15 from #14)	\$ 28,767,710.00	\$	\$ 28,767,710.00

FEDERAL FUNDING

17. Federal assistance requested, calculate as follows:
(Consult Federal agency for Federal percentage share.) Enter eligible costs from line 16c Multiply X %
Enter the resulting Federal share. \$ 28,767,710.00

ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4040-0009
Expiration Date: 01/31/2019

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681 1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
20. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.


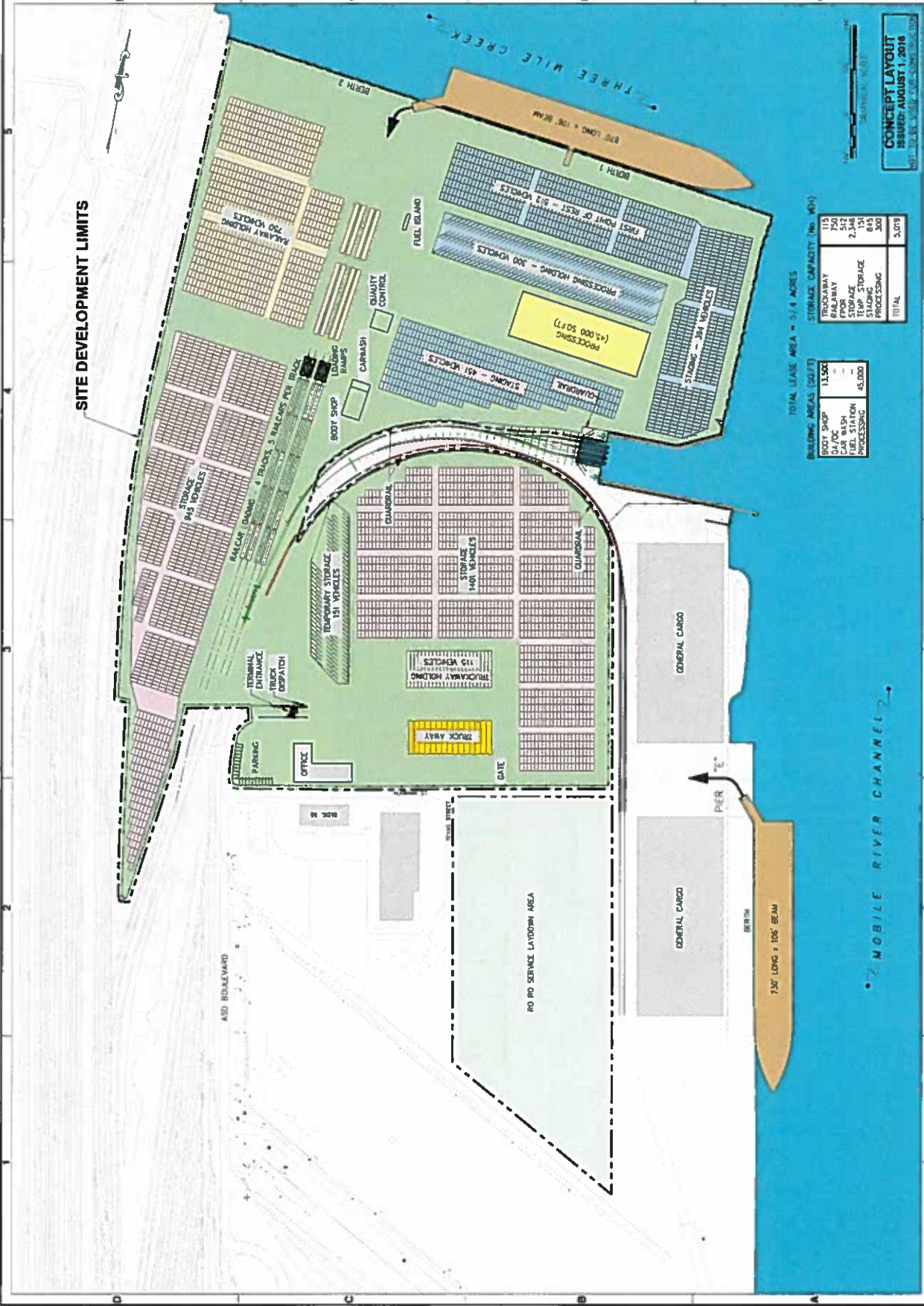
SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE Deputy Director & Chief Operating Officer
APPLICANT ORGANIZATION Alabama State Port Authority	DATE SUBMITTED 10/31/2017

