

# STATE OF NORTH CAROLINA

OFFICE OF THE STATE AUDITOR

BETH A. WOOD, CPA



## STATE OF NORTH CAROLINA

### SINGLE AUDIT REPORT

FOR THE YEAR ENDED JUNE 30, 2016

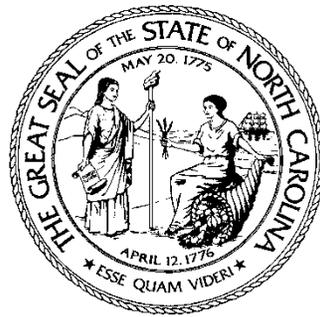


**NCOSA**  
The Taxpayers' Watchdog



# STATE OF NORTH CAROLINA

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## SINGLE AUDIT REPORT

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**OFFICE OF THE STATE AUDITOR**  
***BETH A. WOOD, CPA***  
**STATE AUDITOR**



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# North Carolina Office of the State Auditor

## Our Mission and Our Commitment

The Office of the State Auditor protects the interests of taxpayers and others who provide financial resources to the State of North Carolina. Specifically, we provide objective information to interested parties about whether economic resources are properly accounted for, reported and managed; as well as whether publically-funded programs are achieving desired results.

The Office of the State Auditor's mission is accomplished by conducting thorough audits and investigations. These audits and investigations are performed by highly competent and professional staff and result in useful and practical recommendations to improve services provided by North Carolina state government.

This office will always strive for the highest standards in professional conduct, independence and integrity as we pursue our mission. If we find financial management deficiencies, we will report them without apology because our ultimate responsibility is to the citizens and taxpayers of North Carolina.

A handwritten signature in black ink that reads "Beth A. Wood". The signature is written in a cursive, flowing style.

Beth A. Wood, CPA  
State Auditor



# Office of the State Auditor



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State Auditor

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## AUDITOR'S TRANSMITTAL

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The Honorable Roy Cooper, Governor  
Members of the North Carolina General Assembly

We are pleased to submit the *Single Audit Report* for the State of North Carolina for the fiscal year ended June 30, 2016. We conducted our audit in accordance with the auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Governmental 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).

This *Single Audit Report* reflects federal awards of \$20.35 billion. This report includes significant deficiencies and material weaknesses in internal control relating to major federal programs and instances of noncompliance, including several that we believe constitute material noncompliance, that meet the criteria of Uniform Guidance.

The North Carolina *Comprehensive Annual Financial Report* for the fiscal year ended June 30, 2016, has been issued in a separate report by the Office of the State Controller. In accordance with *Government Auditing Standards*, we are issuing our report on our consideration of the State of North Carolina's internal control over financial reporting and our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements that have an effect on the financial statements.

The deficiencies in internal control and instances of noncompliance arising from our audit that are required to be reported by *Governmental Auditing Standards* or the Uniform Guidance are described in the Schedule of Findings and Questioned Costs.

We wish to acknowledge the assistance of the North Carolina Office of the State Controller and the cooperation of other state agencies, community colleges, and universities in the preparation of this report.

Respectfully submitted,

A handwritten signature in cursive script that reads "Beth A. Wood".

Beth A. Wood, CPA  
State Auditor

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**AUDITOR’S SECTION**

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## **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**

The Honorable Roy Cooper, Governor  
The General Assembly of North Carolina

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 governmental activities, the business-type activities, the aggregate discretely presented component units, each major fund, and the aggregate remaining fund information of the State of North Carolina, as of and for the year ended June 30, 2016, and the related notes to the financial statements, which collectively comprise the State's basic financial statements (not presented herein), and have issued our report thereon dated December 2, 2016.

Our report includes a reference to other auditors who audited the financial statements of the North Carolina State Lottery Fund, the North Carolina Turnpike Authority, the North Carolina Housing Finance Agency, the State Education Assistance Authority, the University of North Carolina System – University of North Carolina Health Care System – Rex Healthcare, the Supplemental Retirement Income Plan of North Carolina, the North Carolina Public Employee Deferred Compensation Plan, the North Carolina Department of State Treasurer External Investment Pool, and the cash basis claims and benefits of the North Carolina State Health Plan, as described in our report on the State'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 North Carolina System – University of North Carolina Health Care System – Rex Healthcare were not audited in accordance with *Government Auditing Standards*. As of the date of our report on the financial statements of the State of North Carolina, the financial statements of the State Education Assistance Authority were not audited in accordance with *Government Auditing Standards*; however, subsequent to that date, an audit in accordance with *Government Auditing Standards* was completed.

### **Internal Control Over Financial Reporting**

In planning and performing our audit of the financial statements, we considered the State of North Carolina'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 State's internal control. Accordingly, we do not express an opinion on the effectiveness of the State'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 State of North Carolina'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 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 and compliance and the result 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 State of North Carolina's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.



Beth A. Wood, CPA  
State Auditor

Raleigh, North Carolina

December 2, 2016

# Office of the State Auditor



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State Auditor

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

The Honorable Roy Cooper, Governor  
The General Assembly of North Carolina

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

We have audited the State of North Carolina'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 the State of North Carolina's major federal programs for the year ended June 30, 2016. The State of North Carolina's major federal programs are identified in Section I, Summary of Auditor's Results, in the accompanying Schedule of Findings and Questioned Costs.

The State of North Carolina's financial reporting entity includes the operations of the State Education Assistance Authority, the North Carolina Housing Finance Agency and the Economic Development Partnership of North Carolina. These agencies reported \$1.9 billion; \$263 million and \$752 thousand, respectively, in federal awards which are not included in the Schedule of Expenditures of Federal Awards during the year ended June 30, 2016. Our audit, described below, did not include the operations of the State Education Assistance Authority, the North Carolina Housing Finance Agency or the Economic Development Partnership of North Carolina because these agencies engaged other auditors to perform an audit in accordance with the Uniform Guidance.

### ***Management's Responsibility***

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

### ***Auditor's Responsibility***

Our responsibility is to express an opinion on compliance for each of the State of North Carolina's major federal programs based on our audit of the types of compliance requirements referred to above. The State of North Carolina arranges with local government social services agencies to perform the "intake function" to determine eligibility for the following major programs: Medicaid Cluster, Temporary Assistance for Needy Families Cluster, and the Children's Health Insurance Program. We designated these programs to be audited as major programs at certain local governments by their local government auditors. The results of these audits were furnished to us, and our opinion, insofar as it relates to the "intake function" for these programs, is based on the other auditors' results.

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 the State of North Carolina's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit and the work of the other auditors 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 State of North Carolina's compliance.

### ***Basis for Qualified Opinion on Certain Major Federal Programs***

As described in Section III, Federal Award Findings and Questioned Costs, in the accompanying Schedule of Findings and Questioned Costs, the State of North Carolina did not comply with several compliance requirements that are applicable to several of its major federal programs, as follows:

Finding Number	Type of Compliance Requirement	CFDA	Major Federal Program
2016-005	Special Tests and Provisions	20.205	Highway Planning and Construction
2016-006	Eligibility	84.007	Federal Supplemental Educational Opportunity Grants
2016-007	Special Tests and Provisions	84.007	Federal Supplemental Educational Opportunity Grants
2016-008	Special Tests and Provisions	84.007	Federal Supplemental Educational Opportunity Grants
2016-009	Subrecipient Monitoring	84.010	Title I Grants to Local Educational Agencies
2016-010	Subrecipient Monitoring	84.027	Special Education - Grants to States
2016-011	Special Tests and Provisions	84.033	Federal Work-Study Program
2016-012	Eligibility	84.033	Federal Work-Study Program
2016-013	Subrecipient Monitoring	84.048	Career and Technical Assistance - Basic Grants to States
2016-015	Special Tests and Provisions	84.063	Federal Pell Grant Program
2016-016	Special Tests and Provisions	84.063	Federal Pell Grant Program
2016-017	Special Tests and Provisions	84.063	Federal Pell Grant Program
2016-018	Eligibility	84.063	Federal Pell Grant Program
2016-019	Special Tests and Provisions	84.063	Federal Pell Grant Program
2016-020	Special Tests and Provisions	84.063	Federal Pell Grant Program
2016-021	Special Tests and Provisions	84.063	Federal Pell Grant Program

Finding Number	Type of Compliance Requirement	CFDA	Major Federal Program
2016-022	Special Tests and Provisions	84.063	Federal Pell Grant Program
2016-023	Special Tests and Provisions	84.063	Federal Pell Grant Program
2016-028	Matching, Level of Effort, Earmarking	84.126	Rehabilitation Services - Vocational Rehabilitation Grants to States
2016-029	Subrecipient Monitoring	84.173	Special Education-Preschool Grants
2016-030	Special Tests and Provisions	84.268	Federal Direct Student Loans
2016-031	Eligibility	84.268	Federal Direct Student Loans
2016-032	Special Tests and Provisions	84.268	Federal Direct Student Loans
2016-033	Special Tests and Provisions	84.268	Federal Direct Student Loans
2016-034	Special Tests and Provisions	84.268	Federal Direct Student Loans
2016-035	Special Tests and Provisions	84.268	Federal Direct Student Loans
2016-036	Special Tests and Provisions	84.268	Federal Direct Student Loans
2016-038	Subrecipient Monitoring	84.367	Improving Teacher Quality State Grant
2016-045	Matching, Level of Effort, Earmarking	93.568	Low-Income Home Energy Assistance Program
2016-046	Reporting	93.568	Low-Income Home Energy Assistance Program
2016-047	Subrecipient Monitoring	93.568	Low-Income Home Energy Assistance Program
2016-053	Eligibility	93.767	Children's Health Insurance Program
2016-056	Eligibility	93.778	Medical Assistance Program
2016-062	Cash Management	Various	Research and Development Cluster

Compliance with such requirements is necessary, in our opinion, for the State of North Carolina to comply with the requirements applicable to those programs.

#### ***Qualified Opinion on Certain Major Programs***

In our opinion, based on our audit and the work of other auditors, except for the noncompliance described in the Basis for Qualified Opinion paragraph above, the State of North Carolina complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on those major federal programs listed above for the year ended June 30, 2016.

#### ***Unmodified Opinion of Each of the Other Major Federal Programs***

In our opinion, based on our audit and the work of other auditors, the State of North Carolina complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its other major federal programs identified in Section I, Summary of Auditor's Results, in the accompanying Schedule of Findings and Questioned Costs for the year ended June 30, 2016.

**Other Matters**

The results of our auditing procedures disclosed other instances of noncompliance, which are required to be reported in accordance with the Uniform Guidance and which are described in the accompanying Schedule of Findings and Questioned Costs as items:

Finding Number	Type of Compliance Requirement	CFDA	Major Federal Program
2016-014	Eligibility	84.063	Federal Pell Grant Program
2016-025	Activities Allowed or Unallowed/Allowable Costs/Cost Principles	84.126	Rehabilitation Services - Vocational Rehabilitation Grants to States
2016-039	Eligibility	93.558	Temporary Assistance for Needy Families
2016-052	Activities Allowed or Unallowed/ Allowable Costs/Cost Principles/Eligibility	93.767	Children's Health Insurance Program
2016-055	Activities Allowed or Unallowed/ Allowable Costs/Cost Principles/Eligibility	93.778	Medical Assistance Program
2016-058	Eligibility	93.917	HIV Care Formula Grant

Our opinion on each major federal program is not modified with respect to these matters.

The State of North Carolina's responses to the noncompliance findings identified in our audit are described in Section III, Federal Award Findings and Questioned Costs, of the accompanying Schedule of Findings and Questioned Costs. The State of North Carolina's responses were not subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the responses.

**Report on Internal Control Over Compliance**

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

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

A *deficiency in internal control over compliance* exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. A *material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. We consider the deficiencies in internal control over compliance described in Section III, Federal Award Findings and Questioned Costs, of the accompanying Schedule of Findings and Questioned Costs as the items below to be material weaknesses:

Finding Number	Type of Compliance Requirement	CFDA	Major Federal Program
2016-005	Special Tests and Provisions	20.205	Highway Planning and Construction
2016-006	Eligibility	84.007	Federal Supplemental Educational Opportunity Grants
2016-007	Special Tests and Provisions	84.007	Federal Supplemental Educational Opportunity Grants
2016-008	Special Tests and Provisions	84.007	Federal Supplemental Educational Opportunity Grants
2016-009	Subrecipient Monitoring	84.010	Title I Grants to Local Educational Agencies
2016-010	Subrecipient Monitoring	84.027	Special Education - Grants to States
2016-011	Special Tests and Provisions	84.033	Federal Work-Study Program
2016-012	Eligibility	84.033	Federal Work-Study Program
2016-013	Subrecipient Monitoring	84.048	Career and Technical Assistance - Basic Grants to States
2016-015	Special Tests and Provisions	84.063	Federal Pell Grant Program
2016-016	Special Tests and Provisions	84.063	Federal Pell Grant Program
2016-017	Special Tests and Provisions	84.063	Federal Pell Grant Program
2016-018	Eligibility	84.063	Federal Pell Grant Program
2016-019	Special Tests and Provisions	84.063	Federal Pell Grant Program
2016-020	Special Tests and Provisions	84.063	Federal Pell Grant Program
2016-021	Special Tests and Provisions	84.063	Federal Pell Grant Program
2016-022	Special Tests and Provisions	84.063	Federal Pell Grant Program
2016-023	Special Tests and Provisions	84.063	Federal Pell Grant Program
2016-024	Special Tests and Provisions	84.063	Federal Pell Grant Program
2016-026	Activities Allowed or Unallowed/Allowable Costs/Cost Principles, Eligibility	84.126	Rehabilitation Services - Vocational Rehabilitation Grants to States
2016-028	Matching, Level of Effort, Earmarking	84.126	Rehabilitation Services - Vocational Rehabilitation Grants to States
2016-029	Subrecipient Monitoring	84.173	Special Education-Preschool Grants

Finding Number	Type of Compliance Requirement	CFDA	Major Federal Program
2016-030	Special Tests and Provisions	84.268	Federal Direct Student Loans
2016-031	Eligibility	84.268	Federal Direct Student Loans
2016-032	Special Tests and Provisions	84.268	Federal Direct Student Loans
2016-033	Special Tests and Provisions	84.268	Federal Direct Student Loans
2016-034	Special Tests and Provisions	84.268	Federal Direct Student Loans
2016-035	Special Tests and Provisions	84.268	Federal Direct Student Loans
2016-036	Special Tests and Provisions	84.268	Federal Direct Student Loans
2016-037	Special Tests and Provisions	84.268	Federal Direct Student Loans
2016-038	Subrecipient Monitoring	84.367	Improving Teacher Quality State Grant
2016-045	Matching, Level of Effort, Earmarking	93.568	Low-Income Home Energy Assistance Program
2016-046	Reporting	93.568	Low-Income Home Energy Assistance Program
2016-047	Subrecipient Monitoring	93.568	Low-Income Home Energy Assistance Program
2016-053	Eligibility	93.767	Children's Health Insurance Program
2016-056	Eligibility	93.778	Medical Assistance Program
2016-062	Cash Management	Various	Research and Development Cluster

A *significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance. We consider the deficiencies in internal control over compliance described in Section III, Federal Award Findings and Questioned Costs, of the accompanying Schedule of Findings and Questioned Costs as the items below to be significant deficiencies:

Finding Number	Type of Compliance Requirement	CFDA	Major Federal Program
2016-001	Special Tests and Provisions	10.551	Supplemental Nutrition Assistance Program
2016-002	Subrecipient Monitoring	10.561	State Administrative Matching Grants for the Supplemental Nutrition Assistance Program
2016-003	Subrecipient Monitoring	10.561	State Administrative Matching Grants for the Supplemental Nutrition Assistance Program
2016-004	Procurements Suspension and Debarment/Special Tests and Provisions	20.205	Highway Planning and Construction
2016-025	Activities Allowed or Unallowed/Allowable Costs/Cost Principles	84.126	Rehabilitation Services - Vocational Rehabilitation Grants to States

Finding Number	Type of Compliance Requirement	CFDA	Major Federal Program
2016-027	Activities Allowed or Unallowed/ Allowable Costs/Costs Principles/Eligibility	84.126	Rehabilitation Services - Vocational Rehabilitation Grants to States
2016-039	Eligibility	93.558	Temporary Assistance for Needy Families
2016-040	Matching, Level of Effort, Earmarking	93.558	Temporary Assistance for Needy Families
2016-041	Reporting	93.558	Temporary Assistance for Needy Families
2016-042	Subrecipient Monitoring	93.558	Temporary Assistance for Needy Families
2016-043	Subrecipient Monitoring	93.568	Low-Income Home Energy Assistance Program
2013-044	Subrecipient Monitoring	93.568	Low-Income Home Energy Assistance Program
2016-048	Subrecipient Monitoring	96.568	Low-Income Home Energy Assistance Program
2016-049	Subrecipient Monitoring	93.575	Child Care and Development Block Grant
2016-050	Subrecipient Monitoring	93.596	Child Care Mandatory and Matching Funds of the Child Care and Development Fund
2016-051	Subrecipient Monitoring	93.667	Social Services Block Grant
2016-052	Activities Allowed or Unallowed/ Allowable Costs/Costs Principles/Eligibility	93.767	Children's Health Insurance Program
2016-054	Subrecipient Monitoring	93.767	Children's Health Insurance Program
2016-055	Activities Allowed or Unallowed/ Allowable Costs/Costs Principles/Eligibility	93.778	Medical Assistance Program
2016-057	Subrecipient Monitoring	93.778	Medical Assistance Program
2016-058	Eligibility	93.917	HIV Care Formula Grants
2016-059	Subrecipient Monitoring	93.917	HIV Care Formula Grants
2016-060	Subrecipient Monitoring	93.958	Block Grants for Community Mental Health Services
2016-061	Subrecipient Monitoring	93.959	Block Grants for the Prevention and Treatment of Substance Abuse

The State of North Carolina's responses to the internal control over compliance findings identified in our audit are described in Section III, Federal Award Findings and Questioned Costs, of the accompanying Schedule of Findings and Questioned Costs. The State of North Carolina's responses were not subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the responses.

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 the governmental activities, the business-type activities, the aggregate discretely presented component units, each major fund, and the aggregate remaining fund information of the State of North Carolina as of and for the year ended June 30, 2016, and the related notes to the financial statements, which collectively comprise the State of North Carolina's basic financial statements (not presented herein). We issued our report thereon dated December 2, 2016, which contained unmodified opinions on those financial statements. Our report includes a reference to other auditors.

As discussed in Note 2 to the financial statements, during the year ended June 30, 2016, the State implemented Governmental Accounting Standards Board Statement No. 72, *Fair Value Measurement and Application*. Our opinion was not modified with respect to this matter.

We conducted our audit in accordance with 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. Other auditors audited the financial statements of the North Carolina State Lottery Fund, the North Carolina Turnpike Authority, the North Carolina Housing Finance Agency, the State Education Assistance Authority, the University of North Carolina System – University of North Carolina Health Care System – Rex Healthcare, the Supplemental Retirement Income Plan of North Carolina, the North Carolina Public Employee Deferred Compensation Plan, the North Carolina Department of State Treasurer External Investment Pool, and the cash basis claims and benefits of the North Carolina State Health Plan, as described in our report on the State's financial statements. The financial statements of the University of North Carolina System – University of North Carolina Health Care System – Rex Healthcare were not audited in accordance with *Government Auditing Standards*. As of the date of our report on the State of North Carolina's financial statements, the financial statements of the State Education Assistance Authority were not audited in accordance with *Government Auditing Standards*; however, subsequent to that date, an audit in accordance with *Government Auditing Standards* was completed.

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 the 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 Expenditure of Federal Awards is fairly stated in all material respects in relation to the basic financial statements as a whole.



Beth A. Wood, CPA  
State Auditor

Raleigh, North Carolina

March 16, 2017 (except as related to the Report on  
The Schedule of Expenditures of Federal Awards, As  
To which is dated December 2, 2016)

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## SCHEDULE OF FINDINGS AND QUESTIONED COSTS

For the Fiscal Year Ended June 30, 2016

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**SCHEDULE OF FINDINGS AND QUESTIONED COSTS****I. Summary of Auditor's Results**

For the Fiscal Year Ended June 30, 2016

Financial Statements

- |  |            |
|--|------------|
| – Type of auditor's report issued?   | Unmodified |
| – Internal control over financial reporting:   |            |
| • Material weaknesses identified?  | No         |
| • Significant deficiencies identified that are not considered to be material weaknesses? | No         |
| – Noncompliance material to financial statements noted?                                  | No         |

Federal Awards

- |   |   |
|---|---|
| – Internal control over major programs:   |   |
| • Material weaknesses identified?   | Yes   |
| • Significant deficiencies identified that are not considered to be material weaknesses?                                      | Yes   |
| • Type of auditor's report issued on compliance for major programs?   | Unmodified for all Major Programs except for Highway Planning and Construction; Federal Supplemental Educational Opportunity Grants; Title I Grants to Local Educational Agencies; Special Education – Grants to States; Federal Work-Study Program; Career and Technical Assistance – Basic Grants to States; Federal Pell Grant Program; Rehabilitation Services – Vocational Rehabilitation Grants to States; Special Education – Preschool Grants; Federal Direct Student Loans; Improving Teacher Quality State Grants; Low-Income Home Energy Assistance Program; Children's Health Insurance Program; Medical Assistance Program; Research and Development Cluster which is qualified. |
| – Any audit findings disclosed that are required to be reported in accordance with section § 200.516 of the Uniform Guidance? | Yes   |

**SCHEDULE OF FINDINGS AND QUESTIONED COSTS****I. Summary of Auditor's Results**

For the Fiscal Year Ended June 30, 2016

- Identification of major programs:

CFDA Number	Name of Federal Program or Cluster
CCDF	Child Care Development Fund Cluster
DISI	Disability Insurance /SSI Cluster
F&WC	Fish and Wildlife Cluster
HPCC	Highway Planning and Construction Cluster
MEDC	Medicaid Cluster
RD	Research and Development Cluster
SFAC	Student Financial Assistance Cluster
SNAP	Supplemental Nutrition Assistance Program (SNAP) Cluster
SPED	Special Education Cluster (IDEA)
TANF	Temporary Assistance for Needy Families (TANF) Cluster
12.401	National Guard Military Operations and Maintenance Projects
17.225	Unemployment Insurance
84.010	Title I Grants to Local Education Agencies
84.048	Career and Technical Education – Basic Grants to States
84.126	Rehabilitation Services – Vocational Rehabilitation Grants to States
84.367	Improving Teacher Quality State Grants
84.395	ARRA – State Fiscal Stabilization Fund (SFSF) – Race-to-the-Top Incentive Grants, Recovery Act
93.268	Immunization Cooperative Agreements
93.568	Low-Income Home Energy Assistance Program
93.667	Social Service Block Grant
93.767	Children's Health Insurance Program
93.917	HIV Care Formula Grants
93.958	Block Grant for Community Mental Health Services
93.959	Block Grants for Prevention and Treatment of Substance Abuse

- Dollar threshold used to distinguish between type A and type B programs? \$30,529,476
- Auditee qualified as low-risk auditee? No

**SCHEDULE OF FINDINGS AND QUESTIONED COSTS**

**II. Financial Statement Findings**

For the Fiscal Year Ended June 30, 2016

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Type of Finding	Findings and Recommendations
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No reportable findings and recommendations resulted from our audit of the basic financial statements of the State of North Carolina.

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## SCHEDULE OF FINDINGS AND QUESTIONED COSTS

### III. Federal Award Findings and Questioned Costs

For the Fiscal Year Ended June 30, 2016

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The following findings, recommendations, and questioned costs are the results of the single audit of the State of North Carolina for the fiscal year ended June 30, 2016. Each finding is referenced with a four-digit number representing the fiscal year audited and a sequential number. The findings are presented by federal program and are classified according to federal and state department, type of compliance requirement, category of internal control weakness, and category of noncompliance. Findings included in this section are related to major programs.

#### Category of Internal Control Weakness

If the finding represents a weakness in internal control over compliance, one of the following designations will appear:

- **Significant Deficiency** – 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.
- **Material Weakness** – 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.

#### Category of Noncompliance Findings

If the finding represents an instance of noncompliance, one of the following designations will appear:

- **Material Noncompliance** – A finding related to a major federal program which discusses conditions representing noncompliance with federal laws, regulations, contracts, or grants, the effects of which have a material effect in relation to a type of compliance requirement or an audit objective identified in the OMB Compliance Supplement.
- **Questioned Cost Finding** – A finding which discusses known or likely questioned costs that are greater than \$25,000 for a type of compliance requirement, unless the conditions giving rise to the questioned costs are otherwise reported as a material noncompliance finding.

**10.551 SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM****III. Federal Award Findings and Questioned Costs**

U.S. Department of Agriculture

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

2016-001	Type of Finding/ Questioned Costs	Findings and Recommendations
	Special Tests and Provisions:  Significant Deficiency	<p data-bbox="537 541 1464 604"><u>Errors in SNAP Notifications, Benefit Calculations, and Eligibility Determinations</u></p> <p data-bbox="537 636 1464 783">The Department's automated system for the Supplemental Nutrition Assistance Program (SNAP) did not accurately and completely generate notifications, calculate benefits, and determine eligibility. During state fiscal year 2016, the Department used NC FAST<sup>1</sup> to process \$2.3 billion in benefits for 1.3 million households.</p> <p data-bbox="537 821 1464 877">From a statistical sample<sup>2</sup> of 287 SNAP cases totaling \$88,592 in benefit payments, auditors identified the following errors:</p> <ul data-bbox="586 915 1464 1503" style="list-style-type: none"> <li data-bbox="586 915 1464 1035">• In 32 (11.1%) cases, NC FAST either did not generate the required notice or did not generate an accurate notice. Notices communicate changes in eligibility, certification periods, benefit allotments, and adverse actions.</li> <li data-bbox="586 1073 1464 1192">• In 11 (3.8%) cases, NC FAST did not accurately or completely process information such as updated rates, deductions for housing costs, and child support payments. However, the errors did not affect the benefit amount.</li> <li data-bbox="586 1230 1464 1350">• In 10 (3.5%) cases, NC FAST incorrectly calculated benefits. Errors included using the wrong rates and not properly calculating deductions for housing costs, resulting in overpayments of \$125 and underpayments of \$211.</li> <li data-bbox="586 1388 1464 1507">• In 2 (0.7%) cases, NC FAST incorrectly determined eligibility. In one case, an ineligible participant received an overpayment of \$122. In the other case, an eligible participant was excluded, resulting in an underpayment of \$146.</li> </ul> <p data-bbox="537 1535 1464 1623">When the net underpayment of \$110 found in the sample is projected to the entire population of benefit payments, the likely total error is a \$3.9 million underpayment.<sup>3</sup></p> <p data-bbox="537 1661 1464 1717">As a result of the errors, some SNAP participants did not receive all of the benefits for which they were eligible and some received more. In both cases,</p>

<sup>1</sup> North Carolina Families Accessing Services through Technology

<sup>2</sup> The statistical sampling method used was stratified statistical variable sampling.

<sup>3</sup> Projections indicate that the most likely total error would be underpayments of \$3.9 million. When evaluated at a 90% confidence interval, the results are unlikely to be more than a \$17.7 million underpayment or more than a \$9.8 million overpayment.

**10.551 SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Agriculture

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2015

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>additional program administrative costs will be incurred to correct the errors. The Department made improper payments to households which must be reprocessed to ensure correct benefits are paid.</p> <p>The Division of Social Services (DSS)<sup>4</sup> and NC Fast staff do not know why the errors occurred and are in the process of researching the causes. In some cases, they believe there are system design flaws. For example, NC FAST is not designed to include some of the required elements in the generated notices for some recertifications and expedited cases. In other cases, DSS and NC FAST staff are trying to determine whether the problem is a system flaw or a user error. However, Department staff continue to research the errors.</p> <p>Federal regulations<sup>5</sup> require state automated systems to generate notifications, calculate benefits, and determine eligibility. Automation is required for cost effective reductions in errors and improvements in management efficiency, such as decreases in program administrative costs.</p> <p>Specifically, federal regulations require the automated system to:</p> <ul style="list-style-type: none"> <li>• “Notify the certification unit (or generate notices to households) of cases requiring Notices of (A) Case Disposition; (B) Adverse Action and Mass Change, and (C) Expiration.”</li> <li>• “Determine eligibility and calculate benefits or validate the eligibility worker’s calculations by processing and storing all casefile information.”</li> </ul> <p>Similar aspects of this finding were reported in the 2015 Statewide Single Audit as finding number 2015-007.</p> <p><i>Federal Award Information:</i> Federal Awarding Agency: U.S. Department of Health and Human Services; CFDA (title): 10.551 (Supplemental Nutrition Assistance Program); Federal Award Period: October 1, 2014 – September 30, 2015 and October 1, 2015 – September 30, 2016.</p> <p><i>Recommendations:</i> Department management should correct identified benefit payment errors.</p> <p>Department management should ensure priority is given to identifying the root cause of the errors.</p>

<sup>4</sup> DSS is the division of the Department that is responsible for administering SNAP.

<sup>5</sup> 7 CFR 272.10(b)

**10.551 SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Agriculture

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2015

Type of Finding/ Questioned Costs	Findings and Recommendations
<p><i>Agency Response:</i> The Department is committed to administering the SNAP program in accordance with the applicable federal and State requirements. The Department concurs with the findings with respect to benefits and eligibility errors, processing errors, and most notification errors.</p>	<ul style="list-style-type: none"> <li>• The Department reviewed the 11 cases related to processing errors, which resulted in no financial impact to beneficiaries. After the review, the Department determined that 5 cases were related to rates that were not updated for valid reasons and 2 cases related to child support payments in which display issues did not affect the processing of the case. The remaining cases are attributed to user error. The Department will provide additional training to address these types of errors.</li> <li>• The Department reviewed the 12 cases related to benefits and eligibility errors. Eleven cases were benefit payment errors that will be reprocessed and corrected according to policy. Training will be reviewed to address these issues. The Department is investigating a potential system defect related to the final case and will correct any systems errors identified.</li> <li>• The Department reviewed the 32 cases regarding notification errors, which resulted in no financial impact to beneficiaries. This review resulted in investigations that determined the root cause of the errors. The Department will ensure system updates are prioritized for completion and required training is provided.</li> </ul>

## 10.561 STATE ADMINISTRATIVE MATCHING GRANTS FOR THE SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM

### III. Federal Award Findings and Questioned Costs

U.S. Department of Agriculture

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-002	Subrecipient Monitoring:  Significant Deficiency	<p data-bbox="519 573 1481 604"><u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u></p> <p data-bbox="519 636 1481 787">The Department did not adequately monitor \$1 billion in federal funds passed to counties, non-profits, and other organizations (collectively called subrecipients). Specifically, the Department did not timely obtain subrecipient annual audit reports, review for problems, or communicate expected corrective actions to subrecipients.</p> <p data-bbox="519 819 1481 970">Subrecipients used the funds from the Department for federal assistance programs such as Medicaid (\$228.7 million), Temporary Assistance for Needy Families (\$186.3 million) and the Children’s Health Insurance Program (\$7.4 million). Subrecipients were required to obtain an annual audit if they spent more than \$500,000 in federal funds within a year.</p> <p data-bbox="519 1001 1481 1096">Out of a sample of 44 entities to which the Department passed federal funds, there were 16 (36%) instances where the Department did not complete the monitoring process. Specifically, for:</p> <ul data-bbox="568 1127 1481 1348" style="list-style-type: none"> <li data-bbox="568 1127 1481 1190">• 13 (30%) subrecipients, there was no evidence that audit reports were reviewed or that management decisions were issued</li> <li data-bbox="568 1222 1481 1253">• 2 (5%) subrecipients, no audit reports were on file</li> <li data-bbox="568 1285 1481 1348">• 1 (2%) subrecipient, the audit report was reviewed, but a management decision<sup>6</sup> was issued 13 days after the six-month regulatory time limit</li> </ul> <p data-bbox="519 1379 1481 1495">Lack of adequate and timely monitoring increased the risk that federal funds would be wasted due to uncorrected errors and deficiencies. For example, audit reports that lacked evidence of Department review reported deficiencies such as a:</p> <ul data-bbox="568 1526 1481 1787" style="list-style-type: none"> <li data-bbox="568 1526 1481 1589">• 28% error rate in eligibility documentation for the Medicaid program in one county</li> <li data-bbox="568 1621 1481 1684">• 27% error rate in eligibility income verification and budget calculations for the Medicaid program in a second county</li> <li data-bbox="568 1715 1481 1787">• 15% error rate in eligibility income verification and budget calculations for the Children’s Health Insurance Program in a third county</li> </ul>

<sup>6</sup> Management decisions clearly communicate to subrecipients whether or not the results of the audit are sustained, the reasons for the decision, and the expected subrecipient action (i.e. repay disallowed costs, make financial adjustments, or other actions).

