

# State of Arizona

Single Audit Report

Year Ended June 30, 2020



A Report to the Arizona Legislature

Lindsey A. Perry  
Auditor General





The Arizona Auditor General's mission is to provide independent and impartial information and specific recommendations to improve the operations of State and local government entities. To this end, the Office provides financial audits and accounting services to the State and political subdivisions, investigates possible misuse of public monies, and conducts performance audits and special reviews of school districts, State agencies, and the programs they administer.

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Independent auditors' report on internal control over financial reporting and on compliance and other matters based on an audit of basic financial statements performed in accordance with *Government Auditing Standards*



LINDSEY A. PERRY  
AUDITOR GENERAL

ARIZONA  
AUDITOR GENERAL

MELANIE M. CHESNEY  
DEPUTY AUDITOR GENERAL

**Independent auditors' report on compliance for each major federal program;  
report on internal control over compliance; and report on schedule of  
expenditures of federal awards required by the Uniform Guidance**

The Honorable Doug Ducey, Governor  
State of Arizona

The Honorable Karen Fann, President  
Arizona State Senate

The Honorable Russell "Rusty" Bowers, Speaker  
Arizona House of Representatives

The Honorable Robert M. Brutinel, Chief Justice  
Arizona Supreme Court

**Report on compliance for each major federal program**

We have audited the State of Arizona's compliance with the types of compliance requirements described in the *U.S. Office of Management and Budget (OMB) Compliance Supplement* that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2020, except for a portion of the following major federal programs administered by the Arizona Health Care Cost Containment System:

- Medicaid Cluster (Medical Assistance Program) 93.778
- Opioid STR 93.788
- Block Grants for Prevention and Treatment of Substance Abuse 93.959

Those major federal programs were audited in part by another auditor whose report has been furnished to us, and our opinion, insofar as it relates to those portions of the major federal programs' compliance with the types of compliance requirements described in the *OMB Compliance Supplement*, is based solely on the report of the other auditor. The State's major federal programs are identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs.

The State's basic financial statements include the operations of the ASU Preparatory Academy, Inc., which was reported as a discretely presented component unit. This component unit expended \$4,014,780 in federal awards that are not included in the State's schedule of expenditures of federal awards for the year ended June 30, 2020. Our audit, described below, did not include the operations of the ASU Preparatory Academy, Inc., because the entity engaged another auditor to perform an audit in accordance with the audit requirements of Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance).

### ***Management's responsibility***

Management is responsible for compliance with federal statutes, regulations, and the terms and conditions of its federal awards applicable to its federal programs.

### ***Auditors' responsibility***

Our responsibility is to express an opinion on compliance for each of the State's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with U.S. generally accepted auditing standards; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the audit requirements of Uniform Guidance. Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the State's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit and the report of the other auditors provide a reasonable basis for our qualified and unmodified opinions on compliance for major federal programs. However, our audit does not provide a legal determination of the State's compliance.

### ***Basis for qualified opinion on Unemployment Insurance, Performance Partnership Grants, and Adoption Assistance***

As described in the accompanying schedule of findings and questioned costs, the State did not comply with requirements regarding the major federal programs as described in the items for the types of compliance requirements listed below. Compliance with such requirements is necessary, in our opinion, for the State to comply with the requirements applicable to that program.

<u>Program name</u>	<u>Assistance listing number</u>	<u>Compliance requirement(s)</u>	<u>Finding number</u>
Unemployment Insurance	17.225	Cash management	2020-103
		Eligibility	2020-102
		Special tests and provisions	2020-105 and 106
Performance Partnership Grants	66.605	Allowable costs/cost principles	2020-107
Adoption Assistance	93.659	Cash management	2020-109

### ***Qualified opinion on Unemployment Insurance, Performance Partnership Grants, Adoption Assistance***

In our opinion, except for the noncompliance described in the basis for qualified opinion paragraph, the State complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on the Unemployment Insurance, Performance Partnership Grants, and Adoption Assistance programs for the year ended June 30, 2020.

### ***Unmodified opinion on each of the other major federal programs***

In our opinion, based on our audit and the report of the other auditors, the State complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material

effect on each of its other major federal programs identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs for the year ended June 30, 2020.

### ***Other matters***

The results of our auditing procedures disclosed other instances of noncompliance that are required to be reported in accordance with the Uniform Guidance and that are described in the accompanying schedule of findings and questioned costs as items 2020-101, 2020-104, 2020-108, 2020-110, and 2020-111. Our opinion on each major federal program is not modified with respect to these matters.

### **Report on internal control over compliance**

The State's management is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered the State's internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the State's internal control over compliance.

Our consideration of internal control over compliance was for the limited purpose described in the preceding paragraph and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies, and therefore, material weaknesses or significant deficiencies may exist that have not been identified. However, as discussed below, we did identify certain deficiencies in internal control over compliance that we consider to be material weaknesses and significant deficiencies.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. A material weakness in internal control over compliance is a deficiency, or a combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. We consider the deficiencies in internal control over compliance described in the accompanying schedule of findings and questioned costs as items 2020-102, 2020-103, 2020-105 through 2020-109, and 2020-111 to be material weaknesses.

A significant deficiency in internal control over compliance is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance. We consider the deficiencies in internal control over compliance described in the accompanying schedule of findings and questioned costs as items 2020-101, and 2020-104 to be significant deficiencies.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

## State of Arizona's response to findings

The State's responses to the findings identified in our audit are presented in its corrective action plan at the end of this report. The State is responsible for preparing a corrective action plan to address each finding. The State's responses and corrective action plan were not subjected to the auditing procedures applied in the audit of compliance, and accordingly, we express no opinion on them.

## Report on schedule of expenditures of federal awards required by the Uniform Guidance

We have audited the financial statements of the State's governmental activities, business-type activities, aggregate discretely presented component units, each major fund, and aggregate remaining fund information as of and for the year ended June 30, 2020, and the related notes to the financial statements, which collectively comprise the State's basic financial statements. We issued our report thereon dated August 4, 2021, that contained a qualified opinion on the Unemployment Compensation Fund because we were unable to obtain sufficient appropriate audit evidence about the Fund's other receivables and amounts due to U.S. government financial statement line items. The State was unable to determine how much of federally funded Pandemic Unemployment Assistance monies may have been overpayments to claimants who were ineligible to receive some of their payments or the effect of any adjustments to these line items and whether they were necessary because the State made potential overpayments. Our report also included a reference to our reliance on other auditors. Our audit was conducted for the purpose of forming our opinions on the financial statements that collectively comprise the State's basic financial statements. The accompanying schedule of expenditures of federal awards is presented for purposes of additional analysis as required by the Uniform Guidance and is not a required part of the basic financial statements. Such information is the responsibility of the State's management and was derived from and relates directly to the underlying accounting and other records used to prepare the basic financial statements. The information has been subjected to the auditing procedures applied in the audit of the basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements themselves, and other additional procedures in accordance with U.S. generally accepted auditing standards by us and the other auditors. In our opinion, based on our audit, the procedures performed as described previously, and the report of the other auditors, the schedule of expenditures of federal awards is fairly stated in all material respects in relation to the basic financial statements as a whole.

*Lindsey A. Perry*

Lindsey A. Perry, CPA, CFE  
Auditor General

October 27, 2021



# SCHEDULE OF FINDINGS AND QUESTIONED COSTS

## Summary of auditors' results

### Financial statements

#### Type of auditors' report issued on whether the financial statements audited were prepared in accordance with generally accepted accounting principles

Unmodified except for the Unemployment Compensation Fund, which was qualified.

#### Internal control over financial reporting

Material weaknesses identified? **Yes**

Significant deficiencies identified? **Yes**

Noncompliance material to the financial statements noted? **Yes**

### Federal awards

#### Internal control over major programs

Material weaknesses identified? **Yes**

Significant deficiencies identified? **Yes**

#### Type of auditors' report issued on compliance for major programs

Unmodified for all major programs except for the following, which were qualified:

- Unemployment Insurance (Assistance Listing 17.225)
- Performance Partnership Grants (Assistance Listing 66.605)
- Adoption Assistance (Assistance Listing 93.659)

Any audit findings disclosed that are required to be reported in accordance with 2 CFR §200.516(a)? **Yes**

#### Identification of major programs

Assistance Listing number	Name of federal program or cluster
10.551 / 10.561	SNAP Cluster
10.553 / 10.555 10.556 / 10.559	Child Nutrition Cluster
10.565 / 10.568 / 10.569	Food Distribution Cluster
17.258 / 17.259 / 17.278	WIOA Cluster



17.225	Unemployment Insurance
21.019	Coronavirus Relief Fund
66.605	Performance Partnership Grants
84.007 / 84.033 / 84.038 / 84.063 / 84.268 / 84.379 / 84.408 / 93.264 / 93.342 / 93.364 / 93.408 / 93.925	Student Financial Assistance Cluster
84.367	Supporting Effective Instruction State Grants (formerly Improving Teacher Quality State Grants)
84.424	Student Support and Academic Enrichment Program
84.425	Education Stabilization Fund
93.354	Public Health Emergency Response: Cooperative Agreement for Emergency Response: Public Health Crisis Response
93.566	Refugee and Entrant Assistance State/Replacement Designee Administered Programs
93.575 / 93.596	CCDF Cluster
93.659	Adoption Assistance
93.775 / 93.777 / 93.778	Medicaid Cluster
93.788	Opioid STR
93.959	Block Grants for Prevention and Treatment of Substance Abuse

**Dollar threshold used to distinguish between Type A and Type B programs** **\$39,534,582**

**Auditee qualified as low-risk auditee?** **No**

## Financial statement findings

Financial statement findings were reported in the separately issued report on internal control over financial reporting and on compliance and other matters based on an audit of basic financial statements performed in accordance with Government Auditing Standards.

## Federal award findings and questioned costs

### 2020-101

<b>Assistance listing number and name:</b>	21.019 COVID-19 <b>Coronavirus Relief Fund</b>
<b>Award number and year:</b>	None
<b>Federal agency:</b>	<b>U.S. Department of the Treasury</b>
<b>Compliance requirements:</b>	Activities allowed or unallowed, allowable costs/cost principles, and period of performance
<b>Questioned costs:</b>	None

**Condition**—The Arizona Governor’s Office of Strategic Planning and Budgeting (OSPB) was responsible for administering the State’s Coronavirus Relief Fund (CRF) monies. In fiscal year 2020, of the total \$642.8 million expended or distributed by the State, OSPB had approved the State to expend and distribute \$25,579,909 for unallowable costs—costs that were not incurred in response to the Coronavirus Disease 2019 (COVID-19) public health emergency as defined by the CRF regulations. Specifically, OSPB allowed 10 State agencies to use CRF monies to pay \$19,031,561 in payroll costs and used CRF monies to reimburse at least 7 local governments for \$3,135,456 in payroll costs incurred before March 1, 2020, which was before the time period the costs were allowed to be incurred.<sup>1</sup> In addition, despite being prohibited by federal regulations, OSPB allowed 10 State agencies to use CRF monies to pay indirect costs and annual leave payouts totaling \$3,412,892 incurred through June 30, 2020.

Once we notified OSPB about the local governments’ and the State’s unallowable costs that we identified in our audit samples in February 2021 and April 2021, respectively, OSPB began working with the local governments and State agencies to determine their total unallowable costs and replace them with allowable costs that they incurred, as permitted by federal regulations. Specifically, OSPB worked with the State agencies to replace their total unallowable costs of \$22,444,453 with allowable costs the State incurred. Further, as of October 2021, according to OSPB, the other 7 local governments had replaced their \$3,135,456 in total unallowable payroll costs.

**Effect**—The State is responsible for repaying the federal government for CRF monies it expended for unallowable costs. Therefore, the State would be at risk of having to repay CRF monies to the federal government if it and the local governments were not able to find allowable costs incurred by December 31, 2021, to replace any claimed unallowable costs.<sup>1</sup>

**Cause**—OSPB did not provide enough oversight over the State agencies and local governments to help prevent or detect their spending of CRF monies on unallowable costs. This was partly because once authorized, the U.S. Department of the Treasury (U.S. Treasury) immediately disbursed CRF monies to all states in the U.S., but the federal guidance clarifying allowable costs evolved over time.<sup>2</sup> For example, the U.S. Treasury’s original guidance issued in April 2020 defined “incurred” based on when the costs were paid but later changed the guidance in June 2020 to state that the costs had to be incurred after March 1, 2020. In addition, when the State agencies initially expended CRF monies for payroll costs, OSPB and the State agencies misinterpreted federal guidance to mean that all public health and public safety payroll costs were allowable, including personnel annual leave payouts.

**Criteria**—Federal regulation requires the State and local governments to spend CRF monies for only necessary expenditures they incurred because of the COVID-19 public health emergency during the performance period of March 1, 2020 through December 31, 2021.<sup>1</sup> Federal guidance prohibits the State and local governments from using CRF monies to cover certain administrative costs, such as indirect costs and personnel annual leave costs paid as severance pay. However, this federal guidance permits the State and local governments to replace unallowable costs for allowable expenditures they incurred during the period of performance.<sup>2</sup> Further, federal regulation also requires establishing and maintaining effective internal control over federal awards that provides reasonable assurance that federal programs are being managed in compliance with all applicable laws, regulations, and award terms. (2 CFR §200.303)

**Recommendations**—The Arizona Governor’s OSPB should:

1. Develop and implement policies and procedures to ensure it and the local governments it disburses monies to uses CRF monies for only allowable purposes. Such policies and procedures should require:
  - a. Detailed reviews of local government reimbursement requests before disbursing CRF monies.
  - b. After-the-fact reviews of State agencies’ and local governments’ reimbursement requests for CRF monies already disbursed to detect unallowable costs, including indirect costs, personnel’s annual leave payouts, and other unallowable expenditures that were incurred outside of the period of performance.

The State’s corrective action plan at the end of this report includes the views and planned corrective action of its responsible officials. We are not required to audit and have not audited these responses and planned corrective actions and therefore provide no assurances as to their accuracy.

<sup>1</sup> The Coronavirus Aid, Relief, and Economic Security (CARES) Act established the CRF and defines the performance period as March 1, 2020 through December 31, 2021, meaning this is the time period during which costs resulting from the COVID-19 public health emergency can be incurred for which CRF monies can be spent.

<sup>2</sup> The CARES Act established the CRF and was enacted March 27, 2020. Federal guidance for implementing the CRF was established by the U.S. Treasury in April 2020, revised in June 2020, and further updated by frequently asked questions starting May 4, 2020 through October 19, 2020. All the U.S. Treasury’s CRF guidance was finalized in the Federal Register (FR) on January 15, 2021 (FR Vol. 86, No. 10, Doc. 2021-00827).

## 2020-102

<b>Assistance listing number and name:</b>	17.225 COVID-19 <b>Unemployment Insurance</b>
<b>Award number and year:</b>	None
<b>Federal agency:</b>	<b>U.S. Department of Labor</b>
<b>Compliance requirement:</b>	Eligibility
<b>Questioned costs:</b>	\$15,744

**Condition**—As we previously reported in financial statement findings 2020-01 and 2020-02 in our *Report on Internal Controls and Compliance* (RICC) dated August 4, 2021, the Department of Economic Security (DES) did not comply with 2 areas of eligibility requirements of the Coronavirus Aid, Relief, and Economic Security (CARES) Act unemployment insurance (UI) programs.<sup>1</sup> Those previously reported findings include further details regarding DES’ noncompliance, and the 2 noncompliance areas are summarized below:

- As previously reported in finding 2020-01 in our RICC dated August 4, 2021, DES did not implement the 3 mandated and 4 of the 8 strongly recommended identity theft and anti-fraud measures for CARES Act UI benefits programs before paying federal benefits on May 18, 2020, through its new UI benefits system. Of the \$5.1 billion in total CARES Act UI benefits DES paid through June 30, 2020, DES reported to us it paid over \$1.6 billion, or 31.4 percent, of the benefits to alleged fraudsters who had stolen identities. The

\$1.6 billion included retroactive benefits for as far back as the week beginning January 27, 2020, and included nearly 3.5 million claims totaling over \$379 million of Pandemic Unemployment Assistance (PUA) and over \$1.2 billion of Federal Pandemic Unemployment Compensation (FPUC) CARES Act UI benefits.

- As previously reported in finding 2020-02 in our RICC dated August 4, 2021, between May 8, 2020 and June 30, 2020, as allowed by federal regulations, DES reported that it paid claimants an estimated \$57 million of federally funded PUA benefits above the State's \$117 minimum weekly UI benefit, up to \$240 weekly. However, DES did not determine whether claimants were qualified to receive these additional weekly PUA benefits. Specifically, DES did not determine whether those claimants had submitted wage documentation within 21 days of applying, as required, and immediately reduce the claimants' future weekly benefit payments to the \$117 weekly minimum and determine how much it had overpaid those claimants. In addition, for those claimants who submitted wage documents, DES did not evaluate the wage documents to determine if and how much in benefits it overpaid those claimants above the weekly minimum. As of August 2021, DES reported for those claimants who submitted wage documents, it had not yet completed evaluating the wage documents to determine if and how much in benefits above the weekly minimum it overpaid those claimants between May 8, 2020 and June 30, 2020. We tested a total of 120 claimants and identified the following noncompliance and questioned costs for 7 claimants paid more than the weekly minimum:
  - Five claimants did not submit wage documents, and DES overpaid them a total of \$10,947.
  - Two claimants submitted wage documents, but the documents were either incomplete or did not support the weekly benefit amount paid, and DES overpaid them a total of \$4,797.

**Effect**—As reported in finding 2020-01 in our RICC dated August 4, 2021, although DES expects to recover through the help of law enforcement agencies some of the \$1.6 billion in fraudulent identity theft claims paid, it does not expect to be required to return any unrecovered monies to the federal government. In addition, as described in finding 2020-02 in our RICC dated August 4, 2021, DES was unable to determine how much of the estimated \$57 million of PUA benefits it paid above the \$117 weekly minimum may have been overpayments to claimants, which it would then need to recover from them. Further, DES' required return of these overpaid monies to the federal government is delayed until DES determines the amount of overpayments and collects them from overpaid claimants. In our sample audit work, we identified \$15,744 in known questioned costs as described above.

Because this issue applies only to the CARES Act UI programs, this finding has no effect on the State's regular UI program that the State has jointly administered with the federal government for over 30 years.

**Cause**—As we reported in finding 2020-01 in our RICC dated August 4, 2021, DES reported that the speed with which it needed to process an increased volume of CARES Act UI benefits claims and confusion regarding federal laws, requirements, and guidance contributed to it not putting into place all critical identity verification and anti-fraud measures before it started paying benefits. In addition, DES contracted to use a new UI benefits system to quickly implement the new federal CARES Act UI benefits programs, which took time to get online and ready to process its first UI benefits claims. DES reported that it encountered computer programming issues interfacing with other State systems and federal databases to be able to conduct all the federally mandated and strongly recommended identity verification and other anti-fraud measures. Further, the system did not have an alert to notify it of claimants who were receiving more than the minimum weekly UI benefit amount but who had not submitted wage documentation within 21 days of applying. Finally, DES also reported it did not initially have the staff needed to process the volume of CARES Act UI benefits claims.

**Criteria**—On April 5, 2020, the U.S. Department of Labor (U.S. DOL) issued PUA implementation instructions reminding states that they were required to take reasonable and customary precautions to deter and detect fraud, and on May 11, 2020, the U.S. DOL issued guidance specifying 3 mandated and 8 strongly recommended identity theft and anti-fraud measures for CARES Act UI benefits.<sup>2,3</sup>

Also, federal regulations prescribe the PUA program requirements that apply to claimants and that DES must follow.<sup>4</sup> Specifically, federal regulation states that claimants who are eligible to participate in the PUA program are entitled to receive the State's minimum weekly UI benefit—\$117 in Arizona—and claimants may receive an increased PUA weekly benefit amount up to a maximum—\$240 in Arizona—if the claimant submits wage documentation within 21 days of applying.<sup>5,6</sup> Federal regulations require states to determine and immediately pay a weekly benefit amount based on the claimants' self-certification of eligibility and wages contained in the claimants' application. Claimants who self-certify for more than the minimum weekly benefit amount are required to submit wage documentation within 21 days of applying for the additional weekly PUA benefit, and states are then required to immediately determine the accuracy of each claimant's weekly benefit amount based on the claimant's submitted wage documentation.<sup>5,6</sup> For claimants who did not submit the required wage documentation within 21 days of applying, federal regulation requires states to immediately reduce the claimants' future benefit payments to the minimum weekly benefit amount and consider PUA payments exceeding the minimum weekly benefit as overpayments.<sup>6</sup> In addition, federal regulation requires states to take all reasonable measures under state and federal laws to recover overpayments to claimants, regardless of whether the overpayment resulted from error or fraud on the claimant's part.<sup>7</sup>

Finally, federal regulation requires establishing and maintaining effective internal control over federal awards that provides reasonable assurance that federal programs are being managed in compliance with all applicable laws, regulations, and award terms.<sup>8</sup>

**Recommendations**—As we previously reported in financial statement findings 2020-01 and 2020-02 in our *Report on Internal Controls and Compliance*, dated August 4, 2021<sup>1</sup>, DES should:

1. Continue to evaluate the CARES Act UI benefits it has paid to identify any additional fraudulent claims payments, using all necessary critical identity verification and other anti-fraud measures.
2. Continue its efforts working with law enforcement agencies to recover improper payments to the extent practicable for fraudulent claims it paid due to identity theft.
3. Repay any recovered improper payments to the federal government.
4. Develop and implement a plan to ensure that for any future new UI benefits programs or regular UI benefits program changes, it puts critical identity verification and other anti-fraud measures in place prior to paying any UI benefits claims.
5. Perform wage verifications for all claimants who received an increased PUA weekly benefit payment, which DES estimated totaled \$57 million, to determine the weekly benefit amount they qualify for and identify and recover any overpayments. This would include the 7 claimants from our test work who we identified received a total of \$15,744 in overpayments.
6. Repay to the federal government any PUA program overpayments received from claimants.

The State's corrective action plan at the end of this report includes the views and planned corrective action of its responsible officials. We are not required to audit and have not audited these responses and planned corrective actions and therefore provide no assurances as to their accuracy.

<sup>1</sup> Arizona Auditor General. (2020). *Report on Internal Control and Compliance, June 30, 2020*. Phoenix, AZ. [https://www.azauditor.gov/sites/default/files/StateOfArizonaJune30\\_2020ReportOnInternalControlAndOnCompliance.pdf](https://www.azauditor.gov/sites/default/files/StateOfArizonaJune30_2020ReportOnInternalControlAndOnCompliance.pdf)

<sup>2</sup> U.S. Department of Labor, Office of the Inspector General (April 5, 2020). *Unemployment Insurance Program Letter No. 16-20*. [https://wdr.doleta.gov/directives/attach/UIPL/UIPL\\_16-20.pdf](https://wdr.doleta.gov/directives/attach/UIPL/UIPL_16-20.pdf)

<sup>3</sup> U.S. Department of Labor, Office of the Inspector General (May 11, 2020). *Unemployment Insurance Program Letter No. 23-20*. [https://wdr.doleta.gov/directives/attach/UIPL/UIPL\\_23-20.pdf](https://wdr.doleta.gov/directives/attach/UIPL/UIPL_23-20.pdf)

<sup>4</sup> On March 27, 2020, the CARES Act, Section 2102(a)(3)(A), provided the criteria for which an individual self-certifies eligibility for PUA under the Presidentially declared public health emergency resulting from the COVID-19 pandemic. The self-certification required claimants to self-declare that they were eligible for the PUA program and were able to work and available for work but unable to do so because of at least 1 specific, qualifying COVID-19-related reason. In addition, the CARES Act, §2102(h), applied the Disaster Unemployment Assistance program's administrative requirements to PUA since PUA was similar to unemployment compensation provided under Presidentially declared disasters.

<sup>5</sup> 20 Code of Federal Regulations §625.6(e).

<sup>6</sup> U.S. Department of Labor, Office of the Inspector General (April 27, 2020). *Unemployment Insurance Program Letter No. 16-20, Change 1, Attachment I, Question 20*. [https://wdr.doleta.gov/directives/attach/UIPL/UIPL\\_16-20\\_Change\\_1.pdf](https://wdr.doleta.gov/directives/attach/UIPL/UIPL_16-20_Change_1.pdf)

<sup>7</sup> 20 Code of Federal Regulations §625.14[a].

<sup>8</sup> U.S. Government Accountability Office. (2014). *Standards for internal control in the federal government*. Washington, DC. Retrieved 8/4/21 from <https://www.gao.gov/assets/670/665712.pdf>.

## 2020-103

<b>Assistance listing number and name:</b>	17.225 COVID-19 <b>Unemployment Insurance</b>
<b>Award number and year:</b>	None
<b>Federal agency:</b>	<b>U.S. Department of Labor</b>
<b>Compliance requirement:</b>	Cash management
<b>Questioned costs:</b>	Not applicable

**Condition**—Contrary to its agreed-upon federal funding technique, during fiscal year 2020, the Department of Economic Security (DES) requested and drew earlier than allowed \$194,122,601 in net total reimbursements from the federal grantor, the U.S. Department of Labor (U.S. DOL), for Pandemic Unemployment Assistance (PUA) and the Federal Pandemic Unemployment Compensation (FPUC) benefits payments. Specifically, between May 2020 through June 2020, DES reported it made 33 draws of federal monies. In 26 of those draws, DES drew federal monies ranging from \$4.8 million to \$249.8 million more than its daily needs to pay PUA and FPUC claims, and in 7 of those draws it did not draw enough federal monies to meet its daily needs to pay PUA and FPUC claims.

**Effect**—DES' receipt of a net overdraw of \$194,122,601 in federal monies in advance of needing to pay benefit claims from May 2020 through June 30, 2020, could have caused the U.S. DOL to make inaccurate overall determinations regarding the monies needed for the nationwide unemployment insurance (UI) programs it manages. Further, DES will need to eliminate the cash overdraw when it makes upcoming benefit payments to claimants. It was not practical to extend our auditing procedures to determine whether any cash balance was remaining as of October 27, 2021, the date of the Single Audit Report. Because DES held the overdrawn monies in a noninterest-bearing account, federal regulations do not require DES to pay any interest.



**Cause**—As described in finding 2020-03 in our *Report on Internal Controls and Compliance*, DES began using a contractor’s UI benefits system to manage the new federal Coronavirus Aid, Relief, and Economic Security (CARES) Act UI programs and relied on its contractor’s system-generated reports for financial information.<sup>1</sup> DES used these reports to determine the daily draws of federal monies needed to pay claimants’ PUA and FPUC benefits payments without verifying that the system reports included accurate summarized system data and amounts that reconciled to information such as canceled and returned claimant payments reported by its servicing bank. DES also did not accurately reconcile its cash balances to its servicing bank. During our audit, we discovered that the contractor’s system had a programming error that caused it to compile inaccurate information for canceled benefits payments returned to DES’ servicing bank. DES was not aware of the system’s programming errors and the inaccurate reports until we discovered the problem in January 2021, approximately 10 months after it had begun using the contractor’s system. The contractor corrected the programming error in February 2021.

**Criteria**—Federal regulation requires that DES adhere to a funding technique to draw federal monies, and DES’ U.S. Treasury-State Agreement (TSA) requires it to request federal monies for the same day it pays benefits (31 CFR §§205.11 and 205.12(b) and TSA 6.2.1 and 6.3.2). In addition, federal regulation requires establishing and maintaining effective internal control over federal awards that provides reasonable assurance that federal programs are being managed in compliance with all applicable laws, regulations, and award terms (2 CFR §200.303).

**Recommendations**—DES should:

1. Adhere to its agreed-upon TSA funding technique to draw only those federal monies it needs for the same day it pays benefits.
2. Establish policies and procedures to ensure its contractor’s system or any future systems used to process PUA and FPUC or other UI claims produces reports that are complete and accurate and include procedures that detail how to utilize system report information to determine amounts needed for daily federal draws. Procedures over the system reports should include DES employees ensuring daily the accuracy of system data and generated reports, verifying the summarized system report amounts against detailed system data, and determining the accuracy of detailed system data by reconciling it to external sources, such as its servicing bank.
3. Investigate and fully resolve discrepancies when reconciling cash balances in its records to its servicing bank records.

The State’s corrective action plan at the end of this report includes the views and planned corrective action of its responsible officials. We are not required to audit and have not audited these responses and planned corrective actions and therefore provide no assurances as to their accuracy.

<sup>1</sup> Arizona Auditor General. (2020). *Report on Internal Control and Compliance, June 30, 2020*. Phoenix, AZ. [https://www.azauditor.gov/sites/default/files/StateOfArizonaJune30\\_2020ReportOnInternalControlAndOnCompliance.pdf](https://www.azauditor.gov/sites/default/files/StateOfArizonaJune30_2020ReportOnInternalControlAndOnCompliance.pdf).

## 2020-104

<b>Assistance listing number and name:</b>	17.225 COVID-19 <b>Unemployment Insurance</b>
<b>Award number and year:</b>	None
<b>Federal agency:</b>	<b>U.S. Department of Labor</b>
<b>Compliance requirement:</b>	Reporting
<b>Questioned costs:</b>	Not applicable

**Condition**—The Department of Economic Security (DES) reported incorrect financial information on its monthly Financial Transaction Summary report (ETA 2112 report) for June 2020—the month we tested—that it submitted to the federal grantor, the U.S. Department of Labor (U.S. DOL). Specifically, DES overstated its benefit account total disbursements line item by \$97,892,332 and understated the Federal Pandemic Unemployment Compensation line item by \$2,356,152.

**Effect**—DES' submission of incorrect financial information related to unemployment insurance (UI) programs totaling over \$100 million to the U.S. DOL could cause the U.S. DOL to make inaccurate overall determinations about the nationwide UI programs it manages. This finding did not result in questioned costs because the ETA 2112 report is not used to request reimbursement of federal expenditures.

**Cause**—As described in finding 2020-03 in our *Report on Internal Controls and Compliance*, DES began using a contractor's UI benefits system to manage the new federal Coronavirus Aid, Relief, and Economic Security (CARES) Act UI programs and relied on its contractor's system-generated reports for financial information.<sup>1</sup> DES used these reports to determine the amounts it reported on its ETA 2112 reports without verifying those reports included accurate summarized system data and amounts that reconciled to external sources, such as canceled and returned claimant payments reported by DES' servicing bank. During our audit, we discovered that the contractor's system had a programming error that caused it to compile inaccurate information for canceled benefits payments returned to DES' servicing bank. DES was not aware of the system's programming errors and the inaccurate reports until we discovered the problem in January 2021, approximately 10 months after it had begun using the contractor's UI benefits system. The contractor corrected the programming error in February 2021, and DES then submitted a corrected June 2020 ETA 2112 report to the U.S. DOL.

**Criteria**—Federal regulation requires accurate, current, and complete disclosure of the financial results of each federal program in accordance with reporting requirements (2 CFR, §200.302 [b][2]). In addition, federal regulation requires establishing and maintaining effective internal control over federal awards that provides reasonable assurance that federal programs are being managed in compliance with all applicable laws, regulations, and award terms (2 CFR §200.303).

**Recommendations**—DES should:

1. Establish policies and procedures to ensure its contractor's system or any future systems used to process PUA and FPUC or other UI claims produces reports that are complete and accurate and include procedures that detail how to utilize system report information to determine amounts needed for ETA 2112 reports. Procedures over the system reports should include DES employees ensuring daily the accuracy of system data and generated reports, verifying the summarized system report amounts against detailed system data, and determining the accuracy of detailed system data by reconciling it to external sources, such as its servicing bank.
2. Correct any other monthly ETA 2112 reports containing errors and submit the corrected reports to the federal grantor.



The State's corrective action plan at the end of this report includes the views and planned corrective action of its responsible officials. We are not required to audit and have not audited these responses and planned corrective actions and therefore provide no assurances as to their accuracy.

<sup>1</sup> Arizona Auditor General. (2020). *Report on Internal Control and Compliance, June 30, 2020*. Phoenix, AZ. [https://www.azauditor.gov/sites/default/files/StateOfArizonaJune30\\_2020ReportOnInternalControlAndOnCompliance.pdf](https://www.azauditor.gov/sites/default/files/StateOfArizonaJune30_2020ReportOnInternalControlAndOnCompliance.pdf).

## 2020-105

<b>Assistance listing number and name:</b>	17.225 COVID-19 <b>Unemployment Insurance</b>
<b>Award number and year:</b>	None
<b>Federal agency:</b>	<b>U.S. Department of Labor</b>
<b>Compliance requirement:</b>	Special tests and provisions—Program Integrity
<b>Questioned costs:</b>	Not applicable

**Condition**—Contrary to federal requirements, the Department of Economic Security (DES) had not begun a program integrity process for the Coronavirus Aid, Relief, and Economic Security (CARES) Act unemployment insurance (UI) programs for billing claimants and recovering the estimated \$80 million in overpayments through various means, such as establishing claimant payment plans and recovering overpayments through offsets against claimants' subsequent UI payments, State income tax refunds, or State lottery winnings. Specifically, as of June 30, 2020, DES identified and estimated it overpaid non-ID theft claimants who were ineligible to participate in the CARES Act UI programs a total of \$23 million. In addition, as described in federal finding 2020-102, DES estimated it may have overpaid eligible CARES Act UI claimants up to \$57 million more than they were qualified to receive.

**Effect**—DES not taking action to bill or try to collect monies from overpaid claimants could be a burden to these claimants and cause difficulties and inefficiencies when DES begins actively seeking recovery of overpayments and crediting or returning the recovered overpayments to the federal government.

**Cause**—As described in finding 2020-01 in our *Report on Internal Controls and Compliance*, DES began using a contractor's UI benefits system to manage the new federal CARES Act UI programs.<sup>1</sup> DES reported it encountered computer programming issues between its new UI benefits system and its accounts receivable system that prevented it from recovering overpayments for its PUA program participants. In addition, DES did not complete its wage verification process to determine all overpayments made to CARES Act UI program claimants, as described in federal finding 2020-102.

**Criteria**—Federal regulation requires DES to take all reasonable measures under State and federal laws to recover overpayments, regardless of whether they resulted from error or fraud on the claimant's part (20 CFR §625.14[a]). In addition, federal regulation requires establishing and maintaining effective internal control over federal awards that provides reasonable assurance that federal programs are being managed in compliance with all applicable laws, regulations, and award terms (2 CFR §200.303).

**Recommendations**—DES should:

1. Determine all overpayments made to PUA program claimants, including FPUC program payments.
2. Resolve the computer programming issues between its new UI benefits system and accounts receivable system and bill claimants for overpayments.
3. Repay recovered overpayments to the federal government.

The State's corrective action plan at the end of this report includes the views and planned corrective action of its responsible officials. We are not required to audit and have not audited these responses and planned corrective actions and therefore provide no assurances as to their accuracy.

<sup>1</sup> Arizona Auditor General. (2020). *Report on Internal Control and Compliance, June 30, 2020*. Phoenix, AZ. [https://www.azauditor.gov/sites/default/files/StateOfArizonaJune30\\_2020ReportOnInternalControlAndOnCompliance.pdf](https://www.azauditor.gov/sites/default/files/StateOfArizonaJune30_2020ReportOnInternalControlAndOnCompliance.pdf)

## 2020-106

<b>Assistance listing numbers and names:</b>	17.225 <b>Unemployment Insurance</b>
<b>Award numbers and years:</b>	UI-27963-16-55-A-4, 2016; TA-30476-17-55-A-4 and UI-29828-17-55-A-4, 2017; UI-31329-18-55-A-4 and UI-31603-18-60-A-4, 2018; UI-32586-19-55-A-4, UI-32690-19-55-A-4, and UI-32826-19-60-A-4, 2019; and UI-34045-20-55-A-4, UI-34151-20-55-A-4, and UI-34483-20-60-A-4, 2020
<b>Federal agency:</b>	<b>U.S. Department of Labor</b>
<b>Compliance requirement:</b>	Special tests and provisions—UI Benefits Payments
<b>Questioned costs:</b>	Not applicable

**Condition**—Contrary to the Department of Economic Security, Division of Employment and Rehabilitation Services (Division), Benefit Accuracy Measurement (BAM) unit's policies and procedures and federal quality control requirements, for 25 unemployment insurance (UI) case investigations and related reports we tested, 3 were incomplete. Specifically, 2 reports were not reviewed, signed, and completed, and 1 had no documentation that the UI case investigation was performed.

**Effect**—By not performing or completing the required UI case investigations and reports, the Division's BAM unit is at an elevated risk of not detecting and reporting accurate error rates and the types and causes of benefit payment errors to the Division and the U.S. Department of Labor (U.S. DOL). Because of this, the Division may not develop and implement plans for corrective actions to improve its benefit accuracy rates, as required by the U.S. DOL.

