

**UNIVERSITY OF LOUISVILLE**  
Louisville, Kentucky

**SINGLE AUDIT REPORTS AND THE  
SCHEDULE OF EXPENDITURES  
OF FEDERAL AWARDS**  
Year Ended June 30, 2016

**UNIVERSITY OF LOUISVILLE**  
Louisville, Kentucky

**SINGLE AUDIT REPORTS AND THE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**  
Year Ended June 30, 2016

Table of Contents

	Page
Schedule of Expenditures of Federal Awards.....	1
Notes to Schedule of Expenditures of Federal Awards .....	20
Independent Auditor's Report on Internal Control Over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance With Government Auditing Standards .....	22
Independent Auditor's Report on Compliance For Each Major Federal Program; Report on Internal Control Over Compliance; and Report on the Schedule of Expenditures of Federal Awards Required by Uniform Guidance .....	24
Schedule of Findings and Questioned Costs .....	27
Summary Schedule of Prior Audit Findings .....	28

UNIVERSITY OF LOUISVILLE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
Year ended June 30, 2016

<u>Federal Grant or Program Title</u>	<u>CFDA #</u>	<u>Pass Through Entity #</u>	<u>Fiscal 2016 Expenditures</u>	<u>Amount Provided to Subrecipients</u>
<b>STUDENT FINANCIAL AID CLUSTER</b>				
<b>UNITED STATES DEPARTMENT OF EDUCATION</b>				
Federal Supplemental Educational Opportunity Grants		84.007	\$ 737,943	\$ -
Federal Work Study Program		84.033	786,346	-
Federal Perkins Loan Program		84.038	8,886,748	-
Federal Pell Grant Program		84.063	18,669,376	-
William D. Ford Federal Direct Loan Program		84.268	137,620,580	-
Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)		84.379	86,773	-
<b>SUBTOTAL UNITED STATES DEPARTMENT OF EDUCATION</b>			<u>166,787,766</u>	<u>-</u>
<b>DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>				
Health Professions Student Loans, Including Primary Care Loans and Loans for Disadvantaged Students		93.342	9,063,454	-
Nursing Student Loans		93.364	88,131	-
<b>SUBTOTAL DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>			<u>9,151,585</u>	<u>-</u>
<b>TOTAL STUDENT FINANCIAL AID CLUSTER</b>			<u>175,939,351</u>	<u>-</u>
<b>RESEARCH AND DEVELOPMENT CLUSTER</b>				
<b>DEPARTMENT OF AGRICULTURE</b>				
Agricultural Research-Basic and Applied Research		10.001	171,248	102,597
Agriculture and Food Research Initiative (AFRI)		10.310	62,273	-
Wood Education and Resource Center (WERK)		10.681	79,996	-
<b>SUBTOTAL DEPARTMENT OF AGRICULTURE</b>			<u>313,517</u>	<u>102,597</u>

See notes to the schedule of expenditures of federal awards.

UNIVERSITY OF LOUISVILLE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
Year ended June 30, 2016

<u>Federal Grant or Program Title</u>	<u>CFDA #</u>	<u>Pass Through Entity #</u>	<u>Fiscal 2016 Expenditures</u>	<u>Amount Provided to Subrecipients</u>
<b>DEPARTMENT OF COMMERCE</b>				
ARRA - Measurements and Engineering Research and Standards		11.609	\$ 95,893	\$ -
Through National Center for Defense Manufacturing and Machining		11.609	258,627	194,371
Through National Center for Defense Manufacturing and Machining		11.609	44,442	-
			<u>398,962</u>	<u>194,371</u>
<b>SUBTOTAL DEPARTMENT OF COMMERCE</b>				
<b>DEPARTMENT OF DEFENSE</b>				
Department of Defense Contracts				
Through Ceramics Composites and Coatings Company		12.000	2,272	-
Through Christopher and Dana Reeve Foundation		12.000	(1,667)	-
Through 3DSIM, LLC		12.000	45,446	-
Through Confidential		12.000	(5,896)	-
Through Mound Laser & Photonics Center, Inc.		12.000	(2,398)	-
Through Spectral Sciences, Inc.		12.000	111,247	-
Through Spectral Sciences, Inc.		12.000	35,335	-
Through Spectral Sciences, Inc.		12.000	598	-
Through Texas Research Institute Austin, Inc.		12.000	4,156	-
Basic and Applied Scientific Research		12.300	156,709	50,000
Basic Scientific Research - Combating Weapons of Mass Destruction		12.351	433,670	224,005
Through Omm Scientific, Inc.		12.351	54,999	-
Military Medical Research and Development		12.420	1,833,878	16,980
Through Christine Kleinert Institute		12.420	64,760	-
Through Christopher & Dana Reeve Foundation		12.420	129,309	-
Through Feinstein Institute of Medical Research		12.420	66,366	-
Through Jewish Hospital		12.420	107,910	-
Through Kessler Med Rehab Research and Edu Corp		12.420	8,878	-
Through Owensboro Medical Health System		12.420	328,192	-
Through University of Florida		12.420	(341)	-
Through University of Florida Research Foundation		12.420	(88)	-
Through University of Pittsburgh		12.420	79,019	-
Basic Scientific Research		12.431	404,744	-
Through University of Kentucky		12.431	871	-
Basic, Applied, and Advanced Research in Science and Engineering				
Through Academy of Applied Science		12.630	6,972	-
Air Force Defense Research Sciences Program				
Through Case Western Reserve University		12.800	3,390	-
Through UES, Inc.		12.800	(2,903)	-
Mathematical Sciences Grants Program		12.901	17,966	-
Research and Technology Development		12.910	37,909	25,552
			<u>3,921,303</u>	<u>316,537</u>
<b>SUBTOTAL DEPARTMENT OF DEFENSE</b>				

See notes to the schedule of expenditures of federal awards.

UNIVERSITY OF LOUISVILLE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
Year ended June 30, 2016

<u>Federal Grant or Program Title</u>	<u>CFDA #</u>	<u>Pass Through Entity #</u>	<u>Fiscal 2016 Expenditures</u>	<u>Amount Provided to Subrecipients</u>
<b>DEPARTMENT OF INTERIOR</b>				
Conservation Grants Private Stewardship for Imperiled Species		15.632	\$ (12,607)	\$ -
Research Grants		15.650	10,366	1,194
<b>SUBTOTAL DEPARTMENT OF INTERIOR</b>			<u>(2,241)</u>	<u>1,194</u>
<b>DEPARTMENT OF JUSTICE</b>				
National Institute of Justice Research, Evaluation, and Development Project Grants		16.560	265,827	16,809
Juvenile Mentoring Program		16.726	(3)	-
<b>SUBTOTAL DEPARTMENT OF JUSTICE</b>			<u>265,824</u>	<u>16,809</u>
<b>DEPARTMENT OF TRANSPORTATION</b>				
Metropolitan Transportation Planning and State and Non-Metropolitan Planning and Research Through University of Kentucky Research Foundation		20.505	104,585	-
University Transportation Centers Program through Marshall University		20.701	77,767	-
<b>SUBTOTAL DEPARTMENT OF TRANSPORTATION</b>			<u>182,352</u>	<u>-</u>
<b>NATIONAL AERONAUTICS AND SPACE ADMINISTRATION</b>				
NASA Contracts		43.000	11,522	-
Through Oregon State University		43.000	NS224A-A 11,180	-
Through Techshot		43.000	NNX15CJ21P 804	-
Through University of Kentucky Research Foundation		43.000	3049025881-16-108 4,107	-
Through University of Kentucky Research Foundation		43.000	3048110296-13-192 186,980	13,546
Through University of Kentucky Research Foundation		43.000	3048109993-13-189 3,069	-
Through University of Kentucky Research Foundation		43.000	3048110213-15-251 23,171	-
Through University of Kentucky Research Foundation		43.000	3210000183-16-119 1,124	-
Aerospace Education Services Program		43.001	28,440	-
Through Aetos Systems, Inc.		43.001	SC-2019 23,583	-
Through University of Kentucky Research Foundation		43.001	3049024102-15 26,721	-

See notes to the schedule of expenditures of federal awards.