FIG-01A
 SHEET
 Reference No.



BUILDING AREAS (SQFT)

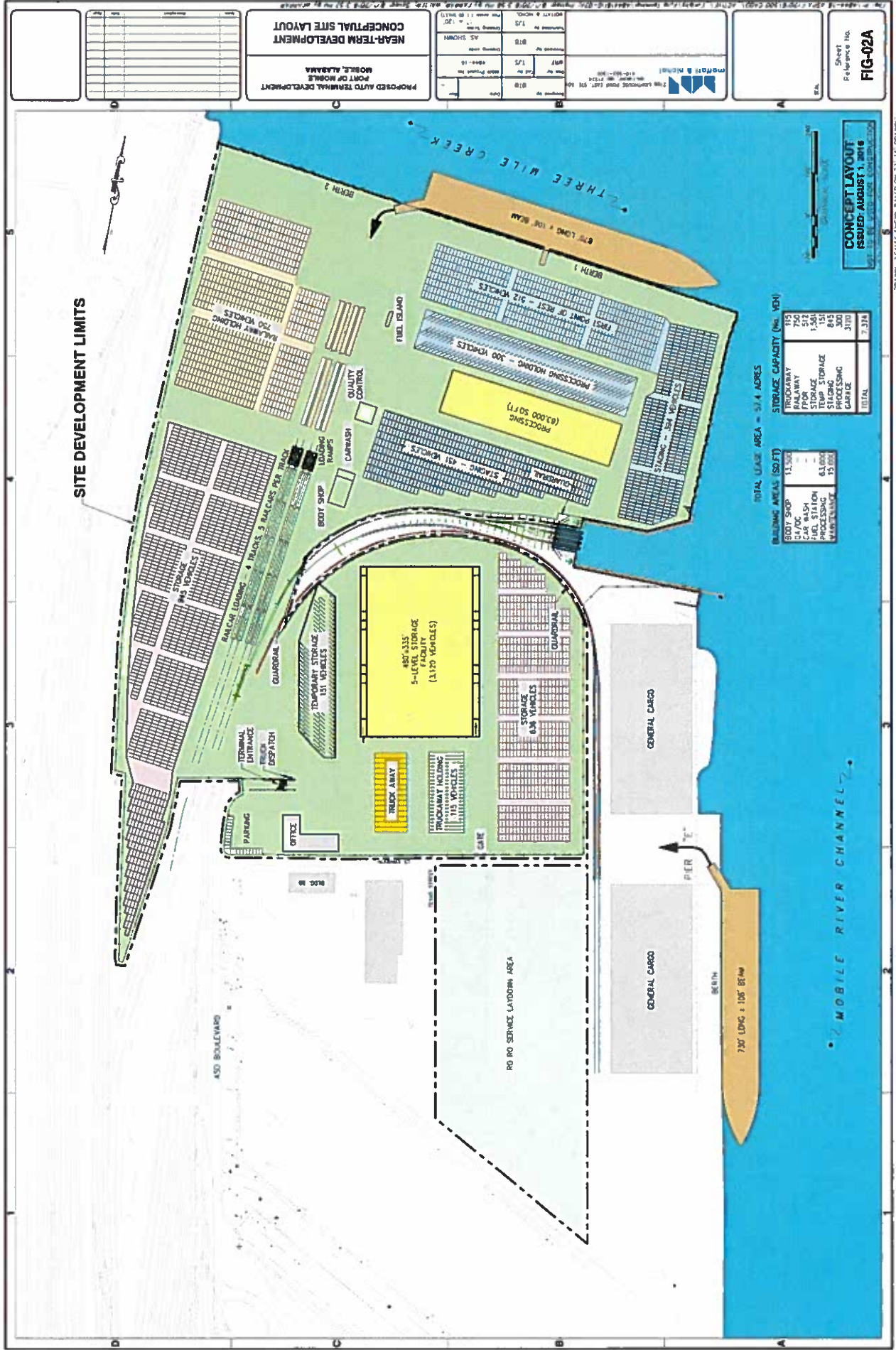
BODY SHOP	11,500
DIY/O	11,500
CAR WASH	-
FUEL STATION	-
PROCESSING	45,000
TOTAL	88,000

