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| 1. DATE ISSUED MM/DD/YYYY 09/09/2021 | | 1a. SUPERSEDES AWARD NOTICE dated 07/01/2021 except that any additions or restrictions previously imposed remain in effect unless specifically rescinded | |
| 2. CFDA NO. 97.061 - Cooperative Agreements | | | |
| 3. ASSISTANCE TYPE Cooperative Agreement | | | |
| 4. GRANT NO. 15STCRC00001-07-01 Formerly 2015ST061ND0001-03 | | 5. TYPE OF AWARD Other | |
| 4a. FAIN 15STCRC00001 | | 5a. ACTION TYPE Post Award Amendment | |
| 6. PROJECT PERIOD From MM/DD/YYYY 04/01/2015 | | Through MM/DD/YYYY 06/30/2022 | |
| 7. BUDGET PERIOD From MM/DD/YYYY 07/01/2021 | | Through MM/DD/YYYY 06/30/2022 | |
| 8. TITLE OF PROJECT (OR PROGRAM) Coastal Resilience Center of Excellence - Research Lead | | | |

Department of Homeland Security

DHS Grants and Financial Assistance Division (GFAD)

301 7th Street, SW, RM 3051
Mail Stop 0115
Washington, DC 20528

NOTICE OF AWARD

AUTHORIZATION (Legislation/Regulations)
Public Law 115-31, Department of Homeland Security Appropriations Act, 2017, Title IV, Research, Development, Training and Services

| | | | |
|--|--|---|--|
| 9a. GRANTEE NAME AND ADDRESS University of North Carolina at Chapel Hill 104 Airport Dr Ste 2200 Chapel Hill, NC 27599-5023 | | 9b. GRANTEE PROJECT DIRECTOR [REDACTED] 104 Airport Dr Ste 2200 Chapel Hill, NC 27599-5023 [REDACTED] | |
| 10a. GRANTEE AUTHORIZING OFFICIAL [REDACTED] 104 Airport Dr Suite 2200 CB 1350 Chapel Hill, NC 27599-5023 [REDACTED] | | 10b. FEDERAL PROJECT OFFICER [REDACTED] 7th and D Street, SW Washington, DC 20407 [REDACTED] | |

ALL AMOUNTS ARE SHOWN IN USD

| | | | |
|--|--|---|--|
| 11. APPROVED BUDGET (Excludes Direct Assistance) | | 12. AWARD COMPUTATION | |
| I Financial Assistance from the Federal Awarding Agency Only | | a. Amount of Federal Financial Assistance (from item 11m) 7,504,082.00 | |
| II Total project costs including grant funds and all other financial participation | | b. Less Unobligated Balance From Prior Budget Periods 3,481,082.00 | |
| | | c. Less Cumulative Prior Award(s) This Budget Period 3,600,000.00 | |
| | | d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION 423,000.00 | |
| | | 13. Total Federal Funds Awarded to Date for Project Period 27,090,416.00 | |
| | | 14. RECOMMENDED FUTURE SUPPORT (Subject to the availability of funds and satisfactory progress of the project): | |
| | | YEAR TOTAL DIRECT COSTS YEAR TOTAL DIRECT COSTS | |
| | | a. 8 b. 9 c. 10 d. 11 e. 12 f. 13 | |
| | | 15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES: | |
| | | a. DEDUCTION b. ADDITIONAL COSTS c. MATCHING d. OTHER RESEARCH (Add / Deduct Option) e. OTHER (See REMARKS) | |
| | | b | |
| | | 16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY ON THE ABOVE TITLED PROJECT AND IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING: | |
| | | a. The grant program legislation b. The grant program regulations. c. This award notice including terms and conditions, if any, noted below under REMARKS d. Federal administrative requirements, cost principles and audit requirements applicable to this grant. | |
| | | In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system. | |

REMARKS (Other Terms and Conditions Attached - ☒ Yes ☐ No)

FUNDS RESTRICTED\$423,000 RESTRICTED FUNDING *** SEE RESTRICTIONS ATTACHED**

GRANTS MANAGEMENT OFFICIAL:

[REDACTED]
7th and D Street, SW
Washington DC , DC 20407
[REDACTED]

| | | | | |
|---------------------|----------------------------|---------------------|---------------------|--------------------|
| 17.OBJ CLASS 4102 | 18a. VENDOR CODE 566001393 | 18b. EIN 566001393 | 19. DUNS 608195277 | 20. CONG. DIST. 04 |
| FY-ACCOUNT NO. | DOCUMENT NO. | ADMINISTRATIVE CODE | AMT ACTION FIN ASST | APPROPRIATION |
| 21. a. U13L70130803 | b. STCRC00001A | c. CRC1 | d. \$423,000.00 | e. |
| 22. a. | b. | c. | d. | e. |
| 23. a. | b. | c. | d. | e. |

