

State of Arizona

Single Audit Report

Year Ended June 30, 2019



A Report to the Arizona Legislature

Lindsey A. Perry
Auditor General





The Arizona Office of the 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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Comprehensive Annual Financial Report



MELANIE M. CHESNEY
DEPUTY AUDITOR GENERAL

ARIZONA AUDITOR GENERAL
LINDSEY A. PERRY

JOSEPH D. MOORE
DEPUTY AUDITOR GENERAL

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*

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

We have audited, in accordance with U.S. generally accepted auditing standards and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States, the financial statements of the governmental activities, business-type activities, aggregate discretely presented component units, each major fund, and aggregate remaining fund information of the State of Arizona as of and for the year ended June 30, 2019, and the related notes to the financial statements, which collectively comprise the State's basic financial statements, and have issued our report thereon dated March 30, 2020. Our report includes a reference to other auditors who audited the financial statements of the Arizona Department of Transportation, the Arizona Health Care Cost Containment System, the Arizona State Lottery, the Arizona State Retirement System, the Public Safety Personnel Retirement System, the Corrections Officer Retirement Plan, the Elected Officials' Retirement Plan, the Early Childhood Development and Health Board, the Arizona Correctional Industries, and certain aggregate discretely presented component units, as described in our report on the State's financial statements. Of the aggregate discretely component units, the other auditors did not audit in accordance with *Government Auditing Standards* the financial statements of the Arizona Power Authority and the Universities-Affiliated Component Units, except for those of the ASU Preparatory Academy, Inc., and accordingly, this report does not include reporting on internal control over financial reporting or instances of reportable noncompliance associated with those discretely presented component units. For those State agencies and discretely presented component units the other auditors audited in accordance with *Government Auditing Standards*, this report includes our consideration of the results of the other auditors' testing of internal control over financial reporting and compliance and other matters that are reported on separately by those other auditors. However, this report, insofar as it relates to the results of the other auditors, is based solely on the reports of the other auditors.

Internal control over financial reporting

In planning and performing our audit of the financial statements, we considered the State's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the basic financial statements, but not for the purpose of expressing an opinion on the effectiveness of the State's internal control. Accordingly, we do not express an opinion on the effectiveness of the State's internal control.

Our consideration of internal control was for the limited purpose described in the preceding paragraph and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies, and therefore, material weaknesses or significant deficiencies may exist that have not been identified. However, as described in the accompanying schedule of findings and questioned costs, we and the other auditors did identify certain deficiencies in internal control over financial reporting that we consider to be material weaknesses and significant deficiencies.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A material weakness is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the State's basic financial statements will not be prevented, or detected and corrected, on a timely basis. We consider the deficiencies described in the accompanying schedule of findings and questioned costs as items 2019-02 and 2019-03 to be material weaknesses.

A significant deficiency is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance. We consider the deficiencies described in the accompanying schedule of findings and questioned costs as items 2019-01, 2019-04, and 2019-06 through 2019-10 to be significant deficiencies.

Compliance and other matters

As part of obtaining reasonable assurance about whether the State's basic financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed an instance of noncompliance or other matter that is required to be reported under *Government Auditing Standards* and that is described in the accompanying schedule of findings and questioned costs as item 2019-05.

State of Arizona response to findings

The State's responses to the findings identified in our audit are presented in their respective corrective action plans 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 the basic financial statements, and accordingly, we express no opinion on them.

Purpose of this report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the State's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the State's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

Lindsey Perry, CPA, CFE
Auditor General

March 30, 2020



MELANIE M. CHESNEY
DEPUTY AUDITOR GENERAL

ARIZONA AUDITOR GENERAL
LINDSEY A. PERRY

JOSEPH D. MOORE
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 Russel "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, 2019, except for the Medical Assistance Program (CFDA 93.778, part of Medicaid Cluster) and the Children's Health Insurance Program (CFDA 93.767) administered by the Arizona Health Care Cost Containment System, and the Highway Planning and Construction Cluster (CFDA 20.205/20.219) administered by the Arizona Department of Transportation. Those major federal programs were audited by other auditors whose reports have been furnished to us, and our opinion, insofar as it relates to those major federal programs' compliance with the types of compliance requirements described in the *OMB Compliance Supplement*, is based solely on the reports of the other auditors. 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 \$3,024,428 in federal awards that are not included in the State's schedule of expenditures of federal awards for the year ended June 30, 2019. 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 Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (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 reports 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 Adoption Assistance

As described in the accompanying schedule of findings and questioned costs, the State did not comply with requirements regarding the Adoption Assistance (CFDA 93.659) program's cash management as described in item 2019-104. Compliance with such requirements is necessary, in our opinion, for the State to comply with the requirements applicable to that program.

Qualified opinion on 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 type of compliance requirement referred to above that could have a direct and material effect on Adoption Assistance (CFDA 93.659) for the year ended June 30, 2019.

Unmodified opinion on each of the other major federal programs

In our opinion, based on our audit and the reports 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, 2019.

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 2019-101, 2019-102, and 2019-103. 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 2019-102, and 2019-104 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 deficiency in internal control over compliance described in the accompanying schedule of findings and questioned costs as item 2019-103 to be a significant deficiency.

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, 2019, and the related notes to the financial statements, which collectively comprise the State's basic financial statements. We issued our report thereon dated March 30, 2020, that contained unmodified opinions on those financial statements. 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 reports 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 Perry, CPA, CFE
Auditor General

March 30, 2020



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**

Internal control over financial reporting

Material weaknesses identified? **Yes**

Significant deficiencies identified? **Yes**

Noncompliance material to the financial statements noted? **No**

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 Adoption Assistance (CFDA 93.659), which was qualified.

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

Identification of major programs

CFDA number	Name of federal program or cluster
10.551/10.561	SNAP Cluster
10.553/10.555	Child Nutrition Cluster
10.556/10.559	
10.565/10.568/10.569	Food Distribution Cluster
10.557	WIC Special Supplemental Nutrition Program for Women, Infants, and Children
15.605/15.611/15.626	Fish and Wildlife Cluster
17.225	Unemployment Insurance

20.205/20.219	Highway Planning and Construction Cluster
84.010	Title I Grants to Local Educational Agencies
84.048	Career and Technical Education—Basic Grants to States
84.126	Rehabilitation Services Vocational Rehabilitation Grants to States
93.558	TANF Cluster
93.575/93.596	CCDF Cluster
93.775/93.777/93.778	Medicaid Cluster
93.268	Immunization Cooperative Agreements
93.568	Low-Income Home Energy Assistance
93.658	Foster Care Title IV-E
93.659	Adoption Assistance
93.667	Social Services Block Grant
93.767	Children's Health Insurance Program
93.917	HIV Care Formula Grants

Dollar threshold used to distinguish between Type A and Type B programs **\$30,000,000**

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

Other matters

Auditee's summary schedule of prior audit findings required to be reported in accordance with 2 CFR §200.511(b)? **Yes**

Financial statement findings

2019-01

Managing risk

Condition and context—We reviewed the risk-assessment process at 4 State agencies including the Departments of Administration (ADOA), Economic Security (DES), Child Safety (DCS), and Revenue (DOR) and found that the agencies' processes for managing and documenting their risks did not include an overall risk-assessment process that included identifying, analyzing, and responding to the agency-wide information technology (IT) risks, such as potential harm from unauthorized access, use, disclosure, disruption, modification, or destruction of IT data and systems. Also, the agencies' processes did not include identifying, classifying, and inventorying sensitive information that might need stronger access and security controls and evaluating and determining the business functions and IT systems that would need to be restored quickly if the agencies were impacted by disasters or other system interruptions.

Criteria—Effectively managing risk at State agencies includes each agency establishing an entity-wide risk-assessment process that involves members of its administration and IT management to determine the risks the agency faces as it seeks to achieve its objectives to not only report accurate financial information and protect its IT systems and data but to also carry out its overall mission and service objectives. The process should provide the basis for developing appropriate responses based on identified risk tolerances and specific potential risks to which the agency might be subjected. To help ensure the agency's objectives can be met, an annual risk assessment should consider IT risks. For each identified risk, the agency should analyze the identified risk and develop a plan to respond within the context of the agency's defined objectives and risk tolerances. The process of managing risks should also address the risk of unauthorized access and use, modification, or loss of sensitive information and the risk of losing the continuity of business operations in the event of a disaster or system interruption.

Effect—Without correcting these deficiencies, the State agencies' administration and IT management may put the agencies' operations and IT systems and data at unintended and unnecessary risk.

Cause—Because the State's risk-assessment process is decentralized and managed at each agency, the agencies are in various stages of developing or implementing policies and procedures for assessing and managing risk and have not fully implemented agency-wide risk-assessment processes that address IT security. Additionally, DCS fully relies on the DES to perform the risk assessment over its IT system and network, and DCS does not coordinate efforts to ensure its system is properly evaluated.

Recommendations—State agencies should identify, analyze, and reduce risks to help prevent undesirable incidents and outcomes that could impact business functions and IT systems and data. They should also plan for where to allocate resources and where to implement critical controls. To help ensure they have effective agency-wide policies and procedures to achieve these objectives, the State agencies should follow guidance the Arizona Strategic Enterprise Technology Office established, which is based on the IT security framework of the National Institute of Standards and Technology. Responsible administrative officials and management over finance, IT, and other agency functions should be asked for input in the agencies' process for managing risk. State agencies should conduct the following as part of their process for managing risk:

- Perform an annual agency-wide IT risk-assessment process that includes evaluating and documenting risks and safeguards. Such risks may include inappropriate access that would affect financial data,

system changes that could adversely impact or disrupt system operations, and inadequate or outdated system security. (DES, DCS, DOR)

- Evaluate and manage the risks of holding sensitive information by identifying, classifying, and inventorying the information the agency holds to assess where stronger access and security controls may be needed to protect data in accordance with State statutes and federal regulations. (ADOA, DES, DCS)
- Evaluate and determine the critical organization functions and IT systems that would need to be restored quickly given the potential impact disasters or other IT system interruptions could have on the organization's operations, such as public assistance and safety, payroll, and accounting, and determine how to prioritize and plan for recovery. (ADOA, DOR)

The State's responsible officials' views and planned corrective action are in its corrective action plan included at the end of this report.

This finding is similar to prior-year finding 2018-01.

2019-02

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

Condition and context—We reviewed the access, configuration management, information technology security, and contingency-planning controls at 4 State agencies including the Departments of Administration (ADOA), Economic Security (DES), Child Safety (DCS), and Revenue (DOR) and found that 3 of the 4 agencies' control procedures were not sufficiently designed, documented, and implemented to respond to risks associated with their IT systems and data. DCS relies on DES for access, configuration management, and security and relies wholly on DES for contingency planning because its systems and data are housed on DES' network. The agencies lacked adequate procedures over the following:

- **Restricting access to their IT systems and data**—Procedures did not consistently help prevent or detect unauthorized or inappropriate access. (ADOA, DES, DOR)
- **Configuring systems securely and managing system changes**—Procedures did not ensure all IT system changes were adequately managed and configuration settings maintained. (DES)
- **Securing systems and data**—IT security policies and procedures lacked controls to prevent unauthorized or inappropriate access or use, manipulation, damage, or loss. (ADOA, DES, DOR)
- **Developing and documenting, testing, and updating a contingency plan**—Plans lacked key elements related to restoring operations in the event of a disaster or other system interruption, did not require the contingency plan to be tested, and were not updated, as necessary. (ADOA, DES, DOR)

Criteria—State agencies should have effective internal controls to protect their IT systems and help ensure the integrity and accuracy of the data they maintain.

- **Logical and physical access controls**—Help to ensure systems and data are accessed by users who have a need, systems and data access granted is appropriate, key systems and data access is monitored and reviewed, and physical access to its system infrastructure is protected. (ADOA, DES, DOR)
- **Well-defined, documented configuration management process**—Ensures the IT system configurations are documented and that changes to the systems are identified, documented, evaluated for security implications, tested, and approved prior to implementation. This helps limit the possibility of an adverse impact on the system's security or operation. Separating responsibilities is an important

control for system changes; the same person who has authority to make system changes should not put the change into production. If those responsibilities cannot be separated, a post-implementation review should be performed to ensure the change was implemented as designed and approved. (DES)

- **IT security internal control policies and procedures**—Help prevent, detect, and respond to instances of unauthorized or inappropriate access or use, manipulation, damage, or loss to their IT systems and data. (ADOA, DES, DOR)
- **Comprehensive, documented, and tested contingency plan**—Provides the preparation necessary to place the plan in operation and helps to ensure business operations continue and systems and data can be recovered in the event of a disaster, system or equipment failure, or other interruption. (ADOA, DES, DOR)

Effect—There is an increased risk that the State agencies may not adequately protect their IT systems and data, which could result in unauthorized or inappropriate access and/or the loss of confidentiality or integrity of systems and data. It also increases the agencies' risk of not being able to effectively continue daily operations and completely and accurately recover vital IT systems and data in the event of a disaster or system interruption.

Cause—Because the State is decentralized and IT systems and data are managed at each agency, the State agencies are in various stages of developing and implementing policies and procedures for access, configuration management, security, and contingency planning and, because of a lack of resources, have not fully implemented them.

Recommendations—To help ensure the State agencies have effective policies and procedures over their IT systems and data, agencies should follow guidance the Arizona Strategic Enterprise Technology Office established, which is based on the IT security framework of the National Institute of Standards and Technology. To help achieve these control objectives, the agencies should develop, document, and implement control procedures as applicable in each IT control area described below:

Access

- Assign and periodically review employee user access ensuring appropriateness and compatibility with job responsibilities. (ADOA, DES, DOR)
- Remove terminated employees' access to IT systems and data. (ADOA, DES, DOR)
- Review all other account access to ensure it remains appropriate and necessary. (ADOA, DES, DOR)
- Evaluate the use and appropriateness of accounts shared by 2 or more users and manage the credentials for such accounts. (DES, DOR)
- Enhance authentication requirements for IT systems. (DES, DOR)
- Review data center physical access periodically to determine appropriateness. (ADOA)

Configuration and change management

- Maintain configurations for all system services, assets, and infrastructure; manage configuration changes; and monitor the system for unauthorized or unintended configuration changes. (DES)

Security

- Perform proactive key user and system activity logging and log monitoring, particularly for users with administrative access privileges. (ADOA, DOR)
- Prepare and implement a security incident response plan clearly stating how to report and handle such incidents. (DES)
- Develop, document, and follow a process for awarding and subsequent monitoring of IT vendor contracts. (ADOA, DES)

Contingency planning

- Update the contingency plan and ensure it includes all critical elements to restore critical operations, including being prepared to move critical operations to a separate alternative site if necessary. (ADOA)
- Develop and implement a contingency plan and ensure it includes all required elements to restore critical operations, including being prepared to move critical operations to a separate alternative site if necessary. (DOR)
- Test the contingency plan. (DES, DOR)
- Train staff responsible for implementing the contingency plan. (ADOA, DOR)

The State's responsible officials' views and planned corrective action are in its corrective action plan included at the end of this report.

This finding is similar to prior-year findings 2018-02 and 2018-03.

2019-03

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

Condition and context—The State Treasurer's Office (STO) and Arizona Department of Administration's (ADOA) process to reconcile cash and investments between the STO's investment management system and the State's accounting system did not always accurately identify differences between the systems. Therefore, their process did not ensure appropriate adjusting journal entries were made in the State's financial system to correct any imbalances so that all cash and investments activity was properly reflected in the State's financial statements.

Criteria—ADOA is required to maintain complete, accurate, and current financial records of the State's cash and investments in order to prepare the State's financial statements in accordance with generally accepted accounting principles. (Arizona Revised Statutes §35-131(B)) To help ensure ADOA's records of cash and investments are accurate, the STO and ADOA should reconcile their systems and investigate and resolve any imbalances and errors in a timely manner.

Effect—Those relying on financial information in the State's financial statements may have been misled because the State misstated the Land Endowment Fund's earnings on investments and ending investment balance in its final 2018 and draft 2019 financial statements. These amounts were understated by \$85 million in the State's 2018 financial statements and overstated by \$45 million in the State's 2019 draft financial statements. The State adjusted its 2019 financial statements for these material misstatements.

Cause—The STO did not have proper controls to ensure adjusting journal entries that it recommended to ADOA for compilation of the State's financial statements were appropriate, correct, and reviewed for propriety. In addition, there was a lack of communication between the STO and ADOA during the reconciliation process.

Recommendation—To ensure that the State's cash and investments recorded on the STO's investment management system and the State's accounting system are fully reconciled and the State's financial statements are accurately presented, the STO and ADOA must work together to improve their process and develop written procedures that ensure:

- A joint reconciliation is performed on a regular basis with both the STO and ADOA and differences noted during the reconciliation process are investigated and resolved in a timely manner.
- Someone at STO with knowledge of both systems and who is independent of the journal entries preparation performs a detailed review of the monthly and year-end journal entries for propriety.
- Year-end journal entries the STO recommends for fair presentation of the State's financial statements are reviewed and approved by ADOA to verify their accuracy.

The State's responsible officials' views and planned corrective action are in its corrective action plan included at the end of this report.

2019-04

The Department of Revenue did not ensure it collected all income taxes that are due to the State

Condition and context—The Department of Revenue (DOR) failed to reconcile State income taxes to ensure all amounts due from taxpayers were collected and accurately reported in the State's financial statements. This finding has been reported since fiscal year 2006.

Criteria—DOR is the State agency that has the sole responsibility for collecting and reporting all the State's income taxes and should have adequate procedures and systems in place to do so.

Effect—There is an increased risk that the State may not collect all income taxes that are due. Also, the State risks reporting inaccurate income tax revenue in its financial statements.

Cause—DOR's tax administration system lacked the functionality to perform automatic system checks and reconciliations, and DOR did not have the resources to perform manual compensating review procedures.

Recommendations—To help ensure DOR collects all State income taxes that are due from taxpayers and accurately reports this revenue in the State's financial statements, it should either fix its system's limitations so that the system automatically checks and reconciles income taxes or immediately implement other processes to reconcile income taxes.

The State's responsible officials' views and planned corrective action are in its corrective action plan included at the end of this report.

This finding is similar to prior-year finding 2018-05.

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

Condition and context—The Department of Revenue (DOR) did not include \$17 million of individual income tax overpayments in its unclaimed property system that is used to publish abandoned property on its website for taxpayers to search and claim. These overpayments, from 46,265 taxpayer accounts, ranged from \$50 to \$269,917 and date back as far as fiscal year 2007. Taxpayers have approximately 35 years to file a claim for abandoned property. (A.R.S. §44-317(E)) The State included these abandoned overpayments as a liability in its financial statements.

Criteria—DOR must publish information about all abandoned property of at least \$50 on its website, including information about unclaimed individual income tax overpayments. (A.R.S. §44-309)

Effect—Abandoned individual income tax overpayments may not be readily available for individual taxpayers to search and claim.

Cause—DOR’s tax administration system lacked the functionality to automatically transfer individual income tax overpayments from that system to its unclaimed property system and DOR did not have sufficient resources to do so manually.

Recommendations—To ensure taxpayers can search and claim individual income tax overpayments, DOR should develop and implement a process to publish abandoned overpayments of at least \$50 on its website. The process should include policies and procedures to ensure the overpayments are properly accounted for in the unclaimed property system and tax administration system.

The State’s responsible officials’ views and planned corrective action are in its corrective action plan included at the end of this report.

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

Condition and context—The Arizona Department of Administration (ADOA) and the Public Safety Personnel Retirement System (PSPRS) did not adequately communicate and work together to ensure the accuracy of employee personnel data maintained by PSPRS for its members in the Corrections Officer Retirement Plan (CORP) for the Arizona Department of Corrections (ADC), resulting in inaccuracies of data maintained by PSPRS and provided to its actuaries. Inaccuracies of employee personnel data, such as salary, hire date, birthdate, and years of credited service, used by the actuaries increases the risk that they could incorrectly estimate the pension liability and the employer required contribution rate needed to cover CORP’s ADC members’ future benefit payments.

Criteria—PSPRS administers the CORP for ADC members and uses its records of CORP’s ADC active employee personnel data to provide to its actuaries so they can calculate the estimated total pension liability and other pension amounts reported in the State’s financial statements and to determine employer contribution rates. The State’s payroll system includes the records of this personnel data for CORP members who are actively employed with ADC. Therefore, it is critical that ADOA and PSPRS communicate and work together to ensure the employee personnel data the actuaries are given is accurate.

Effect—There is an elevated risk that the estimated pension liability reported in the State’s financial statements could be significantly misstated and mislead those relying on the information. There is also an increased risk that CORP’s employer contribution rates could be inadequate to cover future benefit payments. Although for the most recent 2018 actuarial report, PSPRS provided inaccurate data for some of CORP’s ADC active members, the discrepancies were not enough to cause any significant errors in the actuaries’ calculations.

Cause—ADOA and PSPRS did not have policies and procedures in place to reconcile CORP's active employee personnel data for ADC between its payroll system and PSPRS' records.

Recommendation—To help ensure that the State's pension amounts presented in its financial statements are accurate and do not mislead those relying on the information and CORP's ADC employer contributions are adequate to cover future benefit payments, ADOA and PSPRS should:

- Annually reconcile CORP's ADC active employee personnel data between the State's payroll records and PSPRS' records and investigate and resolve any errors prior to PSPRS providing the information to its actuaries.
- Determine the most appropriate time to perform this reconciliation in order for PSPRS to ensure it provides accurate information to its actuaries.
- Retain a copy of the reconciliation.

The State's responsible officials' views and planned corrective action are in its corrective action plan included at the end of this report.

2019-07

University of Arizona—Managing risk

Condition and context—The University of Arizona's (UA) process for managing and documenting its risks did not include an overall risk assessment process that included identifying, analyzing, and responding to the university-wide information technology (IT) risks, such as potential harm from unauthorized access, use, disclosure, disruption, modification, or destruction of IT data and systems. Also, it did not include identifying, classifying, and inventorying sensitive information that might need stronger access and security controls.

Criteria—Effectively managing risk at the UA includes an entity-wide risk assessment process that involves members of the UA's administration and IT management to determine the risks the UA faces as it seeks to achieve its objectives to not only report accurate financial information and protect its IT systems and data but to also carry out its overall mission and service objectives. The process should provide the basis for developing appropriate responses based on identified risk tolerances and specific potential risks to which the UA might be subjected. To help ensure the UA's objectives can be met, an annual risk assessment should consider IT risks. For each identified risk, the UA should analyze the identified risk and develop a plan to respond within the context of the UA's defined objectives and risk tolerances. The process of managing risks should also address the risk of unauthorized access and use, modification, or loss of sensitive information.

Effect—Without correcting these deficiencies, the UA's administration and IT management may put the UA operations and IT systems and data at unintended and unnecessary risk.

Cause—The UA has started to conduct a risk assessment process on its significant enterprise systems that includes implementation of its existing data-classification policy. However, time and resource limitations have not allowed the UA to fully implement prior-year recommendations to effectively manage IT risk.

Recommendations—The UA should identify, analyze, and reduce risks to help prevent undesirable incidents and outcomes that could impact IT systems and data. It also should plan for where to allocate resources and where to implement critical controls. To help ensure it has effective entity-wide policies and procedures to achieve these objectives, the UA should follow guidance from a credible industry source,

such as the National Institute of Standards and Technology. Responsible administrative officials and management over finance, IT, and other entity functions should be asked for input in the UA's process for managing risk. The UA should conduct the following as part of its process for managing risk:

- Perform an annual entity-wide IT risk-assessment process that includes evaluating and documenting risks and safeguards. Such risks may include inappropriate access that would affect financial data, system changes that could adversely impact or disrupt system operations, and inadequate or outdated system security.
- Evaluate and manage the risks of holding sensitive information by identifying, classifying, and inventorying the information the UA holds to assess where stronger access and security controls may be needed to protect data in accordance with State statutes and federal regulations.

The UA's responsible officials' views and planned corrective action are in its corrective action plan included in the Universities Responses section at the end of this report. This finding was also reported in the UA's separately issued report on internal control and on compliance for the year ended June 30, 2019, as finding 2019-01.

This finding is similar to prior-year finding 2018-09.

2019-08

University of Arizona's Information technology (IT) controls—security and contingency planning

Condition and context—The University of Arizona's (UA) control procedures were not sufficiently designed, documented, and implemented to respond to risks associated with its IT systems and data. The UA lacked adequate procedures over the following:

- **Securing systems and data**—Policies and procedures did not require the logging and monitoring of elevated user activities within the UA's enterprise systems.
- **Developing and documenting a comprehensive contingency plan**—Plan lacked restoration processes for 2 of the 4 significant enterprise systems, and a copy of the plan was not readily available outside the IT systems.

Criteria—The UA should have effective internal controls to protect its IT systems and help ensure the integrity and accuracy of the data it maintains.

- **IT security internal control policies and procedures**—Help prevent, detect, and respond to instances of unauthorized or inappropriate access or use, manipulation, damage, or loss to its IT systems and data.
- **Comprehensive, documented, and tested contingency plan**—Provides the preparation necessary to place the plan in operation and helps to ensure business operations continue and systems and data can be recovered in the event of a disaster, system or equipment failure, or other interruption.

Effect—Without correcting these deficiencies, there is an increased risk that the UA may not adequately protect its IT systems and data, which could result in unauthorized or inappropriate access and/or the loss of confidentiality or integrity of systems and data. It also increases the UA's risk of not being able to effectively continue daily operations and completely and accurately recover vital IT systems and data in the event of a disaster or system interruption.

Cause—The UA created work group has not completed its development of logging and monitoring policies and procedures. Further, due to time and resource constraints, the UA completed disaster recovery plans for only 2 of its 4 significant enterprise systems.

Recommendations—To help ensure the UA has effective policies and procedures over its IT systems and data, the UA should follow guidance from a credible industry source such as the National Institute of Standards and Technology. To help achieve these control objectives, the UA should develop, document, and implement control procedures in each IT control area described below:

Security

- Perform proactive key user and system activity logging and log monitoring, particularly for users with administrative access privileges.

Contingency planning

- Develop and implement a contingency plan for the remaining 2 significant UA enterprise systems.
- Test the contingency plan.
- Train staff responsible for implementing the contingency plan.
- Maintain a readily accessible copy of the plan.

The UA's responsible officials' views and planned corrective action are in its corrective action plan included in the Universities' Responses section at the end of this report. This finding was also reported in the UA's separately issued report on internal control and on compliance for the year ended June 30, 2019, as finding 2019-02.

This finding is similar to prior-year findings 2018-10.

Other auditors' findings

2019-09

The other auditors who audited the Public Safety Personnel Retirement System (PSPRS) reported the following internal control deficiency over PSPRS' financial statement compilation process for activity that is reported within the Pension and Other Employee Benefit Trust Funds in the State's financial statements. PSPRS' and the State's 2019 financial statements were adjusted for all material misstatements noted.

Condition and context—Management did not have adequate internal control procedures in place over the financial statement reporting process using the basis of accounting required by generally accepted accounting principles (GAAP). A number of month-end and year-end close-out items were identified during the audit of the financial statements. While management and staff have an understanding of general ledger controls and plan compliance requirements, sufficient internal controls were not designed and operating to properly prevent misstatements in the financial statements.

During our review of the PSPRS financial statements, we noted the following:

- PSPRS's financial reporting database does not have a consolidated general ledger module.
- PSPRS's financial reporting database does not allow for accounting periods to be closed and locked from transactions and journal entries.
- PSPRS's financial reporting database does not allow for bank reconciliations to be accurately completed and reviewed in a timely, efficient manner.
- Cash and short-term investments totaling approximately \$1,180,984 were reported as other receivables in the financial statements.

- Several asset and liability balances were not reviewed at year-end to ensure that the proper balance or accrual reflected current fiscal year activity; assets totaled approximately \$5,250,907 and liabilities totaled approximately \$1,310,654.
- Employer contributions were overstated, and employee contributions were understated by approximately \$3,925,791 for contribution made by the employer on the employee's behalf.
- Net appreciation in fair value and investment expenses were overstated by approximately \$3,125,553.

Criteria—Management is responsible for designing, implementing, and maintaining internal controls that include controls over the general ledger and complete and accurate financial statements.

Effect—PSPRS's internal controls over financial reporting at the financial statement level were not designed and operating to ensure that a misstatement would be prevented or detected and corrected in a timely manner.

Cause—PSPRS experienced significant turnover in key positions, changed financial-reporting databases in the prior year, and lacked documented policies and procedures for month-end and year-end closing.

Recommendations—PSPRS should design and implement effective internal control procedures to ensure the financial statements are free from misstatements and consistent with accounting policies. Additionally, PSPRS should allocate the necessary staffing and information technology resources to implement and maintain controls and procedures for month-end and year-end closing.

The State's responsible officials' views and planned corrective action are in its corrective action plan included at the end of this report.

2019-10

The other auditors who audited the Arizona Department of Transportation reported the following internal control deficiency over cash receipting and reconciliation for the Revenue and Fuel Tax Administration Department that processes highway user revenue monies and fuel taxes that are reported within the Other Governmental Funds in the State's financial statements.

Condition and context—Each employee within the Revenue and Fuel Tax Administration Department (RFTA) has access to cash/checks prior to deposit and has the ability to add/edit bank statement information within the MAX system. The MAX system is used to reconcile bank data to the receipts data.

Criteria—Internal controls should be in place to provide reasonable assurance that the duties of cash receipting are segregated from the reconciliation process.

Effect—The lack of controls in place over the cash receipting and reconciliation process increases the risk of the misappropriation of cash occurring and not being prevented or detected.

Cause—RFTA has not properly implemented procedures within RFTA to ensure the proper segregation of duties. Management is in the process of implementing controls and procedures.

Recommendations—We recommend that RFTA implement policies and proper internal control procedures to ensure that the duties of cash receipting are segregated from the reconciliation process.

The State's responsible officials' views and planned corrective action are in its corrective action plan included at the end of this report.

Federal award findings and questioned costs

2019-101

CFDA numbers and names:	Various
Award numbers and years:	Various
Federal agencies:	Various
Compliance requirement:	Allowable costs/cost principles
Questioned costs:	Unknown

Condition and context—The State did not comply with various federal programs' allowable costs/cost principles requirement with respect to the following legislatively mandated and directed transfers that involved transferring monies from State funds that contained federal program monies:

- Transferred monies from the State's Risk Management Revolving Fund to be spent on Department of Child Safety litigation expenses. (Laws 2019, Chapter 276, §17)
- Transferred monies from the State's Risk Management Revolving Fund to the Department of Public Safety to be spent on general government services it normally provides. (Laws 2019, Chapter 276, §78)
- Transferred monies from the Motor Vehicle Pool Revolving Fund for the purpose of providing support and maintenance of State agencies. (Laws 2019, Chapter 276, §140)
- Transferred monies from various State funds to the State's Automation Projects Fund for the purpose of managing information technology projects. (Laws 2019, Chapter 276, §141)
- Directed transfers from various funds for services the Office of the Governor performed. (Interagency Service Agreement GVA-19-070118-01)

When the State transferred and spent the monies, which included federal monies, to pay for the legislatively mandated and directed uses, there was no basis to show the relative benefits for each specific federal program's objectives. The Arizona Department of Administration (ADOA) has evaluated the funds, which contained federal monies that were included in the transferred amounts and is working with the applicable federal agencies to determine the amount of questioned costs and whether monies need to be repaid.