**Cause**—According to the Division's BAM unit, it lost approximately 50 percent of its experienced team members between August and November 2019. It reallocated staff to fill those positions and began replacing staff in December 2019. The Division's BAM unit did not ensure reallocated and new personnel were properly trained to complete UI case investigations or ensure supervisors reviewed UI case investigations to identify errors.

**Criteria**—Federal regulation requires governments administering UI programs to operate a quality control program to assess the accuracy of the benefits awarded that includes investigating a representative sample of UI cases for eligibility determinations of awarded and denied claims and the accuracy of benefit amounts paid. (20 CFR §602.21) The quality control program should be designed to identify errors in claims processes and revenue collections, analyze causes of errors, and support the development of corrective action. (20 CFR §602.1) In addition, the Division's BAM unit's policies and procedures provide guidance to ensure its staff comply with these federal regulations. Further, federal regulation requires establishing and maintaining effective internal control over federal awards that provides reasonable assurance that federal programs are being managed in compliance with all applicable laws, regulations, and award terms. (2 CFR §200.303)

**Recommendations**—The Division’s BAM unit should:

1. Ensure all UI case investigations are performed and related reports are complete, signed by the investigator, and retained.
2. Train personnel to complete UI case investigations in accordance with policies and procedures and have a supervisor review UI case investigations to identify any errors.

The State’s corrective action plan at the end of this report includes the views and planned corrective action of its responsible officials. We are not required to audit and have not audited these responses and planned corrective actions and therefore provide no assurances as to their accuracy.

**2020-107**

**Assistance listing number and name:** 66.605 **Performance Partnership Grants**  
**Award number and year:** 99T73519, July 1, 2018 through June 30, 2020  
**Federal agency:** **U.S. Environmental Protection Agency**  
**Compliance requirement:** Allowable costs/cost principles  
**Questioned costs:** Unknown

**Condition**—Contrary to federal regulation, the Department of Environmental Quality (DEQ) did not perform the required after-the-fact reviews of payroll costs that it allocated and charged to the Performance Partnership Grants program (program) based on preliminary cost estimates of employees’ time expected to be spent on the program activities. After-the-fact reviews ensure that the payroll costs reflected or were adjusted to reflect employees’ actual work activities directly related to the specific federal programs. Our review of all DEQ employees’ program payroll costs charged to the program found that DEQ allocated payroll costs totaling \$4,899,075 to the program for the year using budgeted estimates.

**Effect**—Absent after-the-fact reviews to determine that its payroll costs reflect or are adjusted to reflect its employees’ work activities related to the program, DEQ risks that at least some of the estimated payroll costs charged to the program, which totaled \$4,899,075, or 51.6 percent of total program expenditures, may be unallowable. Once DEQ performs an after-the-fact analysis of the program’s payroll costs, it may be responsible for reimbursing the U.S. Environmental Protection Agency (U.S. EPA) that funded the award for any unallowable payroll costs. We could not determine if any of the payroll costs should be questioned without records to support an after-the-fact analysis. This deficiency has the potential to affect other federal programs DEQ administers that similarly record cost estimates of employees’ time expected to be spent on the program activities but for which they do not conduct after-the-fact reviews.

**Cause**—DEQ did not perform required after-the-fact reviews to ensure the estimated payroll costs it allocated to the program were accurate, allowable, and properly allocated because it did not have the information needed to conduct such reviews. Specifically, DEQ allocated payroll costs to the program based on predetermined percentages of time employees were expected to work on the program activities and did not have a process to determine and document the actual percentage of time employees worked on those activities so it could then reconcile these numbers. DEQ periodically adjusted the predetermined percentages but did not have supporting documentation explaining how it determined those new percentages were based on actual time employees spent on program activities. Further, without that same information needed to conduct after-the-fact reviews, we were unable to determine the amount of questioned costs, if any, that may result from this finding.

**Criteria**—Federal regulation allows DEQ to use budgeted estimates to allocate payroll costs to federal programs for interim accounting purposes, provided it performs an after-the-fact review of those estimated costs to ensure that they reflected or were adjusted to reflect employees' actual work activities directly related to federal programs (2 Code of Federal Regulations [CFR] §200.430[i]). Further, federal regulation requires establishing and maintaining effective internal control over federal awards that provides reasonable assurance that federal programs are being managed in compliance with all applicable laws, regulations, and award terms (2 CFR §200.303).

**Recommendations**—DEQ should develop written policies and conduct procedures to:

1. Ensure that the actual time employees spend working on federal program activities is tracked and documented.
2. Perform and document after-the-fact reviews of estimated payroll costs it allocates to federal programs to ensure those payroll costs reflect or are adjusted to reflect actual time spent on program activities that is accurate, allowable, and properly allocated. The after-the-fact reviews should be completed no later than the end of the award period when reporting final amounts to the U.S. EPA.

The State's corrective action plan at the end of this report includes the views and planned corrective action of its responsible officials. We are not required to audit and have not audited these responses and planned corrective actions and therefore provide no assurances as to their accuracy.

## 2020-108

<b>Assistance listing number and name:</b>	66.605 <b>Performance Partnership Grants</b>
<b>Award number and year:</b>	99T73519, July 1, 2018 through June 30, 2020
<b>Federal agency:</b>	<b>U.S. Environmental Protection Agency</b>
<b>Compliance requirement:</b>	Subrecipient monitoring
<b>Questioned costs:</b>	None

**Condition**—Contrary to State policies and federal regulation, the Department of Environmental Quality (DEQ) established contract agreements with 2 counties without correctly determining those counties should be subrecipients rather than contractors for the Performance Partnership Grants program (program). Therefore, DEQ did not inform them they were subrecipients and include all the federal program information that federal regulations require for a subrecipient agreement and necessary for the subrecipient counties to administer and report the program in their schedules of expenditures of federal awards in accordance with federal requirements. Further, for 1 other county, although DEQ had previously determined it was a subrecipient in accordance with the federal requirements, it did not include the necessary subrecipient information when it renewed that county's agreement. Specifically, DEQ omitted current program information, such as the program's federal assistance listing number, title, and applicable federal compliance requirements from all 3 county contract agreements. DEQ did, however, monitor the 3 counties' program activities for the year as required, since they were responsible for certain compliance requirements, and did not identify any noncompliance. The 3 counties' expenditures comprised \$545,450, or 5.5 percent, of the \$9.8 million in total program expenditures for the fiscal year.

**Effect**—Because DEQ did not correctly determine the 2 counties were subrecipients and inform them and include necessary subrecipient program information in their contract agreements, those counties did not know they were required to and did not report the program's expenditures on their schedules of expenditures of federal awards as federal regulations require. Further, although the other county reported its actual federal program expenditures on its schedule, because DEQ did not include the necessary information in that

county's contract agreement, the county did not identify the correct federal program assistance listing number and program name. Moreover, because DEQ did not include subrecipient program information in their contract agreements, the 3 counties were at increased risk of noncompliance with federal program requirements. However, because DEQ monitored the 3 counties' program activities as required and did not find any unallowable costs made by those counties, there are no questioned costs to report.

**Cause**—DEQ employees who managed the program were not trained on and did not fully understand the federal subrecipient requirements to accurately determine that the 2 counties were subrecipients rather than contractors. Also, for the 1 other county that DEQ had previously identified as a subrecipient, DEQ employees did not realize that the federal government made changes to the program assistance listing number and name that needed to be updated when renewing the county's contract agreement.

**Criteria**—Federal regulations and State policies require DEQ to make a case-by-case determination for each federal contract term and agreement whether the contracted entity is a subrecipient or contractor and then evaluate subrecipient activities and expenditures to ensure they are complying with the applicable federal regulations. Further, DEQ is required to provide all subrecipients and contractors that have federal compliance requirement responsibilities with the federal program information, such as the program's federal assistance listing number, title, and applicable compliance requirements imposed on them (2 CFR §§200.331 and 200.332 and *State of Arizona Accounting Manual*, Topic 70: Grants, Section 10: Subrecipient and Contractor Determinations). In addition, federal regulation requires establishing and maintaining effective internal control over federal awards that provides reasonable assurance that federal programs are being managed in compliance with all applicable laws, regulations, and award terms (2 CFR §200.303).

**Recommendations**—DEQ should train its employees administering the program to follow federal regulations and State policies requiring it to:

1. Make a case-by-case determination for each established contract term and agreement whether the contracted entity is a subrecipient and should be monitored.
2. Include all federal program information, such as the program's federal assistance listing number, title, award date and period of performance, and applicable compliance requirements, in all contract agreements for any subrecipients and contractors having compliance requirement responsibilities. Any subsequent changes in the contract agreement information should be communicated and reflected in an amendment to the agreement.

The State's corrective action plan at the end of this report includes the views and planned corrective action of its responsible officials. We are not required to audit and have not audited these responses and planned corrective actions and therefore provide no assurances as to their accuracy.

## 2020-109

<b>Assistance listing number and name:</b>	93.659 <b>Adoption Assistance and COVID-19 Adoption Assistance</b>
<b>Award numbers and years:</b>	1901AZADPT, 2019; 2001AZADPT, 2020
<b>Federal agency:</b>	<b>U.S. Department of Health and Human Services</b>
<b>Compliance requirement:</b>	Cash management
<b>Questioned costs:</b>	None

**Condition**—The Department of Child Safety (DCS) requested \$102,196,036 in total reimbursements from the federal grantor earlier than the federal regulation allowed as outlined in the State's agreement with the U.S. Department of Treasury. Specifically, we reviewed DCS' reimbursements from October 1, 2019 through

June 30, 2020, and found that DCS submitted 8 of 11 requests for \$99,438,795 in total federal monies to pay vendors and service providers 2 days early and 52 of 69 requests for \$2,757,241 in total payroll and other operating costs 1 to 13 days early for the federal Adoption Assistance program.

**Effect**—The Arizona Department of Administration (ADOA) determined that DCS earned \$9,529 of interest on the idle program monies that it requested earlier than federal regulation allowed and before it was ready to pay employees, vendors, and contractors. After ADOA determined the interest earned and notified DCS of this issue, DCS remitted the interest-earned amount to the federal government as required.

**Cause**—DCS' policies and procedures for requesting federal reimbursement were not designed to ensure it requested reimbursement on the required designated day, and therefore, DCS staff responsible to submit reimbursement requests did not realize they had sent them earlier than the required date. DCS was waiting to update its policies and procedures until its new financial system was installed and functioning as designed in fiscal year 2021. As such, DCS was in the process of revising them to correct for this oversight on June 30, 2020, as part of its preparation for implementing the new financial system.

**Criteria**—Federal regulation requires DCS to request federal monies for the program in accordance with the timing of reimbursement requests as outlined in the State's agreement (31 CFR §205, Subpart A).<sup>1</sup> Additionally, federal regulation requires establishing and maintaining effective internal controls over federal awards that provides reasonable assurance that federal programs are being managed in compliance with laws, regulations, and award terms (45 CFR §75.303).

**Recommendations**—DCS should:

- Develop and implement policies and procedures for requesting program monies that comply with the timing of reimbursement requests as outlined in the State's agreement.
- Ensure responsible staff are trained to follow the newly developed policies and procedures.

The State's corrective action plan at the end of this report includes the views and planned corrective action of its responsible officials. We are not required to audit and have not audited these responses and planned corrective actions and therefore provide no assurances as to their accuracy.

This finding is similar to prior year finding 2019-104.

<sup>1</sup> The State's agreement outlines the federal regulation and mandates that for payments to vendors and service providers, DCS should request monies 2 days after it makes payments. Further, the agreement mandates that for payment of payroll and other operating costs, DCS should request monies only on the Wednesday before it pays its employees. Requested reimbursements for payroll and other operating costs should be an estimated amount based on DCS' approved cost allocation plan, including any adjustments to true-up previous requests for the differences between the estimated and actual allocated expenditures.



## 2020-110

<b>Assistance listing numbers and names:</b>	Various
<b>Award numbers and years:</b>	Various
<b>Federal agencies:</b>	Various
<b>Compliance requirements:</b>	Activities allowed or unallowed and allowable costs/cost principles
<b>Questioned costs:</b>	Unknown

**Condition**—The Arizona Department of Administration (ADOA) reported to us that during fiscal year 2020, the State may have used an estimated \$1.2 million of restricted federal program monies, including interest, for unallowable purposes, contrary to federal regulations.

**Effect**—ADOA will be required to repay the U.S. Department of Health and Human Services (U.S. HHS) the total amount of restricted federal program monies the State spent for unallowable purposes once U.S. HHS finalizes its review of ADOA's estimate and either approves or adjusts it. This finding could potentially affect any federal programs the State administers through its various agencies that have State legislatively mandated transfers that include restricted federal program monies.

**Cause**—Despite ADOA having informed us that the State may have used restricted federal program monies for unallowable purposes, and our having included this finding in the State Single Audit report for at least the past 10 years, during the 2019 legislative session, laws were enacted that mandated or directed transfers of monies from specific State agency account balances that included restricted federal program monies. These laws directed the transferred monies to be used for general operating expenses or other specific purposes, such as child safety litigation services and information technology systems projects. For example, Laws 2019, Ch. 263, §80, transferred unused monies from the State's Risk Management Revolving Fund, which included a proportional share of monies from restricted federal program sources to the Department of Public Safety (DPS) for general operating expenses. When the State transferred and DPS spent the monies, which included the restricted federal program monies to pay for the legislatively mandated uses, it did not have a basis to show the relative benefits for each specific federal program's objectives.

**Criteria**—Federal regulation requires the State to use federal program monies for only those costs allowed by federal regulations and that provide a benefit directly or indirectly to the program's purposes (2 CFR §200.405[a]). In addition, federal regulation prohibits the State from using federal monies to cover the general costs of government, such as police services, litigation services, and information technology, or the costs of prosecutorial activities having no direct benefit to a federal program (2 CFR §§200.444[a][4-5]).

**Recommendations**—ADOA should:

1. Continue to work with U.S. HHS for remittance of any disallowed costs identified.
2. Continue to inform the Legislature, the Arizona Governor's Office of Strategic Planning and Budgeting, and other State agencies of the State agency funds that include restricted federal program monies in their fund balance.
3. Continue to monitor legislative bills being considered during legislative sessions and recommend bill revisions to help prevent transferring restricted federal program monies.

This finding is similar to prior year finding 2019-101.

The State's corrective action plan at the end of this report includes the views and planned corrective action of its responsible officials. We are not required to audit and have not audited these responses and planned corrective actions and therefore provide no assurances as to their accuracy.

## 2020-111

**Assistance listing number and name:** Not applicable  
**Questioned costs:** Not applicable

**Condition**—Contrary to federal regulations and guidance, the Arizona Department of Administration (ADOA) submitted the State’s June 30, 2020, Single Audit Report to the federal audit clearinghouse on October 29, 2021, which was 29 days later than allowed by the COVID-19-related single audit extension of September 30, 2021.

**Effect**—The State’s late Single Audit Report submission may have prevented the U.S. Department of Health and Human Services, which is the State’s federal cognizant agency, as well as the U.S. Department of Education, which oversees the State’s 3 universities’ student financial aid programs, and other federal agencies that oversee the State’s federal programs from having timely information to effectively monitor federal programs and impose corrective actions for any findings we report. Further, the State, including its 3 universities, could potentially face actions taken by federal agencies that may affect the State’s and universities’ future federal awards, such as additional cash monitoring, other compliance monitoring, and funding restrictions or penalties. Finally, significant changes to the State’s required schedule of expenditures of federal awards (SEFA) (see cause section) resulted in us having conducted federal program test work that ultimately was not required by federal standards.

**Cause**—The State’s single audit report was late because State agencies experienced personnel and resource challenges throughout the year responding to the COVID-19 pandemic and administering the COVID-19 federal program monies and navigating their new requirements. These challenges caused State agencies to be late in finalizing program expenditures for ADOA to include on the SEFA, also delaying ADOA’s completion of the State’s financial statements. For example, the Department of Economic Security experienced delays in completing necessary SEFA and financial statement information because of problems in administering COVID-19 federal unemployment insurance program monies as described in this report (see findings 2020-102 through 2020-103) and in our *Report on Internal Control and on Compliance* (see findings 2020-01 and 2020-02).<sup>1</sup> Further, as described in this report’s finding 2020-101, the Arizona Governor’s Office of Strategic Planning and Budgeting had deficiencies in administering the State’s Coronavirus Relief Fund program monies that caused it to have to follow up with State agencies and local governments to determine unallowable costs. Lastly, ADOA’s and other State agencies’ delays in finalizing program expenditures caused ADOA to have to subsequently make at least 4 significant SEFA revisions, which is atypical.

**Criteria**—Federal regulations normally require the State to submit its Single Audit Report to the federal audit clearinghouse no later than 9 months after fiscal year-end (2 CFR §200.512). However, due to the COVID-19 pandemic, the U.S. Office of Management and Budget (OMB) extended this deadline by allowing an additional 6 months—until September 30, 2021—for the State to file its June 30, 2020, Single Audit Report.<sup>2</sup>

**Recommendations**—ADOA should:

1. Submit all future Single Audit Reports on or before the federally required submission deadline, which is normally no later than 9 months after fiscal year-end, or by March 31 of the subsequent year. However, as allowed by OMB for the June 30, 2021, report, the deadline was extended to and is due no later than September 30, 2022.



2. Allocate personnel and resources, as appropriate, to ensure significant State agencies complete and timely submit the necessary accurate and final financial information for audit to meet the State's and universities' single audit submission requirements.

The State's corrective action plan at the end of this report includes the views and planned corrective action of its responsible officials. We are not required to audit and have not audited these responses and planned corrective actions and therefore provide no assurances as to their accuracy.

<sup>1</sup> Arizona Auditor General. (2020). *Report on Internal Control and Compliance, June 30, 2020*. Phoenix, AZ. [https://www.azauditor.gov/sites/default/files/StateOfArizonaJune30\\_2020ReportOnInternalControlAndOnCompliance.pdf](https://www.azauditor.gov/sites/default/files/StateOfArizonaJune30_2020ReportOnInternalControlAndOnCompliance.pdf)

<sup>2</sup> Executive Office of the President, OMB. (March 19, 2021). OMB Memorandum M-21-20, *Promoting Public Trust in the Federal Government through Effective Implementation of the American Rescue Plan Act and Stewardship of the Taxpayer Resources. Grants Policies & Regulations*. U.S. Department of Health and Human Services. Retrieved on October 4, 2021. <https://www.hhs.gov/grants/grants/grants-policies-regulations/index.html>

# STATE SECTION

State of Arizona  
Schedule of expenditures of federal awards  
Year ended June 30, 2020

Assistance Listing/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
<b>DEPARTMENT OF AGRICULTURE</b>						
<b>SNAP Cluster</b>						
10.551	COVID-19 - Supplemental Nutrition Assistance Program			DEA	\$ 125,650,606	
10.551	Supplemental Nutrition Assistance Program			DEA	1,260,143,344	
	10.551 Subtotal				<u>1,385,793,950</u>	
10.561	State Administrative Matching Grants for the Supplemental Nutrition Assistance Program			DEA	65,852,345	\$ 4,289,944
10.561	State Administrative Matching Grants for the Supplemental Nutrition Assistance Program			HSA	7,074,615	3,881,560
10.561	State Administrative Matching Grants for the Supplemental Nutrition Assistance Program			UAA	5,234,541	113,139
	10.561 Subtotal				<u>78,161,501</u>	<u>8,284,643</u>
	SNAP Cluster Subtotal				<u>1,463,955,451</u>	<u>8,284,643</u>
<b>Child Nutrition Cluster</b>						
10.553	COVID-19 - School Breakfast Program			DCA	4,869	
10.553	COVID-19 - School Breakfast Program			DJA	42,594	
10.553	COVID-19 - School Breakfast Program			EDA	20,289,788	20,289,788
10.553	School Breakfast Program			DCA	33,772	
10.553	School Breakfast Program			DJA	161,130	
10.553	School Breakfast Program			EDA	69,194,229	69,194,229
10.553	School Breakfast Program			SDA	92,927	
	10.553 Subtotal				<u>89,819,309</u>	<u>89,484,017</u>
10.555	COVID-19 - National School Lunch Program			DCA	7,417	
10.555	COVID-19 - National School Lunch Program			DJA	67,897	
10.555	COVID-19 - National School Lunch Program			EDA	38,718,904	38,718,904
10.555	National School Lunch Program			DCA	115,017	
10.555	National School Lunch Program			DJA	297,591	
10.555	National School Lunch Program			EDA	233,227,424	233,210,932
10.555	National School Lunch Program			SDA	112,790	
	10.555 Subtotal				<u>272,547,040</u>	<u>271,929,836</u>
10.556	COVID-19 - Special Milk Program for Children			EDA	1,945	1,945
10.556	Special Milk Program for Children			EDA	35,556	35,556
	10.556 Subtotal				<u>37,501</u>	<u>37,501</u>
10.559	COVID-19 - Summer Food Service Program for Children			EDA	24,253,545	24,253,545
10.559	Summer Food Service Program for Children			EDA	4,081,500	3,889,897
	10.559 Subtotal				<u>28,335,045</u>	<u>28,143,442</u>
	Child Nutrition Cluster Subtotal				<u>390,738,895</u>	<u>389,594,796</u>
<b>Food Distribution Cluster</b>						
10.565	Commodity Supplemental Food Program			DEA	1,521,264	1,443,349
10.568	COVID-19 - Emergency Food Assistance Program (Administrative Costs)			DEA	37,500	37,500
10.568	Emergency Food Assistance Program (Administrative Costs)			DEA	3,176,342	2,833,511
	10.568 Subtotal				<u>3,213,842</u>	<u>2,871,011</u>
10.569	Emergency Food Assistance Program (Food Commodities)			DEA	59,400,975	
	Food Distribution Cluster Subtotal				<u>64,136,081</u>	<u>4,314,360</u>
<b>Other Department of Agriculture Programs</b>						
10.001	Agricultural Research Basic and Applied Research	USDA-ARS: Eastern Regional Research Center	59-5040-0-001	ASA	3,298	
10.025	Plant and Animal Disease, Pest Control, and Animal Care			AHA	1,588,915	
10.025	Plant and Animal Disease, Pest Control, and Animal Care			CRA	416,997	
10.025	Plant and Animal Disease, Pest Control, and Animal Care			UAA	144,006	
	10.025 Subtotal				<u>2,149,918</u>	
10.093	Voluntary Public Access and Habitat Incentive Program			GFA	332,176	61,572
10.163	Market Protection and Promotion			AHA	24,906	
10.170	Specialty Crop Block Grant Program—Farm Bill			AHA	1,283,742	1,167,095
10.171	Organic Certification Cost Share Programs			AHA	61,284	55,713
10.178	Trade Mitigation Program Eligible Recipient Agency Operational Funds			DEA	2,622,000	2,622,000
10.210	Higher Education—Graduate Fellowships Grant Program	National Institute of Food and Agriculture	2019-38420-28978	NAA	37,333	
10.215	Sustainable Agriculture Research and Education	Montana State University	G161-19-W7506	UAA	4,227	
10.215	Sustainable Agriculture Research and Education	Utah State University	200592-376, 202570-671/2018-38640-28410	UAA	6,333	
	10.215 Subtotal				<u>10,560</u>	
10.217	Higher Education—Institution Challenge Grants Program			UAA	32,983	12,279
10.310	Agriculture and Food Research Initiative (AFRI)			UAA	49,823	
10.310	Agriculture and Food Research Initiative (AFRI)	New Mexico State University	Q01909	UAA	19,470	14,571
10.310	Agriculture and Food Research Initiative (AFRI)	University of Vermont	29034SUB52911/173257	UAA	16,622	
	10.310 Subtotal				<u>85,915</u>	<u>14,571</u>
10.311	Beginning Farmer and Rancher Development Program			UAA	143,406	47,373
10.329	Crop Protection and Pest Management Competitive Grants Program			UAA	307,843	
10.334	Enhancing Agricultural Opportunities for Military Veterans Competitive Grants Program	Painted Desert Demonstration Projects Inc.	NLID-56197	UAA	22,657	
10.351	Rural Business Development Grant	Apex Applied Technology, Incorporated	LTR DTD 031020	UAA	3,206	
10.443	Outreach and Assistance for Socially Disadvantaged Veteran Farmers and Ranchers	University of Nevada: Reno	UNR 18-33	UAA	10,507	
10.460	Risk Management Education Partnerships			UAA	51,838	

**State of Arizona**  
**Schedule of expenditures of federal awards**  
**Year ended June 30, 2020**

Assistance Listing/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
10.475	Cooperative Agreements with States for Intrastate Meat and Poultry Inspection			AHA	144,059	
10.479	Food Safety Cooperative Agreements			HSA	207,312	
10.500	Cooperative Extension Service			UAA	1,543,882	
10.500	Cooperative Extension Service	Kansas State University	S19058	UAA	15,238	
10.500	Cooperative Extension Service	University of Hawaii	MA1492	UAA	5,394	
10.500	Cooperative Extension Service	Utah State University	202220-640/2018-70027-285	UAA	5,000	
	10.500 Subtotal				<u>1,569,514</u>	<u>-</u>
10.511	Smith-Lever Funding (Various Programs)			UAA	762,080	
10.514	Expanded Food and Nutrition Education Program			UAA	892,553	
10.515	Renewable Resources Extension Act and National Focus Fund Projects			UAA	78,505	
10.534	CACFP Meal Service Training Grants			EDA	71,727	
10.557	WIC Special Supplemental Nutrition Program for Women, Infants, and Children			HSA	88,554,595	26,462,002
10.558	COVID-19 - Child and Adult Care Food Program			EDA	7,364,713	7,364,713
10.558	Child and Adult Care Food Program			EDA	46,694,103	45,690,674
	10.558 Subtotal				<u>54,058,816</u>	<u>53,055,387</u>
10.560	State Administrative Expenses for Child Nutrition			EDA	5,731,164	
10.572	WIC Farmers' Market Nutrition Program (FMNP)			HSA	111,315	
10.574	Team Nutrition Grants			EDA	31,388	
10.576	Senior Farmers Market Nutrition Program			HSA	83,428	10,302
10.578	WIC Grants to States (WGS)			HSA	95,853	30,473
10.579	Child Nutrition Discretionary Grants Limited Availability			EDA	375,237	375,237
10.582	Fresh Fruit and Vegetable Program			EDA	2,343,332	2,282,261
10.589	Child Nutrition Direct Certification Performance Awards			EDA	111,345	
10.652	Forestry Research			GFA	114,196	
10.664	Cooperative Forestry Assistance			FOA	4,469,246	1,006,518
10.664	Cooperative Forestry Assistance			GFA	1,484	
10.664	Cooperative Forestry Assistance			UAA	2,716	
	10.664 Subtotal				<u>4,473,446</u>	<u>1,006,518</u>
10.674	Wood Utilization Assistance			FOA	159,186	
10.676	Forest Legacy Program			FOA	13,263	
10.682	National Forest Foundation			GFA	248,210	
10.691	Good Neighbor Authority			EVA	67,358	
10.691	Good Neighbor Authority			FOA	39,042	
	10.691 Subtotal				<u>106,400</u>	<u>-</u>
10.698	State & Private Forestry Cooperative Fire Assistance			FOA	12,059	
10.707	Research Joint Venture and Cost Reimbursable Agreements	Forest Service	19-CR-11221636-157	NAA	523	
10.762	Solid Waste Management Grants			NAA	1,678	
10.902	Soil and Water Conservation			UAA	31,298	
10.912	Environmental Quality Incentives Program			FOA	72,081	
10.12837119C0062	Repatriation of Native American Human Remains and Funerary Objects from USFS Various Collection Curated at the Arizona State Museum			UAA	3,550	
10.17-CR-11031600-044	Arizona Rangeland Monitoring and Vegetation GIS Data System (VGS) Enhancement			UAA	180,638	
10.18-CR-11031600-066	Arizona Rangeland Education, Outreach, and Monitoring			UAA	18,999	
10.18-CS-11031200-009	Salt River Horse Management Agreement			AHA	32,411	
10.18-CS-11030500-019	Coronado Range Monitoring			UAA	46,474	
10.19JV11221638007	North American Forest and Inventory Tree Ring Data			UAA	4,264	
10.WM-08	US Department of Agriculture			NAA	65,271	
10.Unknown	San Xavier Cooperative Farm Value-added Meat Processing Program in Southern Arizona	Apex Applied Technology, Incorporated	LTR DTD 092019	UAA	5,828	
	Total Department of Agriculture				<u>2,086,825,997</u>	<u>489,396,582</u>
<b>DEPARTMENT OF COMMERCE</b>						
<b>Economic Development Cluster</b>						
11.307	Economic Adjustment Assistance			ASA	24,956	
11.307	Economic Adjustment Assistance			NAA	15,798	
	11.307 Subtotal				<u>40,754</u>	
	Economic Development Cluster Subtotal				<u>40,754</u>	
<b>Other Department of Commerce Programs</b>						
11.008	NOAA Mission-Related Education Awards	Watershed Management Group	NA16SEC0080003	UAA	55,379	
11.303	Economic Development Technical Assistance			NAA	98,198	
11.437	Pacific Fisheries Data Program	Pacific States Marine Fisheries Commission	18-123G, LTR DTD 051519	UAA	3,278	
11.549	State and Local Implementation Grant Program			ADA	230,999	
11.611	Manufacturing Extension Partnership			CAA	1,090,000	
	Total Department of Commerce				<u>1,518,608</u>	<u>-</u>
<b>DEPARTMENT OF DEFENSE</b>						
12.005	Conservation and Rehabilitation of Natural Resources on Military Installations			GFA	293,494	
12.113	State Memorandum of Agreement Program for the Reimbursement of Technical Services			EVA	882,288	
12.130	Estuary Habitat Restoration Program			PRA	4,746	
12.300	Basic and Applied Scientific Research			GFA	653,741	

**State of Arizona**  
**Schedule of expenditures of federal awards**  
**Year ended June 30, 2020**

Assistance Listing/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
12.300	Basic and Applied Scientific Research			UAA	900	
	12.300 Subtotal				654,641	-
12.330	Science, Technology, Engineering & Mathematics (STEM) Education, Outreach and Workforce Program			ASA	132,193	49,748
12.357	ROTC Language and Culture Training Grants	Institute of International Education	PGO1801-ASU-01-PO3, PGO1801-ASU-01, PGO1801-ASU-01	ASA	455,341	
12.357	ROTC Language and Culture Training Grants	Institute of International Education	PGO1801UAZ15, PGO1801UAZ15PGO051PO2	UAA	470,165	
	12.357 Subtotal				925,506	
12.400	Military Construction, National Guard			DEA	7,919,186	
12.401	National Guard Military Operations and Maintenance (O&M) Projects			ADA	166,566	
12.401	National Guard Military Operations and Maintenance (O&M) Projects			MAA	42,955,861	
	12.401 Subtotal				43,122,427	-
12.431	Basic Scientific Research			ASA	26,685	
12.550	The Language Flagship Grants to Institutions of Higher Education	Institute of International Education	2340-ASU-13, 0054-ASU-1-CHN-280-PO1, 0054-ASU-1, 0054-ASU-1-SSC-280-PO2, 0054-ASU-1-SSC-280-PO3	ASA	401,760	
12.550	The Language Flagship Grants to Institutions of Higher Education	Institute of International Education	0054-UAZ-9, 0054-UAZ-9-ARA-280-PO1, 0054UAZ9SSA280PO5, 0054UAZ9SSA280PO6	UAA	365,826	
	12.550 Subtotal				767,586	-
12.610	Community Economic Adjustment Assistance for Compatible Use and Joint Land Use Studies			ASA	121,480	
12.610	Community Economic Adjustment Assistance for Compatible Use and Joint Land Use Studies			FOA	25,278	
	12.610 Subtotal				146,758	-
12.620	Troops to Teachers Grant Program			EDA	130,167	
12.632	Legacy Resource Management Program			GFA	212,515	
12.900	Language Grant Program	National Foreign Language Center	H98230-19-1-0056	ASA	19,336	
12.901	Mathematical Sciences Grants			ASA	65,817	
12.901	Mathematical Sciences Grants			UAA	24,787	
	12.901 Subtotal				90,604	-
12.902	Information Security Grant Program			UAA	112,876	
12.902	Information Security Grant Program	Purdue University	4104-86682	UAA	2,375	
	12.902 Subtotal				115,251	-
12.910	Research and Technology Development			GFA	13,969	
12.CRT	Defense Advanced Research Projects Agency			NAA	130,778	64,954
12.CRT	Air Force Research Laboratory	Alion Science and Technology Corporation		NAA	25,583	
12.CRT	US Department of Energy	UT Battelle LLC		NAA	131,572	
12.CRT W15QKN-20-9-C003	Army Contracting Command - New Jersey			NAA	1,851,305	1,204,490
12.CRT W912HQ18C0086	US Army Corp of Engineers			NAA	465,505	134,841
12.FA330019CA018	AU-ASU Partnership: e-School Migration (Air University)			ASA	770,735	
12.W911NF1920007	Compugirls Cybersecurity: A Culturally Responsive Collective Impact Model for Underanticipated Girls	RTI International	16-312-0216908-65829L	ASA	46,401	
12.W912P9-16-D-0015	Renewal- Veterans Digital Curation Program	Environmental Research Group, LLC (ERG)	F-STL.0015.ArchSE.0081tDAR	ASA	5,962	
	Total Department of Defense				58,885,193	1,454,033
<b>DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT</b>						
<b>Section 8 Project—Based Cluster</b>						
14.195	Section 8 Housing Assistance Payments Program			HDA	60,682,833	
	Section 8 Project—Based Cluster Subtotal				60,682,833	-
<b>Housing Voucher Cluster</b>						
14.871	Section 8 Housing Choice Vouchers			HDA	1,194,982	1,053
	Housing Voucher Cluster Subtotal				1,194,982	1,053
<b>Other Department of Housing and Urban Development Programs</b>						
14.171	Manufactured Home Dispute Resolution			HDA	63,227	-
14.228	Community Development Block Grants/State's Program and Non-Entitlement Grants in Hawaii			HDA	13,750,167	13,503,772
14.231	Emergency Solutions Grant Program			DEA	1,893,676	1,767,887
14.239	Home Investment Partnerships Program			HDA	5,037,990	4,452,193
14.241	Housing Opportunities for Persons with AIDS			HDA	261,927	253,550
14.256	Neighborhood Stabilization Program			HDA	1,974,181	1,974,181
14.267	Continuum of Care Program			HDA	4,855,211	4,527,541
14.275	Housing Trust Fund			HDA	6,715,210	6,569,188
14.326	Project Rental Assistance Demonstration (PRA Demo) Program of Section 811 Supportive Housing for Persons with Disabilities			HDA	283,298	
14.401	Fair Housing Assistance Program State and Local			AGA	612,595	
	Total Department of Housing and Urban Development				97,325,297	33,049,365
<b>DEPARTMENT OF THE INTERIOR</b>						
<b>Fish and Wildlife Cluster</b>						
15.605	Sport Fish Restoration			GFA	7,011,788	110,000

State of Arizona  
Schedule of expenditures of federal awards  
Year ended June 30, 2020

