

**UNIVERSITY OF LOUISVILLE
AND AFFILIATED CORPORATIONS**
Louisville, Kentucky

**SINGLE AUDIT REPORTS AND THE
SCHEDULE OF EXPENDITURES
OF FEDERAL AWARDS**
Year Ended June 30, 2020

UNIVERSITY OF LOUISVILLE AND AFFILIATED CORPORATIONS
Louisville, Kentucky

**SINGLE AUDIT REPORTS AND THE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**
Year Ended June 30, 2020

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UNIVERSITY OF LOUISVILLE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2020

Federal Grant or Program Title	CFDA #	Pass Through Entity #	Fiscal 2020 Expenditures	Amount Provided to Subrecipients
STUDENT FINANCIAL AID CLUSTER				
UNITED STATES DEPARTMENT OF EDUCATION				
Federal Supplemental Educational Opportunity Grants	84.007		\$ 959,503	\$ -
Federal Work Study Program	84.033		873,442	-
Federal Perkins Loan Program	84.038		6,578,426	-
Federal Pell Grant Program	84.063		21,839,479	-
William D. Ford Federal Direct Loan Program	84.268		146,674,774	-
Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)	84.379		<u>114,833</u>	<u>-</u>
SUBTOTAL UNITED STATES DEPARTMENT OF EDUCATION			<u>177,040,457</u>	<u>-</u>
DEPARTMENT OF HEALTH AND HUMAN SERVICES				
Health Professions Student Loans, Including Primary Care Loans and Loans for Disadvantaged Students	93.342		10,241,568	-
Nursing Student Loans	93.364		<u>21,883</u>	<u>-</u>
SUBTOTAL DEPARTMENT OF HEALTH AND HUMAN SERVICES			<u>10,263,451</u>	<u>-</u>
TOTAL STUDENT FINANCIAL AID CLUSTER			<u>187,303,908</u>	<u>-</u>
CORONAVIRUS AID, RELIEF, AND ECONOMIC SECURITY ACT SECTION 2, HIGHER EDUCATION EMERGENCY RELIEF FUND (HEERF)				
UNITED STATES DEPARTMENT OF EDUCATION				
HEERF Student Aid Portion (Covid-19)	84.425E		5,974,608	
HEERF Institutional Portion (Covid-19)	84.425F		<u>3,187,865</u>	<u>-</u>
TOTAL CORONAVIRUS AID, RELIEF AND ECONOMIC SECURITY ACT			<u>9,162,473</u>	<u>-</u>
RESEARCH AND DEVELOPMENT CLUSTER				
DEPARTMENT OF AGRICULTURE				
Agriculture and Food Research Initiative (AFRI)	10.310	2015-67020-23184	(45)	-
State Administrative Matching Grants for Food Stamp Program Through Eastern Kentucky University	10.561	453783-20-116	104,015	-
Wood to Densified Coal-Replacement Material through US Endowment for Forestry & Communities	10.681	CW-1	<u>463</u>	<u>-</u>
SUBTOTAL DEPARTMENT OF AGRICULTURE			<u>104,433</u>	<u>-</u>

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Federal Grant or Program Title	CFDA #	Pass Through Entity #	Fiscal 2020 Expenditures	Amount Provided to Subrecipients
DEPARTMENT OF COMMERCE				
Measurement and Engineering Research and Standards				
Through Nat'l Institute of Standards & Tech	11.609	70NANB16H029N	(1,454)	-
Louisville Additive Manufacturing Business Development A through Department of Commerce Minority Business Development Agency	11.802	MB18OBD8020071	144,372	-
SUBTOTAL DEPARTMENT OF COMMERCE			142,918	-
DEPARTMENT OF DEFENSE				
Department of Defense Contracts	12.000		6,337	-
Through Dept of the Army, Ft. Knox	12.000	OGMB200791	182,971	-
Through Ky. Commission on Military Affairs	12.000	PON2 076 2000001258	99,635	-
Through NextGen Aeronautics	12.000	PO 19-01	77,107	-
Through Northrop Grumman	12.000	3021700145	67	-
Through University of Pittsburgh	12.000	0061688-7	675	-
Through University of Pittsburgh	12.000	0055964-7	52,044	-
Through TDA Research, Inc.	12.000	AJ.1403.010.UL.19.01	23,660	-
U.S. Office of Naval Research				
Through 3DSIM, LLC	12.000	N6833517C0624	12	-
Through QuesTek Innovations LLC	12.000	PO: 1675	183,456	-
Through InfoBeyond Technology LLC	12.000	IB1607	64,321	-
Through Technical Data Analysis, Inc.	12.000	2098-001-01	280	-
Basic and Applied Scientific Research through Technical Data Analysis, Inc.	12.300	2116-001-01	41,798	-
Basic Scientific Research - Combating Weapons of Mass Destruction	12.351	HDTRA1-15-1-0027	308,147	137,465
Military Medical Research and Development	12.420		773,014	-
Through U.S. Department of Defense	12.420		1,346,686	-
Through Miami University	12.420	G03178	36,331	-
Through Christopher & Dana Reeve Foundation	12.420	CTN1,5,6,7,11	77,363	-
Through Clinical Research Foundation	12.420	MSRC-FY18-01	7,402	-
Through Feinstein Institute of Medical Research	12.420	500717UL	-	-
Through Jewish Hospital & St. Mary's HealthCare	12.420	CTA-09	17,505	-
Through Kessler Med Rehab Research and Edu Corp	12.420	435-01	28,437	-
Through Christine Kleinert Institute	12.420	W81XWH-13-2-0057	15,496	-
Basic Scientific Research	12.431		153,001	-
Information Cybersecurity Grant Program	12.902		30,584	-
SUBTOTAL DEPARTMENT OF DEFENSE			3,526,329	137,465
DEPARTMENT OF INTERIOR				
Assistance to State Water Resources Research Institutes				
Through U.S. Fish and Wildlife Service	15.650	Sinking Creek Tribut	(4)	-
Through University of Kentucky	15.805	3200000437-19-003	4,788	-
SUBTOTAL DEPARTMENT OF INTERIOR			4,784	-
DEPARTMENT OF JUSTICE				