UNIVERSITY OF LOUISVILLE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
Year ended June 30, 2016

<u>Federal Grant or Program Title</u>	<u>CFDA #</u>	<u>Pass Through Entity #</u>	<u>Fiscal 2016 Expenditures</u>	<u>Amount Provided to Subrecipients</u>
Education				
Through University of Kentucky Research Foundation		43.008	\$ 177,251	\$ 39,059
Through University of Kentucky Research Foundation		43.008	1,405	-
Cross Agency Support		43.009	45,689	-
			<u>545,046</u>	<u>52,605</u>
<b>SUBTOTAL NATIONAL AERONAUTICS AND SPACE ADMINISTRATION</b>				
 <b>NATIONAL ENDOWMENT FOR THE ARTS</b>				
Promotion of the Arts-Grants to Organizations and Individuals		45.024	<u>3,272</u>	<u>-</u>
 <b>NATIONAL SCIENCE FOUNDATION</b>				
Engineering Grants		47.041	953,772	67,891
Through Bert Thin Films, LLC		47.041	53,659	-
Through Pyrochem Catalyst Corporation		47.041	399	-
Through Spirituality Network, Inc.		47.041	179,056	-
Mathematical and Physical Sciences		47.049	826,209	165,779
Through University of California, Riverside		47.049	16,269	-
Through Wayne State University		47.049	16,139	-
Geosciences		47.050	162,338	-
Computer and Information Science and Engineering		47.070	159,268	6,638
Through Rutgers University		47.070	13,815	-
Biological Sciences		47.074	535,017	1,600
Social, Behavioral, and Economic Sciences		47.075	84,375	-
Through Georgia State Research Foundation		47.075	4,000	-
Education and Human Resources		47.076	592,091	-
Through Rutgers University		47.076	8,528	-
Through University of Kentucky Research Foundation		47.076	42,360	-
Office of International Science and Engineering through University of Kentucky Research Foundation		47.079	315,307	-
Office of Integrative Activities through University of Kentucky Research Foundation		47.083	502,308	-
			<u>4,464,910</u>	<u>241,908</u>
<b>SUBTOTAL NATIONAL SCIENCE FOUNDATION</b>				
 <b>DEPARTMENT OF VETERANS AFFAIRS</b>				
Sharing Specialized Medical Resources		64.018	364,952	-
Through National Academy of Sciences		64.018	13,466	-
			<u>378,418</u>	<u>-</u>
<b>SUBTOTAL DEPARTMENT OF VETERANS AFFAIRS</b>				

See notes to the schedule of expenditures of federal awards.

UNIVERSITY OF LOUISVILLE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
Year ended June 30, 2016

<u>Federal Grant or Program Title</u>	<u>CFDA #</u>	<u>Pass Through Entity #</u>	<u>Fiscal 2016 Expenditures</u>	<u>Amount Provided to Subrecipients</u>
<b>ENVIRONMENTAL PROTECTION AGENCY</b>				
Water Pollution Control State		66.419	\$ (2,331)	\$ -
Nonpoint Source Implementation Grants				-
Through Cumberland Valley Resource Conservation		66.460	94	-
Through State of Kentucky		66.460	3	-
Through State of Kentucky		66.460	(42)	-
Through State of Kentucky		66.460	(2,019)	-
Through State of Kentucky		66.460	(44)	-
Regional Wetland Program Development Grants		66.461	101,993	21,331
Through Water Resource Foundation		66.500	(2,689)	-
Pollution Prevention Grants Program		66.708	78,186	-
Source Reduction Assistance through State of Kentucky		66.717	8,361	-
Brownfields Training through Virginia Polytech Institute		66.814	72,407	-
<b>SUBTOTAL ENVIRONMENTAL PROTECTION AGENCY</b>			<u>253,919</u>	<u>21,331</u>
<b>DEPARTMENT OF ENERGY</b>				
Basic Energy Sciences		81.049	36,637	-
Through University of Kentucky Research Foundation		81.049	(411)	-
Conservation Research and Development through National Trust for Historic Preservation		81.086	1,196	-
<b>SUBTOTAL DEPARTMENT OF ENERGY</b>			<u>37,422</u>	<u>-</u>
<b>DEPARTMENT OF EDUCATION</b>				
National Institute on Disability and Rehabilitation Research		84.133	(187,090)	-
Education Research through State of Kentucky		84.206	30,249	-
Education Research, Development and Dissemination		84.305	175,400	32,393
Through Development Services Group, Inc.		84.305	140,256	-
Through Development Services Group, Inc.		84.305	63,642	-
Research in Special Education		84.324	560,277	211,605
Through Oregon Research Institute		84.324	196,161	-
<b>SUBTOTAL DEPARTMENT OF EDUCATION</b>			<u>978,895</u>	<u>243,998</u>

See notes to the schedule of expenditures of federal awards.

UNIVERSITY OF LOUISVILLE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
Year ended June 30, 2016