Assistance Listing/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
15.611	Wildlife Restoration and Basic Hunter Education			GFA	21,160,548	1,034,398
15.626	Enhanced Hunter Education and Safety			GFA	257,419	
	Fish and Wildlife Cluster Subtotal				<u>28,429,755</u>	<u>1,144,398</u>
<b>Other Department of the Interior Programs</b>						
15.156	Tribal Climate Resilience			NAA	427,927	
15.156	Tribal Climate Resilience	Quapaw Tribe of Oklahoma	A18AP00187	NAA	36,526	
	15.156 Subtotal				<u>464,453</u>	<u>-</u>
15.159	Cultural Resources Management			ASA	4,490	
15.159	Cultural Resources Management			UAA	94,941	
	15.159 Subtotal				<u>99,431</u>	<u>-</u>
15.224	Cultural and Paleontological Resources Management			ASA	4,787	
15.224	Cultural and Paleontological Resources Management			PRA	3,184	
	15.224 Subtotal				<u>7,971</u>	<u>-</u>
15.228	BLM Fuels Management and Community Fire Assistance Program Activities			FOA	146,138	122,419
15.231	Fish, Wildlife and Plant Conservation Resource Management			GFA	98,310	
15.231	Fish, Wildlife and Plant Conservation Resource Management			NAA	3,231	
	15.231 Subtotal				<u>101,541</u>	<u>-</u>
15.237	Rangeland Resource Management			UAA	3,428	
15.244	Fisheries and Aquatic Resources Management			GFA	6,784	
15.246	Threatened and Endangered Species			GFA	30,412	
15.247	Wildlife Resource Management			GFA	167,858	
15.511	Cultural Resources Management			ASA	38,299	
15.517	Fish and Wildlife Coordination Act			GFA	734,337	
15.530	Water Conservation Field Services(WCFS)			WCA	6,971	
15.538	Lower Colorado River Multi-Species Conservation			GFA	316,916	
15.608	Fish and Wildlife Management Assistance			GFA	127,002	
15.615	Cooperative Endangered Species Conservation Fund			AHA	90,061	
15.615	Cooperative Endangered Species Conservation Fund			GFA	274,657	
15.615	Cooperative Endangered Species Conservation Fund			UAA	4,473	
	15.615 Subtotal				<u>369,191</u>	<u>-</u>
15.616	Clean Vessel Act			GFA	139,173	-
15.631	Partners for Fish and Wildlife			GFA	15,000	15,000
15.634	State Wildlife Grants			GFA	1,371,449	70,079
15.654	National Wildlife Refuge System Enhancements			GFA	32,243	
15.657	Endangered Species Conservation—Recovery Implementation Funds			GFA	298,624	56,598
15.663	National Fish and Wildlife Foundation			GFA	2,233	
15.666	Endangered Species Conservation-Wolf Livestock Loss Compensation and Prevention			GFA	300,226	
15.670	Adaptive Science			GFA	220,374	
15.674	National Fire Plan-Wildland Urban Interface Community Fire Assistance			FOA	63,228	
15.678	Cooperative Ecosystem Studies Units			GFA	7,459	
15.808	U.S. Geological Survey Research and Data Collection			ASA	456	
15.808	U.S. Geological Survey Research and Data Collection			GFA	390,323	
	15.808 Subtotal				<u>390,779</u>	<u>-</u>
15.812	Cooperative Research Units			GFA	58,400	43,150
15.904	Historic Preservation Fund Grants-In-Aid			ASA	28,832	
15.904	Historic Preservation Fund Grants-In-Aid			PRA	543,890	96,618
	15.904 Subtotal				<u>572,722</u>	<u>96,618</u>
15.916	Outdoor Recreation Acquisition, Development and Planning			PRA	1,274,471	344,741
15.922	Native American Graves Protection and Repatriation Act			UAA	36,816	
15.944	Natural Resource Stewardship			GFA	21,679	
15.945	Cooperative Research and Training Programs—Resources of the National Park System			NAA	3,508	
15.945	Cooperative Research and Training Programs—Resources of the National Park System			UAA	366,524	
	15.945 Subtotal				<u>370,032</u>	<u>-</u>
15.980	National Ground-Water Monitoring Network			WCA	71,293	
15.50730W0330	Bureau of Reclamation Restricted Endowment			ASA	6,672,715	
15.LTR DTD 041520	IPA: Research Manager for the Southwest Climate Adaptation Center			UAA	2,623	
15.LTR DTD 080119	Bureau of Land Management/Joint Fire Science Program Intergovernmental Personnel Act Agreement for Molly Hunter			UAA	103,847	
	Total Department of the Interior				<u>43,075,873</u>	<u>1,893,003</u>
<b>DEPARTMENT OF JUSTICE</b>						
16.017	Sexual Assault Services Formula Program			GVA	437,967	415,992
16.320	Services for Trafficking Victims			ASA	170,108	12,000
16.526	OWV Technical Assistance Initiative			NAA	515,022	81,469
16.526	OWV Technical Assistance Initiative	Johns Hopkins University	2003621245	ASA	107,317	
	16.526 Subtotal				<u>622,339</u>	<u>81,469</u>
16.540	Juvenile Justice and Delinquency Prevention			GVA	851,346	763,951
16.540	Juvenile Justice and Delinquency Prevention			JCA	405,888	202,944
	16.540 Subtotal				<u>1,257,234</u>	<u>966,895</u>
16.550	State Justice Statistics Program for Statistical Analysis Centers			JCA	81,251	
16.554	National Criminal History Improvement Program (NCHIP)			JCA	639,481	611,270

State of Arizona  
Schedule of expenditures of federal awards  
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Assistance Listing/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
16.554	National Criminal History Improvement Program (NCHIP)			PSA	247,121	
16.554	National Criminal History Improvement Program (NCHIP)			SPA	177,213	
	16.554 Subtotal				1,063,815	611,270
16.560	National Institute of Justice Research, Evaluation, and Development Project Grants			EDA	66,278	
16.575	Crime Victim Assistance			AGA	824,368	
16.575	Crime Victim Assistance			CHA	649,971	
16.575	Crime Victim Assistance			DCA	468,783	
16.575	Crime Victim Assistance			DEA	12,743,360	37,500
16.575	Crime Victim Assistance			DJA	47,481	
16.575	Crime Victim Assistance			NAA	531,910	
16.575	Crime Victim Assistance			PSA	35,301,967	34,114,195
16.575	Crime Victim Assistance			SPA	29,643	
16.575	Crime Victim Assistance			STA	273,438	
	16.575 Subtotal				50,870,921	34,151,695
16.576	Crime Victim Compensation			JCA	1,200,711	1,095,636
16.579	Edward Byrne Memorial Formula Grant Program	City of Tucson, Arizona	18110, 18657	UAA	91,980	
16.582	Crime Victim Assistance/Discretionary Grants	National Crime Victim Law Institute		NAA	344,526	
16.588	Violence Against Women Formula Grants			GVA	1,971,664	1,669,039
16.588	Violence Against Women Formula Grants			PSA	131,250	
16.588	Violence Against Women Formula Grants			SPA	246,743	
	16.588 Subtotal				2,349,657	1,669,039
16.589	Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program			NAA	190,624	48,325
16.593	Residential Substance Abuse Treatment for State Prisoners			DCA	39,660	
16.593	Residential Substance Abuse Treatment for State Prisoners			DJA	62,021	
16.593	Residential Substance Abuse Treatment for State Prisoners			JCA	265,057	218,986
	16.593 Subtotal				366,738	218,986
16.606	State Criminal Alien Assistance Program			DCA	14,584,497	
16.609	Project Safe Neighborhoods			ADA	58,870	39,437
16.726	Juvenile Mentoring Program	National 4-H Council	2017-JU-FX-0016, 2018-JU-FX-0005, 2019-MU-FX-0002	UAA	47,274	
16.734	Special Data Collections and Statistical Studies			PSA	90,019	
16.738	Edward Byrne Memorial Justice Assistance Grant Program			AGA	521,094	
16.738	Edward Byrne Memorial Justice Assistance Grant Program			JCA	2,520,669	2,141,024
16.738	Edward Byrne Memorial Justice Assistance Grant Program			PSA	181,631	
16.738	Edward Byrne Memorial Justice Assistance Grant Program			SPA	192,855	
16.738	Edward Byrne Memorial Justice Assistance Grant Program	Tempe: Police Department	C2018-36	ASA	133,788	
	16.738 Subtotal				3,550,037	2,141,024
16.741	DNA Backlog Reduction Program			PSA	850,040	
16.742	Paul Coverdell Forensic Science Improvement Grant Program			JCA	270,333	233,123
16.742	Paul Coverdell Forensic Science Improvement Grant Program			PSA	127,982	
	16.742 Subtotal				398,315	233,123
16.750	Support for Adam Walsh Act Implementation Grant Program			PSA	32,022	
16.751	Edward Byrne Memorial Competitive Grant Program	Phoenix Police Department	147177-0	ASA	90,752	
16.754	Harold Rogers Prescription Drug Monitoring Program			PMA	36,920	
16.812	Second Chance Act Reentry Initiative			ASA	37,730	
16.812	Second Chance Act Reentry Initiative			DCA	281,789	
16.812	Second Chance Act Reentry Initiative			SPA	181,907	
	16.812 Subtotal				501,426	-
16.813	NICS Act Record Improvement Program			JCA	314,870	
16.813	NICS Act Record Improvement Program			PSA	494,586	
16.813	NICS Act Record Improvement Program			SPA	221,567	
	16.813 Subtotal				1,031,023	-
16.820	Postconviction Testing of DNA Evidence			ASA	54,885	
16.820	Postconviction Testing of DNA Evidence			JCA	107,041	97,131
	16.820 Subtotal				161,926	97,131
16.833	National Sexual Assault Kit Initiative			PSA	11,477	
16.838	Comprehensive Opioid Abuse Site-Based Program			JCA	54,503	
16.839	STOP School Violence			GVA	8,084	8,084
16.2015-DE-BX-K002	Body Worn Camera Training and Technical Assistance TTA Provider	CNA Institute for Public Research	16-ASU-1-1376	ASA	324,915	
16.2016-CZ-BX-0016	Second Chance Coalition Building and Training			ASA	88,563	
16.2017-130	DEA/DOJ agreements			PSA	160,178	
16.LTR DTD 060616	Joint Terrorism Task Force - Officer Overtime			UAA	2,612	
	Total Department of Justice				81,197,602	41,790,106
<b>DEPARTMENT OF LABOR</b>						
<b>Employment Service Cluster</b>						
17.207	Employment Service/Wagner-Peyser Funded Activities			DEA	11,854,851	
17.207	Employment Service/Wagner-Peyser Funded Activities			EOA	673,971	
17.207	Employment Service/Wagner-Peyser Funded Activities			GVA	1,404,317	59,238
17.207	Employment Service/Wagner-Peyser Funded Activities			VSA	85,715	
	17.207 Subtotal				14,018,854	59,238
17.801	Disabled Veterans' Outreach Program (DVOP)			DEA	2,457,418	

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17.804	Local Veterans' Employment Representative Program Employment Service Cluster Subtotal			DEA	1,343,188 17,819,460	59,238
<b>WIOA Cluster</b>						
17.258	WIOA Adult Program			ASA	542,557	
17.258	WIOA Adult Program			BRA	250,000	
17.258	WIOA Adult Program			CAA	1,661,168	
17.258	WIOA Adult Program			DCA	380,065	
17.258	WIOA Adult Program			DEA	18,324,226	16,262,664
17.258	WIOA Adult Program			DTA	108,833	
17.258	WIOA Adult Program			EDA	1,295,033	
17.258	WIOA Adult Program			GVA	3,198,434	1,247,535
17.258	WIOA Adult Program			VSA	298,692	
	17.258 Subtotal				26,059,008	17,510,199
17.259	WIOA Youth Activities			DEA	20,270,905	18,756,634
17.259	WIOA Youth Activities			EOA	619,724	
	17.259 Subtotal				20,890,629	18,756,634
17.278	WIOA Dislocated Worker Formula Grants			DEA	21,778,962	16,848,157
17.278	WIOA Dislocated Worker Formula Grants			PEA	138,469	
	17.278 Subtotal				21,917,431	16,848,157
	WIOA Cluster Subtotal				68,867,068	53,114,990
<b>Other Department of Labor Programs</b>						
17.002	Labor Force Statistics			EOA	849,629	
17.005	Compensation and Working Conditions			ICA	115,382	
17.225	ARRA - Unemployment Insurance			DEA	2,000,000	
17.225	COVID-19 - Unemployment Insurance			DEA	5,060,710,458	
17.225	Unemployment Insurance			DEA	871,271,786	
17.225	Unemployment Insurance			EOA	26,678	
	17.225 Subtotal				5,934,008,922	-
17.235	Senior Community Service Employment Program			DEA	797,949	742,041
17.245	Trade Adjustment Assistance			DEA	860,697	
17.270	Reentry Employment Opportunities			DEA	85,021	
17.271	Work Opportunity Tax Credit Program (WOTC)			DEA	360,004	
17.273	Temporary Labor Certification for Foreign Workers			DEA	157,421	
17.277	WIOA National Dislocated Worker Grants/WIA National Emergency Grants			DEA	36,381	
17.285	Apprenticeship USA Grants			DEA	296,705	
17.503	Occupational Safety and Health State Program			ICA	1,849,404	
17.504	Consultation Agreements			ICA	801,691	
17.600	Mine Health and Safety Grants			MIA	362,332	
	Total Department of Labor				6,027,268,066	53,916,269
<b>DEPARTMENT OF STATE</b>						
19.009	Academic Exchange Programs—Undergraduate Programs	International Research and Exchanges Board (IREX)	FY19-YALI-PM-ASU-04, FY18-YALI-PM-ASU-03, FY19-YALI-PM-ASU-04, FY18-YALI-PM-ASU-03	ASA	244	
19.009	Academic Exchange Programs—Undergraduate Programs	University of Nebraska: Omaha	45-2402-1030-301, 45-2402-1030-301	ASA	120,828	
19.009	Academic Exchange Programs—Undergraduate Programs				56,404	
	19.009 Subtotal				177,476	-
19.010	Academic Exchange Programs—Hubert H. Humphrey Fellowship Program	Institute of International Education	HHH1801_ASU_7.1.18, 943360412	ASA	241,551	
19.011	Academic Exchange Programs—Special Academic Exchange Programs	American Institute of Maghrib Studies	LTR DTD 110101	UAA	54,861	
19.040	Public Diplomacy Programs			ASA	8,894	
19.300	Program for Study of Eastern Europe and the Independent States of the Former Soviet Union			ASA	199,022	
19.401	Academic Exchange Programs—Scholars	University of Montana	PG19-26935-01	ASA	169,094	
19.408	Academic Exchange Programs—Teachers	International Research and Exchanges Board (IREX)	FY20-FDAI-ASU-01, FY14-ILEP-ASU-01, FY19-FDAI-ASU-01	ASA	156,583	
19.415	Professional and Cultural Exchange Programs - Citizen Exchanges	International Research and Exchanges Board (IREX)	YLAI FY19 - 5005 - 01, YLAI FY19 - 5005 - 01	ASA	164,600	
19.421	Academic Exchange Programs— English Language Programs	FHI 360	PO20000180, PO19003109, PO19002278, PO19003318	ASA	178,135	
19.501	Public Diplomacy Programs for Afghanistan and Pakistan			ASA	63,890	
19.750	Bureau of Western Hemisphere Affairs (WHA) Grant Programs (including Energy and Climate Partnership for the Americas)			ASA	545,030	
19.900	AEECA/ESF PD Programs	Yerevan State University	SPA00002753	ASA	17,013	
19.SECAGD18CA1045 MB	Study of the US Institute for Student Leaders on History and Government	Institute for Training and Development	LTR DTD 052319	UAA	278,081	
19.SECAGD19CA0045	2019 Fulbright Foreign Language Teaching Assistant Summer Orientation	Institute of International Education	FST1901UArizonaFLTA511	UAA	72,429	
	Total Department of State				2,326,659	-
<b>DEPARTMENT OF TRANSPORTATION</b>						
<b>Highway Planning and Construction Cluster</b>						
20.205	Highway Planning and Construction			ADA	142,997	
20.205	Highway Planning and Construction			DTA	628,890,764	83,543,911
20.205	Highway Planning and Construction			GFA	212,405	
20.205	Highway Planning and Construction			PSA	1,225,439	
	20.205 Subtotal				630,471,605	83,543,911
20.219	Recreational Trails Program			DTA	1,370,015	



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20.219	Recreational Trails Program			LDA	204,513	
20.219	Recreational Trails Program			PRA	1,683,948	870,867
	20.219 Subtotal				3,258,476	870,867
	Highway Planning and Construction Cluster Subtotal				633,730,081	84,414,778
	<b>Transit Services Programs Cluster</b>					
20.513	Enhanced Mobility of Seniors and Individuals with Disabilities			DTA	3,311,142	3,025,314
20.513	Enhanced Mobility of Seniors and Individuals with Disabilities			UAA	38,056	
20.513	Enhanced Mobility of Seniors and Individuals with Disabilities			NAA	44,127	
20.513	Enhanced Mobility of Seniors and Individuals with Disabilities	City of Phoenix	149467-0, 151692-0	NAA	85,269	
	20.513 Subtotal				3,478,594	3,025,314
20.516	Job Access and Reverse Commute Program			DTA	63,203	56,037
	Transit Services Program Cluster Subtotal				3,541,797	3,081,351
	<b>Highway Safety Cluster</b>					
20.600	State and Community Highway Safety			GHA	5,915,667	4,208,940
20.600	State and Community Highway Safety			LLA	59,664	
20.600	State and Community Highway Safety			NAA	289	
20.600	State and Community Highway Safety			PSA	492,436	
20.600	State and Community Highway Safety			SPA	22,030	
20.600	State and Community Highway Safety			UAA	2,605	
	20.600 Subtotal				6,492,691	4,208,940
20.616	National Priority Safety Programs			ASA	6,618	
20.616	National Priority Safety Programs			GHA	4,219,273	3,198,645
20.616	National Priority Safety Programs			NAA	27,851	
20.616	National Priority Safety Programs			PSA	178,535	
20.616	National Priority Safety Programs			SPA	131,067	52,463
20.616	National Priority Safety Programs			UAA	23,274	
	20.616 Subtotal				4,586,618	3,251,108
	Highway Safety Cluster Subtotal				11,079,309	7,460,048
	<b>Motor Carrier Safety Assistance Cluster</b>					
20.218	Motor Carrier Safety Assistance			DTA	324,206	
20.218	Motor Carrier Safety Assistance			PSA	10,428,376	
	20.218 Subtotal				10,752,582	-
20.237	Motor Carrier Safety Assistance High Priority Activities Grants and Cooperative Agreements			DTA	102,360	
20.237	Motor Carrier Safety Assistance High Priority Activities Grants and Cooperative Agreements			PSA	588,659	
	20.237 Subtotal				691,019	-
	Motor Carrier Safety Assistance Cluster Subtotal				11,443,601	-
	<b>Other Department of Transportation Programs</b>					
20.106	Airport Improvement Program			DTA	512,105	
20.200	Highway Research and Development Program			DTA	634,688	164,216
20.215	Highway Training and Education			ASA	2,298	
20.215	Highway Training and Education			DTA	21,349	
	20.215 Subtotal				23,647	-
20.240	Fuel Tax Evasion-Intergovernmental Enforcement Effort			DTA	108,441	
20.505	Metropolitan Transportation Planning and State and Non-Metropolitan Planning and Research			DTA	8,102,482	7,985,893
20.509	Formula Grants for Rural Areas			DTA	11,166,958	10,398,436
20.528	Rail Fixed Guideway Public Transportation System State Safety Oversight Formula Grant Program			DTA	212,371	
20.614	National Highway Traffic Safety Administration (NHTSA) Discretionary Safety Grants and Cooperative Agreements			DTA	116,323	
20.614	National Highway Traffic Safety Administration (NHTSA) Discretionary Safety Grants and Cooperative Agreements			GHA	286,644	
	20.614 Subtotal				402,967	-
20.700	Pipeline Safety Program State Base Grant			CCA	1,517,805	
20.703	Interagency Hazardous Materials Public Sector Training and Planning Grants			EVA	202,780	142,512
20.703	Interagency Hazardous Materials Public Sector Training and Planning Grants			MAA	10,785	-
	20.703 Subtotal				213,565	142,512
20.933	National Infrastructure Investments			DTA	5,962,956	-
	Total Department of Transportation				688,652,773	113,647,234
	<b>DEPARTMENT OF THE TREASURY</b>					
21.019	COVID-19 - Coronavirus Relief Fund			AGA	390,936	
21.019	COVID-19 - Coronavirus Relief Fund			AHA	210,217	
21.019	COVID-19 - Coronavirus Relief Fund			DCA	282,268,467	
21.019	COVID-19 - Coronavirus Relief Fund			DEA	151,804	
21.019	COVID-19 - Coronavirus Relief Fund			DJA	10,235,576	
21.019	COVID-19 - Coronavirus Relief Fund			DTA	6,140,037	
21.019	COVID-19 - Coronavirus Relief Fund			GVA	248,432,358	248,181,596
21.019	COVID-19 - Coronavirus Relief Fund			HSA	16,470,515	
21.019	COVID-19 - Coronavirus Relief Fund			IDA	181,450	
21.019	COVID-19 - Coronavirus Relief Fund			LLA	126,738	

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21.019	COVID-19 - Coronavirus Relief Fund			MAA	453,846	453,846
21.019	COVID-19 - Coronavirus Relief Fund			PRA	318,771	
21.019	COVID-19 - Coronavirus Relief Fund			PSA	77,237,887	
21.019	COVID-19 - Coronavirus Relief Fund			RVA	108,974	
	21.019 Subtotal				<u>642,727,576</u>	<u>248,635,442</u>
21.S-ECAGD-19-CA-0046	Fulbright Pre-Departure Orientation 2019	Institute of International Education	AGR 5/16/2019	ASA	68,905	
	Total Department of the Treasury				<u>642,796,481</u>	<u>248,635,442</u>
<b><u>EQUAL EMPLOYMENT OPPORTUNITY COMMISSION</u></b>						
30.001	Employment Discrimination Title VII of the Civil Rights Act of 1964			AGA	479,693	
	Total Equal Employment Opportunity Commission				<u>479,693</u>	<u>-</u>
<b><u>NATIONAL AERONAUTICS AND SPACE ADMINISTRATION</u></b>						
43.001	Science			ASA	8,595	
43.001	Science	Jet Propulsion Laboratory (JPL)	1641084	ASA	41,691	
43.001	Science			UAA	48,000	
43.001	Science	North Carolina State University	2016-3126-02	UAA	3,161	
43.001	Science	SETI Institute	SC-3177	UAA	87,039	
	43.001 Subtotal				<u>188,486</u>	<u>-</u>
43.008	Office of Stem Engagement (OSTEM)			NAA	108,147	
43.008	Office of Stem Engagement (OSTEM)			UAA	7,791	
	43.008 Subtotal				<u>115,938</u>	<u>-</u>
43. NNX16AC53A	National Aeronautics and Space Administration			NAA	479,217	94,300
	Total National Aeronautics and Space Administration				<u>783,641</u>	<u>94,300</u>
<b><u>NATIONAL ENDOWMENT FOR THE ARTS</u></b>						
45.024	Promotion of the Arts Grants to Organizations and Individuals			ASA	89,900	
45.024	Promotion of the Arts Grants to Organizations and Individuals			UAA	43,429	
	45.024 Subtotal				<u>133,329</u>	<u>-</u>
45.025	Promotion of the Arts Partnership Agreements	Western States Arts Federation (WESTAF)	TW20190018	ASA	2,375	
45.025	Promotion of the Arts Partnership Agreements			HUA	841,400	6,700
	45.025 Subtotal				<u>843,775</u>	<u>6,700</u>
45.Unknown	NEA Challenge Grant Endowment			UAA	60,296	
	Total National Endowment for the Arts				<u>1,037,400</u>	<u>6,700</u>
<b><u>NATIONAL ENDOWMENT FOR THE HUMANITIES</u></b>						
45.129	Promotion of the Humanities Federal/State Partnership			STA	499	
45.129	Promotion of the Humanities Federal/State Partnership	Arizona Humanities	70992019	ASA	370	
45.129	Promotion of the Humanities Federal/State Partnership	Arizona Humanities Council	70762018, 70872019, 70882019	NAA	7,796	
45.129	Promotion of the Humanities Federal/State Partnership	Arizona Humanities Council	70772018, 71002019	UAA	4,622	
	45.129 Subtotal				<u>13,287</u>	<u>-</u>
45.130	Promotion of the Humanities Challenge Grants			UAA	402,868	
45.149	Promotion of the Humanities Division of Preservation and Access			UAA	257,473	
45.160	Promotion of the Humanities Fellowships and Stipends			UAA	28,354	
45.162	Promotion of the Humanities—Teaching and Learning Resources and Curriculum Development			ASA	27,698	
45.162	Promotion of the Humanities—Teaching and Learning Resources and Curriculum Development			UAA	3,838	
	45.162 Subtotal				<u>31,536</u>	<u>-</u>
45.163	Promotion of the Humanities Professional Development			UAA	35,897	
45.169	Promotion of the Humanities Office of Digital Humanities			ASA	724	
45.Unknown	NEH/ASM Educational Endowment			UAA	345,726	
	Total National Endowment for the Humanities				<u>1,115,865</u>	<u>-</u>
<b><u>INSTITUTE OF MUSEUM AND LIBRARY SERVICES</u></b>						
45.301	Museums for America			UAA	87,909	
45.310	COVID-19 - Grants to States			STA	24,000	24,000
45.310	Grants to States			STA	3,089,228	721,529
	45.310 Subtotal				<u>3,113,228</u>	<u>745,529</u>
45.312	National Leadership Grants	Pacific Science Center Foundation	2016-1002E	UAA	1,060	
45.GS00F010CA	NLM Support for Knowledge River Library School Internship	ICF International, LLC	18EGPO0129/GS-00F-010CA	UAA	10,694	
	Total Institute of Museum and Library Services				<u>3,212,891</u>	<u>745,529</u>
<b><u>NATIONAL SCIENCE FOUNDATION</u></b>						
47.050	Geoscience	University of Colorado Boulder	PO 1001268122	NAA	2,329	
47.076	Education and Human Resources			NAA	830,072	42,838
47.076	Education and Human Resources	San Francisco State University	S18-0002	NAA	74,214	
47.076	Education and Human Resources			UAA	295,857	
	47.076 Subtotal				<u>1,200,143</u>	<u>42,838</u>

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47.082	ARRA—Trans-NSF Recovery Act Research Support			UAA	252,050	
47.CRT HRD-2016587	National Science Foundation			NAA	45,580	
	Total National Science Foundation				<u>1,500,102</u>	<u>42,838</u>
<b>SMALL BUSINESS ADMINISTRATION</b>						
59.061	State Trade Expansion			CAA	170,595	
	Total Small Business Administration				<u>170,595</u>	<u>-</u>
<b>DEPARTMENT OF VETERANS AFFAIRS</b>						
64.005	Grants to States for Construction of State Home Facilities			VSA	13,765,706	
64.124	All-Volunteer Force Educational Assistance			VSA	364,681	
	Total Department of Veterans Affairs				<u>14,130,387</u>	<u>-</u>
<b>ENVIRONMENTAL PROTECTION AGENCY</b>						
<b>Clean Water State Revolving Fund Cluster</b>						
66.458	Capitalization Grants for Clean Water State Revolving Funds			FAA	<u>21,174,224</u>	<u>20,766,296</u>
	Clean Water State Revolving Fund Cluster Subtotal				<u>21,174,224</u>	<u>20,766,296</u>
<b>Drinking Water State Revolving Fund Cluster</b>						
66.468	Capitalization Grants for Drinking Water State Revolving Funds			EVA	3,275,430	
66.468	Capitalization Grants for Drinking Water State Revolving Funds			FAA	<u>17,717,583</u>	<u>13,581,852</u>
	66.468 Subtotal				<u>20,993,013</u>	<u>13,581,852</u>
	Drinking Water State Revolving Fund Cluster Subtotal				<u>20,993,013</u>	<u>13,581,852</u>
<b>Other Environmental Protection Agency Programs</b>						
66.032	State Indoor Radon Grants			HSA	14,581	
66.034	Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act			EVA	296,215	65,680
66.034	Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act			NAA	327,154	
	66.034 Subtotal				<u>623,369</u>	<u>65,680</u>
66.037	Internships, Training and Workshops for the Office of Air and Radiation			NAA	1,729,235	
66.419	Water Pollution Control State, Interstate, and Tribal Program Support			EVA	153,863	
66.444	Lead Testing in School and Child Care Program Drinking Water			HSA	3,624	
66.454	Water Quality Management Planning			EVA	126,844	126,844
66.460	Nonpoint Source Implementation Grants			EVA	931,988	661,296
66.460	Nonpoint Source Implementation Grants			GFA	101,377	83,122
66.460	Nonpoint Source Implementation Grants			UAA	5,692	
	66.460 Subtotal				<u>1,039,057</u>	<u>744,418</u>
66.605	Performance Partnership Grants			AHA	295,962	
66.605	Performance Partnership Grants			EVA	<u>9,550,456</u>	<u>545,450</u>
	66.605 Subtotal				<u>9,846,418</u>	<u>545,450</u>
66.608	Environmental Information Exchange Network Grant Program and Related Assistance			NAA	152,299	
66.708	Pollution Prevention Grants Program			EVA	16,500	
66.716	Research, Development, Monitoring, Public Education, Training, Demonstrations, and Studies	Extension Foundation	SA-2020-14	UAA	1,972	
66.802	Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements			EVA	313,230	
66.804	Underground Storage Tank (UST) Prevention, Detection, and Compliance Program			EVA	422,781	
66.805	Leaking Underground Storage Tank Trust Fund Corrective Action Program			EVA	1,420,235	
66.808	Solid Waste Management Assistance Grants			NAA	526,155	
66.813	Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants			NAA	421,577	
66.817	State and Tribal Response Program Grants			EVA	632,327	190,630
66.931	International Financial Assistance Projects Sponsored by the Office of International and Tribal Affairs	North American Development Bank (NADB)	TAA17-022	ASA	1,714	1,714
66.931	International Financial Assistance Projects Sponsored by the Office of International and Tribal Affairs	North American Development Bank (NADB)	1033/TAA20-005/NADBC20-045, TA17020X400T62701	UAA	30,783	
	66.931 Subtotal				<u>32,497</u>	<u>1,714</u>
66.951	Environmental Education Grants			ASA	37,631	8,664
66.X7-83697301, X7-83924001	Environmental Protection Agency			NAA	185,824	
	Total Environmental Protection Agency				<u>59,867,256</u>	<u>36,031,548</u>
<b>DEPARTMENT OF ENERGY</b>						
81.041	State Energy Program			ADA	530,830	
81.042	Weatherization Assistance for Low-Income Persons			HDA	1,641,999	1,513,464
81.049	Office of Science Financial Assistance Program	Department of Energy	Office of Science Financial Assistance Program	UAA	5,791	
81.O-P106-P-00043-00	Digital Curation of Archaeological Data from Air Force Installations and Ranges	Argonne National Laboratory (ANL)	O-P106-P-00043-00	ASA	30,127	

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81.Unknown AHQ-9-92002-10	Department of Energy			NAA	11,367	
	Total Department of Energy				<u>2,220,114</u>	<u>1,513,464</u>
<b>DEPARTMENT OF EDUCATION</b>						
<b>Special Education Cluster (IDEA)</b>						
84.027	Special Education—Grants to States			DCA	106,547	
84.027	Special Education—Grants to States			DJA	106,244	
84.027	Special Education—Grants to States			EDA	215,319,825	198,415,790
84.027	Special Education—Grants to States			NAA	1,098,314	
84.027	Special Education—Grants to States			SDA	440,092	
	84.027 Subtotal				<u>217,071,022</u>	<u>198,415,790</u>
84.173	Special Education—Preschool Grants			EDA	4,903,633	3,949,632
84.173	Special Education—Preschool Grants			SDA	42,324	
	84.173 Subtotal				<u>4,945,957</u>	<u>3,949,632</u>
	Special Education Cluster (IDEA) Subtotal				<u>222,016,979</u>	<u>202,365,422</u>
<b>TRIO Cluster</b>						
84.042	TRIO—Student Support Services			ASA	1,234,202	
84.042	TRIO—Student Support Services			NAA	339,694	
84.042	TRIO—Student Support Services			UAA	268,845	
	84.042 Subtotal				<u>1,842,741</u>	<u>-</u>
84.044	TRIO—Talent Search			ASA	267,410	
84.044	TRIO—Talent Search			NAA	283,486	
	84.044 Subtotal				<u>550,896</u>	<u>-</u>
84.047	TRIO—Upward Bound			ASA	329,755	
84.047	TRIO—Upward Bound			NAA	773,760	
84.047	TRIO—Upward Bound			UAA	246,008	
	84.047 Subtotal				<u>1,349,523</u>	<u>-</u>
84.066	TRIO—Educational Opportunity Centers			NAA	494,096	
	TRIO Cluster Subtotal				<u>4,237,256</u>	<u>-</u>
<b>Other Department of Education Programs</b>						
84.002	Adult Education—Basic Grants to States			EDA	14,694,256	12,555,369
84.004	Civil Rights Training and Advisory Services	Indiana University	S00D160011	UAA	5,985	
84.010	Title I Grants to Local Educational Agencies			EDA	348,501,765	343,883,883
84.010	Title I Grants to Local Educational Agencies			SDA	412,727	
	84.010 Subtotal				<u>348,914,492</u>	<u>343,883,883</u>
84.011	Migrant Education State Grant Program			EDA	6,135,306	5,453,843
84.013	Title I State Agency Program for Neglected and Delinquent Children and Youth			DCA	1,072,608	
84.013	Title I State Agency Program for Neglected and Delinquent Children and Youth			DJA	496,077	
84.013	Title I State Agency Program for Neglected and Delinquent Children and Youth			EDA	17,824	
	84.013 Subtotal				<u>1,586,509</u>	<u>-</u>
84.015	National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program			UAA	581,260	
84.016	Undergraduate International Studies and Foreign Language Programs			ASA	3,695	
84.021	Overseas Programs - Group Projects Abroad			UAA	351,615	
84.031	Higher Education Institutional Aid	Arizona Western College	PO31C160019	UAA	124,494	
84.031	Higher Education Institutional Aid	Maricopa County Community College District (MCCCD)	Various PO's, Various PO's	ASA	3,367	
	84.031 Subtotal				<u>127,861</u>	<u>-</u>
84.048	Career and Technical Education—Basic Grants to States			DJA	58,827	
84.048	Career and Technical Education—Basic Grants to States			EDA	29,775,723	26,332,403
84.048	Career and Technical Education—Basic Grants to States			SDA	72,892	
84.048	Career and Technical Education—Basic Grants to States			UAA	58,867	
	84.048 Subtotal				<u>29,966,309</u>	<u>26,332,403</u>
84.126	Rehabilitation Services Vocational Rehabilitation Grants to States			DEA	72,867,293	
84.126	Rehabilitation Services Vocational Rehabilitation Grants to States			SDA	948,979	
	84.126 Subtotal				<u>73,816,272</u>	<u>-</u>
84.129	Rehabilitation Long-Term Training			UAA	247,968	
84.144	Migrant Education Coordination Program			EDA	96,449	
84.149	Migrant Education College Assistance Migrant Program			ASA	503,098	
84.177	Rehabilitation Services Independent Living Services for Older Individuals Who are Blind			DEA	580,812	
84.181	Special Education—Grants for Infants and Families			DEA	6,779,464	5,061,653
84.181	Special Education—Grants for Infants and Families			SDA	340,475	
	84.181 Subtotal				<u>7,119,939</u>	<u>5,061,653</u>
84.187	Supported Employment Services for Individuals with the Most Significant Disabilities			DEA	53,302	
84.196	Education for Homeless Children and Youth			EDA	1,592,237	1,386,080
84.206	Javits Gifted and Talented Students Education			EDA	252,397	