**10.561 STATE ADMINISTRATIVE MATCHING GRANTS FOR THE SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM** (continued)**III. Federal Award Findings and Questioned Costs**

U.S. Department of Agriculture

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>The Department did not have adequate procedures in place to ensure audits were reviewed and management decisions issued. According to Department management, the responsibility for reviewing the audit reports shifted to the Office of Internal Audit (OIA) just before the beginning of the audit period. The OIA was drafting procedures for the review of the audit reports; however, OIA had turnover in positions designated to do this task. Since there was not a procedure in place to ensure compliance, the audit reports were not monitored timely.</p>
	<p>The Department is required to monitor subrecipients' use of federal awards by reviewing their audit reports. Specifically, federal regulations<sup>7</sup> charge the pass-through entity with:</p>
	<ul style="list-style-type: none"> <li>• Reviewing financial and performance reports</li> <li>• Issuing a management decision for audit findings pertaining to the Federal award within six months of receipt of the audit report</li> <li>• Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies detected through audits, on-site reviews, and other means</li> </ul>
	<p>Similar aspects of this finding were reported in the 2015 Statewide Single Audit as finding numbers 2015-004, 2015-011, 2015-009, 2015-061, 2015-062, 2015-063, 2015-064, 2015-069, 2015-070, 2015-073, 2015-074, 2015-080, 2015-085, and 2015-095.</p>
	<p><i>Federal Award Information:</i> This finding affects the following federal programs:</p>
	<ul style="list-style-type: none"> <li>• CFDA 10.561: State Administrative Matching Grants for the Supplemental Nutrition Assistance Program <ul style="list-style-type: none"> <li>○ Federal Awarding Agency: U.S. Department of Agriculture</li> <li>○ Grant Award Number: 15155NC406S2514, 16165NC416Q3903</li> </ul> </li> <li>• CFDA 93.558: Temporary Assistance for Needy Families (TANF) <ul style="list-style-type: none"> <li>○ Federal Awarding Agency: U.S. Department of Health and Human Services</li> <li>○ Grant Award Number: 1502NCTANF, 1601NCTANF</li> </ul> </li> </ul>

<sup>7</sup> 2 CFR 200.331(d) and 2 CFR 200.521(d)

**10.561 STATE ADMINISTRATIVE MATCHING GRANTS FOR THE SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM** (continued)**III. Federal Award Findings and Questioned Costs**

U.S. Department of Agriculture

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<ul style="list-style-type: none"> <li>• CFDA 93.568: Low-Income Home Energy Assistance (LIHEAP) <ul style="list-style-type: none"> <li>○ Federal Awarding Agency: U.S. Department of Health and Human Services</li> <li>○ Grant Award Number: 15B1NCLIEA, 16B1NCLIEA</li> </ul> </li> <li>• CFDA 93.575 and 93.596: Child Care and Development Fund (CCDF) Cluster <ul style="list-style-type: none"> <li>○ Federal Awarding Agency: U.S. Department of Health and Human Services</li> <li>○ Grant Award Number: G1501NCCCDF, G1601NCCCDF</li> </ul> </li> <li>• CFDA 93.667: Social Services Block Grant (SSBG) <ul style="list-style-type: none"> <li>○ Federal Awarding Agency: U.S. Department of Health and Human Services</li> <li>○ Grant Award Number: G-1401NCSOSR, G-1501NCSOSR</li> </ul> </li> <li>• CFDA 93.767: Children's Health Insurance Program (CHIP) <ul style="list-style-type: none"> <li>○ Federal Awarding Agency: U.S. Department of Health and Human Services</li> <li>○ Grant Award Number: 05-1505NC5021, 05-1605NC5021</li> </ul> </li> <li>• CFDA 93.778: Medical Assistance Program (Medicaid) <ul style="list-style-type: none"> <li>○ Federal Awarding Agency: U.S. Department of Health and Human Services</li> <li>○ Grant Award Number: 05-1505NC5MAP, 05-1605NC5MAP, 05-1505NC5ADM, 05-1605NC5ADM</li> </ul> </li> <li>• CFDA 93.917: HIV Care Formula Grants (Ryan White HIV/AIDS Program Part B) <ul style="list-style-type: none"> <li>○ Federal Awarding Agency: U.S. Department of Health and Human Services</li> <li>○ Grant Award Number: X07HA00051-25-00, X08HA16859-07-00</li> </ul> </li> <li>• CFDA 93.958: Block Grants for Community Mental Health Services <ul style="list-style-type: none"> <li>○ Federal Awarding Agency: U.S. Department of Health and Human Services</li> <li>○ Grant Award Number: SM010032-14, SM010032-15</li> </ul> </li> </ul>

**10.561 STATE ADMINISTRATIVE MATCHING GRANTS FOR THE SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM (continued)**

**III. Federal Award Findings and Questioned Costs**

U.S. Department of Agriculture

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
<ul style="list-style-type: none"> <li>• CFDA 93.959: Block Grants for Prevention and Treatment of Substance Abuse                             <ul style="list-style-type: none"> <li>○ Federal Awarding Agency: U.S. Department of Health and Human Services</li> <li>○ Grant Award Number: TI010032-14, TI010032-15</li> </ul> </li> </ul>	<p><i>Recommendation:</i> Department management should develop and use a tracking mechanism to ensure that all required subrecipient audits are reviewed, management decisions are communicated timely, and follow-up is completed.</p>
<p><i>Agency Response:</i> The Department agrees that the annual sub-recipient monitoring reports and audit reports were not consistently reviewed in a timely manner due to excessive employee turnover. Sub-recipient monitoring is performed throughout the life cycle of the grant award by multiple teams and includes activities in the onboarding process followed by onsite and desk reviews during the grant period and culminates in the review of annual reports and audits as noted in this finding. The Department will implement additional monthly management review procedures and temporarily reassign duties to ensure the timely completion of the review of sub-recipient annual reports and audits. Recruiting is in process to re-staff the annual report review function.</p>	
<p>2016-003      Subrecipient Monitoring:  Significant Deficiency</p>	<p><u>Counties Were Not Adequately Monitored</u></p> <p>The Department did not adequately monitor subrecipients (counties) that administered the Supplemental Nutrition Assistance Program (SNAP). The State provided \$87.5 million in SNAP funds to counties to administer to participants during the year.</p> <p>A random sample of 21 (50%) of the 42 counties that were required to be monitored during the audit period showed deficiencies for all 21 counties. Specifically:</p> <ul style="list-style-type: none"> <li>• In 21 of 21 (100%) counties sampled, monitors did not test the timeliness of recertifications<sup>8</sup>. Further inquiry showed that this test was not performed at any of the 42 counties monitored during the audit period.</li> </ul>

<sup>8</sup> Recertifications – the re-determination of eligibility

**10.561 STATE ADMINISTRATIVE MATCHING GRANTS FOR THE SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM** (continued)

**III. Federal Award Findings and Questioned Costs**

U.S. Department of Agriculture

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<ul style="list-style-type: none"> <li>• In 4 of 21 (19%) counties sampled, the county submitted a Performance Improvement Plan (PIP)<sup>9</sup> that did not address all of the SNAP findings that monitors identified.</li> <li>• In 1 of the 21 (5%) counties sampled, monitors did not communicate all of the SNAP findings to the county.</li> <li>• In 1 of the 21 (5%) counties sampled, monitors did not review the required number of cases. Nine initial approval case files were reviewed when the monitor should have reviewed 10. Participant case files are reviewed to check the eligibility determinations made by the county staff.</li> </ul> <p>Inadequate monitoring increased the risk that the Department would not detect payments to ineligible participants, detect delays in recertification, and ensure that corrective action was completed timely.</p> <p>According to Department management, there were two factors that led to the monitoring deficiencies. The lack of timeliness testing existed because monitors could not access the necessary reports in NC FAST<sup>10</sup>. A system change was requested in March 2015 that would allow the system to produce the necessary reports, but the change was not implemented. Department staff said that the remaining monitoring deficiencies were due to inadequate supervisory review of the monitoring documentation.</p> <p>Federal regulations<sup>11</sup> require the pass-through entity to:</p> <p style="padding-left: 40px;">“Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved.”</p> <p>Furthermore, the pass-through entity is responsible for:</p> <p style="padding-left: 40px;">“Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award... detected through audits, on-site reviews, and other means”.</p>

<sup>9</sup> The PIP is prepared by the county to show how it will correct the deficiencies identified during the monitoring visit.

<sup>10</sup> NC FAST – System used to determine participant eligibility.

<sup>11</sup> 2 CFR Part 200.331(d)

**10.561 STATE ADMINISTRATIVE MATCHING GRANTS FOR THE SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM** (continued)**III. Federal Award Findings and Questioned Costs**

U.S. Department of Agriculture

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>Additionally, the Department's "Subrecipient Monitoring Plan" for SNAP for state fiscal year 2015-2016 requires a minimum number of case files to be reviewed for small, medium, and large<sup>12</sup> counties during monitoring visits.</p> <p><i>Federal Award Information:</i> U.S. Department of Health and Human Services; CFDA Number (title): 10.561 (State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (SNAP)); Federal Award Number (award period): 15155NC406S2514 (October 1, 2014 – September 30, 2015); 16165NC416Q3903 (October 1, 2015 – September 30, 2016).</p> <p><i>Recommendations:</i> Department management should coordinate with NC FAST administrators to ensure the system is generating the necessary reports to review the timeliness of recertifications for the counties that are monitored.</p> <p>Department management should develop a review process to ensure that all findings identified during the monitoring visit are communicated to the county, that the Performance Improvement Plans address all findings identified during the monitoring visit, and that monitors examine the minimum number of cases consistent with the monitoring plan.</p> <p><i>Agency Response:</i> The Department agrees with the finding and will enhance the subrecipient monitoring process to ensure all required number of cases are examined and any findings identified during the monitoring visit are communicated to the county and addressed in the appropriate documents. The Department will strengthen the supervisory review over the monitoring process.</p> <p>The Department's NC FAST System reporting capabilities have been enhanced to produce a report to be utilized by monitors in testing the timeliness of recertifications by counties being monitored.</p>

<sup>12</sup> Small County (less than 6000 cases) – monitors should review a total of 40 cases (10 initial approvals / 10 initial denials / 10 ongoing terminations / 10 recertifications)

Medium County (less than 15,000 cases) – monitors should review a total of 60 cases (15 initial approvals / 15 initial denials / 15 ongoing terminations / 15 recertifications)

Large County (over 15,000 cases) – monitors should review a total of 80 cases (20 initial approvals / 20 initial denials / 20 ongoing terminations / 20 recertifications)

**20.205 HIGHWAY PLANNING AND CONSTRUCTION****III. Federal Award Findings and Questioned Costs**

U.S. Department of Transportation

N.C. Department of Transportation

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-004	Procurement and Suspension and Debarment  Significant Deficiency  Special Tests and Provisions  Significant Deficiency	<p><u>No Documentation to Support Selecting Lower Ranked Highway Consultant Firms</u></p> <p>The Department did not document the rationale for awarding highway consultant contracts to firms determined by the selection committee to be less qualified than competing firms. During state fiscal year 2016, the Department spent \$86.8 million in federal highway funds on 717 consultant contracts.</p> <p>When procuring highway consultant contracts for professional design, engineering, or other services, the Department uses a selection committee. The selection committee will evaluate, rank, and recommend firms based on factors such as past performance, experience, location, and present workload.</p> <p>Auditors reviewed selection committee evaluation documentation for 61 of the 717 consultant contracts that had expenditures during state fiscal year 2016. In three instances, the firms awarded contracts were ranked lower by the selection committee than the firms not selected. The rationale for the selection committees' deviation from its initial qualification rankings was not documented. The three contracts, which span multiple years, had a total contract value of \$3.5 million and expenditures of \$358,081 during fiscal year 2016.</p> <p>The Department's failure to ensure that the selection committee documents its rationale for deviating from its qualification rankings could result in substandard design and engineering services on highway projects.</p> <p>According to Department personnel, highway consultant contracts are normally awarded to the highest ranked firms. The selection committee may then reevaluate relevant factors beyond the initial evaluation rankings and award contracts to lower ranked firms. However, the reevaluations and justifications for awarding the contracts to lower ranked firms were not documented.</p> <p>Federal regulations<sup>13</sup> require states to use qualifications-based selection procedures and retain supporting documentation for the selection procedures and selection. Additionally, the Department's internal "Policies and Procedures for Major or Specialized Service Contracts" requires that the results of the selection committee meeting be maintained.</p> <p>This finding was reported in the fiscal year 2013 Statewide Single Audit as finding # 2013-024.</p>

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<sup>13</sup> 23 CFR 172.7

**20.205 HIGHWAY PLANNING AND CONSTRUCTION** (continued)**III. Federal Award Findings and Questioned Costs**

U.S. Department of Transportation

N.C. Department of Transportation

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p><i>Federal Award Information:</i> CFDA 20.205 Highway Planning and Construction Cluster 2016.</p>
	<p><i>Recommendation:</i> Department management should document all factors considered by selection committees when ranking and selecting contractors for engineering and design-related services for highway projects. Specifically, the documentation should include all subsequent reevaluations performed and any justifications for selection of firms other than the highest ranked firms.</p>
	<p><i>Agency Response:</i> The Department agrees with the finding and is taking the below corrective action.</p>
	<p>All engineering firms considered for selection first must be pre-qualified by the Department to ensure they have the qualification to perform the advertised scope of work. The selection process ensures the most highly qualified firm is selected for each scope of work.</p>
	<p>Professional Services Firms are selected by committee. Each committee member scores each proposing firm's Letter of Interest based on several evaluation criteria. These scores are transmitted to the ex-officio selection facilitator who then compiles the scores and calculates the average scores of the committee members, which provides a draft of the collective scores from the committee. The selection facilitator then calls a meeting of the selection committee to discuss the evaluation criteria and the draft collective scoring. This meeting affords a critical opportunity for committee members to exchange information related to each firm's qualifications. The final selection of a firm or firms is determined by the draft average scores in conjunction with information gathered from the committee discussion. Based on that information, it is possible that a firm or firms with lower draft scores are ultimately determined to be more highly qualified for that particular advertised scope of work.</p>
	<p>The department has implemented a new process for all future selections that requires the selection facilitator to prepare a summary of the selection results and factors determining the decision in the event that the highest scored firm or firms are not selected. This summary also will be signed by the selection facilitator, the Director of Technical Services and Chief Engineer, and maintained on file along with all other procurement documentation maintained by the department. This process has been communicated to all appropriate department personnel.</p>

**20.205 HIGHWAY PLANNING AND CONSTRUCTION** (continued)**III. Federal Award Findings and Questioned Costs**

U.S. Department of Transportation

N.C. Department of Transportation

For the Fiscal Year Ended June 30, 2016

2016-005	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-005	Special Tests and Provisions:  Material Weakness  Material Noncompliance	<p data-bbox="537 541 1268 573"><u>Highway Quality Potentially At Risk Due to Insufficient Testing</u></p> <p data-bbox="537 606 1468 726">The Department did not ensure the required minimum tests were performed neither for aggregate materials<sup>14</sup> nor for asphalt mix formulas used in highways and other construction projects funded by Highway Planning and Construction grants.</p> <p data-bbox="537 760 1468 850">For aggregate materials compliance, auditors sampled 12 of 59 contracts that required density acceptance testing and 6 of 37 contracts that required aggregate roadway assurance tests. The following errors were identified:</p> <ul data-bbox="586 884 1468 1039" style="list-style-type: none"> <li data-bbox="586 884 1468 947">• 2 of 12 (17%) contracts that required density acceptance tests did not receive sufficient testing.</li> <li data-bbox="586 980 1468 1039">• 1 of 6 (17%) contracts that required aggregate roadway assurance tests did not receive sufficient testing.</li> </ul> <p data-bbox="537 1073 1468 1131">For asphalt mix compliance, auditors sampled 60 of 776 asphalt mix formulas. The following errors were identified:</p> <ul data-bbox="586 1165 1435 1197" style="list-style-type: none"> <li data-bbox="586 1165 1435 1197">• 5 of 60 (8%) asphalt mix formulas did not receive sufficient testing.<sup>15</sup></li> </ul> <p data-bbox="537 1230 1468 1409">The Department's failure to meet minimum testing standards could result in the use of lower quality materials. Materials that do not meet quality standards could result in roads with shorter lifespans and increased highway maintenance cost. Quality assurance programs are the principal way the State verifies construction, material, and product quality meets safety and durability standards set for highway projects.</p> <p data-bbox="537 1442 1468 1501">The aggregate materials errors and the asphalt mix errors occurred for different reasons.</p> <p data-bbox="537 1535 1468 1688">The three aggregate materials errors occurred because of insufficient training, according to Department management. Although staff was aware of the required sampling procedures for aggregate materials, the procedures were inconsistently applied. Department management said that additional training was needed to reinforce Department policy.</p> <p data-bbox="537 1722 1468 1778">The five asphalt mix errors occurred because of inadequate monitoring and the production of small quantities of mix.</p>

<sup>14</sup> Hard, durable particles or fragments of crushed stone, crushed slag, or crushed gravel.

<sup>15</sup> The vendor producing the asphalt mix and the Department perform separate tests on the mix to verify the quality of the product. The vendor performed sufficient tests, but the Department did not consistently perform the required minimum tests.

**20.205 HIGHWAY PLANNING AND CONSTRUCTION** (continued)**III. Federal Award Findings and Questioned Costs**

U.S. Department of Transportation

N.C. Department of Transportation

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<ul style="list-style-type: none"> <li>• For two of the five asphalt mix errors, staff failed to take corrective action when the spreadsheets used to monitor testing indicated that an insufficient number of quality assurance tests had been performed.</li> <li>• For three of the five asphalt mix errors, samples could not be taken before production was completed because of the small quantities of the mix produced, according to Department management. However, the Department did not have a policy exception for testing small quantities of asphalt mix formulas.</li> </ul> <p>Per 23 CFR 637.207(a)(1)(i)(A), each state transportation department's quality assurance program shall include frequency schedules for verification sampling and testing. The Department's federally approved Minimum Sampling Guide details the minimum testing and interval at which samples must be taken for asphalt and aggregate materials to ensure the quality of materials used in North Carolina highway construction projects.</p> <p>Significant aspects of this finding were reported in the fiscal year 2015 Statewide Single Audit as finding # 2015-017.</p> <p><i>Federal Award Information:</i> CFDA 20.205 Highway Planning and Construction Cluster 2016.</p> <p><i>Recommendation:</i> Department management should provide training as needed to ensure that technicians are aware of and comply with the testing requirements in the federally approved Minimum Sampling Guide.</p> <p>Department management should identify a method to ensure that staff takes appropriate action when monitoring reports indicate that sufficient testing has not been performed.</p> <p>Department management should document an approved policy exception for testing small quantity asphalt mix productions.</p> <p><i>Agency Response:</i> The Department agrees with the finding and is taking the below corrective actions.</p> <p>For aggregate materials compliance, the corrective actions are as follows:</p> <ul style="list-style-type: none"> <li>• Materials and Tests staff have created a Technical Bulletin detailing proper sampling methods, the appropriate sample frequencies for roadway assurance and density, and an example of how to determine the size of the density test section. This technical bulletin will be distributed to appropriate staff in all 14 divisions including the Division</li> </ul>

**20.205 HIGHWAY PLANNING AND CONSTRUCTION (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Transportation

N.C. Department of Transportation

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>Engineer, Division Construction Engineer and all contract administration engineers for each division. In addition, it will be posted on the Materials and Tests Unit web site along with the presentation on this topic that will be presented at the upcoming Contract Administration Workshops. There are four workshops across the state occurring over the next month in which the contract administration engineers from each division will be attending. Distribution of the bulletin will occur immediately and the presentations will be made over the course of the next month.</p> <ul style="list-style-type: none"> <li>• Materials and Tests Technical Trainers are emphasizing the importance of program compliance with students attending certification classes for aggregate materials. This will be an ongoing effort.</li> <li>• Technical Trainers will address the findings with technicians during the field certification/assessment process and emphasize the importance of compliance. This is a one-on-one discussion with technicians who have recently attended certification classes. The emphasis will continue throughout 2017 and beyond as needed.</li> <li>• Materials and Tests representatives will develop a program that analyzes the sampling and testing data from the contract administration database on a monthly basis. The program will automatically notify appropriate Materials and Tests staff if there are deficiencies. Staff will then contact the appropriate Resident Engineer's Office to explain the deficiency and work to correct the issue. A similar process has been developed for Asphalt Densities and has been effective. The process will be developed and implemented by April 1, 2017.</li> <li>• Materials and Tests staff is in the process of further investigating each occurrence noted in the report and visually inspecting the actual locations where the material was placed to determine if further evaluations or corrective actions are necessary.</li> </ul>

For asphalt mix formulas compliance, the corrective actions are as follows:

- Materials and Tests Management reviewed sampling and testing procedures with all QA Supervisors (responsible for the Department's sampling and testing). This was completed on January 31, 2017.
- For the cases where staff failed to take action, a technician training issue was identified. The QA Supervisor responsible for sampling and testing these particular Job Mix Formulas was relatively new to the

**20.205 HIGHWAY PLANNING AND CONSTRUCTION (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Transportation

N.C. Department of Transportation

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>role. The technician was visiting the plant at an appropriate frequency, however, the technician failed to sample appropriately while on those visits. Due to miscommunication, he did not understand that both QA samples and V samples can be taken on the same visit. A meeting between this QA Supervisor and his direct supervisor occurred on November 22, 2016 to correct the miscommunication and discuss all aspects of appropriately meeting the requirements associated with this process.</p>
	<ul style="list-style-type: none"> <li>• A similar process to analyze data as noted in the aggregate corrective actions is being developed to notify QA Supervisors and Asphalt Specialists on a monthly basis when deficiencies in asphalt mix samples occur. Management responsible for these functions will also be notified and will ensure corrective actions will be taken immediately. This process will be implemented on March 1, 2017.</li> </ul>
	<ul style="list-style-type: none"> <li>• A draft of a "Small Quantities" policy exemption has been developed and is being shared with industry partners and the Federal Highway Administration for feedback on the potential impacts and risks. Small Quantities exceptions will allow all available test data (QC, QA or Verification) to be used in the acceptance decision when samples are not taken due to limited production of a particular Job Mix Formula. The final policy will be in place by May 1, 2017.</li> </ul>
	<ul style="list-style-type: none"> <li>• Materials and Tests staff is in the process of further investigating each occurrence noted in the report and visually inspecting the actual locations where the material was placed and determine if further evaluations or corrective actions are necessary.</li> </ul>

**84.007 FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANTS****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Elizabeth City State University

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-006	<u>Eligibility:</u>  Material Weakness  Material Noncompliance  Questioned Cost Finding  \$3,000	<u>University Disbursed Funds to Ineligible Students</u>  The University disbursed federal assistance to students who did not meet all eligibility requirements. During the audit period, the University disbursed approximately \$15.4 million in federal assistance funds to 1,530 students.  Auditors tested eligibility for a sample of 60 students who received federal assistance during the fiscal year. Ten (17%) students did not meet all eligibility requirements. Specifically, <ul style="list-style-type: none"> <li>• 7 (12%) students did not have a final high school transcript on file at the University.</li> <li>• 3 (5%) students were granted approval of their satisfactory academic progress (SAP) appeal without adequate supporting documentation.</li> </ul> <p>As a result, the University disbursed \$125,656<sup>16</sup> in federal financial aid to ineligible students. [CFDA 84.007 - \$3,000; 84.033 - \$3,825; 84.063 - \$48,338; 84.268 - \$70,493]</p> <p>The seven errors related to high school transcripts occurred because the University's admissions office admitted students without obtaining the required transcripts. The admissions office also inaccurately indicated in the information system (BANNER) that all required documents had been received. The financial aid office then used the inaccurate BANNER information to determine if students were eligible for federal assistance.</p> <p>The three errors related to SAP occurred because financial aid staff approved all SAP appeals regardless of whether the appeal contained all of the documents required by the University's SAP policy.<sup>17</sup></p> <p>Federal regulations<sup>18</sup> require the University to disburse funds only to students who meet all eligibility requirements. Specifically, federal regulations require that:</p> <ul style="list-style-type: none"> <li>• A student must have a high school diploma or its recognized equivalent to receive any federal funds.</li> </ul>

<sup>16</sup> 2 CFR 200.516 (a)(3) requires auditors to report known questioned costs when likely questioned costs are greater than \$25,000. Therefore, the \$125,656 in awards are being reported.

<sup>17</sup> The University's SAP policy requires supporting documentation such as doctor's letters/bills as well as a plan of action on how the Student will resolve the circumstances or situation which caused the student to not meet SAP and how the plan of action will prevent this from happening in the future.

<sup>18</sup> 34 CFR 668.32

**84.007 FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANTS (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Elizabeth City State University

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<ul style="list-style-type: none"> <li>A student must maintain satisfactory academic progress in his or her course of study according to the institution's published standards of satisfactory academic progress to receive any federal funds.</li> </ul> <p><i>Federal Award Information:</i> Award Year July 1, 2015 – June 30, 2016. CFDA 84.007 Federal Supplemental Educational Opportunity Grants; CFDA 84.033 Federal Work-Study Program; CFDA 84.063 Federal Pell Grant Program; CFDA 84.268 Federal Direct Student Loans.</p> <p><i>Recommendation:</i> University management should verify the collection and retention of documentation required to make student eligibility determinations. University management should also ensure financial aid staff responsible for review of SAP appeals adhere to the University's policy.</p> <p><i>Agency Response:</i> Elizabeth City State University concurs with the finding that funds were disbursed to ineligible students.</p> <p>The University has implemented AdmissionPros, a web based tool designed to manage the overall recruitment and admissions process for applicants and admitted students. This tool has an audit feature that will alert both the student and the University when a final high school transcript showing high school completion date has not been received. This alert can prompt the prospective student admit to submit the appropriate documents. In addition, the admissions team has access to run reports to track missing final high school transcripts. During June/July of each recruitment cycle, the Office of Financial Aid &amp; Scholarships will work with the Office of Admissions &amp; Recruitment to identify those prospective students who have failed to submit the final high school transcript. A document tracking requirement will be added to the student's Banner Financial Aid record. This tracking requirement will prevent any Title IV aid from disbursing as long as the final high school requirement is outstanding. Once the student has submitted the necessary final official high school transcript, the Office of Admissions will notify Financial Aid so that the student's Financial Aid tracking requirement can be updated. Once the Fall enrollment census has been tallied, the Office of Admissions &amp; Recruitment will transfer all enrollment files including final high school transcripts to the Office of the Registrar for retention purposes.</p> <p>The University has updated the Financial Aid SAP appeal review process effective for Spring 2017 to ensure the review process adheres to the University policy. Each student appeal that is submitted is reviewed in detail prior to being reviewed by the Financial Aid SAP Appeals committee. Appeals lacking any of the components dictated in the policy will be returned to the student to provide updated information. If a student chooses not to submit any additional information, the appeal will be denied by the Financial Aid SAP Appeal Committee based on insufficient documentation. Each completed</p>

**84.007 FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANTS (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Elizabeth City State University

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
2016-007	<p data-bbox="313 879 508 930"><u>Special Tests and Provisions:</u></p> <p data-bbox="342 947 456 1001">Material Weakness</p> <p data-bbox="342 1018 508 1073">Material Noncompliance</p> <p data-bbox="537 879 1102 905"><u>Errors in Calculation for Return of Title IV Funds</u></p> <p data-bbox="537 942 1468 1060">The University incorrectly calculated how much money to return to the Title IV program (financial aid) after students supported by the program withdrew from school. Funds were also returned late. During the audit period, the University disbursed approximately \$15.4 million in financial aid to 1,530 students.</p> <p data-bbox="537 1098 1468 1152">Auditors tested the return to Title IV calculations for a sample of 22 out of 105 students that met the requirements and had calculations performed.</p> <ul data-bbox="586 1190 1468 1341" style="list-style-type: none"> <li>• For 11 students (50%), the return calculations were incorrect, including over and under calculations.</li> <li>• For 4 students (18%), the calculations were correct, but the University returned funds to the Title IV program late.</li> </ul> <p data-bbox="537 1379 1468 1434">Additionally, auditors tested all nine students that had a “0” GPA and no return to Title IV calculation made.</p> <ul data-bbox="586 1472 1468 1526" style="list-style-type: none"> <li>• For 1 student (11%), a calculation should have been performed but was not.</li> </ul> <p data-bbox="537 1564 1468 1682">As a result, the University failed to return \$2,483 to the Title IV program and returned another \$3,818 between five and 179 days late. Those funds could have been allocated to other students or reduced the cost of the federal programs. Also, the University returned \$2,028 in error.</p> <p data-bbox="537 1719 1468 1866">The assistant financial aid director was assigned sole responsibility for performing the return to Title IV calculation without any review or oversight. The assistant director did not include all of the applicable student fees for the institutional charges in the calculations and used an incorrect number for total days in the Spring 2016 semester calculations.</p>

**84.007 FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANTS (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Elizabeth City State University

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>Federal regulations<sup>19</sup> state that if at the time of the student's withdrawal the assistance earned by the student is less than the amount disbursed to the student or on his or her behalf, the difference must be returned to the Title IV program.</p> <p>Additionally, federal regulations<sup>20</sup> require that returns of Title IV funds be deposited or transferred into the Student Financial Aid account or that electronic fund transfers be initiated to the Department of Education or the appropriate lender as soon as possible, but no later than 45 days after the date the institution determined that the student withdrew.</p> <p>This issue was previously reported in the 2014 Single Audit.</p> <p><i>Federal Award Information:</i> Award Year July 1, 2015 – June 30, 2016. CFDA 84.007 Federal Supplemental Educational Opportunity Grant; CFDA 84.063 Federal Pell Grant Program; CFDA 84.268 Federal Direct Student Loans.</p> <p><i>Recommendation:</i> University management should design and implement review and/or monitoring procedures to ensure that required calculations for returns to Title IV are complete and accurate, and funds are returned on a timely basis in accordance with federal compliance requirements.</p> <p><i>Agency Response:</i> Elizabeth City State University concurs with the finding that there are errors in calculation for return of Title IV funds.</p> <p>All students officially withdrawing must complete the Official Withdrawal Process with the Registrar's Office. The Registrar's Office will contact the appropriate faculty and verify academic engagement for the student. Once this process has been completed, the Registrar's Office will send the completed withdrawal form to the Office of Financial Aid &amp; Scholarship. The Financial Aid Office will complete the necessary Return of Title IV Funds calculation within the required 30-day timeframe. A monthly report will also be forwarded to the Office of Financial Aid &amp; Scholarships to verify that all the withdrawals have been tracked.</p> <p>Any student who unofficially withdraws from the University by ceasing academic engagement will be tracked at the end of each semester once grades are posted. Any student who has earned all "F"s will be reviewed for Return of Title IV Calculation purposes. For students who are earning an "F" grade, faculty will be required to report last academic engagement at the time</p>

<sup>19</sup> 34 CFR 668.22(a)(1) through (a)(5)<sup>20</sup> 34 CFR 668.173(B)

**84.007 FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANTS (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Elizabeth City State University

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>of grade submission. The Financial Aid Office will reach out to the Institutional Research Office prior to grades posting requesting the all "F"s grade report.</p> <p>At the end of each semester, a comprehensive listing of Official and Unofficial withdrawals will be requested from Institutional Research to audit the Return of Title IV Calculation process and ensure that funds are returned timely and accurately.</p> <p>At the time of completing the Return of Title IV Calculation, each R2T4 will have a checklist that outlines what information to review and where to pull data from to ensure all components are included in the calculation. Staff member(s) assigned to the completion of Return of Title IV Calculations will be required to complete trainings to ensure they fully understand the scope of the process and are able to complete the calculation correctly. Each Return of Title IV Calculation will be completed by the appropriately assigned financial aid staff member and signed off by the Director of Financial Aid prior to completion.</p>

**84.007 FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANTS****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Mitchell Community College