<u>Federal Grant or Program Title</u>	<u>CFDA #</u>	<u>Pass Through Entity #</u>	<u>Fiscal 2016 Expenditures</u>	<u>Amount Provided to Subrecipients</u>
<b>DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>				
Department of Health and Human Services Contracts		93.000	\$ 135	\$ -
Through AtoxBio Ltd.		93.000	11,143	-
Through Children's Hospital of Philadelphia		93.000	09-007253 (1)	-
Through Duke Clinical Research Institute		93.000	CE 01-120	-
Through Duke Clinical Research Institute		93.000	NICHD-2012-01-SIL01	-
Through Duke Clinical Research Institute		93.000	RSN-C PTN POPS	-
Through Duke University		93.000	203-8816	-
Through NRG Oncology Foundation, Inc.		93.000	NRG HN002	-
Through University of Michigan		93.000	REVIVE-IT	-
Family Smoking Prevention and Tobacco Control Act Regulatory Research		93.077	954,100	-
Through Cleveland Clinic Lerner College of Medicine		93.077	668-SUB	-
Through National American Heart Association		93.077	FX-ATRAC-UL1-03	-
Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse				
Through Eastern Kentucky University		93.087	453058-16-137	-
Food and Drug Administration		93.103	3,401	-
Through Duke University		93.103	CTTI-001	-
Biological Response to Environmental Health Hazards		93.113	2,913,580	134,425
Through University of Kentucky Research Foundation		93.113	3048111486-14-173	-
Through University of Kentucky Research Foundation		93.113	3049025688-15-105	-
Oral Disease and Disorders Research		93.121	3,543,173	5,362
Through University of Bristol		93.121	ORCA 55745	-
Through University of Bristol		93.121	ORCA 61045	-
Through University of Texas at Austin		93.121	UTA13-000775	-
Health Program for Toxic Substances and Disease Registry		93.161	234	-
Human Genome Research		93.172	284,616	57,407
Through HudsonAlpha Institute for Biotechnology		93.172	UM1HG007301	-
Through University of California/San Francisco		93.172	CAF-PINT	-
Research Related to Deafness and Communication Disorders		93.173	495,305	68,654
Through University of Virginia		93.173	GC11990-136407	-
Disabilities Prevention				
Through Christopher & Dana Reeve Foundation		93.184	U10/CCU220379 (80)	-
Through Christopher & Dana Reeve Foundation		93.184	NRN YEAR 10: NRN-2013(SH)	-
Research and Training in Complementary and Alternative Medicine		93.213	214,340	-
Through Massachusetts General Hospital		93.213	5U01AT00061308	-
Research on Healthcare Costs		93.226	73,567	-
National Center on Sleep Disorders Research		93.233	109,756	-
Mental Health Research Grants		93.242	63,853	-
Through Biomedical Development Corporation		93.242	R42MH091997	-
Through University of California, San Francisco		93.242	8491SC	-

See notes to the schedule of expenditures of federal awards.



UNIVERSITY OF LOUISVILLE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
Year ended June 30, 2016

<u>Federal Grant or Program Title</u>	<u>CFDA #</u>	<u>Pass Through Entity #</u>	<u>Fiscal 2016 Expenditures</u>	<u>Amount Provided to Subrecipients</u>
Occupational Safety and Health Research Grants		93.262	\$ 216,406	\$ 149,108
Alcohol Research Programs		93.273	3,153,021	-
Through Cleveland Clinic Lerner College of Medicine		93.273	508-SUB 174,880	-
Through EndoProtech Inc.		93.273	LIVER DIS R44AA021331 61,859	-
Through University of California, San Diego		93.273	156449095/S9000837 114,686	-
Drug Abuse Research Programs		93.279	43,506	-
Through University of North Carolina		93.279	20150048.1 27,512	-
Discovery and Applied Research for Technological Innovations to Improve Human Health		93.286	220,292	87,826
Through University of California, Los Angeles		93.286	0845 G SB763 521,213	-
Trans-NIH Research Support		93.310	534,966	16,835
Through Vanderbilt University		93.310	VUMC 41925 9,707	-
Through Vanderbilt University		93.310	VUMC 42921 5,825	-
Paralysis Resource Center B - Cooperative Agreements (Discretionary Grants)				
Through Christopher and Dana Reeve Foundation		93.325	NRN-2014(SH) - YEAR 11 566,459	370,010
Research Infrastructure Programs through Noveratech, LLC		93.351	R43OD021317 38,782	-
Nursing Research		93.361	65,245	-
Through Cedar Grove Institute for Sustainable Communities		93.361	1R21DC013347-01A1 27,272	-
Research Infrastructure		93.389	115,866	-
Through University of Kentucky Research Foundation		93.389	3049009000-07-154 (23,519)	-
Cancer Cause and Prevention Research		93.393	1,005,468	35,053
Through Georgia Regents Augusta State University		93.393	5R01CA166785-04 17,899	-
Through University of Kansas Medical Center		93.393	QU866910 33,032	-
Cancer Detection and Diagnosis Research		93.394	262,289	1,233
Through Kentucky Imaging Technologies, LLC		93.394	5R43CA179911-02 20,841	8,786
Cancer Treatment Research		93.395	1,268,863	102,878
Through 3P Biotechnologies, Inc.		93.395	1R43CA162417-01A1 11,923	-
Through 3P Biotechnologies, Inc.		93.395	1R41CA189517-01 40,334	-
Through Brigham & Women's Hospital		93.395	A011202 135	-
Through Children's Hospital of Philadelphia		93.395	NIH COG CHAIR WK INT 11,795	-
Through Children's Hospital of Philadelphia		93.395	NIH COG CHAIRPERCASE 135,688	-
Through Children's Hospital of Philadelphia		93.395	U10C095861 1,298	-
Through Children's Hospital of Philadelphia		93.395	U10CA180886 95,903	-
Through Children's Oncology Group		93.395	CTSU PHASE II 10,122	-
Through Duke Clinical Research Institute		93.395	ACOSOG Z9001 413	-
Through Duke Clinical Research Institute		93.395	ACOSOG Z0011 (359)	-
Through Duke Clinical Research Institute		93.395	NASBP-B-35 1,395	-
Through NRG Oncology Foundation, Inc.		93.395	RTOG 0538 102	-
Through NRG Oncology Foundation, Inc.		93.395	RTOG 0920 4,765	-
Through NRG Oncology Foundation, Inc.		93.395	RTOG 0915 898	-
Through NRG Oncology Foundation, Inc.		93.395	RTOG C0116 252	-

See notes to the schedule of expenditures of federal awards.

UNIVERSITY OF LOUISVILLE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
Year ended June 30, 2016

<u>Federal Grant or Program Title</u>	<u>CFDA #</u>	<u>Pass Through Entity #</u>	<u>Fiscal 2016 Expenditures</u>	<u>Amount Provided to Subrecipients</u>
Through NRG Oncology Foundation, Inc.		93.395 RTOG 1016	\$ 38	\$ -
Through NRG Oncology Foundation, Inc.		93.395 NSABP PROTOCOL B-49	32	-
Through NRG Oncology Foundation, Inc.		93.395 RTOG 1106	112	-
Through NRG Oncology Foundation, Inc.		93.395 RTOG 1216 RADIATION	251	-
Through Radiation Therapy Oncology Group		93.395 RTOG 0436	3,570	-
Through Radiation Therapy Oncology Group		93.395 RTOG 0617	925	-
Through Radiation Therapy Oncology Group		93.395 RTOG 0929	93	-
Through Southwest Oncology Group		93.395 SWOG E4697	(13)	-
Through Southwest Oncology Group		93.395 N063D ALLTO STUDY	18	-
Through Southwest Oncology Group		93.395 ECOG 1505	25	-
Through Southwest Oncology Group		93.395 ECOG 1505	116	-
Through University of Michigan		93.395 SWOG-80405 CA32102	18	-
Through University of Michigan		93.395 SWOG PACCT-1 TAILOR	14	-
Cancer Biology Research		93.396	1,625,150	79,241
Through University of Kentucky Research Foundation		93.396 3049025772-15-059	406,244	-
Through University of Nebraska Medical Center		93.396 34-5140-2063-001	39,301	-
Through University of Southern California		93.396 45390120	13,638	-
Cancer Centers Support Grants				
Through University of Southern California		93.397 44732690	18,492	-
Cancer Research Manpower		93.398	507,936	616
ACL National Institute on Disability, Independent Living, and Rehabilitation Research		93.433	995,133	600
State Planning and Establishment Grants for the Affordable Care Act Exchanges				
Through Christopher and Dana Reeve Foundation		93.525 NRN-2015(SH)	467,735	198,002
ACA - State Innovation Models: Funding for Model Design and Model Testing Assistance		93.624 PO2 724 1600001473 1	22,172	-
ARRA Trans-NIH Recovery Act Research Support Trans-NIH Recovery Act Research				
Through Emmes Corporation, EPP (NCI) - ARRA		93.701 1U01NS026835-01A1	25,408	-
ARRA - Prevention and Wellness-through State of Kentucky		93.723 PON27281200000390 1	(163)	-
Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations				
Through State of Kentucky		93.779 P02 723 1500002217 2	437,941	-
Heart and Vascular Diseases Research		93.837	7,403,770	523,043
Through APK Advanced Medical Technologies Inc.		93.837 1R44HL117426-01	596,050	-
Through Cincinnati Children's Hospital Medical Center		93.837 SUBAWARD 109317	1,281	-
Through Cincinnati Children's Hospital Medical Center		93.837 105514	30	-
Through Children's Hospital of Philadelphia		93.837 FP11498A1-SUB16-07	1,462	-
Through Heartware, Inc.		93.837 2R44HL103014-02	303,860	-
Through Massachusetts General Hospital		93.837 5U01HL123336-02	14,557	-
Through New York University Medical School		93.837 PV-10-EA-02	16,288	-
Through University of Michigan		93.837 5U01HL094345-05	128	-
Through University of South Florida		93.837 6382-1000-00-A	15,179	-
Through University of Texas at Houston		93.837 0008802Q	43,649	-
Lung Diseases Research		93.838	667,811	-
Through Duke University		93.838 1 U10 HL080413-01	(25,433)	-