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84.206	Javits Gifted and Talented Students Education	University of Hawaii	MA1370, MA1421	NAA	42,493	
	84.206 Subtotal				294,890	-
84.229	Language Resource Centers			UAA	240,491	
84.250	American Indian Vocational Rehabilitation Services			NAA	762,286	
84.282	Charter Schools			EDA	5,917,271	5,455,512
84.287	Twenty-First Century Community Learning Centers			EDA	18,136,270	16,893,099
84.295	Ready-To-Learn Television	Corporation for Public Broadcasting (CPB)	34823-EDU, 34605-EDU	ASA	92,408	
84.299	Indian Education—Special Programs for Indian Children			NAA	166,259	
84.299	Indian Education—Special Programs for Indian Children			UAA	450,063	
	84.299 Subtotal				616,322	-
84.323	Special Education—State Personnel Development			EDA	943,254	398,189
84.323	Special Education—State Personnel Development			NAA	140,566	
84.323	Special Education—State Personnel Development	Missouri Department of Elementary		NAA	1,231,910	166,660
	84.323 Subtotal				2,315,730	564,849
84.325	Special Education—Personnel Development to Improve Services and Results for Children with Disabilities			ASA	279,257	
84.325	Special Education—Personnel Development to Improve Services and Results for Children with Disabilities			NAA	476,384	
84.325	Special Education—Personnel Development to Improve Services and Results for Children with Disabilities			UAA	334,237	
83.325	Special Education—Personnel Development to Improve Services and Results for Children with Disabilities			EDA	5,707	
	84.325 Subtotal				1,095,585	-
84.326	Special Education Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities			SDA	232,488	
84.334	Gaining Early Awareness and Readiness for Undergraduate Programs			NAA	1,705,986	550,304
84.335	Child Care Access Means Parents in School			ASA	165,659	
84.336	Teacher Quality Partnership Grants			ASA	2,321,399	
84.358	Rural Education			EDA	1,723,357	1,723,357
84.365	English Language Acquisition State Grants			ASA	408,054	50,309
84.365	English Language Acquisition State Grants			EDA	12,078,478	11,628,109
84.365	English Language Acquisition State Grants			NAA	486,724	
	84.365 Subtotal				12,973,256	11,678,418
84.366	Mathematics and Science Partnerships			EDA	222,414	222,414
84.367	Supporting Effective Instruction State Grants (formerly Improving Teacher Quality State Grants)			DCA	3,692	
84.367	Supporting Effective Instruction State Grants (formerly Improving Teacher Quality State Grants)			DJA	14,327	
84.367	Supporting Effective Instruction State Grants (formerly Improving Teacher Quality State Grants)			EDA	35,541,220	34,539,792
84.367	Supporting Effective Instruction State Grants (formerly Improving Teacher Quality State Grants)			SDA	35,473	
	84.367 Subtotal				35,594,712	34,539,792
84.369	Grants for State Assessments and Related Activities			EDA	6,523,788	
84.377	School Improvement Grants			EDA	5,297,601	5,297,601
84.418	Promoting Readiness of Minors in Supplemental Security Income			EDA	70,896	
84.418	Promoting Readiness of Minors in Supplemental Security Income	State of Utah	146240	GVA	4,746	
	84.418 Subtotal				75,642	-
84.419	Preschool Development Grants			CDA	1,312,064	699,114
84.419	Preschool Development Grants			EDA	3,995,352	3,155,136
	84.419 Subtotal				5,307,416	3,854,250
84.420	Performance Partnership Pilots for Disconnected Youth			ASA	92,377	51,184
84.424	Student Support and Academic Enrichment Program			EDA	22,050,910	21,228,452
84.425D	COVID-19 - Education Stabilization Fund			EDA	533,153	512,779
84.425E	COVID-19 - Education Stabilization Fund - Student Aid Portion			ASA	2,446,340	
84.425E	COVID-19 - Education Stabilization Fund - Student Aid Portion			NAA	5,864,300	
84.425E	COVID-19 - Education Stabilization Fund - Student Aid Portion			UAA	4,638,900	
84.425F	COVID-19 - Education Stabilization Fund - Institutional Portion			ASA	13,552,883	
84.425F	COVID-19 - Education Stabilization Fund - Institutional Portion			NAA	5,366,635	
84.425M	COVID-19 - Education Stabilization Fund - Strengthening Institutions Program (SIP)			NAA	1,157,111	
	84.425 Subtotal				33,559,322	512,779
84.HB 2695	Strengthening Geographic Literacy in Arizona Yr 2			ASA	45,890	
84.SFEC CFDA 84.310A	Yuma County Family Literacy Workshops	National Center for Families Learning (NCFL)	AGR 01/02/20	ASA	33,391	
84.Title IV-E	MSW FY20: Child Welfare Field Education and Student Support			ASA	4,102,987	
84.UNKNOWN	BSW FY20: Undergraduate Child Welfare Education			ASA	2,527,016	
84.Unknown	Strengthening Geographic Literacy in Arizona			ASA	9,655	
	Total Department of Education				876,668,119	699,610,664
<b>MORRIS K. UDALL FOUNDATION</b>						
85.LTR DTD 040319	Udall Foundation Workplan 2019			UAA	284,099	
85.MKU07978	Udall Foundation Workplan 2020			UAA	129,025	
85.NNI001	Native Nations Institute for Leadership, Management, and Policy			UAA	969,288	
	Total Morris K. Udall Foundation				1,382,412	-

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<b><u>NATIONAL ARCHIVES AND RECORDS ADMINISTRATION</u></b>						
89.003	National Historical Publications and Records Grants			STA	28,113	13,750
	Total National Archives and Records Administration				<u>28,113</u>	<u>13,750</u>
<b><u>ELECTION ASSISTANCE COMMISSION</u></b>						
90.404	2018 HAVA Election Security Grants			STA	4,178,549	2,594,656
	Total Election Assistance Commission				<u>4,178,549</u>	<u>2,594,656</u>
<b><u>DEPARTMENT OF HEALTH AND HUMAN SERVICES</u></b>						
<b><u>Aging Cluster</u></b>						
93.044	COVID-19 - Special Programs for the Aging—Title III, Part B—Grants for Supportive Services and Senior Centers			DEA	248,368	248,368
93.044	Special Programs for the Aging—Title III, Part B—Grants for Supportive Services and Senior Centers			DEA	12,376,220	12,273,162
	93.044 Subtotal				<u>12,624,588</u>	<u>12,521,530</u>
93.045	COVID-19 - Special Programs for the Aging—Title III, Part C—Nutrition Services			DEA	2,540,266	2,540,266
93.045	Special Programs for the Aging—Title III, Part C—Nutrition Services			DEA	13,130,078	12,253,036
	93.045 Subtotal				<u>15,670,344</u>	<u>14,793,302</u>
93.053	Nutrition Services Incentive Program			DEA	1,842,831	1,842,831
	Aging Cluster Subtotal				<u>30,137,763</u>	<u>29,157,663</u>
<b><u>Health Center Program Cluster</u></b>						
93.224	Health Center Program (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, and Public Housing Primary Care)	Wesley Community Center	201901	ASA	68,100	
	Health Center Program Cluster Subtotal				<u>68,100</u>	<u>-</u>
<b><u>CCDF Cluster</u></b>						
93.575	COVID-19 - Child Care and Development Block Grant			DEA	8,085,206	
93.575	Child Care and Development Block Grant			CDA	300,000	
93.575	Child Care and Development Block Grant			CHA	32,435,976	
93.575	Child Care and Development Block Grant			DEA	96,684,457	
93.575	Child Care and Development Block Grant			GVA	151,050	94,882
	93.575 Subtotal				<u>137,656,689</u>	<u>94,882</u>
93.596	COVID-19 - Child Care Mandatory and Matching Funds of the Child Care and Development Fund			DEA	4,206,715	
93.596	Child Care Mandatory and Matching Funds of the Child Care and Development Fund			DEA	77,838,690	-
	93.596 Subtotal				<u>82,045,405</u>	<u>-</u>
	CCDF Cluster Subtotal				<u>219,702,094</u>	<u>94,882</u>
<b><u>Head Start Cluster</u></b>						
93.600	Head Start			EDA	153,431	82,000
	Head Start Cluster Subtotal				<u>153,431</u>	<u>82,000</u>
<b><u>Medicaid Cluster</u></b>						
93.775	State Medicaid Fraud Control Units			AGA	2,993,751	
93.777	State Survey and Certification of Health Care Providers and Suppliers (Title XVIII) Medicare			BNA	414,792	
93.777	State Survey and Certification of Health Care Providers and Suppliers (Title XVIII) Medicare			HSA	3,541,487	
	93.777 Subtotal				<u>3,956,279</u>	<u>-</u>
93.778	COVID-19 - Medical Assistance Program			HCA	332,854,000	
93.778	Medical Assistance Program			HCA	11,654,079,000	18,313,000
93.778	Medical Assistance Program			HSA	95,000	
	93.778 Subtotal				<u>11,987,028,000</u>	<u>18,313,000</u>
	Medicaid Cluster Subtotal				<u>11,993,978,030</u>	<u>18,313,000</u>
<b><u>Other Department of Health and Human Services Programs</u></b>						
93.041	Special Programs for the Aging, Title VII, Chapter 3, Programs for Prevention of Elder Abuse, Neglect, and Exploitation			DEA	84,922	61,613
93.042	COVID-19 - Special Programs for the Aging - Title VII, Chapter 2, Long Term Care Ombudsman Services for Older Individuals			DEA	168	168
93.042	Special Programs for the Aging, Title VII, Chapter 2, Long Term Care Ombudsman Services for Older Individuals			DEA	344,110	323,142
	93.042 Subtotal				<u>344,278</u>	<u>323,310</u>
93.043	Special Programs for the Aging, Title III, Part D, Disease Prevention and Health Promotion Services			DEA	572,406	572,406
93.048	Special Programs for the Aging, Title IV, and Title II, Discretionary Projects			DEA	289,017	165,058
93.052	COVID-19 - National Family Caregiver Support, Title III, Part E			DEA	4,935	4,935
93.052	National Family Caregiver Support, Title III, Part E			DEA	4,047,856	3,880,523
	93.052 Subtotal				<u>4,052,791</u>	<u>3,885,458</u>
93.066	State Vital Statistics Improvement Program			HSA	270,062	

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93.069	Public Health Emergency Preparedness			HSA	8,361,359	4,633,241
93.069	Public Health Emergency Preparedness			UAA	30,545	
	93.069 Subtotal				<u>8,391,904</u>	<u>4,633,241</u>
93.070	Environmental Public Health and Emergency Response			HSA	821,982	272,000
93.071	Medicare Enrollment Assistance Program			DEA	475,301	475,277
93.072	Lifespan Respite Care Program			DEA	89,275	89,275
93.073	Birth Defects and Developmental Disabilities - Prevention and Surveillance			HSA	319,084	98,657
93.074	Hospital Preparedness Program (HPP) and Public Health Emergency Preparedness (PHEP) Aligned Cooperative Agreements			HSA	4,026,354	3,180,316
93.074	Hospital Preparedness Program (HPP) and Public Health Emergency Preparedness (PHEP) Aligned Cooperative Agreements			MAA	10,376	
	93.074 Subtotal				<u>4,036,730</u>	<u>3,180,316</u>
93.079	Cooperative Agreements to Promote Adolescent Health through School-Based HIV/STD Prevention and School-Based Surveillance			HSA	59,027	
93.092	Affordable Care Act (ACA) Personal Responsibility Education Program			HSA	939,983	785,941
93.092	Affordable Care Act (ACA) Personal Responsibility Education Program			UAA	117,225	
	93.092 Subtotal				<u>1,057,208</u>	<u>785,941</u>
93.103	Food and Drug Administration Research			AHA	811,963	
93.103	Food and Drug Administration Research			HSA	33,526	
93.103	Food and Drug Administration Research	FedContract-DHHS (FDA)	HHSF22320170125C	HSA	2,994	
	93.103 Subtotal				<u>848,483</u>	<u>-</u>
93.107	Area Health Education Centers			UAA	480,224	354,128
93.110	Maternal and Child Health Federal Consolidated Programs			HSA	92,207	
93.110	Maternal and Child Health Federal Consolidated Programs			NAA	96,634	
93.110	Maternal and Child Health Federal Consolidated Programs			UAA	1,000,953	26,666
93.110	Maternal and Child Health Federal Consolidated Programs	Oregon Health and Science University	1010559_UAZ	UAA	39,116	
93.110	Maternal and Child Health Federal Consolidated Programs	Organization of Teratology Information Specialists	UG4MC27861	UAA	122,713	
93.110	Maternal and Child Health Federal Consolidated Programs			ASA	5,862	
93.110	Maternal and Child Health Federal Consolidated Programs	University of Colorado: Denver	FY16.368.016	HSA	177,022	14,560
93.110	Maternal and Child Health Federal Consolidated Programs			NAA	20,805	
	93.110 Subtotal				<u>1,555,312</u>	<u>41,226</u>
93.116	Project Grants and Cooperative Agreements for Tuberculosis Control Programs			HSA	1,575,619	860,358
93.118	Acquired Immunodeficiency Syndrome (AIDS) Activity			HSA	120,400	
93.124	Nurse Anesthetist Traineeships			UAA	15,226	
93.127	Emergency Medical Services for Children			HSA	143,649	20,000
93.127	Emergency Medical Services for Children			UAA	111,760	48,652
	93.127 Subtotal				<u>255,409</u>	<u>68,652</u>
93.129	Technical and Non-Financial Assistance to Health Centers	National Association of Community Health Centers (NACHC)	325-02	ASA	11,806	6,455
93.130	Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices			HSA	197,507	
93.134	Grants to Increase Organ Donations			UAA	733,338	722,813
93.136	Injury Prevention and Control Research and State and Community Based Programs			ASA	382,644	
93.136	Injury Prevention and Control Research and State and Community Based Programs			HSA	2,080,313	880,975
93.136	Injury Prevention and Control Research and State and Community Based Programs			PMA	214,783	
93.136	Injury Prevention and Control Research and State and Community Based Programs			UAA	62,722	
	93.136 Subtotal				<u>2,740,462</u>	<u>880,975</u>
93.145	HIV-Related Training and Technical Assistance	University of California: San Francisco	11468sc, 9054sc	UAA	180,564	
93.150	Projects for Assistance in Transition from Homelessness (PATH)			HCA	1,823,000	1,784,000
93.161	Health Program for Toxic Substances and Disease Registry	The American College of Medical Toxicology	LTR DTD 061919	UAA	37,294	
93.165	Grants to States for Loan Repayment Program			HSA	1,031,775	
93.178	Nursing Workforce Diversity			UAA	529,113	
93.197	Childhood Lead Poisoning Prevention Projects, State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children			HSA	347,861	43,425
93.211	COVID-19 - Telehealth Programs			UAA	62,185	
93.211	Telehealth Programs			UAA	344,947	58,103
	93.211 Subtotal				<u>407,132</u>	<u>58,103</u>
93.217	Family Planning Services			HSA	562,351	542,769
93.235	Title V State Sexual Risk Avoidance Education (Title V State SRAE) Program			HSA	1,519,896	1,339,632
93.236	Grants to States to Support Oral Health Workforce Activities			HSA	278,566	17,884
93.236	Grants to States to Support Oral Health Workforce Activities			UAA	47,653	
	93.236 Subtotal				<u>326,219</u>	<u>17,884</u>
93.237	Special Diabetes Program for Indians Diabetes Prevention and Treatment Projects	Hualapai Tribe	18.009	NAA	78,676	4,987
93.237	Special Diabetes Program for Indians Diabetes Prevention and Treatment Projects			UAA	4,987	
	93.237 Subtotal				<u>83,663</u>	<u>4,987</u>
93.241	State Rural Hospital Flexibility Program			UAA	777,245	



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93.243	Substance Abuse and Mental Health Services Projects of Regional and National Significance			EDA	1,874,036	998,789
93.243	Substance Abuse and Mental Health Services Projects of Regional and National Significance			GVA	746,631	587,899
93.243	Substance Abuse and Mental Health Services Projects of Regional and National Significance			HCA	845,000	749,000
93.243	Substance Abuse and Mental Health Services Projects of Regional and National Significance			HSA	214,167	
93.243	Substance Abuse and Mental Health Services Projects of Regional and National Significance			JCA	36,772	
93.243	Substance Abuse and Mental Health Services Projects of Regional and National Significance	Caring Health Center, Inc.	483781	UAA	1,523,504	365,862
93.243	Substance Abuse and Mental Health Services Projects of Regional and National Significance	Old Pueblo Community Foundation	1H79TI080589-ASU	ASA	68,596	
93.243	Substance Abuse and Mental Health Services Projects of Regional and National Significance	University of Minnesota	A005780001	ASA	75,281	
	93.243 Subtotal				<u>5,383,987</u>	<u>2,701,550</u>
93.247	Advanced Nursing Education Grant Program			UAA	52,139	
93.253	Poison Center Support and Enhancement Grant Program			UAA	131,770	
93.268	Immunization Cooperative Agreements			HSA	98,691,659	3,779,002
93.270	Viral Hepatitis Prevention and Control			HSA	89,351	
93.283	Centers for Disease Control and Prevention Investigations and Technical Assistance			HSA	18,632	
93.296	State Partnership Grant Program to Improve Minority Health			HSA	128,828	43,690
93.301	COVID-19 - Small Rural Hospital Improvement Grant Program			UAA	84,320	71,670
93.301	Small Rural Hospital Improvement Grant Program			UAA	1,747	1,485
	93.301 Subtotal				<u>86,067</u>	<u>73,155</u>
93.305	PPHF 2018: Office of Smoking and Health-National State-Based Tobacco Control Programs-Financed in part by 2018 Prevention and Public Health funds (PPHF)			HSA	1,050,941	405,410
93.314	Early Hearing Detection and Intervention Information System (EHDHS) Surveillance Program			HSA	117,162	
93.323	COVID-19 - Epidemiology and Laboratory Capacity for Infectious Diseases (ELC)			HSA	11,989	
93.323	Epidemiology and Laboratory Capacity for Infectious Diseases (ELC)			HSA	3,400,798	449,652
93.323	Epidemiology and Laboratory Capacity for Infectious Diseases (ELC)			UAA	11,270	
	93.323 Subtotal				<u>3,424,057</u>	<u>449,652</u>
93.324	State Health Insurance Assistance Program			DEA	859,469	654,472
93.336	Behavioral Risk Factor Surveillance System			HSA	167,803	
93.354	COVID-19 - Public Health Emergency Response: Cooperative Agreement for Emergency Response: Public Health Crisis Response			HSA	10,954,072	9,935,735
93.354	Public Health Emergency Response: Cooperative Agreement for Emergency Response: Public Health Crisis Response			HSA	452,252	111,832
	93.354 Subtotal				<u>11,406,324</u>	<u>10,047,567</u>
93.367	Flexible Funding Model—Infrastructure Development and Maintenance for State Manufactured Food Regulatory Programs			HSA	200,292	
93.369	ACL Independent Living State Grants			DEA	376,133	
93.391	Activities to Support State, Tribal, Local and Territorial Health Department Response to Public Health and Healthcare Crises			NAA	57,681	
93.421	Strengthening Public Health Systems and Services through National Partnerships to Improve and Protect the Nation's Health	Council of State and Terretorial (CSTE)	NU38OT000297	HSA	2,602	
93.426	Improving the Health of Americans through Prevention and Management of Diabetes and Heart Disease and Stroke			HSA	985,398	250,572
93.426	Improving the Health of Americans through Prevention and Management of Diabetes and Heart Disease and Stroke			UAA	423,705	
	93.426 Subtotal				<u>1,409,103</u>	<u>250,572</u>
93.434	Every Student Succeeds Act/Preschool Development Grants			EDA	1,020,271	
93.448	Food Safety and Security Monitoring Project			HSA	260,585	
93.471	Title IV-E Kinship Navigator Program			CHA	201,799	
93.464	ACL Assistive Technology			NAA	616,855	
93.478	Preventing Maternal Deaths: Supporting Maternal Morality Review Committees			HSA	120,814	
93.500	Pregnancy Assistance Fund Program			GVA	546,110	459,539
93.516	Public Health Training Centers Program			UAA	931,056	299,163
93.521	The Affordable Care Act: Building Epidemiology, Laboratory, and Health Information Systems Capacity in the Epidemiology and Laboratory Capacity for Infectious Disease (ELC) and Emerging Infections Program (EIP) Cooperative Agreements; PPHF			HSA	43,385	
93.539	PPHF Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance financed in part by Prevention and Public Health Funds			HSA	467,673	413,180
93.556	Promoting Safe and Stable Families			CHA	6,084,763	
93.558	Temporary Assistance for Needy Families			CHA	164,136,267	
93.558	Temporary Assistance for Needy Families			DEA	64,967,686	18,900,921
	93.558 Subtotal				<u>229,103,953</u>	<u>18,900,921</u>
93.563	Child Support Enforcement			DEA	50,977,742	5,240,738
93.563	Child Support Enforcement			SPA	96,543	
	93.563 Subtotal				<u>51,074,285</u>	<u>5,240,738</u>
93.566	Refugee and Entrant Assistance State/Replacement Designee Administered Programs			DEA	8,746,411	7,154,632
93.568	COVID-19 - Low-Income Home Energy Assistance			DEA	103,605	103,605
93.568	Low-Income Home Energy Assistance			DEA	24,772,240	24,217,709



**State of Arizona**  
**Schedule of expenditures of federal awards**  
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Assistance Listing/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
93.568	Low-Income Home Energy Assistance			HDA	3,783,450	3,672,257
	93.568 Subtotal				<u>28,659,295</u>	<u>27,993,571</u>
93.569	COVID-19 - Community Services Block Grant			DEA	53,339	53,339
93.569	Community Services Block Grant			DEA	5,434,182	5,263,458
	93.569 Subtotal				<u>5,487,521</u>	<u>5,316,797</u>
93.576	Refugee and Entrant Assistance Discretionary Grants			DEA	116,939	116,939
93.584	Refugee and Entrant Assistance Targeted Assistance Grants			DEA	46,137	46,137
93.586	State Court Improvement Program			SPA	601,343	14,357
93.590	Community-Based Child Abuse Prevention Grants			CHA	201,504	
93.592	Family Violence Prevention and Services/Discretionary	Battered Womens Justice Project	OC2017-03	NAA	20,438	
93.597	Grants to States for Access and Visitation Programs			DEA	218,730	218,730
93.599	Chafee Education and Training Vouchers Program (ETV)			CHA	1,647,018	
93.602	Assets for Independence Demonstration Program			ASA	2,001,961	
93.602	Assets for Independence Demonstration Program			NAA	462,000	
93.602	Assets for Independence Demonstration Program			UAA	291,876	
	93.602 Subtotal				<u>2,755,837</u>	<u>-</u>
93.603	Adoption and Legal Guardianship Incentive Payments			CHA	441,254	
93.630	Developmental Disabilities Basic Support and Advocacy Grants			DEA	1,492,893	793,081
93.630	Developmental Disabilities Basic Support and Advocacy Grants			NAA	70,674	
93.630	Developmental Disabilities Basic Support and Advocacy Grants	The Arc of Arizona	C19-SGA013	NAA	2,417	
	93.630 Subtotal				<u>1,565,984</u>	<u>793,081</u>
93.632	University Centers for Excellence in Developmental Disabilities Education, Research, and Service			NAA	472,380	34,405
93.643	Children's Justice Grants to States			GVA	336,369	145,210
93.645	Stephanie Tubbs Jones Child Welfare Services Program			CHA	4,863,269	
93.648	Child Welfare Research Training or Demonstration	State University of New York: Research Foundation	1128024-20-72851	ASA	4,728	
93.658	COVID-19 - Foster Care Title IV-E			CHA	3,000,852	
93.658	Foster Care Title IV-E			CHA	169,913,242	
93.658	Foster Care Title IV-E			SPA	9,593,450	8,894,882
	93.658 Subtotal				<u>182,507,544</u>	<u>8,894,882</u>
93.659	COVID-19 - Adoption Assistance			CHA	5,278,765	
93.659	Adoption Assistance			CHA	164,151,763	
	93.659 Subtotal				<u>169,430,528</u>	<u>-</u>
93.667	Social Services Block Grant			CHA	14,085,634	
93.667	Social Services Block Grant			DEA	12,247,194	12,247,194
	93.667 Subtotal				<u>26,332,828</u>	<u>12,247,194</u>
93.665	COVID-19 - Emergency Grants to Address Mental and Substance Use Disorders During COVID-19			HCA	13,000	
93.669	Child Abuse and Neglect State Grants			CHA	889,023	
93.671	Family Violence Prevention and Services/Domestic Violence Shelter and Supportive Services			HSA	1,769,834	1,727,874
93.674	John H. Chafee Foster Care Program for Successful Transition to Adulthood			CHA	5,262,264	
93.704	Trans-NIH Recovery Act Loan Repayment Support	Pima County Health Department	CT-HD-18-512	UAA	1,906	
93.735	State Public Health Approaches for Ensuring Quitline Capacity—Funded in part by Prevention and Public Health Funds (PPHF)			HSA	18,859	
93.735	State Public Health Approaches for Ensuring Quitline Capacity—Funded in part by Prevention and Public Health Funds (PPHF)			UAA	336,111	
	93.735 Subtotal				<u>354,970</u>	<u>-</u>
93.738	PPHF: Racial and Ethnic Approaches to Community Health Program financed solely by Public Prevention and Health Funds	Pima County, Arizona	CT-HD19-273	UAA	199,992	
93.738	PPHF: Racial and Ethnic Approaches to Community Health Program financed solely by Public Prevention and Health Funds	Pima County Health Department	CTHD19272	UAA	150,389	
	93.738 Subtotal				<u>350,381</u>	<u>-</u>
93.747	Elder Abuse Prevention Interventions Program			DEA	417,453	
93.762	A Comprehensive Approach to Good Health and Wellness in Indian County – financed solely by Prevention and Public Health	Hualapai Tribe	20-0247	NAA	13,277	
93.767	COVID-19 - Children's Health Insurance Program			HCA	5,378,000	
93.767	Children's Health Insurance Program			HCA	220,085,000	
93.767	Children's Health Insurance Program			HSA	3,520,485	
	93.767 Subtotal				<u>228,983,485</u>	<u>-</u>
93.788	Opioid STR			ASA	331,554	
93.788	Opioid STR			CDA	86,869	86,869
93.788	Opioid STR			CHA	1,799,050	
93.788	Opioid STR			DCA	122,490	
93.788	Opioid STR			GVA	2,590,498	715,665
93.788	Opioid STR			HCA	18,764,000	18,454,000
93.788	Opioid STR			HSA	228,006	
93.788	Opioid STR			HSA	900,289	221,158
93.788	Opioid STR			NAA	39,431	
93.788	Opioid STR			UAA	52,008	
93.788	Opioid STR			VSA	271,374	
	93.788 Subtotal				<u>25,185,569</u>	<u>19,477,692</u>
93.796	State Survey Certification of Health Care Providers and Suppliers (Title XIX) Medicaid			HSA	917,862	

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Assistance Listing/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
93.817	Hospital Preparedness Program (HPP) Ebola Preparedness and Response Activities			HSA	124,404	64,258
93.817	Hospital Preparedness Program (HPP) Ebola Preparedness and Response Activities			UAA	3,409	
	93.817 Subtotal				<u>127,813</u>	<u>64,258</u>
93.822	Health Careers Opportunity Program			NAA	28,711	
93.822	Health Careers Opportunity Program			UAA	804,677	102,493
	93.822 Subtotal				<u>833,388</u>	<u>102,493</u>
93.870	Maternal, Infant and Early Childhood Home Visiting Grant Program			CDA	1,261,704	1,258,489
93.870	Maternal, Infant and Early Childhood Home Visiting Grant Program			CHA	2,431,006	
93.870	Maternal, Infant and Early Childhood Home Visiting Grant Program			HSA	4,854,958	2,558,210
	93.870 Subtotal				<u>8,547,668</u>	<u>3,816,699</u>
93.879	Medical Library Assistance	Regents of the University of California	5415 G XA082	NAA	9,424	
93.889	COVID-19 - National Bioterrorism Hospital Preparedness Program			HSA	240,000	
93.889	National Bioterrorism Hospital Preparedness Program			HSA	3,511,782	1,990,414
93.889	National Bioterrorism Hospital Preparedness Program			UAA	27,673	
	93.889 Subtotal				<u>3,779,455</u>	<u>1,990,414</u>
93.898	Cancer Prevention and Control Programs for State, Territorial and Tribal Organizations			HSA	4,191,423	3,029,345
93.913	Grants to States for Operation of Offices of Rural Health			UAA	178,817	
93.917	COVID-19 - HIV Care Formula Grants			HSA	372,812	
93.917	HIV Care Formula Grants			HSA	31,140,589	14,574,726
93.917	HIV Care Formula Grants			UAA	867,845	
	93.917 Subtotal				<u>32,381,246</u>	<u>14,574,726</u>
93.918	Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease			UAA	2,009,674	
93.940	HIV Prevention Activities Health Department Based			HSA	4,566,047	2,543,338
93.940	HIV Prevention Activities Health Department Based			UAA	260,296	
	93.940 Subtotal				<u>4,826,343</u>	<u>2,543,338</u>
93.946	Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs			HSA	251,414	2,210
93.958	Block Grants for Community Mental Health Services			HCA	16,057,000	15,182,000
93.959	Block Grants for Prevention and Treatment of Substance Abuse			GVA	4,360,664	3,258,508
93.959	Block Grants for Prevention and Treatment of Substance Abuse			HCA	35,357,000	33,251,000
93.959	Block Grants for Prevention and Treatment of Substance Abuse			HSA	56,880	
93.959	Block Grants for Prevention and Treatment of Substance Abuse			LLA	206,216	
	93.959 Subtotal				<u>39,980,760</u>	<u>36,509,508</u>
93.969	PPHF Geriatric Education Centers			UAA	125,123	105,874
93.970	Health Professions Recruitment Program for Indians			UAA	375,834	
93.977	Sexually Transmitted Diseases (STD) Prevention and Control Grants			HSA	1,667,640	1,043,623
93.981	Improving Student Health and Academic Achievement through Nutrition, Physical Activity and the Management of Chronic Conditions in Schools			EDA	416,674	
93.981	Improving Student Health and Academic Achievement through Nutrition, Physical Activity and the Management of Chronic Conditions in Schools			HSA	22,783	
	93.981 Subtotal				<u>439,457</u>	<u>-</u>
93.991	Preventive Health and Health Services Block Grant			ASA	95,653	
93.991	Preventive Health and Health Services Block Grant			HSA	1,659,658	1,094,179
	93.991 Subtotal				<u>1,755,311</u>	<u>1,094,179</u>
93.994	Maternal and Child Health Services Block Grant to the States			HSA	6,893,211	3,431,956
93.994	Maternal and Child Health Services Block Grant to the States			UAA	69,684	
	93.994 Subtotal				<u>6,962,895</u>	<u>3,431,956</u>
93.75040119C00013	American Indian and Alaska Native Compliance Training Development and Delivery Services	Rainmakers Strategic Solutions LLC	AGR 11/1/2019	ASA	11,606	
93.AGREEMENT SIGNED 07/20/2018	LifeSTEP Program - Banner	Banner University Health Plans	Agreement Signed 07/20/2018	UAA	38,672	
93.CTR047360	State Unintentional Drug Overdose Reporting System (SUDORS)			ASA	108,652	
93.CRT	Center for Disease Control & Prevention			NAA	302,754	
75D30118C00594	Center for Disease Control & Prevention			NAA	233,684	
93.CRT	Center for Disease Control & Prevention			NAA	118,499	
75D30118C00607	Center for Disease Control & Prevention			NAA	118,499	
93.CRT	Center for Disease Control & Prevention			NAA	118,499	
75D30119P05696	National Institutes of Health			NAA	83,630	
93.CRT	National Institutes of Health			NAA	83,630	
75N95019P00313	National Institutes of Health			NAA	83,630	
93.D04RH23596	Vivir Mejor! Diabetes System of Prevention and Care	Mariposa Community Health Center	LTR DTD 080912	UAA	21,725	
93.N/A	Improving Disability Communications	Arizona Developmental Disabilities Planning Council (ADDPC)	ADDPC-0212-18-2018/Year 1	ASA	6,722	
93.TBD	Advanced Nursing Education Nurse Practitioner Residency (ANE-NPR) Program	El Rio Community Health Center	AGR 10/18/19	ASA	31,171	
93.Unknown	Indian Health Service			NAA	57,021	
93.Unknown	Advanced Practice Nurses for a Healthy Arizona	HonorHealth	LTR DTD 121812	UAA	4,790	
93.Unknown	LifeSTEP- AZ Complete Health	Arizona Complete Health	NA	UAA	58,788	
93.Unknown	LifeSTEP FY2019 - UnitedHealthcare Insurance Company	United Healthcare of Arizona, Incorporated	LTR DTD 020717	UAA	84,787	
	Total Department of Health and Human Services				<u>13,519,467,120</u>	<u>280,306,239</u>

State of Arizona  
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Assistance Listing/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
<b>CORPORATION FOR NATIONAL AND COMMUNITY SERVICE</b>						
<b>Foster Grandparent/Senior Companion Cluster</b>						
94.011	Foster Grandparent Program			NAA	774,682	
94.016	Senior Companion Program			NAA	610,673	
	Foster Grandparents/Senior Companion Cluster Subtotal				<u>1,385,355</u>	<u>-</u>
<b>Other Corporation for National and Community Service Programs</b>						
94.002	Retired and Senior Volunteer Program			NAA	148,067	
94.003	State Commissions	Corporation for National and Community Service	13CAHAZ001	GVA	276,778	2,445
94.006	AmeriCorps			ASA	162,394	
94.006	AmeriCorps	Public Allies	OP007-94.006-20-PAAZ	ASA	433,488	
94.006	AmeriCorps			DCA	56,757	
94.006	AmeriCorps			GVA	2,651,564	2,651,554
94.006	AmeriCorps			NAA	408,574	
94.006	AmeriCorps			SPA	99,999	65,614
94.006	AmeriCorps			UAA	525,213	
	94.006 Subtotal				<u>4,337,989</u>	<u>2,717,168</u>
94.009	Training and Technical Assistance			GVA	53,301	7,752
94.009	Training and Technical Assistance			UAA	179,120	
	94.009 Subtotal				<u>232,421</u>	<u>7,752</u>
94.021	Volunteer Generation Fund			ASA	6,953	
94.021	Volunteer Generation Fund			GVA	79,329	39,347
94.021	Volunteer Generation Fund			NAA	33,614	
	94.021 Subtotal				<u>119,896</u>	<u>39,347</u>
94.18AFHAZ001	Increasing Access to Evidence-based Care for Survivors of Domestic Violence - Revision - 1			ASA	285,125	12,125
94.ISA-ACTTA-18-071517-01Y2	Year 2 of ISA-ACTTA-18-071517-01 - Rural Arizona Training and Investment Project			ASA	88,143	
94.ISA-ST-20-010120-02	STOP Formula Grant			ASA	1,061	
94.ISA-CP-19-010119-02	Governor's Office of Youth, Faith and Family (GOYFF) Commission Admin - AmeriCorps			ASA	18,690	
	Total Corporation for National and Community Service				<u>6,893,525</u>	<u>2,778,837</u>
<b>EXECUTIVE OFFICE OF THE PRESIDENT</b>						
95.001	High Intensity Drug Trafficking Areas Program			AGA	746,377	
95.001	High Intensity Drug Trafficking Areas Program			PSA	433,623	
	95.001 Subtotal				<u>1,180,000</u>	<u>-</u>
	Total Executive Office of the President				<u>1,180,000</u>	<u>-</u>
<b>SOCIAL SECURITY ADMINISTRATION</b>						
<b>Disability Insurance/SSI Cluster</b>						
96.001	Social Security—Disability Insurance			DEA	35,276,910	
	Disability Insurance/SSI Cluster Subtotal				<u>35,276,910</u>	<u>-</u>
	Total Social Security Administration				<u>35,276,910</u>	<u>-</u>
<b>DEPARTMENT OF HOMELAND SECURITY</b>						
97.008	Non-Profit Security Program			HLA	659,153	659,153
97.012	Boating Safety Financial Assistance			GFA	2,293,734	
97.023	Community Assistance Program State Support Services Element (CAP-SSSE)			WCA	192,037	
97.036	COVID-19 - Disaster Grants—Public Assistance (Presidentially Declared Disasters)			MAA	660,134	
97.036	Disaster Grants—Public Assistance (Presidentially Declared Disasters)			MAA	474,360	474,360
	97.036 Subtotal				<u>1,134,494</u>	<u>474,360</u>
97.039	Hazard Mitigation Grant			FOA	154,672	92,647
97.041	National Dam Safety Program			WCA	60,826	
97.042	Emergency Management Performance Grants			AHA	137,120	
97.042	Emergency Management Performance Grants			ASA	141,388	
97.042	Emergency Management Performance Grants			MAA	6,369,959	4,018,063
	97.042 Subtotal				<u>6,648,467</u>	<u>4,018,063</u>
97.045	Cooperating Technical Partners			WCA	159,156	
97.047	BRIC: Building Resilient Infrastructure and Communities			MAA	57,262	39,499
97.067	Homeland Security Grant Program			ADA	45,764	
97.067	Homeland Security Grant Program			HLA	20,786,895	19,076,718
97.067	Homeland Security Grant Program			MAA	310,296	167,218
97.067	Homeland Security Grant Program			PSA	2,517,437	15,343
	97.067 Subtotal				<u>23,660,392</u>	<u>19,259,279</u>
97.082	Earthquake Consortium			UAA	17,438	
	Total Department of Homeland Security				<u>35,037,631</u>	<u>24,543,001</u>
<b>AGENCY FOR INTERNATIONAL DEVELOPMENT</b>						
98.001	USAID Foreign Assistance for Programs Overseas			ASA	3,792,116	876,827
98.001	USAID Foreign Assistance for Programs Overseas	Creative Associates International	CN70503-SVPA-002	ASA	59,107	