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-008	Special Tests and Provisions:  Material Weakness  Material Noncompliance	<p data-bbox="535 535 925 567"><u>Untimely Return of Title IV Funds</u></p> <p data-bbox="535 598 1461 693">The College did not timely return Title IV funds (financial aid) after students supported by the program withdrew from school. During the audit period, the College disbursed approximately \$4.5 million in financial aid to 1,377 students.</p> <p data-bbox="535 724 1461 850">Auditors tested the return calculations for a sample of 30 out of 148 students that met the requirements and had Title IV calculations performed. Additionally, auditors tested 30 out of 149 students who had a "0" grade point average and no return to Title IV calculation performed.</p> <ul data-bbox="584 882 1461 1092" style="list-style-type: none"> <li data-bbox="584 882 1461 976">• In a sample of 30 students who had the calculations performed, auditors found seven students (23%) in which unearned funds were returned to the Title IV program late.</li> <li data-bbox="584 1008 1461 1092">• In a sample of 30 students who had no calculations performed, auditors found two students (7%) who should have had a calculation performed but did not.</li> </ul> <p data-bbox="535 1123 1461 1249">As a result, the College failed to return \$1,179 to the Title IV program and returned another \$3,825 between four and 44 days late. Those funds could have been allocated to other students or reduced the cost of the federal programs.</p> <p data-bbox="535 1281 1461 1407">The College did not have procedures to ensure that once return to Title IV calculations were performed, they were reviewed and funds returned timely. In addition, the College did not have procedures to identify all students for which return to Title IV calculations should have been performed.</p> <p data-bbox="535 1438 1461 1564">Federal regulations<sup>21</sup> state that if the total amount of assistance earned by the student is less than the amount that was disbursed to the student or on his or her behalf as of the institution's determination that the student withdrew, the difference must be returned to the Title IV program.</p> <p data-bbox="535 1596 1461 1743">Additionally, federal regulations<sup>22</sup> require that returns of Title IV funds be deposited or transferred into the Student Financial Aid account or that electronic fund transfers be initiated to the Department of Education or the appropriate lender as soon as possible, but no later than 45 days after the date the institution determined that the student withdrew.</p>

<sup>21</sup> 34 CFR 668.22(a)(1) through (a)(5)

<sup>22</sup> 34 CFR 668.173(B)

**84.007 FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANTS (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Mitchell Community College

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p><i>Federal Award Information:</i> Award Year July 1, 2015 – June 30, 2016. CFDA 84.063 Federal Pell Grant Program; CFDA 84.007 Federal Supplemental Educational Opportunity Grant.</p> <p><i>Recommendation:</i> College management should design and implement procedures to ensure that all required calculations for returns to Title IV are performed, and funds are returned on a timely basis in accordance with federal compliance requirements.</p> <p><i>Agency Response:</i> Mitchell Community College agrees with the finding and recommendation to implement procedures to ensure funds are returned on a timely basis in accordance with federal compliance requirements. Mitchell Community College is strengthening current procedures to ensure the timely return of unearned funds no later than 45 days from the determination of a student's withdrawal.</p> <p>Corrective action is being taken to modify current procedures to streamline the turnaround time from the point the Financial Aid Office provides the Accounts Receivable Office with the ROFD (Return of Funds Detail Report) and copy of the withdrawal paperwork for review, to the time the FATR (Batch FA Transmittal Register) and FATP (Batch FA Transmittal Update) processes are run.</p> <p>As noted in the audit, 'In a sample of 30 students who had calculations performed, auditors found seven students (23%) in which unearned funds were returned to the Title IV program late'. Of these seven, each were reviewed to determine the reason for the lateness. As result, we are establishing better tracking in our current procedures by modifying an existing report to include each student's withdrawal determination date and the date the FATR was run. In addition, we are closely monitoring the timing of the FATR and FATP being run in conjunction with month end.</p> <p>In addition, as noted in the audit, 'In a sample of 30 students who had no calculations performed, auditors found two students (7%) who should have had a calculation performed but did not.' In each incident, this was due to the instructor inaccurately reporting a 'F'(fail) grade. The instructor should have reported a 'WF' (withdrawal fail), which would have resulted in calculations being performed. Our grading policy includes a 'W', 'WF', and 'F' grade, purposely, for financial aid to promptly identify unofficial withdrawals. There is a clear distinction between a student who's assigned a 'WF' grade when they are failing on their last day of attendance versus a student who earns a 'F' grade by completing the course but failing to achieve the course objectives; therefore, the student would not be treated as a withdrawal for Title IV purposes. We have always and we will continue to ensure required calculations for returns to Title IV are performed on all official and unofficial</p>

**84.007 FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANTS (continued)**

**III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Mitchell Community College

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>withdrawals. To address the inaccurate reporting of an earned 'F' grade, training will be provided to Faculty and Staff on this issue.</p>
	<p>Recently, a meeting to discuss best compliance practices in regards to Return to Title IV was requested of the NC Community College System Office on behalf of the Colleges. The requested platform would consist of someone from the Department of Education, the State Auditor's Office, State Approving Agency/VA, College Faculty and Financial Aid Director's. The expectation is to provide consistency among the 58 Community Colleges.</p>
	<p>The corrective actions will be implemented by March 31, 2017, and will be performed by the Director of Financial Aid.</p>

**84.010 TITLE I GRANTS TO LOCAL EDUCATIONAL AGENCIES****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

N.C. Department of Public Instruction

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-009	Subrecipient Monitoring:  Material Weakness  Material Noncompliance	<p><u>Fiscal Monitoring Results Were Delivered Late</u></p> <p>The Department did not report the results of its fiscal monitoring<sup>23</sup> visits to subrecipients within 60 business days after leaving the audit site, preventing subrecipients from taking timely corrective action.</p> <p>The Department monitors subrecipients on a rotational basis. During fiscal year 2016, the Department monitored 38 subrecipients who spent \$182 million of the \$809 million in total federal funds that subrecipients spent.</p> <p>A review of supporting documentation determined that 21 out of 38 (55%) fiscal monitoring reports were communicated between 61 and 170 days after the end date of the monitoring visit.</p> <p>As a result, subrecipient corrective action was delayed, which allowed noncompliance with federal program regulations to continue. Examples of noncompliance noted in monitoring reports included:</p> <ul style="list-style-type: none"> <li>• Procedures not in place to ensure contracts and service agreements are on file to support all expenditures for contracted services.</li> <li>• Procedures not in place to ensure employee time and effort documentation is complete and accurate.</li> <li>• Procedures not properly designed to ensure federal funds are spent within three days or returned to the Department.</li> </ul> <p>The Division of School Business management was not reviewing the onsite monitoring log effectively to identify delays between the site visit completion dates and issuance of monitoring results. Additionally, a temporary delegation of duties resulted in the circumvention of the review control. Consequently, no follow-up actions were taken to discover why the reports were not being finalized for review and communicated to subrecipients within 60 days of completing the site visit.</p> <p>The Department's Division of School Business policies and procedures manual requires communication of fiscal monitoring results within 60 business days.</p> <p>Significant aspects of this finding were reported in the 2015 Statewide Single Audit as finding numbers 2015-026, 2015-028, 2015-032, 2015-049 and 2015-058.</p>

<sup>23</sup> Fiscal monitoring includes reviewing subrecipients' expenditures to ensure federal funds are used for allowable costs in accordance with approved budgets and program guidelines.

**84.010 TITLE I GRANTS TO LOCAL EDUCATIONAL AGENCIES (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

N.C. Department of Public Instruction

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
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*Federal Award Information:*

## CFDA 84.027: Special Education – Grants to States

Award Number: H027A140092A

Federal Funding Period: July 1, 2014 – September 30, 2015

Award Number: H027A150092A

Federal Funding Period: July 1, 2015 – September 30, 2016

## CFDA 84.173: Special Education – Preschool Grants

Award Number: H173A140096

Federal Funding Period: July 1, 2014 – September 30, 2015

Award Number: H173A140096

Federal Funding Period: July 1, 2015 – September 30, 2016

## CFDA 84.010: Title I – Grants to LEAs

Award Number: S010A140033A

Federal Funding Period: July 1 2014 – September 30, 2015

Award Number: S010A150033A

Federal Funding Period: July 1 2015 – September 30, 2016

## CFDA 84.367: Improving Teacher Quality State Grants

Award Number: S367A140032A

Federal Funding Period: July 1, 2014 – September 30, 2015

Award Number: S367A150032A

Federal Funding Period: July 1, 2015 – September 30, 2016

## CFDA 84.048: Career and Technical Education

Award Number: V048A150033-12A

Federal Funding Period: July 1, 2015 – September 30, 2016

*Recommendation:* Division management should effectively review the onsite monitoring log and ensure all fiscal monitoring results are finalized for

**84.010 TITLE I GRANTS TO LOCAL EDUCATIONAL AGENCIES (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

N.C. Department of Public Instruction

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	communication within 60 business days of completing the onsite visit. Division management's delegation of duties should be designed to prevent the circumvention of controls, even in temporary situations.
	<i>Agency Response:</i> The Department concurs with the Auditor's finding related to fiscal monitoring results being communicated late. The audit finding is the result of a former management level employee's intentional circumvention of existing internal controls related to the fiscal monitoring process. The employee in question had direct supervisory responsibility for oversight of the fiscal monitoring process and staff. Division management reviewed the fiscal monitoring tracking log on a regular basis as established by internal procedures; however, date-related information entered into the log was intentionally deceptive. As soon as management became aware of the potential circumvention of existing internal controls related to the fiscal monitoring process, an internal investigation was conducted and documented. The employee in question is no longer employed by the Department.
	Ongoing oversight activities by section and division management, as well as clarification of roles and responsibilities of fiscal monitoring staff, regular status update meetings and the hiring of a new Section Chief should prevent recurrence of the finding. The Assistant Director of School Business, in conjunction with the Director, will continue to monitor the fiscal monitoring process to improve the efficiency and effectiveness of existing controls.

**84.027 SPECIAL EDUCATION – BASIC GRANTS TO STATES**

**III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

N.C. Department of Public Instruction

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-010	Subrecipient <u>Monitoring:</u>  Material Weakness  Material Noncompliance	<u>Fiscal Monitoring Results Were Delivered Late</u>  The Department did not report the results of its fiscal monitoring visits to subrecipients within 60 business days after leaving the audit site, preventing subrecipients from taking timely corrective action. See finding 2016-009 for a description.

**84.033 FEDERAL WORK-STUDY PROGRAM****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Central Carolina Community College

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-011	Special Tests and Provisions:  Material Weakness  Material Noncompliance	<p data-bbox="535 535 1104 567"><u>Errors in Calculation for Return of Title IV Funds</u></p> <p data-bbox="535 609 1461 756">The College incorrectly calculated how much money to return to the Title IV program (financial aid) after students supported by the program withdrew from school. The calculations and return of funds were also untimely. During the audit period, the College disbursed approximately \$8.3 million in financial aid to 2,371 students.</p> <p data-bbox="535 787 1461 850">Auditors tested the determination of aid earned for a sample of 60 students that had a "0" grade point average.</p> <ul data-bbox="584 882 1461 1134" style="list-style-type: none"> <li>• For 14 (23%) students, the determination was not performed until 155 days after the end of the fall 2015 term.</li> <li>• For 5 (8%) students, no determination was performed.</li> <li>• For 2 (3%) students, the determination was performed timely, but the College returned funds to the Title IV program late and disbursed funds to the students late.</li> </ul> <p data-bbox="535 1165 1461 1291">As a result, the College failed to return \$7,045 to the Title IV program and returned another \$304 to the program 28 days late. Those funds could have been allocated to other students or reduced the cost of the federal programs. The College also disbursed \$1,356 to students late.</p> <p data-bbox="535 1323 1461 1533">According to the College, the return calculation was the primary responsibility of the Assistant Financial Aid Director with the Director of Financial Aid being her back-up. When the previous Director left, it became the sole responsibility of the Assistant Director who failed to complete the calculation timely. Monitoring procedures only consisted of email correspondence in which the Assistant Director indicated to management that the calculations were being completed.</p> <p data-bbox="535 1564 1461 1690">Federal regulations<sup>24</sup> state that if the total amount of assistance earned by the student is less than the amount that was disbursed to the student or on his or her behalf as of the institution's determination that the student withdrew, the difference must be returned to the Title IV program.</p> <p data-bbox="535 1722 1461 1814">Additionally, federal regulations<sup>25</sup> require that returns of Title IV funds be deposited or transferred into the Student Financial Aid account or that electronic fund transfers be initiated to the Department of Education or the</p>

<sup>24</sup> 34 CFR 668.22(a)(1) through (a)(5)

<sup>25</sup> 34 CFR 668.173(B)

**84.033 FEDERAL WORK-STUDY PROGRAM** (continued)**III. Federal Award Findings and Questioned Costs**

U.S. Department of Education  
 Central Carolina Community College  
 For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>appropriate lender as soon as possible, but no later than 45 days after the date the institution determined that the student withdrew.</p> <p><i>Federal Award Information:</i> Award Year July 1, 2015 – June 30, 2016. CFDA 84.033 Federal Work-Study Program; CFDA 84.063 Federal Pell Grant.</p> <p><i>Recommendation:</i> College management should perform supervisory review of supporting documentation to ensure that the determination and calculation of returns to the Title IV program are calculated correctly and timely.</p> <p><i>Agency Response:</i> Central Carolina Community College agrees with the audit finding that Return to Title IV funds was incorrectly calculated and untimely. As stated on the audit report, the former Assistant Financial Aid Director held the primary responsibility for completing the Return to Title IV funds process and failed to complete the calculations in a timely manner. After the Director of Financial Aid left the College, upper management began inquiring on the completeness of these return calculations and was told that return calculations were being processed. Once a new Director of Financial Aid was hired, the College became aware that Return of Title IV calculations were not being completed in a timely manner, and immediate action was taken to process any outstanding return calculations for the 2015-2016 year. Unearned funds were returned to the Department of Education and the following procedures were put in place:</p> <ol style="list-style-type: none"> <li>1. To ensure that return calculations are performed timely and are properly monitored, the Return to Title IV funds process was reassigned as the primary responsibility of the Director of Financial Aid. In addition, the new Assistant Director of Financial Aid was cross-trained in performing R2T4s to serve as the back-up, in the absence of the Director.</li> <li>2. An internal calendar for each term was created to track the processing dates of Return to Title IV funds calculations and the corresponding regulatory deadlines.</li> <li>3. The report that is used to identify financial aid recipients with registration statuses of drops, withdrawals, and unearned Fs is now generated using the College's Informer system by the Director of Financial Aid on a bi-weekly basis. This information is then used to perform Return to Title IV funds calculations using the Colleague system.</li> <li>4. The College's attendance policy and procedures will be updated to better align with federal regulations for Return to Title IV funds.</li> </ol>

**84.033 FEDERAL WORK-STUDY PROGRAM**

**III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Elizabeth City State University

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-012	<p><u>Eligibility:</u></p> <p>Material Weakness</p> <p>Material Noncompliance</p> <p>Questioned Cost Finding</p> <p>\$3,825</p>	<p><u>University Disbursed Funds to Ineligible Students</u></p> <p>The University disbursed federal assistance to students who did not meet all eligibility requirements. During the audit period, the University disbursed approximately \$15.4 million in federal assistance funds to 1,530 students. As a result, the University disbursed \$125,656 in federal financial aid to ineligible students. [CFDA 84.007 - \$3,000; 84.033 - \$3,825; 84.063 - \$48,338; 84.268 - \$70,493]. See finding 2016-006 for a description.</p>

**84.048 CAREER AND TECHNICAL EDUCATION – BASIC GRANTS TO STATES****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

N.C. Department of Public Instruction

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-013	Subrecipient <u>Monitoring:</u>  Material Weakness  Material Noncompliance	<u>Fiscal Monitoring Results Were Delivered Late</u>  The Department did not report the results of its fiscal monitoring visits to subrecipients within 60 business days after leaving the audit site, preventing subrecipients from taking timely corrective action. See finding 2016-009 for a description.

**84.063 FEDERAL PELL GRANT PROGRAM****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Asheville-Buncombe Technical Community College

For the Fiscal Year Ended June 30, 2016

2016-014	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-014	<u>Eligibility:</u>  Questioned Cost Finding  \$1,257	<p data-bbox="534 541 951 569"><u>Student Financial Aid Over-Awards</u></p> <p data-bbox="534 606 1471 726">The College over-awarded federal financial assistance to some students. During the audit period, the College disbursed approximately \$19.4 million in federal financial assistance funding to 3,529 students subject to this reporting requirement.</p> <p data-bbox="534 762 1471 879">Auditors tested award calculations in a sample of 60 students who received federal funds and found two students (3%) who were over-awarded. The students received more Pell funds than allowed based on their demonstrated need.</p> <p data-bbox="534 915 1471 1003">As a result, the students received at least \$1,257<sup>26</sup> in financial assistance for which they were not eligible. Those funds could have been allocated to other students or reduced the cost of the federal program.</p> <p data-bbox="534 1039 1471 1186">The College's financial aid office did not have monitoring procedures to identify errors in the award amount when a manual calculation of a student's award was performed or when a change in enrollment status occurred. The College relied solely on its information system to prevent award errors that resulted from changes in student enrollment status.</p> <p data-bbox="534 1222 1471 1339">Federal regulations<sup>27</sup> require that the College determine Pell awards for students based on the student's enrollment status, cost of attendance, expected family contribution, and the maximum allowed amount established by Congress.</p> <p data-bbox="534 1375 1471 1434"><i>Federal Award Information:</i> Award Year July 1, 2015 – June 30, 2016. CFDA 84.063 Federal Pell Grant Program.</p> <p data-bbox="534 1470 1471 1587"><i>Recommendation:</i> College management should design monitoring procedures to ensure that manual calculations and changes in enrollment status do not result in award errors. Additionally, College management should test information system controls to ensure they are functioning as designed.</p> <p data-bbox="534 1623 1471 1680"><i>Agency Response:</i> Asheville-Buncombe Technical Community College (A-B Tech) agrees with the finding.</p>

<sup>26</sup> The Code of Federal Regulations, 2CFR 200.516(a)(4) requires auditors to report known questioned costs when likely questioned costs are greater than \$25,000. Even though sample results identified only \$1,257 in questioned costs, if tests were extended to the entire population, questioned costs would likely exceed \$25,000.

<sup>27</sup> 20 USC 1070a(b)

**84.063 FEDERAL PELL GRANT PROGRAM (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Asheville-Buncombe Technical Community College

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
2016-015	<p data-bbox="310 1083 508 1136">Special Tests and Provisions:</p> <p data-bbox="342 1157 456 1209">Material Weakness</p> <p data-bbox="342 1230 508 1283">Material Noncompliance</p> <p data-bbox="537 1083 948 1115"><u>Enrollment Status Reporting Errors</u></p> <p data-bbox="537 1146 1474 1293">The College did not report timely to the National Student Loan Data System (NSLDS) enrollment status changes for students who received federal financial assistance. During the audit period, the College disbursed approximately \$19.4 million in federal financial assistance funding to 3,529 students subject to this reporting requirement.</p> <p data-bbox="537 1335 1474 1451">Auditors tested the enrollment status reporting for a sample of 111 students who received federal financial assistance and whose enrollment status changed. Sixteen (14%) students were not reported in accordance with federal compliance requirements. Specifically:</p> <ul data-bbox="581 1482 1474 1608" style="list-style-type: none"> <li data-bbox="581 1482 1474 1545">• 13 (12%) students were reported between 78 and 150 days after the status change occurred.</li> <li data-bbox="581 1577 1474 1608">• 3 (2%) students were not reported at all or were reported and rejected.</li> </ul> <p data-bbox="537 1650 1474 1734">Failure to report student enrollment status changes to NSLDS could delay or fail to initiate student loan repayments and could impact loan and PELL eligibility.</p> <p data-bbox="537 1766 1474 1822">The College used a third-party servicer, National Student Clearinghouse (Clearinghouse), to report student status information to NSLDS. Enrollment</p>

**84.063 FEDERAL PELL GRANT PROGRAM (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Asheville-Buncombe Technical Community College

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>records were sent to the Clearinghouse for submission to NSLDS without additional follow-up by the College to ensure timely and accurate reporting.</p> <p>Federal regulations<sup>28</sup> require the College to notify NSLDS within 75 days<sup>29</sup> of a change in student status for those students that received Pell Grant and Federal Direct Loan funds. In addition, the NSLDS Enrollment Reporting Guide states the College is ultimately responsible for timely and accurate reporting.</p> <p><i>Federal Award Information:</i> Award Year July 1, 2015 – June 30, 2016. CFDA 84.063 Federal Pell Grant Program and CFDA 84.268 Federal Direct Student Loans.</p> <p><i>Recommendation:</i> College management should implement monitoring procedures to ensure that student enrollment data reported to NSLDS agrees with College records.</p> <p><i>Agency Response:</i> Asheville-Buncombe Technical Community College (A-B Tech) agrees with the finding.</p> <p>The following three corrective actions have been taken by A-B Tech to ensure that student enrollment data reported to NSLDS agrees with College records:</p> <ol style="list-style-type: none"> <li>1. A locally produced report identifies students whose enrollment status changes to less than half time. The report is processed on a monthly basis as part of the National Student Clearinghouse (NSC) upload of enrollment statuses. The report verifies that enrollment status changes are transmitted from the College to the NSC and then, in turn, to the NSLDS.</li> <li>2. The NSC's Monthly Reject Report is being processed within NSC-specified time periods.</li> <li>3. The NSLDS, effective January 2017, is producing a new SSCR reject report which will also be processed within NSLDS specified time periods.</li> </ol>

<sup>28</sup> 34 CFR section 690.83 and 34 CFR section 685.309

<sup>29</sup> The College is required to notify NSLDS when it discovers that a student who received a Pell Grant or Direct Loan funds is no longer enrolled at least half-time. Unless the College expects to complete its enrollment roster with NSLDS within 60 days of the student's change in enrollment, the College must notify the lender or guarantee agency, via NSLDS within 30 days. The College has 15 days to turn around the roster file. Therefore, we have determined timeliness to be established as within 75 days.

**84.063 FEDERAL PELL GRANT PROGRAM (continued)**

**III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Asheville-Buncombe Technical Community College

For the Fiscal Year Ended June 30, 2016

Type of Finding/  
Questioned  
Costs

Findings and Recommendations

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This corrective action has been fully implemented as of January 9, 2017, and these three processes will be performed on a monthly basis going forward. The Registrar and the Records Compliance Specialist are responsible for implementing the corrective action and processing monthly verifications.

**84.063 FEDERAL PELL GRANT PROGRAM****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Central Carolina Community College

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-016	Special Tests and Provisions:  Material Weakness  Material Noncompliance	<p><u>Enrollment Status Reporting Errors</u></p> <p>The College did not timely report enrollment status changes to the National Student Loan Data System (NSLDS) for students who received federal financial assistance. During the audit period, the College disbursed approximately \$8.2 million in federal financial assistance funding to 2,368 students subject to this reporting requirement.</p> <p>Auditors tested the enrollment status reporting for a sample of 60 students who received federal financial assistance and whose enrollment status changed. Ten (17%) students were not reported in accordance with federal compliance requirements. All 10 of the errors were students who graduated.</p> <p>Failure to report student enrollment status changes to NSLDS could impact student Pell eligibility.</p> <p>The 10 errors occurred for two reasons.</p> <p>First, the College did not review its reports to the National Student Clearinghouse (Clearinghouse) to ensure that the reports were complete and accurate. The College uses the Clearinghouse, a third-party service provider, to report student enrollment status changes to the NSDLS. However, the College failed to report eight of the 10 status changes to the Clearinghouse.</p> <p>Second, the College did not monitor to ensure that the information the Clearinghouse reported to NSLDS agreed with the College's records. Although the College reported two of the 10 changes to the Clearinghouse, the Clearinghouse failed to report the changes to the NSLDS.</p> <p>Federal regulations<sup>30</sup> require the College to notify NSLDS within 75<sup>31</sup> days of a change in student status for those students that received Pell Grant funds. In addition, the NSLDS Enrollment Reporting Guide states that the College is ultimately responsible for timely and accurate reporting.</p> <p><i>Federal Award Information:</i> Award Year July 1, 2015 – June 30, 2016. CFDA 84.063 Federal Pell Grant Program.</p>

<sup>30</sup> 34 CFR 690.83 and 34 CFR 685.309

<sup>31</sup> The College is required to notify the NSLDS when it discovers that a student who received loans or Pell grants is no longer enrolled at least half-time. Unless the College expects to complete its enrollment roster with the NSLDS within 60 days of the student's change in enrollment, the College must notify the lender or guarantee agency, via NSLDS within 30 days. The College has 15 days to turn around the roster file. Therefore, auditors defined timeliness in this instance to be within 75 days.

**84.063 FEDERAL PELL GRANT PROGRAM (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Central Carolina Community College

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p><i>Recommendation:</i> College management should review reports submitted to the Clearinghouse to ensure they are complete and accurate. College management should also implement monitoring procedures to ensure that student enrollment data reported to NSLDS by the Clearinghouse agrees with College records.</p> <p><i>Agency Response:</i> College agrees with the finding. Central Carolina Community College follows recommended best practices provided by our guiding body, the NC Community College System Office, in reporting enrollment status and subsequent changes to the National Student Clearinghouse (NSC). NSC offers two report options for enrollment status reporting - the standard report for monthly compulsory semester/term reports and the non-standard report used for graduate reporting.</p> <p>The following corrective actions have been or will be taken by the College to ensure that student enrollment data reported to NSLDS agrees with College records:</p> <ol style="list-style-type: none"> <li>1. The College has worked to convert the flat file generated by the graduate report into a readable file for line item comparison with currently used local Informer report previously only checking counts. Completed February 17, 2017.</li> <li>2. The College is working with the NSC to learn how to use both the Reject Detail information provided by the NSC's Enrollment Status reporting and to determine why reported statuses to NSC are not being reported to NSLDS when no error is identified. Anticipated Completion Date of March 1, 2017.</li> <li>3. The College is working with the NC Community College System Office to determine why some students are not reported when the College is following the NSC and NCCCS recommended best practices for submission. Anticipated Completion Date of April 1, 2017.</li> <li>4. The NSLDS, effective January 2017, is producing a new SSCR reject report which will also be processed for NSLDS. For reported students with SSN error warnings, the college will send email and hard copy letters asking for SSN verification and will place registration holds on their accounts until verification is received as their enrollment is not being reported to lenders, servicers, or NSLDS. Anticipated Completion Date of February 28, 2017.</li> <li>5. College personnel are attending an NSC Workshop on March 15, 2017 for NSC training.</li> </ol>

**84.063 FEDERAL PELL GRANT PROGRAM (continued)**

**III. Federal Award Findings and Questioned Costs**

U.S. Department of Education  
 Central Carolina Community College  
 For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
2016-017	<p>These processes will be performed on a monthly basis going forward. The Enrollment Services Coordinator within the Records Office is responsible for processing the monthly enrollment status report and the degree verification each term.</p>
<p>Special Tests and Provisions:                       Material Weakness                       Material Noncompliance</p>	<p><u>Errors in Calculation for Return of Title IV Funds</u></p> <p>The College incorrectly calculated how much money to return to the Title IV program (financial aid) after students supported by the program withdrew from school. The calculations and return of funds were also untimely. See finding 2016-011 for a description.</p>

**84.063 FEDERAL PELL GRANT PROGRAM****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Elizabeth City State University

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs		Findings and Recommendations
2016-018	<u>Eligibility:</u> Material Weakness Material Noncompliance Questioned Cost Finding \$48,338	<u>University Disbursed Funds to Ineligible Students</u>  The University disbursed federal assistance to students who did not meet all eligibility requirements. During the audit period, the University disbursed approximately \$15.4 million in federal assistance funds to 1,530 students. As a result, the University disbursed \$125,656 in federal financial aid to ineligible students. [CFDA 84.007 - \$3,000; 84.033 - \$3,825; 84.063 - \$48,338; 84.268 - \$70,493]. See finding 2016-006 for a description.
2016-019	<u>Special Tests and Provisions:</u> Material Weakness Material Noncompliance	<u>Errors in Calculation for Return of Title IV Funds</u>  The University incorrectly calculated how much money to return to the Title IV program (financial aid) after students supported by the program withdrew from school. Funds were also returned late. See finding 2016-007 for a description.

**84.063 FEDERAL PELL GRANT PROGRAM****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Forsyth Technical Community College

For the Fiscal Year Ended June 30, 2016

2016-020	Type of Finding/ Questioned Costs	Findings and Recommendations
	Special Tests and Provisions:  Material Weakness  Material Noncompliance	<p data-bbox="532 541 948 569"><u>Enrollment Status Reporting Errors</u></p> <p data-bbox="532 611 1474 768">The College did not timely report enrollment status changes to the National Student Loan Data System (NSLDS) for students who received federal financial assistance. During the audit period, the College disbursed approximately \$23.3 million in federal student financial assistance funding to 4,781 students subject to this reporting requirement.</p> <p data-bbox="532 800 1474 926">Auditors tested the enrollment status reporting for a sample of 60 students who received federal financial assistance and whose enrollment status changed. Forty-two (70%) students were not reported in accordance with federal compliance requirements. Specifically,</p> <ul data-bbox="581 957 1474 1083" style="list-style-type: none"> <li data-bbox="581 957 1133 989">• 37 (62%) students were not reported at all.</li> <li data-bbox="581 1020 1474 1083">• 5 (8%) students were reported 103 to 158 days after the change occurred.</li> </ul> <p data-bbox="532 1115 1474 1209">Failure to report student enrollment status changes to NSLDS could delay or fail to initiate student loan repayments and could impact loan and PELL eligibility.</p> <p data-bbox="532 1241 1474 1493">According to the College, the errors occurred because monthly reports submitted to the National Student Clearinghouse (Clearinghouse) were not updated for enrollment status changes. The College uses Clearinghouse, a third-party service provider, to report student status information to the NSLDS. Because the College's reports were not updated before submission to Clearinghouse, only enrollment status as of the beginning of the semester and for students who graduated at the end of each semester were subsequently reported to NSLDS.</p> <p data-bbox="532 1524 1474 1682">Federal regulations<sup>32</sup> require the College to notify the NSLDS within 75<sup>33</sup> days of a change in student status for those students that received Pell Grant or Federal Direct Loan funds. In addition, the NSLDS Enrollment Reporting Guide states that the College is ultimately responsible for timely and accurate reporting.</p>

<sup>32</sup> 34CFR 690.83 and 34CFR 685.309

<sup>33</sup> The College is required to notify the NSLDS when it discovers that a student who received loans or Pell grants is no longer enrolled at least half-time. Unless the College expects to complete its enrollment roster with the NSLDS within 60 days of the student's change in enrollment, the College must notify the lender or guarantee agency, via NSLDS within 30 days. The College has 15 days to turn around the roster file. Therefore, we have determined timeliness to be established as within 75 days.

**84.063 FEDERAL PELL GRANT PROGRAM (continued)**

**III. Federal Award Findings and Questioned Costs**

U.S. Department of Education  
 Forsyth Technical Community College  
 For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p><i>Federal Award Information:</i> Award Year July 1, 2015 – June 30, 2016. CFDA 84.063 Federal Pell Grant Program; CFDA 84.268 Federal Direct Student Loans.</p> <p><i>Recommendation:</i> College management should implement procedures to ensure the monthly reports are updated for enrollment status changes prior to submission to Clearinghouse.</p> <p><i>Agency Response:</i> The college agrees with the recommendation.</p> <p>When running the monthly enrollment report, corrections have been made by the Records Department to ensure the correct dates are now used. As an additional verifying check, the Financial Aid Department has started comparing this information provided by the Records Department, to a report indicating withdrawals for students, to confirm the information sent to the Clearinghouse contains the changed enrollments. The Director of Financial Aid oversees periodic checks in NSLDS to verify that students are reported correctly.</p>

**84.063 FEDERAL PELL GRANT PROGRAM****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Mitchell Community College

For the Fiscal Year Ended June 30, 2016

2016-021	Type of Finding/ Questioned Costs	Findings and Recommendations
	Special Tests and Provisions:  Material Weakness  Material Noncompliance	<p data-bbox="534 541 948 573"><u>Enrollment Status Reporting Errors</u></p> <p data-bbox="534 611 1474 762">The College did not timely report enrollment status changes to the National Student Loan Data System (NSLDS) for students who received federal financial assistance. During the audit period, the College disbursed approximately \$4.4 million in federal financial assistance funding to 1,377 students subject to this reporting requirement.</p> <p data-bbox="534 795 1474 915">Auditors tested the enrollment status reporting for a sample of 60 students who received federal financial assistance and whose enrollment status changed. Nine students (15%) were not reported to the NSLDS in accordance with federal compliance requirements.</p> <p data-bbox="534 949 1474 1008">Failure to report student enrollment status changes to the NSLDS could impact the student's PELL Grant eligibility.</p> <p data-bbox="534 1041 1021 1068">The nine errors occurred for two reasons.</p> <p data-bbox="534 1102 1474 1253">First, the College did not review its reports to the National Student Clearinghouse (Clearinghouse) to ensure that the reports were complete and accurate. The College uses the Clearinghouse, a third-party service provider, to report student enrollment status changes to the NSDLDS. However, the College failed to report six of the nine status changes to the Clearinghouse.</p> <p data-bbox="534 1287 1474 1407">Second, the College did not monitor to ensure that the information the Clearinghouse reported to NSLDS agreed with the College's records. Although the College reported three of the nine changes to the Clearinghouse, the Clearinghouse failed to report the changes to the NSLDS.</p> <p data-bbox="534 1440 1474 1591">Federal regulations<sup>34</sup> require the College to notify the NSLDS within 75 days<sup>35</sup> of a change in student status for those students that received Pell Grant and Federal Direct Loan funds. In addition, the NSLDS Enrollment Reporting Guide states that the College is ultimately responsible for timely and accurate reporting.</p> <p data-bbox="534 1625 1474 1684"><i>Federal Award Information:</i> Award Year July 1, 2015 – June 30, 2016. CFDA 84.063 Federal Pell Grant Program.</p>

<sup>34</sup> 34CFR 690.83 and 34CFR 685.309

<sup>35</sup> The College is required to notify the NSLDS when it discovers that a student who received a Pell Grant or Direct Loan funds is no longer enrolled at least half-time. Unless the College expects to complete its enrollment roster with the NSLDS within 60 days of the student's change in enrollment, the College must notify the lender or guarantee agency, via NSLDS within 30 days. The College has 15 days to turn around the roster file. Therefore, auditors defined timeliness in this instance to be within 75 days.

