

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

ALL AMOUNTS ARE SHOWN IN USD

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

This amendment hereby approves your application for supplemental funding in the amount of \$50,000 for the CAO Workshop. All other terms and conditions remain unchanged.

☒ Yes☐ No)

This amendment hereby approves your application for supplemental funding in the amount of \$50,000 for the CAOE Workshop. All other terms and conditions remain unchanged.

7th And D Street SW
Washington, DC 20407-0001

REL0001347851

NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2

DATE ISSUED

04/19/2022

GRANT NO. 17STQAC00001-05-04

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

AWARD ATTACHMENTS

Arizona State University

17STQAC00001-05-04

-
1. Award Remarks
 2. Amendment Letter

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

E. This amendment hereby approves your application for supplemental funding in the amount of **\$50,000** for the CAO E Workshop. All other terms and conditions remain unchanged. *(Issued 4/19/22)*



Homeland
Security

April 19, 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: 17STQAC00001-05-04** *(formerly 2017-ST-061-QA0001)*
Center of Excellence for Accelerating Operational Efficiency (CAOE)

Dear [REDACTED]

The Department of Homeland Security has issued an amendment to the above referenced award. This amendment hereby approves your application for supplemental funding in the amount of \$50,000 for the CAO E Workshop. 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 and Financial Assistance Division
Office of Procurement Operations
Office of the Chief Procurement Officer

REL0001347851