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Assistance Listing/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
98.001	USAID Foreign Assistance for Programs Overseas	International Executive Service Corps (IESC)	175023	ASA	11,143	
	98.001 Subtotal				3,862,366	876,827
98.012	USAID Development Partnerships for University Cooperation and Development	National Opinion Research Center (NORC)	8361	ASA	35,019	
98.AID-522-TO-16-00007	Honduras Justice Human Rights and Security Strengthening (JHRSS)	Development Alternatives, Inc.	1002979-17S-27430-00	ASA	21,477	
98.AID-OAA-I-15-00011	Secondary Prevention Program Adaption and Evaluation Support Services	Creative Associates International, Inc.	CFYR-0010	ASA	17,819	
98.S-ECAGD-18-CA-0022	2020 MWF Leadership Institute	International Research and Exchanges Board (IREX)	FY20-YALI-PM-ASU-05, FY20-YALI-PM-ASU-05	ASA	6,515	
	Total Agency for International Development				3,943,196	876,827
<b><u>STUDENT FINANCIAL ASSISTANCE CLUSTER</u></b>						
<b><u>Department of Education</u></b>						
84.007	Federal Supplemental Educational Opportunity Grants			ASA	5,901,838	
84.007	Federal Supplemental Educational Opportunity Grants			NAA	1,232,718	
84.007	Federal Supplemental Educational Opportunity Grants			UAA	1,644,041	
	84.007 Subtotal				8,778,597	-
84.033	Federal Work—Study Program			ASA	4,729,317	
84.033	Federal Work—Study Program			NAA	1,066,294	
84.033	Federal Work—Study Program			UAA	2,821,496	
	84.033 Subtotal				8,617,107	-
84.038	Federal Perkins Loan Program— Federal Capital Contributions			ASA	9,277,903	
84.038	Federal Perkins Loan Program— Federal Capital Contributions			NAA	3,735,629	
84.038	Federal Perkins Loan Program— Federal Capital Contributions			UAA	9,760,320	
	84.038 Subtotal				22,773,852	-
84.063	Federal Pell Grant Program			ASA	174,118,245	
84.063	Federal Pell Grant Program			NAA	41,421,340	
84.063	Federal Pell Grant Program			UAA	51,516,791	
84.063	Federal Pell Grant Program	United States Department of Education	Unknown	UAA	56,035	
	84.063 Subtotal				267,112,411	-
84.268	Federal Direct Student Loans			ASA	695,544,602	
84.268	Federal Direct Student Loans			NAA	154,772,939	
84.268	Federal Direct Student Loans			UAA	243,850,445	
	84.268 Subtotal				1,094,167,986	-
84.379	Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)			ASA	1,827,839	
84.379	Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)			NAA	1,719,181	
84.379	Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)			UAA	66,160	
	84.379 Subtotal				3,613,180	-
84.408	Postsecondary Education Scholarships for Veteran's Dependents (Iraq and Afghanistan Service Grant (IASG))			ASA	6,555	
	Department of Education Subtotal				1,405,069,688	-
<b><u>Department of Health and Human Services</u></b>						
93.264	Nurse Faculty Loan Program (NFLP)			ASA	890,810	
93.264	Nurse Faculty Loan Program (NFLP)			UAA	6,676,431	
	93.264 Subtotal				7,567,241	-
93.342	Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students			UAA	3,378,410	
93.364	Nursing Student Loans			NAA	320,580	
93.364	Nursing Student Loans			UAA	1,513,383	
	93.364 Subtotal				1,833,963	-
93.408	ARRA-Nurse Faculty Loan Program			UAA	188,532	
93.925	Scholarships for Health Professions Students from Disadvantaged Backgrounds - Scholarships for Disadvantaged Students (SDS)			NAA	621,000	
	Department of Health and Human Services Subtotal				13,589,146	-
	Total Student Financial Assistance Cluster				1,418,658,834	-
<b><u>RESEARCH AND DEVELOPMENT CLUSTER</u></b>						
<b><u>Department of Agriculture</u></b>						
10.RD	Agricultural Research Service			ASA	17,824	
10.RD	Agricultural Research Service			UAA	1,824,251	
10.RD	Department of Agriculture			ASA	248,163	2,488
10.RD	Department of Agriculture			NAA	403,578	20,856
10.RD	Forest Service			ASA	65,935	
10.RD	Forest Service			NAA	2,525,567	
10.RD	National Institute of Food and Agriculture			ASA	994,904	160,755
10.RD	National Institute of Food and Agriculture			NAA	775,989	
10.RD	Natural Resource Conservation			NAA	122,269	
10.RD	Natural Resource Conservation			UAA	388,053	
10.RD	United States Department of Agriculture			UAA	10,077,215	1,609,139
10.RD	United States Forest Service			UAA	170,707	
10.RD	USDA Animal and Plant Health Inspection			NAA	40,710	

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Assistance Listing/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
10.RD		Arizona Department of Agriculture	15-8100-0394-MU, LTR DTD 050416, SCBGP19-07, SCBGP19-09, SCBGP19-10, SCBGP19-13, SCBGP19-14, SCBGP19-15, SCBGP19-16, SCBGP19-17, SCBGP19-21, SCBGP19-22, SCBGP19-23, SCBGP19-24, SCBGP19-28, SCBGP19-33, SCBGP-FB16-30, SCBGP-FB16-37/16SCBGP037, SCBGP-FB17-03, SCBGP-FB17-11, SCBGP-FB17-19, SCBGP-FB17-25, SCBGP-FB17-28, SCBGP-FB17-30, SCBGP-FB17-41, SCBGP-FB17-42, SCBGP-FB17-46, SCBGP-FB18-03, SCBGP-FB18-07, SCBGP-FB18-08, SCBGP-FB18-09, SCBGP-FB18-10, SCBGP-FB18-12, SCBGP-FB18-14, SCBGP-FB18-15, SCBGP-FB18-16, SCBGP-FB18-22, SCBGP-FB18-24, SCBGP-FB18-25, SCBGP-FB18-28, SCBGP-FB18-31, SCBGP19-08 ALP 17-931, SWET 14-001	UAA	1,144,072	
10.RD		Arizona Dept of Forestry & Fire Management		NAA	64,864	
10.RD		Arizona State Forestry Division	CCG 17-101/17DG-11031600-07, CCG 18-101	UAA	9,332	
10.RD		Arizona State University	16-927	UAA	35,431	
10.RD		California Department of Food and Agriculture	18-0350/39246/67406/10025-P	UAA	115,685	
10.RD		California Polytechnic State University	2020-1-46109	ASA	92,376	
10.RD		Center for Produce Safety	2017CPS05/16-SCBGP-CA-0035, 2019CPS03, 2019CPS04, 2019CPSRR01, 2019CPSRR02	UAA	174,537	
10.RD		Dine College	1819-3-193	NAA	23,534	
10.RD		Diversified Technologies, Inc.	PO 00016318	ASA	88,423	
10.RD		Gretchen Swanson Center for Nutrition	LTR DTD 031120	UAA	15,140	
10.RD		HM3 Energy, Inc	N/A	NAA	22,543	
10.RD		Johns Hopkins University (JHU)	2003761098	ASA	105,848	
10.RD		Montana State University	G244-19-W7500, G246-20-W7905	UAA	46,751	
10.RD		Navajo Technical University	30923	NAA	27,530	
10.RD		Navajo Technical University (NTU)	30927-00-1174	ASA	38,961	
10.RD		New Mexico State University	Q01860	UAA	27,358	
10.RD		North Carolina State University	2016-1498-05, 2018-2074-01	UAA	227,465	
10.RD		Pennsylvania State University	5650-ASU-USDA-6584	ASA	133,561	
10.RD		PJ Woodlands	N/A	NAA	49,148	
10.RD		Rayn Innovations	FP00011442	ASA	32,822	
10.RD		Texas A and M University	06-M1703387	UAA	187,224	
10.RD		Texas A&M AgriLife Research	A-3A75-16-048/M1902957, M1900060	UAA	108,457	
10.RD		TGEN	DME USDA 01	NAA	73,226	
10.RD		University of Arizona	PO 483107	NAA	45,138	
10.RD		University of California Davis	A17-0777-S001	NAA	5,194	
10.RD		University of California, Davis	201403757-03, 201504249-02, 201603794-10, A18-0619-S002, A19-0428-S001/18-0001-044-S, A20-1347-S030	UAA	183,480	
10.RD		University of California Division of Agriculture and Natural Resources	SA18-4060-02	UAA	96,316	
10.RD		University of Central Arkansas	4209-001S	NAA	112,986	
10.RD		University of Colorado, Boulder	1556407	UAA	52,347	
10.RD		University of Florida	UFDSP00011348	ASA	69,531	
10.RD		University of Florida	SUB00001911/2019-67021-29, UFDSP00011766, UFDSP00012276	UAA	61,685	
10.RD		University of Idaho	NR3078-SB-223203	UAA	174,981	
10.RD		University of Maryland	35504-Z5782001	UAA	312,593	
10.RD		University of Montana	PG17-65073-01	NAA	58,122	
10.RD		University of Nevada: Reno	UNR-19-01	ASA	102,129	
10.RD		University of Nevada Reno	UNR-19-04	NAA	32,120	
10.RD		University of Nevada, Reno	UNR-15-70, UNR-17-55/17-JV-11272138-01	UAA	119,498	
10.RD		University of Washington	763254/201467015-22106	UAA	3,657	
10.RD		Utah State University	200592-440, 200592-518/2016-38640-25383	UAA	18,113	
		Department of Agriculture Subtotal			<u>21,947,343</u>	<u>1,793,238</u>
		<b>Department of Commerce</b>				
11.RD		National Institute of Standards and Technology		ASA	4,279	
11.RD		National Institute of Standards and Technology		NAA	167,953	
11.RD		National Institute of Standards and Technology		NAA	10,094	
11.RD		National Institute of Standards and Technology		UAA	66,637	
11.RD		National Oceanic and Atmospheric Administration		ASA	207,553	
11.RD		National Oceanic and Atmospheric Administration		NAA	55,072	
11.RD		National Oceanic and Atmospheric Administration		UAA	1,475,528	190,535
11.RD		United States Patent and Trademark Office		UAA	39,996	
11.RD		Columbia University	1 (GG008896)/NA130AR4310184	UAA	177,805	
11.RD		Desert Research Institute	GR09346, GR10546	UAA	45,673	
11.RD		University Corporation for Atmospheric Research	SUBAWD001541	UAA	40,711	
11.RD		University of Colorado, Boulder	1554724/1000913446	UAA	4,168	
11.RD		Alphacore, Inc.	[7058] NIST PH II	ASA	47,380	

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11.RD		Greater Phoenix Economic Council (GPEC)	AGR 7/23/19	ASA	17,568	
11.RD		Museum of Science	4746-ASU-01	ASA	1,281	
11.RD		North Pacific Research Board	1607	ASA	21,002	
11.RD		UCAR: COMET	SUBAWD001574	ASA	12,214	
11.RD		University of Miami	SPC-000614, SPC-000499	ASA	37,754	
11.RD		University of Missouri: Columbia	C00066632-1	ASA	97,781	
	Department of Commerce Subtotal				<u>2,530,449</u>	<u>190,535</u>
	<b>Department of Defense</b>					
12.RD	AFRL DET 8			ASA	210,999	
12.RD	Air Force -- Research Lab			ASA	44,547	30,488
12.RD	Air Force Research Laboratory			NAA	1,576,062	687,500
12.RD	Air Force Academy			ASA	104,799	75,750
12.RD	Air Force Office of Scientific Research			ASA	2,457,322	50,841
12.RD	Air Force Office of Scientific Research			UAA	3,566,012	454,368
12.RD	Air Force Research Laboratory			UAA	1,301,812	415,347
12.RD	DARPA - Biological Technologies Office			ASA	4,242,722	1,774,267
12.RD	DARPA - Defense Sciences Office			ASA	948,589	
12.RD	DARPA - Information Innovation Office			ASA	3,247,208	1,539,821
12.RD	DARPA - Microsystems Technology Office			ASA	4,919,622	3,020,288
12.RD	Defense Advanced Research Projects Agency			ASA	501,439	9,441
12.RD	Defense Threat Reduction Agency			NAA	1,757,722	1,037,993
12.RD	Defense Advanced Research Projects Agency			UAA	428,755	
12.RD	Defense Threat Reduction Agency			ASA	561,331	67,763
12.RD	Defense Threat Reduction Agency			UAA	791,072	282,285
12.RD	Department of Defense			ASA	1,035,317	70,874
12.RD	Department of Defense			NAA	537,385	
12.RD	Department of the Army			NAA	120,172	57,686
12.RD	Dept of the Army -- Materiel Command			ASA	2,052,441	130,578
12.RD	Dept. of the Army -- Corps of Engineers			ASA	129,199	
12.RD	Dept. of the Army -- USAMRAA			ASA	1,230,442	226,875
12.RD	DOD: Advanced Distributed Learning (ADL)			ASA	464,241	52,042
12.RD	DOD: National Security Agency (NSA)			ASA	20,952	
12.RD	DOD: Washington Headquarters Services Acquisition Directorate			ASA	614,314	219,657
12.RD	DOD-ARMY: Training and Doctrine Command (TRADOC)			ASA	52,981	45,275
12.RD	DOD-ARMY: U.S. Army Recruiting Command			ASA	2,357	
12.RD	DOD-ARMY-ARL: Army Research Office (ARO)			ASA	1,902,412	49,777
12.RD	Department of the Navy			NAA	22,909	
12.RD	Engineer Research and Development Center			ASA	56,624	
12.RD	Maryland Procurement Office			UAA	107,781	
12.RD	National Geospatial-Intelligence Agency			UAA	242,398	
12.RD	National Security Agency			UAA	332,509	215,105
12.RD	Naval Research Laboratory			ASA	257,948	
12.RD	Naval Supply Systems Command			ASA	36,372	
12.RD	Naval Supply Systems Command			UAA	128,319	
12.RD	NSWC - CRANE			ASA	75,572	
12.RD	NSWC Indian Head			ASA	164,926	
12.RD	Office of Naval Research			ASA	6,031,810	805,909
12.RD	Office of Naval Research			UAA	2,287,738	495,974
12.RD	United States Air Force			UAA	19,157	
12.RD	United States Air Force Academy			UAA	12,542	
12.RD	United States Army Contracting Command			UAA	3,154,148	1,999,672
12.RD	United States Army Corps of Engineers			UAA	1,185,084	186,146
12.RD	United States Army Materiel Command			UAA	51,254	
12.RD	United States Army Medical Research Acquisition Activity			UAA	7,827,070	165,870
12.RD	United States Army Research Office			UAA	407,088	
12.RD	United States Navy			UAA	88,976	
12.RD	Washington HQ Acquisition Directorate			UAA	449	
12.RD		Advanced Regenerative Manufacturing Institute (ARMI)	TO138	ASA	229,916	
12.RD		Advanced Technology International	2019-693/1	UAA	16,799	
12.RD		Advent Diamond, LLC	FA9453-19-P-0533, HDTRA 120P0013	ASA	79,719	
12.RD		Alphacore, Inc.	7059, 7051	ASA	158,608	
12.RD		American Burn Association	W81XWH-09-2-0194	UAA	5,849	
12.RD		Applied Research, LLC	114-1	ASA	829	
12.RD		Aptima, Inc	1369-2130	ASA	300,119	
12.RD		Arizona Veterans Research and Education Foundation	17-0473-ASU	ASA	42,481	
12.RD		ASU: ASU Research Enterprise (ASURE)	PO 19-001, PO 20-001	ASA	194,534	
12.RD		Arizona State University	ASUB00000088	UAA	330,499	
12.RD		ATA Engineering, Inc.	69049-020, 68154-101	ASA	18,543	
12.RD		Avirtek, Incorporated	LTR DTD 112219	UAA	17,251	
12.RD		Boeing Company	1661154	ASA	369,788	
12.RD		Booz, Allen, and Hamilton, Incorporated	S901067BAH	UAA	108,362	
12.RD		Boston Fusion Corp	BF-5036-SK001, BF-5044-SK001, BF-5051-SK001, BF-5039-SK001, BF-5045-SK001	ASA	305,397	
12.RD		Boston University	4500003033	ASA	50,216	
12.RD		Carl T Hayden Medical Research Foundation	17-0473-UA-2	UAA	216,726	
12.RD		Carnegie Mellon University	1141309-395151, 1141244-313357	ASA	119,280	
12.RD		Center for Open Science	N660011924015	ASA	305	
12.RD		CFD Research Corporation	20190626, 20200167	ASA	113,521	
12.RD		Charles River Analytics	SC1600101	ASA	52,519	
12.RD		Clemson University	2201-202-2013886	UAA	18,816	
12.RD		Colorado School of Mines	401466-5801	ASA	77,788	
12.RD		Development Seed	AGR 11/17/19	ASA	7,511	
12.RD		DOD-DARPA: Information Innovation Office (IIO)	HR001118C0060	ASA	2,074,212	1,227,887
12.RD		Duke University	3130915	UAA	197,231	
12.RD		DZYNE Technologies, Inc.	MON001-S-016-01	ASA	25,226	



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12.RD		Florida International University	000003, 800007372-01UG ; 800007372/000162	ASA	14,804	
12.RD		Florida State University	R02152	UAA	33,759	
12.RD		Freedom Photonics	S7152-01-ASU, S7150-02-ASU, S7113-01 ASU	ASA	134,146	
12.RD		General Dynamics Mission Systems	19-SC-0005	ASA	25,000	
12.RD		George Mason University	E2043345	UAA	101,289	
12.RD		Georgia Institute of Technology (Georgia Tech)	AWD-000084-G1, D8083-S1	ASA	132,040	
12.RD		Griffiss Institute Inc. (GI)	SA2019056003-1243	ASA	111,485	
12.RD		HartSCI, LLC.	FA945119C0581	UAA	103,227	
12.RD		Harvard University	15230751067800002	UAA	92,976	
12.RD		Honeywell International Inc.	3503615984E	NAA	132,727	
12.RD		HRL Laboratories, LLC	16105-173203-US	ASA	111,809	
12.RD		Hydrosat Inc.	AF SBIR No. 191-005	ASA	184,171	
12.RD		IBM: Thomas J Watson Research Center	CW3033964	ASA	77,045	
12.RD		Indiana University	BL-4324210-ASU, BL-4324210-ASU	ASA	614,036	
12.RD		Intelligent Automation, Inc. (IAI)	2533-1	ASA	22,138	
12.RD		Iowa State University	4212070B	ASA	37,876	
12.RD		Johns Hopkins University (JHU)	2004142901	ASA	25,487	
12.RD		Lockheed Martin Corporation	4104584381	ASA	22,829	
12.RD		Lockheed Martin Corporation	4103745816	UAA	343,193	
12.RD		Macaulay-Brown Inc	DSC3128-02	ASA	89,739	
12.RD		Magee Technologies LLC (MTech)	PO 180025	ASA	62,499	
12.RD		Massachusetts Institute of Technology (MIT)	5710003815, 7000295379	ASA	173,608	
12.RD		Massachusetts Institute of Technology	700443114	NAA	41,299	
12.RD		Massachusetts Institute of Technology	S4917 PO# 339424	UAA	15,542	
12.RD		Mayo Clinic Arizona	ARI-206523/PO 64317748, ARI-259318	ASA	276,192	
12.RD		Mayo Foundation for Medical Education and Research (Mayo Clinic)	UNI-259318	UAA	39,679	
12.RD		Medical Technology Enterprise Consortium (MTEC)	2017-608 002 18-01-MEDLOG-03	ASA	980,605	542,602
12.RD		Metis Design Corporation	AGR 8/11/17	ASA	12,585	
12.RD		Michigan State University	RC110724 - ASU	ASA	18,761	
12.RD		Microelectronics Research and Development Corporation	07067-SC-001	ASA	176,403	
12.RD		Nano-Bio Materials Consortium	NB18-19-18	UAA	130,646	
12.RD		National Science Teachers Association	AGR 20-871-003	ASA	11,533	
12.RD		National Trauma Institute	NTRAP-18-06	UAA	25,095	
12.RD		NCDMM: America Makes Innovation Factory	20190043	ASA	308,741	
12.RD		NextGen Aeronautics	PO 17-03, PO 19-05, PO 17-06	ASA	36,177	
12.RD		Northrop Grumman	PO 8200198232/PO5300002650, 8140000817	ASA	60,175	
12.RD		Novateur Research Solutions LLC	W31P4Q18C0055	UAA	82,655	
12.RD		Ohio Aerospace Institute	OAI-C2644-18010	UAA	149,335	78,878
12.RD		Ohio State University	60058654, 60038238	ASA	153,147	
12.RD		Ohio State University	60052493, 60076520	UAA	249,460	
12.RD		Oregon State University	VO750D-A	NAA	58,931	
12.RD		Philips	W81XWH1810332-3	UAA	72,528	
12.RD		Phoenix Children's Hospital	APPAVU-19-01	ASA	21,717	
12.RD		Prime Solutions Group, Inc.	2019-PSG190805	ASA	44,818	
12.RD		Progeny Systems Corporation	PSC-0347	ASA	2,834	
12.RD		Purdue University	40001859-024 (Formerly 4301-83284), 13000844-023	ASA	569,705	
12.RD		Rayn Innovations	AGR 08/30/18, RI-8650	ASA	80,758	
12.RD		Raytheon Company	14660/9500013589, HR001119S0053	UAA	11,585	
12.RD		Rice University	R1A602	ASA	38,597	
12.RD		Saint Joseph's Hospital and Medical Center	32093-UofA	UAA	16,464	
12.RD		San Diego State University Foundation	SA0000589	ASA	107,745	
12.RD		Scientific Systems Company Inc.	1626-ASU, 1639-ASU, 1678-ASU	ASA	162,139	
12.RD		Sivananthan Laboratories, Inc.	2018-18-ASU-0002	ASA	3,700	
12.RD		Sonoran Analytical Instruments and Diagnostics, LLC	SAID2018-03	UAA	167,166	
12.RD		Southern Research	100992	ASA	38,876	
12.RD		Space Micro, Inc.	11203	ASA	206,390	
12.RD		Stanford University	60744757114407	UAA	72,594	
12.RD		State University of New York Research Foundation	FA8650-15-2-5220	UAA	643,573	216,410
12.RD		Steel Founders' Society of America	2017-105	UAA	65,835	
12.RD		Stevens Institute of Technology	210267302	UAA	67,579	
12.RD		Taitech, Inc	TS16-16-61-005	ASA	41,912	
12.RD		Technical Data Analysis, Inc.	2120-001-01	ASA	10,551	
12.RD		The Donald Danforth Plant Science Center	23107-AZ	UAA	133,064	
12.RD		TUFTS University	AR0007, DOD060	ASA	280,778	
12.RD		University of Arizona	324814, PO 184426	ASA	27,289	
12.RD		University of Arkansas	UA2020-119	ASA	235,077	
12.RD		University of Arkansas: Little Rock	253238-18ASU	ASA	16,401	
12.RD		University of California: Berkeley	00009181, 00009417	ASA	251,052	
12.RD		University of California, Berkeley	00008554	UAA	87,947	
12.RD		University of California, Los Angeles	0160GVA520, 0190GUB220	UAA	227,347	
12.RD		University of California: Regents	0190 G UB219	ASA	351,868	
12.RD		University of California: San Diego	703688, 79306236	ASA	10,458	
12.RD		University of California, San Diego	77785949, 126352571, 43103402/S9000370/N00014-16	UAA	36,078	
12.RD		University of California: Santa Barbara	KK1847	ASA	84,937	
12.RD		University of Colorado, Boulder	1553897/1000641524	UAA	186,871	
12.RD		University of Illinois at Urbana-	080035-14599	UAA	32,736	
12.RD		University of Maryland	1802254, 38404-Z8424102	UAA	195,824	



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12.RD		University of Maryland: College Park	35503-Z8165001, 49685-Z8768001	ASA	411,789	
12.RD		University of Massachusetts	OSP2018017	ASA	65,370	
12.RD		University of Michigan	SUBK00008690, SUBK00009960, SUBK00009635	ASA	307,269	
12.RD		University of Minnesota	A0006845601, A005720601/FA9550-17-1-0057	UAA	346,734	
12.RD		University of Nevada: Reno	UNR-17-09	ASA	1,740	
12.RD		University of New Hampshire	L0069	ASA	19,194	
12.RD		University of North Carolina: Charlotte	20160357-01-ASU	ASA	79,154	
12.RD		University of Notre Dame	203278ASU	ASA	312	
12.RD		University of Pennsylvania	576708	UAA	23,017	
12.RD		University of Pittsburgh	0035859(409685-3), 0055964-3	UAA	85,253	
12.RD		University of Southern California	107235268, 92675527, 123756967, 78245410	ASA	437,448	
12.RD		University of Texas: Austin	UTA14-000730	ASA	2,050	
12.RD		Utah State University	CP0039791	ASA	1,827	
12.RD		Utah State University	RC19F11389	UAA	14,349	
12.RD		Viasat Inc.	SC-17022	ASA	313,989	
12.RD		Wright State University	P0060546/670956-1	UAA	117,891	
12.RD		Zona Technology, Inc.	ZTSASU-zPOD-1, ZTSASU-BAY-I	ASA	45,312	
Department of Defense Subtotal					<u>74,795,280</u>	<u>16,233,369</u>
<b>United States Department of Housing and Urban Development</b>						
14.RD		City of Tucson	18695	ASA	48,070	
14.RD		City of Tucson, Arizona	2313918867	UAA	811	
14.RD		University of Iowa	S01193-01	ASA	8,519	
United States Department of Housing and Urban Development					<u>57,400</u>	<u>-</u>
<b>Department of the Interior</b>						
15.RD		Bureau of Indian Affairs		NAA	5,511	
15.RD		Bureau of Indian Affairs		UAA	147,070	
15.RD		Bureau of Land Management		NAA	259,091	
15.RD		Bureau of Land Management		UAA	93,255	
15.RD		Bureau of Reclamation		ASA	18,405	
15.RD		Bureau of Reclamation		NAA	147,614	1,956
15.RD		Bureau of Reclamation		UAA	237,902	
15.RD		Department of the Interior		NAA	20,409	
15.RD		Fish and Wildlife Service		ASA	1,594	
15.RD		Fish and Wildlife Service		NAA	154,916	
15.RD		International Boundary and Water Commission		UAA	405,951	227,356
15.RD		Joint Fire Science Program		UAA	11,022	
15.RD		National Park Service		ASA	599	
15.RD		National Park Service		NAA	575,716	
15.RD		National Park Service		UAA	1,170,682	
15.RD		United States Fish and Wildlife Service		UAA	389,414	
15.RD		United States Geological Survey		ASA	272,378	
15.RD		United States Geological Survey		NAA	1,265,437	
15.RD		United States Geological Survey		UAA	3,428,032	554,155
15.RD		American Fisheries Society	F20AP00178	UAA	39,017	
15.RD		Arizona Department of Agriculture	24-2019-2021-3	UAA	8,394	
15.RD		Arizona Game and Fish Department	1434-13HQRU1580, CTR048459	UAA	129,075	
15.RD		Borderlands Restoration	LTR DTD 102716	UAA	968	
15.RD		Carnegie Institution of Washington	09-10638-01	ASA	86,461	
15.RD		CESU: Colorado Plateau Cooperative Ecosystem Study Unit	R18AC00007, R19AC00052	ASA	3,130	
15.RD		Florida Fish and Wildlife Conservation Commission	16001/F16AF00541	UAA	5,490	
15.RD		Friends of the Dunes	AGR 12/21/17	ASA	828	
15.RD		Gila River Indian Community	40006211.7595	ASA	48,627	
15.RD		Metropolitan Water District of Southern California	180896	ASA	3,785	
15.RD		Museum of Northern Arizona	270-556-01	NAA	3,185	
15.RD		National Fish & Wildlife Foundation	0104.18.058754	ASA	2,793	
15.RD		North Carolina State University	2019-2223-01, 2017-2758-01	ASA	33,927	
15.RD		Northern Jaguar Project	F17AP00655	UAA	15,921	
15.RD		Shippensburg University	4000055202	NAA	6,030	
15.RD		Southern Utah University	105507-01	UAA	3,012	
15.RD		The Water Institute of the Gulf	BOEM-2016-COM-SH	UAA	101,226	
15.RD		University of Alaska Fairbanks	UAF 20-0090	NAA	18,660	
15.RD		University of Arizona	527317	NAA	8,960	
15.RD		University of Arizona	562862	NAA	3,793	
15.RD		University of California Los Angeles	11637	NAA	11,637	
15.RD		University of Southern California	90937069, 131435668, 118057895	ASA	48,990	
15.RD		University of Southern California	91258911	UAA	1,679	
15.RD		University of Texas at Austin	UTA19000461	UAA	91,253	
15.RD		University of Washington	UWSC10219 / 28333	UAA	20,472	
15.RD		Wildlife Management Institute (WMI)	WNS 2018-01	ASA	1,050	
Department of the Interior Subtotal					<u>9,303,361</u>	<u>783,467</u>
<b>Department of Justice</b>						
16.RD		Community Oriented Policing Services		ASA	18,298	
16.RD		Department of Justice		ASA	64,115	
16.RD		Library of Congress (LOC)		ASA	11,992	
16.RD		National Institute of Justice		ASA	653,646	48,005
16.RD		National Institute of Justice		UAA	116,092	
16.RD		Office of Justice Programs		ASA	144,935	
16.RD		Arizona Department of Administration	GFR-PSN-20-001	ASA	43,501	
16.RD		Arizona Department of Corrections	17-030-19; PO0000169148, 18-018-23	ASA	73,041	

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16.RD		Arizona Department of Education	18-04-EDSG	UAA	60,681	
16.RD		California State University: Long Beach	S233420100ASU	ASA	5,030	
16.RD		City of Shreveport	FP00007901; PO 2017-00008998	ASA	63,124	12,909
16.RD		Dignity Health	215366	ASA	57,639	
16.RD		Fox Valley Technical College	D2018008; D2019007; D2019006; D2020007; D2020006	ASA	22,352	
16.RD		Justice Research and Statistics Association (JRSA)	ASU-5200-024	ASA	14,450	
16.RD		Las Vegas Metropolitan Police Department	AGR 03/26/18, AGR 3/10/2020	ASA	18,941	
16.RD		Phoenix Police Department	142511-0, 145935--0 ; FP00007760, 146350, 144889--0	ASA	63,612	
16.RD		Pima County, Arizona	CT-PCA-1500000000000000132	UAA	13,854	
16.RD		Rutgers University	1001	ASA	32,489	
16.RD		Salvation Army, The	BJA-2016-9114	ASA	12,503	
16.RD		University of Denver	SC37858-01-00	ASA	14,604	
16.RD		University of Virginia	GG11826 151479	ASA	5,998	
16.RD		Urban Institute	09333-000-00-ASU-01	ASA	39,108	
	Department of Justice Subtotal				<u>1,550,005</u>	<u>60,914</u>
	<b>Department of Labor</b>					
17.RD	Employment and Training Administration			ASA	36,167	
17.RD	Mine Safety and Health Administration			UAA	10,929	
	Department of Labor Subtotal				<u>47,096</u>	<u>-</u>
	<b>Department of State</b>					
19.RD	Bureau of East Asian and Pacific Affairs			ASA	308,300	
19.RD	Bureau of International Narcotics-Law Enforcement			ASA	1,006,021	516,671
19.RD	Department of State			ASA	153,200	11,170
19.RD	Public Affairs			ASA	204,949	
19.RD		FHI 360	PO18003443	ASA	13,443	
19.RD		Institute of International Education	H21/SI_IIE1_SUBR_2017	UAA	10,000	
19.RD		University of Pristina	AGR 11/26/19	ASA	13,739	
19.RD		University of Texas: San Antonio	1000001497	ASA	6,217	
19.RD		US Civilian Research and Development Foundation	FSCX18638800	UAA	1,918	
	Department of State Subtotal				<u>1,717,787</u>	<u>527,841</u>
	<b>Department of Transportation</b>					
20.RD	Department of Transportation			ASA	1,267,702	805,433
20.RD	DOT Federal Highway Administration			ASA	11,510	
20.RD	DOT: Federal Aviation Administration (FAA)			ASA	153,117	
20.RD	Federal Highway Administration			UAA	1,406	
20.RD	Pipeline and Hazardous Materials Safety Admin			ASA	48,828	
20.RD		ADOT: Research Center	MPD 0038-18; ADOT16-147805/4, MPD 022-16 / ADOT11-002985, PG TE0582	ASA	7,105	263
20.RD		Arizona Office of the Governor: Office of Highway Safety	2020-405d-003, 2020-405h-001, 2020-PTS-003, 2019-AL-003	ASA	42,732	
20.RD		California Department of Transportation	65A0728	UAA	53,580	7,087
20.RD		CivTech	16-0143	NAA	8,364	
20.RD		Gas Technology Institute (GTI)	S831, S848	ASA	211,772	
20.RD		Leidos	P010246418	ASA	21,645	
20.RD		Maricopa County, Arizona	C.91.09.052.M.02, C.91.09.052.M.02/FM-CVN-012	UAA	132,874	
20.RD		Michigan State University	RC109287-ASU	ASA	37,716	
20.RD		Nevada Department of Transportation	AGR P676-19-803	ASA	42,323	
20.RD		Portland State University	69A3551747112, NITC2016-UA-05/69A355174711, NITC2016-UA-06, NITC2016-UA-07, NITC2016-UA-10, NITC2016-UA-11, NITC2016-UA-12, NITC2016-UA-13, NITC2016-UA-14, NITC2016-UA-15, NITC2016-UA-16, NITC2016-UA-17, NITC2016-UA-20, NITC2016-UA-21, NITC2016-UA-22, NITC2016-UA-23, NITC2016-UA-24, NITC2016-UA-25, NITC2016-UA-26, NITC2016-UA-27, NITC2016-UA-29	UAA	330,382	
20.RD		Tomnet UTC	Email 8/21/2019, Email 8/6/2019, Email 08/06/19, Email 8/6/2019	ASA	173,807	
20.RD		Transportation Research Board (TRB)	HR 01-59	ASA	203,457	100,000
20.RD		University of California: Los Angeles (UCLA)	0121 G XA079	ASA	833	
20.RD		University of Illinois: Urbana-Champaign (UIUC)	089041-17819, 087795-17705	ASA	35,500	
20.RD		University of Maryland: College Park	6716-Z9600003, 86839-Q0459201	ASA	29,748	
20.RD		University of Southern California	126628333, 69A3551747109	NAA	144,223	
20.RD		University of Texas: Austin	UTA17-001317	ASA	9,957	
20.RD		University of Virginia	GS11466.156142	UAA	246,829	122,962
	Department of Transportation Subtotal				<u>3,215,410</u>	<u>1,035,745</u>
	<b>United States Department of the Treasury</b>					
21.RD	COVID-19 - Coronavirus Relief Fund	Arizona Department of Health Services	CTR050053	UAA	982,382	
	United States Department of the Treasury Subtotal				<u>982,382</u>	<u>-</u>