**84.063 FEDERAL PELL GRANT PROGRAM (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Mitchell Community College

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p><i>Recommendation:</i> College management should review reports submitted to the Clearinghouse to ensure they are complete and accurate. College management should also implement monitoring procedures to ensure that student enrollment data reported to NSLDS by the Clearinghouse agrees with College records.</p> <p><i>Agency Response:</i> Mitchell Community College agrees with the finding and recommendations. Mitchell Community College is implementing corrective actions to ensure that the information being reported to the National Student Clearinghouse (NSC) is both complete and accurate and that the information the National Student Clearinghouse is reporting to NSLDS agrees with what the college has reported.</p> <p>The following corrective actions are being put into place to address the recommendations:</p> <ol style="list-style-type: none"> <li>1. The College will convert the flat file generated by the College's database system and compare it with a local Informer query to check counts. This report will be done on a monthly basis.</li> <li>2. The College is working with other Colleges and the NSC to learn how to use both the Reject Detail information provided by the NSC's Enrollment Status reporting and to determine why reported statuses to NSC are not being reported to NSLDS when no error is identified. The Reject Detail information will be reviewed on a monthly basis.</li> <li>3. The College is working with other Colleges and the NC Community College System Office (NCCCS) to determine why some students are not reported when the College is following the NSC and NCCCS recommended best practices for submission.</li> <li>4. NSLDS, effective January 2017, produced a new SSCR reject report for schools to review and process. For reported students with SSN error warnings, the College has begun placing registration holds on student accounts until verification is received, as their enrollment is not being reported to lenders, servicers, or NSLDS. The SSCR reject report will be reviewed on a monthly basis.</li> <li>5. The Director of Admissions/Registrar will be attending a NSC workshop on March 15, 2017 for NSC training.</li> </ol> <p>The corrective actions will be implemented by March 15, 2017, and will be performed by the Director of Admissions/Registrar.</p>

**84.063 FEDERAL PELL GRANT PROGRAM (continued)**

**III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Mitchell Community College

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs		Findings and Recommendations
2016-022	Special Tests and Provisions: Material Weakness Material Noncompliance	<u>Untimely Return of Title IV Funds</u>  The College did not timely return Title IV funds (financial aid) after students supported by the program withdrew from school. See finding 2016-008 for a description.

**84.063 FEDERAL PELL GRANT PROGRAM****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

North Carolina Agricultural and Technical State University

For the Fiscal Year Ended June 30, 2016

2016-023	Type of Finding/ Questioned Costs	Findings and Recommendations
	Special Tests and Provisions:  Material Weakness  Material Noncompliance	<p data-bbox="534 541 948 573"><u>Enrollment Status Reporting Errors</u></p> <p data-bbox="534 604 1474 758">The University did not timely report enrollment status changes to the National Student Loan Data System (NSLDS) for students who received federal financial assistance. During the audit period, the University disbursed approximately \$108 million in federal financial assistance funding to 9,165 students subject to this reporting requirement.</p> <p data-bbox="534 789 1474 909">Auditors tested the enrollment status reporting for a sample of 60 students who received federal financial assistance and whose enrollment status changed. Fifty (83%) students were not reported in accordance with federal compliance requirements. Specifically:</p> <ul data-bbox="581 947 1474 1066" style="list-style-type: none"> <li data-bbox="581 947 1130 978">• 47 (78%) students were not reported at all.</li> <li data-bbox="581 1010 1474 1066">• 3 (5%) students were reported between 83 and 104 days after the change occurred.</li> </ul> <p data-bbox="534 1104 1474 1192">Failure to report student enrollment status changes to the NSLDS could delay or fail to initiate student loan repayments and could impact loan and Pell Grant eligibility.</p> <p data-bbox="534 1230 1474 1377">According to the University, it relied on the National Student Clearinghouse (Clearinghouse), a third-party service provider, to ensure accurate and timely reporting of enrollment status changes. The University did not monitor to ensure that the information reported to NSLDS by the service provider agreed with the University's records.</p> <p data-bbox="534 1415 1474 1562">Federal regulations<sup>36</sup> require the University to notify the NSLDS within 75 days<sup>37</sup> of a change in student status for those students who received Pell Grant or Federal Direct Loan funds. In addition, the NSLDS Enrollment Reporting Guide states that the University is ultimately responsible for timely and accurate reporting.</p> <p data-bbox="534 1600 1474 1680"><i>Federal Award Information:</i> Award Year July 1, 2015 – June 30, 2016. CFDA 84.063 Federal Pell Grant Program; CFDA 84.268 Federal Direct Student Loans.</p>

<sup>36</sup> 34CFR 690.83 and 34CFR 685.309

<sup>37</sup> The University is required to notify the NSLDS when it discovers that a student who received loans or Pell grants is no longer enrolled at least half-time. Unless the University expects to complete its enrollment roster with the NSLDS within 60 days of the student's change in enrollment, the University must notify the lender or guarantee agency, via NSLDS within 30 days. The University has 15 days to turn around the roster file. Therefore, auditors defined timeliness in this instance to be within 75 days.

**84.063 FEDERAL PELL GRANT PROGRAM (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

North Carolina Agricultural and Technical State University

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p><i>Recommendation:</i> University management should monitor submissions of student enrollment status changes submitted by the Clearinghouse to ensure they are reported timely to the NSLDS.</p>
	<p><i>Agency Response:</i> The University agrees with the auditor's recommendation to closely monitor enrollment submissions by the National Student Clearinghouse (NSC) to the National Student Loan Data System (NSLDS) to ensure accuracy and timeliness. The University submitted student enrollment status changes in a timely manner to the NSC, the third party provider sourced with updating NSLDS. The University contacted the NSC to gain a better understanding of the reporting issues to NSLDS and to inform the best corrective actions going forward. As a result, the University updated its enrollment reporting profile on February 9, 2017. Additionally, enhanced institutional controls in the Office of Records and Registration/Registrar and Office of Financial Aid have been developed and implemented to ensure compliance with federal regulations 34CFR 690.83 and 34CFR 685.309.</p>

**84.063 FEDERAL PELL GRANT PROGRAM****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

North Carolina State University

For the Fiscal Year Ended June 30, 2016

2016-024	Type of Finding/ Questioned Costs	Findings and Recommendations
	Special Tests and Provisions:  Material Weakness	<p data-bbox="534 541 948 573"><u>Enrollment Status Reporting Errors</u></p> <p data-bbox="534 604 1474 758">The University did not timely report enrollment status changes to the National Student Loan Data System (NSLDS) for students who received federal financial assistance. During the audit period, the University disbursed approximately \$133.6 million in federal financial assistance funding to 13,842 students subject to this reporting requirement.</p> <p data-bbox="534 789 1474 879">Auditors tested the enrollment status reporting for a sample of 60 students who received federal financial assistance and whose enrollment status changed. The status for three (5%) of the 60 students were not reported to the NSLDS.</p> <p data-bbox="534 911 1474 1001">Because all three errors involved students who graduated from the University during the first 2016 summer term, auditors performed additional analysis and inquiry.</p> <p data-bbox="534 1033 1474 1094">Auditors determined that none of the 89 students who graduated during the first 2016 summer term were reported to the NSLDS.</p> <p data-bbox="534 1125 1474 1215">Failure to report student enrollment status changes to the NSLDS could delay or fail to initiate student loan repayments and could impact loan and PELL eligibility.</p> <p data-bbox="534 1247 1474 1434">According to the University, it relied on the National Student Clearinghouse (Clearinghouse), a third-party service provider, to ensure accurate and timely reporting of enrollment status changes. The University did not monitor to ensure that the information reported to NSLDS by the service provider agreed with the University's records. Also, the University did not ensure that students who graduated after the first summer term were timely reported to the NSLDS.</p> <p data-bbox="534 1465 1474 1617">Federal regulations<sup>38</sup> require the University to notify the NSLDS within 75<sup>39</sup> days of a change in student status for those students who received Pell Grant or Federal Direct Loan funds. In addition, the NSLDS Enrollment Reporting Guide states that the University is ultimately responsible for timely and accurate reporting.</p>

<sup>38</sup> 34 CFR 690.83 and 34 CFR 685.309

<sup>39</sup> The University is required to notify the NSLDS when it discovers that a student who received loans or Pell grants is no longer enrolled at least half-time. Unless the University expects to complete its enrollment roster with the NSLDS within 60 days of the student's change in enrollment, the University must notify the lender or guarantee agency, via NSLDS within 30 days. The University has 15 days to turn around the roster file. Therefore, auditors defined timeliness in this instance to be within 75 days.

**84.063 FEDERAL PELL GRANT PROGRAM (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

North Carolina State University

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p><i>Federal Award Information:</i> Award Year July 1, 2015 – June 30, 2016. CFDA 84.063 Federal Pell Grant Program; CFDA 84.268 Federal Direct Student Loans.</p> <p><i>Recommendation:</i> University management should work with the Clearinghouse to ensure that students who graduate at the midpoint of the summer term are reported timely and accurately to the NSLDS. Additionally, University management should implement monitoring procedures to ensure that student enrollment data reported to NSLDS agree with University records.</p> <p><i>Agency Response:</i> The University immediately took corrective action by manually reporting the graduation status of the affected students to the National Student Loan Data System (NSLDS) on 9/23/2016. A correction to the technical program that provides data to the University's third party servicer, the National Student Clearinghouse, was made on 11/1/2016 to ensure graduation status is correctly reported in future summer terms. Additionally, a process has been established to review a sample of students following the midpoint of the summer term to confirm graduation statuses have been accurately reported to NSLDS.</p>

**84.126 REHABILITATION SERVICES – VOCATIONAL REHABILITATION GRANTS TO STATES****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-025	<p data-bbox="308 535 503 598"><u>Activities Allowed or Unallowed:</u></p> <p data-bbox="341 619 470 682">Significant Deficiency</p> <p data-bbox="308 703 503 766"><u>Allowable Costs/ Cost Principles:</u></p> <p data-bbox="341 787 470 850">Significant Deficiency</p> <p data-bbox="341 871 470 934">Questioned Cost Finding</p> <p data-bbox="341 955 422 976">\$9,513</p>	<p data-bbox="535 535 1023 567"><u>Errors in Medical Claim Payment Process</u></p> <p data-bbox="535 598 1477 724">The Department made an estimated net overpayment of \$219,000 to providers. During state fiscal year 2016, the Department processed more than 33,000 claims for vocational rehabilitation medical services totaling over \$9 million.</p> <p data-bbox="535 756 1477 882">Auditors reviewed a statistical sample of 132 claims totaling \$598,274. The review showed that 8 of 132 (6%) claims were calculated incorrectly and/or paid at the wrong rate, resulting in net overpayments of \$12,089 and federal questioned costs of \$9,513.</p> <p data-bbox="535 913 665 945">Specifically,</p> <ul data-bbox="584 976 1185 1071" style="list-style-type: none"> <li data-bbox="584 976 1185 1008">• 6 (4.5%) claims totaling \$17,429 were overpaid</li> <li data-bbox="584 1039 1185 1071">• 2 (1.5%) claims totaling \$5,340 were underpaid</li> </ul> <p data-bbox="535 1102 1477 1197">When the net overpayment of \$12,089 (federal share \$9,513) found in the sample is projected to the entire population, the likely total errors are a net overpayment of \$219,000 (federal share of \$172,000)<sup>40</sup>.</p> <p data-bbox="535 1228 1477 1323">Department personnel stated that these errors occurred due to staff errors such as using the wrong rates and codes. Also, there was no supervisory review of the claims calculation and pricing.</p> <p data-bbox="535 1354 1477 1438">As a result, program costs were unnecessarily increased and resources that could have been used to provide rehabilitation services to other eligible clients were unavailable.</p> <p data-bbox="535 1470 1477 1627">Federal regulations<sup>41</sup> require the Department to “establish and maintain written policies to govern the rates of payment for all purchased vocational rehabilitation services.” Also, the Department’s vocational rehabilitation policy manual prescribes that Medicaid or Medicare rates and methodology will be used to process medical claims.</p> <p data-bbox="535 1659 1477 1715">For nine of the past 10 years, the Department made payments to providers that did not comply with the rates and claims processing methodology in its</p>

<sup>40</sup> 2 CFR 200.516 requires auditors to report known questioned costs when likely questioned costs are greater than \$25,000. When the net overpayment of \$12,089 (federal share \$9,513) found in the sample is projected to the entire population, the likely total errors are \$219,000 (federal share of \$172,000), +/- 4%. The statistical sampling method used was classical variable sampling. Auditors evaluated their results at the 90% confidence interval.

<sup>41</sup> 34 CFR 361.50

**84.126 REHABILITATION SERVICES – VOCATIONAL REHABILITATION GRANTS TO STATES**  
(continued)

**III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>policy manual. This was most recently reported in the 2015 Statewide Single Audit as finding number 2015-043.</p> <p><i>Federal Award Information:</i> Federal Awarding Agency: U.S. Department of Education; CFDA Number (title): 84.126 (Rehabilitation Services – Vocational Rehabilitation Grants to States: Federal Award Number (award period): H126A140049, H126A140050, H126A150049, H126A150050, H126A160049, H126A160050 (federal fiscal years ended September 30, 2014 to 2016).</p> <p><i>Recommendations:</i> Department management should evaluate the claims processing personnel and determine whether additional training is needed.</p> <p>In addition, Department management should develop and implement a secondary review process to ensure claims are calculated and paid correctly.</p> <p><i>Agency Response:</i> The Department agrees with the finding. During the first quarter of SFY 2016, the Division acquired access to NCTRACKS and began to price claims manually as necessary until the NCTRACKS/BEAM interface was completed. Effective November 2015, the NCTRACKS/BEAM interface became fully functional. Correct rates are now being paid for medical, pharmaceutical, and institutional goods and services. As a result, the 6% error rate (8 errors) noted for SFY 2016 is a significant decrease from the 47% error rate (104 errors) noted for SFY 2015. Of the eight errors identified, six were processed prior to the completion of the NCTRACKS/BEAM interface.</p> <p>As part of ongoing training efforts and to address the potential that some rates will not get priced through the system, the DHHS Controller's Office provided refresher training during SFY 2017 to the claims processing staff on manual claims processing. Beginning in SFY 2017, a secondary review process was implemented to ensure claims are calculated and paid correctly. Designated reviewers select a random sample of all manually priced claims that do not have a Medicaid rate to check for accuracy.</p>
<p>2016-026      Activities Allowed or Unallowed:</p> <p>Material Weakness</p>	<p><u>Testing of Changes to the Vocational Rehabilitation Eligibility System Unable to be Verified</u></p> <p>The Division of Vocational Rehabilitation Services (DVRS) and Division of Services for the Blind (DSB) failed to document testing of system changes for the vocational rehabilitation eligibility system (BEAM). Therefore, the Divisions</p>

**84.126 REHABILITATION SERVICES – VOCATIONAL REHABILITATION GRANTS TO STATES**  
(continued)

**III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
<u>Allowable Costs/ Cost Principles:</u>	could not provide evidence that successful testing occurred prior to changes being introduced to the BEAM system.
Material Weakness	DVRS and DSB implemented 65 change requests for enhancements or new components during state fiscal year 2016. A random sample of 13 (20%) change requests was tested. Documentation of user acceptance testing (UAT) verification was not available for six (46%) of the 13 change requests sampled.
<u>Eligibility:</u>	
Material Weakness	A disciplined process for testing is essential to ensure the system operates as intended and that no unauthorized changes are introduced that may negatively impact operations or security.
	At the beginning of the fiscal year, the BEAM change management procedure was not specific about documentation requirements for user acceptance testing. Therefore, documentation of that testing was not present for all changes. During the year, DVRS and DSB implemented a new change management procedure that outlines testing documentation requirements for changes to the BEAM application.
	The Statewide Information Security Manual, standard 040405, requires successful testing of updates and new programs prior to their introduction into a system.
	This finding was reported in the 2015 Statewide Single Audit as finding number 2015-044.
	<i>Federal Award Information:</i> Federal Awarding Agency: U.S. Department of Education; CFDA Number (title): 84.126 (Rehabilitation Services – Vocational Rehabilitation Grants to States; Federal Award Number (award period): H126A140049, H126A140050, H126A150049, H126A150050, H126A160049, H126A160050 (federal fiscal years ended September 30, 2014 to 2016).
	<i>Recommendation:</i> DVRS and DSB should ensure it follows the new BEAM change management procedure.
	<i>Agency Response:</i> The Department agrees with the finding and has completed implementation of corrective actions. In March 2016, in immediate response to the FY 2015 similar finding, the DSB-DVRS cross-divisional BEAM management team adopted operating procedures and controls processes for user acceptance testing and documentation. The team continues to utilize these BEAM change management procedures to ensure user acceptance approvals are in place. No additional corrective actions are required.

## 84.126 REHABILITATION SERVICES – VOCATIONAL REHABILITATION GRANTS TO STATES (continued)

### III. Federal Award Findings and Questioned Costs

U.S. Department of Education

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-027	<p>Activities Allowed or Unallowed:</p> <p>Significant Deficiency</p> <p>Allowable Costs/ Cost Principles:</p> <p>Significant Deficiency</p> <p>Eligibility:</p> <p>Significant Deficiency</p>	<p><u>Deficiencies in System Access Controls</u></p> <p>The results of our audit disclosed security deficiencies considered reportable under generally accepted <i>Government Auditing Standards</i>. These deficiencies are reported to the Department by separate letter in accordance with these standards. These items should be kept confidential as provided by <i>North Carolina General Statute 132-6.1(c)</i>.</p> <p>This finding was reported in the 2015 Statewide Single Audit as finding number 2015-045.</p> <p><i>Federal Award Information:</i> Federal Awarding Agency: U.S. Department of Education; CFDA Number (title): 84.126 (Rehabilitation Services – Vocational Rehabilitation Grants to States: Federal Award Number (award period): H126A140049, H126A140050, H126A150049, H126A150050, H126A160049, H126A160050 (federal fiscal years ended September 30, 2014 to 2016).</p> <p><i>Agency Response:</i> The Department is committed to maintaining adequate information security and system access controls. The Department has designed and/or implemented corrective actions to address the risks identified in this audit. These corrective actions have been detailed in a response separately submitted to the State Auditor. Security risks are given the highest priority by the Department and corrective actions will be monitored by senior leadership.</p>
2016-028	<p>Matching, Level of Effort, Earmarking:</p> <p>Material Weakness</p> <p>Material Noncompliance</p>	<p><u>\$10.5 Million in Pre-Employment Transition Services Not Spent on Students with Disabilities</u></p> <p>The Department did not spend a total of \$15.9 million (15%) of the \$106 million received for the Vocational Rehabilitation Grant for pre-employment transition services (PETS)<sup>42</sup> for students with disabilities as required by federal regulations. Only \$5.4 million was spent toward these services for the 2015 federal fiscal year.</p>

<sup>42</sup> Pre-employment transition services (PETS) promotes greater emphasis on transition services for students with disabilities. In general, transition refers to the period of time during which a student transitions from secondary education to either a post-secondary program at an institution of higher learning or into employment. PETS include job exploration counseling, work-based learning experiences (e.g., in-school or after school opportunities including internships), counseling on post-secondary educational opportunities, workplace readiness training, and instruction in self-advocacy.

**84.126 REHABILITATION SERVICES – VOCATIONAL REHABILITATION GRANTS TO STATES**  
(continued)

**III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>Because the Division of Vocational Rehabilitation did not spend the entire \$15.9 million set aside for students with disabilities as required, \$10.5 million is being relinquished to the federal government.</p> <p>According to Department personnel, the Division of Vocational Rehabilitation did not comply with the spending requirements because they did not have final guidance about which services would meet the grant criteria. Division of Vocational Rehabilitation personnel did not seek out the available guidance related to PETS when it was not included with the original grant award document sent from the Department's Office of the Secretary.</p> <p>Federal regulations<sup>43</sup> require the state to reserve and expend at least 15% of its vocational rehabilitation allotment for the provision of pre-employment transition services to students with disabilities who are eligible, or potentially eligible, for vocational rehabilitation services.</p> <p><i>Federal Award Information:</i> Federal Awarding Agency: U.S. Department of Education; CFDA Number (title): 84.126 (Rehabilitation Services – Vocational Rehabilitation Grants to States); Federal Award Number (award period): H126A150049 and H126A150050 (Federal Fiscal Years ended September 30, 2014 to 2016).</p> <p><i>Recommendations:</i> The Division of Vocational Rehabilitation management should ensure all documentation is obtained to administer the grant funds. Further, the Division of Vocational Rehabilitation management should seek guidance from all means necessary.</p> <p><i>Agency Response:</i> The Department agrees that \$5.4 million was spent on allowable Pre-Employment Transition Services and that the remaining unspent funds were relinquished to the federal funding agency. Using the final federal regulations issued July 2016, the Department is developing expanded service requirements and increasing its capacity to provide and track Pre-Employment Transition Services.</p> <p>The Department continues to take advantage of training opportunities and technical assistance provided by our federal partner, Rehabilitation Services Administration. The Department reached out to Workforce Innovation Technical Assistance Center, an organization that works with State Vocational Rehabilitation Agencies to implement the new requirements of the Workforce Innovations and Opportunity Act including Pre-Employment Transition</p>

<sup>43</sup> Sections 110 and 113 of the Rehabilitation Act of 1973, as amended by the Workforce Innovation and Opportunity Act (WIOA)

**84.126 REHABILITATION SERVICES – VOCATIONAL REHABILITATION GRANTS TO STATES**  
(continued)

**III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/  
Questioned  
Costs

Findings and Recommendations

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Services. The Department is committed not only to achieve full compliance with the pre-employment transition services earmarking requirement, but also to provide efficient and effective services to the targeted population.

**84.173 SPECIAL EDUCATION – PRESCHOOL GRANTS**

**III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

N.C. Department of Public Instruction

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-029	Subrecipient <u>Monitoring:</u>  Material Weakness  Material Noncompliance	<u>Fiscal Monitoring Results Were Delivered Late</u>  The Department did not report the results of its fiscal monitoring visits to subrecipients within 60 business days after leaving the audit site, preventing subrecipients from taking timely corrective action. See finding 2016-009 for a description.

**84.268 FEDERAL DIRECT STUDENT LOANS****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Asheville-Buncombe Technical Community College

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-030	Special Tests and Provisions:  Material Weakness  Material Noncompliance	<u>Enrollment Status Reporting Errors</u>  The College did not report timely to the National Student Loan Data System (NSLDS) enrollment status changes for students who received federal financial assistance. During the audit period, the College disbursed approximately \$19.4 million in federal financial assistance funding to 3,529 students subject to this reporting requirement. See finding 2016-015 for a description.

**84.268 FEDERAL DIRECT STUDENT LOANS****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Elizabeth City State University

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-031	<u>Eligibility:</u>  Material Weakness  Material Noncompliance  Questioned Cost Finding  \$70,493	<u>University Disbursed Funds to Ineligible Students</u>  The University disbursed federal assistance to students who did not meet all eligibility requirements. During the audit period, the University disbursed approximately \$15.4 million in federal assistance funds to 1,530 students. As a result, the University disbursed \$125,656 in federal financial aid to ineligible students. [CFDA 84.007 - \$3,000; 84.033 - \$3,825; 84.063 - \$48,338; 84.268 - \$70,493]. See finding 2016-006 for a description.
2016-032	<u>Special Tests and Provisions:</u>  Material Weakness  Material Noncompliance	<u>Errors in Calculation for Return of Title IV Funds</u>  The University incorrectly calculated how much money to return to the Title IV program (financial aid) after students supported by the program withdrew from school. Funds were also returned late. See finding 2016-007 for a description.
2016-033	<u>Special Tests and Provisions:</u>  Material Weakness  Material Noncompliance	<u>Noncompliance in Administration of Direct Loans</u>  The University did not always notify loan recipients of their right to cancel the loan or provide the required exit counseling. During the audit period, the University disbursed approximately \$9.3 million in federal direct loans to 1,298 students.  Auditors tested a sample of 60 students who received federal direct loans during the fiscal year and found the following: <ul style="list-style-type: none"> <li>• 60 (100%) students were disbursed loans without being notified of their right to cancel the loan.</li> <li>• 6 (10%) students did not receive the required exit counseling.</li> </ul> There is an increased risk of incorrect decisions and potential default on the loans if students are not made aware of information related to their loans, including the right to cancel.  The University did not have monitoring procedures in place to ensure that right to cancel notifications are generated and sent weekly or ensure that students receive the required counseling. The University had staff turnover in the financial aid department. The new employees were unaware of their

**84.268 FEDERAL DIRECT STUDENT LOANS (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Elizabeth City State University

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
2016-034	<p data-bbox="310 1251 508 1304">Special Tests and Provisions:</p> <p data-bbox="342 1320 456 1373">Material Weakness</p> <p data-bbox="342 1394 508 1446">Material Noncompliance</p> <p data-bbox="537 1251 1081 1276"><u>Errors in Required Direct Loan Reconciliations</u></p> <p data-bbox="537 1320 1485 1467">The University did not reconcile its Federal Direct Loan disbursement records with the Department of Education records timely. Additionally, some reconciliations contained differences that were not resolved. During the audit period, the University disbursed \$9.3 million in federal direct loans to 1,298 students.</p> <p data-bbox="537 1503 1485 1556">Auditors reviewed five (42%) of the 12 monthly reconciliations performed during the year and found:</p> <ul data-bbox="586 1598 1485 1780" style="list-style-type: none"> <li data-bbox="586 1598 1485 1682">• The reconciliation completed for the month of August 2015 was not completed until October 2015 and was not reviewed until February 2016.</li> <li data-bbox="586 1724 1485 1780">• The reconciliation completed for the month of October 2015 was not reviewed until April 2016.</li> </ul>

<sup>44</sup> 34 CFR 668.165<sup>45</sup> 34 CFR 685.304(b)

**84.268 FEDERAL DIRECT STUDENT LOANS (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Elizabeth City State University

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<ul style="list-style-type: none"> <li>• The reconciliation completed for the month of January 2016 contained unresolved differences in the amount of \$12,814 between the University and Department of Education's records.</li> <li>• The amounts on the reconciliation completed for the month of March 2016 did not agree with attached supporting records from the University or the Department of Education.</li> <li>• The reconciliation for the month of May 2016 was not reviewed.</li> </ul> <p>Due to the lack of thoroughly performed and reviewed reconciliations, federal records could be inaccurate, resulting in students owing more or less money than was disbursed to them.</p> <p>The University did not monitor financial aid staff responsible for the preparation and review of the direct loan reconciliations.</p> <p>Federal regulations<sup>46</sup> require the University to reconcile the Student Account Statement (SAS) data file (received from the Department of Education) to the University's disbursements records monthly.</p> <p>This issue was previously reported in the 2014 Single Audit.</p> <p><i>Federal Award Information:</i> Award Year July 1, 2015 – June 30, 2016. CFDA 84.268 Federal Student Direct Loans.</p> <p><i>Recommendation:</i> University management should monitor staff responsible for the completion and review of required reconciliations to ensure they are completed timely and accurately.</p> <p><i>Agency Response:</i> Elizabeth City State University concurs with the finding regarding errors in required direct loan reconciliations.</p> <p>The University has put additional measures in place to ensure financial aid staff responsible for completing the direct loan reconciliations are completing the requirement timely and accurately. Completed Direct Loan Reconciliations are submitted to the Director of Financial Aid each month for review and approval. Additional measures for monitoring include a deadline each month for submission of the Direct Loan Reconciliations as well as requirement to explain and show resolution of discrepancies. If any of these items are missing the reconciliation will be returned to the appropriate staff member to resolve. If additional resolution needed, the staff member will be responsible to resubmit the incomplete reconciliation for final approval.</p>

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<sup>46</sup> 34 CFR 685

**84.268 FEDERAL DIRECT STUDENT LOANS****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

Forsyth Technical Community College

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-035	Special Tests and <u>Provisions:</u>  Material Weakness  Material Noncompliance	<u>Enrollment Status Reporting Errors</u>  The College did not timely report enrollment status changes to the National Student Loan Data System (NSLDS) for students who received federal financial assistance. During the audit period, the College disbursed approximately \$23.3 million in federal student financial assistance funding to 4,781 students subject to this reporting requirement. See finding 2016-020 for a description.

**84.268 FEDERAL DIRECT STUDENT LOANS****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

North Carolina Agricultural and Technical State University

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-036	Special Tests and <u>Provisions:</u>  Material Weakness  Material Noncompliance	<u>Enrollment Status Reporting Errors</u>  The University did not timely report enrollment status changes to the National Student Loan Data System (NSLDS) for students who received federal financial assistance. During the audit period, the University disbursed approximately \$108 million in federal financial assistance funding to 9,165 students subject to this reporting requirement. See finding 2016-0023 for a description.

**84.268 FEDERAL DIRECT STUDENT LOANS****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

North Carolina State University

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-037	Special Tests and <u>Provisions:</u>  Material Weakness	<u>Enrollment Status Reporting Errors</u>  The University did not timely report enrollment status changes to the National Student Loan Data System (NSLDS) for students who received federal financial assistance. During the audit period, the University disbursed approximately \$133.6 million in federal financial assistance funding to 13,842 students subject to this reporting requirement. See finding 2016-024 for a description.

**84.367 IMPROVING TEACHING QUALITY STATE GRANTS****III. Federal Award Findings and Questioned Costs**

U.S. Department of Education

N.C. Department of Public Instruction

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-038	Subrecipient <u>Monitoring:</u>  Material Weakness  Material Noncompliance	<u>Fiscal Monitoring Results Were Delivered Late</u>  The Department did not report the results of its fiscal monitoring visits to subrecipients within 60 business days after leaving the audit site, preventing subrecipients from taking timely corrective action. See finding 2016-009 for a description.

**93.558 TEMPORARY ASSISTANCE FOR NEEDY FAMILIES****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-039	<u>Eligibility:</u>	<u>Deficiencies in County Eligibility Determination Processes</u>
	Significant Deficiency	The Department made some Temporary Assistance for Needy Families (TANF) payments based on inaccurate and inadequately documented eligibility determinations. During the audit period, approximately 40,600 families received \$47.4 million in assistance from the federal TANF program.
	Questioned Cost Finding	
	\$18,316	<p>The task of determining eligibility for the TANF program has been delegated to the county departments of social services<sup>47</sup>. Therefore, Certified Public Accountant (CPA) firms audited county offices and tested 1,344 TANF client files. CPAs found one or more errors in 36 (2.7%) client files. Specifically:</p> <ul style="list-style-type: none"> <li>• 26 (1.9%) client files did not contain all required eligibility documentation. Missing documentation included county-participant agreements, online verification documentation, and explanations for benefit overpayments.</li> <li>• 4 (0.3%) client files were missing eligibility determination calculations or contained inaccurate calculations for data such as income.</li> <li>• 4 (0.3%) client files contained ineligible recipients during the coverage period. Three files showed that eligibility was not terminated within the timeframe required by the program manual. The remaining client file was ineligible because of increased earnings.</li> <li>• 3 (0.2%) client files were missing and the eligibility determinations could not be substantiated.</li> </ul> <p>As a result, the Department paid at least \$18,316<sup>48</sup> in error that could have been used to provide services to eligible participants. The total likely error for the State's TANF program could not be statistically determined since each county was tested as a separate population by the CPA firms.</p> <p>According to Department management, two factors contributed to the errors.</p> <p>First, the Department did not have adequate staff to effectively monitor eligibility determinations performed by the county departments of social services. As a result, the Department could not ensure that the counties made</p>

<sup>47</sup> North Carolina General Statute §108A-27.6(a)(2)

<sup>48</sup> In accordance with 2 CFR 200.516(a)(3), auditors must report known questioned costs when likely questioned costs are greater than \$25,000. Even though sample results identified only \$18,316 in questioned costs, if tests were extended to the entire population, questioned costs could be greater than \$25,000.