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Federal Grant or Program Title	CFDA #	Pass Through Entity #	Fiscal 2020 Expenditures	Amount Provided to Subrecipients
Department of Justice Contract through Ohio Valley Education Cooperative	16.000	2019-YS-BX-0033	6,673	-
National Institute of Justice Research, Evaluation, and Development Project Grants	16.560		192,849	-
Through U.S. Dept. of Justice	16.560	2018-VA-CX-0003	70,073	-
Through State of Kentucky	16.560	PON2 527 18000009391	147,806	-
Through University of Maryland	16.560	0000018580	33,037	-
Through Vanderbilt University	16.560	UNIV59385	14,792	-
National Sexual Assault Kit Initiative - Department of Justice Bureau of Justice Assistance				
B - Cooperative Agreements				
Through State of Kentucky	16.833	PON2 040 18000010891	67,275	-
Comprehensive Opioid Abuse Site-Based Program Bureau of Justice Assistance B - Cooperative Agreements, B - Project Grants				
Through Louisville/Jefferson Cty Metro Government	16.838	Louisville Law Enforcemen	18,884	-
SUBTOTAL DEPARTMENT OF JUSTICE			551,389	-
DEPARTMENT OF LABOR				
RETAINing Kentucky's Workforce through University of Kentucky Res. Fdn	17.720	3200002366-20-020	14,997	-
SUBTOTAL DEPARTMENT OF LABOR			14,997	-
DEPARTMENT OF TRANSPORTATION				
Federal Highway Administration through National Academy of Science	20.000	NCHRP-217	60,976	-
Metropolitan Transportation Planning and State and Non-Metropolitan Planning and Research				
Through University of Kentucky Research Foundation	20.505	3049025467-15-041	(4,847)	-
			56,129	-
NATIONAL AERONAUTICS AND SPACE ADMINISTRATION				
NASA Contracts	43.000	NNX16AC59G	595	-
Through CFD Research Corporation	43.000	20160274 SLM Inconel 718	8,505	-
Through Space Telescope Science Institute	43.000	HST-AR-15008.008-A	75,405	-
Through Space Telescope Science Institute	43.000	HST-GO-15105.001-A	2,048	-
Through Space Telescope Science Institute	43.000	HST-GO-15107.001-A	7,965	-
Through Techshot	43.000	Space Metal Printing	33,979	-
Through Techshot	43.000	SvcAgr < Contr NNX15CJ21P	147	-
Through Universal Technology Corporation	43.000	18-7623-03-C1	30,991	-
Through University of Kentucky Research Foundation	43.000	304109993-13-189	5	-
Aerospace Education Services Program	43.001		13,616	19,955
Through Aetos Systems, Inc.	43.001	SC-2019-004	(316)	-
Through Columbia University	43.001	1(GG013215)	28,580	-
Through National Aeronautics and Space Adm	43.001	1596617	77,579	-
Through Space Telescope Science Institute	43.001	HST-GO-15106.001-A	15,632	-
Through Space Telescope Science Institute	43.001	HST-GO-15643.002-A	762	-
Through University of Kentucky Research Foundation	43.001	3049025881-18-287	(353)	-
Cooperative Agreements				
Through Baylor College of Medicine	43.003	NNX16A069A	51,868	-
Office of Stem Engagement (OSTEM)				
Through Kentucky Space Grant Consortium	43.008	3048112787-19-236	1,893	-

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Through Kentucky Space Grant Consortium	43.008	3049026146-20-096	7,794	-
Through University of Kentucky Research Foundation	43.008	3048111831-15-029	3,691	-
Through University of Kentucky Research Foundation	43.008	3200001466-18-042	32,435	-
Through University of Kentucky Research Foundation	43.008	320000161-16-230	676	-
Through University of Kentucky Research Foundation	43.008	3200002377-20-037	29,125	-
Through University of Kentucky Research Foundation	43.008	3210000183-18-196	(380)	-
Through University of Kentucky Research Foundation	43.008	3210000183-19-163	6,851	-
Through University of Kentucky Research Foundation	43.008	3210000183-19-164	22,058	-
National Aeronautics and Space Adm	43.009	NNX15AH20A	(562)	-
National Aeronautics and Space Adm	43.012	80NSSC18K1664	9,727	-
SUBTOTAL NATIONAL AERONAUTICS AND SPACE ADMINISTRATION			460,316	19,955
 NATIONAL SCIENCE FOUNDATION				
National Science Foundation Contract	47.000	DEB-1654176	16,318	-
National Science Foundation Contract	47.000	2031008.000	49,878	-
Engineering Grants	47.041		3,524,529	366,002
Through George Mason University	47.041	E204620-02	19,814	-
Through Ohio State University	47.041	60063968	27,582	-
Through Tactile Analogics LLC	47.041	Haptic Tactile Display	(36,158)	-
Through University of California, San Diego	47.041	125918479	21,120	-
Through University of Michigan	47.041	3004865092	29,217	-
Mathematical and Physical Sciences	47.049		564,038	9,756
Through Ball State University	47.049	G1108-UL	15,761	-
Geosciences	47.050		233,913	-
Computer and Information Science and Engineering	47.070		870,700	130,318
Biological Sciences	47.074		268,277	60,121
Through Carnegie Institute	47.074	629959	(1,937)	-
Social, Behavioral, and Economic Sciences	47.075		285,456	52,794
Education and Human Resources	47.076		577,407	-
Through Tennessee Tech University	47.076	1601587	57,540	-
Through University of Kentucky Res. Fdn.	47.076	3200002015-19-040	51,790	-
Office of International Science and Engineering	47.079		50,478	-
Office of Integrative Activities				
Through University of Kentucky Research Foundation	47.083		952,671	-
SUBTOTAL NATIONAL SCIENCE FOUNDATION			7,578,394	618,991
 DEPARTMENT OF VETERANS AFFAIRS				
Department of Veterans Affairs Contracts	64.000		219,813	-
Through VHA Office of Informatics & Analytics	64.000	Understanding User Needs	14,204	-
Through Cognitive Medical Systems, Inc.	64.000	FF91F010-FEB7-481D-9399-8	19,238	-
Sharing Specialized Medical Resources	64.018	IPA	146,645	-
SUBTOTAL DEPARTMENT OF VETERANS AFFAIRS			399,900	-

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Federal Grant or Program Title	CFDA #	Pass Through Entity #	Fiscal 2020 Expenditures	Amount Provided to Subrecipients
ENVIRONMENTAL PROTECTION AGENCY				
Regional Wetland Program Development Grants	66.461	00D98019	17,818	-
Pollution Prevention Grants Program through State of Kentucky	66.708	PON21291800008752	6,742	-
Brownfields Training	66.814	TR-83579302	143,390	71,846
SUBTOTAL ENVIRONMENTAL PROTECTION AGENCY			167,950	71,846
DEPARTMENT OF ENERGY				
U.S. Department of Energy Contract				
Through Brookhaven National Laboratory	81.000	364481	52,920	-
Through Lawrence Berkeley National Laboratory	81.000	7400199	4,159	-
Through The Regents of the Univ of California	81.000	4450 G WA318	282,159	-
Office of Science Financial Assistance Program	81.049	DE-SC0019348	150,723	-
Conservation Research and Development	81.086	DE-EE0008866	163,743	-
Renewable Energy Research and Development	81.087	DE-EE0008752	297,025	-
SUBTOTAL DEPARTMENT OF ENERGY			950,729	-
DEPARTMENT OF EDUCATION				
Department of Education Contracts through American Institutes for Research	84.000	0460400006	30,653	-
Safe and Drug-Free Schools and Communities_National Programs				
Through JCPS Instructional	84.184		(4,365)	-
Javits Gifted and Talented Students Education				
Through University of Connecticut	84.206	RSA# 68614 KFS# 5631600	(13)	-
Education Research, Development and Dissemination				
Through Development Services Group, Inc.	84.305		25,389	-
Research in Special Education	84.324		868,102	214,554
Through Oregon Research Institute	84.324	R324A150221	131,367	-
SUBTOTAL DEPARTMENT OF EDUCATION			1,051,133	214,554
DEPARTMENT OF HEALTH AND HUMAN SERVICES				
Department of Health and Human Services Contracts	93.000			
Through National Institutes of Health	93.000	HHSN272201000033I	59,041	-
Through ICON Clinical Research	93.000	3771/0001	5,994	-
Through Duke Clinical Research Institute	93.000	218092.000	44	-
Through Duke Clinical Research Institute	93.000	203-7905Task Order #1 PTN	19,800	-
Through Duke Clinical Research Institute	93.000	NICHD-2011-POP01	177	-
Through Duke Clinical Research Institute	93.000	RSN-C PTN POPS	1,192	-
Through Duke Clinical Research Institute	93.000	Subcontract # A031964	19,858	-
Through Duke University	93.000	203-8816	8,997	-
Through Indiana University-Purdue University	93.000	GOG 175, 184, 204	2,710	-
Through University of Alabama Birmingham	93.000	000509729-006 16-0095Base	2,335	-
Through University of Alabama Birmingham	93.000	000509729-006 16-0095Opt1	30,207	-