TOTAL LEASE AREA = 51.4 ACRES

STORAGE CAPACITY (NO. VEH)

TRUCKWAY	750
RAILWAY	512
TRUCKWAY	2,124
TRUCK STORAGE	815
STAGING	300
TOTAL	5,001

CONCEPT LAYOUT
 ISSUED: AUGUST 1, 2016



SITE DEVELOPMENT LIMITS

PROPOSED AUTO TERMINAL DEVELOPMENT
PORT OF MOBILE
MOBILE, ALABAMA

NEAR-TERM DEVELOPMENT
CONCEPTUAL SITE LAYOUT

Scale	1" = 100'
North Arrow	As Shown
Author	AS SHOWN
Checked By	AS SHOWN
Date	08/10
Drawn By	AS SHOWN
Scale	1" = 100'

Sheet Reference No.
FIG-02A

CONCEPT LAYOUT
ISSUED: AUGUST 1, 2016

TOTAL LEASE AREA = 31.4 ACRES

BUILDING AREAS (SQ FT)	STORAGE CAPACITY (No. VEH)
BODY SHOP	115
DA/DC	750
CAR WASH	510
TRUCK WASH	1,150
TRUCK MAINTENANCE	1,150
TEMP STORAGE	845
STAGING	300
PROCESSING	370
CARGO	370
TOTAL	7,374

BUILDING AREAS (SQ FT)	STORAGE CAPACITY (No. VEH)
TRUCK WASH	1,150
TRUCK MAINTENANCE	1,150
TEMP STORAGE	845
STAGING	300
PROCESSING	370
CARGO	370
TOTAL	7,374