**93.558 TEMPORARY ASSISTANCE FOR NEEDY FAMILIES** (continued)**III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>accurate eligibility determinations and maintained proper documentation in the case files.</p> <p>Second, the county departments of social services were understaffed. As a result, supervisors at the county offices did not consistently perform quality assurance reviews.</p> <p>In accordance with federal regulations<sup>49</sup>, recipients are only eligible if they meet the requirements of a financially needy family with children. Additionally, state eligibility manuals<sup>50</sup> require adequate documentation to support eligibility determinations.</p> <p>This finding was reported in the 2015 Statewide Single Audit as finding number 2015-067.</p> <p><i>Federal Award Information:</i> Federal Awarding Agency: U.S. Department of Health and Human Services; CFDA number (title): 93.558 (Temporary Assistance for Needy Families); Federal Award Number (award period): 1502NCTANF (fiscal year ended September 30, 2015) and 1601NCTANF (fiscal year ended September 30, 2016).</p> <p><i>Recommendation:</i> Department management should analyze the types of errors and the locations where they occurred. Then Department management should prioritize and focus its limited monitoring resources on areas where they will have the greatest impact.</p> <p><i>Agency Response:</i> The Department agrees with the finding and will continue to provide training, guidance and monitoring through desk reviews and onsite visits to the county department of social services (DSS) to ensure the adequacy of eligibility determinations.</p> <p>The Department will review case specific information relating to each finding and require the relevant counties to implement corrective action plans to address all reported issues to ensure compliance.</p> <p>The Department will reinforce its policies and procedures at the counties to ensure required documentation is obtained and maintained in the case file and strengthen the supervisory review over the monitoring process.</p>

<sup>49</sup> 42 USC 601<sup>50</sup> North Carolina Work First Manual

**93.558 TEMPORARY ASSISTANCE FOR NEEDY FAMILIES (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

2016-040	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-040	Matching, Level of Effort, Earmarking:  Significant Deficiency	<p data-bbox="537 541 1464 604"><u>Five-Year Limit Not Monitored for the Temporary Assistance for Needy Families (TANF) Program</u></p> <p data-bbox="537 636 1464 758">The Department did not monitor compliance with the federal five-year limit on TANF assistance<sup>51</sup>. The limit was established to ensure that TANF recipients move into work and self-sufficiency and to ensure that assistance is short-term and transitional.</p> <p data-bbox="537 789 1464 852">During the audit period, approximately 40,600 families received \$47.4 million in federal cash assistance from the program.</p> <p data-bbox="537 884 1464 1068">Because the Department did not monitor compliance with the five-year limit, the Department may not have detected and corrected instances when it failed to achieve the program objective of moving families toward self-sufficiency. Additionally, failure to detect and correct excessive noncompliance<sup>52</sup> with the five-year limit could have resulted in the State being penalized with a 5% reduction in funding for the next fiscal year<sup>53</sup>.</p> <p data-bbox="537 1100 1464 1247">According to Department management, it was not able to monitor the five-year limit because of the implementation of a new computer system. During the previous fiscal year, TANF information was moved into NC FAST<sup>54</sup>. Department staff were unable to obtain the federal time limit data from the new system to generate the necessary reports to monitor the TANF five-year limit.</p> <p data-bbox="537 1278 1464 1463">Federal regulations<sup>55</sup> require the Department to “establish and maintain effective internal control over the federal award that provides reasonable assurance that the non-federal entity is managing the federal award in compliance with federal statutes, regulations, and the terms and conditions of the federal award.” Monitoring the five-year limit would be an effective control over compliance.</p> <p data-bbox="537 1495 1464 1554"><i>Federal Award Information:</i> Federal Awarding Agency: U.S. Department of Health and Human Services; CFDA number (title): 93.558 (Temporary</p>

<sup>51</sup> 45 CFR 264.1(a)(1): Subject to the exceptions in this section, no state may use any of the federal TANF funds to provide assistance to a family that includes an adult head-of-household or a spouse of a head-of-household for a total of five years (i.e. 60 cumulative months whether or not consecutive).

<sup>52</sup> 45 CFR 264.1(c): States have the option to extend assistance beyond the five-year limit for federally funded assistance for a maximum of 20 percent of their average monthly number of cases.

<sup>53</sup> 45 CFR 264.2: If a State has not complied with the requirements listed above, the payable to the State for the immediately succeeding fiscal year can be reduced by five percent unless the State satisfactorily demonstrates that it had reasonable cause, or it corrects and discontinues the violation under and approved corrective action plan.

<sup>54</sup> NC FAST stands for North Carolina Families Assessing Services through Technology

<sup>55</sup> 2 CFR 200.303

**93.558 TEMPORARY ASSISTANCE FOR NEEDY FAMILIES** (continued)**III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>Assistance for Needy Families); Federal Award Number (award period): 1502NCTANF (October 1, 2014 – September 30, 2015).</p> <p><i>Recommendation:</i> Department management should obtain the necessary assistance from staff responsible for NC FAST to run the required reports to monitor the TANF five-year limit.</p> <p><i>Agency Response:</i> The Department agrees with the finding. The Department will implement a system to store the five-year limit on Federal assistance data in Client Services Data Warehouse (CSDW). Queries using this data will run in CSDW to track the five-year limit. The work effort for implementation began in January 2017.</p> <p>Pursuant to 45 CFR 264.1(c), North Carolina opted to extend TANF assistance beyond the five-year limit for a maximum of 20 percent of their average monthly number of cases. The Department has examined the number of individuals granted an extension for the two prior fiscal years as compared to the 20% federal limit. For each of the last two years, extensions were granted for less than one percent of average caseload.</p> <p>Specifically, during FFY 2014, the average TANF caseload was 16,554. The maximum number of individuals who could be granted the 20% hardship extension to the five-year federal time limit was 3,311. The number of individuals granted the extension were 93 (0.6%). During FFY 2013, the average TANF caseload was 20,149. The maximum number of individuals who could be granted the 20% hardship extension to the five-year federal time limit was 4,030. The number of individuals granted the extension were 153 (0.8%).</p>
2016-041  Reporting:  Significant Deficiency	<p><u>Inaccurate TANF Data on Families Was Submitted to the Federal Government</u></p> <p>The Department submitted incomplete and inaccurate data in the Temporary Assistance for Needy Families (TANF) ACF-199 report to the Administration for Children and Families (ACF). During the audit period, approximately 40,600 families received \$47.4 million in assistance from the federal TANF program.</p> <p>Out of a random sample of 120 cases from all quarterly reports submitted during the audit period, 21 (18%) cases from the quarter ended September 30, 2015, had one or more errors. Examples of data elements in which errors were found are:</p> <ul style="list-style-type: none"> <li>• Work participation status</li> </ul>

**93.558 TEMPORARY ASSISTANCE FOR NEEDY FAMILIES (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<ul style="list-style-type: none"> <li>• Number of countable months the participant received assistance</li> <li>• Relationship to the head of household</li> </ul> <p>In addition, the Department under-reported the total number of families receiving assistance for the quarter ended September 30, 2015, by approximately 12,000 (30%) families.</p> <p>The Department's failure to submit complete and accurate data could lead to penalties. A penalty of 4%<sup>56</sup> of the adjusted State Family Assistance Grant (SFAG)<sup>57</sup> can be imposed for each quarter the State fails to submit an accurate, complete, and timely report. Based on the fiscal year 2016 SFAG, the penalty could be up to \$8.7 million.</p> <p>Additionally, inaccurate data could impact the State's Work Participation Rate (WPR)<sup>58</sup> calculation. The data collected in the ACF-199 quarterly performance report is used by ACF to determine whether the State met its WPR and other program purposes. Failure to achieve the WPR could also result in penalties.</p> <p>According to Division of Social Services (DSS)<sup>59</sup> management, they were not able to file complete and accurate reports because of a change in procedures. Prior to TANF data being moved to NC FAST<sup>60</sup>, DSS Performance and Reporting section staff would have county level employees provide the data for each case being reported. (The county level employees work with the participants to intake and monitor participant information.) With the transition to NC FAST, it was determined that DSS would no longer request the data from the county but would rely on NC FAST for the data needed to prepare the report. DSS staff were unable to identify where the correct data was located in NC FAST for some data elements to generate the necessary queries<sup>61</sup> to populate the ACF-199 report. DSS management has requested assistance from NC FAST staff, but it was not timely enough to identify the data and modify the query so correct data could be submitted to ACF during the audit period.</p>

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<sup>56</sup> 45 CFR 262.1 (a)(3)

<sup>57</sup> The SFAG is the fixed amount of the TANF funding for the State. The adjusted SFAG for federal fiscal year 2016 was \$219,083,849 per the September 30, 2016 TANF financial report (form ACF-196R).

<sup>58</sup> The WPR is a measure of how well a state succeeds in helping work eligible individuals find work activities during a fiscal year. A state must meet an overall and a two-parent participation requirement.

<sup>59</sup> DSS is the division within the Department that is responsible for administering TANF.

<sup>60</sup> NC FAST is the eligibility system used in the TANF program. It stands for North Carolina Families Accessing Services through Technology.

<sup>61</sup> A query is used as a reporting tool to retrieve a visual representation of the information from the system database.

**93.558 TEMPORARY ASSISTANCE FOR NEEDY FAMILIES** (continued)**III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>Federal regulations<sup>62</sup> require each state to timely file the TANF Data Report. Specifically, regulations state:</p> <p>“Each State must collect on a monthly basis, and file on a quarterly basis, the data specified in the TANF Data Report and the TANF Financial Report (or, as applicable, the Territorial Financial Report).”</p> <p>Furthermore, federal regulations<sup>62</sup> require the reports to be accurate and complete. Specifically, regulations state:</p> <p>“We will assess fiscal penalties against States under circumstances defined in parts 261 through 265 of this chapter. The penalties are... A penalty of four percent of the adjusted SFAG for each quarter a State fails to submit an accurate, complete and timely required report.” <i>(Emphasis added)</i></p> <p>This finding was reported in the 2015 Statewide Single Audit Report as finding number 2015-068.</p> <p><i>Federal Award Information:</i> Federal Awarding Agency: U.S. Department of Health and Human Services; CFDA Number (title): 93.558 (Temporary Assistance for Needy Families); Federal Award Number(s) (period): 1502NCTANF (October 1, 2014 – September 30, 2015) and 1601NCTANF (October 1, 2015 – September 30, 2016).</p> <p><i>Recommendation:</i> Division management should continue working with NC FAST staff to identify the correct data for the required elements so that necessary modifications can be made to the queries used to generate the ACF-199 report.</p> <p><i>Agency Response:</i> The Department agrees with the finding and is programming its systems to enhance its production of the ACF-199 report.</p>
2016-042 Subrecipient <u>Monitoring:</u>  Significant Deficiency	<p><u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u></p> <p>The Department did not adequately monitor \$1 billion in federal funds passed to counties, non-profits, and other organizations (collectively called subrecipients). See finding 2016-002 for a description.</p>

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<sup>62</sup> 45 CFR 265.3

**93.568 LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Environmental Quality

For the Fiscal Year Ended June 30, 2016

2016-043	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-043	Subrecipient Monitoring:  Significant Deficiency	<p data-bbox="534 541 1130 573"><u>Results from Site Visits Not Communicated Timely</u></p> <p data-bbox="534 604 1474 758">The Department of Environmental Quality (Department) did not report the results of programmatic<sup>63</sup> and fiscal<sup>64</sup> monitoring visits to subrecipients timely or obtain subrecipient corrective action plans. The Department distributed approximately \$20 million in low-income home energy assistance to 21 subrecipients during the fiscal year ended June 30, 2016.</p> <p data-bbox="534 789 1474 850">Auditors reviewed all programmatic and fiscal monitoring reviews for each subrecipient, some with multiple visits, and found the following.</p> <p data-bbox="534 882 938 913">Programmatic monitoring reviews:</p> <ul data-bbox="581 945 1474 1129" style="list-style-type: none"> <li data-bbox="581 945 1474 1035">• For 22 of the 25 (88%) reviews, results were communicated between 31 and 139 days after the review. Deficiencies were reported in 21 of the 25 reviews.</li> <li data-bbox="581 1073 1474 1129">• For 8 of the 21 (38%) reviews with deficiencies, corrective action plans were not obtained from the subrecipient.</li> </ul> <p data-bbox="534 1161 841 1192">Fiscal monitoring reviews:</p> <ul data-bbox="581 1224 1474 1409" style="list-style-type: none"> <li data-bbox="581 1224 1474 1314">• For 7 of the 20 (35%) reviews, results were communicated between 35 and 113 days after the review. Deficiencies were reported in 11 of the 20 reviews.</li> <li data-bbox="581 1352 1474 1409">• For 4 of the 11 (36%) reviews that found deficiencies, corrective action plans were not obtained from the subrecipient.</li> </ul> <p data-bbox="534 1440 1474 1560">As a result, corrective action was delayed, which increased the risk that program goals of home energy cost-reduction and proper use of federal funds would not be met. Findings noted in the final assessment letters included, but were not limited to:</p> <ul data-bbox="581 1591 1474 1659" style="list-style-type: none"> <li data-bbox="581 1591 1474 1659">• Installation standards<sup>65</sup> for weatherizing homes not being met. Some of the issues noted included failure to properly air seal homes, failure to</li> </ul>

<sup>63</sup> Programmatic Monitoring includes an on-site review and inspection of the subrecipient's client records to determine client eligibility (income, age, need, etc.) and quality of work performed on completed units to determine compliance with federal requirements.

<sup>64</sup> Fiscal Monitoring includes an on-site review or desk review of the subrecipient's financial records (general ledger, expenditures, cost allocation, etc.) to determine compliance with federal requirements.

<sup>65</sup> North Carolina Weatherization Installation Standards.

**93.568 LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Environmental Quality

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>properly vent clothes dryer outdoors, and failure to properly evaluate refrigerators for potential energy savings.</p> <ul style="list-style-type: none"> <li>• Unallowable costs charged to the program, such as advertising and public relations costs.</li> <li>• State purchasing policies not being followed, such as preparing purchase orders after goods and services were ordered.</li> </ul> <p>According to the Department, it was understaffed during the audit year. The Department lost a Programmatic Monitor in August 2015 and a Fiscal Monitor in October 2015. Management chose to focus on completing the monitoring site visits and did not place priority on sending final assessment letters or obtaining corrective action plans.</p> <p>Federal regulations<sup>66</sup> require that monitoring include “following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies... detected through audits, on-site reviews, and other means.” Also, Department procedures require monitors to submit a final assessment letter within 30 days following the monitoring visit or desk review. Subrecipients are required to provide a corrective action plan for each finding no later than 30 days from the date of the correspondence.</p> <p><i>Federal Award Information:</i> Federal Awarding Agency: U.S. Department of Health and Human Services; CFDA Number (title): 93.568 (Low-Income Home Energy Assistance); Federal Award Number (award period): 15B1NCLIEA (October 1, 2014 – September 30, 2016); 16B1NCLIEA (October 1, 2015 – September 30, 2017).</p> <p><i>Recommendation:</i> The Department should develop a monitoring plan that ensures adequate resources are provided and appropriate priority placed on monitoring visits, communicating results, and obtaining corrective action plans. The plan should consider contingencies, such as loss of staff, which would hinder the Departments monitoring efforts.</p> <p><i>Agency Response:</i> The Department agrees with the finding.</p> <p>The finding noted an issue with the timeliness of the final assessment letters not being sent in accordance with Department’s monitoring plan. The Department will modify the current monitoring plan and monitoring database and will include mechanisms to ensure that assessment letters are delivered in a timely manner. The revised plan will include designating a primary and</p>

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<sup>66</sup> 2 CFR 200.331(d)(2)

**93.568 LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Environmental Quality

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
2016-044	<p data-bbox="534 548 1474 604">secondary person to monitor the status of compliance monitoring and the related assessment letters.</p> <p data-bbox="534 638 1474 848">The revised plan will also state that whenever monitoring staffing levels fall below two monitors each for either fiscal or programmatic monitoring, temporary monitoring staff will be secured to ensure that monitoring of subgrantees and the delivery of assessment letters to them occurs in a timely manner and that Corrective Action Plans from the subgrantees are received in a timely manner. Modifications to the monitoring plan will be completed by February 28, 2017.</p> <p data-bbox="534 911 1133 936"><u>Deficiency in System Access and Change Controls</u></p> <p data-bbox="534 974 1474 1121">The results of our audit disclosed a security deficiency considered reportable under generally accepted <i>Government Auditing Standards</i>. This deficiency is reported to the Department by separate letter in accordance with these standards. These items should be kept confidential as provided by <i>North Carolina General Statute</i> 132-6.1(c).</p> <p data-bbox="534 1159 1474 1306"><i>Federal Award Information:</i> Federal Awarding Agency: U.S. Department of Health and Human Services; CFDA Number (title): 93.568 (Low-Income Home Energy Assistance); Federal Award Number (award period): 15B1NCLIEA (October 1, 2014 – September 30, 2016); 16B1NCLIEA (October 1, 2015 – September 30, 2017).</p> <p data-bbox="534 1344 1474 1522"><i>Agency Response:</i> The Department agrees with the finding. The Department is committed to maintaining information security and system access controls. The Department is working on corrective actions to address the risks identified by the audit team, which have been detailed in a response separately submitted to OSA. All system access and change controls will comply with the applicable portions of the North Carolina Statewide Information Security Manual.</p>

**93.568 LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-045	Matching, Level of Effort, <u>Earmarking:</u>  Material Weakness  Material Noncompliance  Questioned Cost Finding  \$8,761,294	<p><u>Weatherization Funds Were Overspent</u></p> <p>The Department overspent Low-Income Home Energy Assistance Program (LIHEAP)<sup>67</sup> weatherization funds by \$8.8 million.</p> <p>The Department provided \$21.8 million (25%) of the \$86.7 million received for the LIHEAP to the Department of Environmental Quality (DEQ) to provide residential weatherization<sup>68</sup> and other home repairs to low-income families. However, federal regulations only allowed them to use 15% (\$13 million) for these activities.</p> <p>As a result, \$8.8 million were not available to assist low-income households pay their monthly home energy costs. In addition, subsequent funding could be withheld by the federal government for failure to comply with federal requirements.</p> <p>According to Division of Social Services Management, they were unaware of the 15% spending limit for weatherization and other energy related home repairs. Therefore, the Division provided more than the maximum amount allowed to DEQ for those activities.</p> <p>Federal regulations<sup>69</sup> require that no more than 15% of the funds allotted or available to the grantee for a federal fiscal year be used for low-cost residential weatherization or other energy-related home repairs unless the federal awarding agency grants a waiver.</p> <p><i>Federal Award Information:</i> Federal Awarding Agency: U.S. Department of Health and Human Services; CFDA number (title): 93.568 (Low-Income Home Energy Assistance); Award Number (award period): 14BNCLIEA (October 1, 2013 – September 30, 2015)</p> <p><i>Recommendation:</i> Department management should ensure that the staff that oversees grant management have a clear understanding of weatherization spending requirements.</p> <p><i>Agency Response:</i> The Department applied the 15% federal requirement to the Weatherization Assistance Program (WAP); however, the requirement was not</p>

<sup>67</sup> The primary purpose of LIHEAP is to provide funds to assist eligible households to meet the immediate costs of heating and cooling their residences, including monthly utility bills for gas and electric services.

<sup>68</sup> Weatherization includes taking measures to make homes more energy efficient, such as weather stripping.

<sup>69</sup> 42 USC 8624(k)

**93.568 LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
2016-046	<p>extended to the Heating Appliance and Replacement Program (HARRP), which permits a waiver from the federal agency for up to 25%.</p> <p>The Department agrees with the finding and will revise its current practice for allocating and expending all Weatherization funds to comply with the federal guidance.</p>
<u>Reporting:</u>	<u>Inaccurate Household Information Reported to the Federal Government</u>
Material Weakness	<p>The Department submitted an inaccurate Household Report for the Low Income Home Energy Assistance Program (LIHEAP)<sup>70</sup> to the Administration for Children and Families (ACF). During the audit period, the Department provided \$87.5 million in LIHEAP assistance to eligible households.</p>
Material Noncompliance	<p>Auditors obtained the supporting data and recalculated the amounts included in the annual <i>LIHEAP Household Report</i>. The report includes the number and income levels of households that applied for or received LIHEAP assistance during the fiscal year<sup>71</sup>. The submitted annual report:</p> <ul style="list-style-type: none"> <li>• Over-reported households that applied for crisis assistance by approximately 42,700 (38%) households. It should have reported 111,825 households.</li> <li>• Under-reported households that received heating assistance by approximately 15,400 (11%) households. It should have reported 141,582 households.</li> <li>• Under-reported households that applied for heating assistance by approximately 7,000 (5%) households. It should have reported 154,930 households.</li> <li>• Under-reported households that received any type<sup>72</sup> of LIHEAP assistance by approximately 8,500 (4%) households. It should have reported 196,406 households.</li> </ul>

<sup>70</sup> LIHEAP provides assistance to eligible households to help meet their immediate home energy costs, increase their energy self-sufficiency, and reduce their vulnerability from energy needs.

<sup>71</sup> The data submitted in the report was for households that received and applied for assistance during the period of October 1, 2014 – September 30, 2015.

<sup>72</sup> LIHEAP provides the following types of assistance: (1) heating (2) cooling (3) crisis, and (4) weatherization.

**93.568 LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>Because of the errors noted above, there were additional errors in the reported number of assisted and applicant households by poverty level and the number of assisted households by vulnerable population.</p> <p>Reporting errors could lead to reduced funding because the report provides information to ACF about the need for LIHEAP funding. Reporting errors could also lead to inaccurate state performance measures in the ACF's annual report to Congress.</p> <p>According to Division of Social Services management<sup>73</sup>, the errors occurred because the reporting data was not reconciled for completeness and accuracy. There was no formal supervisory review and approval process for the report. Additionally, the preparer misunderstood the reporting instructions and did not use unduplicated<sup>74</sup> counts of households that that applied for LIHEAP assistance.</p> <p>Federal regulations<sup>75</sup> require that each state receiving funds shall submit to the Department a report of "the number and income level of the households which apply and the number which are assisted with LIHEAP funds; and the number of households so assisted with one or more members who attained 60 years of age; one or more members who were disabled; and one or more young children."</p> <p>Additionally, the Governmental Accountability Office (GAO) states that government managers have a fundamental responsibility for "ensuring that management and financial information is reliable and properly reported."<sup>76</sup></p> <p><i>Federal Award Information:</i> Federal Awarding Agency: U.S. Department of Health and Human Services. CFDA (title): 93.568 (Low-Income Home Energy Assistance Program); Federal Award Number (period) 15B1NCLIEA (October 1, 2014 – September 30, 2016)</p> <p><i>Recommendations:</i> Department management should reconcile the data for completeness and accuracy before preparing the report.</p> <p>Department management should establish a formal supervisory review and approval process for the report.</p>

<sup>73</sup> The Division of Social Services is the division responsible for administering LIHEAP.

<sup>74</sup> The concept of unduplicated counts means that an item, such as a household, is only counted once for a specific data variable. Unduplicated household data must be reported separately for "each type" of LIHEAP assistance and for "any" type of LIHEAP assistance.

<sup>75</sup> 42 USC 8624(c)(1)(G)

<sup>76</sup> GAO, *Government Auditing Standards*, 2011 Revision

**93.568 LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
2016-047	<p data-bbox="534 548 1474 699"><i>Agency Response:</i> The Department agrees with the finding and will implement a procedure to reconcile the data for accuracy prior to submitting the report. This will be accomplished by segregating the duties among employees who abstract and compile the data and prepare and certify the report prior to submission.</p> <p data-bbox="534 764 1027 789"><u>Counties Were Not Adequately Monitored</u></p> <p data-bbox="534 827 1474 947">The Department did not adequately monitor the subrecipients (counties) that administered the Low Income Home Energy Assistance Program (LIHEAP). The state provided \$75.8 million in LIHEAP funds to the counties to administer to participants during the year.</p> <p data-bbox="534 982 1474 1066">A random sample of 21 (50%) of the 42 counties that were required to be monitored during the audit period showed deficiencies at 12 (57%) counties. Specifically:</p> <ul data-bbox="583 1104 1474 1499" style="list-style-type: none"> <li data-bbox="583 1104 1474 1314">• In 11 of 21 (52%) counties, a monitor did not review the required number of LIHEAP participant case files. Monitors review participant case files to check the eligibility determinations made by the county staff. At four counties, the monitor reviewed a total of 20 cases at each county when 40 cases should have been reviewed. At seven counties, the monitor reviewed a total of 10 cases at each of county when 20 cases should have been reviewed.</li> <li data-bbox="583 1352 1474 1499">• In 1 of 21 (5%) counties, the county submitted a Performance Improvement Plan (PIP)<sup>77</sup> that did not address all deficiencies identified during the monitoring visit. Monitors obtain and review PIPs to ensure that the subrecipients have a plan to take timely and appropriate action on all deficiencies.</li> </ul> <p data-bbox="534 1537 1474 1656">Inadequate monitoring, such as the failure to review the required number of case files and obtain complete PIPs, increases the risk that monitors will not detect ineligible program participants and ensure that deficiencies are corrected timely.</p> <p data-bbox="534 1694 1474 1837">According to Department management, the monitor did not review the correct number of case files during the monitoring visit because the monitor did not fully understand the procedures in the approved monitoring plan. Also Department management stated that the incomplete PIP was due to inadequate supervisory review of the monitoring documentation.</p>

<sup>77</sup> A PIP is prepared by the county to show how they will correct deficiencies found during the monitoring visit.

**93.568 LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>Federal regulations<sup>78</sup> require the pass-through entity to:</p> <p>“Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved.”</p> <p>Furthermore, the pass-through entity is responsible for:</p> <p>“Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award... detected through audits, on-site reviews, and other means.”</p> <p>Additionally, the Department's monitoring plan for LIHEAP for state fiscal year 2015-2016, requires that a minimum number of case files be reviewed for small<sup>79</sup> and medium/large<sup>80</sup> counties during each monitoring visit.</p> <p><i>Federal Award Information:</i> Federal Awarding Agency: U.S. Department of Health and Human Services; CFDA Number (title): 93.568 (Low-Income Home Energy Assistance); Federal Award Number (award period): 15B1NCLIEA (October 1, 2014 – September 30, 2016); 16B1NCLIEA (October 1, 2015 – September 30, 2017)</p> <p><i>Recommendations:</i> Department management should ensure each monitor understands the approved monitoring procedures.</p> <p>Department management should develop a review process that ensures monitors examine the required number of cases consistent with the Department's monitoring plan and that Performance Improvement Plans (PIP) address all findings identified during the monitoring visit.</p> <p><i>Agency Response:</i> The Department agrees with the finding and will enhance the subrecipient monitoring process to ensure all required number of cases are examined and addressed in the appropriate documents.</p> <p>The Department will reemphasize with the staff the execution of the monitoring procedures and strengthen the supervisory review over the monitoring process.</p>

<sup>78</sup> 2 CFR Part 200.331(d)<sup>79</sup> Small County (6000 cases) – monitors should review a total of 20 cases (10 approved / 10 denied)<sup>80</sup> Medium/Large County (more than 6000 cases) - monitors should review a total of 40 cases (20 approved/ 20 denied)

**93.568 LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-048	Subrecipient Monitoring:  Significant Deficiency	<u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u>  The Department did not adequately monitor \$1 billion in federal funds passed to counties, non-profits, and other organizations (collectively called subrecipients). See finding 2016-002 for a description.

**93.575 CHILD CARE AND DEVELOPMENT BLOCK GRANT****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-049	Subrecipient Monitoring:  Significant Deficiency	<u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u>  The Department did not adequately monitor \$1 billion in federal funds passed to counties, non-profits, and other organizations (collectively called subrecipients). See finding 2016-002 for a description.

**93.596 CHILD CARE MANDATORY AND MATCHING FUNDS OF THE CHILD CARE AND DEVELOPMENT BLOCK GRANT**

**III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-050	Subrecipient Monitoring:  Significant Deficiency	<u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u>  The Department did not adequately monitor \$1 billion in federal funds passed to counties, non-profits, and other organizations (collectively called subrecipients). See finding 2016-002 for a description.

**93.667 SOCIAL SERVICES BLOCK GRANT****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-051	Subrecipient Monitoring:  Significant Deficiency	<u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u>  The Department did not adequately monitor \$1 billion in federal funds passed to counties, non-profits, and other organizations (collectively called subrecipients). See finding 2016-002 for a description.

**93.767 CHILDREN'S HEALTH INSURANCE PROGRAM****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
2016-052 <u>Activities Allowed or Unallowed:</u> Significant Deficiency <u>Allowable Costs/ Costs Principles:</u> Significant Deficiency <u>Eligibility:</u> Significant Deficiency Questioned Cost Finding \$5,670	<p><u>Errors in Children's Health Insurance Provider Billing and Payment Process</u></p> <p>The Department made an estimated \$6.7 million net overpayment to Children's Health Insurance Program (CHIP) providers during state fiscal year 2016. During that period, the Department processed more than 13 million payments for services totaling \$437 million.</p> <p>Auditors reviewed a statistical sample of 277 fee-for-service payments totaling approximately \$2.7 million and identified nine (3.3%) payments that contained errors. Specifically:</p> <ul style="list-style-type: none"> <li>• 6 (2.2%) claims lacked sufficient documentation to support either the dates of service or the level of service rendered. The result was a net overpayment of \$4,211 (federal share \$4,185).</li> <li>• 3 (1.1%) claims lacked evidence that the patient's third party insurance was considered in determining recipient eligibility. The result was an overpayment of \$1,525 (federal share \$1,485).</li> </ul> <p>As a result, the Department overpaid an estimated \$6.7 million<sup>81</sup> that could have been used to provide additional services to other eligible beneficiaries or reduce overall program cost. Additionally, the overpayments of \$5,736 (federal share \$5,670) found in the sample are being questioned<sup>82</sup>.</p> <p>According to Department management, there were various reasons for the six documentation errors, including billing clerical errors, lack of proper record retention, and coding inconsistencies. However, the Department has not completed its evaluation of the errors.</p> <p>Additionally, per the Department, the other errors were the result of a computer system defect. NC FAST<sup>83</sup> did not allow insurance information input directly into NCTracks<sup>84</sup> to be interfaced back to NC FAST, where eligibility determinations are made.</p>

<sup>81</sup> When the known overpayment of \$5,736 found in the sample is projected to the entire population, the likely total errors are \$6.7 million.

<sup>82</sup> In accordance with 2 CFR 200.516(a)(3), auditors must report known questioned costs when likely questioned costs are greater than \$25,000. When the errors are evaluated at a 90% confidence interval, the results are unlikely to be less than an underpayment of \$47.1 million or more than an overpayment of \$60.5 million.

<sup>83</sup> NC FAST is the eligibility determination system used for numerous programs at the Department, including CHIP.

<sup>84</sup> NCTracks is the multi-payer Medicaid Management Information System for the Department.

**93.767 CHILDREN'S HEALTH INSURANCE PROGRAM** (continued)**III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>Federal regulations<sup>85</sup> require costs to be adequately documented; authorized; necessary and reasonable; and be consistent with program regulations that apply to the federal award.</p> <p>Additionally, providers sign an agreement<sup>86</sup> that requires them to maintain records disclosing the extent of services furnished to recipients and, on request, furnish the records to the Department.</p> <p>Further, recipients with third party insurance are not eligible for CHIP<sup>87</sup>.</p> <p>This finding was reported in the 2015 Statewide Single Audit as finding number 2015-075.</p> <p><i>Federal Award Information:</i> Federal Awarding Agency: U.S. Department of Health and Human Services; CFDA Number (title): 93.767 (Children's Health Insurance Program); Federal Award Number (Award Period): 05-1505NC5021 (fiscal year ended September 30, 2015) and 05-1605NC5021 (fiscal year ended September 30, 2016).</p> <p><i>Recommendations:</i> Department management should analyze each error and take immediate and appropriate corrective action including, but not limited to, education of providers, on-site or focused reviews, and limit the amount of time for submitting the requested documentation.</p> <p>Further, Department management should ensure the proper and timely implementation of system changes to correct interface concerns.</p> <p>Identified over and underpaid claims should be followed up for timely and appropriate collection or payment.</p> <p><i>Agency Response:</i> The Department concurs with the findings. The Payment Error Measurement Rate (PERM) program administered by CMS, consistently identifies insufficient/improper documentation as the most prevalent error that providers make in Medicaid billing nationwide. The Department routinely provides education to providers which details compliance requirements for federal, state and local regulatory rules and/or laws.</p> <p>The Department will reiterate to providers the requirement to maintain proper documentation to support the medical necessity and proper coding of services</p>

<sup>85</sup> 2 CFR 225.55<sup>86</sup> In accordance with 42 CFR 431.107.<sup>87</sup> 42 CFR 457.310 dictates that a targeted low-income child must not be covered under a group health plan or under health insurance coverage to be eligible to receive Children's Health Insurance Program coverage.