See notes to the schedule of expenditures of federal awards.

UNIVERSITY OF LOUISVILLE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
Year ended June 30, 2016

<u>Federal Grant or Program Title</u>	<u>CFDA #</u>	<u>Pass Through Entity #</u>	<u>Fiscal 2016 Expenditures</u>	<u>Amount Provided to Subrecipients</u>
Through University of Maryland		93.838 1400032	\$ 184,866	\$ -
Blood Diseases and Resources Research		93.839	547,658	-
Arthritis, Musculoskeletal and Skin Diseases Research		93.846	978,790	7,241
Through Cincinnati Children's Hospital Medical Center		93.846 134958	18,122	-
Through Oklahoma Medical Research Foundation		93.846 0426	103,635	-
Through University of Chicago		93.846 FP050821	45,839	-
Through Washington University		93.846 1 R01 AR055176-01A2	2,016	-
Diabetes, Endocrinology, and Metabolism Research		93.847	2,487,744	289,349
Through Johns Hopkins University		93.847 5U01DK062431142001774057	504	-
Through Medical College of Georgia		93.847 5U24DK076169-08 #25034-32	38,426	-
Through Nationwide Children's Hospital		93.847 952615 PO# WX00265564	13,946	-
Through Noveratech, LLC		93.847 1R43DK104625-01	34,861	-
Through Noveratech, LLC		93.847 R43DK105692	69,635	-
Through Ohio State University		93.847 60040365	137,293	-
Through Ohio State University		93.847 60046816	53,465	-
Through Ohio State University		93.847 60051721/PO RF01424134	120,715	-
Through Rush University Medical Center		93.847 1R01DK101350-01	35,843	-
Through Techshot		93.847 2R44DK072647-04A1	226,133	-
Through University of North Carolina at Chapel Hill		93.847 Subaward 5032729	5,867	-
Through University of South Florida		93.847 TN-18	1,890	-
Through University of South Florida		93.847 TN-20	768	-
Through University of South Florida		93.847 TN01 TYPE 1 UDK097835A	44,366	-
Through University of South Florida		93.847 TN-07, ORAL INSULIN	11,529	-
Through University of South Florida		93.847 TYPE 1 TN-16	23,323	-
Through University of Texas Medical Branch		93.847 15-034 / PO# UOSPC-000000	16,438	-
Extramural Research Programs in the Neurosciences and Neurological Disorders		93.853	1,740,744	287,609
Through Cincinnati Children's Hospital Medical Center		93.853 SUBAWARD 109540	15,971	-
Through Johns Hopkins Medical Center		93.853 PO 2002201516 U01NS080824	11,121	-
Through University of Minnesota		93.853 ATACH-II SubawdN000936941	3,559	-
Through University of Texas at Houston		93.853 ICTuS 2/3 Subawd 0007810F	283	-
Through University of Washington		93.853 PENUT TRIAL 752237,762305	2,429	-
Through University of Washington		93.853 PENUT Trial UWSC7771	21,529	-
Allergy, Immunology and Transplantation Research		93.855	5,182,124	1,787,053
Through Children's Hospital Boston		93.855 5R01AI084011-04	9	-
Through FasCure Therapeutics, LLC		93.855 VACC PLAGUE R41AI120353	40,382	-
Through Johns Hopkins University		93.855 2002486957	5,655	-
Through Massachusetts General Hospital		93.855 SUBAWARD 219473	6,422	-
Through Massachusetts General Hospital		93.855 225488	10,383	-
Through Medigen, Inc.		93.855 1R43AI094700-01A1 RE	41	-

See notes to the schedule of expenditures of federal awards.

UNIVERSITY OF LOUISVILLE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
Year ended June 30, 2016

<u>Federal Grant or Program Title</u>	<u>CFDA #</u>	<u>Pass Through Entity #</u>	<u>Fiscal 2016 Expenditures</u>	<u>Amount Provided to Subrecipients</u>
Through Medigen, Inc.		93.855 1R03AI094159-01A1	\$ (3)	\$ -
Through Medigen, Inc.		93.855 2R44AI094863-03A1	49,534	-
Through University of Minnesota		93.855 UMNCON#52525PO#N004761501	4,586	-
Through Rosalind Franklin University of Medicine		93.855 212221UL	43,042	-
Through University of Pennsylvania		93.855 550883	(140,789)	-
Through University of Tennessee		93.855 A150933S001- 7R01AI030302	45,873	-
Through University of Wisconsin		93.855 603K540	7,946	-
Microbiology and Infectious Diseases Research		93.856	446,814	10,876
Pharmacology, Physiology, and Biological Chemistry Research		93.859	8,570,981	2,047,658
Through University of Kentucky Research Foundation		93.859 320000086-16-014	11,347	-
Through University of Utah		93.859 10030565-LOU	46,522	-
Center for Research for Mothers and Children		93.865	480,987	3,616
Through Agennix, Inc.		93.865 LF-0901	(53)	-
Through Ann & Robert Lurie Children's Memorial Hospital		93.865 901461-Louisville	56,644	-
Through Duke University		93.865 IND - 76,813	88	-
Aging Research		93.866	780,798	4,755
Through University of Cincinnati		93.866 7002	(622)	-
Through University of Kentucky Research Foundation		93.866 320000011-14-174	20,823	-
Through University of Utah		93.866 10020166-01/149870/Amend4	47,610	-
Through University of Virginia		93.866 GB10087 147150	37,781	-
Vision Research - Retinal and Choroidal Diseases Research		93.867	2,806,629	88,333
Through Children's Hospital of Philadelphia		93.867 3209850813	3,199	-
Through Children's Hospital of Philadelphia		93.867 3209850815	330	-
Through Kypha, Inc. (Kentucky Pharmaceuticals)		93.867 1R43EY021438-01	(96)	-
Through Ohio State University		93.867 60047172	38,731	-
Through University of Pennsylvania		93.867 Sub 564799 CATT Follow Up	11,844	-
Through Washington University St. Louis School of Medicine		93.867 WU-16-123	8,210	-
Health Care and Other Facilities		93.887	102,682	-
Preventive Health Services_Sexually Transmitted Diseases Research		93.978	(46,185)	-
<b>SUBTOTAL DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>			<u>60,571,695</u>	<u>6,365,569</u>

See notes to the schedule of expenditures of federal awards.