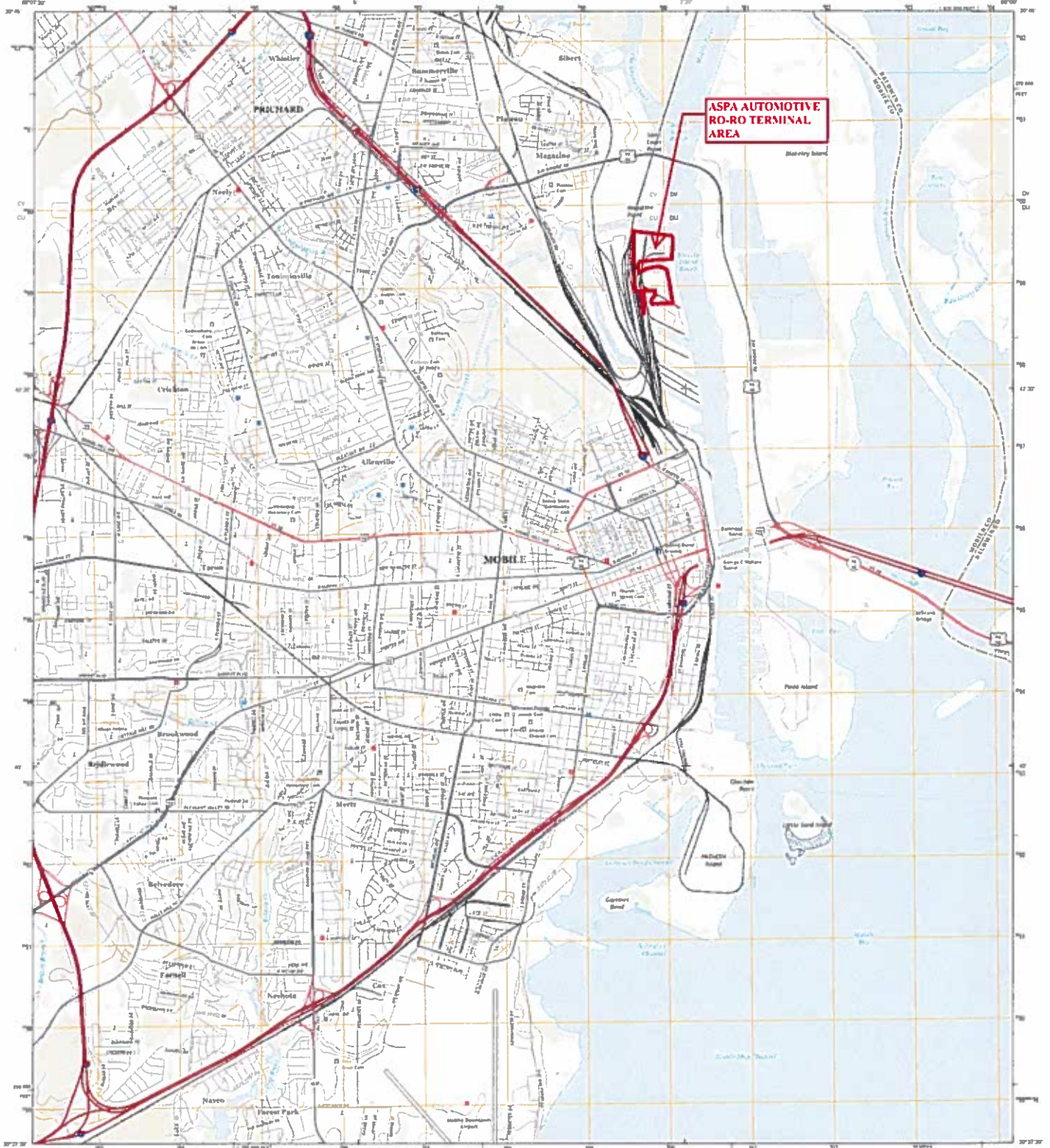
DRAWING SCALE: 1" = 100' BASED ON 27 JAN 08 DRAWING



U.S. DEPARTMENT OF THE INTERIOR
U.S. GEOLOGICAL SURVEY



MOBILE QUADRANGLE
46-48-50-52
7.5-MINUTE SERIES

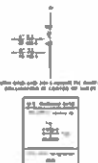


**ASPA AUTOMOTIVE
RO-RO TERMINAL
AREA**

Produced by the United States Geological Survey
North American Datum of 1983 (NAD83)
World Geodetic System of 1984 (WGS84). Projection and
coordinate system information: Transverse Mercator. Datum: 1983
USGS North Pole Azimuth Convergence System of 1983
datum.

This map is not a legal document. Quality may vary by
print run and this map scale. Printed matter and electronic
reproduction may not be exact. Obtain appropriate notices
before using this map.

Feature	Symbol	Year
Boundary	Red line	2011
Highway	Red line	2011
Water	Blue line	2011
Contour	Brown line	2011
Spot elevation	Black dot	2011
Spot elevation	Black dot	2011



SCALE 1:24 000
VERTICAL DATUM OF 1983
This map was prepared to comply with the
National Map Accuracy Program (NMAS) of 1965
and is accurate to the standard of 1:24,000 (1:24,000 ± 1%).