**93.767 CHILDREN'S HEALTH INSURANCE PROGRAM** (continued)**III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
2016-053	billed to the Children's Health Insurance Program (CHIP). The Department delivers ongoing education via the monthly Medicaid Bulletin, NC Tracks Provider Portal and other communication venues. The Department will review the claim errors cited in the report to determine which errors may be resolved by requiring additional documentation from the providers. Appropriate recoupment efforts will be made as necessary.
<u>Eligibility:</u>	Program changes in the NC Fast system will be implemented to include Third Party Liability data received from NC Tracks to be used by the counties in making eligibility determinations.
Material Weakness	<u>Deficiencies in County Eligibility Determination Process</u>
Material Noncompliance	The Department made some Children's Health Insurance Program (CHIP) payments to recipients based on inaccurate and inadequately documented eligibility determinations. During the audit period, approximately 250,000 recipients received \$437 million in medical benefits from the CHIP program.
Questioned Cost Finding	The task of determining eligibility for the CHIP program has been delegated to the county department of Social Services <sup>88</sup> . Therefore, Certified Public Accountant (CPA) firms audited county offices and tested 1,532 case files. CPAs found one or more errors in 86 (5.6%) case files. Specifically:
\$13,499	<ul style="list-style-type: none"> <li>• 60 (3.9%) client files did not contain all the required eligibility documentation. These case files were missing proof of citizenship, online verification documentation, support for eligibility calculations, etc.</li> <li>• 18 (1.2%) client files were missing eligibility calculations or contained inaccurate calculations for data such as income.</li> <li>• 9 (0.6%) client files contained ineligible recipients during the coverage period. These case files included inaccurate eligibility determination calculations and inaccurate program certifications.</li> <li>• 8 (0.5%) client file was missing and the eligibility determination could not be substantiated.</li> </ul>

<sup>88</sup> North Carolina General Statutes §108A-25(b)

**93.767 CHILDREN'S HEALTH INSURANCE PROGRAM** (continued)**III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>As a result, the Department paid at least \$13,499<sup>89</sup> in error that could have been used to provide services to eligible participants. The total likely error for the State's CHIP program could not be statistically determined since each county was tested as a separate population by the CPA firms.</p> <p>According to Department management, two factors contributed to these errors.</p> <p>First, the Department did not provide adequate, formal training to ensure all county departments of social services are determining eligibility correctly and consistently.</p> <p>Second, the Department did not effectively monitor eligibility determinations performed by the county departments of social services. As a result, the Department could not ensure that the counties made accurate eligibility determinations and maintained proper documentation in the case file for the traditional cases<sup>90</sup>.</p> <p>Federal regulations<sup>91</sup> require documentation be obtained as needed to determine if a recipient meets the specific income standards and documentation must be maintained to support eligibility determinations.</p> <p>This was reported in the 2015 Statewide Single Audit as finding number 2015-078.</p> <p><i>Federal Award Information:</i> Federal Awarding Agency: U.S. Department of Health and Human Services; CFDA Number (title): 93.767 (Children's Health Insurance Program); Federal Award Number (Award Period): 05-1505NC5021 (fiscal year ended September 30, 2015) and 05-1605NC5021 (fiscal year ended September 30, 2016).</p> <p><i>Recommendations:</i> Department management should ensure eligibility determinations are performed accurately and are adequately documented.</p> <p>Specifically:</p> <ul style="list-style-type: none"> <li>• Department management should develop and provide training to the</li> </ul>

<sup>89</sup> In accordance with 2 CFR 200.516(a)(3), auditors must report known questioned costs when likely questioned costs are greater than \$25,000. Even though sample results identified only \$13,499 in questioned costs, if tests were extended to the entire population, questioned costs could be greater than \$25,000.

<sup>90</sup> Auditors only tested eligibility determinations using the traditional method. The Affordable Care Act provides a new method for calculating income eligibility for CHIP. This new method calculates eligibility for all programs based on what is called modified adjusted gross income (MAGI). MAGI will replace the traditional process for calculating CHIP eligibility that is in place today, which uses income deductions that often differ by eligibility group.

<sup>91</sup> 42 CFR 435

**93.767 CHILDREN'S HEALTH INSURANCE PROGRAM (continued)**

**III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>county departments of social services on the requirements for eligibility determinations, including proper documentation.</p> <ul style="list-style-type: none"> <li>• Department management should also monitor eligibility determinations of the county department of social services to ensure traditional eligibility determinations are completed accurately and supporting documentation is maintained in case files.</li> </ul> <p><i>Agency Response:</i> The Department is currently amid a focused review of the eligibility determination process administered by the county departments of social services. Effective June 1, 2016, the Department required each county DSS office to establish an approved quality assurance plan and conduct second party reviews of applications and re-certifications monthly. Additionally, the Department has engaged the Association of County Commissioners and the Association of Directors of Social Services to collaboratively develop a plan to improve the counties' accuracy in administering eligibility determination for the CHIP program.</p> <p>The Department is implementing standardized training on CHIP Policy utilizing the Learning Gateway within the NC FAST system. The Department now requires all new and existing county DSS staff to complete the training via the Learning Gateway.</p> <p>The Department is currently reviewing the errors noted and upon validation, will require the county DSS to submit a corrective action plan that addresses the maintenance of proper documentation in their file.</p> <p>The Department will submit to the Secretary monthly updates on the progress of the corrective action plan.</p>
<p>2016-054 Subrecipient Monitoring: Significant Deficiency</p>	<p><u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u></p> <p>The Department did not adequately monitor \$1 billion in federal funds passed to counties, non-profits, and other organizations (collectively called subrecipients). See finding 2016-002 for a description.</p>

**93.778 MEDICAL ASSISTANCE PROGRAM****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
2016-055 <u>Activities Allowed or Unallowed:</u> Significant Deficiency <u>Allowable Costs/ Cost Principles:</u> Significant Deficiency <u>Eligibility:</u> Significant Deficiency Questioned Cost Finding \$4,699	<u>Errors in Medicaid Provider Billing and Payment Process</u>  The Department made an estimated \$166.2 million net overpayment to Medicaid providers during state fiscal year 2016. During that period, the Department processed more than 127 million payments for services totaling \$11 billion.  Auditors reviewed a statistical sample of 437 fee-for-service payments totaling approximately \$12.6 million and identified 21 (4.8%) payments that contained errors. Specifically: <ul style="list-style-type: none"> <li>• 8 (1.8%) claims lacked sufficient documentation to support either the dates of service or the level of service rendered (most claims were paid for a higher level of service than actually provided and some were paid for a lower level of service than actually provided). The result was a net underpayment of \$4,620 (federal share \$3,072).</li> <li>• 4 (0.9%) claims were not voided and reprocessed when a retroactive rate change was implemented. The result was net underpayment of \$11 (federal share \$7).</li> <li>• 3 (0.7%) claims lacked evidence that the patient's third party insurance was applied prior to payment by Medicaid. The result was an overpayment of \$10,138 (federal share \$6,715).</li> <li>• 3 (0.7%) claims did not have patient liability amounts applied to payments in NCTracks<sup>92</sup>. The result was a net overpayment of \$501 (federal share \$331).</li> <li>• 2 (0.5%) claims lacked evidence that the required approvals were attained before services were rendered. The result was an overpayment of \$634 (federal share \$418).</li> <li>• 1 (0.2%) claim was calculated and paid using an incorrect Medicare<sup>93</sup> payment methodology. The result was overpayment of \$477 (federal share \$314).</li> </ul> <p>As a result, the Department overpaid an estimated \$166.2 million<sup>94</sup> that could have been used to provide additional services to other eligible beneficiaries or</p>

<sup>92</sup> NCTracks is the multi-payer Medicaid Management Information System for the Department.

<sup>93</sup> This particular claim is required to pay via the Medicare methodology due to the type of claim.

<sup>94</sup> When the known overpayment of \$7,119 found in the sample is projected to the entire population, the likely total errors are \$166.2 million.

**93.778 MEDICAL ASSISTANCE PROGRAM** (continued)**III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>reduce overall program cost. Additionally, the overpayments of \$7,119 (federal share \$4,699) found in the sample are being questioned<sup>95</sup>.</p> <p>According to Department management, there were various reasons for the eight documentation errors, including billing clerical errors, lack of proper record retention, and coding inconsistencies. However, the Department has not completed its evaluation of the errors.</p> <p>Additionally, per the Department, other errors were the result of the following: the Department did not implement payment rate and methodology changes timely and system edits that were supposed to verify prior approval and patient liability amounts did not function in NCTracks as originally planned.</p> <p>Federal regulations<sup>96</sup> require costs to be adequately documented; authorized; necessary and reasonable; and be consistent with program regulations that apply to the federal award.</p> <p>Additionally, providers sign an agreement<sup>97</sup> that requires them to maintain records disclosing the extent of services furnished to recipients and, on request, furnish the records to the Department.</p> <p>This finding was reported in the 2015 Statewide Single Audit as finding number 2015-081.</p> <p><i>Federal Award Information:</i> Federal Awarding Agency: U.S. Department of Health and Human Services; CFDA Number (title): 93.778 (Medical Assistance Program); Federal Award Number (Award Period): 05-1505NC5MAP (fiscal year ended September 30, 2015) and 05-1605NC5MAP (fiscal year ended September 30, 2016).</p> <p><i>Recommendations:</i> Department management should analyze each error and take immediate and appropriate corrective action including, but not limited to, education of providers, on-site or focused reviews, and limit the amount of time for submitting the requested documentation.</p> <p>Further, Department management should ensure the proper and timely implementation of system changes, including effective payment edits.</p>

<sup>95</sup> In accordance with 2 CFR 200.516(a)(3), auditors must report known questioned costs when likely questioned costs are greater than \$25,000. When the errors are evaluated at a 90% confidence interval, the results are unlikely to be less than \$29.9 million or more than \$302.6 million.

<sup>96</sup> 2 CFR 225.55

<sup>97</sup> In accordance with 42 CFR 431.107

**93.778 MEDICAL ASSISTANCE PROGRAM (continued)**

**III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>Identified over and underpaid claims should be followed up for timely and appropriate collection or payment.</p> <p><i>Agency Response:</i> The Department concurs with the finding. The Payment Error Measurement Rate (PERM) program administered by CMS, consistently identifies insufficient/improper documentation as the most prevalent error that providers make in Medicaid billing nationwide. The Department routinely provides education to providers which details compliance requirements for federal, state and local regulatory rules and/or laws.</p> <p>The Department will reiterate to providers the requirement to maintain proper documentation to support the medical necessity and proper coding of services billed to the Medicaid Program. The Department delivers ongoing education via the monthly Medicaid Bulletin, NC Tracks Provider Portal and other communication venues. The Department will review the claim errors cited in the report to determine which errors may be resolved by requiring additional documentation from the providers. Appropriate recoupment efforts will be made as necessary.</p> <p>The Department is continuing the reprocessing of claims previously mentioned in the SFY 2015 Single Audit to address the retroactive rate changes which were not recouped/repaid prior to the SFY 2015 fiscal year end. The correct payment methodology was implemented during SFY 2016 and the reprocessing of the claims will resolve the overpayment issues. Additionally, changes to the processing of crossover claims were implemented in September 2016 to ensure Medicare payment methodologies are correct.</p> <p>Program changes in the NC Fast system will be implemented to include Third Party Liability data received from NC Tracks to be used by the counties in making eligibility determinations.</p> <p>The Department will continue to provide updates and training to county DSS offices regarding proper recording of patient monthly liability in NC Tracks.</p>
<p>2016-056</p> <p><u>Eligibility:</u></p> <p>Material Weakness</p> <p>Material Noncompliance</p>	<p><u>Deficiencies in County Eligibility Determination Process</u></p> <p>The Department made some Medical Assistance Program (Medicaid) payments to recipients based on inaccurate and inadequately documented eligibility determinations. During the audit period, approximately 1.9 million recipients received \$11 billion in Medicaid benefits.</p>

**93.778 MEDICAL ASSISTANCE PROGRAM** (continued)**III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
Questioned Cost Finding \$963,881	<p>The task of determining eligibility for the Medicaid program has been delegated to the county departments of social services<sup>98</sup>. Therefore, Certified Public Accountant (CPA) firms audited county offices and tested 5,990 case files. CPAs found one or more errors in 312 (5.2%) client files. Specifically:</p> <ul style="list-style-type: none"> <li>• 221 (3.7%) client files did not contain all the required eligibility documentation. These case files were missing signed applications, proof of residency, proof of citizenship, and online verification documentation.</li> <li>• 102 (1.7%) client files were missing eligibility determination calculations or contained inaccurate calculations for data such as income.</li> <li>• 33 (0.6%) client files were missing, and the eligibility determinations could not be substantiated.</li> <li>• 17 (0.3%) client files contained ineligible recipients during the coverage period. These case files included incorrect certification periods<sup>99</sup>, inaccurate eligibility determination calculations, inaccurate program certifications, and untimely termination of cases.</li> </ul> <p>As a result, the Department paid at least \$963,881 in error that could have been used to provide services to eligible participants. The total likely error for the State's Medicaid program could not be statistically determined since each county was tested as a separate population by the CPA firms.</p> <p>According to Department management, two factors contributed to these errors.</p> <p>First, the Department did not provide adequate, formal training to ensure all county departments of social services were determining eligibility correctly and consistently.</p> <p>Second, the Department did not effectively monitor eligibility determinations performed by the county departments of social services. As a result, the Department could not ensure that the counties made accurate eligibility</p>

<sup>98</sup> North Carolina General Statute §108A-25(b)<sup>99</sup> The certification period is the continuous eligibility period for which the participant is considered eligible for services.

**93.778 MEDICAL ASSISTANCE PROGRAM** (continued)**III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>determinations and maintained proper documentation in the case file for the traditional cases<sup>100</sup>.</p> <p>Federal regulations<sup>101</sup> require documentation be obtained as needed to determine if a recipient meets specific income standards and documentation must be maintained to support eligibility determinations.</p> <p>This was reported in the 2015 Statewide Single Audit as finding number 2015-083.</p> <p><i>Federal Award Information:</i> Federal Awarding Agency: U.S. Department of Health and Human Services; CFDA Number (title): 93.778 (Medical Assistance Program); Federal Award Number (Award Period): 05-1505NC5MAP (fiscal year ended September 30, 2015) and 05-1605NC5MAP (fiscal year ended September 30, 2016).</p> <p><i>Recommendations:</i> Department management should ensure eligibility determinations are performed accurately and are adequately documented. Specifically:</p> <ul style="list-style-type: none"> <li>• Department management should develop and provide training to the county departments of social services on the requirements for eligibility determinations, including proper documentation.</li> <li>• Department management should also monitor eligibility determinations of the county department of social services to ensure traditional eligibility determinations are completed accurately and supporting documentation is maintained in case files.</li> </ul> <p><i>Agency Response:</i> The Department is currently amid a focused review of the eligibility determination process administered by the county departments of social services. Effective June 1, 2016, the Department required each county DSS office to establish an approved quality assurance plan and conduct second party reviews of applications and re-certifications monthly. Additionally, the Department has engaged the Association of County Commissioners and the Association of Directors of Social Services to collaboratively develop a plan to improve the counties' accuracy in administering eligibility determination for the Medicaid program.</p>

<sup>100</sup> Auditors only tested eligibility determinations using the traditional method. The Affordable Care Act provides a new method for calculating income eligibility for Medicaid. This new method calculates eligibility for all programs based on what is called modified adjusted gross income (MAGI). MAGI will replace the traditional process for calculating Medicaid eligibility that is in place today, which uses income deductions that often differ by eligibility group.

<sup>101</sup> 42 CFR 435

**93.778 MEDICAL ASSISTANCE PROGRAM** (continued)**III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
2016-057	Subrecipient Monitoring:
Significant Deficiency	<p>The Department is implementing standardized training on Medicaid Policy utilizing the Learning Gateway within the NC FAST system. The Department now requires all new and existing county DSS staff to complete the training via the Learning Gateway.</p> <p>The Department is currently reviewing the errors noted and upon validation, will require the county DSS to submit a corrective action plan that addresses the maintenance of proper documentation in their file.</p> <p>The Department will submit to the Secretary monthly updates on the progress of the corrective action plan.</p> <p><u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u></p> <p>The Department did not adequately monitor \$1 billion in federal funds passed to counties, non-profits, and other organizations (collectively called subrecipients). See finding 2016-002 for a description.</p>

**93.917 HIV CARE FORMULA GRANTS****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
2016-058 <u>Eligibility:</u>  Significant Deficiency  Questioned Cost Finding  \$6,569	<p data-bbox="537 543 1446 573"><u>No Procedures to Identify Undisclosed Income for Recipients of HIV Services</u></p> <p data-bbox="537 606 1466 726">The Department did not have procedures in place to identify unreported income for any of the 8,396 Ryan White HIV Formula Care Grant participants. They received \$22.7 million in services through the AIDS Drug Assistance Program (ADAP) during the audit period.</p> <p data-bbox="537 760 1466 879">If participants reported income, the Department required documentation such as a recent paycheck stub, Form W-2, Form 1099, or a Social Security Benefits Letter (SA1099). The Department also required participants to complete documentation if they declared zero income.</p> <p data-bbox="537 913 1466 972">However, the Department did not have procedures to independently verify that participants reported all income.</p> <p data-bbox="537 1005 1466 1125">As a result, there was an increased risk that the Department would pay for HIV services for people who were ineligible when those services could have been provided to eligible recipients. Individuals were ineligible if they had a gross family income that exceeded 300% of the Federal Poverty Guidelines<sup>102</sup>.</p> <p data-bbox="537 1159 1466 1310">In fact, the lack of independent income verification caused the Department to pay at least \$6,569<sup>103</sup> in benefits for ineligible participants who failed to disclose all income. Auditors tested the eligibility determinations for a random sample of 120 participants and found three (2.5%) who were ineligible because their incomes exceeded program limits. Specifically:</p> <ul data-bbox="586 1344 1466 1621" style="list-style-type: none"> <li data-bbox="586 1344 1466 1463">• One participant reported no income, but auditors found \$51,836 in income for one certification period<sup>104</sup>. The federal limit for this person was \$35,640. The Department paid \$3,214 in benefits for this participant during the audit period.</li> <li data-bbox="586 1497 1466 1621">• A second participant reported \$39,298, but auditors found \$51,660 in income for the certification period. The federal limit for this person was \$47,790. The Department paid \$2,571 in benefits for this participant during the audit period.</li> </ul>

<sup>102</sup> The North Carolina AIDS Drug Assistance Program (ADAP) handbook states that "to be eligible for ADAP, individuals must... have a gross family income that is equal to or less than 300% of the Federal Poverty Guidelines".

<sup>103</sup> The \$6,569 is considered questioned costs. Uniform Guidance 2 CFR 200.516(a)(3) - In evaluating the effect of questioned costs on the opinion on compliance, the auditor considers the best estimate of total costs questioned (likely questioned costs), not just the questioned costs specifically identified (known questioned costs). The auditor must also report known questioned costs when likely questioned costs are greater than \$25,000 for a type of compliance requirement for a major program.

<sup>104</sup> Participants are recertified for program eligibility in January and July of each year.

**93.917 HIV CARE FORMULA GRANTS (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<ul style="list-style-type: none"> <li>A third participant reported \$33,192, but auditors found \$40,988 in income for the certification period. The federal limit for this person was \$35,310. The Department paid \$784 in benefits for this participant during the audit period.</li> </ul>
	<p>According to Department management, staff did not have access to a system that could identify undisclosed income. The business office of the Division of Public Health (DPH), the Division that administers the program, has requested access to the Online Verification (OLV)<sup>105</sup> system that auditors used to identify the unreported income. However, the Division of Social Services (DSS) has not granted DPH access. DSS provides access to the data and does not believe the data in OLV will assist DPH with income verification. DPH has not identified another source of data to use.</p>
	<p>However, federal regulations<sup>106</sup> require the Department to “establish and maintain effective internal control over the federal award that provides reasonable assurance that the non-federal entity is managing the federal award in compliance with federal statutes, regulations, and the terms and conditions of the federal award.” An independent search for unreported income would be an effective control over compliance.</p>
	<p>Similar aspects of this finding were reported in the 2015 Statewide Single Audit as finding number 2015-088.</p>
	<p><i>Federal Award Information:</i> Federal Awarding Agency: U.S. Department of Health and Human Services; CFDA Number (title): 93.917 (HIV Care Formula Grants (Ryan White HIV/AIDS Program Part B)); Federal Award Number (award period): X07HA00051-25-00 (April 1, 2015 – March 31, 2016), X08HA16859-07-00 (September 30, 2015 – September 29, 2016).</p>
	<p><i>Recommendation:</i> Department management should provide the Division of Public Health with OLV access or develop a process to verify whether participants have unreported income that would make them ineligible for the program.</p>
	<p><i>Agency Response:</i> The Department will evaluate options for independently verifying that Ryan White HIV Formula Care Grant participants report all their income when applying for benefits or when benefits are recertified and implement one if a cost-effective process is identified that is determined to be</p>

<sup>105</sup> OLV provides a single source for verifying data gathered during the eligibility determination process, and allows a caseworker to search for required information from various state and federal systems.

<sup>106</sup> 2 CFR 200.303

**93.917 HIV CARE FORMULA GRANTS (continued)****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
2016-059	<p>necessary to provide reasonable assurance that the award is managed in compliance with federal requirements.</p> <p>Utilizing the Online Verification (OLV) system for the purpose of determining that a Ryan White HIV Formula Care Grant participant reported all his/her income is not permitted under the terms of the Information Exchange Agreement (IEA) between the Department and the Social Security Administration (SSA). The IEA specifically states that data in the OLV provided by the SSA is owned by the SSA and that "The State Agency will use each identified data exchange system only for the purpose of administering the specific program for which access to the data exchange system is provided. SSA data exchange systems are protected by the Privacy Act and Federal law prohibits the use of SSA data for any purpose other than the purpose of administering the specific program for which such data is disclosed." The Ryan White HIV Formula Care Grant administered by the Division of Public Health is not listed as a program for which the SSA data provided pursuant to the IEA may be used.</p> <p>Thus, the Department will evaluate other options.</p> <p><u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u></p> <p>The Department did not adequately monitor \$1 billion in federal funds passed to counties, non-profits, and other organizations (collectively called subrecipients). See finding 2016-002 for a description.</p>
Subrecipient Monitoring:  Significant Deficiency	

**93.958 BLOCK GRANTS FOR COMMUNITY MENTAL HEALTH SERVICES****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-060	Subrecipient Monitoring:  Significant Deficiency	<u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u>  The Department did not adequately monitor \$1 billion in federal funds passed to counties, non-profits, and other organizations (collectively called subrecipients). See finding 2016-002 for a description.

**93.959 BLOCK GRANTS FOR PREVENTION AND TREATMENT OF SUBSTANCE ABUSE****III. Federal Award Findings and Questioned Costs**

U.S. Department of Health and Human Services

N.C. Department of Health and Human Services

For the Fiscal Year Ended June 30, 2016

	Type of Finding/ Questioned Costs	Findings and Recommendations
2016-061	Subrecipient Monitoring:  Significant Deficiency	<u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u>  The Department did not adequately monitor \$1 billion in federal funds passed to counties, non-profits, and other organizations (collectively called subrecipients). See finding 2016-002 for a description.

**RESEARCH AND DEVELOPMENT CLUSTER****III. Federal Award Findings and Questioned Costs**

Various Federal Agencies (Note A)

University of North Carolina at Chapel Hill

For the Fiscal Year Ended June 30, 2016

2016-062	Type of Finding/ Questioned Costs	Findings and Recommendations
	Cash Management:  Material Weakness  Material Noncompliance	<p data-bbox="537 541 1192 569"><u>Failure to Complete Required Federal Award Closeouts</u></p> <p data-bbox="537 611 1464 730">The University did not complete closeout reconciliations of cash receipts and expenditures<sup>107</sup> for federally sponsored research and development (R&amp;D) awards. During fiscal years 2014 - 2016, the University expended approximately \$1.8 billion on federally sponsored R&amp;D awards.</p> <p data-bbox="537 768 1464 888">Auditors reviewed queries of University information system award data and other award documentation. Auditors determined that 3,063 (63%) of 4,839 awards from the 2014-2016 fiscal years were required to be closed out but remained open as of June 30, 2016.</p> <p data-bbox="537 926 1464 1129">The financial impact of the incomplete closeout reconciliations is unknown. University management said that the awards have not been reconciled by Office of Sponsored Research (OSR) personnel to determine if any amounts should be refunded to or recovered from the federal government. Also, University management was unable to provide auditors with a reliable dollar amount of expenditures for the awards that were not closed out; therefore, the financial impact could not be determined.</p> <p data-bbox="537 1167 1464 1314">Failure to perform closeout reconciliations for federally sponsored R&amp;D awards increases the likelihood that the University will not identify overbilled amounts<sup>108</sup>, leading to additional interest charges or penalties. In addition, the University may be unable to recover underbilled amounts<sup>108</sup>, causing it to use University funds that would otherwise be available for other purposes.</p> <p data-bbox="537 1352 1464 1556">According to the University, inadequate staffing levels prevented completion of the closeout reconciliations. University management said the OSR was staffed at 64% of budgeted positions in fiscal year 2016 with comparable staffing levels in fiscal years 2014 and 2015. OSR management elected not to allocate additional staff to perform closeout reconciliations due to ongoing issues associated with the new accounting system implementation which began in October 2014.</p> <p data-bbox="537 1593 1464 1680">Federal regulations<sup>109</sup> require the University to complete specific closeout actions for federal awards that have ended. The University must promptly refund any excess amounts that the University is not authorized to retain.</p>

<sup>107</sup> The process by which the University determines that all applicable administrative actions and all required work of the Federal award have been completed and takes action as described in 2 CFR 200.343: Closeout.

<sup>108</sup> If the University billed the award sponsor for more than the actual amount of expenditures, the University would owe a refund to the sponsor for the overbilled amount. If the University did not bill the award sponsor for all eligible expenditures, it could seek reimbursement for the underbilled amount

<sup>109</sup> 2 CFR 200.345

**RESEARCH AND DEVELOPMENT CLUSTER** (continued)**III. Federal Award Findings and Questioned Costs**

Various Federal Agencies (Note A)

University of North Carolina at Chapel Hill

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p>Unreturned amounts constitute a debt to the federal government and can incur interest charges.</p> <p><i>Federal Award Information:</i> This finding impacts federal research and development funding for July 1, 2013, through June 30, 2016.</p> <p>The specific CFDA numbers for the Research and Development Cluster are identified in the Schedule of Expenditures of Federal Awards (By State Agency) for the University of North Carolina at Chapel Hill.</p> <p>The following CFDA numbers from the 2014 Schedule of Expenditures of Federal Awards are impacted by this finding: 10.206; 11.433; 11.463; 14.516; 19.040; 20.205; 45.163; 84.381; 93.051; 93.224; 93.272; 93.282; 93.531; 93.631; 93.648; 93.721; 93.727; 93.730; 93.822; 94.006.</p> <p>The following CFDA numbers from the 2015 Schedule of Expenditures of Federal Awards are impacted by the finding: 10.212; 10.500; 11.420; 12.556; 12.901; 45.160; 45.169; 45.301; 47.082; 66.202; 81.135; 84.133; 84.170; 93.004; 93.233; 93.389; 93.414; 93.512; 93.647; 93.708; 93.715; 93.726; 93.991; 93.999; 97.044.</p> <p>The following CFDA numbers from the 2016 Schedule of Expenditures of Federal Awards are impacted by this finding: 10.001; 10.253; 10.310; 10.902; 11.012; 11.303; 11.431; 11.459; 12.300; 12.351; 12.420; 12.431; 12.800; 12.910; 14.267; 15.668; 15.808; 15.810; 15.945; 16.560; 19.415; 20.200; 20.215; 43.001; 45.024; 45.149; 45.161; 45.164; 45.312; 45.313; 47.041; 47.049; 47.050; 47.070; 47.074; 47.075; 47.076; 47.078; 47.079; 47.080; 66.034; 66.424; 66.509; 66.511; 66.514; 66.516; 81.049; 84.015; 84.022; 84.116; 84.129; 84.200; 84.220; 84.305; 84.324; 84.325; 84.326; 84.327; 84.373; 93.000; 93.067; 93.068; 93.073; 93.077; 93.088; 93.103; 93.107; 93.110; 93.113; 93.117; 93.121; 93.135; 93.136; 93.145; 93.153; 93.155; 93.172; 93.173; 93.178; 93.184; 93.186; 93.213; 93.225; 93.226; 93.241; 93.242; 93.243; 93.247; 93.262; 93.270; 93.273; 93.279; 93.283; 93.286; 93.292; 93.300; 93.307; 93.310; 93.350; 93.351; 93.361; 93.393; 93.394; 93.395; 93.396; 93.397; 93.398; 93.399; 93.424; 93.505; 93.516; 93.600; 93.601; 93.610; 93.632; 93.652; 93.670; 93.701; 93.718; 93.823; 93.837; 93.838; 93.839; 93.846; 93.847; 93.853; 93.855; 93.859; 93.866; 93.867; 93.879; 93.884; 93.918; 93.924; 93.928; 93.941; 93.943; 93.945; 93.946; 93.964; 93.969; 93.989; 94.019; 97.061; 98.001; 98.012.</p> <p><i>Recommendation:</i> The University's management should ensure that adequate staff are allocated to complete federally sponsored R&amp;D award closeouts.</p>

**RESEARCH AND DEVELOPMENT CLUSTER** (continued)**III. Federal Award Findings and Questioned Costs**

Various Federal Agencies (Note A)

University of North Carolina at Chapel Hill

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<p><i>Agency Response:</i> The University acknowledges its challenges with respect to the timely closing out of federal awards.</p> <p>As previously discussed with the audit team, issues developed during the implementation of the University's new accounting system, which rolled out in the first quarter of FY15. In addition, due to rapid growth in the University's research portfolio, the Office of Sponsored Research (OSR), which is principally responsible for the award closeout and reconciliation processes, faced staffing challenges. These issues concerning conversion and staffing contributed to the audit finding. At this time, the University estimates that the financial impact of the incomplete closeout reconciliations is not material in relation to the University's research portfolio during the applicable period.</p> <p>Responsive to the Audit Findings and Recommendations, the University has taken the following corrective actions:</p> <ul style="list-style-type: none"> <li>• Engaged the expertise of an external consulting firm focused on resolving the challenges created by the rapid growth in the University's research portfolio, the transition to a new accounting system and staffing levels in the OSR.</li> <li>• Conducted a formal staffing assessment of the OSR and established an additional 37 FTEs to accommodate the University's current research portfolio and to ensure proper resourcing of OSR functions, including the closeout process.</li> <li>• Created and staffed a team dedicated to final closeout and reconciliation processes, and that team is actively working through the population of awards requiring final closeout and reconciliation.</li> </ul> <p>With additional dedicated resources engaged, we anticipate that by the conclusion of FY17, the University will have closed out and reconciled all federal awards ending in that fiscal year. The University's Office of the Vice Chancellor for Research has responsibility for this timeline and the corrective actions discussed above. For awards ending prior to FY17, we are engaged in ongoing conversations with the government to remediate closeout and reconciliation issues.</p>

**RESEARCH AND DEVELOPMENT CLUSTER** (continued)**III. Federal Award Findings and Questioned Costs**

Various Federal Agencies (Note A)

University of North Carolina at Chapel Hill

For the Fiscal Year Ended June 30, 2016

Type of Finding/ Questioned Costs	Findings and Recommendations
	<b>Note A:</b> The following federal agencies provided direct funding to the Research and Development Cluster:
	U.S. Department of Agriculture
	U.S. Department of Commerce
	U.S. Department of Defense
	U.S. Central Intelligence Agency
	U.S. Department of Housing and Urban Development
	U.S. Department of Interior
	U.S. Department of Justice
	U.S. Department of State
	U.S. Department of Transportation
	U.S. National Aeronautics & Space Administration
	U.S. National Foundation on the Arts and the Humanities
	U.S. National Science Foundation
	U.S. Smithsonian Institution
	U.S. Environmental Protection Agency
	U.S. Department of Energy
	U.S. Department of Education
	U.S. Department of Health and Human Services
	U.S. Department of Homeland Security
	U.S. Agency for International Development