Criteria—Expenditures charged to federal programs should be based on the relative benefits received by the specific program. (2 U.S. Code of Federal Regulations (CFR) §200.405(a)) Further, federal expenditures cannot be used for the general cost of government such as police services, litigation, and information technology services. (2 CFR §200.444(a))

Effect—We were unable to determine the amount of questioned costs that resulted from this finding or to identify all the federal programs this finding affected because ADOA has not finalized its calculation for the federal portion of these transfers that occurred during fiscal year 2019. The State estimates it may have to return at least \$25,000 to federal grantors. Once calculated, this amount will be subject to the U.S. Department of Health and Human Services' review and approval and subsequent repayment. This finding could potentially affect all federal programs State agencies administered that had legislatively mandated or directed transfers but does not impact the 3 State universities' federal programs.

Cause—During the legislative session when the State's Legislature determines and approves its mandated transfers through many and various bills that must be voted on and approved by the full House and Senate, it is not always possible for ADOA or other State agencies to intervene to recommend bill revisions to avoid transferring monies from sources with federal program monies.

Recommendation—To help ensure the State complies with federal programs’ allowable costs/cost principles requirements and will not have to return federal monies to the federal grantors, ADOA should:

- Continue to monitor bills being considered in the Legislature and work with the Legislature to recommend bill revisions to avoid transferring monies from sources that include federal program monies.
- Continue to work with the U.S. Department of Health and Human Services for remittance of any unallowable costs identified.

The State’s responsible officials’ views and planned corrective action are in its corrective action plan included at the end of this report.

The finding is similar to prior-year finding 2018-101.

2019-102

Cluster Name	CCDF Cluster
CFDA 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
Award numbers and years:	G1701AZCCDF, 2017; G1801AZCCDF, 2018; and G-1901AZCCDD, G-1901AZCCDM, and G-1901AZCCDF, 2019
Federal agency:	U.S. Department of Health and Human Services
Compliance requirement:	Eligibility
Questioned costs:	\$3,807

Condition and context—We found 1 recipient who may not have been eligible to receive childcare assistance totaling \$3,807. Specifically, for 1 of 40 case records tested, the Department of Economic Security’s Child Care Administration (Administration) could not provide the case record supporting its eligibility determination for the recipient. We could not determine if additional case records were missing.

Criteria—The Administration must retain all records needed to substantiate compliance with program requirements, such as eligibility determinations. Also, the Administration must establish and maintain effective internal control over its federal awards that provides reasonable assurance that it is managing them in compliance with all applicable laws, regulations, and award terms. (45 CFR §§98.90(d)(1) and 75.303)

Effect—The Administration may provide childcare benefits to applicants who are not eligible to receive them and may be required to repay federal monies to the grantor.

Cause—The Administration did not follow its policies and procedures to retain the case record.

Recommendation—To help ensure the Administration makes accurate benefit payments to only eligible recipients, it should ensure that facts regarding eligibility determinations are properly documented, supported, and retained in each recipient’s case record.

The State’s responsible officials’ views and planned corrective action are in its corrective action plan included at the end of this report.

2019-103

CFDA number and name:	84.010 Title I Grants to Local Educational Agencies
Award numbers and years:	S010A160003, 2016; S010A170003, 2017; S010A180003, 2018
Federal agency:	U.S. Department of Education
Compliance requirement:	Special Tests and Provisions
Questioned costs:	Not applicable

Condition and context—The Arizona Department of Education (ADE) did not ensure that local educational agencies (LEAs) retained proper documentation to support student withdrawal data ADE used to calculate the graduation rate for the State’s annual report card.

Criteria—The Department is required to make a State annual report card publicly available that includes graduation rate data for public secondary school students. ADE may exclude from the graduation rate calculation certain withdrawn students, such as students who have transferred to other schools, if the LEA retains proper written documentation. (Elementary and Secondary Education Act of 1965, Section 1111(h)(1))

Effect—ADE may report inaccurate graduation rates for Arizona to the U.S. Department of Education or may report inaccurate graduation rates for the State or individual school districts or charter schools in their annual report cards, which are available on ADE’s website. This would be misleading to the public and government officials who may make decisions based on the data. Additionally, other stakeholders may use the graduation rate data for their purposes or publications. For example, our Office reports school district graduation rates in our annual *Arizona School District Spending* report.

Cause—The Department did not follow its policies and procedures that required it to audit the student withdrawal data the LEAs submitted to ensure that LEAs retained proper documentation.

Recommendation—To help ensure the Department accurately reports graduation rates to the public, Arizona public schools, our Office, and other government officials on the State’s annual report card, it should follow its policies and procedures requiring LEA audits to include verifying documentation supporting student withdrawal data.

The State’s responsible officials’ views and planned corrective action are in its corrective action plan included at the end of this report.

2019-104

CFDA number and name:	93.659 Adoption Assistance
Award numbers and years:	1801AZADPT, 2018; 1901AZADPT, 2019
Federal agency:	U.S. Department of Health and Human Services
Compliance requirement:	Cash management
Questioned costs:	None

Condition and context—The Department of Child Safety (DCS) requested reimbursements from the grantor earlier than the State’s agreement with the U.S. Department of Treasury allowed. Specifically, for 17 reimbursements tested, DCS submitted 1 request for federal monies to pay vendors and service providers 2 days early and 7 requests for payroll and other operating costs 1 to 12 days early.

Criteria—Federal regulations require DCS to request federal monies for the program in accordance with the funding technique patterns outlined in the Treasury-State Agreement (Agreement) that designate when the State may request federal monies.¹ (31 CFR §205, Subpart A) Additionally, DCS must establish and maintain effective internal controls over the federal award that provides reasonable assurance it is managing the program in compliance with laws, regulations, and award terms. (45 CFR §75.303)

Effect—DCS earned \$15,797 of interest on idle federal monies because it improperly requested monies before the designated day under the Agreement. After the Arizona Department of Administration determined the interest earned and notified DCS of this issue, DCS remitted the amount to the federal government. This finding could potentially affect other federal programs DCS administers that the Agreement covered.

Cause—DCS' policies and procedures for requesting federal reimbursement were not properly designed to comply with the Agreement, which resulted in DCS not following the proper funding methodologies.

Recommendation—To help ensure that DCS does not risk federal monies remaining idle or improperly earning interest and having to repay interest earned, DCS should:

- Evaluate and modify its policies and procedures, as appropriate, for requesting federal reimbursement to ensure that the requests are made based on the authorized day specific to each approved funding technique.
- Work with the federal grantor to determine if the approved funding techniques are appropriate to meet DCS' cash management needs and communicate any agreed-upon changes in funding techniques to the Arizona Department of Administration so that they can be addressed in the Agreement.

The State's responsible officials' views and planned corrective action are in its corrective action plan included at the end of this report.

The finding is similar to prior-year finding 2018-108.

¹For payments to vendors and service providers, DCS should request monies 2 days after it makes payments. 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.

STATE SECTION

State of Arizona
Schedule of expenditures of federal awards
Year ended June 30, 2019

CFDA/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
DEPARTMENT OF AGRICULTURE						
SNAP Cluster						
10.551	Supplemental Nutrition Assistance Program			DEA	\$ 1,158,127,062	
10.561	State Administrative Matching Grants for the Supplemental Nutrition Assistance Program			DEA	59,686,628	\$ 4,024,154
10.561	State Administrative Matching Grants for the Supplemental Nutrition Assistance Program			HSA	6,630,183	3,486,432
10.561	State Administrative Matching Grants for the Supplemental Nutrition Assistance Program			UAA	5,351,811	94,070
	10.561 Subtotal				<u>71,668,622</u>	<u>7,604,656</u>
	SNAP Cluster Subtotal				<u>1,229,795,684</u>	<u>7,604,656</u>
Child Nutrition Cluster						
10.553	School Breakfast Program			DCA	49,250	
10.553	School Breakfast Program			DJA	141,459	
10.553	School Breakfast Program			EDA	96,609,905	96,609,905
10.553	School Breakfast Program			SDA	35,776	
	10.553 Subtotal				<u>96,836,390</u>	<u>96,609,905</u>
10.555	National School Lunch Program			DCA	30,988	
10.555	National School Lunch Program			DJA	328,618	
10.555	National School Lunch Program			EDA	312,339,866	312,334,627
10.555	National School Lunch Program			SDA	89,011	
	10.555 Subtotal				<u>312,788,483</u>	<u>312,334,627</u>
10.556	Special Milk Program for Children			EDA	49,458	49,458
10.559	Summer Food Service Program for Children			EDA	3,392,952	3,275,593
	Child Nutrition Cluster Subtotal				<u>413,067,283</u>	<u>412,269,583</u>
Food Distribution Cluster						
10.565	Commodity Supplemental Food Program			DEA	1,596,632	1,475,402
10.568	Emergency Food Assistance Program (Administrative Costs)			DEA	3,101,544	2,867,713
10.569	Emergency Food Assistance Program (Food Commodities)			DEA	37,645,742	
	Food Distribution Cluster Subtotal				<u>42,343,918</u>	<u>4,343,115</u>
Other Department of Agriculture Programs						
10.025	Plant and Animal Disease, Pest Control, and Animal Care			AHA	1,921,175	
10.025	Plant and Animal Disease, Pest Control, and Animal Care			CRA	822,876	
10.025	Plant and Animal Disease, Pest Control, and Animal Care			UAA	169,673	
	10.025 Subtotal				<u>2,913,724</u>	
10.028	Wildlife Services			GFA	982	
10.093	Voluntary Public Access and Habitat Incentive Program			GFA	663,703	502,195
10.163	Market Protection and Promotion			AHA	49,558	
10.170	Specialty Crop Block Grant Program—Farm Bill			AHA	542,350	245,362
10.171	Organic Certification Cost Share Programs			AHA	74,241	67,491
10.178	Emergency Food Assistance Program (Trade Mitigation)			DEA	304,000	304,000
10.215	Sustainable Agriculture Research and Education	Utah State University	200592-376	UAA	46,869	18,830
10.217	Higher Education—Institution Challenge Grants Program			NAA	18,750	
10.217	Higher Education—Institution Challenge Grants Program			UAA	69,390	30,356
	10.217 Subtotal				<u>88,140</u>	<u>30,356</u>
10.310	Agriculture and Food Research Initiative (AFRI)			UAA	6,648	
10.310	Agriculture and Food Research Initiative (AFRI)	New Mexico State University	Q01909	UAA	62,206	41,831
10.310	Agriculture and Food Research Initiative (AFRI)	University of Vermont	29034SUB52911/173257	UAA	22,793	9,347
10.310	Agriculture and Food Research Initiative (AFRI)	University of Wisconsin System	0000001777/2015-68007-23213	UAA	45,000	
	10.310 Subtotal				<u>136,647</u>	<u>51,178</u>
10.311	Beginning Farmer and Rancher Development Program			UAA	89,608	26,849
10.329	Crop Protection and Pest Management Competitive Grants Program			UAA	202,868	
10.443	Outreach and Assistance for Socially Disadvantaged Veteran Farmers and Ranchers	Apex Applied Technology, Incorporated	AO172501X443G029	UAA	2,327	
10.443	Outreach and Assistance for Socially Disadvantaged Veteran Farmers and Ranchers	University of Nevada: Reno	UNR 18-33	UAA	20,297	
	10.443 Subtotal				<u>22,624</u>	
10.460	Risk Management Education Partnerships			UAA	87,535	
10.475	Cooperative Agreements with States for Intrastate Meat and Poultry Inspection			AHA	617,139	
10.479	Food Safety Cooperative Agreements			HSA	225,390	
10.500	Cooperative Extension Service			UAA	2,986,196	54,797
10.500	Cooperative Extension Service	Kansas State University	S17135/, S18140, S19058	UAA	41,570	
10.500	Cooperative Extension Service	University of Minnesota	LTR DTD 111618	UAA	984	
	10.500 Subtotal				<u>3,028,750</u>	<u>54,797</u>
10.514	Expanded Food and Nutrition Education Program			UAA	20,458	
10.515	Renewable Resources Extension Act and National Focus Fund Projects			UAA	274	
10.521	Children, Youth and Families At-Risk			UAA	5,028	
10.547	Professional Standards for School Nutrition Employees			EDA	12,466	
10.557	WIC Special Supplemental Nutrition Program for Women, Infants, and Children			HSA	91,100,067	22,626,747
10.558	Child and Adult Care Food Program			EDA	55,276,550	54,730,559
10.560	State Administrative Expenses for Child Nutrition			EDA	6,907,010	
10.572	WIC Farmers' Market Nutrition Program (FMNP)			HSA	136,246	
10.574	Team Nutrition Grants			EDA	140,667	111,500

State of Arizona
Schedule of expenditures of federal awards
Year ended June 30, 2019

CFDA/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
10.576	Senior Farmers Market Nutrition Program			HSA	51,678	
10.578	WIC Grants to States (WGS)			HSA	803,167	168,616
10.579	Child Nutrition Discretionary Grants Limited Availability			EDA	370,755	370,755
10.582	Fresh Fruit and Vegetable Program			EDA	3,487,237	3,485,362
10.664	Cooperative Forestry Assistance			FOA	3,270,440	1,045,523
10.664	Cooperative Forestry Assistance			UAA	9,164	
	10.664 Subtotal				<u>3,279,604</u>	<u>1,045,523</u>
10.674	Wood Utilization Assistance			FOA	66,466	
10.676	Forest Legacy Program			FOA	13,138	
10.683	National Fish and Wildlife Foundation			GFA	195,675	
10.762	Solid Waste Management Grants			NAA	87,949	
10.902	Soil and Water Conservation			FOA	151,242	
10.902	Soil and Water Conservation			UAA	9,702	
	10.902 Subtotal				<u>160,944</u>	<u>-</u>
10.912	Environmental Quality Incentives Program			FOA	6,473	
10.960	Technical Agricultural Assistance			UAA	71,236	64,760
10.14-CR-11031600-54	Arizona Rangeland Education, Outreach and Monitoring			UAA	45,537	
10.14-CS-11030407-032				GFA	5,684	
10.16-CS-11031200-018				GFA	27,244	
10.17-CR-11031600-044	Arizona Rangeland Monitoring and Vegetation GIS Data System (VGS) Enhancement			UAA	192,879	
10.17-CS-11030700-014				GFA	36,901	
10.17-CS-11030700-015				GFA	153,340	
10.17-CS-11030901-027				GFA	6,830	
10.17-CS-11031200-034				GFA	149,171	
10.17-CS-11031200-041				GFA	9,257	
10.18-CR-11031600-066	Arizona Rangeland Education, Outreach, and Monitoring			UAA	80,550	
10.18-CS-11030500-019	Coronado Range Monitoring			UAA	34,917	
10.18-CS-11030700-015				GFA	19,896	
10.18-CS-11031200-015				GFA	38,079	
10.18-CS-11031200-016				GFA	38,306	
10.19JV11221638007	North American Forest and Inventory Tree Ring Data			UAA	5,271	
10.AG-6395-B-14-0001	NAHLN BPA			UAA	101	
10.OAO-HSINP-18-3	2018 USDA "STEAM" Summer Residential Program at UA-Yuma (Pilot Project)			UAA	3,912	
	Total Department of Agriculture				<u>1,857,341,976</u>	<u>508,122,234</u>
<u>DEPARTMENT OF COMMERCE</u>						
<u>Economic Development Cluster</u>						
11.307	Economic Adjustment Assistance			ASA	36,119	
11.307	Economic Adjustment Assistance			NAA	17,371	
	11.307 Subtotal				<u>53,490</u>	<u>-</u>
	Economic Development Cluster Subtotal				<u>53,490</u>	<u>-</u>
<u>Other Department of Commerce Programs</u>						
11.008	NOAA Mission-Related Education Awards	Watershed Management Group	NA16SEC0080003	UAA	36,321	
11.303	Economic Development Technical Assistance			NAA	100,080	
11.437	Pacific Fisheries Data Program	Pacific States Marine Fisheries Commission	LTR DTD 051519	UAA	44,884	
11.549	State and Local Implementation Grant Program			ADA	305,650	
11.611	Manufacturing Extension Partnership			CAA	1,090,732	
	Total Department of Commerce				<u>1,631,157</u>	<u>-</u>
<u>DEPARTMENT OF DEFENSE</u>						
12.113	State Memorandum of Agreement Program for the Reimbursement of Technical Services			EVA	870,628	
12.300	Basic and Applied Scientific Research			GFA	924,039	
12.300	Basic and Applied Scientific Research			UAA	9,100	
	12.300 Subtotal				<u>933,139</u>	<u>-</u>
12.357	ROTC Language and Culture Training Grants	Institute of International Education	2603-ASU-8-GO-051-P06, PGO1801-ASU-01	ASA	438,786	
12.357	ROTC Language and Culture Training Grants	Institute of International Education	2603UAZ28	UAA	405,439	
	12.357 Subtotal				<u>844,225</u>	<u>-</u>
12.401	National Guard Military Operations and Maintenance (O&M) Projects			ADA	88,742	
12.401	National Guard Military Operations and Maintenance (O&M) Projects			GFA	52,612	
12.401	National Guard Military Operations and Maintenance (O&M) Projects			MAA	40,964,629	
	12.401 Subtotal				<u>41,105,983</u>	<u>-</u>
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	285,974	
12.550	The Language Flagship Grants to Institutions of Higher Education	Institute of International Education	0054-UAZ-9-ARA-280-PO1, 0054UAZ9SSA280PO3, 0054UAZ9SSA280PO4	UAA	403,879	
	12.550 Subtotal				<u>689,853</u>	<u>-</u>
12.610	Community Economic Adjustment Assistance for Compatible Use and Joint Land Use Studies			ASA	296,624	

State of Arizona
Schedule of expenditures of federal awards
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CFDA/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
12.610	Community Economic Adjustment Assistance for Compatible Use and Joint Land Use Studies			FOA	486	
	12.610 Subtotal				<u>297,110</u>	<u>-</u>
12.620	Troops to Teachers Grant Program			EDA	72,529	
12.630	Basic, Applied, and Advanced Research in Science and Engineering			GFA	33,549	
12.632	Legacy Resource Management Program			GFA	325,199	
12.800	Air Force Defense Research Sciences Program			ASA	59,539	
12.900	Language Grant Program			ASA	69,501	
12.900	Language Grant Program	National Foreign Language Center	H98230-18-1-0053	ASA	69,749	
	12.900 Subtotal				<u>139,250</u>	<u>-</u>
12.901	Mathematical Sciences Grants			ASA	119,443	
12.902	Information Security Grant Program	Purdue University	4104-86682	UAA	9,625	
12.910	Research and Technology Development			GFA	109,589	
12.CRT	US Army Corp of Engineers			NAA	329,128	78,187
W912HQ18C0086						
12.W9124A-16-D-0001	Business Enterprise Program/FT Huachuca			DEA	6,122,634	
12.W912P9-16-D-0015	Renewal- Veterans Digital Curation Program	Environmental Research Group, LLC (ERG)	F-STL.0015.ArchSE.00811DAR	ASA	10,046	
	Total Department of Defense				<u>52,071,469</u>	<u>78,187</u>
<u>DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT</u>						
<u>Section 8 Project-Based Cluster</u>						
14.195	Section 8 Housing Assistance Payments Program			HDA	57,327,978	
	Section 8 Project—Based Cluster Subtotal				<u>57,327,978</u>	<u>-</u>
<u>CDBG – Entitlement Grants Cluster</u>						
14.218	Community Development Block Grants/Entitlement Grants	Pima County Department of Community Development and Neighborhood Conservation	CT-CD-17-313	UAA	41,949	
	CDBG – Entitlement Grants Cluster Subtotal				<u>41,949</u>	<u>-</u>
<u>Housing Voucher Cluster</u>						
14.871	Section 8 Housing Choice Vouchers			HDA	1,218,660	690
	Housing Voucher Cluster Subtotal				<u>1,218,660</u>	<u>690</u>
<u>Other Department of Housing and Urban Development Programs</u>						
14.171	Manufactured Home Dispute Resolution			HDA	68,545	
14.228	Community Development Block Grants/State's Program and Non-Entitlement Grants in Hawaii			HDA	9,908,977	9,704,262
14.231	Emergency Solutions Grant Program			DEA	1,717,877	1,565,372
14.239	Home Investment Partnerships Program			HDA	6,571,370	6,061,309
14.241	Housing Opportunities for Persons with AIDS			HDA	220,650	212,192
14.267	Continuum of Care Program			HDA	4,714,285	4,373,911
14.275	Housing Trust Fund			HDA	131,061	
14.326	Project Rental Assistance Demonstration (PRA Demo) Program of Section 811 Supportive Housing for Persons with Disabilities			HDA	133,292	
14.401	Fair Housing Assistance Program State and Local			AGA	591,086	
	Total Department of Housing and Urban Development				<u>82,645,730</u>	<u>21,917,736</u>
<u>DEPARTMENT OF THE INTERIOR</u>						
<u>Fish and Wildlife Cluster</u>						
15.605	Sport Fish Restoration			GFA	7,219,528	
15.611	Wildlife Restoration and Basic Hunter Education			GFA	18,898,102	663,439
15.626	Enhanced Hunter Education and Safety			GFA	221,767	
	Fish and Wildlife Cluster Subtotal				<u>26,339,397</u>	<u>663,439</u>
<u>Other Department of the Interior Programs</u>						
15.156	Tribal Climate Resilience			NAA	398,941	
15.156	Tribal Climate Resilience	Confederated Salish & Kootenai Tribes	04-501-3023	NAA	6,982	
15.156	Tribal Climate Resilience	Quapaw Tribe of Oklahoma	A18AP00187	NAA	1,078	
	15.156 Subtotal				<u>407,001</u>	<u>-</u>
15.159	Cultural Resources Management			ASA	17,120	
15.159	Cultural Resources Management			UAA	34,100	
	15.159 Subtotal				<u>51,220</u>	<u>-</u>
15.224	Cultural and Paleontological Resources Management			ASA	42,834	18,578
15.224	Cultural and Paleontological Resources Management			PRA	20,623	
	15.224 Subtotal				<u>63,457</u>	<u>18,578</u>
15.228	BLM Fuels Management and Community Fire Assistance Program Activities			FOA	43,263	38,958
15.231	Fish, Wildlife and Plant Conservation Resource Management			GFA	345,281	
15.231	Fish, Wildlife and Plant Conservation Resource Management			NAA	6,156	
	15.231 Subtotal				<u>351,437</u>	<u>-</u>
15.237	Rangeland Resource Management			UAA	32,562	
15.238	Challenge Cost Share			GFA	2,657	
15.511	Cultural Resources Management			ASA	56,455	
15.517	Fish and Wildlife Coordination Act			GFA	669,007	
15.530	Water Conservation Field Services(WCFS)			WCA	51,642	
15.538	Lower Colorado River Multi-Species Conservation			GFA	391,859	
15.608	Fish and Wildlife Management Assistance			GFA	249,279	

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CFDA/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
15.615	Cooperative Endangered Species Conservation Fund			AHA	83,413	
15.615	Cooperative Endangered Species Conservation Fund			GFA	144,175	
15.615	Cooperative Endangered Species Conservation Fund			UAA	6,330	
	15.615 Subtotal				<u>233,918</u>	<u>-</u>
15.631	Partners for Fish and Wildlife			GFA	145,507	140,507
15.634	State Wildlife Grants			GFA	1,336,197	20,000
15.654	National Wildlife Refuge System Enhancements			GFA	32,290	
15.657	Endangered Species Conservation—Recovery Implementation Funds			GFA	231,563	65,000
15.663	National Fish and Wildlife Foundation			GFA	107,851	
15.666	Endangered Species Conservation-Wolf Livestock Loss Compensation and Prevention			GFA	22,514	
15.670	Adaptive Science			GFA	85,590	
15.808	U.S. Geological Survey Research and Data Collection			ASA	9,241	
15.808	U.S. Geological Survey Research and Data Collection			GFA	337,050	
	15.808 Subtotal				<u>346,291</u>	<u>-</u>
15.820	National Climate Change and Wildlife Science Center			UAA	24,288	16,428
15.904	Historic Preservation Fund Grants-In-Aid			ASA	333,278	
15.904	Historic Preservation Fund Grants-In-Aid			PFA	1,004,179	98,348
	15.904 Subtotal				<u>1,337,457</u>	<u>98,348</u>
15.916	Outdoor Recreation Acquisition, Development and Planning			PRA	235,202	56,770
15.922	Native American Graves Protection and Repatriation Act			UAA	44,723	
15.944	Natural Resource Stewardship			GFA	4,360	
15.945	Cooperative Research and Training Programs—Resources of the National Park System			GFA	47,451	
15.945	Cooperative Research and Training Programs—Resources of the National Park System			NAA	2,671	
15.945	Cooperative Research and Training Programs—Resources of the National Park System			UAA	721,009	23,650
	15.945 Subtotal				<u>771,131</u>	<u>23,650</u>
15.980	National Ground-Water Monitoring Network			WCA	85,015	
15.50730W0330	Bureau of Reclamation Restricted Endowment			ASA	6,672,715	
15.P17PX01887	The Desert Laboratory Greenhouse Renovation Project			UAA	10,000	
	Total Department of the Interior				<u>40,435,848</u>	<u>1,141,678</u>
DEPARTMENT OF JUSTICE						
16.017	Sexual Assault Services Formula Program			GVA	420,192	397,420
16.320	Services for Trafficking Victims			ASA	58,340	12,000
16.320	Services for Trafficking Victims	City of Tucson, Arizona	OVC20154069	UAA	27,420	
16.320	Services for Trafficking Victims	CODAC Behavioral Health Services	Agreement Signed 3/25/16	UAA	13,513	
	16.320 Subtotal				<u>99,273</u>	<u>12,000</u>
16.526	OWV Technical Assistance Initiative			NAA	532,441	25,980
16.526	OWV Technical Assistance Initiative	Johns Hopkins University	2003621245	ASA	42,171	
	16.526 Subtotal				<u>574,612</u>	<u>25,980</u>
16.540	Juvenile Justice and Delinquency Prevention			GVA	737,479	633,736
16.543	Missing Children's Assistance			PSA	15,000	
16.543	Missing Children's Assistance	City of Phoenix	2009-MC-CX-K013	AGA	15,000	
	16.543 Subtotal				<u>30,000</u>	<u>-</u>
16.550	State Justice Statistics Program for Statistical Analysis Centers			JCA	57,206	
16.554	National Criminal History Improvement Program (NCHIP)			JCA	768,029	739,690
16.554	National Criminal History Improvement Program (NCHIP)			PSA	290,549	
	16.554 Subtotal				<u>1,058,578</u>	<u>739,690</u>
16.560	National Institute of Justice Research, Evaluation, and Development Project Grants			EDA	538,001	
16.575	Crime Victim Assistance			AGA	917,205	
16.575	Crime Victim Assistance			CHA	685,408	
16.575	Crime Victim Assistance			DCA	539,193	
16.575	Crime Victim Assistance			DJA	53,431	
16.575	Crime Victim Assistance			NAA	480,296	
16.575	Crime Victim Assistance			PSA	35,733,539	35,288,250
16.575	Crime Victim Assistance			SPA	38,924	
16.575	Crime Victim Assistance			STA	60,333	
	16.575 Subtotal				<u>38,508,329</u>	<u>35,288,250</u>
16.576	Crime Victim Compensation			JCA	1,435,860	1,389,109
16.579	Edward Byrne Memorial Formula Grant Program	City of Tucson, Arizona	18110	UAA	97,640	
16.582	Crime Victim Assistance/Discretionary Grants			JCA	8,643	
16.582	Crime Victim Assistance/Discretionary Grants			NAA	184,317	
16.582	Crime Victim Assistance/Discretionary Grants			PSA	84,824	84,824
	16.582 Subtotal				<u>277,784</u>	<u>84,824</u>
16.588	Violence Against Women Formula Grants			GVA	1,922,927	1,636,103
16.588	Violence Against Women Formula Grants			NAA	142,701	
16.588	Violence Against Women Formula Grants			PSA	234,090	