UNIVERSITY OF LOUISVILLE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
Year ended June 30, 2016

<u>Federal Grant or Program Title</u>	<u>CFDA #</u>	<u>Pass Through Entity #</u>	<u>Fiscal 2016 Expenditures</u>	<u>Amount Provided to Subrecipients</u>
<b>DEPARTMENT OF HOMELAND SECURITY</b>				
Department of Homeland Security Contracts				
Through National Institute for Hometown Security, Inc.		97.000	\$ 26,474	\$ 26,474
Through National Institute for Hometown Security, Inc.		97.000	963	-
Through National Institute for Hometown Security, Inc.		97.000	12,324	-
Through National Institute for Hometown Security, Inc.		97.000	190	-
Through Western Kentucky University		97.000	20,244	-
Disaster Grants - Public Assistance (Presidentially Declared Disasters) through State of Kentucky		97.036	58,721	-
Homeland Security Advanced Research Projects Agency through ApoVax, Inc.		97.065	(24,437)	-
			<u>94,479</u>	<u>26,474</u>
<b>SUBTOTAL DEPARTMENT OF HOMELAND SECURITY</b>				
<b>TOTAL RESEARCH AND DEVELOPMENT CLUSTER</b>			<u><b>72,407,773</b></u>	<u><b>7,583,393</b></u>
<b>ECONOMIC DEVELOPMENT CLUSTER</b>				
<b>DEPARTMENT OF COMMERCE</b>				
Economic Adjustment Assistance				
Through National Association of Development Organization		11.307	(1,922)	-
Through State of Kentucky		11.307	(1)	-
			<u>(1,923)</u>	<u>-</u>
<b>SUBTOTAL DEPARTMENT OF COMMERCE</b>				
<b>TOTAL ECONOMIC DEVELOPMENT CLUSTER</b>			<u><b>(1,923)</b></u>	<u><b>-</b></u>
<b>HIGHWAY PLANNING AND CONSTRUCTION CLUSTER</b>				
<b>DEPARTMENT OF TRANSPORTATION</b>				
Highway Training and Construction				
Through State of Kentucky		20.205	(1,040)	-
Through State of Kentucky		20.205	191,617	-
			<u>190,577</u>	<u>-</u>
<b>SUBTOTAL HIGHWAY PLANNING AND CONSTRUCTION CLUSTER</b>				
<b>TOTAL HIGHWAY PLANNING AND CONSTRUCTION CLUSTER</b>			<u><b>190,577</b></u>	<u><b>-</b></u>

See notes to the schedule of expenditures of federal awards.

UNIVERSITY OF LOUISVILLE  
 SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
 Year ended June 30, 2016

<u>Federal Grant or Program Title</u>	<u>CFDA #</u>	<u>Pass Through Entity #</u>	<u>Fiscal 2016 Expenditures</u>	<u>Amount Provided to Subrecipients</u>
<b>SPECIAL EDUCATION (IDEA) CLUSTER</b>				
<b>DEPARTMENT OF EDUCATION</b>				
Special Education				
Through State of Kentucky		84.027 PON254014000028821	\$ 16,829	\$ -
Through State of Kentucky		84.027 PON254014000029121	30,947	-
Through State of Kentucky		84.027 PON2 540 1500002368 1	594,700	277,260
Through State of Kentucky		84.027 PON2 54015000019851	296,498	19,122
<b>SUBTOTAL DEPARTMENT OF EDUCATION</b>			<u>938,974</u>	<u>296,382</u>
<b>TOTAL SPECIAL EDUCATION (IDEA) CLUSTER</b>			<u>938,974</u>	<u>296,382</u>
<b>TRIO CLUSTER</b>				
<b>DEPARTMENT OF EDUCATION</b>				
TRIO - Student Support Services		84.042	205,545	-
TRIO - Talent Search		84.044	223,239	-
TRIO - Upward Bound		84.047	653,792	-
<b>SUBTOTAL DEPARTMENT OF EDUCATION</b>			<u>1,082,576</u>	<u>-</u>
<b>TOTAL TRIO CLUSTER</b>			<u>1,082,576</u>	<u>-</u>

See notes to the schedule of expenditures of federal awards.

UNIVERSITY OF LOUISVILLE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
Year ended June 30, 2016

<u>Federal Grant or Program Title</u>	<u>CFDA #</u>	<u>Pass Through Entity #</u>	<u>Fiscal 2016 Expenditures</u>	<u>Amount Provided to Subrecipients</u>
<b>MEDICAID CLUSTER</b>				
<b>DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>				
Medical Assistance Program				
Through State of Kentucky		93.778	\$ 3,384	\$ -
Through State of Kentucky		93.778	190,834	-
Through State of Kentucky		93.778	4,999	-
Through State of Kentucky		93.778	183,662	-
Through State of Kentucky		93.778	71,333	-
			<u>454,212</u>	<u>-</u>
<b>SUBTOTAL DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>			<u>454,212</u>	<u>-</u>
<b>TOTAL MEDICAID CLUSTER</b>			<u>454,212</u>	<u>-</u>
<b>TOTAL SPECIAL CLUSTERS</b>			<u>2,664,416</u>	<u>296,382</u>
<b>OTHER PROGRAMS</b>				
<b>DEPARTMENT OF AGRICULTURE</b>				
Farmers Market and Local Food Promotion Program Louisville/Jefferson County Metro Government		10.168	2,055	-
Special Supplemental Nutrition Program for Women, Infants, and Children (WIC)				
Through State of Kentucky		10.557	288,948	-
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program				
Through Eastern Kentucky University		10.561	95,161	-
			<u>386,164</u>	<u>-</u>
<b>SUBTOTAL DEPARTMENT OF AGRICULTURE</b>			<u>386,164</u>	<u>-</u>

See notes to the schedule of expenditures of federal awards.

