

1. DATE ISSUED MM/DD/YYYY 01/11/2022		1a. SUPERSEDES AWARD NOTICE dated 12/16/2021 except that any additions or restrictions previously imposed remain in effect unless specifically rescinded	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. 17STQAC00001-05-03 Formerly 2017-ST-061-QA0001		5. TYPE OF AWARD Other	
4a. FAIN 17STQAC00001		5a. ACTION TYPE Post Award Amendment	
6. PROJECT PERIOD From MM/DD/YYYY 09/01/2017		Through MM/DD/YYYY 06/30/2027	
7. BUDGET PERIOD From MM/DD/YYYY 07/01/2021		Through MM/DD/YYYY 06/30/2022	
8. TITLE OF PROJECT (OR PROGRAM) Center of Excellence for Accelerating Operational Efficiency (CAOE) - Year 5			

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)
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 [REDACTED] 660 S MILL AVE STE 312 TEMPE, AZ 85281-3670 [REDACTED]	
10a. GRANTEE AUTHORIZING OFFICIAL [REDACTED] 660 S MILL AVE STE 312 TEMPE, AZ 85281-3670 [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) 7,008,452.00	
II Total project costs including grant funds and all other financial participation		b. Less Unobligated Balance From Prior Budget Periods 3,696,452.00	
		c. Less Cumulative Prior Award(s) This Budget Period 3,600,000.00	
		d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION -288,000.00	
		13. Total Federal Funds Awarded to Date for Project Period 19,710,604.00	
		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. 6 b. 7 c. 8 d. 9 e. 10 f. 11	
		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 AWARING 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)
See next page.

GRANTS MANAGEMENT OFFICIAL:

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

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. U13F70130803	b. STQAC00001A	c. QAC1	d. (\$288,000.00)	e.
22. a.	b.	c.	d.	e.
23. a.	b.	c.	d.	e.

REL0001347850

NOTICE OF AWARD (Continuation Sheet)

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DATE ISSUED

01/11/2022

GRANT NO. 17STQAC00001-05-03

Federal Financial Report Cycle			
Reporting Period Start Date	Reporting Period End Date	Reporting Type	Reporting Period Due Date
07/01/2018	06/30/2019	Annual	09/28/2019
07/01/2019	06/30/2020	Annual	09/28/2020
07/01/2020	06/30/2021	Annual	09/28/2021
07/01/2021	06/30/2022	Annual	07/30/2022

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
07/01/2020	12/31/2020	Semi-Annual	03/31/2021
01/01/2021	06/30/2021	Semi-Annual	08/29/2021
07/01/2021	12/31/2021	Semi-Annual	03/01/2022
01/01/2022	06/30/2022	Semi-Annual	08/29/2022

REMARKS

1. This amendment de-obligates a total of \$288,000 from the "Harmful Narratives Supplemental" project.

This amendment also provides approval to proceed, and lifts the restrictions on additional spending, for the following two projects: "Modeling the Impact of Complex, Multi-Vector Disruptions to the Marine Transportation System (MCAT)" – PI: Fred Roberts and "Trust in AI-Enabled Decision Support Systems" – PI: Erin Chiou.

All other terms and conditions remain unchanged.

AWARD ATTACHMENTS

ARIZONA STATE UNIVERSITY

17STQAC00001-05-03

-
1. Amendment Letter
 2. Program Office Restrictions Updated



Homeland
Security

January 11, 2022

[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: 17STQAC00001-05-03** (*formerly 2017-ST-061-QA0001*)
Center of Excellence for Accelerating Operational Efficiency (CAOE)

Dear [REDACTED]

The Department of Homeland Security has approved an amendment to the above referenced award. This amendment de-obligates a total of \$288,000 from the "Harmful Narratives Supplemental" project.

This amendment also provides approval to proceed, and lifts the restrictions on additional spending, for the following two projects: "Modeling the Impact of Complex, Multi-Vector Disruptions to the Marine Transportation System (MCAT)" – PI: Fred Roberts and "Trust in AI-Enabled Decision Support Systems" – PI: Erin Chiou. All other terms and conditions remain unchanged.

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

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

REL0001347850

Award Number: **17STQAC00001** Remarks continued:

D. 1) \$3,600,000 FY21 base grant funding is awarded, with **\$2,016,012** restricted as specified below; 2) **\$3,696,452** carryover is approved, with **\$606,664** restricted as specified below.

Fiscal Year 2021 Approved Budget	
(1) Year 5 Base Funding	\$3,600,000
(2) Year 4 Approved Carryover	\$3,696,452
Total Budget	\$7,296,452

1) YEAR 5 BASE FUNDING: \$3,600,000 is awarded in base funding. Of this amount, **\$1,583,988** of funds are released for Management & Administration, Communications, Transition, research and education projects, including student stipends/salaries, 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 – \$1,458,583 remains restricted for projects pending DHS review and approval of Year 5 project workplans and transition plans 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.	7/1/2021	12/15/2021 A total of \$706,547 is released for research projects that have received CAPO approval and S&T Privacy Office review. A list of the research projects is below.
b) Unallocated – \$557,429 remains restricted for high priority homeland security research and education pending DHS review and approval of workplans and budget justifications.	7/1/2021	9/13/2021 The total budget of \$211,861 is fully approved for "Modeling the Impact of Complex, Multi-Vector Disruptions to the Marine Transportation System (MCAT)" and "Trust in AI-Enabled Decision Support Systems." Funds may not be expended until Item 2 (a) below is met. 1/11/2022 Item 2(a) met, restriction lifted 12/15/2021 Up to \$10,000 is released for SAMBAS consultation under S&T ICPO Information Sharing Agreement.
c) Human Subjects – no human subjects research or education activities may take place prior to DHS S&T Compliance Assurance Program Office review and	7/1/2021	N/A

Item 1(a) List of Research Projects funded with \$706,547 released:

1. Dynamic Workforce Management at a Network of Screening Facilities
2. Value-Focused Robust Optimization for Disaster Response
3. Modeling Push-and-Pull Factors in Cross-Border Migration with Deep Learning
4. Validating Adaptive Behavior Models of Adversaries for Risk Assessment (VABMARA) Framework

2) YEAR 4 APPROVED CARRYOVER: \$3,696,452 carryover request is approved. Of this amount, **\$3,089,788** is released for completion of Management & Administration, Communications, Transition, and research and education projects, as listed in the carryover request. The following award-specific restrictions are in effect:

RESTRICTIONS	DATE ISSUED	DATE LIFTED
a) Unallocated -- \$318,664 remains restricted for high priority homeland security research and education pending DHS review and approval of workplans and budget justifications.	7/1/2021	9/13/2021 The total budget of \$318,664 is fully approved for "Modeling the Impact of Complex, Multi-Vector Disruptions to the Marine Transportation System (MCAT)" and "Trust in AI-Enabled Decision Support Systems." Of this amount, up to \$158,500 is made available now for expenditures on workplan planning and development, including drafting and submitting Internal Review Board (IRB) packages, and additional required DHS reviews as applicable. Funding expenditures above this amount may be requested once all required DHS reviews (CAPO, Privacy) are complete. 1/11/2022 This condition is met and the restriction is lifted.
b) Harmful Narratives Supplemental -- \$288,000 remains restricted pending submission of a DHS-approved workplan. DHS workplan approval will encompass approval by the S&T Compliance Assurance Program Office.	7/1/2021	1/11/2022 DHS de-obligated \$288,000 funding for this award.
c) 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.	7/1/2021	N/A