1	2	3
4	5	6
7	8	9

ROAD CLASSIFICATION

Expressway	Interconnector
Arterial Road	Local Road
Minor Road	Other Road
Highway	Other Road

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
---	---	---	---	---	---	---	---	---	----	----	----	----	----	----	----	----	----	----	----

MOBILE, AL
2010



MAP SCALE 1" = 500'



NATIONAL FLOOD INSURANCE PROGRAM

PANEL 0556K

FIRM FLOOD INSURANCE RATE MAP

MOBILE COUNTY, ALABAMA AND INCORPORATED AREAS

PANEL 556 OF 1018
(SEE LOCATOR DIAGRAM OR MAP INDEX FOR
FIRM PANEL LAYOUT)

CONTAINS:

COMMUNITY MOBILE, CITY OF	NUMBER 015007	PANEL 0556	SUFFIX K
PURCHASER, CITY OF	015170	0556	K

Notice to User: The Map Number shown below should be used when placing map orders, the Community Number shown above should be used on insurance applications for the subject community.

MAP REVISED
MARCH 17, 2010

MAP NUMBER
01097C0556K



State of Alabama
Federal Emergency Management Agency

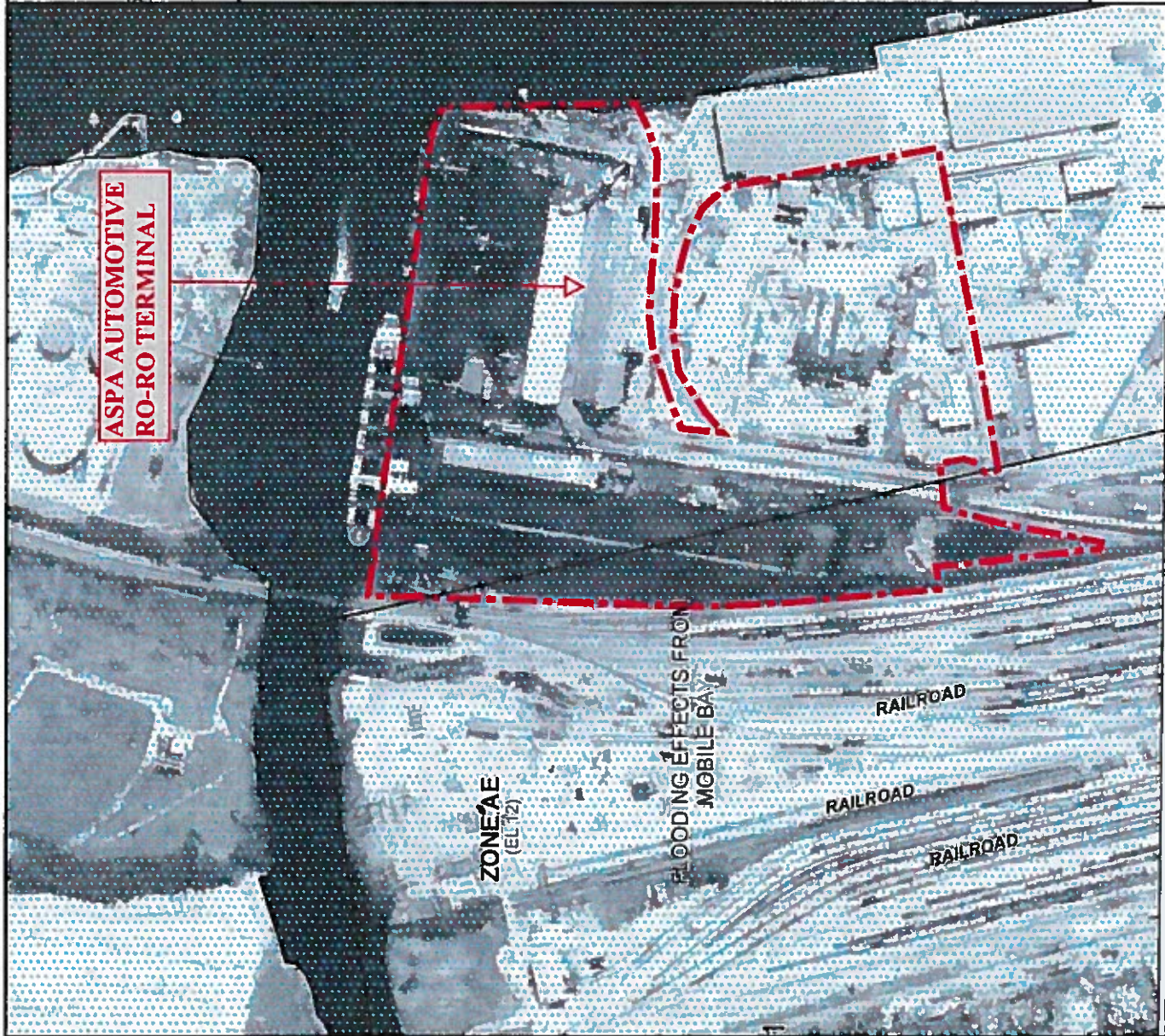
This is an official copy of a portion of the above referenced flood map. It was extracted using F-MIT On-Line. This map does not reflect changes or amendments which may have been made subsequent to the date on the title block. For the latest product information about National Flood Insurance Program, flood maps check the FEMA Flood Map Store at www.msc.fema.gov