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CFDA/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
16.588	Violence Against Women Formula Grants			SPA	229,883	
	16.588 Subtotal				<u>2,529,601</u>	<u>1,636,103</u>
16.589	Rural Domestic Violence, Dating Violence, Sexual Assault, and Stalking Assistance Program			NAA	189,557	21,046
16.590	Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program			GVA	77,872	67,364
16.593	Residential Substance Abuse Treatment for State Prisoners			DCA	43,638	
16.593	Residential Substance Abuse Treatment for State Prisoners			DJA	94,579	
16.593	Residential Substance Abuse Treatment for State Prisoners			JCA	186,032	168,786
	16.593 Subtotal				<u>324,249</u>	<u>168,786</u>
16.606	State Criminal Alien Assistance Program			DCA	6,357,815	
16.609	Project Safe Neighborhoods			ADA	7,354	
16.726	Juvenile Mentoring Program	National 4-H Council	2016-JU-FX-0022, 2017-JU-FX-0016	UAA	54,790	
16.734	Special Data Collections and Statistical Studies			PSA	241,095	
16.738	Edward Byrne Memorial Justice Assistance Grant Program			AGA	469,647	
16.738	Edward Byrne Memorial Justice Assistance Grant Program			DCA	4,633	
16.738	Edward Byrne Memorial Justice Assistance Grant Program			JCA	3,186,985	2,883,864
16.738	Edward Byrne Memorial Justice Assistance Grant Program			PSA	259,950	
16.738	Edward Byrne Memorial Justice Assistance Grant Program			SPA	57,691	
16.738	Edward Byrne Memorial Justice Assistance Grant Program	Tempe: Police Department	C2018-36	ASA	132,957	
	16.738 Subtotal				<u>4,111,863</u>	<u>2,883,864</u>
16.741	DNA Backlog Reduction Program			PSA	538,637	
16.742	Paul Coverdell Forensic Science Improvement Grant Program			JCA	110,870	88,107
16.742	Paul Coverdell Forensic Science Improvement Grant Program			PSA	54,118	
	16.742 Subtotal				<u>164,988</u>	<u>88,107</u>
16.746	Capital Case Litigation Initiative			UAA	79,499	
16.750	Support for Adam Walsh Act Implementation Grant Program			PSA	9,121	
16.751	Edward Byrne Memorial Competitive Grant Program	Phoenix Police Department	147177--0	ASA	150,538	
16.754	Harold Rogers Prescription Drug Monitoring Program			JCA	3,614	
16.754	Harold Rogers Prescription Drug Monitoring Program			PMA	128,272	
	16.754 Subtotal				<u>131,886</u>	<u>-</u>
16.812	Second Chance Act Reentry Initiative			ASA	254,474	
16.812	Second Chance Act Reentry Initiative			DCA	200,791	
16.812	Second Chance Act Reentry Initiative			SPA	143,063	
	16.812 Subtotal				<u>598,328</u>	<u>-</u>
16.813	NICS Act Record Improvement Program			JCA	320,561	
16.813	NICS Act Record Improvement Program			PSA	89,002	
16.813	NICS Act Record Improvement Program			SPA	264,797	
	16.813 Subtotal				<u>674,360</u>	<u>-</u>
16.820	Postconviction Testing of DNA Evidence			ASA	81,578	
16.820	Postconviction Testing of DNA Evidence			JCA	52,525	37,834
	16.820 Subtotal				<u>134,103</u>	<u>37,834</u>
16.826	Vision 21			JCA	15,000	
16.833	National Sexual Assault Kit Initiative			PSA	22,158	
16.838	Comprehensive Opioid Abuse Site-Based Program			JCA	14,561	
16.2015-DE-BX-K002	Body Worn Camera Training and Technical Assistance TTA Provider	CNA Institute for Public Research	16-ASU-1-1376	ASA	433,624	
16.LTR DTD 060616	Joint Terrorism Task Force - Officer Overtime			UAA	6,159	
16.Unknown	Second Chance Coalition Building Training			ASA	32,944	
	Total Department of Justice				<u>60,735,056</u>	<u>43,474,113</u>
DEPARTMENT OF LABOR						
Employment Service Cluster						
17.207	Employment Service/Wagner-Peyser Funded Activities			DEA	11,687,721	
17.207	Employment Service/Wagner-Peyser Funded Activities			EOA	494,589	
17.207	Employment Service/Wagner-Peyser Funded Activities			GVA	1,092,757	
17.207	Employment Service/Wagner-Peyser Funded Activities			VSA	405,322	
	17.207 Subtotal				<u>13,680,389</u>	<u>-</u>
17.801	Disabled Veterans' Outreach Program (DVOP)			DEA	2,864,098	
17.804	Local Veterans' Employment Representative Program			DEA	1,539,117	
	Employment Service Cluster Subtotal				<u>18,083,604</u>	<u>-</u>
WIOA Cluster						
17.258	WIOA Adult Program			DCA	112,974	
17.258	WIOA Adult Program			DEA	11,600,084	11,600,084
17.258	WIOA Adult Program			GVA	2,643,528	1,971,061
	17.258 Subtotal				<u>14,356,586</u>	<u>13,571,145</u>
17.259	WIOA Youth Activities			DEA	17,441,720	17,255,342
17.259	WIOA Youth Activities			EOA	577,135	
	17.259 Subtotal				<u>18,018,855</u>	<u>17,255,342</u>
17.278	WIOA Dislocated Worker Formula Grants			DEA	23,813,916	20,247,067
17.278	WIOA Dislocated Worker Formula Grants			PEA	192,147	13,579
	17.278 Subtotal				<u>24,006,063</u>	<u>20,260,646</u>
	WIOA Cluster Subtotal				<u>56,381,504</u>	<u>51,087,133</u>

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CFDA/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
Other Department of Labor Programs						
17.002	Labor Force Statistics			EOA	921,056	
17.005	Compensation and Working Conditions			ICA	114,710	
17.225	Unemployment Insurance			DEA	267,339,499	
17.225	Unemployment Insurance			EOA	24,010	
	17.225 Subtotal				<u>267,363,509</u>	<u>-</u>
17.235	Senior Community Service Employment Program			DEA	1,056,920	1,020,017
17.245	Trade Adjustment Assistance			DEA	973,889	
17.271	Work Opportunity Tax Credit Program (WOTC)			DEA	261,822	
17.273	Temporary Labor Certification for Foreign Workers			DEA	285,341	
17.277	WIOA National Dislocated Worker Grants/ WIA National Emergency Grants			DEA	505,915	
17.281	WIOA Dislocated Worker National Reserve Technical Assistance and Training			DEA	198	
17.503	Occupational Safety and Health State Program			ICA	1,775,781	
17.504	Consultation Agreements			ICA	772,619	
17.600	Mine Health and Safety Grants			MIA	305,134	
	Total Department of Labor				<u>348,802,002</u>	<u>52,107,150</u>
DEPARTMENT OF STATE						
19.009	Academic Exchange Programs—Undergraduate Programs			ASA	38,859	
19.009	Academic Exchange Programs—Undergraduate Programs	Institute for Training and Development	SECAGD15CA1035	UAA	13,410	
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	194,958	
19.009	Academic Exchange Programs—Undergraduate Programs	University of Nebraska: Omaha	45-2402-1030-301, 45-2402-1030-301	ASA	151,808	
	19.009 Subtotal				<u>399,035</u>	<u>-</u>
19.010	Academic Exchange Programs—Hubert H. Humphrey Fellowship Program	Institute of International Education	IIE0138-ASU-01-10-2018, HHH1801_ASU_7.1.18, IIE0138 ASU 7.1.17	ASA	208,316	
19.011	Academic Exchange Programs—Special Academic Exchange Programs	American Institute of Maghrib Studies	LTR DTD 110101	UAA	50,548	
19.040	Public Diplomacy Programs			ASA	322,325	
19.040	Public Diplomacy Programs			UAA	11,748	
	19.040 Subtotal				<u>334,073</u>	<u>-</u>
19.300	Program for Study of Eastern Europe and the Independent States of the Former Soviet Union			ASA	285,586	
19.401	Academic Exchange Programs—Scholars	University of Montana	PG19-26935-01	ASA	55,620	
19.408	Academic Exchange Programs—Teachers	International Research and Exchanges Board (IREX)	FY19-FDAI-ASU-01, FY18-ILEP-ASU-01, FY18-ILEP-ASU-01	ASA	194,192	
19.415	Professional and Cultural Exchange Programs - Citizen Exchanges	Institute of International Education	SIIE1SUBR2017	UAA	13,988	
19.421	Academic Exchange Programs— English Language Programs	FHI 360	S-ECAGD-18-CA-0052	ASA	34,057	
19.501	Public Diplomacy Programs for Afghanistan and Pakistan			ASA	375,791	
19.750	Bureau of Western Hemisphere Affairs (WHA) Grant Programs (including Energy and Climate Partnership for the Americas)			ASA	609,218	98,500
19.AID-306-TO-15-00062	PROMOTE: Afghan Women's Leadership in the Economy (AWLE)	Development Alternatives, Inc.	1002611-15S-004	ASA	32,353	
19.SECAGD18CA1045M B	Study of the US Institute for Student Leaders on History and Government	Institute for Training and Development	LTR DTD 052319	UAA	68,124	
19.SECAGD18CA1045M B	The Study of the United States Institutes for Student Leaders on U.S. History and Government	Institute for Training and Development	LTR DTD 043018	UAA	347,292	
	Total Department of State				<u>3,008,193</u>	<u>98,500</u>
DEPARTMENT OF TRANSPORTATION						
Highway Planning and Construction Cluster						
20.205	Highway Planning and Construction			ADA	153,885	
20.205	Highway Planning and Construction			DTA	588,400,423	65,307,450
20.205	Highway Planning and Construction			GFA	200,402	
20.205	Highway Planning and Construction			PSA	1,079,624	
	20.205 Subtotal				<u>589,834,334</u>	<u>65,307,450</u>
20.219	Recreational Trails Program			DTA	1,644,113	
20.219	Recreational Trails Program			LDA	125,853	
20.219	Recreational Trails Program			PRA	1,683,438	915,302
	20.219 Subtotal				<u>3,453,404</u>	<u>915,302</u>
	Highway Planning and Construction Cluster Subtotal				<u>593,287,738</u>	<u>66,222,752</u>
Transit Services Program Cluster						
20.513	Enhanced Mobility of Seniors and Individuals with Disabilities			DTA	5,682,896	5,339,722
20.513	Enhanced Mobility of Seniors and Individuals with Disabilities			NAA	43,537	
20.513	Enhanced Mobility of Seniors and Individuals with Disabilities			UAA	44,090	
20.513	Enhanced Mobility of Seniors and Individuals with Disabilities	City of Phoenix	146992, 149467-0	NAA	68,199	
	20.513 Subtotal				<u>5,838,722</u>	<u>5,339,722</u>
	Transit Services Program Cluster Subtotal				<u>5,838,722</u>	<u>5,339,722</u>
Highway Safety Cluster						
20.600	State and Community Highway Safety			GHA	4,597,346	3,227,691
20.600	State and Community Highway Safety			LLA	145,984	
20.600	State and Community Highway Safety			NAA	28,139	
20.600	State and Community Highway Safety			PSA	367,243	
20.600	State and Community Highway Safety			SPA	24,955	
20.600	State and Community Highway Safety			UAA	12,477	
	20.600 Subtotal				<u>5,176,144</u>	<u>3,227,691</u>

State of Arizona
Schedule of expenditures of federal awards
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CFDA/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
20.616	National Priority Safety Programs			ASA	33,829	
20.616	National Priority Safety Programs			GHA	3,666,920	2,847,740
20.616	National Priority Safety Programs			NAA	22,307	
20.616	National Priority Safety Programs			PSA	190,808	
20.616	National Priority Safety Programs			SPA	49,617	
20.616	National Priority Safety Programs			UAA	30,020	
	20.616 Subtotal				<u>3,993,501</u>	<u>2,847,740</u>
	Highway Safety Cluster Subtotal				<u>9,169,645</u>	<u>6,075,431</u>
	<u>Other Department of Transportation Programs</u>					
20.106	Airport Improvement Program			DTA	1,151,343	
20.200	Highway Research and Development Program			DTA	181,391	5,322
20.215	Highway Training and Education			ASA	6,143	
20.215	Highway Training and Education			DTA	151,550	
	20.215 Subtotal				<u>157,693</u>	<u>-</u>
20.218	Motor Carrier Safety Assistance			DTA	319,200	
20.218	Motor Carrier Safety Assistance			PSA	8,453,333	
	20.218 Subtotal				<u>8,772,533</u>	<u>-</u>
20.237	Motor Carrier Safety Assistance High Priority Activities Grants and Cooperative Agreements			DTA	472,270	
20.237	Motor Carrier Safety Assistance High Priority Activities Grants and Cooperative Agreements			PSA	935,339	
	20.237 Subtotal				<u>1,407,609</u>	<u>-</u>
20.240	Fuel Tax Evasion-Intergovernmental Enforcement Effort			DTA	214,844	
20.505	Metropolitan Transportation Planning and State and Non-Metropolitan Planning and Research			DTA	3,574,910	3,524,016
20.509	Formula Grants for Rural Areas			DTA	19,033,039	16,407,819
20.528	Rail Fixed Guideway Public Transportation System State Safety Oversight Formula Grant Program			DTA	285,913	
20.614	National Highway Traffic Safety Administration (NHTSA) Discretionary Safety Grants and Cooperative Agreements			DTA	100,478	
20.614	National Highway Traffic Safety Administration (NHTSA) Discretionary Safety Grants and Cooperative Agreements			GHA	461,907	
	20.614 Subtotal				<u>562,385</u>	<u>-</u>
20.700	Pipeline Safety Program State Base Grant			CCA	578,003	
20.703	Interagency Hazardous Materials Public Sector Training and Planning Grants			EVA	143,793	143,793
20.703	Interagency Hazardous Materials Public Sector Training and Planning Grants			MAA	63,752	
	20.703 Subtotal				<u>207,545</u>	<u>143,793</u>
20.933	National Infrastructure Investments			DTA	12,191,856	
	Total Department of Transportation				<u>656,615,169</u>	<u>97,718,855</u>
	<u>DEPARTMENT OF THE TREASURY</u>					
21.2016054	MOU b/t US Border Patrol & AZDPS.			PSA	83,447	
21.PL113-76X1350	NFMC_RND10			HDA	5,700	5,700
21.S-ECAGD-19-CA-0046	Fulbright Pre-Departure Orientation 2019	Institute of International Education	AGR 5/16/2019	ASA	109	
	Total Department of the Treasury				<u>89,256</u>	<u>5,700</u>
	<u>EQUAL EMPLOYMENT OPPORTUNITY COMMISSION</u>					
30.001	Employment Discrimination Title VII of the Civil Rights Act of 1964			AGA	448,910	
	Total Equal Employment Opportunity Commission				<u>448,910</u>	<u>-</u>
	<u>GENERAL SERVICES ADMINISTRATION</u>					
39.003	Donation of Federal Surplus Personal Property			ADA	62,565	
	Total General Services Administration				<u>62,565</u>	<u>-</u>
	<u>NATIONAL AERONAUTICS AND SPACE ADMINISTRATION</u>					
43.001	Science			ASA	34,856	
43.001	Science	North Carolina State University	2016-3126-02	UAA	26,125	
43.001	Science	SETI Institute	SC-3177	UAA	86,276	
	43.001 Subtotal				<u>147,257</u>	<u>-</u>
43.002	Aeronautics			ASA	2,316,891	1,077,008
43. NNX16AC53A	National Aeronautics and Space Administration			NAA	596,039	190,479
43.Unknown	National Aeronautics and Space Administration			NAA	146,908	
	Total National Aeronautics and Space Administration				<u>3,207,095</u>	<u>1,267,487</u>
	<u>NATIONAL ENDOWMENT FOR THE ARTS</u>					
45.024	Promotion of the Arts Grants to Organizations and Individuals			UAA	35,935	
45.025	Promotion of the Arts Partnership Agreements			HUA	869,519	170,942
45.Unknown	NEA Challenge Grant Endowment			UAA	66,584	
	Total National Endowment for the Arts				<u>972,038</u>	<u>170,942</u>

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CFDA/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
<u>NATIONAL ENDOWMENT FOR THE HUMANITIES</u>						
45.129	Promotion of the Humanities Federal/State Partnership	Arizona Humanities Council	70762018, 70872019, 70882019	NAA	5,204	
45.129	Promotion of the Humanities Federal/State Partnership	Arizona Humanities Council	70672018, 70682018, 70772018	UAA	10,850	
	45.129 Subtotal				<u>16,054</u>	<u>-</u>
45.130	Promotion of the Humanities Challenge Grants			UAA	200,470	
45.149	Promotion of the Humanities Division of Preservation and Access			STA	159,920	11,799
45.149	Promotion of the Humanities Division of Preservation and Access			UAA	220,674	
	45.149 Subtotal				<u>380,594</u>	<u>11,799</u>
45.162	Promotion of the Humanities—Teaching and Learning Resources and Curriculum Development			ASA	7,843	
45.163	Promotion of the Humanities—Professional Development			UAA	44,765	
45.169	Promotion of the Humanities—Office of Digital Humanities			ASA	67,098	
45.Unknown	NEH/ASM Educational Endowment			UAA	381,783	
	Total National Endowment for the Humanities				<u>1,098,607</u>	<u>11,799</u>
<u>INSTITUTE OF MUSEUM AND LIBRARY SERVICES</u>						
45.301	Museums for America			UAA	124,283	
45.310	Grants to States			ASA	12,547	
45.310	Grants to States			NAA	32,649	
45.310	Grants to States			STA	3,459,374	808,517
	45.310 Subtotal				<u>3,504,570</u>	<u>808,517</u>
45.312	National Leadership Grants	Pacific Science Center Foundation	2016-1002E	UAA	6,743	
45.GS00F010CA	NLM Support for Knowledge River Library School Internship	ICF International, LLC	18EGPO0129/GS-00F-010CA	UAA	43,058	
	Total Institute of Museum and Library Services				<u>3,678,654</u>	<u>808,517</u>
<u>NATIONAL SCIENCE FOUNDATION</u>						
47.074	Biological Sciences			NAA	136,757	
47.076	Education and Human Resources			NAA	521,079	23,449
47.076	Education and Human Resources	San Francisco State University	S18-0002	NAA	57,688	
47.076	Education and Human Resources			UAA	318,096	
	47.076 Subtotal				<u>896,863</u>	<u>23,449</u>
47.079	Office of International Science and Engineering			NAA	22,278	
47.082	ARRA—Trans-NSF Recovery Act Research Support	ICF International, LLC	18EGPO0129/GS-00F-010CA	UAA	252,050	
	Total National Science Foundation				<u>1,307,948</u>	<u>23,449</u>
<u>SMALL BUSINESS ADMINISTRATION</u>						
59.061	State Trade Expansion			CAA	393,684	
	Total Small Business Administration				<u>393,684</u>	<u>-</u>
<u>DEPARTMENT OF VETERANS AFFAIRS</u>						
64.024	VA Homeless Providers Grant and Per Diem Program			VSA	82,926	
64.124	All-Volunteer Force Educational Assistance			VSA	386,769	
64.LTR DTD 010517	IPA for Terry Urbine			UAA	2,240	
	Total Department of Veterans Affairs				<u>471,935</u>	<u>-</u>
<u>ENVIRONMENTAL PROTECTION AGENCY</u>						
<u>Clean Water State Revolving Fund Cluster</u>						
66.458	Capitalization Grants for Clean Water State Revolving Funds			FAA	4,793,978	4,399,013
	Clean Water State Revolving Fund Cluster Subtotal				<u>4,793,978</u>	<u>4,399,013</u>
<u>Drinking Water State Revolving Fund Cluster</u>						
66.468	Capitalization Grants for Drinking Water State Revolving Funds			EVA	2,721,275	
66.468	Capitalization Grants for Drinking Water State Revolving Funds			FAA	10,001,280	6,309,734
	66.468 Subtotal				<u>12,722,555</u>	<u>6,309,734</u>
	Drinking Water State Revolving Fund Cluster Subtotal				<u>12,722,555</u>	<u>6,309,734</u>
<u>Other Environmental Protection Agency Programs</u>						
66.001	Air Pollution Control Program Support			EVA	392,390	390,392
66.032	State Indoor Radon Grants			HSA	77,911	
66.034	Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act			EVA	312,051	76,680
66.034	Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act			NAA	357,527	
	66.034 Subtotal				<u>669,578</u>	<u>76,680</u>
66.037	Internships, Training and Workshops for the Office of Air and Radiation			NAA	1,554,947	
66.419	Water Pollution Control State, Interstate, and Tribal Program Support			EVA	323,473	
66.440	Urban Waters Small Grants			ASA	1,180	
66.454	Water Quality Management Planning			EVA	79,374	79,374
66.460	Nonpoint Source Implementation Grants			EVA	582,155	563,758
66.460	Nonpoint Source Implementation Grants			GFA	105,111	

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66.460	Nonpoint Source Implementation Grants 66.460 Subtotal			UAA	676 <u>687,942</u>	<u>563,758</u>
66.509	Science To Achieve Results (STAR) Research Program			NAA	910	
66.509	Science To Achieve Results (STAR) Research Program 66.509 Subtotal	Yurok Tribe	3017	NAA	1,309 <u>2,219</u>	<u>-</u>
66.605	Performance Partnership Grants			AHA	530,160	
66.605	Performance Partnership Grants 66.605 Subtotal			EVA	9,284,285 <u>9,814,445</u>	<u>734,917</u> <u>734,917</u>
66.608	Environmental Information Exchange Network Grant Program and Related Assistance			EVA	121,375	45,105
66.608	Environmental Information Exchange Network Grant Program and Related Assistance 66.608 Subtotal			NAA	115,877 <u>237,252</u>	<u>45,105</u>
66.708	Pollution Prevention Grants Program			EVA	36,343	
66.801	Hazardous Waste Management State Program Support			EVA	29,264	
66.802	Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements			EVA	288,326	
66.804	Underground Storage Tank Prevention, Detection and Compliance Program			EVA	394,525	
66.805	Leaking Underground Storage Tank Trust Fund Corrective Action Program			EVA	784,197	
66.808	Solid Waste Management Assistance Grants			NAA	516,609	
66.813	Alternative or Innovative Treatment Technology Research, Demonstration, Training, and Hazardous Substance Research Grants			NAA	252,173	
66.817	State and Tribal Response Program Grants			EVA	632,397	278,428
66.931	International Financial Assistance Projects Sponsored by the Office of International and Tribal Affairs	North American Development Bank (NADB)	TAA17-022	ASA	65,515	
66.931	International Financial Assistance Projects Sponsored by the Office of International and Tribal Affairs 66.931 Subtotal	North American Development Bank (NADB)	TA17020X400T62701	UAA	26,866 <u>92,381</u>	<u>-</u>
66.951	Environmental Education Grants			ASA	1,895	1,250
66.Unknown	Environmental Protection Agency			NAA	217,529	
	Total Environmental Protection Agency				<u>34,602,883</u>	<u>12,878,651</u>
DEPARTMENT OF ENERGY						
81.041	State Energy Program			ADA	594,536	
81.042	Weatherization Assistance for Low-Income Persons			HDA	1,322,226	1,194,397
81.049	Office of Science Financial Assistance Program			NAA	274,420	
81.049	Office of Science Financial Assistance Program 81.049 Subtotal			UAA	1,124 <u>275,544</u>	<u>-</u>
81.AFC-7-004406	National Renewable Energy Laboratory			NAA	6,738	
81.AHQ-9-92092-07	National Renewable Energy Laboratory			NAA	7,810	
81.CRT 4000164500	UT Battelle LLC			NAA	46,040	
81.Unknown	Department of Energy	Utah Clean Energy	N/A	NAA	956	
	Total Department of Energy				<u>2,253,850</u>	<u>1,194,397</u>
DEPARTMENT OF EDUCATION						
Special Education Cluster (IDEA)						
84.027	Special Education—Grants to States			DCA	92,182	
84.027	Special Education—Grants to States			DJA	128,609	
84.027	Special Education—Grants to States			EDA	196,956,908	181,732,765
84.027	Special Education—Grants to States			NAA	393,512	
84.027	Special Education—Grants to States			SDA	506,991	
84.027	Special Education—Grants to States 84.027 Subtotal	Navajo Nation	C010643, C011771	NAA	631,468 <u>198,709,670</u>	<u>181,732,765</u>
84.173	Special Education—Preschool Grants Special Education Cluster (IDEA) Subtotal			EDA	4,443,101 <u>203,152,771</u>	<u>3,681,636</u> <u>185,414,401</u>
TRIO Cluster						
84.042	TRIO—Student Support Services			ASA	1,264,606	
84.042	TRIO—Student Support Services			NAA	347,636	
84.042	TRIO—Student Support Services 84.042 Subtotal			UAA	232,140 <u>1,844,382</u>	<u>-</u>
84.044	TRIO—Talent Search			ASA	225,911	
84.044	TRIO—Talent Search 84.044 Subtotal			NAA	455,529 <u>681,440</u>	<u>-</u>
84.047	TRIO—Upward Bound			ASA	334,151	
84.047	TRIO—Upward Bound			NAA	856,896	
84.047	TRIO—Upward Bound 84.047 Subtotal			UAA	306,389 <u>1,497,436</u>	<u>-</u>
84.066	TRIO—Educational Opportunity Centers TRIO Cluster Subtotal			NAA	387,354 <u>4,410,612</u>	<u>-</u>
Other Department of Education Programs						
84.002	Adult Education—Basic Grants to States			EDA	10,667,081	8,633,669
84.010	Title I Grants to Local Educational Agencies			EDA	335,255,418	331,964,314

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84.010	Title I Grants to Local Educational Agencies			SDA	400,320	
	84.010 Subtotal				<u>335,655,738</u>	<u>331,964,314</u>
84.011	Migrant Education State Grant Program			EDA	5,654,103	5,130,155
84.013	Title I State Agency Program for Neglected and Delinquent Children and Youth			DCA	959,895	
84.013	Title I State Agency Program for Neglected and Delinquent Children and Youth			DJA	280,969	
	84.013 Subtotal				<u>1,240,864</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	494,918	
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	University of California, Berkeley	20180726	UAA	18,552	
	84.015 Subtotal				<u>513,470</u>	<u>-</u>
84.016	Undergraduate International Studies and Foreign Language Programs			ASA	53,133	
84.016	Undergraduate International Studies and Foreign Language Programs			UAA	48,014	
	84.016 Subtotal				<u>101,147</u>	<u>-</u>
84.021	Overseas Programs - Group Projects Abroad			UAA	123,142	
84.031	Higher Education—Institutional Aid	Arizona Western College	PO31C160019	UAA	109,506	
84.048	Career and Technical Education—Basic Grants to States			DJA	92,418	
84.048	Career and Technical Education—Basic Grants to States			EDA	25,849,486	23,047,253
84.048	Career and Technical Education—Basic Grants to States			SDA	36,603	
84.048	Career and Technical Education—Basic Grants to States			UAA	55,411	
	84.048 Subtotal				<u>26,033,918</u>	<u>23,047,253</u>
84.126	Rehabilitation Services Vocational Rehabilitation Grants to States			DEA	77,998,287	
84.126	Rehabilitation Services Vocational Rehabilitation Grants to States			SDA	1,235	
	84.126 Subtotal				<u>77,999,522</u>	<u>-</u>
84.129	Rehabilitation Long-Term Training			UAA	309,654	
84.144	Migrant Education Coordination Program			EDA	44,104	
84.149	Migrant Education College Assistance Migrant Program			ASA	395,696	
84.169	Independent Living—State Grants			DEA	432,493	
84.177	Rehabilitation Services Independent Living Services for Older Individuals Who are Blind			DEA	919,982	
84.181	Special Education—Grants for Infants and Families			DEA	11,128,902	5,918,268
84.181	Special Education—Grants for Infants and Families			SDA	242,640	
	84.181 Subtotal				<u>11,371,542</u>	<u>5,918,268</u>
84.184	School Safety National Activities (formerly, Safe and Drug-Free Schools and Communities—National Programs)			EDA	1,208	
84.187	Supported Employment Services for Individuals with the Most Significant Disabilities			DEA	191,835	
84.196	Education for Homeless Children and Youth			EDA	1,241,648	996,303
84.206	Javits Gifted and Talented Students Education			EDA	97,114	
84.206	Javits Gifted and Talented Students Education	University of Hawaii	MA1370, MA1421	NAA	46,983	
	84.206 Subtotal				<u>144,097</u>	<u>-</u>
84.229	Language Resource Centers			UAA	66,426	
84.233	Drug Free Schools and Communities	Missouri Department of Elementary	n/a	NAA	611,630	171,805
84.250	Rehabilitation Services American Indians with Disabilities			NAA	830,564	
84.282	Charter Schools			EDA	6,634,413	6,313,467
84.287	Twenty-First Century Community Learning Centers			EDA	20,204,819	19,080,180
84.295	Ready-To-Learn Television	Corporation for Public Broadcasting (CPB)	34605-EDU	ASA	29,516	
84.299	Indian Education—Special Programs for Indian Children			NAA	346,177	
84.299	Indian Education—Special Programs for Indian Children			UAA	357,849	
	84.299 Subtotal				<u>704,026</u>	<u>-</u>
84.323	Special Education—State Personnel Development			EDA	770,479	538,728
84.323	Special Education—State Personnel Development			NAA	394,655	
84.323	Special Education—State Personnel Development	Missouri Department of Elementary		NAA	746,059	56,688
	84.323 Subtotal				<u>1,911,193</u>	<u>595,416</u>
84.325	Special Education—Personnel Development to Improve Services and Results for Children with Disabilities			ASA	257,992	
84.325	Special Education—Personnel Development to Improve Services and Results for Children with Disabilities			NAA	600,926	
84.325	Special Education—Personnel Development to Improve Services and Results for Children with Disabilities			UAA	257,499	
84.325	Special Education—Personnel Development to Improve Services and Results for Children with Disabilities	University of Florida	16-01-ED	EDA	17,453	
	84.325 Subtotal				<u>1,133,870</u>	<u>-</u>
84.326	Special Education Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities			SDA	159,195	
84.330	Advanced Placement Program (Advanced Placement Test Fee; Advanced Placement Incentive Program Grants)			EDA	111,176	
84.334	Gaining Early Awareness and Readiness for Undergraduate Programs			ASA	54,906	
84.334	Gaining Early Awareness and Readiness for Undergraduate Programs			NAA	3,541,792	2,246,090
84.334	Gaining Early Awareness and Readiness for Undergraduate Programs			UAA	61,661	
	84.334 Subtotal				<u>3,658,359</u>	<u>2,246,090</u>

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84.335	Child Care Access Means Parents in School			ASA	29,009	
84.336	Teacher Quality Partnership Grants			ASA	3,424,514	
84.358	Rural Education			EDA	1,397,423	1,397,319
84.365	English Language Acquisition State Grants			ASA	430,462	27,176
84.365	English Language Acquisition State Grants			EDA	12,657,114	12,140,722
84.365	English Language Acquisition State Grants			NAA	385,015	
	84.365 Subtotal				<u>13,472,591</u>	<u>12,167,898</u>
84.366	Mathematics and Science Partnerships			EDA	1,185,750	1,125,134
84.367	Supporting Effective Instruction State Grants (formerly Improving Teacher Quality State Grants)			ASA	127,765	105,098
84.367	Supporting Effective Instruction State Grants (formerly Improving Teacher Quality State Grants)			DCA	78,563	
84.367	Supporting Effective Instruction State Grants (formerly Improving Teacher Quality State Grants)			DJA	32,623	
84.367	Supporting Effective Instruction State Grants (formerly Improving Teacher Quality State Grants)			EDA	28,705,574	26,893,649
84.367	Supporting Effective Instruction State Grants (formerly Improving Teacher Quality State Grants)			NAA	62,813	30,457
84.367	Supporting Effective Instruction State Grants (formerly Improving Teacher Quality State Grants)			SDA	18,325	
84.367	Supporting Effective Instruction State Grants (formerly Improving Teacher Quality State Grants)			UAA	42,321	
84.367	Supporting Effective Instruction State Grants (formerly Improving Teacher Quality State Grants)	National Board for Teaching Standards	1606216	NAA	500	
84.367	Supporting Effective Instruction State Grants (formerly Improving Teacher Quality State Grants)	National Institute for Excellence in Teaching - TAP	AGR 02/11/14	ASA	595	
84.367	Supporting Effective Instruction State Grants (formerly Improving Teacher Quality State Grants)	National Writing Project	09-AZ04-SEED2016, 09-AZ04-SEED2017-ILI, 09-AZ04-SEED2017-CRWPPD	ASA	1,699	
	84.367 Subtotal				<u>29,070,778</u>	<u>27,029,204</u>
84.368	Competitive Grants for State Assessments (formerly Grants for Enhanced Assessment Instruments)			EDA	985,973	
84.369	Grants for State Assessments and Related Activities			EDA	9,721,813	
84.418	Promoting Readiness of Minors in Supplemental Security Income			EDA	680,253	
84.418	Promoting Readiness of Minors in Supplemental Security Income			UAA	633,452	
84.418	Promoting Readiness of Minors in Supplemental Security Income	State of Utah	146240	GVA	315,840	144,517
	84.418 Subtotal				<u>1,629,545</u>	<u>144,517</u>
84.419	Preschool Development Grants			CDA	4,304,044	4,208,093
84.419	Preschool Development Grants			EDA	17,211,348	15,591,754
	84.419 Subtotal				<u>21,515,392</u>	<u>19,799,847</u>
84.420	Performance Partnership Pilots for Disconnected Youth			ASA	257,626	48,419
84.424	Student Support and Academic Enrichment Program			EDA	12,283,951	11,901,298
84.424	Student Support and Academic Enrichment Program			SDA	18,446	
	84.424 Subtotal				<u>12,302,397</u>	<u>11,901,298</u>
84.HB 2695	Strengthening Geographic Literacy in Arizona Yr 2			ASA	40,456	
84.Unknown	Strengthening Geographic Literacy in Arizona			ASA	35,842	
	Total Department of Education				<u>811,838,429</u>	<u>663,124,957</u>
<u>MORRIS K. UDALL FOUNDATION</u>						
85.LTR DTD 040319	Udall Foundation Workplan 2019			UAA	43,501	
85.MKU07066	Udall Foundation Workplan 2018			UAA	292,538	
85.NNI001	Native Nations Institute for Leadership, Management, and Policy			UAA	786,506	
	Total Morris K. Udall Foundation				<u>1,122,545</u>	<u>-</u>
<u>NATIONAL ARCHIVES AND RECORDS ADMINISTRATION</u>						
89.003	National Historical Publications and Records Grants			STA	25,319	15,000
89.Unknown	Learning to Dig			UAA	4,000	
	Total National Archives and Records Administration				<u>29,319</u>	<u>15,000</u>
<u>ELECTION ASSISTANCE COMMISSION</u>						
90.401	Help America Vote Act Requirements Payments			STA	2,669,958	
	Total Election Assistance Commission				<u>2,669,958</u>	<u>-</u>
<u>DEPARTMENT OF HEALTH AND HUMAN SERVICES</u>						
<u>Aging Cluster</u>						
93.044	Special Programs for the Aging—Title III, Part B—Grants for Supportive Services and Senior Centers			DEA	11,248,634	11,131,706
93.045	Special Programs for the Aging—Title III, Part C—Nutrition Services			DEA	14,242,360	13,052,579
93.053	Nutrition Services Incentive Program			DEA	1,869,884	1,869,884
	Aging Cluster Subtotal				<u>27,360,878</u>	<u>26,054,169</u>