**Summary of Findings and Questioned Costs**

**Summary of Findings and Questioned Costs  
By Federal Agency**

For the Fiscal Year Ended June 30, 2016

Federal Agency	CFDA	Finding Number	Finding	Questioned Costs	
U.S. Department of Agriculture:	10.551	2016-001	Errors In SNAP Notifications, Benefit Calculations and Eligibility Determinations	\$ -	
					-
	10.561	2016-002	Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds	-	
		2016-003	Counties Were Not Adequately Monitored	-	
Total Federal Agency			-		
U.S. Department of Transportation:	20.205	2016-004	No Documentation to Support Selecting Lower Ranked Highway Consultant Firms	-	
		2016-005	Highway Quality Potentially At Risk Due to Insufficient Testing	-	
					-
Total Federal Agency			-		
U.S. Department of Education:	84.007	2016-006	University Disbursed Funds to Ineligible Students	3,000	
		2016-007	Errors in Calculation for Return of Title IV Funds	-	
		2016-008	Untimely Return of Title IV Funds	-	
				3,000	
	84.010	2016-009	Fiscal Monitoring Results Were Delivered Late	-	
				-	
	84.027	2016-010	Fiscal Monitoring Results Were Delivered Late	-	
				-	
	84.033	2016-011	Errors in Calculation for Return of Title IV Funds	-	
				2016-012	University Disbursed Funds to Ineligible Students
	84.048	2016-013	Fiscal Monitoring Results Were Delivered Late	-	
				-	
	84.063	2016-014	Student Financial Aid Over-Awards	1,257	
			2016-015	Enrollment Status Reporting Errors	-
			2016-016	Enrollment Status Reporting Errors	-
			2016-017	Errors in Calculation for Return of Title IV Funds	-
			2016-018	University Disbursed Funds to Ineligible Students	48,338
			2016-019	Errors in Calculation for Return of Title IV Funds	-
			2016-020	Enrollment Status Reporting Errors	-
			2016-021	Enrollment Status Reporting Errors	-
			2016-022	Untimely Return of Title IV Funds	-
			2016-023	Enrollment Status Reporting Errors	-

**Summary of Findings and Questioned Costs  
By Federal Agency**

For the Fiscal Year Ended June 30, 2016

Federal Agency	CFDA	Finding Number	Finding	Questioned Costs	
U.S. Department of Education: (continued)	84.063	2016-024	Enrollment Status Reporting Errors	-	
				<u>49,595</u>	
	84.126	2016-025	Errors in Medical Claim Payment Process	9,513	
		2016-026	Testing of Changes to the Vocational Rehabilitation Eligibility System Unable to be Verified	-	
		2016-027	Deficiencies in System Access Controls	-	
		2016-028	\$10.5 Million in Pre-Employment Transition Services Not Spent on Students with Disabilities	-	
				<u>9,513</u>	
	84.173	2016-029	Fiscal Monitoring Results Were Delivered Late	-	
				-	
	84.268	2016-030	Enrollment Status Reporting Errors	-	
		2016-031	University Disbursed Funds to Ineligible Students	70,493	
		2016-032	Errors in Calculation for Return of Title IV Funds	-	
		2016-033	Noncompliance in Administration of Direct Loans	-	
		2016-034	Errors in Required Direct Loan Reconciliations	-	
		2016-035	Enrollment Status Reporting Errors	-	
		2016-036	Enrollment Status Reporting Errors	-	
		2016-037	Enrollment Status Reporting Errors	<u>70,493</u>	
	84.367	2016-038	Fiscal Monitoring Results Were Delivered Late	-	
				-	
				Total Federal Agency	<u>136,426</u>
	U.S. Department of Health and Human Services:	93.558	2016-039	Deficiencies in County Eligibility Determination Process	18,316
			2016-040	Five-Year Limit Not Monitored for the Temporary Assistance for Needy Families (TANF) Program	-
			2016-041	Inaccurate TANF Data on Families Was Submitted to the Federal Government	-
2016-042			Inadequate Subrecipient Monitoring Increased Risk of Wasted	-	
				<u>18,316</u>	
93.568		2016-043	Results from Site Visits Not Timely Communicated	-	
		2016-044	Deficiency in System Access and Change Controls	-	
		2016-045	Weatherization Funds Were Overspent	8,761,294	
		2016-046	Inaccurate Household Information Reported to the Federal	-	
		2016-047	Counties Were Not Properly Monitored	-	
		2016-048	Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds	-	
				<u>8,761,294</u>	
93.575		2016-049	Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds	-	
				-	

**Summary of Findings and Questioned Costs  
By Federal Agency**

For the Fiscal Year Ended June 30, 2016

Federal Agency	CFDA	Finding Number	Finding	Questioned Costs		
U.S. Department of Health and Human Services: (continued)	93.596	2016-050	Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds	-		
				-		
	93.667	2016-051	Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds	-		
				-		
	93.767	2016-052	Errors in Children's Health Insurance Provider Billing and Payment Process	5,670		
				2016-053	Deficiencies in County Eligibility Determination Process	13,499
				2016-054	Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds	-
					<u>19,169</u>	
	93.778	2016-055	Errors in Medicaid Provider Billing and Payment Process	4,699		
				2016-056	Deficiencies in County Eligibility Determination Process	963,881
				2016-057	Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds	-
					<u>968,580</u>	
	93.917	2016-058	No Procedures to Identify Undisclosed Income for Recipients of HIV Services	6,569		
2016-059				Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds	-	
				<u>6,569</u>		
93.958	2016-060	Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds	-			
				-		
93.959	2016-061	Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds	-			
				-		
Total Federal Agency				<u>9,773,928</u>		
Various Federal Agencies:	Note A	2016-062	Failure to Complete Required Federal Award Closeouts	-		
				-		
Total Federal Agency				<u>-</u>		
Total Questioned Costs				<u>\$ 9,910,354</u>		

Note A

This finding is related to the Research and Development cluster. The federal agencies and CFDA numbers are identified in the audit finding.

**Summary of Findings and Questioned Costs  
By State Agency**

For the Fiscal Year Ended June 30, 2016

State Agency		Finding Numbers	Questioned Costs
Asheville-Buncombe Community College:	1 Student Financial Aid Over-Awards	2016-014	1,257
	2 Enrollment Status Reporting Errors	2016-015, 2016-030	-
		Total State Agency	<u>1,257</u>
Central Carolina Community College:	3 Errors in Calculation for Return of Title IV Funds	2016-011, 2016-017	-
	4 Enrollment Status Reporting Errors	2016-016	-
		Total State Agency	<u>-</u>
Elizabeth City State University:	5 University Disbursed Funds to Ineligible Students	2016-006, 2016-012, 2016-018, 2016-031	125,656
	6 Errors in Calculation for Return of Title IV Funds	2016-007, 2016-019, 2016-032	-
	7 Noncompliance in Administration of Direct Loans	2016-033	-
	8 Errors in Required Direct Loan Reconciliations	2016-034	-
		Total State Agency	<u>125,656</u>
Environmental Quality	9 Results from Site Visits Not Communicated Timely	2016-043	-
	10 Deficiency in System Access and Change Controls	2016-044	-
		Total State Agency	<u>-</u>
Forsyth Technical Community College:	11 Enrollment Status Reporting Errors	2016-020, 2016-035	-
		Total State Agency	<u>-</u>

## Summary of Findings and Questioned Costs By State Agency

For the Fiscal Year Ended June 30, 2016

State Agency		Finding Numbers	Questioned Costs		
Health and Human Services:	12	Errors in SNAP Notifications, Benefit Calculations and Eligibility Determinations	2016-001	-	
	13	Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds	2016-002, 2016-042, 2016-048, 2016-049, 2016-050, 2016-051, 2016-054, 2016-057, 2016-059, 2016-060, 2016-061	-	
	14	Counties Were Not Adequately Monitored	2016-003	-	
	15	Errors in Medical Claim Payment Process	2016-025	9,513	
	16	Test of Changes to the Vocational Rehabilitation Eligibility System Unable to be Verified	2016-026	-	
	17	Deficiencies in System Access Controls	2016-027	-	
	18	\$10.5 Million in Pre-Employment Transition Services Not Spent on Students with Disabilities	2016-028	-	
	19	Deficiencies in County Eligibility Determination Process	2016-039	18,316	
	20	Five-Year Limit Not Monitored for the Temporary Assistance for Needy Families (TANF) Program	2016-040	-	
	21	Inaccurate TANF Data on Families Submitted to the Federal Government	2016-041	-	
	22	Weatherization Funds Were Overspent	2016-045	8,761,294	
	23	Inaccurate Household Information Reported to the Federal Government	2016-046	-	
	24	Counties Were Not Adequately Monitored	2016-047	-	
	25	Errors in Children's Health Insurance Provider Billing and Payment Process	2016-052	5,670	
	26	Deficiencies in County Eligibility Determination Process	2016-053	13,499	
	27	Errors in Medicaid Provider Billing and Payment Process	2016-055	4,699	
	28	Deficiencies in County Eligibility Determination Process	2016-056	963,881	
	29	No Procedures to Identify Undisclosed Income for Recipients of HIV Services	2016-058	6,569	
			Total State Agency	<u>9,783,441</u>	
	Mitchell Community College:	30	Untimely Return of Title IV Funds	2016-008, 2016-022	-
		31	Enrollment Status Reporting Errors	2016-021	-
				Total State Agency	<u>-</u>
	North Carolina Agricultural and Technical State University	32	Enrollment Status Reporting Errors	2016-023, 2016-036	-
				Total State Agency	<u>-</u>

**Summary of Findings and Questioned Costs  
By State Agency**

For the Fiscal Year Ended June 30, 2016

State Agency		Finding Numbers	Questioned Costs
North Carolina State University:	33 Enrollment Status Reporting Errors	2016-024, 2016-037	-
		Total State Agency	-
Public Instruction:	34 Fiscal Monitoring Results Were Delivered Late	2016-009, 2016-010, 2016-013, 2016-029, 2016-038	-
		Total State Agency	-
Transportation:	35 No Documentation to Support Selecting Lower Ranked Highway Consultant Firms	2016-004	-
	36 Highway Quality Potentially At Risk Due to Insufficient Testing	2016-005	-
		Total State Agency	-
University of North Carolina at Chapel Hill:	37 Failure to Complete Required Federal Award Closeouts	2016-062	-
		Total State Agency	-
Total Questioned Costs			\$ <u><u>9,910,354</u></u>

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## **AUDITEE'S SECTION**

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**Schedule of Expenditures of Federal Awards  
For the Year Ended June 30, 2016**

**Prepared by  
Office of the State Controller**

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (SUMMARY)**

For the Fiscal Year Ended June 30, 2016

<b>Federal CFDA Number</b>	<b>Program Expenditures</b>	<b>Amount Provided to Subrecipients</b>	<b>CFDA Program Title or Cluster Title</b>
AGEC	31,711,256	27,514,185	Aging Cluster
CCDF	267,367,671	247,313,243	CCDF Cluster
CDBG	12,182		CDBG - Entitlement Grants Cluster
CFLG	100,000	100,000	Community Facilities Loans and Grants Cluster
CHNC	586,212,810	584,966,242	Child Nutrition Cluster
CWSR	34,758,217	24,168,000	Clean Water State Fund Revolving Cluster
DISI	63,272,639		Disability Insurance/SSI Cluster
DWSR	100,122,535	57,076,796	Drinking Water State Revolving Fund Cluster
EFAC	22,946,014	22,057,813	Food Distribution Cluster
EMPS	30,711,899		Employment Service Cluster
F&WC	28,529,063	64,020	Fish and Wildlife Cluster
FEDT	355,540	355,540	Federal Transit Cluster
FGSC	624,381		Foster Grandparent/Senior Companion Cluster
HCCL	2,991,786	2,069,894	Health Center Program Cluster
HPCC	972,684,301	38,232,650	Highway Planning and Construction Cluster
HVCL	4,357,450	3,930,810	Housing Voucher Cluster
HWSC	11,318,672	3,699,717	Highway Safety Cluster
MEDC	8,859,392,052	228,650,473	Medicaid Cluster
PWED	1,802,922		Economic Development Cluster
RD	862,962,354	170,043,248	Research and Development Cluster
SFAC	2,193,465,428	2,409,122	Student Financial Aid Cluster
SNAP	2,407,695,032	89,404,797	SNAP Cluster
SPED	346,125,853	331,100,407	Special Education Cluster (IDEA)
TANF	239,967,326	186,261,889	TANF Cluster
TRIO	16,994,584	48,926	TRIO Cluster
TSPC	9,234,303	7,765,437	Transit Services Program Cluster
WIOA	87,474,095	72,293,460	WIA/WIOA Cluster
10.001	26,118		Agricultural Research-Basic and Applied Research
10.025	1,948,092		Plant and Animal Disease, Pest Control, and Animal Care
10.028	40,000		Wildlife Services
10.053	11,336		Dairy Indemnity Program
10.163	188,765		Market Protection and Promotion
10.168	44,773		Farmers' Market and Local Food Promotion Program
10.170	1,089,642		Specialty Crop Block Grant Program - Farm Bill
10.200	49,526		Grants for Agricultural Research, Special Research Grants
10.203	265,599		Payments to Agricultural Experiment Stations Under the Hatch Act
10.206	3,131,210	155,169	Grants for Agricultural Research-Competitive Research Grants
10.210	16,794		Higher Education - Graduate Fellowships Grant Program
10.215	44,458		Sustainable Agriculture Research and Education
10.216	548,192	18,033	1890 Institution Capacity Building Grants
10.217	98,730	40,726	Higher Education - Institution Challenge Grants Program
10.220	101,895		Higher Education - Multicultural Scholars Grant Program
10.224	(1,384)		Fund for Rural America-Research, Education, and Extension Activities
10.225	762		Community Food Projects
10.250	71,047		Agricultural and Rural Economic Research, Cooperative Agreements and Collaborations
10.253	75,607	12,194	Consumer Data and Nutrition Research
10.303	119,811	40,563	Integrated Programs
10.304	125,205		Homeland Security-Agricultural
10.310	1,265,838	167,526	Agriculture and Food Research Initiative (AFRI)
10.311	3,024		Beginning Farmer and Rancher Development Program
10.318	5,251		Women and Minorities in Science, Technology, Engineering, and Mathematics Fields
10.329	1,045,939	260,339	Crop Protection and Pest Management Competitive Grants Program
10.435	118,019		State Mediation Grants
10.443	43,423	4,900	Outreach and Assistance for Socially Disadvantaged and Veteran Farmers and Ranchers
10.455	(1)		Community Outreach and Assistance Partnership Program
10.475	4,196,705		Cooperative Agreements with States for Intrastate Meat and Poultry Inspection
10.479	77,293		Food Safety Cooperative Agreements
10.500	2,668,827	264,583	Cooperative Extension Service
10.543	1,677		Healthier US School Challenge: Smarter Lunchrooms
10.557	181,681,497	47,111,630	Special Supplemental Nutrition Program for Women, Infants, and Children
10.558	101,239,024	100,015,915	Child and Adult Care Food Program

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (SUMMARY)**

For the Fiscal Year Ended June 30, 2016

<b>Federal CFDA Number</b>	<b>Program Expenditures</b>	<b>Amount Provided to Subrecipients</b>	<b>CFDA Program Title or Cluster Title</b>
10.560	9,292,217		State Administrative Expenses for Child Nutrition
10.567	181,253	135,073	Food Distribution Program on Indian Reservations
10.572	144,147		WIC Farmers' Market Nutrition Program (FMNP)
10.576	65,418		Senior Farmers Market Nutrition Program
10.578	4,736,324	1,500	WIC Grants To States (WGS)
10.579	1,068,354	1,068,354	Child Nutrition Discretionary Grants Limited Availability
10.582	4,270,496	4,177,738	Fresh Fruit and Vegetable Program
10.600	9,224		Foreign Market Development Cooperator Program
10.614	15,474		Scientific Cooperation Exchange Program with China
10.652	845,593	13,000	Forestry Research
10.664	3,520,796		Cooperative Forestry Assistance
10.674	47,068		Wood Utilization Assistance
10.676	3,202,787		Forest Legacy Program
10.678	120,162		Forest Stewardship Program
10.680	828,168		Forest Health Protection
10.681	30,321		Wood Education and Resource Center (WERC)
10.769	22,752		Rural Business Enterprise Grants
10.855	131,352		Distance Learning and Telemedicine Loans and Grants
10.868	4,031		Rural Energy for America Program
10.902	651,627		Soil and Water Conservation
10.903	51,603		Soil Survey
10.912	567,090	239,669	Environmental Quality Incentives Program
10.960	30,509		Technical Agricultural Assistance
10.962	84,739		Cochran Fellowship Program-International Training-Foreign Participant
10.U01	652,088		U. S. Department of Agriculture
10.U02	66,869		U. S. Department of Agriculture
10.U03	19,782		U. S. Department of Agriculture
10.U04	7,544		U. S. Department of Agriculture
10.U05	73,376		U. S. Department of Agriculture
10.U06	274,691		U. S. Department of Agriculture
10.U07	1,000		U. S. Department of Agriculture
10.U08	67,062		U. S. Department of Agriculture
10.U09	91,953		U. S. Department of Agriculture
10.U10	3,124		U. S. Department of Agriculture
11.303	277,571		Economic Development-Technical Assistance
11.417	490,821	23,293	Sea Grant Support
11.427	127,327	27,150	Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program
11.431	53,443		Climate and Atmospheric Research
11.433	108,781	82,100	Marine Fisheries Initiative
11.435	91,628		Southeast Area Monitoring and Assessment Program
11.439	91,070		Marine Mammal Data Program
11.440	79,794		Environmental Sciences, Applications, Data, and Education
11.459	31,392		Weather and Air Quality Research
11.463	368,490		Habitat Conservation
11.467	13,258		Meteorologic and Hydrologic Modernization Development
11.469	5,544		Congressionally Identified Awards and Projects
11.472	34,000		Unallied Science Program
11.478	44,939		Center for Sponsored Coastal Ocean Research-Coastal Ocean Program
11.558	465,374		State Broadband Data and Development Grant Program
11.609	240,690		Measurement and Engineering Research and Standards
11.611	3,001,123	605,630	Manufacturing Extension Partnership
11.619	206,101		Arrangements for Interdisciplinary Research Infrastructure
11.620	108,371		Science, Technology, Business and/or Education Outreach
11.U01	8,688	10,451	U. S. Department of Commerce
11.U02	81,817		U. S. Department of Commerce
11.U03	129,511		U. S. Department of Commerce
12.002	460,844		Procurement Technical Assistance For Business Firms
12.114	49,557		Collaborative Research and Development
12.300	2,522,950	154,515	Basic and Applied Scientific Research
12.357	35,999		ROTC Language and Culture Training Grants
12.401	22,831,938		National Guard Military Operations and Maintenance (O&M) Projects
12.404	5,264,110		National Guard ChalleNGe Program

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (SUMMARY)**

For the Fiscal Year Ended June 30, 2016

<b>Federal CFDA Number</b>	<b>Program Expenditures</b>	<b>Amount Provided to Subrecipients</b>	<b>CFDA Program Title or Cluster Title</b>
12.420	678,936	76,409	Military Medical Research and Development
12.431	2,039,206	171,047	Basic Scientific Research
12.556	7,645		Competitive Grants: Promoting K-12 Student Achievement at Military-Connected Schools
12.560	115,776	572	DOD, NDEP, DOTC-STEM Education Outreach Implementation
12.579	1,739,765		Language Training Center
12.610	163,122		Community Economic Adjustment Assistance for Compatible Use and Joint Land Use Studies
12.630	823,435	83,009	Basic, Applied, and Advanced Research in Science and Engineering
12.631	932	(373)	Science, Technology, Engineering and Mathematics (STEM) Educational Program: Science, Mathematics And Research for Transformation (SMART)
12.750	71,190		Uniformed Services University Medical Research Projects
12.800	564,993	415,450	Air Force Defense Research Sciences Program
12.901	36,623		Mathematical Sciences Grants Program
12.903	68,743		GenCyber Grants Program
12.U01	1,125,098		U. S. Department of Defense
12.U02	137,657		U. S. Department of Defense
12.U03	10,000		U. S. Department of Defense
12.U04	111,588		U. S. Department of Defense
12.U05	11,216		U. S. Department of Defense
12.U06	304,208		U. S. Department of Defense
12.U07	218,810		U. S. Department of Defense
12.U08	37,938		U. S. Department of Defense
12.U09	4,161		U. S. Department of Defense
12.U10	34,796	6,989	U. S. Department of Defense
12.U11	103,183		U. S. Department of Defense
12.U12	5,317		U. S. Department of Defense
12.U13	112,411		U. S. Department of Defense
12.U14	13,944		U. S. Department of Defense
12.U15	20,571		U. S. Department of Defense
12.U16	14,613		U. S. Department of Defense
12.U17	22,706		U. S. Department of Defense
12.U18	17,196		U. S. Department of Defense
12.U19	29,810		U. S. Department of Defense
12.U20	620		U. S. Department of Defense
12.U21	12,226		U. S. Department of Defense
12.U22	23,620		U. S. Department of Defense
13.U01	(3,156)		U. S. Central Intelligence Agency
14.169	114,238		Housing Counseling Assistance Program
14.171	10,323		Manufactured Home Dispute Resolution
14.228	29,266,998	26,922,778	Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii
14.231	4,537,842	4,211,005	Emergency Solutions Grant Program
14.241	1,865,250	407,185	Housing Opportunities for Persons with AIDS
14.401	142,057		Fair Housing Assistance Program-State and Local
14.520	(9,069)		Historically Black Colleges and Universities Program
14.704	1,117		Community Challenge Planning Grants and the Department of Transportation's TIGER II Planning Grants
14.906	30,426		Healthy Homes Technical Studies Grants
14.U01	20,364	19,489	U. S. Department of Housing and Urban Development
15.231	19,878		Fish, Wildlife and Plant Conservation Resource Management
15.424	129,101	5,000	Marine Minerals Activities - Hurricane Sandy
15.608	140,970		Fish and Wildlife Management Assistance
15.615	971,014		Cooperative Endangered Species Conservation Fund
15.616	103,389	88,678	Clean Vessel Act Program
15.621	11,226		Asian Elephant Conservation Fund
15.622	110,762		Sportfishing and Boating Safety Act
15.626	249,881		Enhanced Hunter Education and Safety Program
15.634	1,720,241		State Wildlife Grants
15.637	41,544	11,192	Migratory Bird Joint Ventures
15.650	47,433		Research Grants (Generic)
15.657	180,655		Endangered Species Conservation - Recovery Implementation Funds
15.660	9,520		Endangered Species - Candidate Conservation Action Funds
15.669	54,259		Cooperative Landscape Conservation
15.808	70,103		U. S. Geological Survey- Research and Data Collection
15.808	40,000		U. S. Geological Survey-Research and Data Collection
15.815	18,089		National Land Remote Sensing - Education Outreach and Research

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (SUMMARY)**

For the Fiscal Year Ended June 30, 2016

<b>Federal CFDA Number</b>	<b>Program Expenditures</b>	<b>Amount Provided to Subrecipients</b>	<b>CFDA Program Title or Cluster Title</b>
15.820	19,482		National Climate Change and Wildlife Science Center
15.904	966,901	104,368	Historic Preservation Fund Grants-In-Aid
15.916	139,188	139,188	Outdoor Recreation-Acquisition, Development and Planning
15.925	4,138		National Maritime Heritage Grants Program
15.931	17,818		Conservation Activities by Youth Service Organizations
15.945	423,035		Cooperative Research and Training Programs - Resources of the National Park System
16.013	15,827		Violence Against Women Act Court Training and Improvement Grants
16.017	328,516	328,516	Sexual Assault Services Formula Program
16.523	56,550	56,550	Juvenile Accountability Block Grants
16.525	109,278		Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus
16.540	284,760	190,890	Juvenile Justice and Delinquency Prevention-Allocation to States
16.543	376,325		Missing Children's Assistance
16.554	327,671		National Criminal History Improvement Program (NCHIP)
16.560	596,348		National Institute of Justice Research, Evaluation, and Development Project Grants
16.575	19,225,145	14,762,974	Crime Victim Assistance
16.576	1,334,928	1,081,516	Crime Victim Compensation
16.582	142,517	28,951	Crime Victim Assistance/Discretionary Grants
16.588	3,284,220	2,258,907	Violence Against Women Formula Grants
16.590	75,993		Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program
16.593	383,624		Residential Substance Abuse Treatment for State Prisoners
16.601	133,893		Corrections-Training and Staff Development
16.606	1,915,850		State Criminal Alien Assistance Program
16.609	40,534		Project Safe Neighborhoods
16.710	85,798		Public Safety Partnership and Community Policing Grants
16.726	284,744	3,583	Juvenile Mentoring Program
16.735	50,638		PREA Program: Demonstration Projects to Establish "Zero Tolerance" Cultures for Sexual Assault in Correctional Facilities
16.738	4,940,363	2,449,273	Edward Byrne Memorial Justice Assistance Grant Program
16.740	270,744		Statewide Automated Victim Information Notification (SAVIN) Program
16.741	2,029,708		DNA Backlog Reduction Program
16.742	243,255	237,253	Paul Coverdell Forensic Sciences Improvement Grant Program
16.746	52,292		Capital Case Litigation Initiative
16.750	175,401		Support for Adam Walsh Act Implementation Grant Program
16.751	117,426		Edward Byrne Memorial Competitive Grant Program
16.752	140,242		Economic High-Tech and Cyber Crime Prevention
16.754	121,692	92,624	Harold Rogers Prescription Drug Monitoring Program
16.758	33,006		Improving the Investigation and Prosecution of Child Abuse and the Regional and Local Children's Advocacy Centers
16.812	74,654		Second Chance Act Reentry Initiative
16.816	46,315	46,315	John R. Justice Prosecutors and Defenders Incentive Act
16.817	24,938		Byrne Criminal Justice Innovation Program
16.827	65,195		Justice Reinvestment Initiative
16.922	1,447,531		Equitable Sharing Program
16.U01	72,661		U. S. Department of Justice
17.002	1,729,013		Labor Force Statistics
17.005	146,080		Compensation and Working Conditions
17.225	300,852,997		Unemployment Insurance
17.235	2,430,796	2,348,388	Senior Community Service Employment Program
17.245	6,818,274		Trade Adjustment Assistance
17.260	1,263,670		WIA Dislocated Workers
17.261	498,825		WIA/WIOA Pilots, Demonstrations, and Research Projects
17.265	243,163	41,107	Native American Employment and Training
17.268	1,629,486	681,074	H-1B Job Training Grants
17.271	449,594		Work Opportunity Tax Credit Program (WOTC)
17.273	586,142		Temporary Labor Certification for Foreign Workers
17.277	2,445,444	2,334,259	WIOA National Dislocated Worker Grants / WIA National Emergency Grants
17.280	18,759		WIA/WIOA Dislocated Worker National Reserve Demonstration Grants
17.281	2,252,467		WIA/WIOA Dislocated Worker National Reserve Technical Assistance and Training
17.282	12,184,456		Trade Adjustment Assistance Community College and Career Training (TAACCCT) Grants
17.502	44,971		Occupational Safety and Health-Susan Harwood Training Grants
17.503	5,078,146		Occupational Safety and Health - State Program
17.504	1,514,156		Consultation Agreements
17.600	226,719		Mine Health and Safety Grants

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (SUMMARY)**

For the Fiscal Year Ended June 30, 2016

<b>Federal CFDA Number</b>	<b>Program Expenditures</b>	<b>Amount Provided to Subrecipients</b>	<b>CFDA Program Title or Cluster Title</b>
17.U01	9,785		U. S. Department of Labor
19.009	19,573		Academic Exchange Programs - Undergraduate Programs
19.021	15,587		Investing in People in The Middle East and North Africa
19.040	68,280		Public Diplomacy Programs
19.432	(898)		Academic Exchange Programs - Educational Advising and Student Services
19.501	66		Public Diplomacy Programs for Afghanistan and Pakistan
19.900	10,507	3,462	AEECA/ESF PD Programs
19.U01	20,425		U. S. Department of State
19.U02	636		U. S. Department of State
20.106	12,178,699	12,130,369	Airport Improvement Program
20.200	43,455		Highway Research and Development Program
20.215	90,416		Highway Training and Education
20.218	4,292,747		National Motor Carrier Safety
20.231	164,101		Performance and Registration Information Systems Management
20.232	192,483		Commercial Driver's License Program Improvement Grant
20.234	2,070		Safety Data Improvement Program
20.235	52,733		Commercial Motor Vehicle Operator Training Grants
20.237	947,151		Commercial Vehicle Information Systems and Networks
20.319	2,924,745		High-Speed Rail Corridors and Intercity Passenger Rail Service Capital Assistance Grants
20.319	146,154,904		ARRA - High-Speed Rail Corridors and Intercity Passenger Rail Service Capital Assistance Grants
20.505	2,356,025	2,000,027	Metropolitan Transportation Planning and State and Non-Metropolitan Planning and Research
20.509	25,548,675	23,686,945	Formula Grants for Rural Areas
20.528	154,855		Rail Fixed Guideway Public Transportation System State Safety Oversight Formula Grant Program
20.604	182,489		Safety Incentive Grants for Use of Seatbelts
20.607	7,262,294	2,606,615	Alcohol Open Container Requirements
20.614	44,060		National Highway Traffic Safety Administration (NHTSA) Discretionary Safety Grants
20.700	278,050		Pipeline Safety Program State Base Grant
20.701	3,961		University Transportation Centers Program
20.703	588,509	338,002	Interagency Hazardous Materials Public Sector Training and Planning Grants
20.933	509		National Infrastructure Investments
20.U01	62,950		U. S. Department of Transportation
20.U02	48,830		U. S. Department of Transportation
20.U03	223,907	97,808	U. S. Department of Transportation
20.U04	53,245		U. S. Department of Transportation
20.U05	525		U. S. Department of Transportation
21.008	7,831		Low Income Taxpayer Clinics
21.U01	1,265,339		U. S. Department of Treasury
23.001	64,790	16,247	Appalachian Regional Development (See individual Appalachian Programs)
23.002	49,050		Appalachian Area Development
23.011	323,119		Appalachian Research, Technical Assistance, and Demonstration Projects
23.U01	33,710		U. S. Appalachian Regional Commission
30.U01	67,200		U. S. Equal Employment Opportunity Commission
39.003	15,366,101		Donation of Federal Surplus Personal Property
43.001	442,584		Science
43.003	28,464		Exploration
43.008	761,593	278,540	Education
43.U01	8,668		National Aeronautics and Space Administration
43.U02	121,411		National Aeronautics and Space Administration
43.U03	58,750		National Aeronautics and Space Administration
43.U04	36,042		National Aeronautics and Space Administration
43.U05	12,576		National Aeronautics and Space Administration
45.024	25,673		Promotion of the Arts-Grants to Organizations and Individuals
45.025	934,592	766,866	Promotion of the Arts-Partnership Agreements
45.149	11,982		Promotion of the Humanities-Division of Preservation and Access
45.160	67,028		Promotion of the Humanities-Fellowships and Stipends
45.161	166,802	15,744	Promotion of the Humanities-Research
45.162	9,687		Promotion of the Humanities-Teaching and Learning Resources and Curriculum Development
45.163	22,777		Promotion of the Humanities-Professional Development
45.164	2,228		Promotion of the Humanities-Public Programs
45.301	20,435		Museums for America
45.309	42,197		Museum Grants for African American History and Culture
45.310	4,190,212	2,890,084	Grants to States
45.312	53,608	1,019	National Leadership Grants

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (SUMMARY)

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Program Expenditures	Amount Provided to Subrecipients	CFDA Program Title or Cluster Title
45.313	217,611		Laura Bush 21st Century Librarian Program
45.400	22,473		Peace Corps - Global Health and PEPFAR Initiative Program
45.U01	951		Federal Council on the Arts and the Humanities
45.U02	2,000		Federal Council on the Arts and the Humanities
45.U03	7,320		Federal Council on the Arts and the Humanities
45.U04	6,660		Federal Council on the Arts and the Humanities
47.041	2,455,813	75,909	Engineering Grants
47.049	1,901,365	6,482	Mathematical and Physical Sciences
47.050	1,115,028	14,749	Geosciences
47.070	2,696,316	107,907	Computer and Information Science and Engineering
47.074	1,948,342	141,470	Biological Sciences
47.075	701,165	12,909	Social, Behavioral, and Economic Sciences
47.076	12,119,098	868,780	Education and Human Resources
47.078	113,074		Polar Programs
47.079	42,619		Office of International Science and Engineering
47.080	19,143		Office of Cyberinfrastructure
47.082	133,319	41,856	ARRA - Trans-NSF Recovery Act Research Support
47.U01	1,007		National Science Foundation
47.U02	853,564		National Science Foundation
47.U03	8,550		National Science Foundation
47.U04	30,416		National Science Foundation
47.U05	2,000		National Science Foundation
47.U06	144,622		National Science Foundation
47.U07	7,514		National Science Foundation
47.U08	67,464		National Science Foundation
59.037	2,123,118		Small Business Development Centers
59.044	201,025		Veterans Outreach Program
59.U01	1,232,381		U. S. Small Business Administration
64.028	364,440		Post-9/11 Veterans Educational Assistance
64.124	414,561		All-Volunteer Force Educational Assistance
64.203	3,014,847		State Cemetery Grants
64.U01	72,686		U. S. Department of Veterans Affairs
64.U02	10,287		U. S. Department of Veterans Affairs
66.032	280,393		State Indoor Radon Grants
66.034	2,876		Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act
66.040	91,963		State Clean Diesel Grant Program
66.202	613,854		Congressionally Mandated Projects
66.306	5,188		Environmental Justice Collaborative Problem-Solving Cooperative Agreement Program
66.432	3,197,821		State Public Water System Supervision
66.433	116,138		State Underground Water Source Protection
66.454	255,730		Water Quality Management Planning
66.456	603,401		National Estuary Program
66.460	3,386,816		Nonpoint Source Implementation Grants
66.461	115,976	25,053	Regional Wetland Program Development Grants
66.472	292,249		Beach Monitoring and Notification Program Implementation Grants
66.511	41,941		Office of Research and Development Consolidated Research/Training/Fellowships
66.513	15,359		Greater Research Opportunities (GRO) Fellowships For Undergraduate Environmental Study
66.514	13,837		Science To Achieve Results (STAR) Fellowship Program
66.516	32,945		P3 Award: National Student Design Competition for Sustainability
66.605	667,911		Performance Partnership Grants
66.608	12,974		Environmental Information Exchange Network Grant Program and Related Assistance
66.701	119,367		Toxic Substances Compliance Monitoring Cooperative Agreements
66.707	254,735		TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals
66.708	13,262		Pollution Prevention Grants Program
66.716	90,867		Research, Development, Monitoring, Public Education, Outreach, Training, Demonstrations, and Studies
66.801	2,227,482		Hazardous Waste Management State Program Support
66.802	1,533,969		Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements
66.804	818,553		Underground Storage Tank Prevention, Detection and Compliance Program
66.805	2,313,761		Leaking Underground Storage Tank Trust Fund Corrective Action Program
66.808	5,335		Solid Waste Management Assistance Grants
66.951	4,774		Environmental Education Grants
66.U01	14,985		U. S. Environmental Protection Agency