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<b>Equal Employment Opportunity Commission</b>						
30.RD		Southwest Research Institute	L99051JRG	ASA	953,446	80,801
	Equal Employment Opportunity Commission Subtotal				<u>953,446</u>	<u>80,801</u>
<b>United States General Services Administration</b>						
39.RD		HKS, Inc.	UA45146	UAA	9,261	
	United States Institute of Peace Subtotal				<u>9,261</u>	<u>-</u>
<b>National Aeronautics and Space Administration</b>						
43.RD	National Aeronautics Space Administration (NASA)			ASA	615,244	84,302
43.RD	National Aeronautics Space Administration (NASA)			NAA	2,188,021	349,249
43.RD	NASA Ames Research Center			ASA	643,399	
43.RD	NASA Ames Research Center			UAA	525,769	135,108
43.RD	NASA Armstrong Flight Research Center			UAA	189,922	
43.RD	NASA Glenn Space Flight Center			ASA	223,191	70,200
43.RD	NASA Goddard Space Flight Center			ASA	18,413,054	4,241,883
43.RD	NASA Goddard Space Flight Center			UAA	15,173,623	5,766,835
43.RD	NASA Headquarters			ASA	4,319,604	3,193,086
43.RD	NASA Headquarters			UAA	14,553,844	2,182,989
43.RD	NASA Johnson Space Center			ASA	63,256	
43.RD	NASA Johnson Space Center			UAA	107,347	24,569
43.RD	NASA Langley Space Center			UAA	333,099	
43.RD	NASA Marshall Space Flight Center			ASA	7,584,348	5,983,742
43.RD	NASA Marshall Space Flight Center			UAA	17,789,585	7,909,982
43.RD	Smithsonian Astrophysical Observatory			UAA	180,818	
43.RD	Alphacore, Inc.		7054	ASA	3,912	
43.RD	Arizona Science Center		19-001	ASA	47,844	
43.RD	AZ State University		LOU No 17-122	NAA	63,387	
43.RD	Arizona State University		7790, 17062, 17178, 18320	UAA	149,756	
43.RD	Association of Universities for Research in Astronomy, Incorporated		49992	UAA	39,783	
43.RD	Association of Universities for Research in Astronomy, Incorporated		N79550C	UAA	54,937	
43.RD	Association of Universities for Research in Astronomy, Incorporated		STScI51534	UAA	71,663	
43.RD	Auburn University		19PHYS209383UAZ	UAA	9,508	
43.RD	Ball Aerospace And Technologies Corporation		16NRO00004	UAA	35,859	
43.RD	Bay Area Environmental Research		N/A	NAA	12,827	
43.RD	Baylor College of Medicine		7000000460	UAA	217,597	
43.RD	Baylor College of Medicine		7000001166	UAA	7,558	
43.RD	Baylor College of Medicine		SYN0005/7000000825	UAA	10,948	
43.RD	Cactus Materials, Inc.		AGR 9/25/2019	ASA	42,347	
43.RD	California Institute of Technology		S427461- former 65H-098305, S442556	ASA	340,207	
43.RD	California Institute of Technology		5465828	NAA	941	
43.RD	California Institute of Technology		S423867	UAA	47,374	
43.RD	Central Connecticut State University		18-56-01	NAA	11,372	
43.RD	Colgate University		CU-2010501-2	NAA	52,531	
43.RD	Colgate University		2015022	UAA	23,851	
43.RD	Colorado School of Mines		4013365801	UAA	13,999	
43.RD	Columbia University		1(GG013230)	ASA	44,826	
43.RD	CoolCAD Electronics, LLC		AGR 5/29/2020, AGR 12/10/2019	ASA	18,720	
43.RD	Cornell University		77301-10535	ASA	23,406	
43.RD	H2O Insights		AGR 9/26/2019	ASA	41,362	
43.RD	Jet Propulsion Laboratory (JPL)		1511125, 1646875, 1531839, 1228404, 1562147, 1605020, 1556381, 1620256, 1429649, 1567696, 1601756, 1643730, 1561025, 1643052, 1276419, 1643840, 1570596, 1472603, 1545667, 1643114, 1616532, 1569884, 1547619, 1557062, 1553918, 1615538, 1618298, 1584342, 1645798, 1634075, 1559087, 157922, 1611607, 1621627, RSA 1571218, RSA 1599026	ASA	16,601,381	10,749,071
43.RD	Jet Propulsion Laboratory		1228726, 1272218, 1319248, 1407200, 1407263, 1494629, 1561710, 1565441, 1576815, 1582925, 1600147, 1607971, 1608017, 1610308, 1610310, 1610316, 1615577, 1615800, 1618565, 1621257, 1622890, 1627292, 1640047, 1640332, 1644659, 1644767, 1644771	NAA	237,001	24,977
43.RD	Jet Propulsion Laboratory		558035	UAA	6,290,421	678,079
43.RD	University of Arizona		558035	NAA	10,199	
43.RD	John Hopkins University Applied Physics		151724	NAA	33,769	
43.RD	Johns Hopkins Applied Physics Laboratory		130313, 137698, 137699	UAA	206,706	
43.RD	John Hopkins University		2004002779, 3612003808432	NAA	60,480	
43.RD	Johns Hopkins University		131989	UAA	17,726	
43.RD	Lowell Observatory		2017-81502-NAU, 2017-81495, 2018-81420-NAU, 2019-81105-NAU, 2019-81130-NAU	NAA	310,566	
43.RD	Malin Space Science Systems, Inc.		11-0124, 16-0688	ASA	183,500	
43.RD	Massachusetts Institute of Technology (MIT)		5710003859	ASA	43,422	
43.RD	Montana State University		G207-19-W7598, G245-17-W6575	NAA	111,656	
43.RD	NASA: Goddard Space Flight Center		80NSSC20K0826, 80NSSC19K1082	ASA	132,169	

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43.RD		NASA: Johnson Space Center	80NSSC19K1606	ASA	10,097	
43.RD		National Aeronautics Space Administration (NASA)	80NSSC18K0841	ASA	26,442	
43.RD		National Institute of Aerospace	LTR 02/27/20	ASA	11,894	
43.RD		Northern Arizona University (NAU)	LOU 1003957-03	ASA	8,374	
43.RD		Oregon State University	NS284A-B	NAA	29,839	
43.RD		PADT Inc.	FP00021526, 80NSSC18P2131	ASA	30,561	
43.RD		Pennsylvania State University	5560UAJPL7612	UAA	94,219	
43.RD		Planetary Science Institute	1468	ASA	37,529	
43.RD		Planetary Science Institute	1641-NAU	NAA	3,139	
43.RD		Planetary Science Institute	1336, 1632, 1488UofA, 1542UAChojnacki, 1576UA, 1643UAZ, 1649-UAZ, 1691ARIZ, 80NSSC19K0029	UAA	317,458	
43.RD		Princeton University	SUB0000159, SUB0000314	UAA	64,304	
43.RD		Purdue University	12000298-006	NAA	24,872	
43.RD		Q Peak, Inc	SC-59468-2775-46	UAA	50,058	
43.RD		Raytheon Company	4201839976	UAA	33,096	
43.RD		Science Museum of Minnesota	NNH15ZDA0004C	ASA	7,581	
43.RD		SETI Institute	SC 3129	ASA	40,716	
43.RD		Sonoma State University	117868	NAA	57,076	
43.RD		Southwest Research Institute	K99033MEC, K99056JRG, H99065CT	ASA	3,830,948	690,239
43.RD		Southwest Research institute	N99003DS	NAA	17,917	
43.RD		Southwest Research Institute	699053X	UAA	107,965	
43.RD		Space Science Institute	SUBAWD 000801	NAA	72,738	
43.RD		Space Telescope Science Institute	HST-GO-13779.010-A, HST-GO-15090.002-A, HST-GO-15955.004-A, HST-HF2-51411.001-A, HST-GO-15647.005-A, HST-GO-15651.006-A, HST-GO-13862.005-A, HST-GO-14071.009-A, HST-GO-15091.002-A, HST-GO-15137.002-A, HST-GO-15626.026-A, HST-GO-15666.001-A, HST-GO-15278.001-A, HST-GO-14784.001-A, HST-GO-15463.006-A, HST-GO-14641.002-A, HST-GO-14793.010-A, HST-AR-14591.001-A, HST-GO-15286.001-A, HST-GO-12899.04-A, HST-GO-15255.013-A, HST-GO-15428.006-A, HST-AR-15810.001-A, HST-AR-13877.001-A, HST-GO-14792.008-A	ASA	786,708	
43.RD		Space Telescope Science Institute	HST-GO-15213.001-A, HST-GO-15259.004-A	NAA	116,627	
43.RD		Space Telescope Science Institute	HSTAR13911.001A, HSTAR14316, HSTAR14586001A, HSTAR14591005A, HSTAR15004001A, HSTAR15030002A, HSTAR15060002A, HSTAR15631001A, HSTGO13762001A, HSTGO13787001A, HST-GO-13839.002-A, HSTGO14118, HSTGO14148, HSTGO14223, HSTGO14227007A, HSTGO14241001A, HSTGO14259010A, HSTGO14596001A, HSTGO14612001A, HSTGO14625, HSTGO14654, HSTGO14664007A, HSTGO14679001A, HSTGO14714001A, HSTGO14740001A, HSTGO14747003A, HSTGO14767003A, HSTGO14784004A, HSTGO14797002A, HSTGO14931004A,	UAA	2,131,459	

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			HSTGO15093001A, HSTGO15103007A, HSTGO15113003A, HSTGO15113006A, HSTGO15121001A, HSTGO15135003A, HSTGO15137003A, HSTGO15182011A, HSTGO15183010A, HSTGO15185001A, HSTGO15217007A, HSTGO15218004A, HSTGO15219005A, HSTGO15224003A, HSTGO15237002A, HSTGO15246008A, HSTGO15278006A, HSTGO15301002A, HSTGO15325002A, HSTGO15453.001A, HSTGO15625003A, HST-GO- 15645.001-A, HSTGO15698001A, HST-GO-15830.002-A, HSTGO15858003A, HSTGO15874004A, HSTGO15906001A, HSTGO15907004A, HSTGO15921002A, HSTGO15947001A,  HSTGO15959002A, HSTHF251394002A, HSTHF251398001A, HSTHF251419001A, HSTHF251420001A, HSTHF251436001A, HSTHF251448001A, JWSTERS01309002A			
43.RD		Stanford University	62166413-122362	UAA	21,622	
43.RD		Stony Brook University	8579511563362	UAA	24,091	
43.RD		Stottler Henke Associates Inc	AD-TEAM2-StottlerHenke-UofA	UAA	65,106	
43.RD		Structured Materials Industries, Inc.	SMI42111-20180727-01	ASA	28,745	
43.RD		Texas State University	17011-82719-1	ASA	137,744	
43.RD		The Research Corporation of the University of Hawaii	6856	UAA	84,159	
43.RD		Universities Space Research Association	230302, 2017001474, 08103/SUBK-20-0001, SOF040015, SOF040065, SOF050180, SOF060234Svoboda, SOF06204, SOF070, SOF070206	UAA	116,221	
43.RD		University Corporation for Atmospheric Research	Z17-25720	UAA	11,264	
43.RD		University of Alaska Fairbanks	UAF190070	UAA	65,923	
43.RD		University of Arizona	268293, 125837, 353046, 268293, 401799, 268580, 268580	ASA	1,783,714	
43.RD		University of Arizona	457254, 518699	NAA	142,036	
43.RD		University of California: Los Angeles (UCLA)	2090-S-SA473	ASA	20,212	
43.RD		University of California: Riverside	S-000732	ASA	81,989	
43.RD		University of California, San Diego	84068633S9001586	UAA	41,484	
43.RD		University of California: Santa Cruz	A19-0446-S001-P0707975	ASA	3,507	
43.RD		University of California, Santa Cruz	A160381S005P0600213, A170015S001P0644922	UAA	143,566	
43.RD		University of Central Florida	66016067-03	UAA	87,879	
43.RD		University of Colorado: Boulder	1552616, 1555628, 1553136	ASA	23,465	
43.RD		University of Colorado, Boulder	1555459, 1000008166	UAA	302,057	
43.RD		University of Connecticut	NA	UAA	58,225	
43.RD		University of Florida	SUB00002168	UAA	1,026	
43.RD		University of Houston	R-19-0090, R-19-0091	UAA	30,000	
43.RD		University of Illinois	09765717660	UAA	151,924	
43.RD		University of Illinois: Chicago	097657-17659	ASA	181,539	
43.RD		University of Maryland	40227, 46332-Z6927003	NAA	70,028	
43.RD		University of Maryland	77744Z6199201, 81804-Z6230201	UAA	23,699	
43.RD		University of Maryland, Baltimore County	0000019878	UAA	11,468	
43.RD		University of Minnesota	H006201406	UAA	124,955	
43.RD		University of New Hampshire	19003	UAA	11,052	
43.RD		University of Pennsylvania	573659, 560958	ASA	107,963	
43.RD		University of Puerto Rico	AGR 09/01/20, AGR 09/01/20, 2019-000067, 2019-000067	ASA	154,381	
43.RD		University of Puerto Rico	LTR DTD 072519	UAA	44,288	
43.RD		University of Southern California	118062573	ASA	25,031	
43.RD		University of Texas: Austin	UTA16-001088	ASA	7,325	
43.RD		University of Texas at Austin	UTA17000731	UAA	21,175	
43.RD		University of Washington	UWSC10431	ASA	14,381	
43.RD		University of Washington	UWSC10436	NAA	12,827	
43.RD		University of Washington	32930UWSC10593	UAA	22,133	
43.RD		University of Wyoming	1003075A-ARIZ	UAA	30,353	
43.RD		Woods Hole Oceanographic Institute	A101472	ASA	73,217	
43.RD		Woods Hole Research Center	WHRC-ZG0829-01	NAA	30,370	
	National Aeronautics and Space Administration Subtotal				120,833,396	42,084,311
	<b>National Endowment for the Humanities</b>					
45.RD	Institute of Museum and Library Services			ASA	234,063	34,433
45.RD	Institute of Museum and Library Services			UAA	100,288	
45.RD	National Endowment for the Arts			UAA	6,218	

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45.RD	National Endowment for the Humanities			ASA	142,024	
45.RD	National Endowment for the Humanities			UAA	28,045	
45.RD	NEH: Division of Preservation and Access			ASA	44,576	
45.RD		Arizona Department of Emergency and Military Affairs	PO 0000088002	ASA	90,263	
45.RD		Arizona Humanities	70662018	ASA	7,263	
45.RD		Arizona State Library, Archives, and Public Records	PJ-256058-17	UAA	1,690	
45.RD		Gettysburg College	NAU-1	NAA	25,989	
45.RD		University of North Carolina: Greensboro	20200229.2	ASA	18,899	
	National Endowment for the Humanities Subtotal				<u>699,318</u>	<u>34,433</u>
	<b>National Science Foundation</b>					
47.RD	COVID-19 - National Science Foundation			ASA	123,792	
47.RD	COVID-19 - National Science Foundation			UAA	30,632	
47.RD	DOD: National Security Agency (NSA)			ASA	573,477	
47.RD	National Endowment for the Humanities			UAA	25,709	
47.RD	National Science Foundation			ASA	56,173,875	8,109,441
47.RD	National Science Foundation			NAA	7,476,466	1,434,897
47.RD	National Science Foundation			UAA	45,662,520	4,087,206
47.RD	NSF: Directorate for Biological Sciences (BIO)			ASA	2,332,223	472,221
47.RD	NSF-BIO: Division of Biological Infrastructure (DBI)			ASA	247,684	
47.RD	NSF-CISE: Computer and Network Systems (CNS)			ASA	1,773,259	
47.RD	NSF-CISE-ACI: Office of Cyberinfrastructure (OCI)			ASA	128,534	
47.RD	NSF-EHR-DUE: Division of Undergraduate Science, Engineering, & Mathematics			ASA	70,685	
47.RD	NSF-ENG: Division of Biological & Critical Systems (BCS)			ASA	111,974	
47.RD	NSF-GEO-PLR: Office of Polar Programs (OPP)			ASA	114,236	
47.RD	Smithsonian Astrophysical Observatory			UAA	173,680	
47.RD		2M Research Services, LLC	2017-NSF-10018	ASA	63,660	
47.RD		Adler Planetarium	3201-02	UAA	10,617	
47.RD		AmberWave Inc.	FSA082019-1	ASA	50,491	
47.RD		American Educational Research Association	LTR 04/10/18	ASA	2,352	
47.RD		AZ State University	ASUB00000215	NAA	217,870	
47.RD		Arizona State University	17-099, ASUB00000216, ASUB00000361, ASUB00000435, CC0342-PG08675-11-81, CC0342-PG08675-11-81/SUB, CC0342PG086751181SUB, CC0342-PG08675-11-82/SUB, CC0342-PG08675-11-83, CC0342-PG08675-11-83/SUB, CC0342PG086751184, CC0342-PG08675-11-84/SUB, CC0342-PG08675-11-84/SUB/F1, F19UR013/F2019ur0029, F19UR014/F2019ur0030, F19UR015/F2019ur0031, F19UR017/F2019ur0034, F19UR018/F2019ur0035, F19UR026/F2019ur0045, F19UR027/F2019ur0046, F19UR007/F2019ur0021, S19UR009/S2019ur0003, S19UR009/S2019ur0014, S20UR007/S2020ur0012, SUB/V19UR005/V2019ur0007, V19UR001/V2019ur0002, V19UR007/V2019ur0009, V19UR008/V2019ur0010, V19UR021/V2019ur0024, V2019gp0003/V19CC001, V2020gp0003/V20CC001	UAA	232,065	
47.RD		Association of Universities for Research in Astronomy, Incorporated	Agreement Signed 8/24/15, N71373CL, N84158C, N97528C, NB3064C, ND8953C	UAA	185,978	
47.RD		Bates College	S19-001	ASA	17,273	
47.RD		Battelle Memorial Institute	PO US001-0000770612	ASA	232,817	
47.RD		Battelle Memorial Institute	US0001-0000701436	NAA	196,638	80,113
47.RD		Battelle: National Ecological Observatory Network (NEON)	PO US001-0000718040	ASA	2,155,210	
47.RD		Beagle Learning, Inc.	1842746	ASA	37,949	
47.RD		Brown University	00001543	UAA	467	
47.RD		Bucknell University	GR2000448-1	ASA	2,919	
47.RD		California Institute of Technology	S455656	UAA	17,710	
47.RD		California State University: San Marcos	92249 / 85038 ASU	ASA	10,237	
47.RD		Cary Institute of Ecosystem Studies	3357/200201910	ASA	58,491	
47.RD		Cary Institute of Ecosystems Studies	3340/200201903	NAA	27,442	
47.RD		Central Arizona College	1940949	ASA	9,068	
47.RD		Clark University	2A3257531	UAA	468,281	
47.RD		Clerio Vision Inc.	1738506	UAA	144,004	
47.RD		Colorado School of Mines	401516-5801	ASA	6,032	
47.RD		Colorado State University	G-00973-5, G-37052-1, G-30014-01	ASA	190,064	
47.RD		Colorado State University	G-00973-3/1444758, G-14888-1, G-967O2-3/DRL-1543228	UAA	268,317	28,566
47.RD		Columbia University	34(GG009393)	ASA	2,103	
47.RD		Columbia University	08GG016228, 09GG016228, 1(GG014460-04), 1GG012608, 2(GG014070)	UAA	60,675	
47.RD		Cornell University	OSP #75548, 77853-11349	ASA	431,823	
47.RD		Council of Graduate Schools	AGR 08/04/17	ASA	46,214	

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47.RD		Council of Graduate Schools	LTR DTD 082718	UAA	19,883	
47.RD		CUNY: Research Foundation of CUNY (RFCUNY)	CM00001881-00	ASA	194,686	
47.RD		Dine College	244-J9H0	NAA	10,538	
47.RD		Georgia Institute of Technology (Georgia Tech)	AWD-100683-G1, AWD-102368-G1, RG758-G1, AWD-100683-G1	ASA	104,055	
47.RD		Glycosurf	LTR DTD 102219	UAA	34,823	
47.RD		Harvard University	131721-5109138	NAA	4,183	
47.RD		Hauptman-Woodward Medical Research Institute	6215	ASA	55,357	
47.RD		Hauptman-Woodward Medical Research Institute	6228	UAA	108,871	
47.RD		Hawaii Pacific University	246101-ASU	ASA	10,200	
47.RD		HelioBioSys	AGR 3/3/2020	ASA	5,199	
47.RD		Hydrologic Research Center	2018001	UAA	1,489	
47.RD		Illinois Institute of Technology	A17-0026-S001	UAA	9,940	
47.RD		Illinois State University	A190050S002	UAA	40,140	
47.RD		Indiana University	8108-ASU, BL-4848800-ASU	ASA	121,065	
47.RD		Indiana University	BL-4812517-UA	UAA	63,865	
47.RD		Iowa State University	016460-4044103F/10504, 420-61-73A/IOS-1444806	UAA	7,148	
47.RD		Kansas State University	A00-0361-S006	ASA	2,583	
47.RD		Lowell Observatory	2017-83090 NAU, 2020-83020-NAU	NAA	87,639	
47.RD		Maricopa County Community College District (MCCCD)	10000487-ASU, DUE 1103080	ASA	19,408	
47.RD		Massachusetts Institute of Technology (MIT)	S4775 - PO 276392, 80162	ASA	148,418	
47.RD		Michigan State University	RC104177ASU	ASA	117,374	
47.RD		Michigan State University	RC109891NAU	NAA	45,103	
47.RD		Michigan Technological University	1603040Z1	ASA	81,346	
47.RD		Museum of Science	4569-ASU-01	ASA	23,054	
47.RD		National Academy of Sciences (NAS)	2000010227	ASA	6,378	
47.RD		National Radio Astronomy Observatory	361552, 363362SOSPA6002	UAA	34,616	
47.RD		National Science Foundation (NSF)	1832196, 1914841	ASA	131,731	
47.RD		New York University (NYU)	F8794-01	ASA	39,711	
47.RD		New York University	NA	UAA	69,167	
47.RD		North Carolina State University	2008-1015-01	ASA	15,897	
47.RD		Northern Arizona University (NAU)	1003107-01, LOU 1003107-07, 1003799-01	ASA	261,756	
47.RD		Northern Arizona University	1004115-03	UAA	16,108	
47.RD		Ohio State University	RF01566832/60071451	NAA	14,876	
47.RD		Old Dominion University	18-130-100688-010	ASA	14,601	
47.RD		Pennsylvania State University	5707UANSF7592, 5896UANSF4092	UAA	51,245	
47.RD		Polaris Semiconductor, LLC	1936401-1	ASA	5,080	
47.RD		Portland State University	100139	ASA	29,219	
47.RD		Princeton University	SUB0000009	UAA	347,254	105,505
47.RD		Purdue University	1901932	NAA	11,784	
47.RD		Purdue University	10001383002	UAA	13,972	
47.RD		Resources for the Future	49446-Z48008001	ASA	51,715	
47.RD		Rice University	R3F80A / 1449500, R3F80A / FP00011474 / R3F80E	ASA	713,949	
47.RD		Rutgers University	0582	ASA	6,269	
47.RD		San Francisco State University	S180001	UAA	10,044	
47.RD		Sequitur Health Group	NSF1914240	ASA	38,174	
47.RD		Smithsonian Institute	18SUBC440-0000387478	NAA	631	
47.RD		SRCCO Inc.	2018-NC-2762-A	ASA	164,532	
47.RD		State University of New York: Buffalo	R876181 R950225 R1092326	ASA	1,075,477	
47.RD		State University of New York Research Foundation	76749/11366522	UAA	113,980	
47.RD		Texas A and M University	M1903184	UAA	4,209	
47.RD		Texas State University	19009-83071-1	NAA	7,200	
47.RD		Texas Tech University	21P509-01	NAA	38,791	
47.RD		TG Companies, LLC	AGR 07/20/17, AGR 12/19/18	ASA	44,673	
47.RD		The Council on Undergraduate Research	11637	UAA	7,604	
47.RD		The Field Museum	50123-1-FDP	NAA	13,080	
47.RD		The Trustees of Columbia University (GG009393)	105, 105B, 105D, 105E, 105F	NAA	94,259	
47.RD		UIUC: National Center for Supercomputing Applications (NCSA)	AGR 09/07/18	ASA	12,052	
47.RD		University Corporation for Atmospheric Research	SUBAWD001418	UAA	44,452	
47.RD		University of Akron	541598-ASU	ASA	2,352	
47.RD		University of Alabama In Huntsville	2017-033	UAA	91,513	
47.RD		University of Alabama: Tuscaloosa	A18-0467-S001	ASA	38,745	
47.RD		University of Alaska Fairbanks	UAF-15-0020, UAF-18-0084	NAA	277,405	
47.RD		University of Arizona	467307, 124046	ASA	196,783	
47.RD		University of Arizona	PO 448899	NAA	7,266	
47.RD		University of California, Berkeley	10346, 00009141/1558035	UAA	15,910	
47.RD		University of California: Davis	201701840-01, A18-0727-S003	ASA	9,651	
47.RD		University of California, Merced	E216GXA12300/1856112	UAA	91,005	
47.RD		University of California: Regents	00009382, 00009998	ASA	364,516	
47.RD		University of California: Riverside	S-001215	ASA	10,719	
47.RD		University of California, Riverside	S-000819	UAA	65,896	
47.RD		University of California: San Diego	125901647	ASA	16,587	
47.RD		University of California: Santa Barbara	KK 1927, KK2028	ASA	41,303	
47.RD		University of California Santa Barbara	KK1928	NAA	56,523	
47.RD		University of California, Santa Barbara	KK1825	UAA	60,111	
47.RD		University of Central Florida	16206076	ASA	25,658	
47.RD		University of Chicago	AWD100221/SUB00000065	UAA	2,136	
47.RD		University of Colorado: Boulder	1557938	ASA	18,432	
47.RD		University of Colorado Boulder	1555731/1000895474	NAA	38,098	
47.RD		University of Colorado, Boulder	1555695/PO:1000887309	UAA	23,149	
47.RD		University of Connecticut	373763	ASA	15,459	



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47.RD		University of Florida	SUB00001934	ASA	10,410	
47.RD		University of Illinois: Board of Trustees	084161-17301, 097434	ASA	55,975	
47.RD		University of Illinois: Urbana-Champaign (UIUC)	098635-17821	ASA	4,571	
47.RD		University of Kansas (KU)	BSA18014	ASA	74,416	
47.RD		University of Louisville Foundation, Inc.	ULRF 17-0190	ASA	17,955	
47.RD		University of Maryland: College Park	83120-Z3468201, 66536-Z3302201	ASA	208,511	
47.RD		University of Maryland	52673z3107201	UAA	59,935	
47.RD		University of Massachusetts: Amherst	17-009589 A	ASA	119,367	
47.RD		University of Massachusetts, Boston	B000462681	UAA	13,815	
47.RD		University of Michigan	3004575811	ASA	33,170	
47.RD		University of Nevada Las Vegas	19-GR06224-01	NAA	327,553	
47.RD		University of New Mexico	650348-8705, 133660-8705, 133623-8705	ASA	97,378	
47.RD		University of New Mexico	0480P4-8747	NAA	112,516	
47.RD		University of North Carolina: Chapel Hill	5111181	ASA	15,930	
47.RD		University of Pennsylvania	566839/10046907/15224	UAA	212,279	
47.RD		University of Pittsburgh	0062295 (012283-1), AWD00000702 (012322-01)	ASA	143,520	
47.RD		University of Rochester	416753G	UAA	80,618	21,163
47.RD		University of Texas: Austin	UTA15-000881	ASA	3,636	
47.RD		University of Texas at Austin	20195830	UAA	96,398	
47.RD		University of Texas: Dallas	1907389	ASA	21,126	
47.RD		University of Texas at Dallas	1907618	UAA	16,594	
47.RD		University of the Virgin Islands	CFEWS-18-22-001	ASA	16,585	
47.RD		University of Washington	UWSC11366 ; PO BPO43015	ASA	6,537	
47.RD		University of Wisconsin: Madison	0000000170, 690K233, 0000000028	ASA	104,212	
47.RD		University of Wisconsin-Madison	801K161	UAA	47,448	
47.RD		Utah State University	140343-00002-109	UAA	155	
47.RD		Vanderbilt University	UNIV60484	ASA	152,133	
47.RD		Vanderbilt University	UNIV59061	UAA	79,683	
47.RD		Virginia Polytechnic Institute and State University	479498-19007	ASA	45,345	
47.RD		Virginia Polytechnic	480165-19D64	NAA	50,982	
47.RD		Virginia Polytechnic Institute and State University	480063-19101	UAA	16,882	
47.RD		Yale University	GR100666 (CON-80000873)	UAA	61,029	
	National Science Foundation Subtotal				<u>128,762,247</u>	<u>14,339,112</u>
	<b>Smithsonian Institution</b>					
60.RD	Smithsonian Astrophysical Observatory			UAA	1,070,898	
	Smithsonian Institution Subtotal				<u>1,070,898</u>	<u>-</u>
	<b>Department of Veterans Affairs</b>					
64.RD	United States Department of Veterans Affairs			ASA	316,855	
64.RD	United States Department of Veterans Affairs			UAA	469,118	
64.RD	Phoenix VA Health Care System			UAA	57,704	
	Department of Veterans Affairs Subtotal				<u>843,677</u>	<u>-</u>
	<b>Environmental Protection Agency</b>					
66.RD	United States Environmental Protection Agency			ASA	197,050	
66.RD	United States Environmental Protection Agency			UAA	317,006	72,130
66.RD		Dine College	1918-5-513	NAA	64,345	
66.RD		Extension Foundation	SA-2019-55	UAA	18,413	
66.RD		Inter Tribal Council of Arizona, Incorporated	ITCA-20-2	UAA	11,402	
66.RD		North American Development Bank (NADB)	NADBC20-027	ASA	7,266	
66.RD		Ohio State University	60065546	ASA	23,814	
66.RD		University of Arizona	83615101, 409278	NAA	18,926	
	Environmental Protection Agency Subtotal				<u>658,222</u>	<u>72,130</u>
	<b>Department of Energy</b>					
81.RD	Advanced Research Projects Agency Energy			ASA	2,672,842	396,783
81.RD	Advanced Research Projects Agency - Energy			UAA	40,067	1,804
81.RD	Argonne National Laboratory			ASA	17,579	
81.RD	Department of Energy			NAA	749,740	46,531
81.RD	DOE: Department of Energy			ASA	1,093,555	157,500
81.RD	DOE: Office of Energy Efficiency and Renewable Energy (EERE)			ASA	5,574,500	1,016,777
81.RD	Idaho Field Office			ASA	99,356	70,856
81.RD	Lawrence Berkeley National Laboratory			ASA	24,044	
81.RD	Los Alamos National Laboratory			ASA	19,236	
81.RD	National Energy Technology Laboratory			ASA	734,175	435,030
81.RD	National Nuclear Security Administration			UAA	800,632	53,600
81.RD	National Renewable Energy Laboratory			ASA	226,340	
81.RD	NNSA			ASA	63,873	
81.RD	Office of Science			ASA	1,512,062	41,789
81.RD	Pacific Northwest National Laboratory (PNNL)			ASA	30,589	
81.RD	Sandia National Laboratories (SNL)			ASA	100,179	
81.RD	United States Department of Energy			UAA	3,349,930	109,535
81.RD		Advent Diamond, LLC	AGR 4/16/2019	ASA	12,000	
81.RD		Aerodyne Research, Inc.	ARI 11409-2	UAA	178,935	
81.RD		Alliance for Sustainable Energy, LLC.	SUB201910006, XAT-8-82198-01	UAA	31,405	
81.RD		Alliance for Sustainable Energy, LLC.		UAA	71,505	
81.RD		Alphacore, Inc.	DOE PH 1 ADC	ASA	29,708	
81.RD		Ames Laboratory	SC-20-521	ASA	42,773	
81.RD		Antora Energy	DE-AR0000993-ASU	ASA	238,585	
81.RD		Argonne National Laboratory (ANL)	9F-60245	ASA	24,528	
81.RD		Arizona State University	ASUB00000408	NAA	22,816	

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81.RD		Battelle Memorial Institute	448774, 321865	ASA	65,416	
81.RD		Battelle Memorial Institute	436991	UAA	36,665	
81.RD		Brookhaven National Laboratory	74201, 101340, 107946, 310882, 313343, 361793, 364830, 374153	UAA	1,691,895	17,911
81.RD		Burge Environmental	DE-SC00013194, RHZ-SC0018495	ASA	134,565	
81.RD		Colorado School of Mines	400612, 401011-5802	ASA	76,159	
81.RD		Colorado State University	G-01819-01	ASA	5,159	
81.RD		Colorado State University	SUBAWARD G-40115-02	UAA	283,186	
81.RD		Euclid BeamLabs, LLC	20575	ASA	41,573	
81.RD		Itasca Consulting Group, Inc.	LTR DTD 030420	UAA	23,809	
81.RD		Lawrence Berkeley National Laboratory (LBNL)	7515787, 7511291, 7418244	ASA	70,031	
81.RD		Lawrence Livermore National Laboratory	B627402	NAA	146,416	
81.RD		Lawrence Berkeley National Laboratory	7329734, 7308213/DE-AC02-05CH11231, B639244	UAA	347,365	
81.RD		Lawrence Livermore National Security, LLC	B619796, B621762, B630670, B631458, B639695, B639881	UAA	202,552	
81.RD		Los Alamos National Laboratory (LANL)	527106	ASA	605	
81.RD		Los Alamos National Laboratory	547522	NAA	27,170	
81.RD		Los Alamos National Laboratory	531988, 572983	UAA	188,407	
81.RD		Michigan State University	RC102649-ASU, RC109447-ASU	ASA	80,366	
81.RD		Mission Support and Test Services LLC	PO 240368	ASA	9,377	
81.RD		National Renewable Energy Laboratory (NREL)	ZGJ-7-70115-01, XDJ-8-82153-01, XAT-9-92058-01, ZDC-8-82043-01, KXEU-0-92407-01, XEJ-9-92120-01	ASA	880,915	
81.RD		National Security Technologies, LLC	180963	UAA	54,443	
81.RD		New Mexico Institute of Mining and Technology	PO019567/DE-FE0031837	UAA	10,410	
81.RD		New Mexico State University (NMSU)	Q02001	ASA	89,143	
81.RD		North Carolina State University	2014-0654-61	ASA	58,415	
81.RD		Oak Ridge Associated Universities	SAWD-WD-00968	UAA	6,355	
81.RD		Oak Ridge National Laboratory	4000158404	NAA	78,522	
81.RD		Ohio State University	60071260, 60073514	UAA	167,444	
81.RD		Opticslah, LLC	LTR DTD 100418	UAA	143,666	
81.RD		Pacific Northwest National Laboratory	328065, 396934	NAA	613,296	
81.RD		Pacific Northwest National Laboratory	381570, 436508, 451121, 452575, 494132, 516847, 516992	UAA	441,401	
81.RD		Princeton University	SUB0000290	ASA	152,606	
81.RD		Proton OnSite	EC-0008092-03 / PO 20544,	ASA	27,043	
81.RD		Rapid Advancement in Process Intensification Deployment Manufacturing Institute	DE-EE000788-3-2-4, NA	UAA	70,130	3,273
81.RD		Physical Sciences Inc	86026-1983-46	NAA	77,794	
81.RD		Radiation Detection and Imaging Technologies	C41-24b	ASA	98,174	
81.RD		Rutgers, The State University of New Jersey	1003/1140891	UAA	33,000	
81.RD		Sandia National Laboratories (SNL)	2169489, 2146683, PO 2072087, 2000965, 1993669	ASA	488,297	
81.RD		Sandia National Laboratories	2047391, 2094239, 2151838	UAA	121,933	
81.RD		Smithsonian Institute	16SUBC4400000359417	NAA	23,710	
81.RD		Sporian Microsystems, Inc.	DE-SC0017712	UAA	98,712	
81.RD		Stanford University	61559159-51077, 61615333-128599, 61559167-51077	ASA	32,220	
81.RD		Structured Materials Industries, Inc.	42066-20170716-01	ASA	66,414	
81.RD		TechSource, Inc.	GS10F00384	ASA	283,778	
81.RD		Tech-X Corporation	7331-004	ASA	58,200	
81.RD		Tectonicus Constructs Llc.	DE-FOA-0001941	UAA	19,123	
81.RD		Texas A&M University (TAMU)	M200197	ASA	7,251	
81.RD		The Donald Danforth Plant Science Center	22815-A, 22827-A, 23706-A	UAA	1,153,515	220,754
81.RD		University of California, Berkeley	00010312	UAA	73,558	
81.RD		University of California: Davis	A18-1847-S001, A20-2234-S001, A19-0591-S001	ASA	272,097	
81.RD		University of California: Los Angeles (UCLA)	0159 G UA381	ASA	31,632	
81.RD		University of California: Riverside	S-000683	ASA	4,954	
81.RD		University of California: San Diego	97378543	ASA	62,561	
81.RD		University of California, San Diego	111117474/S9002139	UAA	28,161	
81.RD		University of California Santa Barbara	KK1965	NAA	75,672	
81.RD		University of Central Florida	16276008-01	ASA	101,418	
81.RD		University of Illinois: Board of Trustees	078620-15703 (formerly 2015-06605-09), 094928-17354	ASA	393,189	
81.RD		University of Massachusetts Amherst	19-010693 B 00	UAA	823	
81.RD		University of Nevada: Reno	UNR-20-24	ASA	11,206	
81.RD		University of North Carolina: Chapel Hill	5114362, 5112969	ASA	121,795	
81.RD		University of Tennessee	A18-0364-S002	ASA	17,795	
81.RD		University of Texas at Austin	UTA17000043	UAA	26,676	
81.RD		UT Battelle LLC	4000161830, 4000158404	NAA	38,384	
81.RD		UT-Battelle	4000178321	UAA	55,709	
81.RD		Washington State University	134124-G003966	ASA	49,652	
81.RD		Washington University St. Louis	293488E	NAA	24,201	
	Department of Energy Subtotal				<u>27,937,063</u>	<u>2,572,143</u>
	<b>Department of Education</b>					
84.RD	Department of Education			ASA	9,343,038	1,261,635
84.RD	Institute of Education Sciences			UAA	203,045	
84.RD	United States Department of Education			UAA	1,073,252	
84.RD	Arizona Department of Education (ADE)		16-02-ED	ASA	121,910	
84.RD	Arizona Department of Education		17-23-ED	NAA	14,985	
84.RD	Association of Public and Land-Grant Universities (APLU)		ICA 02/20/17	ASA	46,068	
84.RD	Blackwater Community School		18190812, AGR 11/1/2019	ASA	42,153	