State of Arizona
Schedule of expenditures of federal awards
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CFDA/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
Health Center Program Cluster						
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	1,987	
	Health Center Program Cluster Subtotal				<u>1,987</u>	<u>-</u>
Maternal, Infant, and Early Childhood Home Visiting Cluster						
93.870	Maternal, Infant and Early Childhood Home Visiting Grant Program			CDA	1,274,502	1,274,502
93.870	Maternal, Infant and Early Childhood Home Visiting Grant Program			HSA	4,192,068	2,244,556
	93.870 Subtotal				<u>5,466,570</u>	<u>3,519,058</u>
	Maternal, Infant, and Early Childhood Home Visiting Cluster Subtotal				<u>5,466,570</u>	<u>3,519,058</u>
TANF Cluster						
93.558	Temporary Assistance for Needy Families			CHA	143,460,979	
93.558	Temporary Assistance for Needy Families			DEA	62,291,485	20,245,309
	93.558 Subtotal				<u>205,752,464</u>	<u>20,245,309</u>
	TANF Cluster Subtotal				<u>205,752,464</u>	<u>20,245,309</u>
CCDF Cluster						
93.575	Child Care and Development Block Grant			CDA	397,790	44,413
93.575	Child Care and Development Block Grant			CHA	34,864,775	
93.575	Child Care and Development Block Grant			DEA	89,261,975	3,021,265
93.575	Child Care and Development Block Grant			GVA	207,883	157,461
	93.575 Subtotal				<u>124,732,423</u>	<u>3,223,139</u>
93.596	Child Care Mandatory and Matching Funds of the Child Care and Development Fund			DEA	23,959,177	
	CCDF Cluster Subtotal				<u>148,691,600</u>	<u>3,223,139</u>
Medicaid Cluster						
93.775	State Medicaid Fraud Control Units			AGA	2,938,560	
93.777	State Survey and Certification of Health Care Providers and Suppliers (Title XVIII) Medicare			BNA	413,882	
93.777	State Survey and Certification of Health Care Providers and Suppliers (Title XVIII) Medicare			HSA	4,388,145	
	93.777 Subtotal				<u>4,802,027</u>	<u>-</u>
93.778	Medical Assistance Program			HCA	10,156,009,000	6,830,000
93.778	Medical Assistance Program	Community Partnership of Southern Arizona	L0901	UAA	22,050	
	93.778 Subtotal				<u>10,156,031,050</u>	<u>6,830,000</u>
	Medicaid Cluster Subtotal				<u>10,163,771,637</u>	<u>6,830,000</u>
Other Department of Health and Human Services Programs						
93.041	Special Programs for the Aging, Title VII, Chapter 3, Programs for Prevention of Elder Abuse, Neglect, and Exploitation			DEA	93,113	63,701
93.042	Special Programs for the Aging, Title VII, Chapter 2, Long Term Care Ombudsman Services for Older Individuals			DEA	437,310	409,459
93.043	Special Programs for the Aging, Title III, Part D, Disease Prevention and Health Promotion Services			DEA	630,958	630,958
93.048	Special Programs for the Aging, Title IV, and Title II, Discretionary Projects			DEA	309,349	172,040
93.052	National Family Caregiver Support, Title III, Part E			DEA	4,538,061	4,422,281
93.069	Public Health Emergency Preparedness			HSA	44,633	
93.070	Environmental Public Health and Emergency Response			HSA	1,069,635	171,000
93.071	Medicare Enrollment Assistance Program			DEA	420,741	420,451
93.072	Lifespan Respite Care Program			DEA	129,752	129,752
93.073	Birth Defects and Developmental Disabilities - Prevention and Surveillance			HSA	332,213	55,670
93.074	Hospital Preparedness Program (HPP) and Public Health Emergency Preparedness (PHEP) Aligned Cooperative Agreements			HSA	15,089,663	8,949,968
93.074	Hospital Preparedness Program (HPP) and Public Health Emergency Preparedness (PHEP) Aligned Cooperative Agreements			MAA	1,824	
	93.074 Subtotal				<u>15,091,487</u>	<u>8,949,968</u>
93.079	Cooperative Agreements to Promote Adolescent Health through School-Based HIV/STD Prevention and School-Based Surveillance			EDA	20,544	
93.079	Cooperative Agreements to Promote Adolescent Health through School-Based HIV/STD Prevention and School-Based Surveillance			HSA	81,337	
	93.079 Subtotal				<u>101,881</u>	<u>-</u>
93.092	Affordable Care Act (ACA) Personal Responsibility Education Program			HSA	1,051,214	892,548
93.092	Affordable Care Act (ACA) Personal Responsibility Education Program			UAA	47,004	
	93.092 Subtotal				<u>1,098,218</u>	<u>892,548</u>
93.103	Food and Drug Administration Research			AHA	857,177	
93.103	Food and Drug Administration Research			HSA	186,148	
	93.103 Subtotal				<u>1,043,325</u>	<u>-</u>
93.107	Area Health Education Centers			UAA	540,064	409,007
93.110	Maternal and Child Health Federal Consolidated Programs			ASA	11,094	
93.110	Maternal and Child Health Federal Consolidated Programs			HSA	96,942	
93.110	Maternal and Child Health Federal Consolidated Programs			NAA	261,986	
93.110	Maternal and Child Health Federal Consolidated Programs			UAA	1,000,100	35,552
93.110	Maternal and Child Health Federal Consolidated Programs	Oregon Health and Science University	1010559_UAZ	UAA	34,250	
93.110	Maternal and Child Health Federal Consolidated Programs	University of Colorado: Denver	FY16.368.016	HSA	56,106	
	93.110 Subtotal				<u>1,460,478</u>	<u>35,552</u>

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CFDA/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients	
93.113	Environmental Health			NAA	19,895		
93.116	Project Grants and Cooperative Agreements for Tuberculosis Control Programs			HSA	1,485,086	769,061	
93.124	Nurse Anesthetist Traineeships			UAA	37,907		
93.127	Emergency Medical Services for Children			HSA	120,557	25,000	
93.129	Technical and Non-Financial Assistance to Health Centers	National Association of Community Health Centers (NACHC)	325-02	ASA	38,192		
93.130	Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices			HSA	197,858		
93.134	Grants to Increase Organ Donations			UAA	3,059,581	2,982,474	
93.136	Injury Prevention and Control Research and State and Community Based Programs			ASA	345,421		
93.136	Injury Prevention and Control Research and State and Community Based Programs			HSA	3,039,706	1,565,589	
93.136	Injury Prevention and Control Research and State and Community Based Programs			PMA	251,383		
93.136	Injury Prevention and Control Research and State and Community Based Programs			UAA	106,297		
	93.136 Subtotal				<u>3,742,807</u>	<u>1,565,589</u>	
93.145	HIV-Related Training and Technical Assistance	University of California: San Francisco	9054sc	UAA	176,545		
93.150	Projects for Assistance in Transition from Homelessness (PATH)			HCA	1,276,000	1,218,000	
93.161	Health Program for Toxic Substances and Disease Registry			HSA	258		
93.165	Grants to States for Loan Repayment Program			HSA	611,349		
93.178	Nursing Workforce Diversity			UAA	502,967		
93.197	Childhood Lead Poisoning Prevention Projects, State and Local Childhood Lead Poisoning Prevention and Surveillance of Blood Lead Levels in Children			HSA	201,232	10,000	
93.211	Telehealth Programs			UAA	338,419	49,163	
93.217	Family Planning Services			HSA	87,945		
93.235	Title V State Sexual Risk Avoidance Education (Title V State SRAE) Program			HSA	1,734,894	1,559,465	
93.236	Grants to States to Support Oral Health Workforce Activities			HSA	228,206	31,278	
93.236	Grants to States to Support Oral Health Workforce Activities			UAA	55,722		
	93.236 Subtotal				<u>283,928</u>	<u>31,278</u>	
93.237	Special Diabetes Program for Indians_Diabetes Prevention and Treatment Projects			UAA	4,987		
93.237	Special Diabetes Program for Indians Diabetes Prevention and Treatment Projects	Hualapai Tribe		18.009	NAA	47,470	6,487
	93.237 Subtotal				<u>52,457</u>	<u>6,487</u>	
93.240	State Capacity Building			HSA	882		
93.241	State Rural Hospital Flexibility Program			UAA	691,840		
93.243	Substance Abuse and Mental Health Services Projects of Regional and National Significance			EDA	245,906	98,437	
93.243	Substance Abuse and Mental Health Services Projects of Regional and National Significance			GVA	485,518	269,934	
93.243	Substance Abuse and Mental Health Services Projects of Regional and National Significance			HCA	2,426,000	1,463,000	
93.243	Substance Abuse and Mental Health Services Projects of Regional and National Significance			HSA	321,711		
93.243	Substance Abuse and Mental Health Services Projects of Regional and National Significance			UAA	1,106,056	358,600	
93.243	Substance Abuse and Mental Health Services Projects of Regional and National Significance			VSA	304,318		
93.243	Substance Abuse and Mental Health Services_Projects of Regional and National Significance	Caring Health Center, Inc.	483781	UAA	9,462		
93.243	Substance Abuse and Mental Health Services_Projects of Regional and National Significance	Cenpatco Integrated Care	AZDHS15085891	UAA	77,587		
93.243	Substance Abuse and Mental Health Services Projects of Regional and National Significance	Havasupai Tribe	1H795SM063477-01	NAA	68,910		
93.243	Substance Abuse and Mental Health Services Projects of Regional and National Significance	Old Pueblo Community Foundation	1H79TI080589-ASU	ASA	18,697		
	93.243 Subtotal				<u>5,064,165</u>	<u>2,189,971</u>	
93.247	Advanced Nursing Education Grant Program			UAA	797,300		
93.253	Poison Center Support and Enhancement Grant Program			UAA	142,096		
93.268	Immunization Cooperative Agreements			HSA	103,122,062	861,950	
93.270	Viral Hepatitis Prevention and Control			HSA	186,734	105,182	
93.283	Centers for Disease Control and Prevention Investigations and Technical Assistance			HSA	159,160		
93.283	Centers for Disease Control and Prevention Investigations and Technical Assistance			UAA	29,544		
93.283	Centers for Disease Control and Prevention Investigations and Technical Assistance	Association of Schools and Programs of Public Health	S5066	UAA	10,500		
	93.283 Subtotal				<u>199,204</u>	<u>-</u>	
93.296	State Partnership Grant Program to Improve Minority Health			HSA	102,985	27,500	
93.301	Small Rural Hospital Improvement Grant Program			UAA	115,562	81,118	
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	789,049	407,936	
93.314	Early Hearing Detection and Intervention Information System (EHDI-IS) Surveillance Program			HSA	79,770	1,105	
93.323	Epidemiology and Laboratory Capacity for Infectious Diseases (ELC)			HSA	3,669,487	263,250	
93.323	Epidemiology and Laboratory Capacity for Infectious Diseases (ELC)			UAA	82,335		
	93.323 Subtotal				<u>3,751,822</u>	<u>263,250</u>	

State of Arizona
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CFDA/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
93.324	State Health Insurance Assistance Program			DEA	802,927	641,112
93.332	Cooperative Agreement to Support Navigators in Federally-facilitated Exchanges			UAA	83,365	
93.336	Behavioral Risk Factor Surveillance System			HSA	46,639	
93.354	Public Health Emergency Response: Cooperative Agreement for Emergency Response: Public Health Crisis Response			HSA	3,271,776	2,254,225
93.367	Flexible Funding Model—Infrastructure Development and Maintenance for State Manufactured Food Regulatory Programs			HSA	159,557	
93.391	Activities to Support State, Tribal, Local and Territorial Health Department Response to Public Health and Healthcare Crises			NAA	107,676	
93.426	Improving the Health of Americans through Prevention and Management of Diabetes and Heart Disease and Stroke			HSA	463,115	6,208
93.426	Improving the Health of Americans through Prevention and Management of Diabetes and Heart Disease and Stroke			UAA	63,033	
	93.426 Subtotal				<u>526,148</u>	<u>6,208</u>
93.434	Every Student Succeeds Act/Preschool Development Grants			EDA	47,385	
93.448	Food Safety and Security Monitoring Project			HSA	281,432	
93.464	ACL Assistive Technology			NAA	627,441	
93.500	Pregnancy Assistance Fund Program			GVA	274,937	241,519
93.511	Affordable Care Act (ACA) Grants to States for Health Insurance Premium Review			IDA	215,454	
93.516	Public Health Training Centers Program			UAA	941,962	365,198
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	140,098	
93.539	PPHF Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance financed in part by Prevention and Public Health Funds			HSA	4,268,455	3,279,937
93.556	Promoting Safe and Stable Families			CHA	6,025,121	
93.563	Child Support Enforcement			DEA	46,938,675	5,159,609
93.563	Child Support Enforcement			SPA	6,495	
	93.563 Subtotal				<u>46,945,170</u>	<u>5,159,609</u>
93.566	Refugee and Entrant Assistance State/Replacement Designee Administered Programs			DEA	7,371,965	5,849,277
93.568	Low-Income Home Energy Assistance			DEA	21,306,101	20,720,217
93.568	Low-Income Home Energy Assistance			HDA	4,521,823	4,417,209
	93.568 Subtotal				<u>25,827,924</u>	<u>25,137,426</u>
93.569	Community Services Block Grant			DEA	5,428,165	5,095,975
93.576	Refugee and Entrant Assistance Discretionary Grants			DEA	237,558	237,558
93.584	Refugee and Entrant Assistance Targeted Assistance Grants			DEA	491,858	491,858
93.586	State Court Improvement Program			SPA	672,267	123,293
93.590	Community-Based Child Abuse Prevention Grants			CHA	825,142	
93.592	Family Violence Prevention and Services/Discretionary Grants to States for Access and Visitation Programs	Battered Womens Justice Project	OC2017-03	NAA	37,175	
93.597	Grants to States for Access and Visitation Programs			DEA	231,109	224,131
93.599	Chafee Education and Training Vouchers Program (ETV)			CHA	1,955,467	
93.600	Head Start			EDA	188,333	82,000
93.600	Head Start	Navajo Nation - Division of Dine Education	CO10328, CO12149	ASA	39,602	
	93.600 Subtotal				<u>227,935</u>	<u>82,000</u>
93.602	Assets for Independence Demonstration Program			ASA	496,525	
93.602	Assets for Independence Demonstration Program			NAA	442,250	11,250
93.602	Assets for Independence Demonstration Program			UAA	1,080,679	
	93.602 Subtotal				<u>2,019,454</u>	<u>11,250</u>
93.603	Adoption and Legal Guardianship Incentive Payments			CHA	6,700,150	
93.627	Affordable Care Act: Testing Experience and Functional Assessment Tools			HCA	89,000	
93.630	Developmental Disabilities Basic Support and Advocacy Grants			DEA	1,078,634	
93.630	Developmental Disabilities Basic Support and Advocacy Grants			NAA	19,054	
	93.630 Subtotal				<u>1,097,688</u>	<u>-</u>
93.632	University Centers for Excellence in Developmental Disabilities Education, Research, and Service			NAA	503,631	63,379
93.643	Children's Justice Grants to States			GVA	378,424	223,645
93.645	Stephanie Tubbs Jones Child Welfare Services Program			CHA	5,813,118	
93.648	Child Welfare Research Training or Demonstration	State University of New York: Research Foundation	1128024-20-72851, 1128024-20-72851, 1128024-20-72851	ASA	125,111	
93.658	Foster Care Title IV-E			CHA	144,676,621	
93.658	Foster Care Title IV-E			SPA	1,112,422	602,717
	93.658 Subtotal				<u>145,789,043</u>	<u>602,717</u>
93.659	Adoption Assistance			CHA	155,890,171	
93.667	Social Services Block Grant			CHA	19,069,095	
93.667	Social Services Block Grant			DEA	18,109,454	11,484,713
	93.667 Subtotal				<u>37,178,549</u>	<u>11,484,713</u>
93.669	Child Abuse and Neglect State Grants			CHA	238,496	
93.671	Family Violence Prevention and Services/Domestic Violence Shelter and Supportive Services			HSA	1,998,147	1,929,539

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CFDA/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
93.674	John H. Chafee Foster Care Program for Successful Transition to Adulthood			CHA	4,811,632	
93.704	Trans-NIH Recovery Act Loan Repayment Support	Pima County Health Department	CT-HD-18-512	UAA	41,767	
93.733	Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance—financed in part by the Prevention and Public Health Fund (PPHF)			HSA	3,390	
93.735	State Public Health Approaches for Ensuring Quitline Capacity—Funded in part by Prevention and Public Health Funds (PPHF)			HSA	44,675	
93.735	State Public Health Approaches for Ensuring Quitline Capacity—Funded in part by Prevention and Public Health Funds (PPHF)			UAA	207,126	
	93.735 Subtotal				<u>251,801</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	59,163	
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	39,120	
	93.738 Subtotal				<u>98,283</u>	<u>-</u>
93.745	PPHF: Health Care Surveillance/Health Statistics – Surveillance Program Announcement: Behavioral Risk Factor Surveillance System			HSA	143,248	
93.747	Financed in Part by Prevention and Public Health Fund					
93.747	Elder Abuse Prevention Interventions Program			DEA	256,439	
93.753	Child Lead Poisoning Prevention Surveillance financed in part by Prevention and Public Health (PPHF) Program			HSA	60,690	
93.757	State and Local Public Health Actions to Prevent Obesity, Diabetes, Heart Disease and Stroke (PPHF)			HSA	596,517	385,008
93.757	State and Local Public Health Actions to Prevent Obesity, Diabetes, Heart Disease and Stroke (PPHF)			UAA	11,691	6,506
	93.757 Subtotal				<u>608,208</u>	<u>391,514</u>
93.758	Preventive Health and Health Services Block Grant funded solely with Prevention and Public Health Funds (PPHF)			HSA	1,141,691	802,858
93.767	Children's Health Insurance Program			HCA	241,714,000	
93.767	Children's Health Insurance Program			HSA	288,741	
	93.767 Subtotal				<u>242,002,741</u>	<u>-</u>
93.779	Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations	Honor Health Scottsdale Osborn Medical Center	N/A	NAA	43,111	
93.788	Opioid STR			ASA	816,942	
93.788	Opioid STR			CHA	305,703	
93.788	Opioid STR			DCA	10,528	
93.788	Opioid STR			GVA	981,414	740,775
93.788	Opioid STR			HCA	9,648,000	5,914,000
93.788	Opioid STR			HSA	1,989,601	318,120
93.788	Opioid STR			NAA	285,191	
93.788	Opioid STR			UAA	237,668	
93.788	Opioid STR			VSA	27,210	
	93.788 Subtotal				<u>14,302,257</u>	<u>6,972,895</u>
93.796	State Survey Certification of Health Care Providers and Suppliers (Title XIX) Medicaid			HSA	698,573	
93.815	Domestic Ebola Supplement to the Epidemiology and Laboratory Capacity for Infectious Diseases (ELC)			HSA	90,115	
93.817	Hospital Preparedness Program (HPP) Ebola Preparedness and Response Activities			HSA	291,043	291,043
93.817	Hospital Preparedness Program (HPP) Ebola Preparedness and Response Activities			UAA	6,827	
	93.817 Subtotal				<u>297,870</u>	<u>291,043</u>
93.822	Health Careers Opportunity Program			NAA	289,140	
93.822	Health Careers Opportunity Program			UAA	252,617	43,524
	93.822 Subtotal				<u>541,757</u>	<u>43,524</u>
93.898	Cancer Prevention and Control Programs for State, Territorial and Tribal Organizations			HSA	3,247,991	2,080,506
93.912	Rural Health Care Services Outreach, Rural Health Network Development and Small Health Care Provider Quality Improvement Program	Rio Rico Fire District	LTR DTD 082415	UAA	4,886	
93.913	Grants to States for Operation of Offices of Rural Health			UAA	192,763	
93.917	HIV Care Formula Grants			HSA	31,440,341	14,960,366
93.917	HIV Care Formula Grants			UAA	396,375	
	93.917 Subtotal				<u>31,836,716</u>	<u>14,960,366</u>
93.918	Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease			UAA	830,746	
93.940	HIV Prevention Activities Health Department Based			HSA	5,138,328	3,231,313
93.940	HIV Prevention Activities Health Department Based			UAA	173,089	
	93.940 Subtotal				<u>5,311,417</u>	<u>3,231,313</u>
93.945	Assistance Programs for Chronic Disease Prevention and Control			HSA	135,895	90,313
93.945	Assistance Programs for Chronic Disease Prevention and Control			UAA	14,617	
	93.945 Subtotal				<u>150,512</u>	<u>90,313</u>

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CFDA/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
93.946	Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs			HSA	231,815	10,173
93.958	Block Grants for Community Mental Health Services			HCA	17,377,000	16,928,000
93.959	Block Grants for Prevention and Treatment of Substance Abuse			GVA	3,418,218	2,557,426
93.959	Block Grants for Prevention and Treatment of Substance Abuse			HCA	39,989,000	34,388,000
93.959	Block Grants for Prevention and Treatment of Substance Abuse			HSA	52,415	
93.959	Block Grants for Prevention and Treatment of Substance Abuse			LLA	132,636	
	93.959 Subtotal				<u>43,592,269</u>	<u>36,945,426</u>
93.969	PPHF Geriatric Education Centers			UAA	923,100	198,729
93.970	Health Professions Recruitment Program for Indians			UAA	180,108	
93.977	Sexually Transmitted Diseases (STD) Prevention and Control Grants			HSA	1,460,122	811,388
93.981	Improving Student Health and Academic Achievement through Nutrition, Physical Activity and the Management of Chronic Conditions in Schools			EDA	183,031	
93.981	Improving Student Health and Academic Achievement through Nutrition, Physical Activity and the Management of Chronic Conditions in Schools			HSA	7,332	
	93.981 Subtotal				<u>190,363</u>	<u>-</u>
93.991	Preventive Health and Health Services Block Grant			ASA	198,833	
93.991	Preventive Health and Health Services Block Grant			HSA	893,900	537,945
	93.991 Subtotal				<u>1,092,733</u>	<u>537,945</u>
93.994	Maternal and Child Health Services Block Grant to the States			HSA	8,075,057	3,752,171
93.994	Maternal and Child Health Services Block Grant to the States			UAA	13,811	
	93.994 Subtotal				<u>8,088,868</u>	<u>3,752,171</u>
93.AGR 12/18/12	Graduate Nurse Education Demonstration Project	Scottsdale Healthcare	AGR 12/18/12	ASA	40,676	
93.AGREEMENT	LifeSTEP Program - Banner	Banner University Health Plans	Agreement Signed 07/20/2018	UAA	5,590	
SIGNED 07/20/2018						
93.CRT	Center for Disease Control & Prevention			NAA	88,543	
75D30118C00594						
93.CRT	Center for Disease Control & Prevention			NAA	84,769	
75D30118C00607						
93.CRT	National Institutes of Health			NAA	10,341	
75N95019P00313						
93.D04RH23596	Vivir Mejor! Diabetes System of Prevention and Care	Mariposa Community Health Center	LTR DTD 080912	UAA	20,082	
93.HS632001	Strategic Prevention Framework - Partnerships for Success			UAA	67,479	
93.LTR DTD 080618	Sexual Violence Education Project			UAA	10,000	
93.Unknown	Improving Disability Communications	Arizona Developmental Disabilities Planning Council (ADDPC)	ADDPC-0212-18-2018/Year 1, ADDPC-0212-18-2018/Year 1	ASA	25,190	7,500
93.Unknown	Collaboration to Enhance APRN Student Preparation for Managing Complex Care Patie	HonorHealth	FP00017035	ASA	5,421	
93.Unknown	Border Health Improvement Initiative			UAA	6,398	
93.Unknown	Indian Health Service			NAA	88,842	
93.Unknown	National Institutes of Health			NAA	30,230	
93.Unknown	Advanced Practice Nurses for a Healthy Arizona	HonorHealth	LTR DTD 121812	UAA	297,599	
93.Unknown	LifeSTEP FY2019 - UnitedHealthcare Insurance Company	United Healthcare of Arizona, Incorporated	LTR DTD 020717	UAA	5,590	
93.Unknown	NLM Support for Knowledge River Library School Internships	Center for Public Service Communications, LLC.	2017-41	UAA	11,319	
	Total Department of Health and Human Services				<u>11,554,193,843</u>	<u>240,348,824</u>
	<u>CORPORATION FOR NATIONAL AND COMMUNITY SERVICE</u>					
	<u>Foster Grandparents/Senior Companion Cluster</u>					
94.011	Foster Grandparent Program			NAA	677,244	
94.016	Senior Companion Program			NAA	582,150	
	Foster Grandparents/Senior Companion Cluster Subtotal				<u>1,259,394</u>	<u>-</u>
	<u>Other Corporation for National and Community Service Programs</u>					
94.002	Retired and Senior Volunteer Program			NAA	197,084	
94.003	State Commissions	Corporation for National and Community Service	13CAHAZ001	GVA	335,279	
94.006	AmeriCorps			ASA	573,910	46,782
94.006	AmeriCorps			DCA	14,707	
94.006	AmeriCorps			GVA	2,212,849	2,212,849
94.006	AmeriCorps			NAA	473,276	
94.006	AmeriCorps			SPA	129,735	111,660
94.006	AmeriCorps			UAA	478,955	
94.006	AmeriCorps	Public Allies	OP007-94.006-15-PAAZ, OP007-94.006-16-PAAZ, OP007-94.006-17-PAAZ, OP007-94.006-18-PAAZ	ASA	314,707	
	94.006 Subtotal				<u>4,198,139</u>	<u>2,371,291</u>
94.009	Training and Technical Assistance			GVA	65,406	1,130
94.009	Training and Technical Assistance			UAA	284,397	
	94.009 Subtotal				<u>349,803</u>	<u>1,130</u>
94.021	Volunteer Generation Fund			GVA	54,679	53,500
94.021	Volunteer Generation Fund			NAA	14,207	
	94.021 Subtotal				<u>68,886</u>	<u>53,500</u>
	Total Corporation for National and Community Service				<u>6,408,585</u>	<u>2,425,921</u>

State of Arizona
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CFDA/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
EXECUTIVE OFFICE OF THE PRESIDENT						
95.001	High Intensity Drug Trafficking Areas Program			AGA	607,870	
95.001	High Intensity Drug Trafficking Areas Program			PSA	576,586	
95.001	High Intensity Drug Trafficking Areas Program	City of Tucson, Arizona	HT-14	UAA	1,142	
	95.001 Subtotal				<u>1,185,598</u>	<u>-</u>
	Total Executive Office of the President				<u>1,185,598</u>	<u>-</u>
SOCIAL SECURITY ADMINISTRATION						
Disability Insurance/SSI Cluster						
96.001	Social Security—Disability Insurance			DEA	36,747,253	
	Disability Insurance/SSI Cluster Subtotal				<u>36,747,253</u>	<u>-</u>
	Total Social Security Administration				<u>36,747,253</u>	<u>-</u>
DEPARTMENT OF HOMELAND SECURITY						
97.008	Non-Profit Security Program			HLA	511,805	511,805
97.012	Boating Safety Financial Assistance			GFA	1,411,931	
97.023	Community Assistance Program State Support Services Element (CAP-SSSE)			WCA	288,096	
97.036	Disaster Grants—Public Assistance (Presidentially Declared Disasters)			MAA	389,604	389,604
97.039	Hazard Mitigation Grant			FOA	268,240	97,237
97.041	National Dam Safety Program			WCA	110,884	
97.042	Emergency Management Performance Grants			AHA	101,041	
97.042	Emergency Management Performance Grants			ASA	24,841	
97.042	Emergency Management Performance Grants			MAA	6,634,406	3,562,222
	97.042 Subtotal				<u>6,760,288</u>	<u>3,562,222</u>
97.045	Cooperating Technical Partners			WCA	72,006	
97.047	Pre-Disaster Mitigation			MAA	428,919	380,372
97.067	Homeland Security Grant Program			HLA	17,100,636	15,411,169
97.067	Homeland Security Grant Program			MAA	379,020	161,402
97.067	Homeland Security Grant Program			PSA	2,251,248	
	97.067 Subtotal				<u>19,730,904</u>	<u>15,572,571</u>
97.082	Earthquake Consortium			UAA	42,510	
	Total Department of Homeland Security				<u>30,015,187</u>	<u>20,513,811</u>
AGENCY FOR INTERNATIONAL DEVELOPMENT						
98.001	USAID Foreign Assistance for Programs Overseas			ASA	1,471,718	234,826
98.001	USAID Foreign Assistance for Programs Overseas	Center for International Forestry Research	N/A	NAA	39,456	
98.001	USAID Foreign Assistance for Programs Overseas	Creative Associates International	CN70503-SVPA-002	ASA	174,609	
98.001	USAID Foreign Assistance for Programs Overseas	International Executive Service Corps (IESC)	175023	ASA	300,176	
98.001	USAID Foreign Assistance for Programs Overseas	World Learning, Inc.	S02- AID-167-A-14-00002, S02- A	ASA	110,066	
	98.001 Subtotal				<u>2,096,025</u>	<u>234,826</u>
98.012	USAID Development Partnerships for University Cooperation and Development			ASA	34,989	
98.012	USAID Development Partnerships for University Cooperation and Development	National Opinion Research Center (NORC)	8361, 8361	ASA	100,422	
	98.012 Subtotal				<u>135,411</u>	<u>-</u>
98.AID-306-TO-15-0073/ADI-306-I-14-00013	ASU Thunderbird School: PROMOTE: Musharikat (Civil Society)	Development Alternatives, Inc.	1002661-18-29793-00	ASA	209,768	
98.AID-522-TO-16-00007	Honduras Justice Human Rights and Security Strengthening (JHRSS)	Development Alternatives, Inc.	1002979-17S-27430-00	ASA	136,797	
	Total Agency for International Development				<u>2,578,001</u>	<u>234,826</u>
STUDENT FINANCIAL ASSISTANCE CLUSTER						
Department of Education						
84.007	Federal Supplemental Educational Opportunity Grants			ASA	5,312,210	
84.007	Federal Supplemental Educational Opportunity Grants			NAA	912,610	
84.007	Federal Supplemental Educational Opportunity Grants			UAA	1,650,267	
	84.007 Subtotal				<u>7,875,087</u>	<u>-</u>
84.033	Federal Work—Study Program			ASA	4,987,496	
84.033	Federal Work—Study Program			NAA	1,122,577	
84.033	Federal Work—Study Program			UAA	3,200,845	
	84.033 Subtotal				<u>9,310,918</u>	<u>-</u>
84.038	Federal Perkins Loan Program— Federal Capital Contributions			ASA	8,436,409	
84.038	Federal Perkins Loan Program— Federal Capital Contributions			NAA	6,547,055	
84.038	Federal Perkins Loan Program— Federal Capital Contributions			UAA	10,176,769	
	84.038 Subtotal				<u>25,160,233</u>	<u>-</u>
84.063	Federal Pell Grant Program			ASA	155,635,062	
84.063	Federal Pell Grant Program			NAA	43,299,470	
84.063	Federal Pell Grant Program			UAA	50,938,481	
	84.063 Subtotal				<u>249,873,013</u>	<u>-</u>

