

1. DATE ISSUED MM/DD/YYYY 08/27/2020
1a. SUPERSEDES AWARD NOTICE dated 06/30/2020
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remain in effect unless specifically rescinded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. 17STQAC00001-04-01
Formerly 2017-ST-061-QA0001

5. TYPE OF AWARD
Other

4a. FAIN 17STQAC00001

5a. ACTION TYPE Post Award Amendment

6. PROJECT PERIOD MM/DD/YYYY
From 09/01/2017

Through 06/30/2027

7. BUDGET PERIOD MM/DD/YYYY
From 07/01/2020

Through 06/30/2021

8. TITLE OF PROJECT (OR PROGRAM)

Center of Excellence for Accelerating Operational Efficiency (CAOE) - Supplemental Application - Economic Analysis of COVID-19 Impacts

Department of Homeland Security

DHS Grants and Financial Assistance Division (GFAD)

245 Murray Lane, SW
Mail Stop 0115
Washington, DC 20528

NOTICE OF AWARD

AUTHORIZATION (Legislation/Regulations)
Homeland Security Act of 2002, Public Law 107-296, 6 U.S.C 188

9a. GRANTEE NAME AND ADDRESS

ARIZONA STATE UNIVERSITY
PO BOX 876011
Tempe, AZ 85287-6011

9b. GRANTEE PROJECT DIRECTOR

660 S MILL AVE STE 312
TEMPE, AZ 85281-3670

10a. GRANTEE AUTHORIZING OFFICIAL

660 S MILL AVE STE 312
TEMPE, AZ 85281-3670

10b. FEDERAL PROJECT OFFICER

7th and D Street, SW
Washington, DC 20407

ALL AMOUNTS ARE SHOWN IN USD

11. APPROVED BUDGET (Excludes Direct Assistance)

I Financial Assistance from the Federal Awarding Agency Only

II Total project costs including grant funds and all other financial participation

II

a. Salaries and Wages	1,204,497.00
b. Fringe Benefits	327,073.00
c. Total Personnel Costs	1,531,570.00
d. Equipment	39,386.00
e. Supplies	65,777.00
f. Travel	328,922.00
g. Construction	0.00
h. Other	3,846,699.00
i. Contractual	0.00
j. TOTAL DIRECT COSTS	5,812,354.00
k. INDIRECT COSTS	1,391,394.00
l. TOTAL APPROVED BUDGET	7,203,748.00
m. Federal Share	7,203,748.00
n. Non-Federal Share	0.00

12. AWARD COMPUTATION

a. Amount of Federal Financial Assistance (from item 11m)	7,203,748.00
b. Less Unobligated Balance From Prior Budget Periods	3,235,248.00
c. Less Cumulative Prior Award(s) This Budget Period	3,715,000.00
d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION	253,500.00
13. Total Federal Funds Awarded to Date for Project Period	16,076,604.00

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. 5		d. 8	
b. 6		e. 9	
c. 7		f. 10	

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 -
See Special Conditions

☒ Yes

☐ No

GRANTS MANAGEMENT OFFICIAL:

7th and D Street, SW
Washington DC , DC 20407

17. OBJ CLASS	4102	18a. VENDOR CODE	1860196696A1	18b. EIN	860196696	19. DUNS	943360412	20. CONG. DIST.	09
FY-ACCOUNT NO.		DOCUMENT NO.		ADMINISTRATIVE CODE		AMT ACTION FIN ASST		APPROPRIATION	
21. a.	91AA70910803	b.	STQAC00001A	c.	QAC1	d.	\$115,000.00	e.	
22. a.	U02K70020803	b.	STQAC00001A	c.	QAC1	d.	\$138,500.00	e.	
23. a.		b.		c.		d.		e.	

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NOTICE OF AWARD (Continuation Sheet)

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DATE ISSUED

08/27/2020

GRANT NO. 17STQAC00001-04-01

Federal Financial Report Cycle

Reporting Period Start Date	Reporting Period End Date	Reporting Type	Reporting Period Due Date
09/01/2017	09/30/2017	Annual	12/29/2017
07/01/2018	06/30/2019	Annual	09/28/2019
07/01/2019	09/30/2019	Annual	12/29/2019
10/01/2019	09/30/2020	Annual	12/29/2020
10/01/2020	09/30/2021	Annual	12/29/2021
10/01/2021	09/30/2022	Annual	12/29/2022
10/01/2022	09/30/2023	Annual	12/29/2023
10/01/2023	09/30/2024	Annual	12/29/2024
10/01/2024	09/30/2025	Annual	12/29/2025
10/01/2025	09/30/2026	Annual	12/29/2026
10/01/2026	06/30/2027	Final	09/28/2027