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Federal Grant or Program Title	CFDA #	Pass Through Entity #	Fiscal 2020 Expenditures	Amount Provided to Subrecipients
Department of Health and Human Services Administration for Children and Families Sexual Risk Avoidance Education	93.060	90SR0023-02-00	138,593	-
Family Smoking Prevention and Tobacco Control Act Regulatory Research				
Through National Institutes of Health	93.077	5R01HL120746-05	(58,428)	-
Through National Institutes of Health	93.077	5R01HL122676-04	(24)	-
Through National Institutes of Health	93.077	5R01HL122676-05	599,972	-
Through National Institutes of Health	93.077	1R01HL147343-01	260,375	-
Through National Institutes of Health	93.077	5R01HL147343-02	76,214	-
Blood Disorder Program: Prevention, Surveillance, and Research				
Through University of North Carolina	93.080	5106852	8,894	-
Through University of North Carolina	93.080	5112776	21,201	8,835
Healthy Marriage Promotion and Responsible Fatherhood Grants				
Through Department of Health & Human Serv	93.086	90FK0074-05-00	681,907	-
Through Fatherhood Research & Practice Network	93.086	GB170637	501	-
Food and Drug Administration Research	93.103	HHSF223201810171C	263,210	23,280
Through Duke University	93.103	PedMigraine 234691/240919	594	-
Maternal and Child Health Federal Consolidated Programs				
Through Texas Health Institute	93.110	Evaluation Services	49,337	-
Biological Response to Environmental Health Hazards	93.113		4,366,649	166,264
Through University of Alabama at Birmingham	93.113	000520645-001	(11,342)	-
Through University of Alabama at Birmingham	93.113	000520645-001	134,975	-
Through University of Alabama at Birmingham	93.113	000520645-SC001	60,019	-
Through University of Kentucky Res. Fdn.	93.113	3049025688-15-105	(625)	-
Oral Disease and Disorders Research	93.121		3,342,770	443,226
Through Georgia Institute of Technology	93.121	RJ852-G1	2,722	-
Through Georgia Institute of Technology	93.121	RJ852-G1/AWD-101454-G3	142,364	-
Through Research Foundation for SUNY at Buffalo	93.121	1R21DE027201-01	(2,795)	-
Through University of Florida	93.121	UFDSP00012235	26,270	-
Injury Prevention and Control Research and State and Community Based Programs				
Through Centers for Disease Control	93.136		1,032,274	350,942
NIEHS Hazardous Waste Worker Health and Safety Training				
Through Emory University	93.142	A316940	46,239	-
Through Emory University	93.142	T953523	(809)	-
NIEHS Superfund Hazardous Substances Basic Research and Education	93.143		1,576,039	168,734
Coordinated Services and Access to Research for Women	93.153	5H12HA24829-08-00	347,786	-
Human Genome Research	93.172		861,397	459,929
Through HudsonAlpha Institute for Biotechnology	93.172	2000.044.03-01	73,274	-
Through HudsonAlpha Institute for Biotechnology	93.172	20000.044.02-01	1,397	-
Through HudsonAlpha Institute for Biotechnology	93.172	20000.044.03-01	115,830	-
Through University of California/San Francisco	93.172	CAF-PINT	(325)	-
Research Related to Deafness and Communication Disorders	93.173		680,049	-
Through University of Kentucky Research Foundation	93.173	3200001875-19-005	4,852	-
Through University of Kentucky Research Foundation	93.173	3200002435-20-002	24,517	-
Through University of Virginia	93.173	GC11990-136407	623	-
Disabilities Prevention through Special Olympics	93.184	Inclusive Health Resource	(1,673)	-
Research and Training in Complementary and Alternative Medicine				
Through National Institutes of Health	93.213	1R01AT008617-01A1	262,842	-
Through National Institutes of Health	93.213	3R01AT008617-04S1	8,666	-
Through TherapyX, Inc.	93.213	1R43AT009800-01	9,660	-
Research on Healthcare Costs	93.226		153,727	10,047
Through University of Kentucky Research Foundation	93.226	3200001911-19-081	1,810	-
Mental Health Research Grants	93.242		263,269	112,220

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Through Boston University	93.242	5H79SM081133-02	6	-
Substance Abuse and Mental Health Services _Projects of Regional and National Significance				
Through SAMHSA	93.243	1H79SM081133-01	20,472	-
Through SAMHSA	93.243	1H79TI082725-01	2,954	-
Through SAMHSA	93.243	5H79SM081133-02	94,868	-
Through SAMHSA	93.243	5U79SM063218-03	198,281	-
Through SAMHSA	93.243	5U79SM063218-04	218,503	189,680
Through Louisville/Jefferson Co Metro Government	93.243	OGMB171382	60,880	-
Through Louisville/Jefferson Co Metro Government	93.243	OGMB171382A	230,073	-
Geriatric Academic Career Awards	93.250	1 K01HP33455-01-00	64,627	-
Universal Newborn Hearing Screening through State of Kentucky	93.251	SC-767-1800004697v1	24,640	-
Occupational Safety and Health Research Grants				
Through Centers for Disease Control	93.262	5R01OH010425-03	(74)	-
Through University of Kentucky Res. Fdn.	93.262	3210001070-20-168	7,358	-
Alcohol Research Programs	93.273		4,459,496	366,103
Through Cleveland Clinic Foundation	93.273	728-SUB	(1,362)	-
Through EndoProtech Inc.	93.273	LIVER DIS R44AA021331	(424)	-
Through Vanderbilt University	93.273	VUMC 64149	264,294	-
Through Vanderbilt University	93.273	VUMC 64149	39,825	-
Drug Abuse and Addiction Research Programs				
Through University of Florida	93.279	SUB00001998	12,423	-
Discovery and Applied Research for Technological Innovations to Improve Human Health	93.286	1R21HL132263-01A1	15,831	-
Through Bionic Eye Technologies, Inc.	93.286	5U01EB018873-03	(3)	-
Trans-NIH Research Support	93.310		1,384,337	-
Through Massachusetts General Hospital	93.310	229365	9	-
Through Massachusetts General Hospital	93.310	233284 4UH3OD023253-03	52,669	-
Through Massachusetts General Hospital	93.310	233284 4UH3OD023253-04	89,854	-
Through Ohio State University	93.310	60059325	2,245	-
Through University of Florida	93.310	SUB0002035	83,880	-
Through University of Florida	93.310	UFDSP00012321	6,003	-
Through University of Florida	93.310	UFDSP00012341	14,516	-
Through University of Kentucky Res. Fdn	93.310	3200002907-20-138	97,808	-
Early Hearing Detection and Intervention Information System (EHDI-IS) Surveillance Program				
Through State of Kentucky	93.314	SC-767-1800004697v1	44,382	-
Research Infrastructure Programs				
Through National Institutes of Health	93.351	1S10OD025178-01A1	363,800	-
Nursing Research	93.361		48,874	-
Through University of Kentucky Research Foundation	93.361	3200001034-19-012	16,235	-
Through University of Tennessee Hlth Science Ctr	93.361	19-2195-ULRF	222	-
Sickle Cell Treatment Demonstration Program through Carolinas Medical Center				
Through Atrium Health (was Carolinas Med Ctr)	93.365	300301054 (A17-0142-S004)	5,929	-
Through Atrium Health (was Carolinas Med Ctr)	93.365	300301054 (A17-0142-S004)	22,077	-
Cancer Cause and Prevention Research	93.393		670,113	288,403
Through Baylor College of Medicine	93.393	7000000530.000	11,238	-
Through Georgia Regents/Augusta State University	93.393	Educational Program	(1)	-
Cancer Detection and Diagnosis Research	93.394		352,133	-
Through University of Massachusetts	93.394	OSP2016157	10,435	-
Cancer Treatment Research through National Institutes of Health	93.395		898,891	27,288
Through 3P Biotechnologies, Inc.	93.395	1R44CA221487-01	75,389	-
Through Alliance for Clinical Trials in Oncology	93.395	A221505	34	-
Through Alliance for Clinical Trials in Oncology	93.395	Z11102	1,126	-