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NOTICE OF AWARD (Continuation Sheet)

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DATE ISSUED

09/09/2021

GRANT NO. 15STCRC00001-07-01

| Federal Financial Report Cycle | | | |
|--------------------------------|---------------------------|----------------|---------------------------|
| Reporting Period Start Date | Reporting Period End Date | Reporting Type | Reporting Period Due Date |
| 04/01/2015 | 06/30/2015 | Quarterly | 07/30/2015 |
| 07/01/2015 | 09/30/2015 | Quarterly | 10/30/2015 |
| 10/01/2015 | 12/31/2015 | Quarterly | 01/30/2016 |
| 01/01/2016 | 03/31/2016 | Quarterly | 04/30/2016 |
| 04/01/2016 | 06/30/2016 | Quarterly | 07/30/2016 |
| 07/01/2016 | 09/30/2016 | Quarterly | 10/30/2016 |
| 10/01/2016 | 12/31/2016 | Quarterly | 01/30/2017 |
| 01/01/2017 | 03/31/2017 | Quarterly | 04/30/2017 |
| 04/01/2017 | 06/30/2017 | Quarterly | 07/30/2017 |
| 07/01/2017 | 09/30/2017 | Quarterly | 10/30/2017 |
| 10/01/2017 | 12/31/2017 | Quarterly | 01/30/2018 |
| 01/01/2018 | 03/31/2018 | Quarterly | 04/30/2018 |
| 04/01/2018 | 06/30/2018 | Quarterly | 07/30/2018 |
| 07/01/2018 | 09/30/2018 | Quarterly | 10/30/2018 |
| 10/01/2018 | 12/31/2018 | Quarterly | 01/30/2019 |
| 01/01/2019 | 03/31/2019 | Quarterly | 04/30/2019 |
| 04/01/2019 | 06/30/2019 | Quarterly | 07/30/2019 |
| 07/01/2019 | 09/30/2019 | Quarterly | 10/30/2019 |
| 10/01/2019 | 12/31/2019 | Quarterly | 01/30/2020 |
| 01/01/2020 | 03/31/2020 | Quarterly | 04/30/2020 |
| 04/01/2020 | 06/30/2020 | Final | 09/28/2020 |
| 07/01/2020 | 09/30/2020 | Quarterly | 10/30/2020 |
| 10/01/2020 | 12/31/2020 | Quarterly | 01/30/2021 |
| 01/01/2021 | 03/31/2021 | Quarterly | 04/30/2021 |
| 04/01/2021 | 06/30/2021 | Quarterly | 07/30/2021 |
| 04/01/2021 | 06/30/2021 | Quarterly | 07/30/2021 |
| 04/01/2021 | 06/30/2021 | Quarterly | 07/30/2021 |
| 07/01/2021 | 09/30/2021 | Quarterly | 10/30/2021 |
| 10/01/2021 | 12/31/2021 | Quarterly | 01/30/2022 |
| 01/01/2022 | 03/31/2022 | Quarterly | 04/30/2022 |
| 04/01/2022 | 06/30/2022 | Final | 09/28/2022 |

| Performance Progress Report Cycle | | | |
|-----------------------------------|---------------------------|----------------|---------------------------|
| Reporting Period Start Date | Reporting Period End Date | Reporting Type | Reporting Period Due Date |
| 07/01/2019 | 12/31/2019 | Semi-Annual | 01/30/2020 |
| 01/01/2020 | 06/30/2020 | Semi-Annual | 07/30/2020 |
| 07/01/2020 | 12/31/2020 | Semi-Annual | 01/30/2021 |
| 01/01/2021 | 06/30/2021 | Semi-Annual | 07/30/2021 |
| 07/01/2021 | 12/31/2021 | Semi-Annual | 01/30/2022 |
| 01/01/2022 | 06/30/2022 | Final | 09/28/2022 |

NOTICE OF AWARD (Continuation Sheet)

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|------------------------------|---------------------------|
| PAGE 3 of 3 | DATE ISSUED 09/09/2021 |
| GRANT NO. 15STCRC00001-07-01 | |

SPECIAL CONDITIONS

1. e) Joint COE Community Infrastructure Planning Project: \$423,000 is awarded and restricted 100 percent pending development of a plan to develop a research and education approach to enhance the quality and transferability of the Infrastructure Resilience Planning Framework and related assessment tools developed by the Department of Homeland Security (DHS) Cybersecurity and Infrastructure Security Agency (CISA). This work will leverage academic capabilities from across the DHS Centers of Excellence Network in order to apply proven approaches that support the infrastructure resilience planning and implementation capacity of state, local, tribal, and territorial governments to plan, invest and maintain infrastructure systems for critical services through partnerships with universities and associations.