Performance Progress Report Cycle

Reporting Period Start Date	Reporting Period End Date	Reporting Type	Reporting Period Due Date
01/01/2020	06/30/2020	Semi-Annual	09/28/2020
09/01/2017	09/30/2017	Semi-Annual	12/29/2017
10/01/2017	03/31/2018	Semi-Annual	06/29/2018
04/01/2018	09/30/2018	Semi-Annual	12/29/2018
10/01/2018	03/31/2019	Semi-Annual	06/29/2019
04/01/2019	09/30/2019	Semi-Annual	12/29/2019
10/01/2019	12/31/2019	Semi-Annual	03/30/2020
07/01/2020	09/30/2020	Semi-Annual	12/29/2020
10/01/2020	03/31/2021	Semi-Annual	06/29/2021
04/01/2021	09/30/2021	Semi-Annual	12/29/2021
10/01/2021	03/31/2022	Semi-Annual	06/29/2022
04/01/2022	09/30/2022	Semi-Annual	12/29/2022
10/01/2022	03/31/2023	Semi-Annual	06/29/2023
04/01/2023	09/30/2023	Semi-Annual	12/29/2023
10/01/2023	03/31/2024	Semi-Annual	06/29/2024
04/01/2024	09/30/2024	Semi-Annual	12/29/2024
10/01/2024	03/31/2025	Semi-Annual	06/29/2025
04/01/2025	09/30/2025	Semi-Annual	12/29/2025
10/01/2025	03/31/2026	Semi-Annual	06/29/2026
04/01/2026	09/30/2026	Semi-Annual	12/29/2026
10/01/2026	03/31/2027	Semi-Annual	06/29/2027
04/01/2027	06/30/2027	Final	09/28/2027

SPECIAL CONDITIONS

1. **A) Continuation Award** - Your application was approved in the amount of \$7,447,265. A total of \$3,600,000 is FY20 Continuation Funding, a total of \$3,732,265 is estimated FY19 Carryover Funding and a total of \$115,000 is for a Supplemental Project. A total of \$500,000 of Basic Operations Funding is restricted. Within 45 days of receipt of this letter, please submit a revised workplan to update the project stakeholder engagement strategy for the five new projects this year and the continuing VFRO project.

NOTICE OF AWARD (Continuation Sheet)

PAGE 3 of 3	DATE ISSUED 08/27/2020
GRANT NO. 17STQAC00001-04-01	

The request to open a Program Income account has been approved. Per the request, the funds in this account shall be used to offset costs related to the annual TSA Symposium. As stated in Item K. Program Income, of the enclosed Terms and Conditions, all instances of program income shall be listed in the progress and financial reports. (6/30/2020).

B) Amendment #1 – This amendment approves your application for supplemental funding in the amount of **\$253,500** for the projects entitled, “Economic Impacts of COVID-19 Follow-on Studies” (\$115K) and “COVID-19 Red Team Study and Exercise” (\$138.5K).

This amendment also approves the revised workplans, budget, carryover request and other documents submitted July 28, 2020. The term and condition that previously restricted a total of **\$500,000** has been satisfactorily fulfilled and the funds are hereby released. The total approved budget is now **\$7,203,748**, and all funds are available for use.

This amendment also adds a new reporting requirement for all COVID-19 supplemental projects, including the two referenced above, the supplemental project issued May 22, 2020, entitled, “Economic Analysis of COVID-19 Impacts” (\$150K), as well as any future projects that may be issued. The reporting details are as follows:

Quarterly Status Reports for COVID-19 Supplemental Projects

The Performer shall provide quarterly status reports to DHS for the duration of the period of performance. The report shall include:

- Technical progress
- Schedule performance (actual vs. planned)
- Cost performance (actual vs. planned)
- Technical level risks and issues

Each quarterly report shall update the timeline for completion of outcomes and milestones. For each outcome or milestone that has changed from the previous quarter, an explanation shall be provided of the cause of the change. The quarterly status report shall also track action items assigned to all parties (DHS included) and identify events in the next quarter (i.e. key meetings).

All other terms and conditions remain unchanged. (8/27/2020)

AWARD ATTACHMENTS

AZ Board of Regents on behalf of Arizona State University

17STQAC00001-04-01

1. Amendment Letter



Homeland
Security

August 27, 2020

[REDACTED]
Executive Director, Research Operations
Arizona Board of Regents on behalf of Arizona State University
ORSPA/OKED
P.O. Box 876011
Tempe, AZ 85287-6011

Re: **Award Number: 17STQAC00001-04-01** (formerly 2017-ST-061-QA0001)
Center of Excellence for Accelerating Operational Efficiency (CAOE)

Dear [REDACTED]

The Department of Homeland Security (DHS) has approved your application for supplemental funding in the amount of **\$253,500** for the projects entitled, "Economic Impacts of COVID-19 Follow-on Studies" (\$115K) and "COVID-19 Red Team Study and Exercise" (\$138.5K).

This amendment also approves the revised workplans, budget, carryover request and other documents submitted July 28, 2020. The term and condition that previously restricted a total of **\$500,000** has been satisfactorily fulfilled and the funds are hereby released. The total approved budget is now **\$7,203,748**, and all funds are available for use.

This amendment also adds a new reporting requirement for all COVID-19 supplemental projects, including the two referenced above, the supplemental project issued May 22, 2020, entitled, "Economic Analysis of COVID-19 Impacts" (\$150K), as well as any future projects that may be issued. The reporting details are outlined in the award document. All other terms and conditions remain unchanged.

If any additional assistance is required, please have your staff contact Gia Harrigan, Project Officer, at [REDACTED] on technical/programmatic matters, or [REDACTED] Grants Officer at [REDACTED] on administrative matters.

[REDACTED]
Grants and Financial Assistance Division
Office of Procurement Operations
Office of the Chief Procurement Officer
Department of Homeland Security

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