UNIVERSITY OF LOUISVILLE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
Year ended June 30, 2016

<u>Federal Grant or Program Title</u>	<u>CFDA #</u>	<u>Pass Through Entity #</u>	<u>Fiscal 2016 Expenditures</u>	<u>Amount Provided to Subrecipients</u>
<b>DEPARTMENT OF DEFENSE</b>				
Department of Defense Contracts				
Through GE Global Research		12.000	\$ 29,942	\$ -
Through Techshot		12.000	9,676	-
ROTC Language and Culture Training Grants		12.357	<u>253,318</u>	<u>-</u>
<b>SUBTOTAL DEPARTMENT OF DEFENSE</b>			<u>292,936</u>	<u>-</u>
<b>DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT</b>				
Community Development Block Grants - Small Cities Program				
Through State of Kentucky		14.219	(1)	-
Capacity Building for Sustainable Communities through Institute for Sustainable Communities		14.705	<u>114</u>	<u>-</u>
<b>SUBTOTAL DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT</b>			<u>113</u>	<u>-</u>
<b>DEPARTMENT OF JUSTICE</b>				
Legal Assistance for Victims through Legal Aid Society, Inc.		16.524	<u>36,903</u>	<u>-</u>
<b>DEPARTMENT OF STATE</b>				
Academic Exchange Programs - Scholars		19.401	<u>257,924</u>	<u>-</u>
<b>NATIONAL AERONAUTICS AND SPACE ADMINISTRATION</b>				
Science through University of Kentucky Research Foundation		43.001	223	-
Education through University of Kentucky Research Foundation		43.008	<u>3,332</u>	<u>-</u>
<b>SUBTOTAL NATIONAL AERONAUTICS AND SPACE ADMINISTRATION</b>			<u>3,555</u>	<u>-</u>

See notes to the schedule of expenditures of federal awards.



UNIVERSITY OF LOUISVILLE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
Year ended June 30, 2016

<u>Federal Grant or Program Title</u>	<u>CFDA #</u>	<u>Pass Through Entity #</u>	<u>Fiscal 2016 Expenditures</u>	<u>Amount Provided to Subrecipients</u>
<b>NATIONAL SCIENCE FOUNDATION</b>				
Engineering Grants		47.041	\$ 16,414	\$ -
Education and Human Resources through Nat'l Center for Science & Civic Engagement		47.076	2,956	-
			<u>19,370</u>	<u>-</u>
<b>SUBTOTAL NATIONAL SCIENCE FOUNDATION</b>				
<b>ENVIRONMENTAL PROTECTION AGENCY</b>				
Environmental Finance Center Grants		66.203	179,281	-
Surveys through University of North Carolina at Chapel Hill		66.424	10,001	-
Pollution Prevention Grants Program		66.708	21,286	-
Through State of Kentucky		66.708	581	-
Through State of Kentucky		66.708	12,872	-
Through State of Kentucky		66.708	32,307	-
			<u>256,328</u>	<u>-</u>
<b>SUBTOTAL ENVIRONMENTAL PROTECTION AGENCY</b>				
<b>DEPARTMENT OF ENERGY</b>				
State Energy Program				
Through State of Kentucky		81.041	(49)	-
Through State of Kentucky		81.041	61,937	-
State Energy Program Special Projects through State of Kentucky		81.119	23,067	-
			<u>84,955</u>	<u>-</u>
<b>SUBTOTAL DEPARTMENT OF ENERGY</b>				
<b>DEPARTMENT OF EDUCATION</b>				
Federal Perkins Loan Program-Federal Capital Contributions through Davis School District		84.038	(542)	-
Career and Technical Education-Basic Grants to States				
Through State of Kentucky		84.048	972	-
Through State of Kentucky		84.048	181	-
Through State of Kentucky		84.048	11,289	-
Through State of Kentucky		84.048	424	-

See notes to the schedule of expenditures of federal awards.

UNIVERSITY OF LOUISVILLE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
Year ended June 30, 2016

<u>Federal Grant or Program Title</u>	<u>CFDA #</u>	<u>Pass Through Entity #</u>	<u>Fiscal 2016 Expenditures</u>	<u>Amount Provided to Subrecipients</u>	
Through Providence Public School Department		84.048	ULRF Providence PSD	\$ 1,390	\$ -
Fund for the Improvement of Postsecondary Education		84.116		23,783	15,680
Through Jefferson County Public Schools		84.186	CH 9-4-15	24,389	-
Javits Gifted and Talented Students Education					
Through University of Connecticut		84.206	RSA# 68614 KFS# 5631600	60,309	-
Special Education - State Program Improvement Grants for Children with Disabilities					
Through State of Kentucky		84.323	PON2 540 1600000488 1	356,989	-
Special Education - Personnel Development to Improve Services and Results for Children with Disabilities		84.325		459,921	-
Gaining Early Awareness and Readiness for Undergraduate Programs					
Through State of Kentucky		84.334	PO2 415 15000041531	77,960	-
Through State of Kentucky		84.334	PO2 415 16000034151	10,224	-
Mathematics and Science Partnerships					
Through Carroll County Schools		84.366	PON2 540 1600000520 1	15,756	-
Through Jefferson County Public Schools		84.366	RM 10-27-14	13,982	-
Through State of Arizona		84.366	ADED 14-000011	6,360	-
Through State of Kentucky		84.366	PON2 540 160000519 1	145,557	3,765
Improving Teacher Quality State Grants					-
Through National Writing Project		84.367	92-KY03-SEED2012	28,280	-
Through National Writing Project		84.367	92-KY03-SEED2016	3,992	-
ARRA - Investing in Innovation (i3) Fund through Council for Opportunity in Education		84.411	AN04, 03	309,441	-
<b>SUBTOTAL DEPARTMENT OF EDUCATION</b>				1,550,657	19,445
 <b>DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>					
Special Programs for the Aging Title III, Part C Nutrition Services					
Through Kentuckiana Regional Planning & Development Agency		93.045	KIPDA-FY2015-1033-1	296	-
Healthy Marriage Promotion and Responsible Fatherhood Grants		93.086		349,131	-
Enhance Safety of Children Affected by Substance Abuse					
Through Eastern Kentucky University		93.087	EKU 452537-13-218	(396)	-
Through Eastern Kentucky University		93.087	452837-15-136	(101)	-
Through University of Maine		93.087	UM-S1033	17,288	-
Model State Supported Area Health Education Centers		93.107		833,494	640,302
Maternal and Child Health Federal Consolidated Programs					-
Through Michigan Public Health Institute		93.110	K-38827-115-504200	(129)	-
Emergency Medical Services for Children		93.127		311,348	12,102
Injury Prevention and Control Research and State and Community Based Programs		93.136		366,818	19,250
Coordinated Services and Access to Research to Women, Infants, Children & Youth		93.153		443,468	-

See notes to the schedule of expenditures of federal awards.