ASPA AUTOMOTIVE
RO-RO TERMINAL

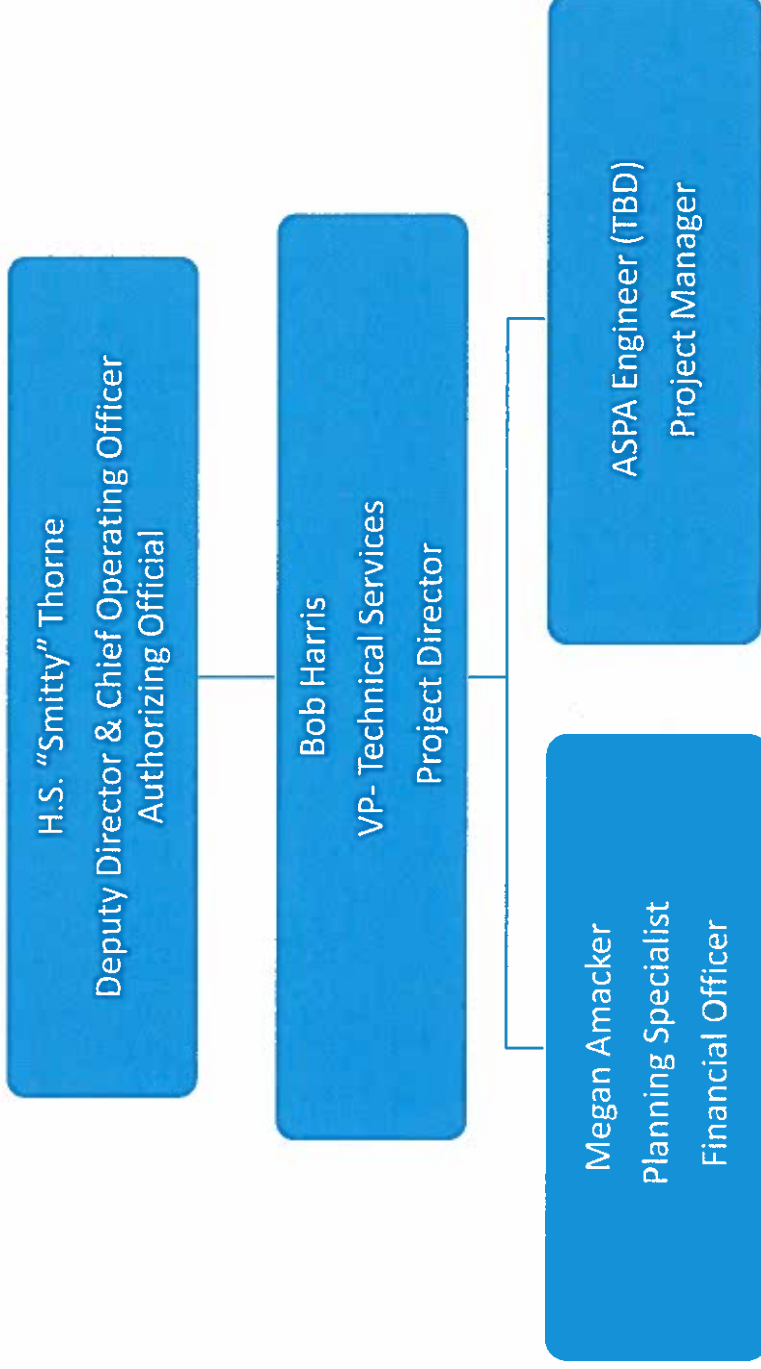
ZONE AE
(EL 12)