AWARD ATTACHMENTS

University of NC at Chapel Hill

15STCRC00001-07-01

1. 2021_COASTAL_RESTRICTIONS_Year 7_MOD 1

Award Number: **15STCRC00001-06-00** (formerly 2015ST061ND0001-05) Remarks continued:

D. 1) **\$3,600,000** FY21 base grant funding is awarded, with \$2,100,000 restricted as specified below; 2) **\$3,481,082** carryover is approved and fully released for no-cost-extension; 3) **\$423,000** supplemental funding is awarded and restricted as specified below.

Fiscal Year 2021 Approved Budget

| | |
|--|--------------------|
| (1) Year 7 Base Funding | \$3,600,000 |
| (2) Year 6 Approved Carryover | \$3,481,082 |
| (3) Year 7 Supplemental Joint COE Community Infrastructure | \$ 423,000 |
| Total Budget | \$7,504,082 |

1) YEAR 7 BASE FUNDING: \$3,600,000 is awarded in base funding. Of this amount, **\$1,500,000** of funds are released for Management & Administration, Communications, Transition and for research and education projects, as listed in the proposal, for workplan planning and development, including drafting and submitting Internal Review Board (IRB) packages, as applicable. If the COE Director and PI do not believe that human subjects research is being conducted, please submit the corresponding IRB forms submitted to the respective universities' Office of Sponsored Research, electronically to the DHS Program Manager. The following award-specific restrictions are in effect:

| RESTRICTIONS | DATE ISSUED | DATE LIFTED |
|--|-------------|-------------|
| a) Research and Education – \$2,032,433 remains restricted for projects pending DHS review and approval of Year 7 project workplans that have (1) incorporated DHS program recommendations and (2) received all other required reviews/approvals as applicable, including S&T Compliance Assurance Program Office review and approval. | DATE | |
| b) Human Subjects – no human subjects research or education activities may take place prior to DHS S&T Compliance Assurance Program Office review and approval, per the Terms and Conditions. | DATE | N/A |
| c) Unallocated – \$67,567 remains restricted for high priority homeland security research and education pending DHS receipt and approval of a workplan and budget justification. | DATE | |

2) YEAR 6 APPROVED CARRYOVER: \$3,481,082 carryover request is approved. Of this amount, **\$3,118,702** of funds are released. The following award-specific restrictions are in effect:

| RESTRICTIONS | DATE ISSUED | DATE LIFTED |
|--|-------------|-------------|
| a) Human Subjects – no human subjects research or education activities may take place prior to DHS S&T Compliance Assurance Program Office review and approval, per the Terms and Conditions. | DATE | N/A |

| RESTRICTIONS | DATE ISSUED | DATE LIFTED |
|---|-------------|-------------|
| a) Unallocated -- \$162,380 remains restricted for high priority homeland security research and education pending DHS receipt and approval of a workplan and budget justification. | DATE | |
| b) Preparedness to Natural Hazards in Underrepresented Neighborhoods -- \$200,000 remains restricted pending S&T Compliance Assurance Program Office review and approval. | DATE | |

- c) **Flood APEX Supplemental** – **The approved carryover includes \$201,382** of funds remaining from the Flood APEX project, which may be used for high priority disaster resilience research and education pending DHS receipt and approval of a workplan and budget justification.
- d) **Joint COE Port Project Supplemental**: **The approved carryover includes \$117,369 for this work.** Funds in the amount of \$335,000 were awarded and fully released as of 4/27/20 to implement the detailed work plan and budget justification that CRC developed in partnership with the DHS Cybersecurity and Infrastructure Security Agency (CISA) and U.S. Army Engineer Research and Development Center (ERDC). There is potential that work conducted under this supplemental award may generate sensitive information; therefore, personnel (e.g., faculty and students) conducting work under this supplemental must be U.S. citizens. All work is to be conducted in accordance with a project- specific information protection plan and data management plan approved by DHS. Note: This amendment replaces Amendment 2 (issued Aug. 28), which awarded \$335,000 and released \$25,000 to support project planning and development activities and restricted \$310,000 pending DHS review and approval of a detailed work plan and budget justification that CRC would develop in partnership with the DHS Cybersecurity and Infrastructure Security Agency (CISA) and U.S. Army Engineer Research and Development Center (ERDC).
- e) **Joint COE Community Infrastructure Planning Project**: **\$423,000 is awarded and restricted 100 percent** pending development of a plan to develop a research and education approach to enhance the quality and transferability of the Infrastructure Resilience Planning Framework and related assessment tools developed by the Department of Homeland Security (DHS) Cybersecurity and Infrastructure Security Agency (CISA). This work will leverage academic capabilities from across the DHS Centers of Excellence Network in order to apply proven approaches that support the infrastructure resilience planning and implementation capacity of state, local, tribal, and territorial governments to plan, invest and maintain infrastructure systems for critical services through partnerships with universities and associations.