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Through ECOG-ACRIN Cancer Research Group	93.395	EA3132	16	-
Through NRG Oncology Foundation, Inc.	93.395	CCTG MA.39	583	-
Through NRG Oncology Foundation, Inc.	93.395	GOG-0262/ACRIN 6695	(173)	-
Through NRG Oncology Foundation, Inc.	93.395	GOG-0281	708	-
Through NRG Oncology Foundation, Inc.	93.395	NRG-GY006	444	-
Through NRG Oncology Foundation, Inc.	93.395	NRG-HN004	1,260	-
Through University of Rochester Medical Center	93.395	417564G/UR FAO GR510917	17,490	-
Cancer Biology Research	93.396		625,077	21,841
Through Ohio State University	93.396	60071158	14,404	-
Through University of Nebraska Medical Center	93.396	35-5140-2063-001	45,780	-
Cancer Research Manpower	93.398		402,351	-
Cancer Control	93.399	UG1CA189867	366	-
CDC's National Network Approach to Preventing and Controlling Tobacco-related Cancers in Special Populations	93.431	3200003100-20-236	3,833	-
Affordable Care Act Public Health Training Centers Program				
Through Emory University	93.516	A176152	18,146	-
Through Emory University	93.516	T983670	1,080	-
Head Start				
Through Jefferson Co. Public Schools	93.600	(FED)JCPS Early Childhood	1,218	-
Assistance for Torture Victims	93.604	90ZT0210-01-00	35,338	-
Children's Justice Grants to States				
Through University of Kentucky Research Foundation	93.643	3210000967-19-116	(1,161)	-
Through University of Kentucky Research Foundation	93.643	3200002690-20-074	39,571	-
Child Welfare Services Training Grants				
Through University of Nebraska-Lincoln	93.648	24-0520-0249-003	195,957	-
Through University of Nebraska-Lincoln	93.648	24-0520-0288-003	262,415	-
Foster Care Title IV-E				
Through Eastern Kentucky University	93.658	453610-19-118	(38)	-
Chafee Foster Care Independence Program				
Through Eastern Kentucky University	93.674	453806-20-119	49,756	-
Through Eastern Kentucky University	93.674	453738-19-237	46	-
Medical Assistance Program				
Through State of Kentucky	93.778	SC7461900000170v1	138,342	-
Through State of Kentucky	93.778	SC7461900000170v1	(353)	-
Through State of Kentucky	93.778	SC7461900000171v1	88,021	-
Heart and Vascular Diseases Research	93.837		7,055,193	492,074
Through National American Heart Association	93.837	FX-ATRAC-2U54HL120183-UL-	1,443,719	-
Through Boston University	93.837	4500003020.000	50,934	-
Through Brigham & Women's Hospital	93.837	121535.000	28,789	-
Through Children's Hospital Boston	93.837	GENFD0001508019	1,337	-
Through Children's Hospital Boston	93.837	GENFD0001603649	177,518	-
Through Children's Hospital Boston	93.837	GENFD0001676276	299,036	-
Through Cor Habere Group	93.837	1R43HL142337-01	10,336	-
Through EndoProtech, Inc.	93.837	2R44HL132649-2	271,762	-
Through HeartWare, Inc.	93.837	5R44HL103014-03	12,164	-
Through New York University Medical School	93.837	PV-10-EA-02	1,594	-
Through University of Alabama at Birmingham	93.837	000514985-002	14,189	-
Through University of Florida	93.837	UFDSP00011610	22,770	-
Through University of Kentucky Res. Fdn.	93.837	3200002866-20-136	28,482	-
Through University of Texas at Houston	93.837	5UM1HL087318-09	1,000	-
Through University of Texas at Houston	93.837	CONCERT-HF	94,072	-
Through University of Texas Medical Branch	93.837	17-064	83,860	-

UNIVERSITY OF LOUISVILLE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2020

Federal Grant or Program Title	CFDA #	Pass Through Entity #	Fiscal 2020 Expenditures	Amount Provided to Subrecipients
Lung Diseases Research	93.838		233,873	-
Through Johns Hopkins University	93.838	2003043501	9,781	-
Through Precision Care Network, LLC	93.838	SAIRB-18-0024	3,436	-
Through University of Florida	93.838	UFDSP00011610	5,304	-
Through University of Maryland	93.838	1400032	(494)	-
Blood Diseases and Resources Research	93.839		327,365	-
Through All Children's Research Institute, Inc.	93.839	ACRI 38-001 DOTT Trial	237	-
Through Rutgers University	93.839	SUB00000047	95,532	-
Through University of South Florida	93.839	6120-1096-00-A	10,334	-
Arthritis, Musculoskeletal and Skin Diseases Research	93.846		1,099,471	5,751
Through Cincinnati Children's Hospital Med. Ctr.	93.846	5P60AR047784-08	(350)	-
Through Massachusetts General Hospital	93.846	226989	57,978	-
Diabetes, Endocrinology, and Metabolism Research	93.847		1,911,161	-
Through Children's Hospital of Philadelphia	93.847	CKiD 3301820719	3,042	-
Through Nationwide Children's Hospital	93.847	700094-0820-00	29,162	-
Through Nationwide Children's Hospital	93.847	700094-0819-00	112,003	-
Through Nationwide Children's Hospital	93.847	700198-0620-00	36,992	-
Through Noveratech, LLC	93.847	2R44DK105692-02	(444)	-
Through Ohio State University	93.847	60061677	13,976	-
Through TherapyX, Inc.	93.847	1R44DK117687-01A1	149,586	-
Through Univ. of N. Carolina at Chapel Hill	93.847	Subaward 5032729	7,300	-
Through University of Minnesota	93.847	N005115011	2,637	-
Through University of South Florida	93.847	TN01 TYPE 1 UDK097835A	100	-
Through University of South Florida	93.847	nbvgv TYPE 1 TN-16	169	-
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853		3,417,215	207,263
Through Massachusetts General Hospital	93.853	INO-PD-P3-2014	3,744	-
Through University of Cincinnati	93.853	010785-136706	2,708	-
Through University of Cincinnati	93.853	011337-126706 Sleep SMART	2,000	-
Through University of Cincinnati	93.853	011706-002	10,972	-
Through University of Cincinnati	93.853	011706-003	2,363	-
Through University of Cincinnati	93.853	20181464 011266-136706	3,500	-
Through University of Washington	93.853	PENUT TRIAL 752237,762305	61	-
Through University of Washington	93.853	UWSC7771	1,600	-
Allergy, Immunology and Transplantation Research	93.855		4,359,181	1,469,617
Through Arrevas, Inc.	93.855	1R41AI142726-01A1	51,338	-
Through Duke Clinical Research Inst.	93.855	16-0011	17,577	-
Through Duke Clinical Research Inst.	93.855	PROPEL	799	-
Through Duke University	93.855	203 8238	(583)	-
Through Massachusetts General Hospital	93.855	229712.000	11,683	-
Through Massachusetts General Hospital	93.855	5R01AI114552-05 225488	1,101	-
Through Medigen, Inc.	93.855	2R44AI094863-03A1	13,420	-
Through Rosalind Franklin University of Medicine	93.855	212221UL	14,425	-
Through University of Minnesota	93.855	N004761501	21,681	-
Through University of Minnesota	93.855	N004761501	1,776	-
Through University of Tennessee	93.855	19-3799-LOU	493,034	-
Through University of Tennessee	93.855	20-3497-LOU	77,331	-
Through University of Texas Medical Branch	93.855	18-84463	189,561	-
Through Yale University	93.855	GR105861 (CON-80001724)	16,495	-
Microbiology and Infectious Diseases Research	93.856		(22,207)	-
Pharmacology, Physiology, and Biological Chemistry Research	93.859		11,703,245	2,736,262
Through Coram Technologies, Inc.	93.859	1R41GM133243-01	17,802	-