UNIVERSITY OF LOUISVILLE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
Year ended June 30, 2016

<u>Federal Grant or Program Title</u>	<u>CFDA #</u>	<u>Pass Through Entity #</u>	<u>Fiscal 2016 Expenditures</u>	<u>Amount Provided to Subrecipients</u>
Substance Abuse and Mental Health Services - Projects of Regional and National Significance		93.243	\$ 470,448	\$ 117,268
Through Volunteers of America		93.243	52,838	-
Advanced Nursing Education Grant Program		93.247	71,867	-
Centers for Disease Control & Prevention: Investigations and Technical Assistance				
Through Catholic Charities		93.283	57,791	-
Through Kentuckiana Regional Planning & Development Agency		93.283	31,958	-
Through State of Kentucky		93.283	70,788	-
Through State of Kentucky		93.283	162,221	16,941
Through State of Kentucky		93.283	49,567	-
Through State of Kentucky		93.283	85,667	-
Through State of Kentucky		93.283	50,971	-
Through State of Kentucky		93.283	73	-
Through State of Kentucky		93.283	114,789	-
Through University of Kentucky Research Foundation		93.283	39,896	-
Teenage Pregnancy Prevention Program		93.297	361,788	-
Minority Health and Health Disparities Research through Case Western Reserve University		93.307	856	-
Advanced Education Nursing Traineeships		93.358	327,619	-
Cancer Cause and Prevention Research through Morehouse School of Medicine		93.393	(2)	-
Community Transformation Grants and National Dissemination and Support				
Affordable Care Act (ACA) Public Health Training Centers Program through Emory University				
Through Emory University		93.516	37,329	-
Through Emory University		93.516	22,002	-
The Coordinated Chronic Disease Prevention and Health Promotion Program				
Through State of Kentucky		93.544	2	-
Refugee and Entrant Assistance				
Through Catholic Charities		93.576	1,940	-
Family Violence Prevention and Services		93.592	163,448	68,527
Head Start through Ohio Valley Education Cooperative		93.600	223,497	-
Assistance for Torture Victims		93.604	303,614	30
ACA - Reinvestment of Civil Money Penalties to Benefit Nursing Home Residents				
Through State of Georgia		93.636	40,940	-
Through State of Mississippi		93.636	12,313	-
Through State of Kentucky		93.636	31,440	-
Through State of South Carolina		93.636	15,816	-
Children's Justice Grants to States through State of Kentucky		93.643	180,336	-
Adoption Opportunities		93.652	465,507	139,879

See notes to the schedule of expenditures of federal awards.

UNIVERSITY OF LOUISVILLE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
Year ended June 30, 2016

<u>Federal Grant or Program Title</u>	<u>CFDA #</u>	<u>Pass Through Entity #</u>	<u>Fiscal 2016 Expenditures</u>	<u>Amount Provided to Subrecipients</u>
Foster Care Title IV-E				
Through Eastern Kentucky University		93.658	\$ (15)	\$ -
Through Eastern Kentucky University		93.658	(34)	-
Through Eastern Kentucky University		93.658	1,981	-
Through Eastern Kentucky University		93.658	(67)	-
Through Eastern Kentucky University		93.658	176,196	-
Through Eastern Kentucky University		93.658	7,914	-
Through Eastern Kentucky University		93.658	165,128	-
Through Eastern Kentucky University		93.658	211,220	-
Through Eastern Kentucky University		93.658	120,261	-
Through Seven Counties Services		93.658	8,050	-
Surveillance for Diseases Among Immigrants and Refugees				
Financed in part by Prevention and Public Health Funds (PPHF) through Catholic Charities		93.755	268-108080-2016 48,194	-
Organized Approaches to Increase Colorectal Cancer Screening through State of Kentucky		93.800	PO2 728 14000038431 4 11,789	-
Domestic Ebola Supplement to the Epidemiology and Laboratory Capacity for Infectious Diseases (ELC).				
Through State of Kentucky		93.815	PO2 728 1600000452 1 79,625	-
Organized Approaches to Increase Colorectal Cancer Screening		93.865	(12,602)	-
Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease		93.918	688,747	-
Ryan White HIV/AIDS Dental Reimbursements		93.924	358,199	-
HIV Prevention Activities_Health Department Based				
Through State of Kentucky		93.940	PON2 728 15000004181 931,025	-
Through State of Kentucky		93.940	PO2 728 15000023651 717,778	-
Geriatric Education Centers		93.969	618,371	-
Through University of Kentucky Research Foundation		93.969	UKRF 3048111909-15-068 12,582	-
Maternal and Child Health Services Block Grant				
Through State of Kentucky		93.994	PO2 728 1400003770 1 83,300	-
Through State of Kentucky		93.994	PO2 728 1400003975 1 24,559	-
Through State of Kentucky		93.994	PO2 728 100004087 330,988	-
Through State of Kentucky		93.994	PO2 728 1400003973 1 281,940	-
<b>SUBTOTAL DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>			<u>10,633,665</u>	<u>1,014,299</u>
<b>DEPARTMENT OF HOMELAND SECURITY</b>				
Flood Mitigation Assistance through University of Kentucky Research Foundation		97.029	3048112073-15-080 (3,406)	-
<b>TOTAL OTHER PROGRAMS</b>			<u>13,519,164</u>	<u>1,033,744</u>
<b>TOTAL EXPENDITURES OF FEDERAL AWARDS</b>			<u>\$ 264,530,704</u>	<u>\$ 8,913,519</u>

See notes to the schedule of expenditures of federal awards.

UNIVERSITY OF LOUISVILLE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
Year ended June 30, 2016

---

**Subtotals of Multiple Awards**

<u>Program Name</u>	<u>CFDA</u>	<u>Subtotal</u>
Department of Defense Contracts	12.000	\$ 39,618
Pollution Prevention Grants Program	66.708	67,046
State Energy Program	81.041	61,888
Career and Technical Education-Basic Grants to States	84.048	14,256
Gaining Early Awareness and Readiness for Undergraduate Programs	84.334	88,184
Mathematics and Science Partnerships	84.366	181,655
Improving Teacher Quality State Grants	84.367	32,272
Enhance Safety of Children Affected by Substance Abuse	93.087	16,791
Substance Abuse and Mental Health Services - Projects of Regional and National Significance	93.243	523,286
Centers for Disease Control & Prevention: Investigations and Technical Assistance	93.283	663,721
Affordable Care Act (ACA) Public Health Training Centers Program through Emory University	93.516	59,331
ACA – Reinvestment of Civil Money Penalties to Benefit Nursing Home Residents	93.636	100,509
HIV Prevention Activities-Health Department Based	93.940	1,648,803
Foster Care Title IV-E	93.658	690,634
Geriatric Education Centers	93.969	630,953
Maternal and Child Health Services Block Grant	93.994	720,787

UNIVERSITY OF LOUISVILLE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
Year ended June 30, 2016

---

**NOTE 1 - BASIS OF PRESENTATION**

The accompanying schedule of expenditures of federal awards (Schedule) of the University of Louisville (University) has been prepared in the format as set forth in Title 2 U.S. Code of Federal Regulations 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. The purpose of the Schedule is to present a consolidated summary of those expenditures of the University for the year ended June 30, 2016, which has been financed by the U.S. Government (Federal awards). For purposes of the Schedule, Federal awards include all Federal assistance and procurement relationships entered into directly and indirectly between the University and the Federal government and sub-awards from non-federal organizations made under federally sponsored agreements.

The accounting principles followed by the University and used in preparing the Schedule are as follows:

The schedule of expenditures of federal awards includes amounts expended by the University and its affiliated corporation, the University of Louisville Research Foundation, Inc.

Deductions (expenditures) for direct costs are recognized as incurred using the cash method of accounting and the cost accounting principles contained in Uniform Guidance. Under those cost principles, certain types of expenditures are not allowable or are limited as to reimbursement. Moreover, expenditures include a portion of costs associated with general University activities (facilities and administrative costs) which are allocated to awards under negotiated formulas commonly referred to as indirect cost rates. The University has elected not to use the 10-percent de minimis indirect cost rate allowed under the Uniform Guidance.