State of Arizona
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CFDA/Identifying Number	Federal Grantor/Program Title/Cluster Title	Pass-Through Grantor	Pass-Through Grantor Identifying Number	Grantee (Appendix)	Expenditures	Provided to Subrecipients
84.268	Federal Direct Student Loans			ASA	653,847,598	
84.268	Federal Direct Student Loans			NAA	162,522,449	
84.268	Federal Direct Student Loans			UAA	253,035,066	
	84.268 Subtotal				1,069,405,113	-
84.379	Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)			ASA	2,089,172	
84.379	Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)			NAA	1,872,414	
84.379	Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)			UAA	105,162	
	84.379 Subtotal				4,066,748	-
84.408	Postsecondary Education Scholarships for Veteran's Dependents			UAA	5,529	
	Department of Education Subtotal				1,365,696,641	-
Department of Health and Human Services						
93.264	Nurse Faculty Loan Program (NFLP)			ASA	751,107	
93.264	Nurse Faculty Loan Program (NFLP)			UAA	6,704,741	
	93.264 Subtotal				7,455,848	-
93.342	Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students			UAA	4,825,160	
93.364	Nursing Student Loans			NAA	475,250	
93.364	Nursing Student Loans			UAA	303,728	
	93.364 Subtotal				778,978	-
93.408	ARRA-Nurse Faculty Loan Program			UAA	198,720	
93.925	Scholarships for Health Professions Students from Disadvantaged Backgrounds			NAA	630,000	
	Department of Health and Human Services Subtotal				13,888,706	-
	Total Student Financial Assistance Cluster				1,379,585,347	-
RESEARCH AND DEVELOPMENT CLUSTER						
Department of Agriculture						
10.RD	Agricultural Research Service			ASA	107,910	
10.RD	Agricultural Research Service			UAA	1,975,543	
10.RD	Department of Agriculture			ASA	335,782	
10.RD	Department of Agriculture			NAA	81,382	766
10.RD	Department of Agriculture			UAA	10,302,481	1,476,966
10.RD	Forest Service			ASA	59,898	
10.RD	Forest Service			NAA	2,669,959	93,233
10.RD	Forest Service			UAA	196,425	
10.RD	National Institute of Food and Agriculture			ASA	1,269,254	165,887
10.RD	National Institute of Food and Agriculture			NAA	546,748	
10.RD	Natural Resource Conservation Services			NAA	72,407	
10.RD	Natural Resources Conservation Service			UAA	229,403	
10.RD		Arizona Department of Agriculture	SCBGP-FB16-07	ASA	17,945	
10.RD		Arizona Department of Agriculture	15-8100-0394-MU, HUALX2461700, LTR DTD 050416, SCBGP-FB15-28, SCBGP-FB16-01, SCBGP-FB16-03, SCBGP-FB16-12, SCBGP-FB16-18/16SCBGP0037, SCBGP-FB16-21, SCBGP-FB16-30, SCBGP-FB16-37/16SCBGP0037, SCBGP-FB17-03, SCBGP-FB17-07, SCBGP-FB17-11, SCBGP-FB17-19, SCBGP-FB17-25, SCBGP-FB17-28, SCBGP-FB17-29, 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	UAA	1,001,508	
10.RD		Arizona State Forestry Division & Fire Management	ALP17-931 ALP16-931	NAA	69,110	
10.RD		Arizona State Forestry Division & Fire Management	CCG 17-101/17DG-11031600-07, CCG 18-101	UAA	21,736	
10.RD		Arizona State University	16-927	UAA	44,176	
10.RD		California Department of Food and Agriculture	17-0225, 18-0350/39246/67406/10025-P	UAA	210,493	
10.RD		Carnegie Institution of Washington	09-10562-01	ASA	148,215	
10.RD		Center for Produce Safety	2017CPS05/16-SCBGP-CA-0035	UAA	349,143	3,997
10.RD		Cornell University	79554-10809/2017CPS09	UAA	39,755	
10.RD		Dine College	1819-3-193	NAA	18,964	
10.RD		Diversified Technologies, Inc.	PO 00016318	ASA	100,806	
10.RD		Johns Hopkins University: School of Medicine	2003761098	ASA	146,704	

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10.RD		Montana State University	G185-18-W5379/2015-67020-23	UAA	8,998	
10.RD		Navajo Technical University	30927-00-1174	ASA	27,155	
10.RD		Navajo Technical University	30923	NAA	17,940	
10.RD		New Mexico State University	Q01784, Q01860	UAA	34,004	
10.RD		North Carolina State University	2016-1498-05, 2018-2074-01	UAA	103,186	
10.RD		Oregon State University	C0537A-D	UAA	1,893	
10.RD		Pennsylvania State University	5650-ASU-USDA-6584	ASA	102,888	
10.RD		PJ Woodlands LLC	N/A	NAA	2,710	
10.RD		Prescott Farmers Market	LTR DTD 101217	UAA	6,802	
10.RD		Rayn Innovations	FP00011442	ASA	56,184	
10.RD		Texas A&M AgriLife Research	MI900060	UAA	32,146	
10.RD		Texas A&M University	06-M1703387	UAA	83,355	
10.RD		TGEN	DME USDA 01	NAA	4,027	
10.RD		University of Arizona	261656	ASA	188	
10.RD		University of California	SA14-2309-40/2014-70006-226, SA14-2309-42	UAA	38,256	
10.RD		University of California: Davis	A17-0777-S001	NAA	70,731	
10.RD		University of California: Davis	201403757-03, 201504249-02, 201603794-10, A18-0619-S002, SA14-2309-02	UAA	328,332	
10.RD		University of California: Division of Agriculture and Natural Resources	SA18-4060-02	UAA	17,495	
10.RD		University of Central Arkansas	P0132088	NAA	83,233	
10.RD		University of Colorado: Boulder	1556407	UAA	43,890	
10.RD		University of Florida	UFDSP00011348	ASA	78,122	
10.RD		University of Florida	UFDSP00011766	UAA	8,333	
10.RD		University of Idaho	NR3078-SB-223203	UAA	84,587	
10.RD		University of Illinois at Urbana-Champaign	2015-06295-01	UAA	8,723	
10.RD		University of Maryland	35504-Z5782001	UAA	399,390	
10.RD		University of Montana	PG17-65073-01	NAA	66,617	
10.RD		University of Nevada: Reno	UNR-19-01	ASA	10,643	
10.RD		University of Nevada: Reno	UNR-15-70, UNR-17-55/17-JV-11272138-01	UAA	177,765	
10.RD		University of Washington	763254/201467015-22106	UAA	42,972	
10.RD		US Civilian Research and Development Foundation	DAA2-15-61224-1	UAA	70,186	
10.RD		US Egypt Joint Board on Scientific & Technological Coopera	AGR 06/11/15	ASA	3,972	
10.RD		Utah State University	200592-00001-304, 200592-440, 200592-518/2016-38640-25383, 201207-592	UAA	45,968	
10.RD		Virginia Polytechnic Institute and State University	422517-19101	UAA	22,663	
10.RD		Washington State University	126409-G003522	UAA	4,347	
10.RD		Woods Hole Research Center	WHRC-EG0566-03	NAA	27,010	
	Department of Agriculture Subtotal				<u>22,130,458</u>	<u>1,740,849</u>
	Department of Commerce					
11.RD	Economic Development Administration			ASA	328,765	
11.RD	National Institute of Standards and Technology			ASA	117,537	
11.RD	National Institute of Standards and Technology			UAA	77,392	
11.RD	National Oceanic and Atmospheric Administration			ASA	101,884	11,477
11.RD	National Oceanic and Atmospheric Administration			UAA	1,392,346	173,078
11.RD	United States Patent and Trademark Office			UAA	75,033	
11.RD		Columbia University	1 (GG008896)/ NA13OAR4310184	UAA	403,764	
11.RD		Museum of Science	4746-ASU-01	ASA	30,271	
11.RD		North Pacific Research Board	1607	ASA	6,373	
11.RD		Pacific States Marine Fisheries Commission	19-33G	ASA	34,442	
11.RD		University of Colorado	1557116/1001076739	UAA	9,998	
11.RD		University of Colorado: Boulder	1553216, 1554724/1000913446	UAA	6,135	
11.RD		University of Miami	S16-21, SPC-000614	ASA	122,087	
	Department of Commerce Subtotal				<u>2,706,027</u>	<u>184,555</u>
	Department of Defense					
12.RD	Air Force Academy			ASA	106,799	29,750
12.RD	Air Force Office of Scientific Research			ASA	2,208,005	3,643
12.RD	Air Force Office of Scientific Research			NAA	75,000	
12.RD	Air Force Office of Scientific Research			UAA	4,921,879	998,371
12.RD	Air Force Research Laboratory			ASA	263,799	25,498
12.RD	Air Force Research Laboratory			NAA	32,313	
12.RD	Air Force Research Laboratory			UAA	730,169	63,122
12.RD	DARPA—Biological Technologies Office			ASA	1,336,193	114,405
12.RD	DARPA—Defense Sciences Office			ASA	481,244	
12.RD	DARPA—Information Innovation Office			ASA	731,384	46,042
12.RD	DARPA—Microsystems Technology Office			ASA	2,235,368	1,313,693
12.RD	DARPA—Strategic Technology Office			ASA	21,319	
12.RD	Defense Advanced Research Projects Agency			ASA	2,275,939	963,428
12.RD	Defense Advanced Research Projects Agency			UAA	470,354	125,712
12.RD	Defense Threat Reduction Agency			ASA	617,397	152,289
12.RD	Defense Threat Reduction Agency			NAA	3,926,599	1,691,284
12.RD	Defense Threat Reduction Agency			UAA	807,550	246,000
12.RD	Department of Defense			ASA	869,506	10,000
12.RD	Department of Defense			NAA	516,011	
12.RD	Department of the Army—Materiel Command			ASA	1,118,579	
12.RD	Department of the Army—Corps of Engineers			ASA	49,075	
12.RD	Department of the Army—USAMRAA			ASA	1,081,152	26,995
12.RD	Department of the Navy			NAA	1,778	

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12.RD	DOD: Advanced Distributed Learning (ADL)			ASA	53,684	
12.RD	DOD: National Security Agency (NSA)			ASA	69,048	
12.RD	DOD—ARMY: Training and Doctrine Command (TRADOC)			ASA	350,349	22,637
12.RD	DOD—ARMY-ARL: Army Research Office (ARO)			ASA	4,258,862	51,337
12.RD	Engineer Research and Development Center			ASA	31,435	
12.RD	Maryland Procurement Office			UAA	93,826	
12.RD	National Security Agency			UAA	91,177	
12.RD	Naval Research Laboratory			ASA	197,920	
12.RD	Naval Supply Systems Command			UAA	11,432	
12.RD	NSWC—CRANE			ASA	4,427	
12.RD	Office of Naval Research			UAA	3,213,746	671,480
12.RD	Office of Naval Research			ASA	6,735,397	359,215
12.RD	United States Air Force			UAA	32,256	
12.RD	United States Army Contracting Command			UAA	2,925,976	1,413,765
12.RD	United States Army Corps of Engineers			UAA	780,859	64,090
12.RD	United States Army Medical Research Acquisition Activity			UAA	7,823,852	109,880
12.RD	United States Army Research Office			UAA	500,598	
12.RD	United States Naval Research Laboratory			UAA	25,127	
12.RD	United States Navy			UAA	33,873	
12.RD	Washington HQ Acquisition Directorate			UAA	21,492	
12.RD		Advanced Regenerative Manufacturing Institute (ARMI)	TO138, EWD 0005, TO138	ASA	77,860	
12.RD		Advent Diamond, LLC	FA9453-19-P-0533	ASA	7,011	
12.RD		Alion Science and Technology Corp	SUB1137665-001 & 002	NAA	78,818	
12.RD		American Burn Association	W81XWH-09-2-0194	UAA	14,067	
12.RD		Applied Research Associates, Incorporated	S-D00071.00002.02.UA/PO17-0	UAA	22,080	
12.RD		Arizona State University	ASUB00000088	UAA	226,816	
12.RD		Arizona State University: ASU Research Enterprise	PO 19-001	ASA	37,987	
12.RD		Boeing Company	1661154	ASA	25,380	
12.RD		Booz, Allen, and Hamilton, Incorporated	S901067BAH	UAA	148,911	
12.RD		Boston Fusion Corp	BF-5045-SK001, BF-5039-SK001, BF-5044-SK001, BF-5039-SK001	ASA	344,036	
12.RD		Carl T Hayden Medical Research Foundation	17-0473-ASU	ASA	41,611	
12.RD		Carl T Hayden Medical Research Foundation	17-0473-UA-2	UAA	134,779	
12.RD		Carnegie Mellon University	1141244-313357, 1141309-395151	ASA	22,298	
12.RD		Charles River Analytics	SC1600101, SC1600101, SC1519204	ASA	220,077	
12.RD		Colorado School of Mines	401466-5801	ASA	52,058	
12.RD		Dignity Health St Josephs Hospital Medical Center	32200-ASU	ASA	25,480	
12.RD		Florida International University	800007372-02UG	ASA	61,848	
12.RD		Florida Institute for Human and Machine Cognition, Inc.	W911NF-17-1-0047-2	UAA	15,079	
12.RD		Freedom Photonics	S7113-01 ASU	ASA	160,752	
12.RD		George Mason University	E2043345	UAA	97,633	
12.RD		Georgia Institute of Technology (Georgia Tech)	RH501-S1, D8083-S1	ASA	7,972	
12.RD		Geost, Incorporated	FA9451-18-C-0219	UAA	145,574	
12.RD		HartSCI, LLC.	FA945117P0515, FA945119C0581	UAA	31,487	
12.RD		Harvard University	15230751067800002	UAA	214,408	
12.RD		Honeywell Incorporated	6400415772E/262775	UAA	14,202	
12.RD		HRL Laboratories, LLC	16105-173203-US	ASA	761,875	
12.RD		Indiana University	BL-4324213-ASU, OAF	ASA	748,787	
12.RD		Iowa State University	4212070B	ASA	37,500	
12.RD		Jem Engineering	1193.002, 1127.009	ASA	30,663	
12.RD		Leidos Holdings, Inc.	P010213718	UAA	35,835	
12.RD		Lincoln Laboratory - MIT	7000237987	ASA	3,425	
12.RD		Lockheed Martin Corporation	4103745816	UAA	238,210	
12.RD		Luna Innovations, Inc.	3135-ARM-2S/ASU	ASA	8,925	
12.RD		Massachusetts Institute of Technology (MIT)	5710003815, 7000295379	ASA	166,880	
12.RD		Massachusetts Institute of Technology (MIT)	700443114	NAA	11,726	
12.RD		Mayo Clinic Arizona	ARI-206523/PO 64317748	ASA	70,403	
12.RD		Medical Technology Enterprise Consortium (MTEC)	2017-608 002 18-01-MEDLOG-03, 2017-608 002 18-01-MEDLOG-03, 2017-608 002 18-01-MEDLOG-03, 2017-608 002 18-01-MEDLOG-03, 2017-608 002 18-01-MEDLOG-03, 2017-608	ASA	979,786	636,638
12.RD		Michigan State University	RC104416-ASU	ASA	243,563	
12.RD		Microelectronics Research and Development Corporation	07067-SC-001	ASA	25,754	
12.RD		Middle East Technical University	ASU-FP7961	ASA	1,188	
12.RD		National Science Teachers Association	19-871-003	ASA	11,647	
12.RD		National Trauma Institute	NTRAP-18-06	UAA	14,456	
12.RD		NCDMM: America Makes Innovation Factory	20190043	ASA	85,413	
12.RD		NextGen Aeronautics	PO 17-03	ASA	53,128	
12.RD		North Carolina State University	2017-1532-25	ASA	46,945	
12.RD		Novateur Research Solutions LLC	W31P4Q18C0055	UAA	166,800	
12.RD		Ohio Aerospace Institute	OAI-C2644-18010	UAA	182,992	62,267
12.RD		Ohio State University	60038238, 60058654	ASA	165,001	
12.RD		Ohio State University	60052493	UAA	291,885	
12.RD		Oregon State University	VO750D-A	NAA	22,054	
12.RD		Philips	W81XWH1810332-3	UAA	68,239	

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12.RD		Phoenix Analysis and Design Technologies, Inc.	36050	ASA	3,728	
12.RD		Progeny Systems Corporation	PSC-0347	ASA	7,171	
12.RD		Purdue University	4301-83284	ASA	575,941	
12.RD		Rayn Innovations	AGR 08/30/18	ASA	12,574	
12.RD		Raytheon Company	14660/9500013589	UAA	205,784	
12.RD		San Diego State University Foundation	SA0000589	ASA	118,845	
12.RD		Science and Engineering Services, LLC	SC-DARPA-15-01/HR0011-15-C-	UAA	529	
12.RD		Scientific Systems Company Inc.	1639-ASU	ASA	98,575	
12.RD		Sivananthan Laboratories, Inc.	2018-18-ASU-0002	ASA	6,531	
12.RD		Sonoran Analytical Instruments and Diagnostics, LLC	SAID2018-03	UAA	39,312	
12.RD		Southern Research	100992	ASA	85,492	
12.RD		Space Micro, Inc.	11203	ASA	82,020	
12.RD		Stanford University	60744757114407	UAA	185,932	
12.RD		State University of New York Research Foundation	FA8650-15-2-5220	UAA	1,207,503	212,082
12.RD		Steel Founders' Society of America	2017-105/SP4701-17-D-1161	UAA	60,806	
12.RD		Stevens Institute of Technology	210267302	UAA	82,070	
12.RD		Syracuse University	2916504567s02	UAA	79,005	
12.RD		Systems and Technology Research	2018-0005	ASA	17,505	
12.RD		The Donald Danforth Plant Science Center	23107-AZ	UAA	136,399	
12.RD		TUFTS University	DOD060	ASA	154,752	
12.RD		Universal Technology Corporation	165852-18F5828-19-13-C1, 17-S7415-07-C1	UAA	19,216	
12.RD		University of Arizona	324814, PO 184426	ASA	114,483	
12.RD		University of Arkansas: Little Rock	253238-18ASU	ASA	90,238	
12.RD		University of California: Berkeley	00009417	ASA	245,674	
12.RD		University of California: Berkeley	00008554	UAA	120,603	
12.RD		University of California: Los Angeles	0160GVA520, 0190GUB220	UAA	315,202	
12.RD		University of California: Regents	0190 G UB219, 0190 G UB219, 0190 G UB219, 0190 G UB219	ASA	389,068	
12.RD		University of California: San Diego	43103402/S9000370/N00014-16, 77785949, 93835560S9001787	UAA	359,342	
12.RD		University of California: Santa Barbara	KK1847	ASA	228,911	
12.RD		University of Colorado: Boulder	1553897/1000641524	UAA	175,054	
12.RD		University of Illinois: Urbana-Champaign	080035-14599	UAA	365,299	
12.RD		University of Iowa	W000840526/1001639904/FA865	UAA	19,782	
12.RD		University of Maryland	38404-Z8424102	UAA	328,458	
12.RD		University of Maryland: College Park	35503-Z8165001, 49685-Z8768001	ASA	444,676	
12.RD		University of Massachusetts	OSP2018017	ASA	72,831	
12.RD		University of Michigan	SUBK00008690, SUBK00009635	ASA	306,570	
12.RD		University of Minnesota	A0006845601, A005720601/FA9550-17-1-0057	UAA	349,322	
12.RD		University of Nevada: Reno	UNR-17-09	ASA	452,758	
12.RD		University of Nevada: Reno	UNR-17-08	NAA	69,001	
12.RD		University of North Carolina: Charlotte	20160357-01-ASU, 20160357-01-ASU	ASA	143,252	
12.RD		University of Pittsburgh	0035859(409685-3), 0055964-3	UAA	167,781	
12.RD		University of Southern California	78245410, 92675527, 107235268, 92675527	ASA	170,727	
12.RD		University of Virginia	GG11840 156577, GG13332 155262	ASA	119,938	
12.RD		University of Wisconsin: Madison	483K814	UAA	44,317	
12.RD		Viasat Inc.	SC-17022	ASA	263,482	
12.RD		Wright State University	669737-6	UAA	113,000	
12.RD		Wyle Laboratories	WC13-0081	ASA	317	
	Department of Defense Subtotal				<u>67,483,828</u>	<u>9,413,623</u>
	Department of the Interior					
15.RD	Bureau of Indian Affairs			NAA	2,837	
15.RD	Bureau of Indian Affairs			UAA	86,986	
15.RD	Bureau of Land Management			ASA	3,026	
15.RD	Bureau of Land Management			NAA	622,771	
15.RD	Bureau of Land Management			UAA	281,541	
15.RD	Bureau of Reclamation			ASA	23,647	
15.RD	Bureau of Reclamation-Denver Office			ASA	6,995	
15.RD	Bureau of Reclamation			NAA	48,977	
15.RD	Bureau of Reclamation			UAA	181,095	
15.RD	Department of the Interior			NAA	6,743	
15.RD	Fish and Wildlife Service			ASA	9,529	
15.RD	Fish and Wildlife Service			UAA	349,181	
15.RD	Geological Survey			ASA	62,639	
15.RD	Geological Survey			NAA	1,304,524	
15.RD	Geological Survey			UAA	3,631,770	706,764
15.RD	International Boundary and Water Commission			UAA	243,680	138,588
15.RD	National Park Service			ASA	6,819	
15.RD	National Park Service			NAA	821,863	
15.RD	National Park Service			UAA	1,124,306	2,349
15.RD		Arizona Department of Agriculture	24-2019-2021-3	UAA	205	
15.RD		Arizona Game and Fish Department	1434-13HQURU1580, AGFD18-195712	UAA	35,512	
15.RD		Arizona State University	LOU No. 16-981	NAA	137	
15.RD		Borderlands Restoration	LTR DTD 102716	UAA	33,366	
15.RD		California Department of Fish and Wildlife	P1610804	NAA	32,141	
15.RD		CESU: Colorado Plateau Cooperative Ecosystem Study Unit	R18AC00007	ASA	14,436	

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15.RD		Florida Fish and Wildlife Conservation Commission	16001/F16AF00541	UAA	19,010	
15.RD		Friends of the Dunes	AGR 12/21/17	ASA	12,579	
15.RD		Great Basin Bird Observatory	R14AC00032	UAA	19,372	
15.RD		Mescalero Apache Tribe	TPAM-2016-01	NAA	8,321	
15.RD		Metropolitan Water District of Southern California	180896	ASA	46,215	
15.RD		Michigan State University	RC105932 ASU	ASA	3,154	
15.RD		Museum of Northern Arizona	270-556-01	NAA	4,955	
15.RD		National Fish & Wildlife Foundation	0104.18.058754	ASA	71,002	
15.RD		Nature Conservancy	AZFO180130	UAA	8,395	
15.RD		Northern Jaguar Project	F17AP00655	UAA	10,604	
15.RD		Stony Brook University	FP00004402	ASA	7,200	
15.RD		The Water Institute of the Gulf	BOEM-2016-COM-SH	UAA	106,287	
15.RD		University of Nevada Reno	UNR-15-29	NAA	5,954	
15.RD		University of Southern California	104713959, 91258911	UAA	37,702	
15.RD		University of Texas at Austin	UTA19000461	UAA	5,452	
15.RD		University of Washington	UWSC10219 / 28333	UAA	24,322	
15.RD		Wildlife Management Institute (WMI)	WNS 2018-01	ASA	26,259	
	Department of the Interior Subtotal				<u>9,351,509</u>	<u>847,701</u>
	Department of Justice					
16.RD	National Institute of Justice			ASA	841,486	175,353
16.RD	National Institute of Justice			UAA	57,305	
16.RD	Office of Justice Programs			ASA	168,497	
16.RD		Arizona Department of Corrections	17-030-19	ASA	33,823	
16.RD		Arizona Department of Education	15-02-EDSG/2014-CK-BX-0016, 18-04-EDSG	UAA	165,008	
16.RD		City of Shreveport	FP00007901, PO 2017-00008998, FP00007901, PO 2017-00008998	ASA	109,662	45,847
16.RD		Community Organization for Drug Abuse Control	OVC005	ASA	3,301	
16.RD		Dignity Health	215366	ASA	10,475	
16.RD		Fox Valley Technical College	D2018008002, D2018008002, D2018008002	ASA	77,941	
16.RD		International Rescue Committee	AGR 06/21/17	ASA	14,063	
16.RD		Johns Hopkins University (JHU)	At-Risk	ASA	21,894	
16.RD		Justice Research and Statistics Association (JRSA)	ASU-5200-024	ASA	209	
16.RD		Las Vegas Metropolitan Police Department	AGR 03/26/18	ASA	13,024	
16.RD		Phoenix Police Department	142511-0, 144889--0, 146350, 145935--0	ASA	132,886	
16.RD		Pima County, Arizona	CT-PCA-15000000000000000000132	UAA	47,824	
16.RD		Salvation Army, The	BJA-2016-9114	ASA	11,394	
16.RD		Tucson Police Department	AGR 06/09/16	ASA	3,699	
16.RD		University of Colorado: Boulder	1553936	ASA	49,159	
16.RD		University of Maryland: College Park	2014 ZA-BX-002	ASA	2,504	
16.RD		University of Virginia	GG11826 151479	ASA	31,020	
	Department of Justice Subtotal				<u>1,795,174</u>	<u>221,200</u>
	Department of Labor					
17.RD		Arizona Office of the Governor	ISA-ASU-WIOA-18-070116-01	ASA	29,863	
17.RD		Arizona Office of the Governor: Office of Workforce Development	ISA-WIOA-19-070118-01	ASA	506,377	
17.RD		Pima County Community Services, Employment and Training	CT-CS-18-283	UAA	26,863	
	Department of Labor Subtotal				<u>563,103</u>	<u>-</u>
	Department of State					
19.RD	Bureau of East Asian and Pacific Affairs			ASA	256,132	22,268
19.RD	Bureau of International Narcotics-Law Enforcement			ASA	2,017,428	1,013,199
19.RD	Department of State			ASA	395,450	70,000
19.RD	Department of State: US Embassy-Brazil			ASA	37,740	
19.RD	Public Affairs			ASA	289,976	
19.RD		Aspen Institute	SI_ASU1_SUBR_2017	ASA	41,457	
19.RD		FHI 360	PO18002487, PO18003443, PO17003885	ASA	179,845	
19.RD		Royaldream Builders Initiative (RBI)	FP00013298	ASA	3,732	
19.RD		University of Texas: San Antonio	1000001497	ASA	13,062	
19.RD		US Civilian Research and Development Foundation	FSCX18638800	UAA	30,728	
	Department of State Subtotal				<u>3,265,550</u>	<u>1,105,467</u>
	Department of Transportation					
20.RD	Federal Aviation Administration (FAA)			ASA	111,584	
20.RD	Federal Highway Administration			UAA	3,594	
20.RD	United States Department of Transportation			ASA	921,778	615,980
20.RD	United States Department of Transportation			NAA	112,495	
20.RD		Arizona Department of Transportation	ISA /JPA 17-0006456-I / M693101X, MPD 024-16/ ADOT11-002985	ASA	49,449	
20.RD		Arizona Department of Transportation	ADOT11003259	UAA	17,428	