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84.RD		Center for Applied Special Technology	ASU070117-20	ASA	141,850	
84.RD		Florida International University	800011810-01UG	ASA	22,036	
84.RD		Georgia State University	SP00012139-01	ASA	158,815	
84.RD		Georgia State University	SP00010919-01	UAA	33,592	
84.RD		Gila River Indian Community	C6102 ; C6347 ; C6561, C6102 ; C6347 ; C6561	ASA	14,602	
84.RD		Oregon Research Institute	AGR 4/9/2020	ASA	2,212	
84.RD		Phoenix Indian Center	AGR 12/10/19, AGR 09/27/16	ASA	40,502	
84.RD		Salus University	UA 88403 17-18/H325H140002	UAA	118,705	
84.RD		Texas A&M University (TAMU)	M1803132	ASA	150,815	
84.RD		Texas State University	18018-83055-1	ASA	69,217	
84.RD		University of California: Irvine	2017-3496, 2019-3726, PO223329	ASA	117,742	
84.RD		University of Florida	SUB00001886	ASA	335,082	
84.RD		University of Florida	UFDSP00011297/R324A160154	UAA	35,165	
84.RD		University of Florida: Board of Trustees	SUB00001905	ASA	91,112	
84.RD		University of Hawaii	MA1479	NAA	40,590	
84.RD		University of Kansas (KU)	860196696, FY2019-103	ASA	126,654	
84.RD		University of South Florida	5830-1540-00-A	NAA	39,010	
84.RD		University of Tennessee	A18-0099-S001	ASA	59,831	
	Department of Education Subtotal				12,441,983	1,261,635
	<b>Department of Health and Human Services</b>					
93.RD	Administration for Children and Families			ASA	146,080	
93.RD	Administration for Children and Families			UAA	16,401	
93.RD	Administration for Community Living			ASA	182,678	
93.RD	Administration for Community Living			UAA	605,623	
93.RD	Agency for Healthcare Research and Quality			UAA	298,092	62,342
93.RD	COVID-19 - Centers for Disease Control and Prevention			UAA	8,308	
93.RD	Centers for Disease Control and Prevention			ASA	392,501	105,342
93.RD	Centers for Disease Control and Prevention			UAA	1,781,494	
93.RD	Centers for Disease Control and Prevention - ERA			ASA	5,260	-
93.RD	Eunice Kennedy Shriver National Institute of Child Health and Human Development			UAA	2,407,967	675,848
93.RD	Food and Drug Administration			ASA	73,671	60,412
93.RD	COVID-19 - Health Resources and Services Administration			UAA	16,743	
93.RD	Health Resources and Services Administration			ASA	451,373	-
93.RD	Health Resources and Services Administration			UAA	1,346,846	185,693
93.RD	HHS: Office of the Secretary			ASA	1,250	1,250
93.RD	HHS-NIH: National Cancer Institute (NCI)			ASA	5,484,028	2,001,126
93.RD	HHS-NIH: National Center on Minority Health and Health Disparities (NIMHD)			ASA	2,573,079	83,410
93.RD	HHS-NIH: National Institute of General Medical Sciences (NIGMS)			ASA	5,641,291	719,772
93.RD	John E. Fogarty International Center			UAA	83,898	6,668
93.RD	National Cancer Institute			NAA	1,311,876	36,036
93.RD	National Cancer Institute			UAA	17,469,244	2,095,850
93.RD	National Center for Chronic Disease Prevention and Health Promotion			UAA	460,701	162,042
93.RD	National Center for Complementary and Integrative Health			UAA	1,129,128	345,372
93.RD	National Eye Institute			UAA	2,013,454	68,838
93.RD	National Heart, Lung, and Blood Institute			UAA	23,335,397	4,444,953
93.RD	National Institute for Occupational Safety and Health			UAA	707,643	
93.RD	National Institute of Allergy and Infectious Disease			UAA	11,107,029	1,490,173
93.RD	National Institute of Arthritis and Musculoskeletal and Skin Diseases			UAA	2,158,093	532,754
93.RD	National Institute of Biomedical Imaging and Bioengineering			UAA	1,517,423	37,361
93.RD	National Institute of Dental and Craniofacial Research			UAA	825,892	6,346
93.RD	National Institute of Diabetes and Digestive and Kidney Diseases			UAA	5,721,532	197,235
93.RD	National Institute of Environmental Health Sciences			UAA	8,118,969	529,641
93.RD	National Institute of General Medical Sciences			UAA	10,576,556	571,127
93.RD	National Institutes of Health			ASA	33,866,935	7,255,687
93.RD	National Institutes of Health			NAA	6,895,705	368,194
93.RD	National Institute of Mental Health			UAA	1,971,094	60,876
93.RD	National Institute of Neurological Disorders and Stroke			UAA	7,213,510	667,495
93.RD	National Institute of Nursing Research			UAA	171,096	
93.RD	National Institute on Aging			UAA	13,100,174	3,554,409
93.RD	National Institute on Alcohol Abuse and Alcoholism			UAA	474,714	114,487
93.RD	National Institute on Deafness and Other Communication Disorders			UAA	1,363,034	
93.RD	National Institute on Drug Abuse			UAA	1,924,696	150,083
93.RD	National Institute on Minority Health and Health Disparities			UAA	946,627	162,339
93.RD	National Institutes of Health			UAA	10,943,318	1,219,804
93.RD	National Library of Medicine			UAA	358,361	45,523
93.RD	Office of the Assistant Secretary for Health			ASA	204,312	
93.RD	Substance Abuse and Mental Health Services Administration			ASA	14,478	
93.RD	United States Department of Health and Human Services			UAA	351,349	
93.RD		COVID-19 - Abt Associates	51365/75301-20-R-67897	UAA	8,855	
93.RD		A.T. Still University	301-290, 301-300	ASA	20,074	
93.RD		Alaska Community Action on Toxics	2R01-06-NAU	NAA	179,155	
93.RD		Albany Medical College	207-465316-HB1	UAA	15,841	
93.RD		Albert Einstein College of Medicine	332117	UAA	86,494	
93.RD		Alzheimer's Foundation of America	LTR DTD 090518	UAA	1,844	
93.RD		Amity Foundation	LTR DTD 022219	UAA	65,778	
93.RD		Anevas Technologies LLC	19.0664	NAA	230,512	
93.RD		Aqualung Therapeutics, Corp.	1R41HL147769-01, R42HL145930	UAA	80,722	
93.RD		Arizona Complete Health	LTR DTD 061419	UAA	84,259	
93.RD		Arizona Department of Economic Security	DS16-003086	ASA	36,091	32,810
93.RD		Arizona Department of Education	1922ED	UAA	17,435	
93.RD		Arizona Department of Health Services	CTR044785, ADHS14-071013, ADHS17-163360, ADHS18-187412, ADHS17-152166	ASA	255,282	
93.RD		Arizona Department of Health Services	ADHS16-122850, ADHS16-130922, ADHS17-164629, ADHS18-185671, CTR038429/ADHS18-201484	UAA	702,976	
93.RD		Arizona Developmental Disabilities Planning Council (ADDPC)	ISA-ADDPC-0701-02-2020	ASA	164,254	

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93.RD		Arizona Health Care Cost Containment System (AHCCCS)	YH20-0020	ASA	412,038	
93.RD		Arizona Health Care Cost Containment System	CTR041852/YH19-0047, YH19-0068	UAA	468,250	
93.RD		AZ-Maricopa County: Department of Public Health	C-86-16-013-3	ASA	89,534	
93.RD		Arizona Office of the Governor: Office of Youth, Faith and Family (GOYFF)	ISA-PAF-19-070118-01, ISA-STR-17-050117-01	ASA	320,575	58,171
93.RD		Arizona State University	ASUB11	NAA	53,097	
93.RD		Arizona State University	15-748, 17-061, ASUB00000118, ASUB00000243 / SUB00000679, ASUB00000251, ASUB00000314	UAA	372,930	
93.RD		Banner Health System	4350244244, 4350267753, 4350267754, 4350608006, 0435-06-08007, LMS04350271557, SUB-37/2P30AG019610-17	UAA	356,094	
93.RD		Barron Associates Inc.	560-SC01	ASA	32,787	
93.RD		Baylor College of Medicine	PO 700001015	ASA	30,084	
93.RD		Baylor Scott & White Research Institute	41010481702	UAA	2,285	
93.RD		Beckman Research Institute of The City of Hope	60723.2006384.669303, 61998.2006995.669308	UAA	104,526	
93.RD		Biomedical Research Institute of New Mexico	358-Uhl-2019	UAA	225,049	
93.RD		Biosensing Instrument, Inc.	BIG126720, FP00001155	ASA	283,784	
93.RD		Black Hills Center for American Indian	n/a	NAA	171,912	
93.RD		Boston Children's Hospital	GENFD0001524164, GENFD0001665387 (Core), GENFD0001688943	UAA	246,771	66,631
93.RD		Brigham and Women's Hospital	114117	UAA	4,555	
93.RD		Brown University	NA	UAA	124,780	
93.RD		Chapman University	2018-ASU-AG054442	ASA	104,133	
93.RD		ChildHelp	CHSC-H-001	ASA	165,546	
93.RD		Child and Family Resources, Incorporated	CFR-19-PRE-STOP-01	UAA	3,600	
93.RD		Children's Hospital Los Angeles	000012699-A, RGF010339-A	ASA	133,084	
93.RD		Children's Hospital & Research Center at Oakland	U18HS025297-03	UAA	3,880	
93.RD		Children's Hospital Los Angeles	P2015-0084, RGF011590-A	UAA	121,461	
93.RD		Children's Hospital of Philadelphia	/FP00015221_SUB19_01/U10CA1, FP00013087_SUB193/FP000152, FP00013087_SUB193_01/9500, FP00013087_SUB193_01/950008, FP13087 SUB193 01/FP13560 S	UAA	19,270	
93.RD		Cincinnati Children's Hospital Medical Center	135878, 138511	UAA	44,327	
93.RD		Cleveland Clinic	1037-SUB	UAA	25,226	
93.RD		Cleveland Clinic Foundation	1078-SUB	UAA	405,589	
93.RD		Collaborations Pharmaceuticals Inc	nn	UAA	50,062	
93.RD		Collaborative Ventures Network	LTR DTD 042817	UAA	136,250	
93.RD		Colorado State University	G4506301, NA	UAA	74,002	
93.RD		Columbia University	3(GG014239-01) ; PO G13015	ASA	49,870	
93.RD		Columbia University	1(GG012754-19), 1(GG013391-01), 3GG012144, 5(GG011896-49)/G12170, GG011896-63	UAA	602,703	
93.RD		COPD Foundation	001/Amend3	UAA	23,998	
93.RD		Creare LLC	S682	ASA	63,485	27,553
93.RD		Cylerus, Inc	LTR DTD 111817	UAA	3,846	
93.RD		Dartmouth College	R803, R1078, R1067	ASA	173,990	
93.RD		Dartmouth-Hitchcock Clinic	GC10075-00-11	UAA	21,669	
93.RD		Dignity Health-St. Joseph's Hospital: Barrow Neurological Institute (BNI)	1032238-ASU	ASA	120,853	
93.RD		Dine College	1819-7-512	NAA	346,131	
93.RD		Drexel University	800115, 900039	UAA	22,135	
93.RD		Duke University	333-2628, A032380, A030744	ASA	214,239	
93.RD		Duke University	243950, 2037894, A030458, A030571, A030929	UAA	546,638	
93.RD		El Rio Community Health Center	1H79M0807320901UASIROW	UAA	60,917	
93.RD		Electrosonix LC	UA-NIH-01202019	UAA	44,490	
93.RD		Emory University	A314236, A307952, T186690	ASA	37,687	
93.RD		Emory University	A119183, A229587, T662106 / T472566	UAA	527,247	
93.RD		FAKnostics, LLC	R41CA240124	UAA	37,092	
93.RD		Florida International University	800010310-01UG, 800009596-01UG ; 800009596/000131, 800009094-01UG/000174	ASA	195,670	
93.RD		Florida State University	R01877	NAA	3,632	
93.RD		Fred Hutchinson Cancer Research	0000984060, 0000918101 // 0000966759 // 0000991517, 0000918101 // 0000966759 // 0000991517	ASA	281,664	
93.RD		Georgetown University	413827 GR413644-ASU	ASA	103,223	
93.RD		Georgia Institute of Technology (Georgia Tech)	RH335-G3/AWD-101109-G3	ASA	30,242	
93.RD		Georgia Institute of Technology	AWD-000033-G1	UAA	69,495	
93.RD		George Washington University	16-M42	NAA	27,394	
93.RD		Gila River Indian Community	17143	ASA	106,511	
93.RD		Glycosurf	R43ES029423	UAA	894	
93.RD		Gretchen Swanson Center for Nutrition	HHSN2632015000371, PO0400286/HHSN2632015000371	UAA	55,694	
93.RD		Harvard University	113146-5111854	ASA	159	
93.RD		Hawaii Pacific University	ASU-232710	ASA	359	
93.RD		Hopi Tribe	19-038/H-009-2019	UAA	117,263	
93.RD		Hospital for Sick Children (Canada)	6610100200	UAA	21,700	
93.RD		Icahn School of Medicine at Mount Sinai	0255-4523-4609	ASA	15,691	

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93.RD		Illinois Institute of Technology	SA16-0061-S007 / SA619-0614-10011	ASA	8,112	
93.RD		INanoBio, Inc.	2020-NIH-ASU-001	ASA	206,663	
93.RD		Indiana University	8081_AZ, IN4684790UA, IN4686318UA, IN-4687948-UA/2051182	UAA	644,885	
93.RD		Inter Tribal Council of Arizona, Incorporated	LTR DTD 011819, U261IHS0077	UAA	392,890	
93.RD		Johns Hopkins University (JHU)	2002168219	ASA	36,728	
93.RD		Johns Hopkins University	2003252048, 2004428901	UAA	149,058	
93.RD		Joslin Diabetes Center	100114	UAA	3,771	
93.RD		Kaiser Permanente	210015-ASU	ASA	7,280	
93.RD		Kent State University	403029-ASU	ASA	113,490	
93.RD		Kent State University	403040-UAZ	UAA	89,299	
93.RD		Leidos	16X118, 16X118TO2, P010235059	ASA	327,523	
93.RD		Leidos Biomedical Research Incorporated	18X136	UAA	339,036	
93.RD		Massachusetts General Hospital	233737	UAA	108,956	
93.RD		Mayo Clinic Arizona	ARI-216755, ASU-231792, PO 66175625, ARI-216105/PO 64785804, ARI-236765/PO 66357349, ASU-231792	ASA	214,283	
93.RD		Mayo Foundation for Medical Education and Research (Mayo Clinic)	UNA-224063, UNI257790, UNI-259090/PO #66935426	UAA	192,853	
93.RD		Medical College of Wisconsin	R01AI083281	UAA	48,344	
93.RD		Medical University of South Carolina (MUSC)	MUSC18-037-8D257	ASA	306	
93.RD		Mercy Health	FD005476-1220-03	ASA	234	
93.RD		Michigan State University	RC105782UAZ, RC105782UAZPH, RC110679UAZ	UAA	34,079	
93.RD		Microbiotix Inc.	R43AI149822	UAA	1,800	
93.RD		Microvascular Therapeutics, LLC	R44HL137447	UAA	12,242	
93.RD		Modulated Imaging, Inc	LTR DTD 122217	UAA	1,860	
93.RD		Montana State University	G190-19-W7658	NAA	7,474	
93.RD		MRIGlobal	708-110998-2	ASA	558,496	
93.RD		National Jewish Health	20112593	UAA	744,930	
93.RD		Native American Connections Administration	14092525, FP00015617, FP00015617	ASA	81,129	
93.RD		Native Americans for Community Action		NAA	15,775	
93.RD		Native Health	FP00016914, FP00016743_Rev1, FP00011813; FP00016743	ASA	65,615	
93.RD		Navajo Nation	CO13159	NAA	55,808	
93.RD		NeurOp, Inc.	FP00013054	ASA	31,342	
93.RD		New England Research Institutes	BEST-CLI	UAA	14,029	
93.RD		New York University (NYU)	19-A0-00-1002081, 18-A1-00-007561	ASA	243,536	
93.RD		New York University (NYU)	PO M200357922	NAA	7,651	
93.RD		Northern Arizona University	1003703-01	UAA	34,167	
93.RD		Northwestern University	60036404UA, 60047539 UA, 60053528 UA, 60054712 UA	UAA	154,288	
93.RD		NRG Oncology	CA21661, GOG225-04, NCORP-GOG0225-GY6	UAA	162,163	
93.RD		Ohio State University	60067960	ASA	35,876	
93.RD		Ohio State University	60045178, 60059059, 60071062, 60073534, 60062218/RF01500027	UAA	56,382	
93.RD		Omniscient LLC	2R42CA203212-UA01	UAA	252,927	
93.RD		Oregon Health & Science University	1015586_ASU	ASA	187,347	
93.RD		Oregon Health and Science University	1008329_UAZ, 1008719_UAZ, 1013209_UAZ, CA-32102	UAA	451,706	
93.RD		Oregon Research Behavioral Intervention Strategies	LTR DTD 080318	UAA	108,485	
93.RD		Pennsylvania State University	5473-ASU-DHHS-0659, 4899-ASU-DHHS-9245	ASA	258,221	197,784
93.RD		Pharmaceutical Product Development, LLC.	LTR DTD 030617	UAA	10,855	
93.RD		Pima County Attorney Office	CT-PCA-19-515	UAA	51,077	
93.RD		Pima County, Arizona	CTCA19331	UAA	94,354	
93.RD		Pressure Profile Systems, Inc.	R44EB024713	UAA	22,536	
93.RD		Purdue University	11000520-005	UAA	16,283	
93.RD		RAND Corporation	9920150101	ASA	5,295	
93.RD		Regulonix	R41DA050364, R41NS116784	UAA	4,756	
93.RD		ReStore Therapeutics	R41HL140741	UAA	32,734	
93.RD		Rhode Island Hospital	7137063, 7137207, 7137472WP	UAA	271,242	
93.RD		Roswell Park Cancer Institute	281-02	UAA	933	
93.RD		Rutgers, The State University of New Jersey	1052	UAA	46,820	
93.RD		Rutgers University	0748; 0235, 6039, 1188; PO 1219566	ASA	502,161	
93.RD		Sage Bionetworks	Agora2019AZ, AMPT2018UAZ	UAA	146,422	
93.RD		Sonoran Biosciences	00002485, FP00006538	ASA	31,532	
93.RD		Southern Research Institute	S15-110, S16-111, S19-112	UAA	386,274	
93.RD		St. Louis University	20823-43590, eRS #22373-44896/1R01NS1132	UAA	84,951	
93.RD		Stanford University	61123652-118332, 61892366-125439, 62346241-131009	UAA	206,941	
93.RD		State University of New York	84814/2/1154145	UAA	195,488	
93.RD		State University of New York Research Foundation	87180/3/1159217	UAA	87,590	
93.RD		Tempe Police Department	AGR 12/12/2019, AGR 12/12/2019	ASA	26,419	6,076
93.RD		Temple University	261331-Arizona	UAA	10,001	
93.RD		Terros, Inc.	LTR DTD 072920	UAA	1,808	
93.RD		Texas A and M University	M1902659	UAA	19,299	
93.RD		TF Health Corporation	13043968, FP00013132, 14010042	ASA	256,891	

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93.RD		The Center for Comprehensive Care and Diagnosis of Inherited Blood Disorders	CIBDIX2014HRSA-AZHSC	UAA	20,760	
93.RD		The Mind Research Network	6010509 SubN4	UAA	17,616	
93.RD		Tulane University	TUL-HSC-557270-19/20, TUL-HSC-557643-19/20	UAA	57,979	
93.RD		University of Arizona	300664, LTR 08/02/17, PO 263928, LOA300664, PO 522243, 518121, PO 294145, PO 505544, 300664	ASA	300,987	10,979
93.RD		University of Arizona	289030, 490278	NAA	137,457	
93.RD		University of California, Berkeley	10168, 10273	UAA	159,006	117,244
93.RD		University of California: Davis	A18-1798-S003, A16-0127-S002, A18-0145-S001, 201600672-01 ; A16-0127-S001, A18-1798-S001, A19-0461-S001	ASA	126,899	
93.RD		University of California, Davis	20122469302, A18-0612-S008, U54OH007550	UAA	7,693	
93.RD		University of California: Irvine	2018-3562, 2015-3292	ASA	78,576	
93.RD		University of California, Irvine	2017-3460, 2017-3493, 2018-3639, 2019-3815/AG064228	UAA	398,557	
93.RD		University of California: Los Angeles (UCLA)	2015 G TA231, 2000 G VC638, 2000 G VC638	ASA	442,149	
93.RD		University of California, Los Angeles	1560GWB070, 1568 G TA550, 1900 G XA389, 1930 G WA 139, 5415 G UA003	UAA	816,620	2,409
93.RD		University of California: Regents	5415 G WA146	ASA	9,038	
93.RD		University of California: Riverside	S-001165	NAA	15,782	
93.RD		University of California: San Diego	131227748, 118304560, 131286579, 120991641	ASA	98,211	
93.RD		University of California, San Diego	126903415/S9002535	UAA	45,329	
93.RD		University of California: San Francisco	9193sc	ASA	123,772	
93.RD		University of California, San Francisco	10278sc, 10474sc, 11515sc, 11692sc	UAA	66,036	
93.RD		University of Cincinnati	009620-024, 010785-135736	UAA	61,630	
93.RD		University of Colorado	2-5-A5331/FY17.869.001, FY17.583.001	UAA	49,558	
93.RD		University of Colorado: Denver	FY20.291.001, FY20.369.013, FY19.946.003	ASA	188,519	
93.RD		University of Colorado Denver	FY19.347.001	UAA	2,740	
93.RD		University of Colorado: Boulder	1558182	ASA	10,800	
93.RD		University of Colorado, Boulder	1554230/1000702738, 1557575	UAA	52,050	
93.RD		University of Delaware	PO 50807	NAA	16,319	
93.RD		University of Florida	SUB00001847	ASA	28,133	
93.RD		University of Florida	SUB00001818, SUB00001979, SUB00002053, UFDSP00011482, UFDSP00011920/P0053665	UAA	452,698	
93.RD		University of Ghana (Ghana)	5U54DK116913-08	UAA	18,945	
93.RD		University of Haifa (Israel)	0601146321	UAA	159,871	
93.RD		University of Illinois	17770-00	UAA	29,921	
93.RD		University of Illinois: Board of Trustees	2013-03955-01, 077432-16959	ASA	3,033	
93.RD		University of Illinois at Chicago	17101, 17447, 16014/1R01HS024850-01	UAA	63,040	1,251
93.RD		University of Kansas: Medical Center Research Institute (KUMCRI)	ZAB00070	ASA	188,849	
93.RD		University of Maryland, Baltimore	1600589	UAA	121,109	
93.RD		University of Massachusetts	B000820719	ASA	29,081	
93.RD		University of Massachusetts	OSP2017011	UAA	149,248	
93.RD		University of Massachusetts Amherst	18010058A00	UAA	62,700	
93.RD		University of Massachusetts Medical School	OSP2017022/WA00461501	UAA	423,911	
93.RD		University of Miami	G02924, SPC-001247	UAA	52,948	
93.RD		University of Michigan	3004052125	ASA	224,352	
93.RD		University of Michigan	3004694011, SUBK00008157, SUBK00008964/SUBK9088CSPR, SUBK00010518, SUBK00011233	UAA	52,958	2,756
93.RD		University of Minnesota	N006264806, N006264806, A005780001	ASA	63,360	
93.RD		University of Missouri - Columbia	C00041867-1/1R01DE23342-01A	UAA	7,884	
93.RD		University of Nebraska	34-5507-2039-003, 36-5360-2141-110	UAA	45,843	
93.RD		University of New Mexico	3RGJ7	ASA	90,354	
93.RD		University of New Mexico	3RBV7	NAA	79,754	
93.RD		University of North Carolina: Chapel Hill	5113752	ASA	27,338	
93.RD		University of North Texas	GF000041	UAA	166,832	
93.RD		University of North Texas: Health Science Center	RN0127-2015-0147	ASA	13,428	
93.RD		University of Pennsylvania	573999, 575501, 576656	UAA	180,844	
93.RD		University of Pittsburgh	0039039 (124354-1), CNVA00050256 (133740-2), 0030277 (122728-2)	ASA	497,216	44,033
93.RD		University of Pittsburgh	0057835 (130336-2)	NAA	8,986	
93.RD		University of Pittsburgh	0057835(130366-3), CNVA00046691 (133106-31), CNVA00050256, CNVA00057127(130219-1), CNVA00061907 (131917-1)	UAA	114,840	
93.RD		University of Puerto Rico	2017-000356	ASA	142,245	
93.RD		University of South Florida	5830-1514-00-A	NAA	48,627	
93.RD		University of Southern California	65320775, 109745588, 121116987, 124498256, 87455540, 109745588	ASA	213,638	
93.RD		University of South Carolina	19-3732 PO2000043018	UAA	3,044	
93.RD		University of Southern California	75836590, 92389883/10606079	UAA	2,068	
93.RD		University of Tennessee	191404-200625-AZ	UAA	8,245	
93.RD		University of Texas at Austin	UTA19-001245/1R21MD012706-0	UAA	5,212	
93.RD		University of Texas at Dallas	1705264	UAA	344,093	



State of Arizona  
Schedule of expenditures of federal awards  
Year ended June 30, 2020

Assistance Listing/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
93.RD		University of Texas Medical Branch	19-84726-10, PO 1630	NAA	5,953	
93.RD		University of Texas: El Paso	226141271B, 226141289K ; 226141328K	ASA	13,579	
93.RD		University of Texas at El Paso	226141271C, 226141389L	UAA	7,195	
93.RD		University of Texas: MD Anderson Cancer Center	3001141227, 3001208265, HHSN26120120000341	UAA	96,214	
93.RD		University of Texas: Southwestern Medical Center	GMO 191207, GMO171211	ASA	93,194	
93.RD		University of Toronto	Subgrant1 - 505083	ASA	13,473	
93.RD		University of Utah	10055388-03/U000258756, 10055399-02	UAA	47,179	
93.RD		University of Vermont	30893SUB53290-01, 31331SUB0002	UAA	373,081	
93.RD		University of Virginia	GB10275, GB10462, 2180539	ASA	148,855	
93.RD		University of Virginia	GB10310.PO#2127210, GB10404.PO#2127242, GB10542.PO#2127243	UAA	122,828	
93.RD		University of Washington	UWSC11490 ; PO BPO43842, UWSC11924, UWSC10944 ; PO BPO36543, UWSC11621, UWSC9288	ASA	248,736	
93.RD		University of Washington	BPO4344/UWSC7538, UWSC8146/5R01HD080670-02/ B	UAA	409,169	
93.RD		University of Wisconsin: Madison	809K126	ASA	23,611	
93.RD		University of Wisconsin-Madison	303, 774K421, 787K312	UAA	192,325	
93.RD		Utah State University	1R21DC016084-01	ASA	40,055	
93.RD		Viocare, Inc	R43DK121665	UAA	41,053	
93.RD		Virginia Polytechnic Institute and State University	432143-19007	ASA	19,253	
93.RD		Washington State University	127105-G003752, 134082-G004023	UAA	717,094	
93.RD		Washington University in St. Louis	WU-14-388, WU-20-113	ASA	23,503	
93.RD		Washington University in St. Louis	WU-19-380, WU-19-90	UAA	24,428	
93.RD		Wayne State University	WSU19124	UAA	51,990	
93.RD		Weill Cornell Medicine	201477	UAA	33,418	
93.RD		Wright State University	671112-1	ASA	40,502	
93.RD		Yale University	GR107820 (CON-80001984), R01HL125918	UAA	2,105	
	Department of Health and Human Services Subtotal				<u>217,421,782</u>	<u>28,586,185</u>
	<b>Corporation for National and Community Service</b>					
94.RD	AmeriCorps			ASA	1,734,551	1,128,275
94.RD		Arizona Governors Office of Youth, Faith and Family	AC-VGF-18-060118-01Y2	ASA	19,792	
	Corporation for National and Community Service Subtotal				<u>1,754,343</u>	<u>1,128,275</u>
	<b>Social Security Administration</b>					
96.RD		Creare LLC	S606 / PO#93967	ASA	24,338	
	Social Security Administration Subtotal				<u>24,338</u>	<u>-</u>
	<b>Department of Homeland Security</b>					
97.RD	Department of Homeland Security			ASA	3,775,553	1,776,310
97.RD	Department of Homeland Security			NAA	834,682	
97.RD	Federal Emergency Management Agency			UAA	594,762	166,636
97.RD		Arizona Division of Emergency Management	518311	UAA	15,614	
97.RD		Duke University	343-0849	UAA	421,009	
97.RD		National Development and Research Institutes, Incorporation	653B	UAA	136,303	
97.RD		SureScan Corporation	HSHQDC-16-C-B0014	UAA	589,208	241,648
97.RD		TGEN	HSHQDC-16C-B0031	NAA	22,396	
97.RD		University of Maryland: College Park	80818-Z9390201, 80818-Z9390201	ASA	133,529	72,676
97.RD		University of Miami	SPC-001249	UAA	101,248	
	Department of Homeland Security Subtotal				<u>6,624,304</u>	<u>2,257,270</u>
	<b>Agency for International Development</b>					
98.RD	United States Agency for International Development			ASA	2,383,685	304,879
98.RD	United States Agency for International Development			UAA	357,691	
98.RD		Chemonics International Inc.	ASU-PSM-SSD-001	ASA	8,565	
98.RD		ICF International, LLC	18MSSK0127/AID-OAA-TO-16-00	UAA	3,848	
98.RD		National Academy of Sciences (NAS)	2000010567	ASA	89,164	20,930
98.RD		National University of Sciences and Technology (NUST)	MOA 8/31/15	ASA	956	
	Agency for International Development Subtotal				<u>2,843,909</u>	<u>325,809</u>
	<b>Miscellaneous Federal Agencies</b>					
99.RD	Miscellaneous Federal Agencies			ASA	258,136	
	Miscellaneous Federal Agencies Subtotal				<u>258,136</u>	<u>-</u>
	Total Research and Development Cluster				<u>639,282,836</u>	<u>113,367,213</u>
	<b>Total Expenditures of Federal Awards</b>				<u>\$ 26,356,387,738</u>	<u>\$ 2,146,307,600</u>



# State of Arizona

## Notes to the Schedule of Expenditures and Federal Awards

### Year Ended June 30, 2020

#### Note 1 - Significant accounting policies

Basis of Presentation—The information in this schedule is presented in accordance with the requirements of Title 2 U.S. Code of Federal Regulations (CFR) Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Therefore, some amounts presented in this schedule may differ from amounts presented in, or used in the preparation of, the basic financial statements.

Reporting Entity—The schedule includes all federal awards activity administered by the State of Arizona and its component units, except for the ASU Preparatory Academy, Inc.

Basis of Accounting—The federal awards reported in the schedule were presented in the State's governmental and business-type activities; governmental and proprietary funds; and discretely presented component units on the basic financial statements of the State of Arizona for the year ended June 30, 2020; and were accounted for using the modified accrual and full accrual basis of accounting, as applicable, in conformity with generally accepted accounting principles.

Expenditures—Certain transactions relating to expenditures of federal awards may appear in the records of more than one state grantee agency. To avoid duplication and the overstatement of the aggregate level of federal awards expended by the State of Arizona, the following policies have been adopted:

1. When monies are received by one state grantee agency and distributed to another state grantee agency, the federal monies are reported in the accounts of the state grantee agency that expends the monies.
2. Purchases of services between state grantee agencies using federal monies are recorded as expenditures on the purchasing agency's records and as revenues for services rendered on the providing agency's records. Therefore, the receipt of federal awards is attributed to the purchasing agency, which is the primary receiving/expending state grantee agency.

Indirect Costs—State agencies negotiate and manage their own indirect cost rates. State of Arizona agencies that use the 10 percent de minimis cost rate are: the Arizona Cotton Research and Protection Council, Arizona Criminal Justice Commission, Commission for Postsecondary Education, the Arizona Department of Veteran's Services, and the Arizona Secretary of State.

#### Note 2 - Assistance Listing Number (formerly CFDA)/Identifying Number

The program titles and assistance listing numbers were obtained from the federal or pass-through grantor or the website sam.gov. When an assistance listing number was unknown, the first two digits applicable to the federal agency, if known, were used; followed by the federal contract number. If the federal contract number was also unknown, the identifying number was composed of the first two digits applicable to the federal agency followed by the word "unknown". For programs within the Research and Development Cluster, the first two digits applicable to the federal agency followed by the letters "RD" were used.

**State of Arizona**  
**Notes to the Schedule of Expenditures and Federal Awards**  
**Year Ended June 30, 2020**

**Note 3 - Research and Development Cluster**

As provided by Uniform Guidance, the research and development cluster of programs is summarized by federal agency subdivision or pass-through entity.

**Note 4 - Loan Programs**

Student Loan Programs

The Universities administer the following seven federal student loan programs. The balances of loans outstanding at year-end are shown below:

Loan Program	Assistance Listing Number	Loan Balances Outstanding at June 30, 2020
Education and Human Resources	47.076	\$ 469,919
ARRA—Trans-NSF Recovery Act Research Support	47.082	209,679
Federal Perkins Loan Program—Federal Capital Contributions	84.038	13,000,276
Nursing Faculty Loan Program (NFLP)	93.264	6,526,843
Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students	93.342	7,735,092
Nursing Student Loans	93.364	432,155
ARRA—Nurse Faculty Loan Program	93.408	149,319

Coronavirus Relief Fund Loans

The Governor's Office administered loans from the Coronavirus Relief Fund as allowed by the program's requirements for Federal Emergency Management Assistance COVID-19 programs to state and local entities with the purpose of expediting relief to the community. The balances of loans outstanding at year-end are shown below:

COVID-19 - Coronavirus Relief Fund	21.019	\$453,846
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**Note 5 - Unemployment Insurance (Assistance Listing Number 17.225)**

The unemployment compensation system is a unique federal-state partnership, founded upon federal law, but implemented through state law. As prescribed by the U.S. Department of Labor in consultation with the Office of Management and Budget, certain state monies, in addition to federal monies, were considered federal awards for determining Type A programs, and were included in the Schedule of Expenditures of Federal Awards.

**State of Arizona**  
**Notes to the Schedule of Expenditures and Federal Awards**  
**Year Ended June 30, 2020**

The amount presented in the schedule consists of the following:

Regular unemployment compensation benefits	\$ 831,932,271
COVID-19 –Unemployment compensation benefits	5,053,990,129
Federal Additional Compensation (FAC) Recoupment	95,011
Unemployment compensation for federal employees	2,266,438
Unemployment compensation for ex-service members	1,004,332
Administrative costs	36,000,412
COVID-19 – Administrative Costs	6,720,329
ARRA – Administrative Costs	<u>2,000,000</u>
Total expenditures	<u>\$5,934,008,922</u>

**Note 6 - Contingent Liabilities**

Although the Schedule of Expenditures of Federal Awards is prepared to the best of our knowledge and belief, amounts received or receivable from grantor agencies are subject to audit and adjustment by the grantor agencies, principally the federal government. Any disallowed claims, including the amount already collected, may constitute a liability of the applicable funds. The amount of expenditures which may be disallowed by the grantor, if any, cannot be determined at this time.

**Note 7 - Donation Personal Protective Equipment (PPE)**

In response to the COVID-19 pandemic, the federal government donated PPE with an estimated fair market value of \$5,958,061 to the State of Arizona. Per the 2020 Compliance Supplement Addendum, this amount is not included in the Schedule of Expenditures of Federal Awards and is not subject to audit. Therefore, this amount is unaudited.

## Appendix

**State of Arizona**  
**State of Arizona agency codes**  
**Year Ended June 30, 2020**

**Agency Code**

ADA  
AGA  
AHA  
ASA  
BNA  
CAA  
CCA  
CDA  
CHA  
CRA  
DCA  
DEA  
DJA  
DTA  
EDA  
EOA  
EVA  
FAA  
FOA  
GFA  
GHA  
GVA  
HCA  
HDA  
HLA  
HSA  
HUA  
ICA  
IDA  
JCA  
LDA  
LLA  
MAA  
MIA  
NAA  
PEA  
PMA  
PRA  
PSA  
SDA  
SPA  
STA  
UAA  
VSA  
WCA

**Agency**

Arizona Department of Administration  
Arizona Attorney General  
Arizona Department of Agriculture  
Arizona State University  
Arizona State Board of Nursing  
Arizona Commerce Authority  
Arizona Corporation Commission  
Arizona Early Childhood Development and Health Board  
Arizona Department of Child Safety  
Arizona Cotton Research and Protection Council  
Arizona Department of Corrections  
Arizona Department of Economic Security  
Arizona Department of Juvenile Corrections  
Arizona Department of Transportation  
Arizona Department of Education  
Office of Economic Opportunity  
Arizona Department of Environmental Quality  
Arizona Finance Authority  
Arizona Department of Forestry and Fire Management  
Arizona Game and Fish Department  
Arizona Governor's Office of Highway Safety  
Office of the Arizona Governor  
Arizona Health Care Cost Containment System  
Arizona Department of Housing  
Arizona Department of Homeland Security  
Arizona Department of Health Services  
Arizona Commission on the Arts  
Industrial Commission of Arizona  
Arizona Department of Insurance and Financial Institutions  
Arizona Criminal Justice Commission  
Arizona Land Department  
Arizona Department of Liquor Licenses and Control  
Arizona Department of Emergency and Military Affairs  
Arizona State Mine Inspector  
Northern Arizona University  
Arizona Commission for Postsecondary Education  
Arizona Board of Pharmacy  
Arizona State Parks  
Arizona Department of Public Safety  
Arizona State Schools for the Deaf and the Blind  
Arizona Supreme Court  
Arizona Secretary of State  
University of Arizona  
Arizona Department of Veterans' Services  
Arizona Department of Water Resources

# STATE RESPONSE



Douglas A. Ducey  
Governor

Andy Tobin  
Director

ARIZONA DEPARTMENT OF ADMINISTRATION

GENERAL ACCOUNTING OFFICE  
100 NORTH FIFTEENTH AVENUE • SUITE 302  
PHOENIX, ARIZONA 85007  
(602) 542-5601

October 22, 2021

Lindsey Perry  
Auditor General  
2910 N. 44th St., Ste. 410  
Phoenix, AZ 85018

Dear Ms. Perry:

We have prepared the accompanying corrective action plan as required by the standards applicable to financial audits contained in *Government Auditing Standards* and by the audit requirements of Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*. Specifically, for each finding, we are providing you with our responsible officials' views, the names of the contact people responsible for corrective action, the corrective action planned, and the anticipated completion date.