FLOODING EFFECTS FROM
MOBILE BAY

RAILROAD
RAILROAD
RAILROAD



Alabama State Port Authority



Estimated Useful Life

The Alabama State Port Authority computes depreciation by using the straight-line method and estimated useful lives of assets with no consideration of salvage value. The Benefit Cost Analysis (BCA) prepared by Moffatt and Nichol for this project provides a monetization and discounting of project costs over a 20-year horizon. The engineering designs for the Facility exceed the 20-year BCA horizon; therefore, it is expected to retain 33% of the construction value. Using the same assumptions as the BCA and applying the Alabama State Port Authority's straight-line depreciation method, with no consideration of salvage value, results in a useful life of 30 years as designed by the engineers, Moffatt and Nichol.

Indirect Cost Rate

Indirect costs are not included in our budget.

The Alabama State Port Authority is in the process of obtaining the information needed for the items listed below:

- 1) Legal documents relating to title (i.e. recorded easements, liens, rights-of-way, real property acquisition, conveyance), construction (i.e., permits, performance bonds), and disclosure or ongoing property litigation.
- 2) Recent title opinion showing ownership of the property and any deed restrictions. If the title opinion is more than one year old, a justification also must be provided for review and approval.



Alabama Gulf Coast Recovery Council
Proposal Evaluation for Direct Component Summary Sheet

Project Name : Alabama State Port Authority Automotive/RO-RO Terminal Project ID: 321

Requested Funding: \$ 28,767,710 Additional Funding Sources Amount: 23,130,940

Additional Funding Secured? Y N Unknown

Can Funding be secured from other sources? Y N Unknown

Geographic Area of Project: Mobile County

Restore Act Project Classification: Infrastructure projects benefitting the economy or ecological resources, including port infrastructure

1. Key Activities Identified: Convert a former Bulk Handling Facility to a Roll On- Roll Off (Ro-Ro) Mobile Vehicle Processing facility

2. Status of Project Readiness/Time to Completion:

Time to completion for pre-construction activities: 11 months from date of award

Time to completion for construction activities: 15 months from completion of pre-construction activities

3. Summary of potential risks to implement and maintain proposed activities:

Proposal provides a description of risk and associated mitigation activities. Risks include the timely negotiation and completion of the P3 procurement, the concessionaire’s perception of the reliability of rail service to the site and soil quality. Other risks that could be present and can also be mitigated include construction delays and the potential presence of contamination on the derelict building site that would need to be addressed.

4. Permit(s) Required: Y N Unknown

5. If yes, status of permit(s): Have not submitted application Application(s) submitted
 Permit(s) obtained

6. Described benefit/need to the community/region:

Proposed activities will allow automobile and equipment manufacturers in Alabama and surrounding states access to a more cost-effective deep water gateway for exporting American-made products and importing commodities and components that support those manufacturers.

Project will create a number of new direct, indirect and induced jobs.

7. Comments and summary from independent evaluation:

- Proposal states that project cannot be phased, but could consider planning engineering and design as one phase and construction activities as a subsequent phase.