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20.RD		Arizona Department of Transportation: Research Center	MPD 022-16 / ADOT11-002985, MPD 022-16 / ADOT11-002985, MPD 0038-18 / ADOT16-147805/4, ADOT16-147805, PO0000264269, MPD 022-16 / ADOT11-002985	ASA	117,171	1,985
20.RD		Arizona Governor's Office of Highway Safety	2019-AL-003	ASA	5,999	
20.RD		Gas Technology Institute (GTI)	S848, S831	ASA	44,508	
20.RD		Illinois Institute of Technology	SA16-0143-S001/P0050622	UAA	6,187	
20.RD		Maricopa County, Arizona	C.91.09.052.M.02/FM-CVN-012	UAA	72,377	
20.RD		Michigan State University	RC109287-ASU	ASA	337	
20.RD		Ohio Department of Transportation (ODOT)	32395	ASA	6,867	
20.RD		Portland State University	NITC2016-UA-01, NITC2016-UA-04, NITC2016-UA-05/69A355174711, NITC2016-UA-06, NITC2016-UA-07, NITC2016-UA-08/69A355174711, NITC2016-UA-09, 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-18, NITC2016-UA-19	UAA	475,603	
20.RD		Transportation Research Board (TRB)	HR 01-59, HR 01-59	ASA	60,297	25,000
20.RD		University of Colorado: Boulder	1554540/ PO 1000728338	ASA	68,923	
20.RD		University of Nevada: Reno	UNR-14-60, UNR-14-60	ASA	52,822	
20.RD		University of Nevada: Reno	UNR-18-40	UAA	11,000	
20.RD		University of Virginia	GS11466.156142/VTRC110800	UAA	228,601	95,508
	Department of Transportation Subtotal				<u>2,367,020</u>	<u>738,473</u>
	Equal Employment Opportunity Commission					
30.RD		Southwest Research Institute	L99051JRG	ASA	913,574	
	Equal Employment Opportunity Commission Subtotal				<u>913,574</u>	<u>-</u>
	National Aeronautics and Space Administration					
43.RD	NASA: Ames Research Center			ASA	734,677	
43.RD	NASA: Ames Research Center			UAA	504,917	121,244
43.RD	NASA: Glenn Research Center			ASA	425,340	307,685
43.RD	NASA: Goddard Space Flight Center			ASA	17,457,377	3,188,569
43.RD	NASA: Goddard Space Flight Center			UAA	13,486,809	5,186,410
43.RD	NASA: Headquarters			ASA	5,571,717	4,553,936
43.RD	NASA: Headquarters			UAA	12,787,265	1,514,917
43.RD	NASA: Johnson Space Center			ASA	127,455	
43.RD	NASA: Langley Space Center			UAA	186,989	
43.RD	NASA: Marshall Space Flight Center			ASA	4,069,745	2,386,774
43.RD	NASA: Marshall Space Flight Center			UAA	17,863,244	7,664,819
43.RD	National Aeronautics and Space Administration			ASA	347,431	
43.RD	National Aeronautics and Space Administration			NAA	1,498,493	278,766
43.RD	Smithsonian Astrophysical Observatory			UAA	136,058	
43.RD		Arizona Science Center	19-001	ASA	7,732	
43.RD		Arizona State University	LOU No 17-122	NAA	55,473	
43.RD		Arizona State University	7790, 17062, 17178, 18320	UAA	98,103	
43.RD		Association of Universities for Research in Astronomy, Incorporated	49992, N79550C	UAA	210,675	
43.RD		Ball Aerospace And Technologies Corporation	16NRO00004	UAA	250,221	
43.RD		Bay Area Environmental Research	n/a	NAA	7,629	
43.RD		Baylor College of Medicine	7000000460, 7000000590, SYN0005/7000000825	UAA	405,886	
43.RD		Brown University	00001161	UAA	11,184	
43.RD		California Institute of Technology	S400884, S427461- former 65H-098305	ASA	133,773	
43.RD		California Institute of Technology	S423867	UAA	10,403	
43.RD		Central Connecticut State University	CCSU18-56	NAA	14,123	
43.RD		Colgate University	2015022	UAA	15,477	
43.RD		Columbia University	1(GG013230)	ASA	24,593	
43.RD		Cornell University	77301-10535	ASA	8,781	
43.RD		Jet Propulsion Laboratory	1228404, 1511125, 1531839, 1531839, 1531839, 1601756, 1545667, 1511125, 1511125, 1511125, 1228404, 1228404, 1545667, 1399938, 1228404, 1531839, 1584342, 1588300, 1511125, 1228404, 1472603, 1511125, 1531839, 1531839, 1531839, 1228404, 1615538, 1511125, 1531839, 1276419, 1531839, 1567696, 1554788, 1511125, 1531839, 1531839, 1429649, 1228404, 1593074, 1595944, 1618298, 1228404, 1228404, 1228404, 1228404, 1570596, 1531839, 1531839, 1511125, 1531839, 1228404, 1228404, 1228404, 1531839, 1531839, 1547619, 1228404	ASA	22,219,584	16,568,214

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43.RD		Jet Propulsion Laboratory	1526108, 1559087, 1564918, 154919, 157922, 1585127, 1585166, RSA 1571218, 1582093	NAA	411,874	10,026
43.RD		Jet Propulsion Laboratory	1228726, 1270067, 1272218, 1319248, 1407200, 1407263, 1422779, 1494629, 1525086/G011-PID11063/, 1558362, 1561710, 1565441, 1574733, 1576815, 1582925, 1589386, 1600147, 1606861, 1607156, 1607971, 1608017, 1610308, 1610310, 1610316, 1614923, 1615577, 1615800, 1618565, 1621257	UAA	5,422,081	646,400
43.RD		Johns Hopkins University	3612003808432	NAA	87,169	
43.RD		Johns Hopkins University	128956, 131989, 133966	UAA	45,671	
43.RD		Johns Hopkins University: Applied Physics Laboratory	151724	NAA	12,512	
43.RD		Johns Hopkins University: Applied Physics Laboratory	130313, 132230, 137698, 137699	UAA	133,914	
43.RD		Lowell Observatory	2018-81420-NAU, 2019-81105-NAU, 2017-81502NAU, 2017-81495	NAA	316,841	
43.RD		Malin Space Science Systems, Inc.	11-0124, 16-0688	ASA	302,012	
43.RD		Massachusetts Institute of Technology	1674	UAA	107,162	
43.RD		Montana State University	G245-17-W6575	NAA	101,187	
43.RD		National Aeronautics Space Administration	80NSSC18K0841	ASA	109,664	
43.RD		PADT Inc.	80NSSC18P2131	ASA	49,096	
43.RD		Pennsylvania State University	5560UJPL7612	UAA	131,815	
43.RD		Planetary Science Institute	1468	ASA	11,311	
43.RD		Planetary Science Institute	1336, 1488UofA, 1542UAChojnacki, 1576UA, 1601ARIZ	UAA	360,366	
43.RD		Princeton University	SUB0000159, SUB0000314	UAA	60,419	
43.RD		Q Peak, Inc	SC-59468-2775-46	UAA	34,943	
43.RD		Radiation Monitoring Devices	C17-31	ASA	12,976	
43.RD		Raytheon Company	4201839976	UAA	16,684	
43.RD		Rensselaer Polytechnic Institute	A12561	ASA	57,113	
43.RD		Science Museum of Minnesota	NNH15ZDA0004C	ASA	6,565	
43.RD		SETI Institute	SC 3129, SC 3138	ASA	75,981	
43.RD		Sonoma State University	117868	NAA	35,430	
43.RD		Southwest Research Institute	K99033MEC, H99066CT, K99033MEC, K99033MEC, H99065CT, K99033MEC, K99056JRG	ASA	3,808,769	1,523,856
43.RD		Southwest Research Institute	699053X, D99004L, K99074AD, L99064JRG, SUB0000159	UAA	256,013	
43.RD		Space Science Institute	SUBAWD 000801	NAA	54,697	
43.RD		Space Telescope Science Institute	HST-GO-14784.001-A, HST-GO-15184.002-A, HST-GO-15137.002-A, HST-GO-14641.002-A, HST-GO-14792.008-A, HST-GO-13705.001-A, HST-HF2-51411.001-A, HST-GO-15286.001-A, HST-GO-14111.002-A, HST-GO-15255.013-A, HST-GO-14453.011-A, HST-GO-15278.001-A, HST-GO-15428.006-A, HST-GO-14071.009-A, HST-GO-15174.010-A, HST-HF2-51411.001-A, HST-GO-13862.005-A, HST-GO-13779.001-A, HST-GO-13779.010-A, HST-AR-14591.001-A, HST-GO-14793.010-A, HST-GO-14262.002-A, HST-GO-14937.004-A	ASA	575,682	
43.RD		Space Telescope Science Institute	HST-GO-15259.004-A, HST-GO-13716.001-A, HST-GO-15213.001-A, HST-GO-15259.004-A	NAA	68,413	

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43.RD		Space Telescope Science Institute	HSTAR13911.001A, HST-AR-14312.002-A, HSTAR14316, HSTAR15004001A, HSTAR15030002A, HSTAR15060002A, HSTGO12511009A, HSTGO13390001A, HST-GO-13419.006-A, HST-GO-13646.008-A, HSTGO13653.001, HSTGO13719003A, HSTGO13762001A, HST-GO-13785.003-A, HST-GO-13786.001-A, HSTGO13787001A, HST-GO-13839.002-A, HSTGO13846007A, HSTGO13856010A, HSTGO13859002A, HSTGO14090001A, HST-GO-14096.006-A, HSTGO14113004A, HSTGO14138003A, HSTGO14148, HSTGO14223, HSTGO14227007A, HSTGO14241001A, HSTGO14259010A, HSTGO14453005A, HSTGO14456006A, HSTGO14596001A, HSTGO14612001A, HSTGO14625, HSTGO14654, HSTGO14664007A, HSTGO14679001A, HSTGO14682002A, HSTGO14703006A, HSTGO14714001A, HSTGO14717, HSTGO14740001A, HSTGO14747003A, HSTGO14767003A, HSTGO14769005A, HSTGO14770, HSTGO14784004A, HSTGO14791002A, HSTGO14797002A, HSTGO14931004A, HSTGO15093001A, HSTGO15113003A, HSTGO15113006A, HSTGO15121001A, HSTGO15135003A, HSTGO15137003A, HSTGO15182011A, HSTGO15185001A, HSTGO15217007A, HSTGO15218004A, HSTGO15219005A, HSTGO15224003A, HSTGO15237002A, HSTGO15246008A, HSTGO15266004A, HSTGO15278008A, HSTGO15289001A, HSTGO15325002A, HSTGO15453.001A, HSTGO15625003A, HSTHF251380001A, HSTHF251394002A, HSTHF251398001A, HSTHF251419001A, HSTHF251420001A, JWSTERS01309002A	UAA	1,817,356	
43.RD		Stony Brook University	66726, 68815	NAA	11,693	
43.RD		Structured Materials Industries, Inc.	SMI42111-20180727-01	ASA	4,487	
43.RD		Texas State University	17011-82719-1	ASA	64,127	
43.RD		Universities Space Research Association	SOF-05-0098	NAA	28,988	
43.RD		Universities Space Research Association	223504, 2017001474, SAF050054Ertel, SOF050019SU, SOF050172, SOF050180, SOF060234Svoboda, SOF070, SOF070206	UAA	123,672	
43.RD		University Corporation for Atmospheric Research	Z17-25720	UAA	49,271	
43.RD		University of Alaska: Fairbanks	UAF190070	UAA	23,149	
43.RD		University of Arizona	353046, 401799, 268293, 413164, 360104, 268580, 125837, 268293, 268580	ASA	1,704,068	
43.RD		University of Arizona	457254	NAA	14,247	
43.RD		University of California: Los Angeles	2090-S-SA473	ASA	122,100	
43.RD		University of California: Los Angeles	0995GUA602	UAA	19,629	
43.RD		University of California: Riverside	S-000732	ASA	158,433	

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43.RD		University of California: San Diego	84068633S9001586	UAA	45,097	
43.RD		University of California: Santa Cruz	A160381S005P0600213, A160626S001P0637108, A170015S001P0644922	UAA	74,416	
43.RD		University of Colorado: Boulder	1552616, 1555628, 1553136	ASA	182,236	
43.RD		University of Colorado: Boulder	1000008166, 1551807, 1556422	UAA	259,060	
43.RD		University of Maryland	40227, 46332-Z6927003	NAA	46,344	
43.RD		University of Maryland, Baltimore County	0000019878	UAA	25,384	
43.RD		University of Minnesota	H006201406	UAA	12,721	
43.RD		University of New Hampshire	19003	UAA	3,745	
43.RD		University of Pennsylvania	560958, 573659	ASA	68,927	
43.RD		University of Puerto Rico	2019-000067, 2019-000067	ASA	67,231	
43.RD		University of Texas: Austin	UTA16-001088	ASA	34,900	
43.RD		University of Texas: Austin	UTA17000731, UTA18000687	UAA	24,411	
43.RD		University of Washington	UWSC10436	NAA	7,629	
43.RD		University of Washington	32930UWSC10593	UAA	7,144	
43.RD		University of Wyoming	1003075A-ARIZ	UAA	3,054	
43.RD		Wellesley College	SA26403	ASA	67,192	
43.RD		Woods Hole Research Center	WHRC-ZG0829-01	NAA	46,727	
43.RD		Yale University	C15N12087 (N00218)	ASA	69,998	
	National Aeronautics and Space Administration Subtotal				<u>116,524,950</u>	<u>43,951,616</u>
	National Endowment for the Humanities					
45.RD	Institute of Museum and Library Sciences			ASA	222,448	45,391
45.RD	National Endowment for the Arts			UAA	8,751	
45.RD	National Endowment for the Humanities			ASA	95,455	
45.RD	National Endowment for the Humanities			UAA	75,463	
45.RD	National Endowment for the Humanities: Division of Preservation and Access			ASA	37,472	
45.RD		Arizona Commission On the Arts	10277523	UAA	2,500	
45.RD		Arizona Humanities	70662018, 70572017	ASA	6,682	
45.RD		Arizona State Library, Archives, and Public Records	PJ-256058-17	UAA	12,621	
45.RD		George Mason University	E204497-1	ASA	4,973	
45.RD		Gettysburg College	NAU-1	NAA	19,316	
	National Endowment for the Humanities Subtotal				<u>485,681</u>	<u>45,391</u>
	National Science Foundation					
47.RD	National Endowment for the Humanities			UAA	44,254	
47.RD	National Science Foundation			ASA	49,141,876	6,275,695
47.RD	National Science Foundation			NAA	7,360,794	1,418,077
47.RD	National Science Foundation			UAA	51,047,278	5,078,563
47.RD	National Science Foundation: Directorate for Biological Sciences			ASA	4,283,295	632,091
47.RD	National Science Foundation—BIO: Division of Biological Infrastructure (DBI)			ASA	684,044	
47.RD	National Science Foundation—CISE: Computer and Network Systems (CNS)			ASA	1,599,147	
47.RD	National Science Foundation—CISE: Office of Cyberinfrastructure (OCI)			ASA	134,391	
47.RD	National Science Foundation—CISE: Division of Information, Robotics, Intelligent Systems			ASA	2,374	
47.RD	National Science Foundation—EHR—DUE: Division of Undergraduate Science, Engineering, & Mathem			ASA	139,913	
47.RD	National Science Foundation—ENG: Division of Biological & Critical Systems (BCS)			ASA	188,822	
47.RD	National Science Foundation—GEO: Office of Polar Programs (OPP)			ASA	26,636	
47.RD	Smithsonian Astrophysical Observatory			UAA	171,667	
47.RD		2M Research Services, LLC	2017-NSF-10018	ASA	33,716	
47.RD		Advent Diamond, LLC	1747133	ASA	53,721	
47.RD		American Educational Research Association	LTR 04/10/18	ASA	17,392	
47.RD		Appalachian State University	A14-0153-S004 (formerly A14-0153-S001)	ASA	5,441	
47.RD		Arizona State University	ASUB00000215	NAA	86,030	

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47.RD		Arizona State University	17-056/HRD-1608928, 17-099-ASUB00000216, CC0159-PG08675-11-80/SUB, CC0159-PG08675-11-80/SUB/, CC0159-PG08675-11-80/SUB/V1, CC0342-PG08675-11-81, CC0342-PG08675-11-81/SUB, CC0342-PG08675-11-81/SUB/F1, CC0342-PG08675-11-82/SUB, ECRA632-11-78/SUB, ECRA632-11-78/SUB/F17UR012/, ECRA632-11-78/SUB/F17UR030F, ECRA632-11-78/SUB/F17UR032/, ECRA632-11-78/SUB/F17UR033, ECRA632-11-78/SUB/F17UR037/, ECRA632-1179/SUB, ECRA632-11-79/SUB, ECRA632-11-79/SUB/S18UR006, ECRA6321179SUB, PG08675-11-80/SUB, S19UR004/S2019ur0007, S19UR005/S2019ur008, S19UR006/S2019ur0009, S19UR007/S2019ur0010, S19UR009/S2019ur0014, S19UR018/S2019ur0027, V2018gp0004/V18CC001, V2019gp0003/V19CC001	UAA	129,908	
47.RD		Association of Universities for Research in Astronomy, Incorporated	C22026SB, N67816C/AST1421197, N71373CL, N84158C, N97528C, NB3064C	UAA	1,431,034	
47.RD		Battelle Memorial Institute	US0001-0000701436	NAA	195,681	74,057
47.RD		Battelle: National Ecological Observatory Network (NEON)	PO US001-0000718040, PO US001-0000718040	ASA	760,033	
47.RD		California State Los Angeles University Auxiliary Services, Incorporated	UA230956	UAA	2,442	
47.RD		California State University: San Marcos	92249 / 85038 ASU	ASA	44,544	
47.RD		Cary Institute of Ecosystem Studies	3357/200201910	ASA	61,309	
47.RD		Cary Institute of Ecosystems Studies	3340/200201903	NAA	5,278	
47.RD		Clark University	2A3257531	UAA	127,210	
47.RD		Colorado School of Mines	401516-5801	ASA	4,653	
47.RD		Colorado State University	G-37052-1, G-00973-5, G-30014-01	ASA	346,691	
47.RD		Colorado State University	G-00973-3/1444758, G-14888-1, G-96702-3/DRL-1543228	UAA	392,376	470
47.RD		Columbia University	34(GG009393-01), 34(GG009393)	ASA	8,097	
47.RD		Columbia University	1(GG014460-01) / PO: G12926, 1GG012608, 2(GG014460-03) / PO: G12927	UAA	72,719	
47.RD		Computing Research Association	Postdoc001	ASA	2,497	
47.RD		Cornell University	OSP #75548	ASA	108,582	
47.RD		Council of Graduate Schools	AGR 08/04/17, AGR 08/04/17	ASA	23,569	
47.RD		Council of Graduate Schools	LTR DTD 082718	UAA	30,103	
47.RD		CRDF Global	OISE-17-63729-0	ASA	3,169	
47.RD		CUNY: Research Foundation of CUNY (RFCUNY)	CM00001881-00	ASA	57,063	
47.RD		Dine College	244-J7H8	NAA	9,249	
47.RD		George Washington University	15-S17/CCF-1565273	UAA	29,672	
47.RD		Georgia Institute of Technology (Georgia Tech)	RK411-G1, RG098-G1, RG098-G1, RG758-G1	ASA	247,219	
47.RD		Hauptman-Woodward Medical Research Institute	UBSBXLPi6200, 6215	ASA	37,956	
47.RD		Hydrologic Research Center	2018001	UAA	32,030	
47.RD		Illinois Institute of Technology	A17-0026-S001	UAA	150,643	
47.RD		Illinois State University	A190050S002	UAA	6,389	
47.RD		Indiana University	BL-4848800-ASU, BL-4848800-ASU	ASA	86,521	
47.RD		Indiana University	BL-4812517-UA/ACI-1445604	UAA	86,936	
47.RD		Inter-American Institute for Global Change Research (Brazil)	CRN3056/GEO-1128040	UAA	205,449	90,957
47.RD		Iowa State University	420-61-73A/IOS-1444806	UAA	50,335	
47.RD		Kansas State University	S16102	UAA	52,202	
47.RD		Lowell Observatory	2017-83090 NAU	NAA	69,375	
47.RD		Lunewave, Inc.	1758547	UAA	7,788	
47.RD		Maricopa Community Colleges	DUE 1103080, 10000487-ASU	ASA	9,652	
47.RD		Massachusetts Institute of Technology (MIT)	5710003573, S4775 - PO 276392, 80162	ASA	126,247	
47.RD		Michigan State University	RC104177ASU	ASA	29,941	
47.RD		Michigan Technological University	1603040Z1	ASA	43,745	
47.RD		Michigan Technological University	111009022	NAA	3,883	
47.RD		Museum of Science	4569-ASU-01	ASA	18,648	
47.RD		National Academy of Sciences (NAS)	2000010227	ASA	25,885	
47.RD		National Center for Atmospheric Research (NCAR)	Z14-12900	ASA	7,096	
47.RD		National Radio Astronomy Observatory	361552, 363362SOSPA6002, SOSPA4007	UAA	30,154	
47.RD		National Science Foundation (NSF)	1832196	ASA	68,896	

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47.RD		North Carolina State University	2008-1015-01, 2008-1015-01, 2008-1015-01	ASA	16,599	
47.RD		Northern Arizona University	LOU 1003107-07, 1003107-01, 1003107-01, 1003799-01	ASA	361,363	
47.RD		Ohio State University	60052837-NAU	NAA	13,112	
47.RD		Old Dominion University	18-130-100688-010	ASA	2,840	
47.RD		Pennsylvania State University	5225-ASU-NSF-7193, 5573-ASU-NSF-8209	ASA	51,676	
47.RD		Pennsylvania State University	5707UANSF7592, 5896UANSF4092	UAA	120,986	
47.RD		Princeton University	SUB0000009	UAA	487,992	75,818
47.RD		Purdue University	10001383002	UAA	9,763	
47.RD		Rice University	FP00011474, R3F88C, R3F80A / 1449500, R3F80A / 1449500, R3F80A / 1449500, R3F80A / 1449500, R3F80A / 1449500, R3F80A / 1449500, R3F80A / 1449500, R3F80A / 1449500, R3F80A / 1449500, R3F80A / 1449500, R3F80A / 1449500, R3F80A / 1449500	ASA	859,788	
47.RD		Rutgers University	0582	ASA	31,592	
47.RD		San Francisco State University	S180001	UAA	183,703	
47.RD		Smithsonian Institute	18SUBC440-0000387478	NAA	36,747	
47.RD		SpringActive	AGR 06/02/17	ASA	6,308	
47.RD		SRCCO Inc.	2018-NC-2762-A	ASA	16,714	
47.RD		Stanford University	61080052-113062	ASA	19,334	
47.RD		State University of New York: Buffalo	R876181 R950225 R1092326, R876181 R950225 R1092326, R876181 R950225 R1092326, R876181 R950225 R1092326, R876181 R950225 R1092326, R876181 R950225 R1092326	ASA	1,091,235	
47.RD		State University of New York Research Foundation	7674911366522	UAA	46,436	
47.RD		Stony Brook University	78824/1141219	NAA	9,771	
47.RD		Swift Coat	FP00015495	ASA	44,838	
47.RD		Swinomish Indian Tribal Community	1516742	UAA	7,585	
47.RD		Texas State University	19009-83071-1	NAA	2,745	
47.RD		Texas Tech University	21P509-01	NAA	94,327	
47.RD		TG Companies, LLC	AGR 12/19/18, AGR 07/20/17	ASA	7,810	
47.RD		The Council on Undergraduate Research	11637	UAA	396	
47.RD		The Field Museum	50123-1-FDP	NAA	2,177	
47.RD		UIUC: National Center for Supercomputing Applications (NCSA)	AGR 09/07/18	ASA	3,000	
47.RD		Union College	46905-2	ASA	535	
47.RD		University of Alabama: Tuscaloosa	A18-0467-S001	ASA	4,045	
47.RD		University of Alabama: Huntsville	2017-033	UAA	133,928	
47.RD		University of Alaska: Fairbanks	UAF-15-0020, UAF-18-0084	NAA	162,428	
47.RD		University of Arizona	124046, 467307	ASA	162,017	
47.RD		University of Arizona	PO 448899	NAA	7,089	
47.RD		University of California: Berkeley	8860, 00009141/1558035	UAA	9,910	
47.RD		University of California: Davis	A18-0727-S003, 201701840-01	ASA	52,664	
47.RD		University of California: Regents	00009998, 00009382	ASA	205,557	
47.RD		University of California: Riverside	S-000819	UAA	44,452	
47.RD		University of California: Santa Barbara	KK1928	NAA	33,429	
47.RD		University of California: Santa Barbara	KK1825	UAA	35,848	
47.RD		University of California: Santa Cruz	S0184224/DRL-1316834	UAA	47,175	
47.RD		University of Cincinnati	005926-087	UAA	11,054	
47.RD		University of Colorado: Boulder	1555724, 1554388	ASA	56,624	
47.RD		University of Colorado: Boulder	1555731/1000895474	NAA	40,239	
47.RD		University of Colorado: Boulder	1555695/PO:1000887309	UAA	39,052	
47.RD		University of Illinois: Board of Trustees	084161-17301	ASA	17,964	
47.RD		University of Kansas	BSA18014	ASA	96,284	
47.RD		University of Louisville Foundation, Inc	ULRF 17-0190	ASA	29,935	
47.RD		University of Maryland	52673z3107201	UAA	37,826	
47.RD		University of Maryland: College Park	66536-Z3302201	ASA	27,324	
47.RD		University of Massachusetts: Amherst	17-009589 A	ASA	483,058	
47.RD		University of Massachusetts: Boston	B000462681	UAA	21,428	
47.RD		University of Michigan	3004575811	ASA	25,472	
47.RD		University of Mississippi	18-06-049	UAA	7,500	
47.RD		University of Missouri	C00041922-1	UAA	16,895	
47.RD		University of Nevada: Las Vegas	19-GR06224-01	NAA	310,048	
47.RD		University of New Mexico	650348-8705, 133660-8705	ASA	214,535	
47.RD		University of New Mexico	0480P4-8747	NAA	75,234	
47.RD		University of Pennsylvania	570191	ASA	1,348	
47.RD		University of Pennsylvania	566839/10046907/15224/IOS-1444490	UAA	190,585	
47.RD		University of Pittsburgh	0049672 (0011790), 0062295 (012283-1)	ASA	97,016	
47.RD		University of Rochester	416753G	UAA	50,881	2,785
47.RD		University of Southern California	90704574	ASA	1,882	
47.RD		University of Texas: Austin	UTA15-000881	ASA	76,743	
47.RD		University of Texas: Dallas	1503120	UAA	24,291	
47.RD		University of Texas: El Paso	226100980B	NAA	17,727	
47.RD		University of Texas: San Antonio	1000000913	ASA	64,521	
47.RD		University of Virginia	GA10951 143381, GA11032 147225	ASA	26,977	
47.RD		University of Wisconsin: Madison	690K233	ASA	75,992	
47.RD		University of Wisconsin: Madison	801K161	UAA	42,862	

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47.RD		Utah State University	140343-00002-109	UAA	42,777	
47.RD		Vanderbilt University	UNIV60484	ASA	20,763	
47.RD		Vanderbilt University	UNIV59061	UAA	166,102	
47.RD		Virginia Polytechnic Institute and State University	479498-19007	ASA	69,708	
47.RD		White Mountain Nature Center	LTR DTD 072318	UAA	3,345	
47.RD		Woods Hole Oceanographic Institution	A101284/80426200	UAA	1,452	
47.RD		Yale University	GR100666 (CON-80000873)	UAA	78,008	
	National Science Foundation Subtotal				<u>127,255,026</u>	<u>13,648,513</u>
	Smithsonian Institution					
60.RD	Smithsonian Astrophysical Observatory			UAA	1,310,440	
	Smithsonian Institution Subtotal				<u>1,310,440</u>	<u>-</u>
	Department of Veterans Affairs					
64.RD	United States Department of Veterans Affairs			ASA	302,677	
64.RD	United States Department of Veterans Affairs			UAA	510,710	
64.RD	United States Department of Veterans Affairs: Phoenix Health Care System			ASA	9,138	
	Department of Veterans Affairs Subtotal				<u>822,525</u>	<u>-</u>
	Environmental Protection Agency					
66.RD	United States Environmental Protection Agency			ASA	589,073	264,328
66.RD	United States Environmental Protection Agency			UAA	311,283	41,557
66.RD		Dine College	1918-5-513	NAA	2,580	
66.RD		Extension Foundation	SA-2019-55	UAA	832	
66.RD		University of Arizona	83615101	NAA	26,945	
66.RD		University of Colorado: Boulder	1552026	ASA	23,712	
	Environmental Protection Agency Subtotal				<u>954,425</u>	<u>305,885</u>
	Department of Energy					
81.RD	Advanced Research Projects Agency Energy			ASA	2,534,517	462,472
81.RD	Advanced Research Projects Agency Energy			UAA	761,855	365,199
81.RD	Department of Energy			ASA	1,093,989	200,009
81.RD	Department of Energy			NAA	814,097	63,228
81.RD	Department of Energy			UAA	3,550,939	172,663
81.RD	Department of Energy: Office of Energy Efficiency and Renewable Energy (EERE)			ASA	3,887,687	672,533
81.RD	Golden Field Office			ASA	471,759	208,439
81.RD	Idaho Field Office			ASA	80,888	1,754
81.RD	Lawrence Berkeley National Laboratory			ASA	49,383	
81.RD	Lawrence Livermore National Laboratory			NAA	81,658	
81.RD	Los Alamos National Laboratory			ASA	31,797	
81.RD	National Energy Technology Laboratory			ASA	753,416	537,822
81.RD	National Nuclear Security Administration			ASA	91,866	
81.RD	National Nuclear Security Administration			UAA	293,964	
81.RD	National Renewable Energy Laboratory			ASA	207,003	
81.RD	National Renewable Energy Laboratory			NAA	55,756	
81.RD	Office of Science			ASA	915,619	181,602
81.RD	Pacific Northwest National Laboratory			ASA	15,325	
81.RD	Pacific Northwest National Laboratory			NAA	497,765	
81.RD	Sandia National Laboratories (SNL)			ASA	137,775	
81.RD		Aerodyne Research, Inc.	ARI 11129-1	ASA	1,022	
81.RD		Aerodyne Research, Inc.	ARI 11409-1, ARI 11409-2	UAA	87,615	
81.RD		Alliance for Sustainable Energy, LLC.	XAT-8-70327-01, XAT-8-82198-01, XEJ77022701	UAA	178,927	
81.RD		Antora Energy	DE-AR0000993-ASU, DE-AR0000993-ASU	ASA	37,529	
81.RD		Battelle Memorial Institute	387879	ASA	60,381	
81.RD		Battelle Memorial Institute	436991	UAA	31,095	
81.RD		Brookhaven National Laboratory	101340, 107946, 307422, 310880, 310882, 341872, 74201	UAA	1,010,063	
81.RD		Burge Environmental	DE-SC00013194, DE-SC0018495	ASA	28,554	
81.RD		Colorado School of Mines	TBD, 400612, 401011-5802	ASA	255,801	
81.RD		Colorado State University	G-01819-01	ASA	81,628	
81.RD		Colorado State University	SUBAWARD G-40115-02	UAA	197,693	
81.RD		Electric Power Research Institute	10006129	ASA	123,297	
81.RD		Lawrence Berkeley National Laboratory (LBNL)	7418244	ASA	83,447	
81.RD		Lawrence Berkeley National Laboratory	7308213/DE-AC02-05CH11231, 7329734	UAA	293,397	
81.RD		Lawrence Livermore National Security, LLC.	B163250, B619796, B621762, B626816, B630670, B631458	UAA	269,251	
81.RD		Local Motors	AGR 11/20/18	ASA	84,626	
81.RD		Los Alamos National Laboratory	527106	ASA	20,581	
81.RD		Los Alamos National Laboratory	531988	UAA	46,028	
81.RD		Michigan State University	RC109447-ASU, RC102649-ASU	ASA	267,507	
81.RD		Montana State University	G138-15-W5072	ASA	7,413	
81.RD		National Renewable Energy Laboratory (NREL)	XEJ-9-92120-01, XDJ-8-82153-01, ZGJ-7-70115-01, ZGJ-7-70115-01, XAT-9-92058-01, ZDC-8-82043-01, ZGJ-7-70115-01, ZGJ-7-70115-01, XAT-9-92058-01	ASA	1,179,056	
81.RD		National Security Technologies, LLC	180963	UAA	27,107	
81.RD		New Mexico State University (NMSU)	Q02001	ASA	45,516	
81.RD		North Carolina State University	2014-0654-61	ASA	191,603	