A handwritten signature in black ink, appearing to read "Ashley Ruiz", with a long, sweeping underline.

Ashley Ruiz  
Assistant Director

cc: Nicole Bartlett  
Amanda Compton



**State of Arizona**  
**Corrective action plan**  
**Year ended June 30, 2020**

## **Federal award findings and questioned costs**

### **2020-101**

Assistance listing number and program name: 21.019 COVID-19 Coronavirus Relief Fund  
Agency: Governor's Office of Strategic Planning and Budgeting  
Name of contact person and title: Jason Mistlebauer, Grant Manager  
Anticipated completion date: July 1, 2022  
Agency's Response: Concur

The Governor's Office of Strategic Planning and Budgeting will review its internal controls and make the necessary improvements to its policies and procedures. The process moving forward will include language in our executed agreements informing parties of the stated unallowable costs (Personnel Board Pro-Rata Charges, Information Technology Pro Rata Charge and Annual Leave Payout).

### **2020-102**

Assistance listing number and program name: 17.225 COVID-19 Unemployment Insurance  
Agency: Department of Economic Security  
Name of contact person and title: Bryce A. Barraza, DERS Deputy Assistant Director  
Anticipated completion date: June 30, 2022  
Agency's response: Concur

As of the issuance of this report, the Department of Economic Security (DES) paid an estimated total of \$4.4 billion in fraudulent claims, and estimates to have ultimately prevented over \$75 billion in benefit payments to perpetrators of identity theft through the development and implementation of various prevention and fraud detection measures. Throughout the pandemic, DES deployed various system fraud controls and integrity measures that were required or identified as industry best-practices to mitigate and prevent the unprecedented criminal and fraudulent activity experienced across the nation.

DES will address the audit recommendations, as follows:

1. Continue to evaluate the CARES Act UI benefits it has paid to identify any additional fraudulent claims payments, using all necessary critical identity verification and other anti-fraud measures.

DES will implement the audit recommendation. DES will continue efforts to identify any additional Pandemic Unemployment Assistance (PUA) fraudulent claim payments, in part by implementing the Quarterly, National Directory of New Hires (NDNH), and State Directory of New Hires (SDNH) wage crossmatch. DES will also continue to participate in a number of integrity crossmatches, which include, but are not limited to, the Arizona Department of Corrections and Maricopa County Jail, to detect individuals filing for Unemployment Insurance (UI) benefits while incarcerated. In addition, the DES Office of Inspector General (OIG) provides additional information regarding local, state, and federal incarceration records to the DES Division of Employment & Rehabilitation Services for processing.

DES also currently conducts a Social Security Crossmatch, Motor Vehicle Division (MVD) Verification, Social Security Number (SSN) check via the UI Interstate Connection Network (ICON), and a U.S. Department of Health and Human Services (DHHS) and Social Security Administration (SSA) Mortality record check. DES utilizes the Integrity Data Hub (IDH) through the OnPoint Fraud Detection Solution which consists of IDH

# State of Arizona

## Corrective action plan

### Year ended June 30, 2020

Suspicious Actor Repository (SAR) crossmatch, ID Theft, and Fictitious Employer. In addition to other integrity measures already in use, DES continues to utilize a third-party identity verification tool in order to prevent identity theft fraud.

DES put in place a number of upfront measures that check for repetitive information, trends, and cross-claimant repetition used to identify potentially fraudulent activity. DES will continue to utilize these successful anti-fraud measures to identify any additional fraudulent claim payments.

2. Continue its efforts working with law enforcement agencies to recover improper payments to the extent practicable for fraudulent claims it paid due to identity theft.

DES continues to partner with federal, state, and local law enforcement agencies and financial institutions across the country to recover losses and aggressively pursue legal action against perpetrators of fraud. Throughout the pandemic, and as of September 2021, the Department has partnered with more than 200 financial institutions and over 100 law enforcement agencies that include the FBI, the U.S. Department of Labor (DOL), the U.S. Secret Service, and the U.S. Department of Homeland Security. DES has also developed internal fraud indicators, investigated over 64,000 identity theft fraud complaints received from the DES OIG fraud hotline/website, developed a fraud scoring model in partnership with Google Analytics and Spring ML data analytics, and implemented the OPTimum Aware fraud detection software solution.

As of September 2021, these efforts have recovered more than \$1.4 billion in benefit payments for fraudulent claims. In addition, DES has been able to prevent more than an estimated \$75 billion in benefit payments to perpetrators of identity theft through the development and implementation of various prevention and fraud detection measures. Further, over 200 cases have been submitted to the Arizona Attorney General's Office for prosecution, and more than 100 have resulted in criminal charges.

3. Repay any recovered improper payments to the federal government.

In accordance with federal and state rules and regulations, DES has a well-established business practice of performing the detection, recovery, and repayment functions as required for the regular UI program. DES is working toward implementing these functions for the PUA program as well.

4. Develop and implement a plan to ensure that for any future new UI benefits programs or regular UI benefits program changes it puts critical identity verification and other anti-fraud measures in place prior to paying any UI benefits claims.

In addition to other integrity measures already in use, DES will continue to utilize a third-party identity verification application and leverage the identity verification tool across any future new UI Benefit programs. In addition, any new UI benefit programs will be implemented in alignment with federal law and guidance, and where applicable, anti-fraud measures identified as successful during the CARES Act program will be adopted in our standard work and put in place prior to paying any UI benefit claims.

5. Perform wage verifications for all claimants who received an increased PUA weekly benefit payment, which DES estimated totaled \$57 million, to determine the weekly benefit amount they qualify for and identify and recover any overpayments. This would include the 7 claimants from our test work who we identified received a total of \$15,744 in overpayments.

# State of Arizona

## Corrective action plan

### Year ended June 30, 2020

DES issued initial eligibility and Weekly Benefit Amount (WBA) determinations in accordance with 20 CFR 625.6(e), using claimants' self-reported base period income provided at the time of initial application, in addition to the record of wages that DES had on file. Throughout fiscal year 2020, the DOL's interpretation of the CARES Act was that self-certification was sufficient in and of itself to calculate the WBA. Unemployment Insurance Program Letter (UIPL) No. 16-20, Change 1 (issued April 7, 2020), states that PUA is not like Disaster Unemployment Assistance (DUA), in that it does not require proof of employment, but if an individual fails to provide wage documentation within 21 days, the individual's WBA must be reduced.

DES began in-depth business requirement discussions with its vendor to address the system functionality requirements in August 2020. In December 2020 through February 2021, DES also developed standard work and training material regarding monetary eligibility for PUA. Team members were trained, and claim processing specific to claims with a WBA higher than \$117 was initiated in March 2021. DES will continue to follow the standard quality review process for the claims being processed.

Due to lack of system functionality within the PUA portal, DES has been unable to process the WBA decrease(s). System functionality is anticipated to be available in October 2021 which will support the recalculation and decrease in benefit amount.

6. Repay to the federal government any PUA program overpayments received from claimants.

In accordance with federal and state rules and regulations, DES has a well-established business practice of performing the detection, recovery, and repayment functions as required for the regular UI program. DES is working toward implementing these functions for the PUA program as well.

## 2020-103

Assistance listing number and program name: 17.225 COVID-19 Unemployment Insurance

Agency: Department of Economic Security

Name of contact persons and titles: Kristopher Goins, Senior IT Project Manager

Angelica Garcia, DERS Business Administrator

Anticipated completion date: March 30, 2022

Agency's Response: Concur

The Department of Economic Security (DES) has already worked with its contractor to make several enhancements to ensure all transactions associated with a payment are recorded in a manner that allows for reconciliation and that there are no payments or cancels that remain unaccounted.

DES will adhere to its agreed upon TSA funding technique to draw only those federal monies it needs for the same day it pays benefits utilizing the system generated reports generated that details the amount of benefits to be issued. Additionally, DES is working with federal partners in the resolution of the issue of the amounts that were noted as overdrawn.

DES will establish policies and procedures to ensure its contractor's system produces complete and accurate reports as recommended. Additionally, DES is creating a request to enhance the financial reporting process to perform regular reconciliations to ensure that the system and the Pandemic Unemployment Assistance (PUA) accounts are balanced. This will allow DES the ability to perform regular validations on the system accounting process.

# State of Arizona

## Corrective action plan

### Year ended June 30, 2020

As described above, DES is working with federal partners in the resolution of the issue. When discrepancies are identified during the process to reconcile the cash balances to the servicing bank records, DES will document the issue and elevate it to the applicable internal system reporting team to further investigate and resolve.

#### **2020-104**

Assistance listing number and program name: 17.225 COVID-19 Unemployment Insurance

Agency: Department of Economic Security

Name of contact persons and titles: Kristopher Goins, Senior IT Project Manager  
Angelica Garcia, Business Administrator

Anticipated completion date: March 30, 2022

Agency's Response: Concur

The Department of Economic Security (DES) will address the audit recommendations, as follows:

1. Establish policies and procedures to ensure its contractor's system or any future systems used to process PUA and FPUC or other UI claims produces reports that are complete and accurate and include procedures that detail how to utilize system report information to determine amounts needed for the ETA 2112 reports. Procedures over the system reports should include DES employees ensuring daily the accuracy of system data and generated reports, verifying the summarized system report amounts against detailed system data, and determining the accuracy of detailed system data by reconciling it to external sources, such as its servicing bank.

DES will establish policies and procedures to ensure its contractor's system produces complete and accurate reports as recommended. DES has already worked with its contractor to make several enhancements to ensure all transactions associated with a payment are recorded in a manner that allows for reconciliation and that there are no payments or cancels that remain unaccounted. Additionally, DES is creating a request to enhance the financial reporting process to perform regular reconciliations to ensure that the system and the Pandemic Unemployment Assistance (PUA) accounts are balanced. This will allow DES the ability to perform regular validations on the system accounting process.

2. Correct any other monthly ETA 2112 reports containing errors and submit the corrected reports to the federal grantor.

DES submitted required revisions of the ETA 2112 reports to the U.S. Department of Labor in June 2021 for state fiscal year 2020.

#### **2020-105**

Assistance listing number and program name: 17.225 COVID-19 Unemployment Insurance

Agency: Department of Economic Security

Name of contact person and title: Jacqueline Butera, Quality Assurance and Integrity Administrator

Anticipated completion date: June 30, 2022

Agency's Response: Concur

In accordance with federal and state rules and regulations, the Department of Economic Security (DES) has a well-established business practice of performing the detection, recovery, and repayment functions as

## **State of Arizona**

### **Corrective action plan**

### **Year ended June 30, 2020**

required for the regular Unemployment Insurance (UI) program. DES is working toward implementing these functions for the Pandemic Unemployment Assistance (PUA) program as well.

As of September 2021, Arizona is one of many states that have not yet been able to report the establishment of overpayment amounts for the PUA program via the required U.S. Department of Labor reports.

Regarding specific system issues, DES is working to implement overpayment functionality between the new PUA program system and the existing accounts receivable system.

#### **2020-106**

Assistance listing number and program name: 17.225 Unemployment Insurance

Agency: Department of Economic Security

Name of contact person and title: Jean Ahumada, BAM Manager

Anticipated completion date: June 30, 2021

Agency's Response: Concur

The Department of Economic Security (DES) implemented the audit recommendations in June 2021. Specifically, to support the accurate operation of the Benefit Accuracy Measurement (BAM) unit, DES established and trained team members on standard work outlining the process and protocols for case accuracy sampling, enhanced the new hire On-the-Job Training process, and implemented revised standards for supervisory oversight of team members performing the work.

#### **2020-107**

Assistance listing number and program name: 66.605 Performance Partnership Grants

Agency: Department of Environmental Quality

Name of contact persons and titles: Jared Sprunger, CFO

Robyne Clark, Grants Administrator

Anticipated completion date: Fiscal Year 2022

Agency's Response: Concur

Recommendation 1: DEQ should develop written policies and conduct procedures to ensure that the actual time employees spend working on federal program activities is tracked and documented.

Corrective action planned: DEQ will expand its usage of the time tracking system to all federal program activities and implement supporting documentation and staff training. DEQ will also continue working with ADOA GAO to implement unique grant fund numbers to simplify reporting and improve time tracking reconciliation accuracy.

Recommendation 2: DEQ should develop written policies and conduct procedures to perform and document after-the-fact reviews of estimated payroll costs it allocates to federal programs to ensure those payroll costs reflect or are adjusted to reflect actual time spent on program activities that is accurate, allowable, and properly allocated. The after-the-fact reviews should be completed no later than the end of the award period when reporting final amounts to the U.S. EPA.

# State of Arizona

## Corrective action plan

### Year ended June 30, 2020

Corrective action planned: DEQ will implement procedures with supporting written policies to integrate regular after-the-fact labor reviews as part of its monthly budget reviews to allow for payroll allocation adjustments. Allocation adjustments will also be reflected in federal program plan changes and with scheduled award period performance reports as required to the U.S EPA.

## 2020-108

Assistance listing number and program name: 66.605 Performance Partnership Grants

Agency: Department of Environmental Quality

Name of contact persons and titles: Jared Sprunger, CFO  
Robyne Clark, Grants Administrator

Anticipated completion date: Fiscal Year 2022

Agency's Response: Concur

Recommendation 1: DEQ should train its employees administering the program to follow federal regulations and State policies requiring it to make a case-by-case determination for each established contract term and agreement whether the contracted entity is a subrecipient and should be monitored.

Corrective action planned: DEQ will implement documented training for all employees administering federal programs, including case-by-case evaluation for federal and State subrecipient requirements.

Recommendation 2: DEQ should train its employees administering the program to follow federal regulations and State policies requiring it to include all federal program information, such as the program's federal assistance listing number, title, award date and period of performance, and applicable compliance requirements, in all contract agreements for any subrecipients and contractors having compliance requirement responsibilities. Any subsequent changes in the contract agreement information should be communicated and reflected in an amendment to the agreement.

Corrective action planned: DEQ will implement documented training for all employees administering federal programs, including compliance to federal regulations and State policies requiring it to include all federal program information, such as the program's federal assistance listing number, title, award date and period of performance, and applicable compliance requirements, in all contract agreements for any subrecipients and contractors having compliance requirement responsibilities.

## 2020-109

Assistance listing number and program name: 93.659 Adoption Assistance

Agency: Arizona Department of Child Safety

Name of contact person and title: Reynaldo Saenz, Controller

Anticipated completion date: Fiscal Year 2022

Agency's Response: Concur

Recommendation 1: Develop and implement policies and procedures for requesting federal program monies that comply with the timing of reimbursement requests as outlined in the State's agreement.

The Department of Child Safety (Department) launched Guardian, a new Comprehensive Child Welfare Information System (CCWIS) in February 2021.

# State of Arizona

## Corrective action plan

### Year ended June 30, 2020

The Department's funding technique will comply with the Treasury-State Agreement (TSA), with the implementation of the following:

- Install an automatic two-day delay cycle on IV-E Adoption reimbursement requests.
- Integrate the two-day delay for reimbursement on accrued expenses in the Arizona Financial Information System (AFIS) from the Guardian system, removing human error from the process.
- Incorporate adjustable delay mechanism based on changes to the TSA agreement.
- Modify policies and procedures to reflect the new automatic two-day delay reimbursement process
- Implement specific Cash Management Improvement Act (CMIA) workbook for bi-weekly administrative draws that ensures draws will occur with administrative payroll (26 transactions)
- Modify administrative cost reimbursement pattern to only occur on Wednesday in alignment with payroll costs

Recommendation 2: Ensure responsible staff are trained to follow the newly developed policies and procedures.

The Department will comply with this recommendation by:

- Distributing the revised two-day delay reimbursement policy and procedures to the affected parties.
- Providing individual training on the new two-day delay reimbursement policy and procedures to impacted staff.

## 2020-110

Assistance listing number and program name: Various

Agency: Department of Administration

Name of contact person and title: Ashley Ruiz, Assistant Director

Anticipated completion date: Unknown

Agency's response: Concur

We have an established process in place for monitoring legislation. On multiple occasions, we have advised that these transfers were, in our opinion, not consistent with established Federal cost principles and would result in an obligation to the Federal government. Until the State changes its approach to the transfer of monies, there will likely continue to be disallowed costs which will require repayment with applicable interest.

This is a cross-cutting finding and is appropriately being addressed with the U.S. Department of Health and Human Services, Cost Allocation Services (U.S. HHS-CAS) for the payment and appropriate resolution of the questioned costs. We agree and commit to continue to work with the DHHS-CAS and appropriate bodies within the State, to the best of our ability, to find an equitable resolution to this issue.



**State of Arizona**  
**Corrective action plan**  
**Year ended June 30, 2020**

**2020-111**

Assistance listing number and program name: Not applicable

Agency: Department of Administration

Name of contact person and title: Ashley Ruiz, Assistant Director

Anticipated completion date: September 30, 2022

Agency's response: Concur

This reporting cycle was unprecedentedly difficult, with turnover and changing Federal guidance. We concur timely submittal of the Single Audit is vital for Federal oversight and decision making purposes. We strive to comply with the Federal timelines and will actively work with the state agencies and directors of those agencies communicating regularly to help ensure timely reporting of the next Single Audit.

Douglas A. Ducey  
Governor



Andy Tobin  
Director

**ARIZONA DEPARTMENT OF ADMINISTRATION**

GENERAL ACCOUNTING OFFICE  
100 NORTH FIFTEENTH AVENUE • SUITE 302  
PHOENIX, ARIZONA 85007  
(602) 542-5601

October 22, 2021

Lindsey Perry  
Auditor General  
2910 N. 44th St., Ste. 410  
Phoenix, AZ 85018

Dear Ms. Perry:

We have prepared the accompanying summary schedule of prior audit findings as required by the audit requirements of Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*. Specifically, we are reporting the status of audit findings included in the prior audit's schedule of findings and questioned costs. This schedule also includes the status of audit findings reported in the prior audit's summary schedule of prior audit findings that were not corrected.

A handwritten signature in black ink, appearing to read "Ashley Ruiz", with a long horizontal flourish extending to the right.

Ashley Ruiz  
Assistant Director

cc: Nicole Bartlett  
Amanda Compton

# State of Arizona

## Summary schedule of prior audit findings

### Year ended June 30, 2020

## Status of financial statement findings

### 2019-01

Managing risk

Year finding initially occurred: Fiscal Year 2015

Status: Partially corrected

Due to the complexity of the finding, and the need to implement changes across multiple agencies, the State was unable to fully remediate the finding during the fiscal year. The State is working to develop, implement and publish policies and procedures to resolve gaps. Each agency has prepared detailed statuses for this finding.

### 2019-02

Information technology (IT) controls-access, configuration and change management, security, and contingency planning

Year finding initially occurred: Fiscal Year 2015

Status: Partially corrected

Due to the complexity of the finding, and the need to implement changes across multiple agencies, the State was unable to fully remediate the finding during the fiscal year. The State is working to develop, implement and publish policies and procedures to resolve gaps. Each agency has prepared detailed statuses for this finding.

### 2019-03

The State's process for reporting cash and investments was not adequate to prevent misstatements in the financial statements, which increases the risk that those relying on the reported financial information could be misled.

Year finding initially occurred: Fiscal Year 2019

Status: Partially corrected

Reason for recurrence: The Arizona State Treasurer's Office (ASTO) and Arizona Department of Administration (ADOA) have made great progress in determining some of the causes in the reconciliation processes. There are other items that are still being researched but will take time since the cash reconciliation has not balanced since the inception of new AFIS.

Actions taken: ASTO and ADOA staff have been in regular communication to discuss and work through the reconciliation process to figure out the intricacies of each agency's workflow. In addition, ASTO has been reevaluating the reconciliation worksheet and formulations.

Actions Remaining: ASTO will have weekly internal meetings to document the processes within the divisions and how banking and investment transactions that occur at the financial institutions are recorded in the internal journals and AFIS. ASTO and ADOA will continue with the monthly meetings once ASTO completes this process. Further, we note ASTO received a clean audit on its financial statements and bank accounts managed by ASTO have consistently reconciled with the internal journals and AFIS.

# State of Arizona

## Summary schedule of prior audit findings

### Year ended June 30, 2020

#### 2019-04

The Department of Revenue did not ensure it collected all income taxes that are due to the State  
Year finding initially occurred: Fiscal Year 2006  
Status: Partially corrected

The Department has been piloting a project to compare W-2 withholding data from employers to the amount of withholding reported by taxpayers. When discrepancies are identified, the Department sends letters to the taxpayers requesting that they review their return information. The Department has also been working on a project for collecting and capturing W-2 and Form 1099 data and developing a tool to perform a reconciliation process for withholding and individual income taxes. Due to the size and complexity of the project, it was not completed by the end of the fiscal year. However, according to the Department, it completed the project at the end of calendar year 2020 and intends to use the tool for the 2021 tax year.

#### 2019-05

The Department of Revenue has not published \$17 million of unclaimed individual income tax overpayments, dating back as far as 2007, as abandoned property on its website for taxpayers to search and claim

Year finding initially occurred: Fiscal Year 2019  
Status: Not corrected

As noted in the finding, issues with ADOR's tax administration system currently prevent the Department from transferring overpayments to the unclaimed property system. However, information regarding these overpayments is still accessible by taxpayers when they call in to the Department. The Department has determined that any potential modifications to its antiquated tax system would be overly taxing on the Department's limited IT resources, and would require other, more mission-critical IT projects to be placed on hold. As such, the Department has determined to focus on maintaining and ultimately replacing its tax system. In June 2020, the Department completed a feasibility study for replacing the tax administration system. This study assessed the Department's current tax system, developed the scope of work necessary for procuring a new tax system, and identified potential funding options for the new tax system. The Department will use this study to develop a budget request for a new tax system, but is unable to anticipate when the process of replacing the tax system will be complete as funding must first be secured before realistic timetables can be developed. Additionally, as a part of the initiative to replace the existing system, the Department is currently engaged in a data cleanup project that includes addressing abandoned overpayments.

#### 2019-06

The Arizona Department of Administration and PSPRS did not adequately communicate and work together to ensure the accuracy of CORP's ADC employee data provided to actuaries, which increases the risk that those relying on the pension liability reported in the State's financial statements could be misled and future employer contributions will be inadequate to cover future benefit payments

Year finding initially occurred: Fiscal Year 2019  
Status: Partially corrected

# State of Arizona

## Summary schedule of prior audit findings

### Year ended June 30, 2020

Reason for recurrence: Additional time was required for IT staff and the actuaries to be able to identify and obtain information.

Actions taken: The Arizona Department of Administration (ADOA) received census data, ran queries, identified and classified the discrepancies. ADOA then sent the discrepancies to each agency for correction in the Human Resources Information Solution (HRIS). Some of the corrections required coordination between the agency and Public Safety Personnel Retirement System (PSPRS) to ensure that the records matched up.

Actions remaining: PSPRS will provide the necessary set of census files for review by ADOA on a quarterly basis or on request. Additionally, any new discrepancies will need to be identified and resolved.

**2019-07 and 2019-08**—see the **Universities' Responses** section at the end of this report from the University of Arizona for the summary schedule of prior audit findings for these findings.

### **2019-09 (2019-001 in separately issued PSPRS report)**

Public Safety Personnel Retirement System – Financial reporting system

Year finding initially occurred: Fiscal Year 2019

Status: Not corrected

During fiscal year 2020, PSPRS continued to process accounting transactions in its existing in house system that lacked standard general ledger (GL) reporting functionality and controls continuing the conditions related to the prior year audit finding. In fiscal year 2020 PSPRS initiated corrective actions to begin addressing the system limitations. A new general ledger package was implemented July 1, 2020 for fiscal year 2021 that accepted the existing system's upload of daily transactions and processes administrative operating expenses and cancer insurance program payments. Processes were implemented during fiscal year 2021 to establish procedures for entry and approval controls that mitigated deficient system processing controls. PSPRS management will continue to optimize functionality of the new GL system and work to incorporate additional system changes to the existing PAS to close accounting periods in the future.

### **2019-10**

Internal Controls for Revenue and Fuel Tax Administration Department

Agency: Department of Transportation

Year finding initially occurred: Fiscal Year 2019

Status: Fully corrected

## Status of federal award findings and questioned costs

### **2019-101**

Assistance listing numbers and names: Various

Agency: Department of Administration

Year finding initially occurred: Fiscal Year 2011

Status: Not corrected

# State of Arizona

## Summary schedule of prior audit findings

### Year ended June 30, 2020

Reason for reoccurrence: We have an established process in place for monitoring legislation and have on multiple occasions, advised that these transfers were, in our opinion, not consistent with established Federal cost principles and would probably result in an obligation to the Federal government. However, if the State does transfer monies, there may continue to be disallowed costs that will require repayment with applicable interest.

Remaining actions: This is a cross-cutting finding and is appropriately being addressed with the U.S. Department of Health and Human Services, Cost Allocation Services (DHHS-CAS) for the payment and appropriate resolution of the questioned costs. We are committed to continue to work with the DHHS-CAS and appropriate bodies within the State, to the best of our ability, to find an equitable resolution to this issue. It should be noted that the number of fund transfers required by legislation have diminished significantly.

## 2019-102

Cluster Name: CCDF Cluster

Assistance listing numbers and names: 93.575 Child Care and Development Block Grant  
93.596 Child Care Mandatory and Matching Funds of the Child  
Care Development Fund

Agency: Department of Economic Security

Year finding initially occurred: Fiscal Year 2019

Status: Partially corrected

Reason for recurrence: The finding was made in fiscal year 2019 and it was not anticipated for it to be reoccurring in fiscal year 2020.

Actions taken: There weren't any planned actions to be completed by June 30, 2020.

Remaining actions: The DES Child Care Administration (CCA) is in the initial planning process to modernize the technology used for the documentation, collection, and maintenance of child care assistance case records. CCA has reviewed and updated eligibility standard work. Other key milestone dates for this project are listed below. The project is planned for completion by December 2021.

- Add AzCCATS systems screens to record income calculations and changes (requires multiple phases) – anticipated to be completed in January 2021
- Develop indexing method for case records – anticipated to be completed in January 2021
- Create project plan to implement OnBase for eligibility case records & transfer existing cases to OnBase – anticipated to be completed in March 2021
- Begin OnBase implementation for new applications – anticipated to be completed in July 2021
- Transfer existing cases to OnBase – anticipated to be completed in December 2021

# State of Arizona

## Summary schedule of prior audit findings

### Year ended June 30, 2020

#### 2019-103

Assistance listing number and name: 84.010 Title I Grants to Local Educational Agencies

Agency: Department of Education

Year finding initially occurred: Fiscal Year 2019

Status: Partially corrected

Reason for recurrence: Arizona Department of Education's (ADE) Accountability Department, working alongside Education School Excellence (ESE) began the monitoring of Pupil Withdrawal Forms in Fall of 2020. Below is an outline/narrative of the steps taken to date and what remains for the fiscal year of 2021.

Actions taken: Several steps were taken in the fall to include, reviewing of all materials and applicable laws and statutes governing the proper use of withdrawal codes. A field focus group was brought together to provide input on materials, processes, procedures and potential changes or updates as needed. There were several meetings with the Pupil Withdrawal Monitoring focus group. In addition, a couple of the members chose to be "pilots" and went through the monitoring in early 2021 to check how the processes put in place flowed and functioned. Slight changes were made based on their input. Four areas were identified for improvement through the focus group and field feedback: the need for a new code that removed the confusion of the use of a S/W-4 code, the need for better training for the field, the improvement of the Drop-out Tracker report, and updating the Pupil Withdrawal Form.

ESE provided the names of twelve schools that were currently going through a Title I Monitoring process. Nine schools went through phase one successfully. Three schools did not pass the phase one review. ADE Accountability reviewed with them the errors and misconceptions in their data and processes. The schools and their leadership recognized they would still not meet the numbers if a full monitoring was done on the remaining withdrawn students. The schools opted to attend a full training on the Pupil Withdrawal Forms. The training includes applicable state and federal laws, monitoring processes, case scenarios, support materials and online reports, along with several question and answer opportunities. The trainings were attended by the school monitored, as well as other school registrars and their district personnel, so improvements would be consistent across their organization.

All twelve schools were sent their audit forms with the students clearly marked that needed corrective action. All twelve schools were instructed to follow any guidance or procedure they may not have had in place or identified that would lead to improvement. All schools will be monitored and contacted to check if the correction they were sent have been completed. ADE will continue to monitor the schools and communicate with their leadership until corrections have been verified.

Remaining planned actions: A debrief is scheduled within ADE's Accountability Unit in April 2021 to go through all the focus group recommendations, the outcomes of the 12 monitored schools for the purpose of improving the processes for the 2021-2022 school year. Improvements and lessons learned will allow the monitoring to begin earlier in the year, include more schools in the process, include non-Title I schools, and put the process in a continuous improvement model.

The monitoring in the 2020-2021 school year had several positive outcomes, despite occurring during the COVID-19 pandemic and an extremely challenging period for the Arizona PK-12 schools. Here are the highlights of some of those outcomes:

- Establishment of a focus group that has agreed to remain in place to further advise on continuous improvement and data quality

# State of Arizona

## Summary schedule of prior audit findings

### Year ended June 30, 2020

- Improved communication with the field on the laws, requirements, processes, and outcomes/implication of the Pupil Withdrawal Form
- Establishment of a new code that will allow for a clear break between students withdrawn due to 10 unexcused absences/no contact and students who have been properly withdrawn, but the withdrawing school had not received documentation from a subsequent school
- Updated Pupil Withdrawal Form schedule for release in early June of 2021
- Updated and created additional support material
- Gathering field input and use of the Dropout Tracker report for updates and enhancements for the 2021-2022 school year
- On-demand training webinars for 24/7 access to begin in June of 2021
- Live on-line training offered to new registrars prior to the start of a new school year

### **2019-104**

Assistance listing numbers and names: 93.659 Adoption Assistance  
93.658 Foster Care Title IV-E

Agency: Department of Child Safety

Year finding initially occurred: Fiscal Year 2016

Status: Partially corrected

Reason for recurrence: Although controls were implemented, they were insufficient to fully correct the finding. The Department of Child Safety (Department) acknowledges the need to improve its internal controls to comply with the Treasury-State Agreement (TSA) and request reimbursements in accordance with funding technique patterns.

Actions taken: The Department strengthened its procedures and protocols for cash processing for ensuring funding technique compliance with the Treasury-State Agreement (TSA).

Remaining actions: To segregate and track TSA funding techniques appropriately, the Department is in the process of undergoing adjustments to the Arizona Financial Information System (AFIS) cost structure that will increase fidelity between administrative expenses from programmatic expenses.

The Department is also in the process of creating specific Cash Management Improvement Act (CMIA) compliance workbooks that will ensure bi-weekly draws will incur in only 26 transactions.

The finding is anticipated to be fully corrected in fiscal year 2022.

### **2018-116**

Assistance listing numbers and names: 15.605 Sport Fish Restoration  
15.611 Wildlife Restoration and Basic Hunter Education

Agency: Department of Game and Fish

Year finding initially occurred: Fiscal Year 2018

Status: Fully corrected



# State of Arizona

## Summary schedule of prior audit findings

### Year ended June 30, 2020

**2017-113**—see the **Universities' Responses** section at the end of this report from Northern Arizona University for the summary schedule of prior audit findings for this finding.

#### **2016-118**

Assistance listing number and name: 17.225 Unemployment Insurance

Agency: Department of Economic Security

Year finding initially occurred: Fiscal Year 2015

Status: Fully corrected

#### **2014-112**

Assistance listing number and name: 84.010 Title I Grants to Local Educational Agencies

Agency: Department of Education

Year finding initially occurred: Fiscal Year 2014

Status: Partially corrected

Reason for recurrence: The Arizona Department of Education (ADE) entered into a final agreement with the US Department of Education (ED) to fully resolve Finding #2014-112 by school year (SY) 2021-2022. The agreement was fully executed by both parties as of September 4, 2018. ADE is currently executing the corrective action plan per the terms of the agreement with ED.

Actions taken: ADE procured Afton Partners Inc., a third-party, independent fiscal consulting firm to analyze and validate the processes, policies and procedures used to calculate Title I allocations. Per the terms of the agreement with ED, all historically underfunded LEAs impacted by the finding that are eligible to receive Title I-A funds in fiscal year (FY) 2019 and future years will be made whole over a period of four years. A detailed payment schedule for underfunded LEAs is posted at [www.azed.gov/TitleI](http://www.azed.gov/TitleI).

ADE has completed three years of the four-year payment schedule as of 6/30/2020.

Remaining planned actions: ADE will continue to execute the payment schedule per the terms of the agreement with ED for SY 2021-2022.

# UNIVERSITIES' RESPONSES

ASSOCIATE VICE PRESIDENT  
AND COMPTROLLER'S OFFICE



May 10, 2021

Lindsey Perry  
Auditor General  
2910 N. 44th St., Ste. 410  
Phoenix, AZ 85018

Dear Ms. Perry:

We have prepared the accompanying summary schedule of prior audit findings as required by the audit requirements of Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*. Specifically, we are reporting the status of audit findings included in the prior audit's schedule of findings and questioned costs.

Sincerely,

A handwritten signature in blue ink, appearing to read "Wendy Swartz".

Wendy Swartz  
Associate Vice President, Financial Services/Comptroller

PO Box 4069, Flagstaff, AZ 86011-4069  
(928) 523-9162  
(928) 523-2052 Fax

**State of Arizona**  
**Summary schedule of prior audit findings**  
**Year ended June 30, 2020**

**Status of federal award findings and questioned costs**

Assistance Listing(s) number(s) and program name: Student Financial Assistance Cluster

84.007 Federal Supplemental Education Opportunity Grants 84.033 Federal Work-  
Study Program  
84.038 Federal Perkins Loan Program – Federal Capital Contributions  
84.063 Federal Pell Grant Program  
84.268 Federal Direct Student Loans  
84.379 Teacher Education Assistance for College and Higher Education Grants  
(TEACH Grants)

Agency: U.S. Department of Education

Assistance Listing(s) number(s) and program name: Student Financial Assistance Cluster

93.364 Nursing Student Loans  
93.925 Scholarships for Health Professions Students from Disadvantaged  
Backgrounds

Agency: U.S. Department of Health and Human Services

Year finding initially occurred: FY 2017

Status: Fully corrected



THE UNIVERSITY OF ARIZONA  
**Financial Services**

**FINANCIAL SERVICES**

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Fax: 520-621-7078

[www.fso.arizona.edu](http://www.fso.arizona.edu)

November 20, 2020

Lindsey Perry  
Auditor General  
2910 N. 44th St., Ste. 410  
Phoenix, AZ 85018

Dear Ms. Perry:

We have prepared the accompanying summary schedule of prior audit findings as required by the audit requirements of Title 2 U.S. Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. Specifically, we are reporting the status of audit findings included in the prior audit's schedule of findings and questioned costs. This schedule also includes the status of audit findings reported in the prior audit's summary schedule of prior audit findings that were not corrected.

Sincerely,

Nicole Salazar  
Vice President, Financial Services

University of Arizona  
Summary schedule of prior audit findings  
Year ended June 30, 2020

## Status of financial statement findings

### Managing risk

Finding number: 2019-01 (2019-07 Statewide SA). This finding initially occurred in fiscal year 2017.

Status: Fully corrected

### Information technology (IT) controls—security and contingency planning

Finding number: 2019-02 (2019-08 Statewide SA). This finding initially occurred in fiscal year 2017.

Status: Fully corrected.