UNIVERSITY OF LOUISVILLE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2020

Federal Grant or Program Title	CFDA #	Pass Through Entity #	Fiscal 2020 Expenditures	Amount Provided to Subrecipients
Through UK Research Foundation	93.859	3200000086-16-014	(1)	-
Center for Research for Mothers and Children	93.865		670,867	-
Through Medical University of South Carolina	93.865	A00-2240-S002	27,976	-
Through Regents of the Univ of California	93.865	A19-0460-S001	127,159	-
Through University of Arkansas	93.865	51460 228446 VDORA1	32,701	-
Through University of Arkansas	93.865	51460 ACT NOW	53,812	-
Through University of Arkansas	93.865	51460 Salary Support	31,203	-
Through University of Arkansas	93.865	51460-ESC	30,822	-
Through University of Arkansas	93.865	ACT NOW	69,688	-
Aging Research	93.866		925,643	84,442
Through Microsensor Labs, LLC	93.866	4 R44 AG0660848-02	40,930	-
Through University of Kansas Medical Center	93.866	ZAP0050	190,037	-
Through University of Kentucky Res. Fdn	93.866	32000000511-14-174	36,084	-
Through University of Southern California	93.866	124462660	234,157	-
Vision Research - Retinal and Choroidal Diseases Research	93.867		4,697,115	322,961
Through University of Idaho	93.867	ABK809-SB-001	13,281	-
Through University of Pennsylvania	93.867	Sub 564799 CATT Follow Up	21	-
Through Virginia Tech Carilion	93.867	432007-19111	23,408	-
Through Washington University St. Louis School of Medicine	93.867	WU-16-123-MOD-1	-	-
Through Washington University St. Louis School of Medicine	93.867	WU-16-123-MOD-3	65	-
HIV Care Formula Grants				
Through State of Kentucky	93.917	PON2 728 1800002133 v1	791,203	-
Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease				
Through Health Res. & Services Admin.	93.918	2H76HA00536-19-00	(13)	-
Through Health Res. & Services Admin.	93.918	2H76HA00536-19-00	2,691,499	-
Through Health Res. & Services Admin.	93.918	5H76HA00536-20-00	471,620	-
Ryan White HIV/AIDS Dental Reimbursements/Community Based Dental Partnership	93.924	H65HA000131800	277,372	-
Assistance Programs for Chronic Disease Prevention and Control	93.945	PON2 728 1800001695	88,838	22,815
Assistance to Firefighters Grant through Richmond Fire Department	97.044	OGMB190279	54,410	-
Pre-Disaster Mitigation	97.047	PON2 095 1900003439	11,478	10,932
SUBTOTAL DEPARTMENT OF HEALTH AND HUMAN SERVICES			73,328,598	7,988,909
UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT				
United States Agency for International Development Contract				
Through National Academy of Sciences	98.000	2000007145	62,548	-
SUBTOTAL UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT			62,548	-
TOTAL RESEARCH AND DEVELOPMENT CLUSTER			88,400,547	9,051,720
SPECIAL EDUCATION (IDEA) CLUSTER				
DEPARTMENT OF EDUCATION				
Special Education_Grants to States				
	84.027			

UNIVERSITY OF LOUISVILLE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2020

Federal Grant or Program Title	CFDA #	Pass Through Entity #	Fiscal 2020 Expenditures	Amount Provided to Subrecipients
Through State of Kentucky	84.027	PON2 5401700001845 1	(25)	-
Through State of Kentucky	84.027	PON2 540 1900000674 1	125,354	38,766
Through State of Kentucky	84.027	PON2 540 1700002720 1	695	-
Through State of Kentucky	84.027	PON2 540 1900003600 1	1,128,217	345,202
Through State of Kentucky	84.027	PON2 540 16000002548 1	(196)	-
Through State of Kentucky	84.027	PON2 540 1900000687 1	40,996	73,692
Through State of Kentucky	84.027	PON2 540 1900000682 1	10,800	-
Through State of Kentucky	84.027	PON2 540 1900003782	<u>306,291</u>	<u>157,683</u>
SUBTOTAL DEPARTMENT OF EDUCATION			<u>1,612,132</u>	<u>615,343</u>
TOTAL SPECIAL EDUCATION (IDEA) CLUSTER			<u>1,612,132</u>	<u>615,343</u>
TRIO CLUSTER				
DEPARTMENT OF EDUCATION				
TRIO - Student Support Services	84.042		252,076	-
TRIO - Talent Search	84.044		235,219	-
TRIO - Upward Bound	84.047		<u>677,705</u>	<u>-</u>
SUBTOTAL DEPARTMENT OF EDUCATION			<u>1,165,000</u>	<u>-</u>
TOTAL TRIO CLUSTER			<u>1,165,000</u>	<u>-</u>
TOTAL SPECIAL CLUSTERS			<u>2,777,132</u>	<u>615,343</u>
OTHER PROGRAMS				
DEPARTMENT OF AGRICULTURE				
The Food Literacy Project				
Through U.S. Dept. of Agriculture	10.522		6,397	-
Special Supplemental Nutrition Program for Women, Infants, and Children (WIC)				
Through State of Kentucky	10.557	SC 728 1900000102 1	<u>301,507</u>	<u>-</u>
SUBTOTAL DEPARTMENT OF AGRICULTURE			<u>307,904</u>	<u>-</u>
DEPARTMENT OF DEFENSE				
Department of Defense Contracts	12.000		(216)	-
Basic through National Science Teachers' Association	12.630	19-871-017	1,158	-
Basic through National Science Teachers' Association	12.630	20-871-017	<u>11,493</u>	<u>-</u>
SUBTOTAL DEPARTMENT OF DEFENSE			<u>12,435</u>	<u>-</u>