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81.RD		Ohio State University	60071260	UAA	285,694	
81.RD		Opticslah, LLC	LTR DTD 100418	UAA	11,039	
81.RD		Pacific Northwest National Laboratory	381570, 436508, 451121, 452575	UAA	262,934	
81.RD		Physical Sciences Inc	86026-1983-46	NAA	8,738	
81.RD		Princeton University	SUB0000290	ASA	119,419	
81.RD		Proton OnSite	EC-0008092-03 / PO 20544, EC-0008092-03 / PO 20544	ASA	39,386	
81.RD		Purdue University	14000382-042	UAA	15,643	
81.RD		Radiation Detection and Imaging Technologies	C41-24b	ASA	58,738	
81.RD		Rapid Advancement in Process Intensification Deployment Manufacturing Institute	DE-EE000788-3-2-4	UAA	36,409	
81.RD		Ridgetop Group, Incorporated	LTR DTD 101018	UAA	20,800	
81.RD		Sandia National Laboratories	2000965, 1993669	ASA	83,627	
81.RD		Sandia National Laboratories	1163638/1823176, 1448875	UAA	143,051	
81.RD		SLAC National Accelerator Laboratory	168085	UAA	586	
81.RD		Smithsonian Institute	16SUBC4400000359417	NAA	9,915	
81.RD		Sporian Microsystems, Inc.	DE-SC0017712	UAA	11,148	
81.RD		Stanford University	61559157-51077, 61559167-51077, 61615333-128599	ASA	134,324	
81.RD		Structured Materials Industries, Inc.	42066-20170716-01	ASA	133,965	
81.RD		TechSource, Inc.	GS10F00384	ASA	32,439	
81.RD		Tech-X Corporation	7331-004	ASA	724	
81.RD		The Donald Danforth Plant Science Center	22815-A	UAA	810,757	
81.RD		The Hydro Research Foundation, Inc.	Agreement signed 4/27/17	UAA	2,000	
81.RD		University of California: Berkeley	00009291	UAA	47,932	
81.RD		University of California: Los Angeles	0159 G TA069, 0159 G UA381	ASA	156,329	
81.RD		University of California: Riverside	S-000683	ASA	41,614	
81.RD		University of California: San Diego	97378543	ASA	133,165	
81.RD		University of California: San Diego	111117474/S9002139	UAA	61,878	
81.RD		University of California: Santa Barbara	KK1965	NAA	13,330	
81.RD		University of Central Florida	16276008-01, 16276008-01, 16276008-01	ASA	232,840	
81.RD		University of Florida	UFOER00010112	ASA	8,853	
81.RD		University of Illinois: Board of Trustees	078620-15703 (formerly 2015-06605-09), 082394-15846	ASA	367,458	
81.RD		University of Maryland: Baltimore	0000017959	UAA	39,522	
81.RD		University of Massachusetts: Amherst	19-010693 B 00	UAA	9,177	
81.RD		University of North Carolina: Chapel Hill	5112969	ASA	19,785	
81.RD		University of Oklahoma	2015-46	NAA	8,002	
81.RD		University of Texas: Austin	UTA17000043	UAA	75,432	
81.RD		UT Battelle LLC	4000161830, 4000158404	NAA	205,109	
81.RD		Washington State University	134124-G003966	ASA	117,850	
81.RD		Washington University in St. Louis	PO2934888E	NAA	15,931	
	Department of Energy Subtotal				<u>24,711,738</u>	<u>2,865,721</u>
	Department of Education					
84.RD	Department of Education			ASA	7,047,986	198,700
84.RD	Department of Education			UAA	1,124,722	
84.RD	Institute of Education Sciences			UAA	245,128	
84.RD		Arizona Department of Education	16-02-ED	ASA	154,000	
84.RD		Arizona Department of Education	17-23-ED	NAA	20,487	
84.RD		Association of Public and Land-Grant Universities (APLU)	ICA 02/20/17, ICA 02/20/17	ASA	15,442	
84.RD		Blackwater Community School	18190812	ASA	23,638	
84.RD		Center for Applied Special Technology	AZ080115-20, AZ080115-20, ASU070117-20	ASA	139,700	
84.RD		Educational Testing Service	ASU-IES 305A, ASU-IES 305A	ASA	82,375	
84.RD		Georgia State University	SP00012139-01, SP00012139-01	ASA	211,262	
84.RD		Georgia State University	SP00010919-01	UAA	83,876	
84.RD		Gila River Indian Community	C6102 / C6347, C6102 / C6347	ASA	21,933	
84.RD		Oregon Research Institute	R324A150221	NAA	29,616	
84.RD		Phoenix Indian Center	AGR 09/27/16	ASA	18,443	
84.RD		Rutgers University	5428	ASA	29,521	
84.RD		Salus University	UA 88403 17-18/H325H140002	UAA	129,345	
84.RD		Sandia National Laboratories	EMAIL 1/15/2019 PO-1980519	ASA	32,154	
84.RD		Texas A&M University	M1803132	ASA	102,722	
84.RD		Texas State University	18018-83055-1	ASA	56,542	
84.RD		University of California: Berkeley	00009184, 00009184	ASA	163,213	
84.RD		University of California: Irvine	2017-3496, 2017-3496, 2017-3472	ASA	107,788	
84.RD		University of Florida	UFDSP00011297/R324A160154	UAA	194,300	
84.RD		University of Florida: Board of Trustees	UFDSP00012320	ASA	29,773	
84.RD		University of Louisville	ULRF 15-016904	NAA	21,594	
84.RD		University of North Carolina: Chapel Hill	5107776	ASA	107,617	
84.RD		University of South Florida	5830-1540-00-A	NAA	20,318	
84.RD		University of Tennessee	A18-0099-S001	ASA	57,895	
84.RD		University of Virginia	GM10152 153233	ASA	42,688	
	Department of Education Subtotal				<u>10,314,078</u>	<u>198,700</u>
	Morris K. Udall Foundation					
85.RD	Smithsonian: Tropical Research Institute			ASA	1,722	
	Morris K. Udall Foundation Subtotal				<u>1,722</u>	<u>-</u>

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91.RD	<u>United States Institute of Peace</u> United States Institute of Peace			UAA	55,234	
	United States Institute of Peace Subtotal				<u>55,234</u>	<u>-</u>
	<u>Department of Health and Human Services</u>					
93.RD	Administration for Children and Families			ASA	179,120	
93.RD	Administration for Community Living			ASA	83,954	
93.RD	Administration for Community Living			UAA	594,024	
93.RD	Agency for Healthcare Research and Quality			UAA	769,737	158,124
93.RD	Centers for Disease Control and Prevention			ASA	975,377	186,761
93.RD	Centers for Disease Control and Prevention			UAA	823,815	48,660
93.RD	Eunice Kennedy Shriver National Institute of Child Health and Human Development			UAA	2,406,904	572,289
93.RD	Food and Drug Administration			ASA	30,173	5,642
93.RD	Health Resources and Services Administration			ASA	218,997	
93.RD	Health Resources and Services Administration			UAA	1,380,812	341,351
93.RD	John E. Fogarty International Center			UAA	161,263	31,440
93.RD	National Cancer Institute			ASA	7,151,004	1,906,898
93.RD	National Cancer Institute			UAA	16,110,390	1,487,826
93.RD	National Center for Chronic Disease Prevention and Health Promotion			UAA	1,277,668	293,382
93.RD	National Center for Complementary and Integrative Health			UAA	811,895	207,502
93.RD	National Center on Minority Health and Health Disparities			ASA	2,250,255	28,055
93.RD	National Eye Institute			UAA	1,537,762	74,064
93.RD	National Heart, Lung, and Blood Institute			UAA	22,966,708	3,977,142
93.RD	National Institute for Occupational Safety and Health			UAA	776,447	
93.RD	National Institute of Allergy and Infectious Disease			UAA	10,747,237	1,709,841
93.RD	National Institute of Arthritis and Musculoskeletal and Skin Diseases			UAA	2,456,470	700,329
93.RD	National Institute of Biomedical Imaging and Bioengineering			UAA	2,423,105	191,907
93.RD	National Institute of Dental and Craniofacial Research			UAA	668,962	57,292
93.RD	National Institute of Diabetes and Digestive and Kidney Diseases			UAA	7,293,665	342,885
93.RD	National Institute of Environmental Health Sciences			UAA	6,706,022	475,706
93.RD	National Institute of General Medical Sciences			ASA	6,812,799	644,593
93.RD	National Institute of General Medical Sciences			UAA	8,969,095	526,937
93.RD	National Institutes of Health			ASA	32,495,300	5,419,090
93.RD	National Institutes of Health			NAA	6,375,609	148,559
93.RD	National Institute of Mental Health			UAA	1,733,548	10,822
93.RD	National Institute of Neurological Disorders and Stroke			UAA	6,644,215	276,467
93.RD	National Institute of Nursing Research			UAA	104,853	
93.RD	National Institute on Aging			UAA	11,070,692	3,688,016
93.RD	National Institute on Alcohol Abuse and Alcoholism			UAA	40,455	
93.RD	National Institute on Deafness and Other Communication Disorders			UAA	1,349,901	37,434
93.RD	National Institute on Drug Abuse			UAA	2,354,311	250,018
93.RD	National Institute on Minority Health and Health Disparities			UAA	1,064,464	186,599
93.RD	National Institutes of Health			UAA	16,264,821	1,339,033
93.RD	National Library of Medicine			UAA	184,464	51,358
93.RD	Office of the Assistant Secretary for Health			ASA	414,331	
93.RD	Office of the Secretary			ASA	76,073	76,073
93.RD	Substance Abuse and Mental Health Services Administration			ASA	59,440	
93.RD	United States Department of Health and Human Services			NAA	1,530,479	27,027
93.RD	United States Department of Health and Human Services			UAA	380,190	
93.RD		Alaska Community Action on Toxics	2R01-06-NAU	NAA	294,202	
93.RD		Albert Einstein College of Medicine	311331, 332117	UAA	269,131	
93.RD		Alzheimer's Foundation of America	LTR DTD 090518	UAA	18,156	
93.RD		Amity Foundation	LTR DTD 022219	UAA	28,255	
93.RD		Anevas Technologies LLC		NAA	269	
93.RD		Arizona Cancer Therapeutics LLC	1R41CA203353	UAA	5,577	
93.RD		Arizona Department of Education	1922ED	UAA	2,960	
93.RD		Arizona Department of Health Services	ADHS17-163360, ADHS18-187412, ADHS18-187412	ASA	196,123	
93.RD		Arizona Department of Health Services	ADHS16-117348, ADHS16-122850, ADHS16-130922, ADHS17-164629, ADHS18-177236, ADHS18-185671, ADHS18-201484	UAA	1,013,139	
93.RD		Arizona Governors Office of Youth, Faith and Family	ISA-STR-17-050117-01, ISA-PAF-19-070118-01	ASA	133,147	
93.RD		Arizona Health Care Cost Containment System	YH19-0064	ASA	21,346	
93.RD		Arizona Health Care Cost Containment System	CTR041852/YH19-0047, YH19-0068	UAA	92,668	
93.RD		Arizona State University	ASUB11	NAA	26,840	
93.RD		Arizona State University	15-748, ASUB00000118, ASUB00000243 / SUB00000679, LOU no. 17-061	UAA	249,055	
93.RD		A.T. Still University	301-290	ASA	4,565	
93.RD		Augusta University	30835-40	UAA	11,642	1,761
93.RD		Banner Health System	4350244244, 4350267753, 4350267754, 4350608006, 0435-06-08007, LMS 5000-02-62535, LMS04350271557, SUB-37/2P30AG019610-17	UAA	422,513	
93.RD		Baylor College of Medicine	45235-N3, 45235-N3	ASA	7,461	
93.RD		Baylor College of Medicine	7000000042	UAA	2,877	
93.RD		Baylor Scott & White Research Institute	41010481709	ASA	198,193	
93.RD		Baylor Scott & White Research Institute	41010481702	UAA	28,006	
93.RD		Biomedical Research Institute of New Mexico	358-Uhl-2019	UAA	55,310	
93.RD		Biosensing Instrument, Inc	FP00001155	ASA	280,629	
93.RD		Black Hills Center for American Indian	n/a	NAA	120,149	
93.RD		Bmseed LLC	FP00005099	ASA	2,500	

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93.RD		Boston Children's Hospital	GENFD0001354831, GENFD0001524164, GENFD0001665387 (Core)	UAA	221,699	
93.RD		Brigham and Women's Hospital	110009, 114117	UAA	25,597	
93.RD		Butler Hospital	5001461-ABRANTES (9275-8303), 5001491-ABRANTES (9256-8303)	ASA	19,708	
93.RD		Chapman University	2018-ASU-AG054442	ASA	141,261	
93.RD		ChildHelp	CHSC-H-001	ASA	52,919	
93.RD		Children's Hospital Los Angeles	RGF010339-A, RGF010339-A	ASA	158,232	
93.RD		Children's Hospital Los Angeles	P2015-0084	UAA	72,706	
93.RD		Children's Hospital of Philadelphia	/FP00015221_SUB19_01/U10CA 1, FP00013087_SUB193/ FP000152, FP00013087_SUB193_01/9500, FP00013087_SUB193_01/95000 8, FP00017458 SUB135-01 109363, 135878, 138511	UAA	36,287	
93.RD		Cincinnati Children's Hospital Medical Center	1037-SUB	UAA	139,615	
93.RD		Cleveland Clinic	1078-SUB	UAA	92,184	
93.RD		Cleveland Clinic Foundation	nn	UAA	135,744	
93.RD		Collaborations Pharmaceuticals Inc	LTR DTD 042817	UAA	5,199	
93.RD		Collaborative Ventures Network	3(GG014239-01)	UAA	108,792	
93.RD		Columbia University	1(GG012754-07), 1(GG013391-01), 3GG012144, 5(GG011896-49)/G12170, GG011896-47	ASA	71,915	
93.RD		Columbia University	001/Amend1	UAA	875,280	
93.RD		COPD Foundation	CM00000949-00	UAA	4,445	
93.RD		CUNY: Research Foundation of CUNY	LTR DTD 111817, R44AG059279	ASA	9,731	
93.RD		Cylerus, Inc	R1078, R1067, R803	UAA	133,556	
93.RD		Dartmouth College	LTR DTD 101315	ASA	61,210	
93.RD		Dignity Health Medical Foundation	1032238-ASU	UAA	433	
93.RD		Dignity Health St. Joseph's Hospital: Barrow Neurological Institute		ASA	150,033	
93.RD		Dine College	1819-7-512	NAA	280,762	
93.RD		Drexel University	800115	UAA	17,516	
93.RD		Duke University	2034100	ASA	28,295	
93.RD		Duke University	2032594, 2034698, 243950, 2938081, A030458, A030571, A030929	UAA	343,052	
93.RD		Eden Medical, Incorporated	5R4308372-03	UAA	9,393	
93.RD		Electrosonix LC	UA-NIH-01202019	UAA	9,161	
93.RD		El Rio Community Health Center	1H79M0807320901UASIROW	UAA	11,643	
93.RD		Emory University	T186690	ASA	180,031	
93.RD		Emory University	A003364, A119183, LTR DTD 071817, T573541 (T108311), T662106 / T472566, T825651	UAA	272,880	
93.RD		Florida International University	800009094-01UG, 800009596-01UG, 800010310-01UG	ASA	55,306	
93.RD		Florida State University	R01887	NAA	36,121	
93.RD		Fred Hutchinson Cancer Research	0000918101 // 0000966759 // 0000991517, 834509 / 0000940232, 0000917241 // 0000947290, 0000917241 // 0000947290, 834509 / 0000940232	ASA	463,542	
93.RD		Georgia Institute of Technology	RH335-G3/AWD-101109-G3	ASA	87,985	
93.RD		George Washington University	16-M42	NAA	10,241	
93.RD		Glycosurf	R43ES029423	UAA	56,772	
93.RD		Gretchen Swanson Center for Nutrition	PO0400286/HHSN26320150003 71	UAA	16,518	
93.RD		Hawaii Pacific University	ASU-232710	ASA	37,931	
93.RD		Health Research, Incorporated	5850-01	UAA	28,863	
93.RD		Hopi Tribe	19-038/H-009-2019	UAA	68,847	
93.RD		Illinois Institute of Technology	SA16-0061-S007 / SA619-0614-10011	ASA	8,382	
93.RD		INanoBio, Inc.	2018-NIH-ASU-001	ASA	16,587	
93.RD		Indiana University	BL4624905UA, IN4684790UA, IN4686318UA, IN4687827AZ, IN-4687948-UA/2051182	UAA	482,087	
93.RD		Inovasc, LLC	LTR DTD 012717	UAA	12,434	
93.RD		Inter Tribal Council of Arizona, Incorporated	LTR DTD 011819, U261IHS0077	UAA	211,538	
93.RD		Jaeb Center for Health Research	278/U10EY14231, U10EY11751	UAA	260	
93.RD		Johns Hopkins University	2002818820, 2002168219	ASA	153,681	
93.RD		Johns Hopkins University	2002901275, 2003252048	UAA	30,381	
93.RD		Kaiser Permanente	KR100302/NW14NLind-01, 210015-ASU	ASA	35,709	
93.RD		Kent State University	403029-ASU	ASA	75,356	
93.RD		Kent State University	403040-UAZ	UAA	57,848	
93.RD		Leidos Biomedical Research Incorporated	16X118	ASA	226,322	
93.RD		Leidos Biomedical Research Incorporated	18X136	UAA	180,311	
93.RD		March of Dimes National Foundation	LTR DTD 061616	UAA	5,900	
93.RD		Maricopa County Department of Public Health	C-86-16-013-3-01	ASA	106,206	
93.RD		Massachusetts General Hospital	228609	ASA	4,040	
93.RD		Massachusetts General Hospital	233737	UAA	11,183	

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93.RD		Mayo Clinic Arizona	ARI-234122, PO 66175625, ARI-216755, ASU-231792, ARI-216105/PO 64785804, ARI-236765/PO 66357349, ARI-234122, PO 66175625, ASU-231792	ASA	473,642	
93.RD		Mayo Foundation for Medical Education and Research	BAN-224063, UNA-224063	UAA	2,694	
93.RD		Medical College of Wisconsin	R01AI083281	UAA	49,630	
93.RD		Medical University of South Carolina	MUSC18-037-8D257	ASA	12,032	
93.RD		Medical University of South Carolina	MUSC15-054	UAA	64,708	
93.RD		Mercy Health	FD005476-1220-03, FD005476-1220-03, FD005476-1220-03	ASA	51,444	
93.RD		Michigan State University	RC100146ASU	ASA	25,710	
93.RD		Michigan State University	RC105782UAZ, RC105782UAZPH	UAA	87,541	
93.RD		Modulated Imaging, Inc	LTR DTD 122217	UAA	18,703	
93.RD		Montana State University	G118-19-W7169, G190-19-W7658	NAA	12,052	
93.RD		MRIGlobal	708-110998-2	ASA	849,565	
93.RD		National Jewish Health	20112501A	UAA	722,139	
93.RD		National Marrow Donor Program	TC85/BMT CTN 0702/1 U01 HL6	UAA	1,640	
93.RD		Native American Connections	FP00015617	ASA	28,217	
93.RD		Native Americans for Community Action	N/A	NAA	47,666	
93.RD		Native Health	FP00016914, FP00016743, FP00016743	ASA	102,053	
93.RD		Navajo Nation	CO13159	NAA	82,989	
93.RD		NeurOp, Inc.	FP00013054	ASA	63,479	
93.RD		New England Research Institutes	BEST-CLI	UAA	1,225	
93.RD		New York University	18-A1-00-007561	ASA	9,260	
93.RD		Noguchi Memorial Institute for Medical Research (Ghana)	1U54HG010275-01	UAA	7,583	
93.RD		Northern Arizona University	1003703-01	UAA	34,657	
93.RD		Northwestern University	60036404UA, 60047539 UA	UAA	83,419	
93.RD		NRG Oncology	ACC/Alberts - NCORP-01, CA21661, GOG225-04	UAA	362,719	
93.RD		Ohio State University	60067960	ASA	2,157	
93.RD		Ohio State University	60045178, 60059059, 60062218/RF01500027, 60064759, 60065080	UAA	114,831	
93.RD		Omniscient LLC	2R42CA203212-UA01	UAA	139,163	
93.RD		Oregon Health and Science University	1015586_ASU	ASA	39,893	
93.RD		Oregon Health and Science University	1008329_UAZ, 1008719_UAZ, 1013209_UAZ, CA-32102	UAA	456,009	
93.RD		Oregon Research Behavioral Intervention Strategies	LTR DTD 080318	UAA	77,759	
93.RD		Oregon Research Institute	R01DA033422	UAA	4,804	
93.RD		Pacific SW Regional Center of Excellence	A18-0612-S003	NAA	24,926	
93.RD		Pennsylvania State University	4899-ASU-DHHS-9245, 5473-ASU-DHHS-0659, 5473-ASU-DHHS-0659, 5473-ASU-DHHS-0659	ASA	414,288	100,347
93.RD		Pharmaceutical Product Development, LLC.	LTR DTD 030617	UAA	29,944	
93.RD		Pima County, Arizona	CTCA19331	UAA	65,569	
93.RD		Profectus BioSciences, Inc	16-439	ASA	22,821	
93.RD		Profusa, Inc.	LTR DTD 062317	UAA	14,971	
93.RD		Protein Genomics	R41DK112416	NAA	62,258	
93.RD		Purdue University	11000520-005	UAA	78,784	
93.RD		RAND Corporation	9920150101	ASA	14,883	
93.RD		ReStore Therapeutics	R41HL140741	UAA	48,046	
93.RD		Rhode Island Hospital	7137063, 7137207, 7137472WP	UAA	138,463	
93.RD		Roswell Park Cancer Institute	280-02, 281-02	UAA	126,166	
93.RD		RTI International	888151629/1312021525152512L	UAA	15,273	
93.RD		Rutgers University	0748 ; 0235, 0748 ; 0235, 6039	ASA	458,516	
93.RD		Sage Bionetworks	AMPT2018UAZ	UAA	128,787	
93.RD		Salish Kootenai College	24-185-NRH14-NAU	NAA	6,529	823
93.RD		Sonoran Biosciences	FP00006538	ASA	7,411	
93.RD		Southern Research Institute	S15-110, S16-111	UAA	218,645	
93.RD		St. Louis University	20823-43590	UAA	18,983	
93.RD		Stanford University	61123652-118332, 61892366-125439	UAA	186,950	
93.RD		State University of New York	84814/2/1154145	UAA	160,811	
93.RD		State University of New York: Albany	18-1	ASA	37,311	
93.RD		State University of New York Research Foundation	83878	UAA	107,596	
93.RD		Sylvatica Biotech, Inc.	LTR DTD 030618	UAA	36,969	
93.RD		Temple University	261331-Arizona	UAA	8,981	
93.RD		Texas A&M University	M1702986	ASA	31,644	
93.RD		TF Health Corporation	13043968, FP00013132, 14010042	ASA	192,186	
93.RD		The Center for Comprehensive Care and Diagnosis of Inherited Blood Disorders	CIBDIX2014HRSA-AZHSC	UAA	24,268	
93.RD		The Childrens Hospital of Philadelphia	3200590222	ASA	7,064	
93.RD		The Mind Research Network	6010509 SubN4	UAA	9,359	
93.RD		Translational Genomics Research Institute	HUENTELMAN-14-01	UAA	104,042	
93.RD		University of Alaska: Anchorage	P0513858	NAA	21,834	
93.RD		University of Arizona	300664, 300664, LTR 08/02/17, 518121, 300664, 425243, PO 294145	ASA	287,605	12,000

State of Arizona
Schedule of expenditures of federal awards
Year ended June 30, 2019

CFDA/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 Arizona	289030	NAA	156,265	
93.RD		University of California: Davis	201600672-01 ; A16-0127-S001, A18-0145-S001, A18-1798-S001, 201600672-01 ; A16-0127-S001, A19-0461-S001, A18-1798-S001	ASA	117,950	
93.RD		University of California: Davis	20130349501, 20140020-03, A17-0224-S003, A18-0612-S002, A18-0612-S006, A18-0612-S008	UAA	125,224	
93.RD		University of California: Irvine	2015-3292, 2018-3562	ASA	113,003	
93.RD		University of California, Irvine	2017-3460, 2017-3493	UAA	628,984	
93.RD		University of California: Los Angeles	2000 G VC638, 2015 G TA231, 2015 G TA231, 1920 G TA046, 2015 G TA231, 2015 G TA231, 2000 G VC638, 2015 G TA231, 2015 G TA231, 2015 G TA231	ASA	419,985	
93.RD		University of California: Los Angeles	1560GWB070, 1568 G TA550, 1930 G WA 139, 1930GVA171, 5415 G UA003	UAA	680,077	
93.RD		University of California: Regents	5415 G WA146	ASA	50,007	
93.RD		University of California: San Diego	118304560	ASA	16,364	
93.RD		University of California: San Francisco	9193sc, 9193sc	ASA	89,916	
93.RD		University of California: San Francisco	10278sc, 10281sc, 10474sc, 11203SC	UAA	79,667	
93.RD		University of Chicago	FP059782	UAA	37,099	
93.RD		University of Cincinnati	010785-135736	UAA	4,947	
93.RD		University of Colorado	2-5-A5331/FY17.869.001, FY17.583.001	UAA	58,022	
93.RD		University of Colorado: Boulder	1554230/1000702738, 1555595, 1557575	UAA	80,392	
93.RD		University of Colorado: Colorado Springs	16098001	UAA	9,414	
93.RD		University of Colorado: Denver	FY19.347.001	UAA	12,260	
93.RD		University of Florida	UFDSP00011482, UFDSP00011920/P0053665	UAA	249,154	
93.RD		University of Ghana	5U54DK116913-08, LTR DTD 031918	UAA	206,412	
93.RD		University of Haifa	0601146321	UAA	1,916	
93.RD		University of Hawaii	MA1329	ASA	43,506	
93.RD		University of Houston	R-13-0079	ASA	15,610	
93.RD		University of Idaho	BJKQ60-SB-001	UAA	57,710	
93.RD		University of Illinois: Board of Trustees	077432-16959	ASA	20,333	
93.RD		University of Illinois: Chicago	16014/1R01HS024850-01, 16974-00, 17101	UAA	124,016	2,615
93.RD		University of Iowa	S00609-01	UAA	14,973	
93.RD		University of Kansas: Medical Center Research Institute (KUMCRI)	ZAB00070	ASA	142,050	
93.RD		University of Maryland: Baltimore	1600589	UAA	31,370	
93.RD		University of Massachusetts	OSP2017011	UAA	34,231	
93.RD		University of Massachusetts Amherst	18010058A00	UAA	114,299	
93.RD		University of Massachusetts Medical School	OSP2017022/WA00461501	UAA	269,489	
93.RD		University of Miami	G02924	UAA	24,482	
93.RD		University of Michigan	3004052125	ASA	161,856	
93.RD		University of Michigan	3004133794, 3004694011, 5000002949/3004674859-PNT, 5000002949/SUBK00004101-ESE, SUBK00008157, SUBK00010518	UAA	93,899	
93.RD		University of Minnesota	A005780001, A005780001, N006264806	ASA	148,374	
93.RD		University of Missouri - Columbia	C00041867-1/1R01DE23342-01A	UAA	49,565	
93.RD		University of Nebraska	34-1905-2241-002	UAA	5,909	
93.RD		University of New Mexico	3RBV7	NAA	18,012	
93.RD		University of North Texas: Health Science Center	RN0127-2015-0147	ASA	48,252	
93.RD		University of Pennsylvania	573999	UAA	158,745	
93.RD		University of Pittsburgh	0039039 (124354-1), 0032637 (124146-1), 0039039 (124354-1), 0061993 (131868-1)	ASA	401,948	162,789
93.RD		University of Pittsburgh	0057835 (130336-2)	NAA	5,177	
93.RD		University of Pittsburgh	0036811 (127878-1), 0057127(130219-1), 0057835(130366-3), 0061325(130908-1), 9012549 (131692-31), 9013520 (131044-2), CNVA00050256, CNVA00061907 (131917-1)	UAA	199,940	
93.RD		University of Puerto Rico	2017-000356, 2017-000356	ASA	85,195	
93.RD		University of South Carolina	19-3732 PO2000043018	UAA	15,737	
93.RD		University of South Florida	5830-1514-00-A	NAA	31,456	
93.RD		University of Southern California	87455540, 109745588	ASA	93,699	
93.RD		University of Southern California	75775879, 75836590, 92389883/10606079	UAA	62,935	
93.RD		University of Tennessee	19-1404-AZ	UAA	14,073	
93.RD		University of Texas: Austin	UTA12-000966, UTA13-000382	ASA	5,256	
93.RD		University of Texas: Austin	UTA16001167, UTA17001069	UAA	44,259	
93.RD		University of Texas: Dallas	1705264	UAA	221,397	
93.RD		University of Texas: El Paso	226141271B, 226141271B	ASA	59,180	
93.RD		University of Texas: El Paso	226141271C	UAA	46,887	
93.RD		University of Texas: MD Anderson Cancer Center	3001141227, 3001208265	UAA	252,976	
93.RD		University of Texas Medical Branch	PO 1630	NAA	2,397	

State of Arizona
Schedule of expenditures of federal awards
Year ended June 30, 2019

CFDA/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: Southwestern Medical Center	GMO 191207, GMO171211	ASA	75,485	
93.RD		University of Toronto	Subgrant1 - 505083	ASA	15,202	
93.RD		University of Vermont	31331SUB0002	UAA	44,981	
93.RD		University of Virginia	GB10462. 2180539, GB10275	ASA	83,133	
93.RD		University of Washington	UWSC9288, UWSC9940, UWSC9288	ASA	45,311	
93.RD		University of Washington	BPO4344/UWSC7538, UWSC10836, UWSC8146/5R01HD080670-02/B	UAA	413,937	
93.RD		University of Wisconsin:Madison	809K126	ASA	32,939	
93.RD		University of Wisconsin:Madison	774K421, 787K312, 847K512	UAA	503,180	
93.RD		Utah State University	1R21DC016084-01, 1R21DC016084-01, 1R21DC016084-01	ASA	88,756	
93.RD		Valle del Sol	LTR 12/19/16	ASA	46,929	
93.RD		Valley Fever Solutions, Incorporated	U01AI112406	UAA	821	
93.RD		Washington State University	127105-G003752	UAA	167,008	
93.RD		Washington University in St. Louis	WU-15-404, WU-19-90	UAA	25,825	
93.RD		Weill Cornell Medicine	171013	UAA	17,033	
93.RD		Yale University	GR104843(CON-80001535), R01HL125918	UAA	3,393	
	Department of Health and Human Services Subtotal				<u>213,322,599</u>	<u>25,759,457</u>
	<u>Corporation for National and Community Service</u>					
94.RD	Corporation for National and Community Service			ASA	935,717	536,636
94.RD		Arizona Governors Office of Youth, Faith and Family	AC-VGF-18-060118-01Y2	ASA	25,973	
	Corporation for National and Community Service Subtotal				<u>961,690</u>	<u>536,636</u>
	<u>Social Security Administration</u>					
96.RD		Creare LLC	S606 / PO#93967, S606 / PO#93967	ASA	54,837	
	Social Security Administration Subtotal				<u>54,837</u>	<u>-</u>
	<u>Department of Homeland Security</u>					
97.RD	Department of Homeland Security			ASA	3,552,525	1,578,951
97.RD	Department of Homeland Security			NAA	1,129,222	
97.RD	Federal Emergency Management Agency			UAA	509,653	99,715
97.RD		Duke University	343-0849	UAA	328,321	
97.RD		National Development and Research Institutes, Incorporation	653B	UAA	112,961	
97.RD		SureScan Corporation	HSHQDC-16-C-B0014	UAA	614,311	260,152
97.RD		TGEN	HSHQDC-16C-B0031	NAA	324,704	
	Department of Homeland Security Subtotal				<u>6,571,697</u>	<u>1,938,818</u>
	<u>Agency for International Development</u>					
98.RD	United States Agency for International Development			ASA	5,990,947	1,295,630
98.RD		Auburn University	14-AGR-368044-UA	UAA	13,406	10,640
98.RD		ICF International, LLC	18MSSK0127/AID-OAA-TO-16-00	UAA	13,503	
98.RD		International Research and Exchanges Board (IREX)	FY-18-PTEA-ASU-01	ASA	167,417	
98.RD		Purdue University	F9001228702146	UAA	7,015	
	Agency for International Development Subtotal				<u>6,192,288</u>	<u>1,306,270</u>
	<u>Miscellaneous Federal Agencies</u>					
99.RD		Ohio State University	60065533	UAA	79,721	
99.RD		University of Southern California	98543274/W912HQ-14-C-0051	UAA	48,238	
	Miscellaneous Federal Agencies Subtotal				<u>127,959</u>	<u>-</u>
	Total Research and Development Cluster				<u>620,243,132</u>	<u>104,808,875</u>
	Total Expenditures of Federal Awards				<u>\$ 17,598,491,222</u>	<u>\$ 1,772,491,609</u>

State of Arizona

Notes to the Schedule of Expenditures and Federal Awards

Year Ended June 30, 2019

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, 2019; 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 - Catalog of Federal Domestic Assistance (CFDA)/Identifying Number

The program titles and CFDA numbers were obtained from the federal or pass-through grantor or the *2019 Catalog of Federal Domestic Assistance*. When a CFDA 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, 2019

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	CFDA Number	Loan Balances Outstanding at June 30, 2019
Education and Human Resources	47.076	\$ 397,650
ARRA—Trans-NSF Recovery Act Research Support	47.082	252,050
Federal Perkins Loan Program—Federal Capital Contributions	84.038	22,039,750
Nursing Faculty Loan Program (NFLP)	93.264	6,936,591
Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students	93.342	5,701,750
Nursing Student Loans	93.364	695,823
ARRA—Nurse Faculty Loan Program	93.408	159,532

Note 5 - Donation of Federal Surplus Personal Property

The value of the Donation of Federal Surplus Personal Property (CFDA number 39.003) program reported in the schedule is based on a “market basket formula” developed by the U.S. General Services Administration. This market basket formula represents 23.68 percent of the original federal acquisition cost, totaling \$62,565 for the year ended June 30, 2019.