Negative amounts shown on the Schedule represent adjustments or credits made in the normal course of business to amounts reported as expenditures in prior years.

**NOTE 2 - NON-CASH FINANCIAL ASSISTANCE**

Outstanding loan balances at June 30, 2016 were as follows:

	<u>CFDA #</u>	<u>Total</u>
Federal Perkins Loan Program	84.038	\$ 7,489,965
Health Professions Student - Medical	93.342	(34)
Health Professions Primary Care - Medical	93.342	3,874,756
Health Professions Student Loans - Dental	93.342	3,665,889
Nursing Student Loans	93.364	52,886
Loans to Disadvantaged Students - Medical	93.342	286,760
Loans to Disadvantaged Students - Dental	93.342	<u>41,615</u>
Total student loans outstanding		<u>\$ 15,411,837</u>

UNIVERSITY OF LOUISVILLE  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
Year ended June 30, 2016

---

**NOTE 2 - NON-CASH FINANCIAL ASSISTANCE** (Continued)

Loans received by students for the period ending June 30, 2016 were as follows:

	<u>CFDA #</u>	<u>Total</u>
Federal Perkins Loan Program	84.038	\$ 805,825
William D. Ford Federal Direct Loan Program	84.268	137,620,580
Health Professions Primary Care - Medical	93.342	317,862
Health Professions Student Loans - Dental	93.342	798,500
Loans to Disadvantaged Students - Medical	93.342	<u>106,500</u>
 Total non-cash financial assistance		 <u>\$ 139,649,267</u>

INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL  
REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON  
AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE  
WITH *GOVERNMENT AUDITING STANDARDS*

Board of Trustees  
University of Louisville  
Louisville, Kentucky

We have audited, in accordance with the auditing standards generally accepted in the United States of America 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 business-type activities and aggregate discretely presented component units of the University of Louisville and affiliated corporations ("University") as of and for the year ended June 30, 2016, and the related notes to the financial statements, which collectively comprise the University's basic financial statements, and have issued our report thereon dated November 18, 2016. Our report includes a reference to other auditors who audited the financial statements of the University of Louisville Physicians, Inc., the University of Louisville Real Estate Foundation, Inc. and University of Louisville Foundation, Inc. and Affiliates, as described in our report on the University's financial statements. The financial statements of the University of Louisville Physician's, Inc., the University of Louisville Real Estate Foundation, Inc. and University of Louisville Foundation, Inc. and Affiliates were not audited in accordance with *Government Auditing Standards*.

### **Internal Control over Financial Reporting**

In planning and performing our audit of the financial statements, we considered the University'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 financial statements, but not for the purpose of expressing an opinion on the effectiveness of the University's internal control. Accordingly, we do not express an opinion on the effectiveness of the University's internal control.

*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 entity's financial statements will not be prevented, or detected and corrected on a timely basis. 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.



Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

### **Compliance and Other Matters**

As part of obtaining reasonable assurance about whether the University's financial statements are free of 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 no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

### **Purpose of this Report**

The purpose of this report is solely to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity'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 entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

*Crowe Horwath LLP*

Crowe Horwath LLP

Louisville, Kentucky  
November 18, 2016

INDEPENDENT AUDITOR'S REPORT ON COMPLIANCE FOR  
EACH MAJOR FEDERAL PROGRAM; REPORT ON INTERNAL CONTROL OVER  
COMPLIANCE; AND REPORT ON THE SCHEDULE OF EXPENDITURES  
OF FEDERAL AWARDS REQUIRED BY UNIFORM GUIDANCE

Board of Trustees  
University of Louisville  
Louisville, Kentucky

**Report on Compliance for Each Major Federal Program**

We have audited University of Louisville and Affiliated Corporations ("University") compliance with the types of compliance requirements described in the *OMB Compliance Supplement* that could have a direct and material effect on each of the University's major federal programs for the year ended June 30, 2016. The University's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs.

***Management's Responsibility***

Management is responsible for compliance with the requirements of laws, regulations, contracts, and grants applicable to its federal programs.

***Auditor's Responsibility***

Our responsibility is to express an opinion on compliance for each of the University'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 auditing standards generally accepted in the United States of America; 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 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 University's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance for each major federal program. However, our audit does not provide a legal determination of the University's compliance.

### ***Opinion on Each Major Federal Program***

In our opinion, the University 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 major federal programs for the year ended June 30, 2016.

### **Report on Internal Control over Compliance**

Management of the University 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 University'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 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 University's internal control over compliance.

*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 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. *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.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

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.

## Schedule of Expenditures of Federal Awards

We have audited the financial statements of the business-type activities and the aggregate discretely presented component units of the University as of and for the year ended June 30, 2016, and the related notes to the financial statements, which collectively comprise the University's basic financial statements. We issued our report thereon dated November 18, 2016, which contained unmodified opinions on those financial statements. Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the basic financial statements. The accompanying schedule of expenditures of federal awards is presented for purposes of additional analysis as required by Uniform Guidance and is not a required part of the basic financial statements. Such information is the responsibility of 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 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 auditing standards generally accepted in the United States of America. In our opinion, the schedule of expenditures of federal awards is fairly stated in all material respects in relation to the basic financial statements as a whole.

*Crowe Horwath LLP*  
Crowe Horwath LLP

Louisville, Kentucky  
November 18, 2016

**UNIVERSITY OF LOUISVILLE**  
**SCHEDULE OF FINDINGS AND QUESTIONED COSTS**  
Year Ended June 30, 2016

---

**Section I: Summary of Auditor's Results**

1. The opinion(s) expressed in the independent auditors' report was: Unmodified
2. The independent auditors' report on internal control over financial reporting described:
- Significant deficiency(ies)?  Yes  None reported
- Material weakness(es)?  Yes  No
3. Noncompliance considered material to the financial statements was disclosed by the audit?  Yes  No
4. The independent auditors' report on internal control over compliance with requirements that could have a direct and material effect on major federal awards programs disclosed:
- Significant deficiency(ies)?  Yes  None reported
- Material weakness(es)?  Yes  No
5. The opinion(s) expressed in the independent auditors' report on compliance with requirements that could have a direct and material effect on major federal awards was (were): Unmodified
6. The audit disclosed findings required to be reported by 2 CFR 200.516(a)?  Yes  No
7. The University's major programs were:

Cluster/Program	CFDA Number
Student Financial Aid Cluster	84.007, 84.033, 84.038, 84.063, 84.268, 84.379, 93.342, and 93.364

- The threshold used to distinguish between Type A and Type B programs as those terms are defined in the Uniform Guidance was \$3,000,000
8. The University qualified as a low-risk auditee as that term is defined in the Uniform Guidance?  Yes  No

**Section II: Findings Required to be Reported by Government Auditing Standards**

There were no findings for the year ended June 30, 2016.

---

**UNIVERSITY OF LOUISVILLE**  
**SCHEDULE OF FINDINGS AND QUESTIONED COSTS**  
Year Ended June 30, 2016

---

**Section III: Findings and Questioned Costs for Federal Awards Required to be Reported by Uniform Guidance**

There were no findings for the year ended June 30, 2016.

**Section IV: Schedule of Prior Year Auditing Findings and Questioned Costs**

There were no findings for the year ended June 30, 2015.