UNIVERSITY OF LOUISVILLE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2020

Federal Grant or Program Title	CFDA #	Pass Through Entity #	Fiscal 2020 Expenditures	Amount Provided to Subrecipients
DEPARTMENT OF INTERIOR				
Kentucky View GIS Day Workshop at the University of Louisville Through Murray State University	15.815	2020-032	1,268	-
SUBTOTAL DEPARTMENT OF INTERIOR			<u>1,268</u>	<u>-</u>
DEPARTMENT OF JUSTICE				
Department of Justice Contract through DB Consulting Group, Inc.	16.000	Prison Rape Commiss	(19,388)	-
SUBTOTAL DEPARTMENT OF JUSTICE			<u>(19,388)</u>	<u>-</u>
DEPARTMENT OF LABOR				
Employment Service/Wagner-Peyser Funded Activities Through Kentucky Science and Technology Corp.	17.207	RJ852-G1/AWD-101454-G3	93,272	-
Through Kentucky Science and Technology Corp.	17.207	Veterans Accelerated	16,932	-
SUBTOTAL DEPARTMENT OF LABOR			<u>110,204</u>	<u>-</u>
DEPARTMENT OF STATE				
Criminal Justice Systems	19.703	SINLEC16CA0084	(515)	-
SUBTOTAL DEPARTMENT OF STATE			<u>(515)</u>	<u>-</u>
NATIONAL AERONAUTICS AND SPACE ADMINISTRATION				
National Aeronautics and Space Administration Contract Through University of Kentucky Res. Fdn.	43.000	3210000183-19-205	23,452	-
Through University of Kentucky Res. Fdn.	43.000	3200000161-19-192	25	-
Office of Stem Engagement (OSTEM) Through University of Kentucky Res. Fdn.	43.008	3210000183-19-155	16,597	-
Through University of Kentucky Res. Fdn.	43.008	3210000183-19-157	200	-
Through University of Kentucky Res. Fdn.	43.008	3200000161-19-222	25,000	-
Through University of Kentucky Res. Fdn.	43.008	3200000722-17-004	31,507	-
SUBTOTAL NATIONAL AERONAUTICS AND SPACE ADMINISTRATION			<u>96,781</u>	<u>-</u>
NATIONAL SCIENCE FOUNDATION				
National Science Foundation Contract	47.041	1450370	3,000	-
National Science Foundation Contract	47.041	1855237	75,937	-

UNIVERSITY OF LOUISVILLE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2020

Federal Grant or Program Title	CFDA #	Pass Through Entity #	Fiscal 2020 Expenditures	Amount Provided to Subrecipients
SUBTOTAL NATIONAL SCIENCE FOUNDATION			78,937	-
DEPARTMENT OF VETERANS AFFAIRS				
Department of Veterans Affairs Contracts Through VHA Office of Informatics & Analytics	64.000	VA-IPA analyses for Milli	8,000	-
SUBTOTAL DEPARTMENT OF VETERANS AFFAIRS			8,000	-
ENVIRONMENTAL PROTECTION AGENCY				
Water Pollution Control State, Interstate, and Tribal Program Support	66.419	MOA No. 0700012929	22	-
Performance Partnership Grants through Kentucky Department of Environmental Education	66.605		6,742	-
Pollution Prevention Grants Program	66.708	96348201	6,922	-
Source Reduction Assistance	66.717	X9-00D52316-0	10,367	-
SUBTOTAL ENVIRONMENTAL PROTECTION AGENCY			24,053	-
DEPARTMENT OF EDUCATION				
Department of Education Contracts Through University of Florida	84.000	1700517025	11,591	-
Through University of Florida	84.000	1800563663	6,527	-
Career and Technical Education-Basic Grants to States Through State of Kentucky	84.048	PON2 540 1900004208 1	92,731	-
Through State of Kentucky	84.048	PON2 540 1900004216 1	28,125	-
Through State of Kentucky	84.048	PON2 540 1900004532 1	9,897	-
Fund for the Improvement of Postsecondary Education Through National Writing Project Corporation	84.116	U411A1600004	351,189	71,462
Special Education Grants for Infants and Families with Disabilities Through State of Kentucky	84.181	SC 728 1900000061 1	593,026	-
Special Education - State Program Improvement Grants for Children with Disabilities Through State of Kentucky	84.323	PON2 540 1900002720 1	113,735	15,091
Through State of Kentucky	84.323	PON2 540 2000000398 1	313,380	68,126
Special Education - Personnel Development to Improve Services and Results for Children with Disabilities Through U.S. Dept. of Education	84.325	H325D180105	107,042	-
Through University of Kentucky Res. Fdn.	84.325	3200003008-20-133	19,419	-
Through U.S. Dept. of Education	84.325	H325K140213-13	88,282	-
Mathematics and Science Partnerships	84.366	PON2 540 1700000622 1	(35)	-
ARRA - Investing in Innovation (i3) Fund Through Council for Opportunity in Education	84.411	AN04	(64)	-
Through National Writing Project Corporation	84.411	92-KY03-2017I3AI	(32)	-
Through National Writing Project Corporation	84.411	92-KY03-2018I3C3WP	117,450	31,027
Through National Writing Project Corporation	84.411	92-KY03-2018I3C3WP	4,385	-
SUBTOTAL DEPARTMENT OF EDUCATION			1,856,648	185,706

UNIVERSITY OF LOUISVILLE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2020