– Proposal does not appear to be a viable candidate for spill impact component funding unless considered against the infrastructure cap.

-Although this project is located in Mobile, AL the nature of the project and its potential for job creation will likely provide regional benefits.

-Recommend project close-out prior to facility coming online to avoid program income issues.

-A plan to secure concessionaire or an executed contract will demonstrate to Treasury that the project fulfills eligibility requirements. ASPA will need to prove post-implementation sustainability and functionality.

-Federal procurement standards will apply (2 CFR 200).

-Pass-through award, increased monitoring effort by ADCNR.

Supplemental Evaluation Information

Project Name: Alabama State Port Authority Automotive/RO-RO Terminal

Project ID: 321

Does project:

8. Demonstrate benefits in relation to cost of project: Y N NA

Reviewer Comments

Benefits of project are clearly described and include the ability of the Port to boost their importing and exporting capabilities, support regional manufacturing and break into the Ro-Ro freight movement market.

9. Quantify or qualify Short-term/long-term economic benefits: Y N NA

Reviewer Comments

Development of the facility will result in transportation cost savings and create short and long-term jobs.

10. Adequately demonstrate need: Y N NA

Reviewer Comments

The proposal articulates the need for project but it would be helpful to understand where the closest Ro-Ro facility is located, what the geographic service area for this project would be, and what projections exist, if any, for the facility to operate at capacity.

11. Prevent adverse impacts elsewhere: Y N NA

Reviewer Comments

The proposed activities will support the continues growth of Alabama's automotive industry and increase the economic resiliency of Alabama's Gulf Coast, enabling the region to better withstand economic downturns.

12. Expand/promote an existing industry or offers diversification: Y N NA

Reviewer Comments

Proposed activities will diversify and expand Alabama's automotive industry.

13. Demonstrate short- or long-term job creation: Y N NA

Reviewer Comments

A number of direct and indirect jobs are expected to be created from the proposed activities as well as a number of short-term jobs.

14. Provide measurable outcomes: Y N NA

Reviewer Comments

Proposal articulates outcomes.

15. Address potential risks and uncertainties: Y N NA

Reviewer Comments

Proposal provides a description of risk and associated mitigation activities. Risks include the timely negotiation and completion of the P3 procurement, the concessionaire's perception of the reliability of rail service to the site and soil quality. Other risks that could be present and can also be mitigated include construction delays and the potential presence of contamination on the derelict building site that would need to be addressed .

16. Address use of cutting-edge technology: Y N NA

Reviewer Comments

The use of permeable pavement for automobile staging will be considered and the construction to LEED standards for the facility will also be evaluated.

17. Address environmental compliance needs and status: Y N NA

Reviewer Comments

Information submitted appears to be complete and accurate.

18. Demonstrate post-implementation sustainability, including recurring costs: Y N NA

Reviewer Comments

The Alabama State Port Authority plans to enter into a concessionaire partnership agreement with a private terminal operator to operate and maintain the facility, to be funded by terminal revenues.

19. Demonstrate budget reasonableness: Y N NA

Reviewer Comments

A comparison to other recently constructed Ro-Ro facilities and their comparative size and cost would benefit this proposal.

20. If Best Available Science is required, is narrative adequate? Y N NA

Reviewer Comments

A BAS review is not required for this project.

21. Can project be phased? Y N NA

Reviewer Comments

- Proposal states that project cannot be phased, but could consider planning engineering and design as one phase and construction activities as a subsequent phase.

22. Is project included in an existing strategic/comprehensive plan? Y N

Reviewer Comments

This information is not provided in the proposal.

23. Feasibility and Logistics (next steps, hurdles, barriers, other considerations)

24. Additional Options (phasing, etc.)

See above.

25. Additional Comments from Reviewer

See summary page 1.

Reviewed By:

Bethany Kraft

Printed Name

QAQC By:

Printed Name