Note 6 - Unemployment Insurance (CFDA No. 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, 2019

The amount presented in the schedule consists of the following:

Regular unemployment compensation benefits	\$227,838,073
Federal Additional Compensation (FAC) Recoupment	(257,724)
Unemployment compensation for federal employees	2,121,895
Unemployment compensation for ex-service members	557,134
Administrative costs	<u>37,104,131</u>
Total expenditures	<u>\$267,363,509</u>

Note 7 - 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.

Appendix

State of Arizona
State of Arizona agency codes
Year Ended June 30, 2019

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
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

March 27, 2020

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

Dear Ms. Perry:

We have prepared the accompanying corrective action plans as required by the standards applicable to financial audits contained in Government Auditing Standards and by the audit requirements of the 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, response for corrective action, the corrective action planned, and the anticipated completion date.

Sincerely,

Ray Di Ciccio
Deputy Director

cc: Nicole Franjevic
Amanda Compton

State of Arizona
Corrective action plan
Year ended June 30, 2019

Financial statement findings

2019-01

Managing risk

Agency: Department of Administration

Name of contact person and title: Ray Di Ciccio, Interim Comptroller

Anticipated completion date: Unknown

Agency's response: Concur

The State is actively working to correct all issues related to the access of its IT resources. State-wide risk-assessment processes will be expanded to include IT security. The State has developed policies and procedures and will be documenting additional processes. Each agency has developed a detailed corrective action plan to address this finding.

2019-02

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

Agency: Department of Administration

Name of contact person and title: Ray Di Ciccio, Interim Comptroller

Anticipated completion date: Unknown

Agency's response: Concur

The State is actively working to correct all issues related to the access of its IT resources. IT systems access is of the utmost importance to the State. Policies and procedures have been implemented or are being developed to address any gaps. Each agency has developed a detailed corrective action plan to address 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

Agency: Department of Administration and State Treasurer's Office

Name of contact persons and titles: Ray Di Ciccio, Interim Comptroller

Jackie Harding, Deputy Treasurer of Operations

Anticipated completion date: Unknown

Agency's response: Concur

The State Treasurer's Office (STO) and Arizona Department of Administration (ADOA) are meeting monthly to discuss and implement improvements to this process including knowledge transfer, training and more frequent reconciliation. Additionally, STO is currently updating their internal documentation and general ledger system. Further, we note STO received a clean audit on its financial statements, and this finding has to do with reconciling the STO general ledger with the ADOA accounting system.

State of Arizona

Corrective action plan

Year ended June 30, 2019

2019-04

The Department of Revenue did not ensure it collected all income taxes that are due to the State

Agency: Department of Revenue

Name of contact person and title: Mike Devine, ADOR Chief Internal Auditor

Anticipated completion date: June 2020

Agency's response: Concur

For the 2019 tax year, the Department is 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 is sending letters to the taxpayers requesting that they review their return information. The Department is also working on a project to develop methods to collect and capture W-2 and Form 1099 data and develop a tool to perform a reconciliation process for withholding and individual income taxes. The Department plans to complete this project by the end of fiscal year 2020.

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

Agency: Department of Revenue

Name of contact person and title: Mike Devine, ADOR Chief Internal Auditor

Anticipated completion date: Unknown

Agency's response: Concur

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 that call in to the Department. In February 2020, the Department contracted for a feasibility study for replacing the tax administration system. This study will assess the Department's current tax system, develop the scope of work necessary for procuring a new tax system, and identify funding options for the new tax system. The Department will use this study to develop a budget request for a new tax system. The study should be completed by the end of June 2020. 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

Agency:

Name of contact persons and titles: Ray Di Ciccio, Interim Comptroller

Mike Townsend, Administrator and Mike Smarik, Deputy Administrator

Anticipated completion date: September 2020

Agency's response: Concur

State of Arizona
Corrective action plan
Year ended June 30, 2019

The Department of Administration and the Public Safety Personnel Retirement System will collaborate on establishing procedures to ensure the accuracy of employee data reported to actuaries.

See the Universities Responses section at the end of this report for the corrective action plans for findings 2019-07 through 2019-08.

2019-09

PSPRS' inadequate controls over the financial statement compilation process

Agency: Public Safety Retirement System

Name of contact persons and titles: Mike Townsend, Administrator and Mike Smarik, Deputy Administrator

Anticipated completion date: September 2020

Agency's response: Concur

Public Safety Personnel Retirement System (PSPRS) will review its internal controls and make necessary improvements. An Audit Committee was established in October 2019, which will oversee the implementation of internal control enhancements. Additionally, PSPRS will implement a new General Ledger system that will help to ensure effective internal controls are in place and allow for month and year-end closing.

2019-10

Internal Controls for Revenue and Fuel Tax Administration Department

Agency: Department of Transportation

Name of contact person and title: Tim Newton, Deputy CFO

Anticipated completion date: January 31, 2020

Agency's response: Concur

The Arizona Department of Transportation (ADOT) concurs with the finding and is in the process of transitioning the cash handling function from RFTA to MVD. It is anticipated this transition will be complete by 1/31/2020. Upon completion the cash handling duties for all of the business units located at 1801 W. Jefferson will be transitioned to an MVD unit who does not have any reconciliation or transactional ability. Business units at 1801 will bring any cash and check deposits to the MVD unit. They will receipt for the deposits to the business unit, compile all cash deposits, and coordinate the Loomis pickup. Any checks received by 1801 business units will be sent to receipts accounting unit for scanning and depositing with BOA.

Both MVD and FMS will do a weekly reconciliation between the cash receipts and Loomis pickup log. Standard work will be developed with MVD before transition of cash handling is completed.

State of Arizona
Corrective action plan
Year ended June 30, 2019

Federal award findings and questioned costs

2019-101

CFDA numbers and program names: Various
 Agency: Department of Administration
 Name of contact person and title: Ray Di Ciccio, Interim Comptroller
 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 probably 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 (DHHS-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.

2019-102

CFDA numbers and program 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
 Name of contact person and title: Lela Wendell, Program Administrator
 Anticipated completion date: December 2021
 Agency's Response: Concur

The DES Child Care Administration (CCA) concurs with the finding and is in the initial planning process to modernize the technology used for the documentation, collection, and maintenance of child care assistance case records. The key milestone dates for this project are listed below with the respective action owners and due dates. The project is planned for completion by December 2021.

Action	Owner	Due Date
Add AzCCATS systems screens to record income calculations and changes (requires multiple phases)	CCA IT	January 2021 (in process)
Review and update eligibility case records standard work	CCA Eligibility Program Managers	October 2020
Develop indexing method for case records	CCA Eligibility Program Managers	January 2021

State of Arizona
Corrective action plan
Year ended June 30, 2019

Action	Owner	Due Date
Create project plan to implement OnBase for eligibility case records & transfer existing cases to OnBase	CCA Eligibility Program Managers	March 2021
Begin OnBase implementation for new applications	CCA Eligibility Program Managers	July 2021
Transfer existing cases to OnBase	CCA Eligibility Program Managers	December 2021

2019-103

CFDA number and program name: 84.010 Title I Grants to Local Educational Agencies

Agency: Department of Education

Name of contact persons and titles: Keith Snyder, Deputy Associate Superintendent, Educator and School Excellence
 Wendy Davy, Chief Accountability Officer

Anticipated completion date: June 2020

Agency's Response: Concur

The Arizona Department of Education's Accountability Department will work with the Educator and School Excellence Section (ESE) to create a policy and procedure by June 30, 2020 to properly review and audit the Pupil Withdrawal forms used to calculate graduation, dropout rates, as well as persistence rates. The process moving forward will include an audit of the Pupil Withdrawal forms. LEA and school administrators that are found to not be in compliance will be required to attend training, sign assurances, and/or be subject to a mandatory audit the next year. The policy and procedure will be evaluated quarterly and updated as needed.

2019-104

CFDA number and program name: 93.659 Adoption Assistance

Agency: Department of Child Safety

Name of contact person and title: Ana Molloy, Grants, Cost & Reporting Manager

Anticipated completion date: Fiscal Year 2021

Agency's Response: Concur

The Department of Child Safety (Department) acknowledges the need to improve controls for requesting federal reimbursement. The Department's financial management continues to explore options to ensure compliance with federal reimbursement requirements. In Fiscal Year 2020, the Department strengthened its internal controls for ensuring funding technique compliance with the Treasury-State Agreement (TSA).

The following action items will be implemented:

- 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 separation of

State of Arizona
Corrective action plan
Year ended June 30, 2019

expenses in such a manner will create greater transparency for the Department to align the necessary funding technique for reimbursement.

- The Department is also in the process of creating specific Cash Management Improvement Act (CMIA) compliance workbooks that will ensure bi-weekly draws will occur in only 26 transactions.
- The Department will update its policies and procedures accordingly.

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

March 27, 2020

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

Dear Ms. Perry:

We have prepared the accompanying schedule of prior audit findings as required by the standards applicable to financial audits contained in Government Auditing Standards and by the audit requirements of the 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,

Ray Di Ciccio
Deputy Director

cc: Nicole Franjevic
Amanda Compton

State of Arizona
Summary schedule of prior audit findings
Year ended June 30, 2019

Status of financial statement findings

2018-01

Managing risk
Year finding initially occurred: FY 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.

2018-02

Information technology (IT) controls-access, configuration management, security, and contingency planning
Year finding initially occurred: FY 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.

2018-03

The Arizona Department of Administration's Data Center should strengthen its contracts with state agencies
Year finding initially occurred: FY 2015
Status: Not corrected

The reason for the recurrence of 2018-03 was that the State Data Center was in the process of being completely relocated during FY 19. The Arizona Strategic Enterprise Technology Office (ASET) will work with the ASET Director of Strategic Portfolio Management and the Data Center Manager to develop a Shared Hosted Data Center customer responsibility document to include with agency contracts by the end of FY 2020.

2018-04

Department of Child Safety (DCS)-duplicate revenue transactions recorded
Year finding initially occurred: FY 2018
Status: Fully corrected

State of Arizona

Summary schedule of prior audit findings

Year ended June 30, 2019

2018-05

Department of Revenue (DOR)-processing income tax revenues
Year finding initially occurred: FY 2006
Status: Partially corrected

Due to the complexity of the finding and lack of necessary resources, the Department was unable to remediate the finding during the fiscal year.

To address the IT system limitations, in October 2018, the Department began work on a project meant to develop methods to collect and capture W2 and 1099 data provided by employers, and to develop a tool that can adequately perform a 3-way reconciliation process within 2 tax types: Withholding and Individual Income. Essentially, the result of this project will be reporting that identifies discrepancies between information included on tax returns and information provided by employers, which the Department will investigate to ensure that all income taxes are collected and reported. The Department anticipates that this project will be completed by the end of fiscal year 2020.

In addition, for tax year 2019 the Department has begun engaging contract staff in a pilot project designed to match W-2 withholding data supplied electronically by employers to the amount of withholding reported by taxpayers. If the taxpayer reports more withheld than the employer reports, the return will be flagged for review and adjustment.

2018-06

Department of Insurance (DOI)-reporting estimated liabilities associated with insolvent insurance carrier loss
Year finding initially occurred: FY 2018
Status: Fully corrected

See the Universities Responses section at the end of this report for the summary schedule of prior audit findings for findings 2018-07 through 2018-10.

2017-08

The Department of Education should reconcile its internal information system to the State's general ledger accounting system
Year finding initially occurred: FY 2017
Status: Fully corrected

2017-09

The Department of Insurance should improve its workers' compensation claim management process over insolvent insurance carriers
Year finding initially occurred: FY 2016
Status: Fully corrected

State of Arizona
Summary schedule of prior audit findings
Year ended June 30, 2019

See the Universities Responses section at the end of this report for the summary schedule of prior audit findings for finding 2017-17.

Status of federal award findings and questioned costs

2018-101

CFDA numbers and names: Various
Agency: Department of Administration
Year finding initially occurred: FY 2011
Status: Not corrected

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.

2018-102

CFDA numbers and names: 84.126 Rehabilitation Services Vocational Rehabilitation Grants to States
93.558 Temporary Assistance for Needy Families
Agency: Department of Economic Security
Year finding initially occurred: FY 2017
Status: Fully corrected

2018-103

CFDA number and name: 84.126 Rehabilitation Services Vocational Rehabilitation Grants to States
Agency: Department of Economic Security
Year finding initially occurred: FY 2017
Status: Fully corrected

State of Arizona
Summary schedule of prior audit findings
Year ended June 30, 2019

2018-104

CFDA numbers and names: 84.126 Rehabilitation Services Vocational Rehabilitation Grants to States
84.390 ARRA—Rehabilitation Services—Vocational Rehabilitation Grants to States, Recovery Act

Agency: Department of Economic Security

Year finding initially occurred: FY 2010

Status: Fully corrected

2018-105

CFDA number and name: 84.126 Rehabilitation Services Vocational Rehabilitation Grants to States

Agency: Department of Economic Security

Year finding initially occurred: FY 2018

Status: Fully Corrected

2018-106

CFDA number and name: 93.558 Temporary Assistance for Needy Families

Agency: Department of Economic Security

Year finding initially occurred: FY 2017

Status: Fully corrected

2018-107

CFDA number and name: 93.658 Foster Care Title IV-E

Agency: Department of Child Safety

Year finding initially occurred: FY 2016

Status: Fully corrected

2018-108

CFDA numbers and names: 93.659 Adoption Assistance

93.658 Foster Care Title IV-E

Agency: Department of Child Safety

Year finding initially occurred: FY 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.

State of Arizona

Summary schedule of prior audit findings

Year ended June 30, 2019

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 Department will update its policies and procedures accordingly.

The finding is anticipated to be fully corrected in Fiscal Year 2021.

2018-109

CFDA numbers and names: 93.558 Temporary Assistance for Needy Families
93.658 Foster Care Title IV-E
93.659 Adoption Assistance
93.667 Social Services Block Grant

Agency: Department of Child Safety
Year finding initially occurred: FY 2017
Status: Fully corrected

2018-110

CFDA number and name: 93.917 HIV Care Formula Grants
Agency: Department of Health Services
Year finding initially occurred: FY 2018
Status: Fully corrected

2018-111

CFDA number and name: 93.917 HIV Care Formula Grants
Agency: Department of Health Services
Year finding initially occurred: FY 2018
Status: Fully corrected

2018-112

CFDA number and name: 93.917 HIV Care Formula Grants
Agency: Department of Health Services
Year finding initially occurred: FY 2018
Status: Fully corrected

State of Arizona

Summary schedule of prior audit findings

Year ended June 30, 2019

2018-113

CFDA numbers and names: 84.027 Special Education—Grants to States
84.173 Special Education—Preschool Grants

Agency: Department of Education
Year finding initially occurred: FY 2017
Status: Fully corrected

2018-114

CFDA number and name: 10.558 Child and Adult Care Food Program
Agency: Department of Education
Year finding initially occurred: FY 2015
Status: Fully corrected

2018-115

CFDA number and name: 84.048 Career and Technical Education—Basic Grants to States
Agency: Department of Education
Year finding initially occurred: FY 2018
Status: Fully corrected

2018-116

CFDA 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: FY 2018
Status: Partially corrected

The Department will submit its Corrective Action Plan to the U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration (WSFR) Region 2 Office in October 2019. Upon the review and acceptance by the WSFR Regional and Headquarter Offices, the CAP may be considered Fully Corrected.

The Arizona Game and Fish Department has implemented the following:

- Issued a directive to all employees on guidance for recording leave.
- Fund Eligibility training for employees to charge the costs of their activities to a funding source that is eligible and allowable for that activity, and to track time according to 2 CFR 200.430 – 431.
- In coordination with WSFR Region 2, opened an O&M specific grant for boating access activities.
- Funding multiyear projects, agreements, and subscriptions with non-WSFR funds or with stand-alone multiyear project specific grants.
- Submitted its plan to adhere to the Statewide policy included in the State's Grant Management Manual Grantor Section 8.2.1, that mandates sub-recipient monitoring.
- Chartered a team to implement improvements to the tracking of volunteer efforts. Utilizing a centralized volunteer tracking management system.
- Procedures for more frequent reconciliation of revenue entries.

State of Arizona

Summary schedule of prior audit findings

Year ended June 30, 2019

The following actions are in the process of being implemented:

- Developing a time study to provide guidance to all supervisors to charge the costs associated with direct administrative activities of subordinate employees to the fund source coded by the subordinate employee.
- Ongoing training of volunteers and employees that utilize volunteers.
- Incorporating language into the Comprehensive Management System grant narrative to update when job statements change or to address compliance issues when they arise with a Directive to follow.
- Updating agreement tracking checklist to ensure proper review and vetting of agreements and to include information on third-party risk assessments, compliance with the Federal Funding and Accounting Transparency Act so data can be posted on USASpending.gov, and that federal funds are reimbursement and not to be advanced except in limited and preapproved situations.

2017-107

CFDA number and name: 84.011 Migrant Education—State Grant Program

Agency: Department of Education

Year finding initially occurred: FY 2017

Status: Fully corrected

See the Universities Responses section at the end of this report for the summary schedule of prior audit findings for finding 2017-113.

2017-124

CFDA number and name: 93.558 Temporary Assistance for Needy Families

Agency: Department of Economic Security

Year finding initially occurred: FY 2017

Status: Fully corrected

2017-126

CFDA number and name: 93.092 Affordable Care Act (ACA) Personal Responsibility Education Program

Agency: Department of Health Services

Year finding initially occurred: FY 2017

Status: Fully corrected

2016-110

CFDA number and name: 10.557 Special Supplemental Nutrition Program for Women, Infants and Children

Agency: Department of Health Services

Year finding initially occurred: FY 2016

Status: Fully corrected

State of Arizona

Summary schedule of prior audit findings

Year ended June 30, 2019

2016-118

CFDA number and name: 17.225 Unemployment Insurance

Agency: Department of Economic Security

Year finding initially occurred: FY 2015

Status: Partially corrected

Reasons for finding's recurrence:

ETA 227—The ETA 227 report is quite complex and requires an independent test of every identifiable scenario for each cell on the ETA 227 report.

ETA 227 EUC—Due to the similarities, the investigation into the ETA 227 EUC report will begin after the ETA 227 report errors are identified and corrected.

ETA 581—Although there have been changes, the conditions that caused the ETA 581 report to be inaccurate still exist.

Action taken to date:

ETA-191 – Fully corrected

TAPR – Fully corrected

ETA 227—

- A programmer began the process of reviewing the existing logic to learn how recoveries are currently applied. The programming changes to recover for penalty were completed 6/12/2019

ETA 581—

- System changes were made to correct the six ETA 581 reports were implemented before the end of April 30, 2019
- A series of adhoc reports were run to capture accuracy of the ETA 581 reports as a result of the system changes.
- The ETA 581 was verified as accurate by the TPS/DV Coordinator

Remaining planned action:

ETA 227—

- Programming changes for correctly applying recoupments towards penalty balances in GUIDE will be made, tested and migrated (testing and migration are still required). An analyst is currently working to become knowledgeable in the overpayment space to ensure valid testing can occur. Because the overpayment recover rules are so complex, it is expected that the analyst will be ready to begin testing in August 2019.
- Programming changes for correctly applying changes on the ETA 227 report after a data set will be made, tested and migrated.
- The analyst will test the ETA 227 report and Data Validation Population(s) in order to identify the remaining points of failure, document requirements, make programming changes, test changes, and migrate the changes in production.

ETA 227 EUC—The investigation for ETA 227 EUC report will begin once the ETA 227 report has been corrected.

State of Arizona

Summary schedule of prior audit findings

Year ended June 30, 2019

ETA 581—

- Monitor the production ETA 581 reports with the TPS / DV Coordinator to ensure the accuracy of the reports.
- Complete the validity of the ETA 581 reports through the annual submittal due June 9, 2020.
- Monitor in production to ensure the ETA 581 report inaccuracies have been resolved.

2014-112

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

Agency: Department of Education

Year finding initially occurred: FY 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 SY21-22. 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 FY19 and future years will be made whole over a period of 4 years. A detailed payment schedule for underfunded LEAs is posted at www.azed.gov/TitleI.

ADE has completed two years of the four-year payment schedule.

Remaining actions:

ADE will continue to execute the payment schedule per the terms of the agreement with ED for SY20-21 and SY21-22.

2014-130

CFDA number and name: 97.042 Emergency Management Performance Grants

Agency: Department of Emergency and Military Affairs

Year finding initially occurred: FY 2014

Status: Fully corrected

State of Arizona
Summary schedule of prior audit findings
Year ended June 30, 2019

Other auditors' findings

2016-124

CFDA number and name: 93.767 Children's Health Insurance Program

Agency: Arizona Health Care Cost Containment System (AHCCCS)

Year finding initially occurred: FY 2016

Status: Fully corrected

UNIVERSITIES' RESPONSES



THE UNIVERSITY OF ARIZONA

Financial Services Office

FINANCIAL SERVICES OFFICE

University Services Building, Room 502
888 N Euclid Ave
Tucson, AZ 85719

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Fax: 520-621-7078

www.fso.arizona.edu

November 6, 2019

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.

Sincerely,

Nicole Salazar
Vice President, Financial Services

Financial statement findings

2019-01

Managing risk

University Contact Personnel: Lanita Collette, Chief Information Security Officer, The University of Arizona, (520) 621-9192

Anticipated Completion Date: June 30, 2020

The university will complete risk assessment processes for all enterprise applications by June 30, 2020 including the identification, inventory and classification of data.

The policy and process designate responsibility for executing the process to Information Owners and Information System Owners and makes the Information Security Office accountable for developing, testing, reviewing, and maintaining a university-wide Information Security Plan that incorporates elements of the security plans created and approved by Information Owners and Information System Owners.

This new process allows for the effective management of information security risk through steps for:

- Data collection, including inventory and classification (by criticality and sensitivity) of information resources, identification of stakeholders (from both business and technical positions in the university) and designation of accountability, and analysis of business impacts.
- Risk assessment, with assessment questions based upon the NIST CSF, incorporating elements of confidentiality, integrity, and availability, and tailored to be more meaningful in the environment of higher education.
- Risk analysis that incorporates insights into business impacts, the threat landscape, and an understanding of the traceability between vulnerabilities and threats, to ensure meaningful and consistent risk ranking.
- Security planning that clarifies and documents explicit decisions (within a risk register), based upon risk tolerances of Information Owners and Information System Owners, related to risk handling including choices to accept, transfer, avoid, or mitigate.

The process has been defined as an ongoing activity, for units, with re-assessment and security plan revision occurring at least annually. Production of the University Security Plan will be an annual occurrence, aligned with the fiscal year.

2019-02

Information technology (IT) controls—security and contingency planning

University Contact Personnel: Lanita Collette, Chief Information Security Officer, The University of Arizona, (520) 621-9192

Anticipated Completion Date: Logging and Monitoring is an on-going activity. Contingency planning for the remaining two applications will be completed by June 30, 2020 as well as system activity logging and log monitoring, particularly for users with administrative access privileges.

On August 23, 2019, the Audit, Accountability, and Activity Review Standard took effect. This standard supports the corresponding policy and establishes requirements for:

- Responsibility for ensuring log events are captured and monitored;
- The definition of log collection and aggregation systems;
- The collection and retention of logs; and
- Reporting of logging and monitoring related data to the Information Security Office.

Additionally, Information Security Policy Training is under development and is designed to help stakeholders understand their responsibilities for protecting university data; including their responsibility to support log collection and aggregation and to perform review of reports derived from these logs.

By June 30, 2020 the university will ensure stronger access and security controls are in place to protect data in accordance with State statutes and federal regulations, with essence on individuals with elevated privileges. An annual review will be put in place to ensure access and security controls are in place to protect data.

By June 30, 2020, the university will have developed and documented contingency plans for the remaining two significant university enterprise systems. The university testing of its backup procedures aligns with the movement of enterprise web applications to cloud services. The university will move forward to address the business impacts within the two applications, which were not covered in fiscal year 2019, identifying critical IT systems that will need to be restored quickly in the event of disruption. Documented procedures will be created, staff will be trained, and the university will maintain a readily accessible copy of the plans for all enterprise applications. In addition, our cloud service provider has failover and recovery capabilities in the event of a disaster, system or equipment failure, or other interruption. We do use multi-availability zones for our enterprise systems. As part of the cloud services functionality, snapshots are taken from production and they are staged in a different environment, validating their viability. Our provider has redundancy and failover built into their network and infrastructure, plus the university has the ability to build the environment from scratch if needed with these snapshots.



Associate Vice President
and Comptroller's Office

January 15, 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,

Wendy Swartz

Associate Vice President & Comptroller

Wendy Swartz
wendy.swartz@nau.edu
nau.edu/comptroller

928.523.6081
PO Box 4069
Flagstaff, AZ 86011

Northern Arizona University
Summary schedule of prior audit findings
Year ended June 30, 2019

Status of financial statement findings

Managing Risk

Finding number: 2018-01 (2018-07 Statewide SA) and 2017-01 (2017-12 Statewide SA)

Status: Fully corrected

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

Finding number: 2018-02 (2018-08 Statewide SA) and 2017-02 (2017-13 Statewide SA); 2017-03; (2017-14 Statewide SA), 2017-04; (2017-15 Statewide SA); and 2017-05 (2017-16 Statewide SA)

Status: Fully corrected



THE UNIVERSITY OF ARIZONA
Financial Services Office

FINANCIAL SERVICES OFFICE

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December 19, 2019

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, 2019

Status of financial statement findings

Managing Risk

Finding number: 2018-01 (2018-09 Statewide SA), 2017-02 (2017-18 Statewide SA), 2017-04 (2017-20 Statewide SA)

Status: Partially corrected

Efforts in fiscal year 2019 focused primarily on higher risk information systems, including those considered highly or moderately critical to the business of the university and those that handle sensitive information. Future efforts aim to broaden adoption to additional systems and to include a broader set of business functions.

On May 7, 2019, the new Information Security Risk Management and Security Planning Policy took effect. This policy establishes and constrains the Information Security Risk Management Program and the underlying process. It designates responsibility for executing the process to Information Owners and Information System Owners and makes the Information Security Office accountable for developing, testing, reviewing, and maintaining a university-wide Information Security Plan that incorporates elements of the security plans created and approved by Information Owners and Information System Owners.

The process is supported by a purpose built system that ensures the consistency, traceability, and visibility required to produce a University Security Plan that accurately represents the security posture of the university. This risk management system that produces security plans was built and ready for use as of June 30, 2019.

This program also maintains a continuously updated listing of the top ten administrative vulnerabilities of the university that provides the insights needed to make informed decisions about how to best allocate available information security resources.

The university will perform an annual entity-wide IT risk-assessment process that includes evaluating and documenting risks and safeguards. Such risks may include inappropriate access that would affect financial data, system changes that could adversely impact or disrupt system operations, and inadequate or outdated system security.

The University will complete risk assessment processes for all enterprise applications by June 30, 2020 including the identification, inventory and classification of data.

Information technology (IT) controls—access, security, and contingency planning

Finding number: 2018-02 (2018-10 Statewide SA), 2017-03 (2017-19 Statewide SA), 2017-05 (2017-21 Statewide SA)

Status: Partially Corrected

In fiscal year 2019, Information Security Policy Training was under development and is designed to help stakeholders understand their responsibilities for protecting university data, including their responsibility

University of Arizona
Summary schedule of prior audit findings
Year ended June 30, 2019

to support log collection and aggregation and to perform review of reports derived from these logs. The university also executed contingency plans for two significant university enterprise systems.

Logging and Monitoring is an on-going activity. Contingency planning for the remaining two applications will be completed by June 30, 2020 as well as system activity logging and log monitoring, particularly for users with administrative access privileges.

By June 30, 2020 the university will ensure stronger access and security controls are in place to protect data in accordance with State statutes and federal regulations, with essence on individuals with elevated privileges. An annual review will be put in place to ensure access and security controls are in place to protect data.

[The University should strengthen oversight of its information technology internal controls](#)

Finding number: 2017-01 (2017-17 Statewide SA)

Status: Fully Corrected