Federal Grant or Program Title	CFDA #	Pass Through Entity #	Fiscal 2020 Expenditures	Amount Provided to Subrecipients
DEPARTMENT OF HEALTH AND HUMAN SERVICES				
Department of Health and Human Services Contracts				
Through Metro United Way	93.000	OGMB200609	6,288	-
Through National Fragile X Foundation	93.000	FORWARD REGISTRY	1,972	-
Through Special Olympics	93.000	U27 DD001156-03-02	43,377	-
Through Duke University	93.000	DMID 14-0079	8,536	-
Through National Institutes of Health	93.000	75N95020P00214	8,789	-
Through National Institutes of Health	93.000	75N95020P00222	337	-
Special Programs for the Aging, Title III, Part D, Disease Prevention and Health Promotion Services				
Through Kentuckiana Reg. Plan. & Dev. Agy	93.043	FY2020-1018	5,626	-
National Family Caregiver Support, Title III, Part E				
Through Kentuckiana Reg. Plan. & Dev. Agy	93.052	Title III-E-Federal FY20	25,132	-
Public Health Emergency Preparedness				
Through State of Kentucky	93.069	SC 728 1900000141v1	56,692	-
Healthy Marriage Promotion and Responsible Fatherhood Grants	93.086	90FK0074-04-00	230,963	-
Food and Drug Administration Research	93.103	HHSF223201510636P	128	-
Model State Supported Area Health Education Centers	93.107			
Through Health Res. & Services Admin.	93.107	2U77HP03023-24-00	2,526	-
Through Health Res. & Services Admin.	93.107	2U77HP03023-25-00	563,784	533,483
Through Health Res. & Services Admin.	93.107	5U77HP03023-26-00	405,165	252,437
Through Health Res. & Services Admin.	93.107	2U77HP03023-25-02	126,035	108,467
Emergency Medical Services for Children				
Through KCTCS	93.127	The Kentucky EMS	14,418	-
Coordinated Services and Access to Research for Women, Infants, Children & Youth				
Through Health Res. & Services Admin.	93.153	5H12HA24829-05-00	7,875	-
Through Health Res. & Services Admin.	93.153	5H12HA24829-07-00	68,460	-
Disabilities Prevention				
Through American Academy of Physicians Medicine	93.184	Physical Medicine & Rehab	2,378	-
Centers for Disease Control & Prevention: Investigations and Technical Assistance				
Through State of Kentucky	93.283	PO2 728 16000050111	(1,266)	-
Through State of Kentucky	93.283	PO2 728 1600005012 1	(3,874)	-
Through State of Kentucky	93.283	SC 728 1900000141v1	45,768	-
Through State of Kentucky	93.283	SC 728 1900000141v1	2,819	-
Through State of Kentucky	93.283	SC 728 1900000153 1	100,613	-
Through State of Kentucky	93.283	SC 728 1900000204 1	90,604	-
Through University of Kentucky Research Foundation	93.283	3200000469-16-245	(13)	-
Through University of Kentucky Research Foundation	93.283	3200001587-18-239	(788)	-
National State Based Tobacco Control Programs				
Through State of Kentucky	93.305	PON2 728 1800001922 1	24,930	-
CDC's National Network Approach to Preventing and Controlling Tobacco-related Cancers in Special Populations	93.431	3200002523-20-032	8,110	-
Refugee and Entrant Assistance State/Replacement Designee Administered Programs				
Through Catholic Charities, Inc.	93.566	26-108080-2019	11,205	-
Head Start				
Through Ohio Valley Education Cooperative	93.600	OGMB200525	98,449	-
Through Ohio Valley Education Cooperative	93.600	OVEC Year IV	(350)	-
Through Ohio Valley Education Cooperative	93.600	OVEC year V	92,925	-
Children's Justice Grants to States				
Through State of Kentucky	93.643	PO2 736 1600004590 1	(2)	-

UNIVERSITY OF LOUISVILLE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2020

Federal Grant or Program Title	CFDA #	Pass Through Entity #	Fiscal 2020 Expenditures	Amount Provided to Subrecipients
Through State of Kentucky	93.643	SC 736 1800004122 1	202,094	-
Through State of Kentucky	93.643	SC 736 1800004122 1	(53,070)	-
Adoption Opportunities	93.652		73,354	24,184
Foster Care Title IV-E				
Through Eastern Kentucky University	93.658	453603-19-115	(1)	-
Through Eastern Kentucky University	93.658	453768--20-115	137,086	-
Through Eastern Kentucky University	93.658	453770-20-120	143,361	-
Through Eastern Kentucky University	93.658	453771-20-114	167,694	-
Through Eastern Kentucky University	93.658	453773-20-118	8,692	-
Through Eastern Kentucky University	93.658	453780-20-117	95,993	-
Through Eastern Kentucky University	93.658	PON2 736 1700002784	(4)	-
Mental and Behavioral Health Education and Training Grants	93.732		509,920	-
Organized Approaches to Increase Colorectal Cancer Screening				
Through State of Kentucky	93.800	SC72818000041881	26,254	-
Heart and Vascular Diseases Research through Massachusetts General Hospital	93.837	5U01HL123336-02	152	-
Lung Diseases Research				
Through University of Pennsylvania	93.838	PROSPECT 574470	1,700	-
Pharmacology, Physiology, and Biological Chemistry Research				
Through XLerateHealth, LLC	93.859	1UT2GM130174-01	25,452	-
Through XLerateHealth, LLC	93.859	1UT2GM130174-02	14,229	-
Cancer Prevention and Control Programs for State, Territorial and Tribal Organizations				
Through University of Kentucky Research Foundation	93.898	3200002519-19-263	31,288	-
HIV Care Formula Grants				
Through State of Kentucky	93.917	PON2 728 1800002133 v1	254,482	-
Through State of Kentucky	93.917	PON2 728 1800002133 v5	29,700	-
Through Ky. Cabinet for Health & Family Services	93.917	SC 728 190000051	1,015,225	-
Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease	93.918			
Through Health Res. & Services Admin.	93.918	1H7CHA372840100	8,534	-
Through Health Res. & Services Admin.	93.918	2H76HA00536-21-00	72,524	-
Through Health Res. & Services Admin.	93.918	5H76HA00536-18-00	(1,346,082)	-
Ryan White HIV/AIDS Dental Reimbursements				
Through Health Res. & Services Admin.	93.924	6 H65HA00013-17-01	(2,430)	-
Through Health Res. & Services Admin.	93.924	Program Income: Community	14,861	-
PPHF Geriatric Education Centers	93.969		715,545	19,256
Maternal and Child Health Services Block Grant				
Through State of Kentucky	93.994	PO2 728 1600004795 1	293	-
Through State of Kentucky	93.994	PON2 728 1900002970 1	174,516	-
Through State of Kentucky	93.994	PON2 728 1900002970 1	267,076	-
Through State of Kentucky	93.994	SC 728 1900000058 1	1,491	-
Through State of Kentucky	93.994	SC 728 1900000058 1	76,454	-
Through State of Kentucky	93.994	SC 728 1900000063 1	308,429	-
Through State of Kentucky	93.994	SC 728 1900000063 1	2,079	-
United States Agency for International Development	98.000	2747-01-UL IC Study Tour	9,883	-
SUBTOTAL DEPARTMENT OF HEALTH AND HUMAN SERVICES			5,034,385	937,827
TOTAL OTHER PROGRAMS			7,510,712	1,123,533
TOTAL EXPENDITURES OF FEDERAL AWARDS			\$ 295,154,772	\$ 10,790,596

UNIVERSITY OF LOUISVILLE AND AFFILIATED CORPORATIONS
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2020

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, 2020, 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 nonfederal 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.

UNIVERSITY OF LOUISVILLE AND AFFILIATED CORPORATIONS
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2020

NOTE 2 – NONCASH FINANCIAL ASSISTANCE

Outstanding loan balances at June 30, 2020 were as follows:

	<u>CFDA#</u>	<u>Total</u>
Federal Perkins Loan Program	84.038	\$ 5,624,732
Health Professions Student - Medical	93.342	(34)
Health Professions Primary Care - Medical	93.342	3,494,312
Health Professions Student Loans - Dental	93.342	4,162,900
Nursing Student Loans	93.364	19,529
Loans to Disadvantaged Students - Medical	93.342	1,696,946
Loans to Disadvantaged Students - Dental	93.342	25,364
		<hr/>
Total student loans outstanding		\$ 15,023,749
		<hr/> <hr/>

Loans received by students for the period ending June 30, 2020 were as follows:

	<u>CFDA#</u>	<u>Total</u>
William D. Ford Federal Direct Loan Program	84.268	\$ 146,674,774
Health Professions Primary Care - Medical	93.342	155,784
Health Professions Student Loans - Dental	93.342	450,000
Loans to Disadvantaged Students - Medical	93.342	768,706
		<hr/>
Total noncash financial assistance		\$ 148,049,264
		<hr/> <hr/>



**INDEPENDENT AUDITORS' 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 University of Louisville, which comprise the statement of net position as of June 30, 2020, and the related statements of revenues, expenses, and changes in net position, and cash flows for the year then ended, and the related notes to the financial statements, and have issued our report thereon dated October 20, 2020.

Our report includes a reference to other auditors who audited the financial statements of the discretely presented component units, as described in our report on the University's financial statements. Other auditors audited the financial statements of the University Medical Center (a discretely presented component unit) in accordance with *Government Auditing Standards*, as described in our report on the University's financial statements. This report does not include the results of the other auditors' testing of internal control over financial reporting or compliance and other matters that are reported on separately by those auditors. The financial statements of the University of Louisville Foundation, Inc. and Affiliates, University of Louisville Real Estate Foundation, Inc., University of Louisville Physicians, Inc. (discretely presented component units), were not audited in accordance with *Government Auditing Standards* and accordingly this report does not include reporting on internal control over financial reporting or instances of reportable noncompliance with those entities.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered University of Louisville's internal control over financial reporting (internal control) as a basis for designing the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of University of Louisville's internal control. Accordingly, we do not express an opinion on the effectiveness of University of Louisville'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 University of Louisville's 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 financial statements. 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 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.



CliftonLarsonAllen LLP

St. Louis, Missouri
October 20, 2020



**INDEPENDENT AUDITORS' 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 THE UNIFORM GUIDANCE**

Board of Trustees
University of Louisville
Louisville, Kentucky

Report on Compliance for Each Major Federal Program

We have audited University of Louisville's compliance with the types of compliance requirements described in the *OMB Compliance Supplement* that could have a direct and material effect on each of University of Louisville's major federal programs for the year ended June 30, 2020. University of Louisville's major federal programs are identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs.

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 University of Louisville'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 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 University of Louisville'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 University of Louisville's compliance.

Opinion on Each Major Federal Program

In our opinion, University of Louisville 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, 2020.

Other Matters

The results of our auditing procedures disclosed an instance of noncompliance, which is required to be reported in accordance with the Uniform Guidance and which is described in the accompanying schedule of findings and questioned costs as item 2020-001. Our opinion on each major federal program is not modified with respect to this matter.

University of Louisville's response to the noncompliance finding identified in our audit is described in the accompanying schedule of findings and questioned costs. University of Louisville's response was not subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the response.

Report on Internal Control Over Compliance

Management of University of Louisville 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 University of Louisville'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 University of Louisville'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 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. *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 and therefore, material weaknesses or significant deficiencies may exist that have not been identified. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, we did identify a certain deficiency in internal control over compliance, described in the accompanying schedule of findings and questioned costs as item 2020-001 that we consider to be a significant deficiency.

University of Louisville’s response to the internal control over compliance finding identified in our audit is described in the accompanying schedule of findings and questioned costs. University of Louisville’s response was not subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the response.

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.

Report on Schedule of Expenditures of Federal Awards Required by the Uniform Guidance

We have audited the financial statements of University of Louisville as of and for the year ended June 30, 2020, and have issued our report thereon dated October 20, 2020, which contained an unmodified opinion on those financial statements. Our report includes a reference to other auditors who audited the financial statements of the discretely presented component units, as described in our report on the University’s financial statements. Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. 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 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 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 financial statements or to the 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 financial statements as a whole.



CliftonLarsonAllen LLP

St. Louis, Missouri
April 5, 2021

UNIVERSITY OF LOUISVILLE AND AFFILIATED CORPORATIONS
SCHEDULE OF FINDINGS AND QUESTIONED COSTS
Year Ended June 30, 2020

Section I – Summary of Auditors’ Results

Financial Statements

Type of auditors' report issued: Unmodified

Internal control over financial reporting:

Material weakness(es) identified? _____ yes x no

Significant deficiency(ies) identified that are not considered to be material weakness(es)? _____ yes x none reported

Noncompliance material to financial statements noted? _____ yes x no

Federal Awards

Internal control over major programs:

Material weakness(es) identified? _____ yes x no

Significant deficiency(ies) identified that are not considered to be material weakness(es)? x yes _____ none reported

Type of auditors' report issued on compliance for for major programs? Unmodified

Any audit findings disclosed that are required to be reported in accordance with Uniform Guidance x yes _____ no

Identification of Major Programs:

<u>CFDA Number(s)</u>	<u>Name of Federal Program or Cluster</u>
	SFA Cluster:
84.007	FSEOG Grants
84.033	Federal Work Study Program
84.038	Federal Perkins Loan Program
84.063	Federal Pell Grant Program
84.268	William D. Ford Federal Direct Loan Program
84.379	TEACH Grants
93.342	Health Professions Student Loans
93.364	Nursing Student Loans
	HEERF Cluster:
84.425E	HEERF Student Aid Portion (Covid-19)
84.425F	HEERF Institutional Portion (Covid-19)

Dollar threshold used to distinguish between type A and type B programs: \$3,000,000/ \$750,000

Auditee qualified as low-risk auditee? x yes _____ no

UNIVERSITY OF LOUISVILLE AND AFFILIATED CORPORATIONS
SCHEDULE OF FINDINGS AND QUESTIONED COSTS
Year Ended June 30, 2020

Section II – Financial Statement Findings

Our audit did not disclose any matters required to be reported in accordance with *Government Auditing Standards*.

Section III – Findings and Questioned Costs – Major Federal Programs

2020 – 001 Enrollment Reporting – Incorrect Enrollment Date

Federal agency: U.S. Department of Education

Federal program title: Student Financial Aid Cluster

CFDA Numbers: 84.007, 84.033, 84.038, 84.063, 84.268, 84.379

Award Period: July 1, 2019 to June 30, 2020

Type of Finding:

- Significant Deficiency in Internal Control over Compliance
- Other matters

Criteria or specific requirement: The Code of Federal Regulations, 34 CFR 685.309(b), states schools must have some arrangement to report student enrollment data to the National Student Loan Data System (NSLDS) through an enrollment roster file. The school is required to report changes in the student's enrollment status, the effective date of the status, and an anticipated completion date.

Condition: During our testing, we noted 32 of 40 students were reported to NSLDS with an incorrect enrollment effective date.

Questioned Costs: None

Context: During our testing, it was noted the University did not report the correct enrollment effective date for 32 withdrawn students. These students enrollment effective date reported was not back dated to their last date of attendance.

Cause: The University did not have a process in place to ensure the effective date reported to NSLDS matches the effective date of the student's last date of attendance.

Effect: The enrollment effective date reported to NSLDS is used to determine when the student's grace period should begin. By not reporting an incorrect effective date, the grace period begin date for the student will be incorrect.

Repeat Finding: No

UNIVERSITY OF LOUISVILLE AND AFFILIATED CORPORATIONS
SCHEDULE OF FINDINGS AND QUESTIONED COSTS
Year Ended June 30, 2020

Section III – Findings and Questioned Costs – Major Federal Programs (Continued)

2020 – 001 Enrollment Reporting – Incorrect Enrollment Date (Continued)

Recommendation: We recommend the University puts a process in place ensure the enrollment effective date reported to NSLDS is aligning with the University’s last date of attendance.

Views of responsible officials: There is no disagreement with the audit finding. While there is no disagreement with the finding, it is unclear that NSLDS Reporting must be maintained such that the dates are exactly the same as those used for R2T4 processing.