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (SUMMARY)**

For the Fiscal Year Ended June 30, 2016

<b>Federal CFDA Number</b>	<b>Program Expenditures</b>	<b>Amount Provided to Subrecipients</b>	<b>CFDA Program Title or Cluster Title</b>
77.008	175,711		U. S. Nuclear Regulatory Commission Scholarship and Fellowship Program
81.041	258,691		State Energy Program
81.042	4,070,500		Weatherization Assistance for Low-Income Persons
81.086	280,485	39,957	Conservation Research and Development
81.087	342,054		Renewable Energy Research and Development
81.117	1,175,471	44,970	Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance
81.119	411,166		State Energy Program Special Projects
81.121	274,662		Nuclear Energy Research, Development and Demonstration
81.214	(101)		Environmental Monitoring/Cleanup, Cultural and Resource Mgmt., Emergency Response Research, Outreach, Technical Analysis
81.U01	10,411		U. S. Department of Energy
81.U02	240,049		U. S. Department of Energy
81.U03	7,348		U. S. Department of Energy
81.U04	14,396		U. S. Department of Energy
81.U05	138,736		U. S. Department of Energy
81.U06	26,853		U. S. Department of Energy
81.U07	72,017		U. S. Department of Energy
84.002	16,229,482	14,133,898	Adult Education - Basic Grants to States
84.004	299,545		Civil Rights Training and Advisory Services
84.010	420,181,207	415,517,365	Title I Grants to Local Educational Agencies
84.011	5,423,021	4,793,575	Migrant Education-State Grant Program
84.013	1,929,290		Title I State Agency Program for Neglected and Delinquent Children and Youth
84.016	27,207		Undergraduate International Studies and Foreign Language Programs
84.021	2,063		Overseas Programs - Group Projects Abroad
84.031	39,845,351	173,483	Higher Education-Institutional Aid
84.048	35,367,078	18,490,878	Career and Technical Education - Basic Grants to States
84.116	1,231,890		Fund for the Improvement of Postsecondary Education
84.120	521,892		Minority Science and Engineering Improvement
84.126	98,846,462	120,507	Rehabilitation Services - Vocational Rehabilitation Grants to States
84.129	523,894	2,000	Rehabilitation Long-Term Training
84.141	506,958		Migrant Education-High School Equivalency Program
84.144	33,776		Migrant Education-Coordination Program
84.161	304,569		Rehabilitation Services Client Assistance Program
84.169	517,438	517,438	Independent Living - State Grants
84.177	890,011		Rehabilitation Services Independent Living Services for Older Individuals Who are Blind
84.181	11,958,660	707,407	Special Education-Grants for Infants and Families
84.187	606,578		Supported Employment Services for Individuals with the Most Significant Disabilities
84.196	2,004,161	1,668,808	Education for Homeless Children and Youth
84.200	702,308		Graduate Assistance in Areas of National Need
84.215	100,706		Fund for the Improvement of Education
84.224	409,998		Assistive Technology
84.265	93,307		Rehabilitation Training - State Vocational Rehabilitation Unit In-Service Training
84.287	34,470,120	33,271,810	Twenty-First Century Community Learning Centers
84.299	45,833		Indian Education - Special Programs for Indian Children
84.305	1,163,632	352,439	Education Research, Development and Dissemination
84.315	88,887		Capacity Building for Traditionally Underserved Populations
84.323	1,237,374	1,026,836	Special Education - State Personnel Development
84.324	893,062	5,625	Research in Special Education
84.325	2,614,465		Special Education - Personnel Development to Improve Services and Results for Children with Disabilities
84.326	2,438,765	1,179,294	Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities
84.334	8,149,327	4,040,641	Gaining Early Awareness and Readiness for Undergraduate Programs
84.336	2,028,243	281,985	Teacher Quality Partnership Grants
84.350	367,871		Transition to Teaching
84.358	5,820,396	5,498,825	Rural Education
84.363	1,467,490		School Leadership
84.365	15,221,386	14,607,583	English Language Acquisition State Grants
84.366	4,449,163	4,037,788	Mathematics and Science Partnerships
84.367	47,373,868	45,380,639	Improving Teacher Quality State Grants
84.368	2,059,857		Grants for Enhanced Assessment Instruments
84.369	11,263,831		Grants for State Assessments and Related Activities
84.372	1,283,771		Statewide Longitudinal Data Systems

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (SUMMARY)**

For the Fiscal Year Ended June 30, 2016

<b>Federal CFDA Number</b>	<b>Program Expenditures</b>	<b>Amount Provided to Subrecipients</b>	<b>CFDA Program Title or Cluster Title</b>
84.373	56,781		Special Education-Technical Assistance on State Data Collection
84.377	11,415,198	10,086,643	School Improvement Grants
84.382	883,730		Strengthening Minority-Serving Institutions
84.395	25,275,789	7,419,216	ARRA - State Fiscal Stabilization Fund (SFSF) - Race-to-the-Top Incentive Grants, Recovery Act
84.405	38,011		ARRA - Teacher Quality Partnerships, Recovery Act
84.407	182,695	22,082	Transition Programs for Students with Intellectual Disabilities into Higher Education
84.411	1,090,589	235,146	Investing in Innovation (i3) Fund
84.412	19,035,169	7,646,900	Race to the Top – Early Learning Challenge
84.U01	130,610		U. S. Department of Education
84.U02	52,666		U. S. Department of Education
84.U03	440,479		U. S. Department of Education
84.U04	426,563		U. S. Department of Education
84.U05	15,656		U. S. Department of Education
84.U06	17,884		U. S. Department of Education
84.U07	(294)		U. S. Department of Education
84.U08	1,293		U. S. Department of Education
84.U09	87,122		U. S. Department of Education
84.U10	1,205,829	213,279	U. S. Department of Education
89.003	25,782		National Historical Publications and Records Grants
90.401	549,903	291,292	Help America Vote Act Requirements Payments
93.041	122,720	122,720	Special Programs for the Aging - Title VII, Chapter 3-Programs for Prevention of Elder Abuse, Neglect, and Exploitation
93.042	285,508	285,508	Special Programs for the Aging - Title VII, Chapter 2-Long Term Care Ombudsman Services for Older Individuals
93.043	701,419	665,623	Special Programs for the Aging - Title III, Part D-Disease Prevention and Health Promotion Services
93.048	499,034	44,000	Special Programs for the Aging-Title IV-and Title II-Discretionary Projects
93.052	4,567,842	3,728,192	National Family Caregiver Support, Title III, Part E
93.070	224,392		Environmental Public Health and Emergency Response
93.071	726,618	467,792	Medicare Enrollment Assistance Program
93.072	70,039		Lifespan Respite Care Program
93.074	22,298,674	8,374,253	Hospital Preparedness Program (HPP) and Public Health Emergency Preparedness (PHEP) Aligned Cooperative Agreements
93.079	434,800		Cooperative Agreements to Promote Adolescent Health through School-Based HIV/STD Prevention and School-Based Surveillance
93.089	(933)		Emergency System for Advance Registration of Volunteer Health Professionals
93.092	1,242,591	382,145	Affordable Care Act (ACA) Personal Responsibility Education Program
93.094	1,023,956	582,695	Well-Integrated Screening and Evaluation for Women Across the Nation
93.103	1,190,338		Food and Drug Administration-Research
93.104	686,988	647,209	Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED)
93.110	443,341	18,899	Maternal and Child Health Federal Consolidated Programs
93.113	374,636		Environmental Health
93.116	1,613,073	749,679	Project Grants and Cooperative Agreements for Tuberculosis Control Programs
93.121	25,817		Oral Diseases and Disorders Research
93.124	111,233		Nurse Anesthetist Traineeships
93.127	102,054	18,165	Emergency Medical Services for Children
93.130	179,929		Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices
93.136	1,721,288	63,561	Injury Prevention and Control Research and State and Community Based Programs
93.150	1,119,933	1,124,510	Projects for Assistance in Transition from Homelessness (PATH)
93.153	593,432		Coordinated Services and Access to Research for Women, Infants, Children, and Youth
93.165	5,216		Grants to States for Loan Repayment Program
93.172	5,703		Human Genome Research
93.173	81,907	28,625	Research Related to Deafness and Communication Disorders
93.178	1,033,029		Nursing Workforce Diversity
93.184	214,066	51,894	Disabilities Prevention
93.191	192,177		Graduate Psychology Education Program and Patient Navigator and Chronic Disease Prevention Program
93.211	279,070	3,200	Telehealth Programs
93.213	1,151,913	104,963	Research and Training in Complementary and Integrative Health
93.217	5,331,084	4,172,590	Family Planning-Services
93.226	129,819	5,534	Research on Healthcare Costs, Quality and Outcomes
93.234	220,031	218,160	Traumatic Brain Injury State Demonstration Grant Program
93.235	1,888,365	850,423	Affordable Care Act (ACA) Abstinence Education Program

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (SUMMARY)**

For the Fiscal Year Ended June 30, 2016

<b>Federal CFDA Number</b>	<b>Program Expenditures</b>	<b>Amount Provided to Subrecipients</b>	<b>CFDA Program Title or Cluster Title</b>
93.236	6,303		Grants to States to Support Oral Health Workforce Activities
93.239	1,477		Policy Research and Evaluation Grants
93.240	232,612		State Capacity Building
93.241	491,742	328,113	State Rural Hospital Flexibility Program
93.242	912,268	479,912	Mental Health Research Grants
93.243	6,190,561	3,762,840	Substance Abuse and Mental Health Services-Projects of Regional and National Significance
93.247	372,624		Advanced Nursing Education Grant Program
93.250	8,883		Geriatric Academic Career Awards
93.251	272,323		Universal Newborn Hearing Screening
93.262	199,933	10,000	Occupational Safety and Health Program
93.268	119,084,077	1,828,359	Immunization Cooperative Agreements
93.270	69,288		Adult Viral Hepatitis Prevention and Control
93.273	1,327,445	191,969	Alcohol Research Programs
93.279	813,019	133,469	Drug Abuse and Addiction Research Programs
93.283	1,730,166	142,866	Centers for Disease Control and Prevention-Investigations and Technical Assistance
93.296	54,467		State Partnership Grant Program to Improve Minority Health
93.297	413,960	339,524	Teenage Pregnancy Prevention Program
93.301	260,159	259,239	Small Rural Hospital Improvement Grant Program
93.305	1,561,103	603,408	National State Based Tobacco Control Programs
93.307	1,380,233	9,624	Minority Health and Health Disparities Research
93.314	171,404		Early Hearing Detection and Intervention Information System (EHDI-IS) Surveillance Program
93.323	733,898		Epidemiology and Laboratory Capacity for Infectious Diseases (ELC)
93.324	1,777,837	521,149	State Health Insurance Assistance Program
93.336	213,406		Behavioral Risk Factor Surveillance System
93.350	33,377		National Center for Advancing Translational Sciences
93.351	804,910	11,955	Research Infrastructure Programs
93.358	682,631		Advanced Education Nursing Traineeships
93.359	293,731	15,777	Nurse Education, Practice Quality and Retention Grants
93.360	280,754		Biomedical Advanced Research and Development Authority (BARDA), Biodefense Medical Countermeasure Development
93.361	65,250		Nursing Research
93.389	363,899		National Center for Research Resources
93.393	95,397		Cancer Cause and Prevention Research
93.394	57,195		Cancer Detection and Diagnosis Research
93.395	1,018,581	106,729	Cancer Treatment Research
93.396	180,293		Cancer Biology Research
93.397	251		Cancer Centers Support Grants
93.399	2,087		Cancer Control
93.449	96,492		Ruminant Feed Ban Support Project
93.500	1,256,383	320,701	Pregnancy Assistance Fund Program
93.505	3,142,356	2,074,736	Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program
93.506	1,443,758		ACA Nationwide Program for National and State Background Checks for Direct Patient Access Employees of Long Term Care Facilities and Providers
93.507	156,878		PPHF National Public Health Improvement Initiative
93.511	286,471		Affordable Care Act (ACA) Grants to States for Health Insurance Premium Review
93.519	214,165		Affordable Care Act (ACA) Consumer Assistance Program Grants
93.521	783,586		The Affordable Care Act: Building Epidemiology, Laboratory, and Health Information Systems Capacity in the Epidemiology and Laboratory Capacity for Infectious Disease (ELC) and Emerging Infections Program (EIP) Cooperative Agreements; PPHF
93.531	6,725		PPHF - Community Transformation Grants and National Dissemination and Support for Community Transformation Grants - financed solely by Prevention and Public Health Funds
93.539	856,315		PPHF Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance financed in part by Prevention and Public Health Funds
93.556	11,525,689	10,073,416	Promoting Safe and Stable Families
93.560	(26,881)		Family Support Payments to States-Assistance Payments
93.563	99,811,957	86,416,632	Child Support Enforcement
93.566	6,810,366	2,549,692	Refugee and Entrant Assistance-State Administered Programs
93.568	95,925,054	75,828,963	Low-Income Home Energy Assistance
93.569	20,408,144	19,653,577	Community Services Block Grant
93.576	1,285,982	1,096,899	Refugee and Entrant Assistance-Discretionary Grants
93.584	715,657	684,625	Refugee and Entrant Assistance-Targeted Assistance Grants
93.586	634,456		State Court Improvement Program
93.590	967,516	915,486	Community-Based Child Abuse Prevention Grants
93.591	11,447		Family Violence Prevention and Services/State Domestic Violence Coalitions

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (SUMMARY)**

For the Fiscal Year Ended June 30, 2016

<b>Federal CFDA Number</b>	<b>Program Expenditures</b>	<b>Amount Provided to Subrecipients</b>	<b>CFDA Program Title or Cluster Title</b>
93.597	298,853		Grants to States for Access and Visitation Programs
93.599	854,473	854,473	Chafee Education and Training Vouchers Program (ETV)
93.600	237,587		Head Start
93.603	144,414		Adoption and Legal Guardianship Incentive Payments
93.617	20,986	20,986	Voting Access for Individuals with Disabilities-Grants to States
93.630	2,751,377	1,187,195	Developmental Disabilities Basic Support and Advocacy Grants
93.643	291,816	28,523	Children's Justice Grants to States
93.645	7,950,507	2,746,209	Stephanie Tubbs Jones Child Welfare Services Program
93.647	46,499		Social Services Research and Demonstration
93.652	650,725	416,131	Adoption Opportunities
93.658	74,410,786	72,421,342	Foster Care-Title IV-E
93.659	51,582,745	3,716,013	Adoption Assistance
93.667	60,549,373	49,730,435	Social Services Block Grant
93.669	407,574	18,000	Child Abuse and Neglect State Grants
93.671	2,600,157	2,433,334	Family Violence Prevention and Services/Domestic Violence Shelter and Supportive Services
93.674	2,730,710	2,653,053	Chafee Foster Care Independence Program
93.734	203,238	72,044	Empowering Older Adults and Adults with Disabilities through Chronic Disease Self-Management Education Programs financed by Prevention and Public Health Funds (PPHF)
93.735	560,133		State Public Health Approaches for Ensuring Quitline Capacity - Funded in part by Prevention and Public Health Funds (PPHF)
93.738	75,441		PPHF: Racial and Ethnic Approaches to Community Health Program financed solely by Public Prevention and Health Funds
93.745	47,408		PPHF: Health Care Surveillance/Health Statistics - Surveillance Program Announcement: Behavioral Risk Factor Surveillance System Financed in Part by Prevention and Public Health Fund
93.752	2,527,741	1,581,491	Cancer Prevention and Control Programs for State, Territorial and Tribal Organizations financed in part by Prevention and Public Health Funds
93.753	330,999	13,334	Child Lead Poisoning Prevention Surveillance financed in part by Prevention and Public Health (PPHF) Program
93.757	3,041,142	1,262,525	State and Local Public Health Actions to Prevent Obesity, Diabetes, Heart Disease and Stroke (PPHF)
93.758	6,584,751	5,396,380	Preventive Health and Health Services Block Grant funded solely with Prevention and Public Health Funds (PPHF)
93.761	102,164		Evidence-Based Falls Prevention Programs Financed Solely by Prevention and Public Health Funds (PPHF)
93.767	397,735,275	7,394,017	Children's Health Insurance Program
93.779	124,134	24,505	Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations
93.791	7,266,338		Money Follows the Person Rebalancing Demonstration
93.815	16,358		Domestic Ebola Supplement to the Epidemiology and Laboratory Capacity for Infectious Diseases (ELC).
93.817	94,811		Hospital Preparedness Program (HPP) Ebola Preparedness and Response Activities
93.829	59,821	14,332	Section 223 Demonstration Programs to Improve Community Mental Health Services
93.837	2,126,804		Cardiovascular Diseases Research
93.838	69,761	8,534	Lung Diseases Research
93.839	100		Blood Diseases and Resources Research
93.846	476,372	77,779	Arthritis, Musculoskeletal and Skin Diseases Research
93.847	1,464,983	53,905	Diabetes, Digestive, and Kidney Diseases Extramural Research
93.853	855,275	233,303	Extramural Research Programs in the Neurosciences and Neurological Disorders
93.855	1,609,096	52,944	Allergy and Infectious Diseases Research
93.859	5,084,848	110,677	Biomedical Research and Research Training
93.865	1,633,818	167,529	Child Health and Human Development Extramural Research
93.866	382,450		Aging Research
93.879	13,731		Medical Library Assistance
93.884	426,609		Grants for Primary Care Training and Enhancement
93.912	2,962		Rural Health Care Services Outreach, Rural Health Network Development and Small Health Care Provider Quality Improvement Program
93.913	140,883		Grants to States for Operation of Offices of Rural Health
93.917	33,722,653	7,735,800	HIV Care Formula Grants
93.918	568,433		Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease
93.926	2,501,748	1,208,261	Healthy Start Initiative
93.928	942,819		Special Projects of National Significance
93.933	80,366		Demonstration Projects for Indian Health
93.940	9,718,207	2,442,483	HIV Prevention Activities-Health Department Based
93.941	156,066	2,545	HIV Demonstration, Research, Public and Professional Education Projects
93.944	1,909,965		Human Immunodeficiency Virus (HIV)/Acquired Immunodeficiency Virus Syndrome (AIDS) Surveillance
93.945	1,426,732	673,851	Assistance Programs for Chronic Disease Prevention and Control

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (SUMMARY)**

For the Fiscal Year Ended June 30, 2016

<b>Federal CFDA Number</b>	<b>Program Expenditures</b>	<b>Amount Provided to Subrecipients</b>	<b>CFDA Program Title or Cluster Title</b>
93.946	162,317		Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs
93.958	12,658,663	11,737,830	Block Grants for Community Mental Health Services
93.959	31,848,632	29,073,480	Block Grants for Prevention and Treatment of Substance Abuse
93.969	638,573	35,000	PPHF Geriatric Education Centers
93.977	2,701,403	96,608	Preventive Health Services-Sexually Transmitted Diseases Control Grants
93.991	(7,106)		Preventive Health and Health Services Block Grant
93.994	16,644,279	12,239,015	Maternal and Child Health Services Block Grant to the States
93.U01	234,049		U. S. Department of Health and Human Services
93.U02	396,541		U. S. Department of Health and Human Services
93.U03	1,413		U. S. Department of Health and Human Services
93.U04	241,085	17,685	U. S. Department of Health and Human Services
93.U05	6,292		U. S. Department of Health and Human Services
93.U06	1,055		U. S. Department of Health and Human Services
93.U07	(125)		ARRA - U. S. Department of Health and Human Services
93.U08	(3,120)		ARRA - U. S. Department of Health and Human Services
93.U09	85,001		ARRA - U. S. Department of Health and Human Services
93.U10	14,400		U. S. Department of Health and Human Services
93.U11	1,200		U. S. Department of Health and Human Services
93.U12	2,004		U. S. Department of Health and Human Services
93.U13	41,963		U. S. Department of Health and Human Services
94.002	142,238		Retired and Senior Volunteer Program
94.003	321,747		State Commissions
94.006	3,948,796	3,948,796	AmeriCorps
94.007	986		Program Development and Innovation Grants
96.008	150,925		Social Security - Work Incentives Planning and Assistance Program
97.005	119,408		State and Local Homeland Security National Training Program
97.008	107,584	107,584	Non-Profit Security Program
97.012	2,359,275		Boating Safety Financial Assistance
97.023	583,426		Community Assistance Program State Support Services Element (CAP-SSSE)
97.029	886,547	870,495	Flood Mitigation Assistance
97.036	13,243,143	6,392,416	Disaster Grants - Public Assistance (Presidentially Declared Disasters)
97.039	4,499,190	4,011,713	Hazard Mitigation Grant
97.041	226,311		National Dam Safety Program
97.042	8,823,346	4,630,450	Emergency Management Performance Grants
97.043	28,232		State Fire Training Systems Grants
97.044	191,695		Assistance to Firefighters Grant
97.045	2,190,959		Cooperating Technical Partners
97.047	534,494	276,121	Pre-Disaster Mitigation
97.056	279,385		Port Security Grant Program
97.061	58,500		Centers for Homeland Security
97.062	128,775		Scientific Leadership Awards
97.067	8,258,182	5,360,403	Homeland Security Grant Program
97.089	356,164		Driver's License Security Grant Program
97.U01	19,474		U. S. Department of Homeland Security
97.U02	174,711	105,860	U. S. Department of Homeland Security
98.012	65,952		USAID Development Partnerships for University Cooperation and Development
98.U01	4,414		United States Agency for International Development
98.U02	36,142		United States Agency for International Development
98.U03	1,397,536	325,411	United States Agency for International Development
98.U04	10		United States Agency for International Development
98.U05	9,883		United States Agency for International Development
98.U06	897		United States Agency for International Development
98.U07	124,561		United States Agency for International Development
98.U08	173,973		United States Agency for International Development
98.U09	14,581		United States Agency for International Development
99.U01	42,382	42,382	Other Federal Assistance
99.U02	79,601		Other Federal Assistance
99.U03	102,275		Other Federal Assistance
99.U04	166,564	144,976	Other Federal Assistance
99.U05	99,807		Other Federal Assistance
99.U06	21,581		Other Federal Assistance
99.U07	11,002		Other Federal Assistance

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (SUMMARY)**

For the Fiscal Year Ended June 30, 2016

<b>Federal CFDA Number</b>	<b>Program Expenditures</b>	<b>Amount Provided to Subrecipients</b>	<b>CFDA Program Title or Cluster Title</b>
99.U08	12,363		Other Federal Assistance
99.U09	128,154		Other Federal Assistance
	<b><u>\$20,352,984,001</u></b>	<b><u>\$3,426,934,196</u></b>	<b>Total Expenditures of Federal Awards</b>

The accompanying notes are an integral part of this schedule.

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**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)**

For the Fiscal Year Ended June 30, 2016

Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
<b>Aging—Cluster:</b>							
<b>U. S. Department of Health and Human Services</b>							
93.044	D	14,172,443	12,464,579	Special Programs for the Aging-Title III, Part B-Grants for Supportive Services and Senior Centers			
93.045	D	14,140,954	11,651,747	Special Programs for the Aging-Title III, Part C-Nutrition Services			
93.053	D	3,397,859	3,397,859	Nutrition Services Incentive Program			
		<u>31,711,256</u>	<u>27,514,185</u>	Total — Aging Cluster — U. S. Department of Health and Human Services			
		<u>31,711,256</u>	<u>27,514,185</u>	Total — Aging			
<b>Child Care and Development Fund—Cluster:</b>							
<b>U. S. Department of Health and Human Services</b>							
93.575	D	147,345,862	128,302,287	Child Care and Development Block Grant			
93.596	D	120,021,809	119,010,956	Child Care Mandatory and Matching Funds of the Child Care and Development Fund			
		<u>267,367,671</u>	<u>247,313,243</u>	Total — CCDF Cluster — U. S. Department of Health and Human Services			
		<u>267,367,671</u>	<u>247,313,243</u>	Total — CCDF			
<b>CDBG - Entitlement Grants Cluster</b>							
<b>U. S. Department of Housing and Urban Development</b>							
14.218	I	9,792	-	Community Development Block Grants/Entitlement Grants	DOC# 836840	City of Greenville	
14.218	I	2,390	-	Community Development Block Grants/Special Purpose	DOC# 836840 V16D	City of Greenville	
		<u>12,182</u>	<u>-</u>	Total — CDBG- Entitlement Grants Cluster — U. S. Department of Housing and Urban Development			
		<u>12,182</u>	<u>-</u>	Total — CDBG			
<b>Community Facilities Loans and Grants—Cluster:</b>							
<b>U. S. Department of Agriculture</b>							
10.766	D	100,000	100,000	Community Facilities Loans and Grants			
		<u>100,000</u>	<u>100,000</u>	Total — Community Facilities Loans and Grants Cluster — U. S. Department of Agriculture			
		<u>100,000</u>	<u>100,000</u>	Total — Community Facilities Loans and Grants			
<b>Child Nutrition—Cluster:</b>							
<b>U. S. Department of Agriculture</b>							
10.553	D	137,354,960	137,085,380	School Breakfast Program			
10.555	D	436,476,053	435,902,980	National School Lunch Program			
10.556	D	140,714	140,714	Special Milk Program for Children			
10.559	D	12,241,083	11,837,168	Summer Food Service Program for Children			
		<u>586,212,810</u>	<u>584,966,242</u>	Total — Child Nutrition Cluster — U. S. Department of Agriculture			
		<u>586,212,810</u>	<u>584,966,242</u>	Total — Child Nutrition			
<b>Clean Water State Revolving Fund—Cluster:</b>							
<b>U. S. Environmental Protection Agency</b>							
66.458	D	34,758,217	24,168,000	Capitalization Grants for Clean Water State Revolving Funds			
		<u>34,758,217</u>	<u>24,168,000</u>	Total — Clean Water State Revolving Fund Cluster — U. S. Environmental Protection Agency			
		<u>34,758,217</u>	<u>24,168,000</u>	Total — Clean Water State Revolving Fund			
<b>Disability Insurance/SSI—Cluster:</b>							
<b>Social Security Administration</b>							
96.001	D	63,272,639	-	Social Security-Disability Insurance			
		<u>63,272,639</u>	<u>-</u>	Total — Disability Insurance/SSI Cluster — Social Security Administration			
		<u>63,272,639</u>	<u>-</u>	Total — Disability Insurance/SSI			

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)**

For the Fiscal Year Ended June 30, 2016

Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
<b>Drinking Water State Revolving Fund—Cluster:</b>							
<b>U. S. Environmental Protection Agency</b>							
66.468	D	100,122,535	57,076,796	Capitalization Grants for Drinking Water State Revolving Funds			
		100,122,535	57,076,796	Total — Drinking Water State Revolving Fund Cluster — U. S. Environmental Protection Agency			
		100,122,535	57,076,796	Total — Drinking Water State Revolving Fund			
<b>Food Distribution—Cluster:</b>							
<b>U. S. Department of Agriculture</b>							
10.565	D	406,133	406,133	Commodity Supplemental Food Program			
10.568	D	2,304,151	1,415,950	Emergency Food Assistance Program (Administrative Costs)			
10.569	D	20,235,730	20,235,730	Emergency Food Assistance Program (Food Commodities)			
		22,946,014	22,057,813	Total — Food Distribution Cluster — U. S. Department of Agriculture			
		22,946,014	22,057,813	Total — Food Distribution			
<b>Employment Service—Cluster:</b>							
<b>U. S. Department of Labor</b>							
17.207	D	24,396,758	-	Employment Service/Wagner-Peyser Funded Activities			
17.801	D	5,522,516	-	Disabled Veterans' Outreach Program (DVOP)			
17.804	D	792,625	-	Local Veterans' Employment Representative Program			
		30,711,899	-	Total — Employment Service Cluster — U. S. Department of Labor			
		30,711,899	-	Total — Employment Service			
<b>Fish and Wildlife—Cluster:</b>							
<b>U. S. Department of Interior</b>							
15.605	D	11,238,503	-	Sport Fish Restoration Program			
15.605	I	17,545	-	Sport Fish Restoration Program	2015-00067	Puerto Rico DENR	
15.605	I	107,165	-	Sport Fish Restoration Program	2016-00069	Puerto Rico DENR	
15.611	D	16,605,961	-	Wildlife Restoration and Basic Hunter Education			
15.611	I	309,627	-	Wildlife Restoration and Basic Hunter Education	2015-000141	Puerto Rico DENR	
15.611	I	90,721	64,020	Wildlife Restoration and Basic Hunter Education	2016-000031	Puerto Rico DENR	
15.611	I	159,541	-	Wildlife Restoration and Basic Hunter Education	2016-000092	Puerto Rico DENR	
		28,529,063	64,020	Total — Fish and Wildlife Cluster — U. S. Department of Interior			
		28,529,063	64,020	Total — Fish and Wildlife			
<b>Federal Transit—Cluster:</b>							
<b>U. S. Department of Transportation</b>							
20.500	D	295,729	295,729	Federal Transit-Capital Investment Grants			
20.507	D	59,811	59,811	Federal Transit-Formula Grants			
		355,540	355,540	Total — Federal Transit Cluster — U. S. Department of Transportation			
		355,540	355,540	Total — Federal Transit			
<b>Foster Grandparent/Senior Companion —Cluster:</b>							
<b>Corporation for National and Community Service</b>							
94.011	D	375,396	-	Foster Grandparent Program			
94.016	D	248,985	-	Senior Companion Program			
		624,381	-	Total — Foster Grandparent/Senior Companion Cluster — Corporation for National and Community Service			
		624,381	-	Total — Foster Grandparent/Senior Companion			
<b>Health Center—Cluster:</b>							
<b>U. S. Department of Health and Human Services</b>							
93.224	D	2,928,201	2,069,894	Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, and Public Housing Primary Care)			
93.224	I	2,603	-	Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, and Public Housing Primary Care)	A12-0057-001	Greene County Health Care Inc	
93.224	I	34,601	-	Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, and Public Housing Primary Care)	A15-0015-001	Greene County Health Care Inc	

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)**

For the Fiscal Year Ended June 30, 2016

Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
93.224	I	18,767	-	Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, and Public Housing Primary Care)	A15-0048-001	Greene County Health Care Inc	
93.224	I	7,614	-	Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, and Public Housing Primary Care)	A15-0106-001	Greene County Health Care Inc	
		<u>2,991,786</u>	<u>2,069,894</u>	Total — Health Center Cluster — U. S. Department of Health and Human Services			
		<u>2,991,786</u>	<u>2,069,894</u>	Total — Health Center			
<b>Highway Planning and Construction—Cluster:</b>							
<b>U. S. Department of Transportation</b>							
20.205	D	967,955,985	38,168,561	Highway Planning and Construction			
20.205	I	14,685	-	Highway Planning and Construction	11-026	Univ of New Hampshire	
20.205	I	170,267	64,089	Highway Planning and Construction	15-3317	City of Durham	
20.205	I	525	-	Highway Planning and Construction	2010-2076/PO#:38525	City of Raleigh	
20.205	I	98,469	-	Highway Planning and Construction	58285	City of Raleigh	
20.219	D	1,187,752	-	Recreational Trails Program			
		<u>969,427,683</u>	<u>38,232,650</u>	Total — Highway Planning and Construction Cluster — U. S. Department of Transportation			
<b>U. S. Appalachian Regional Commission</b>							
23.003	D	3,256,618	-	Appalachian Development Highway System			
		<u>3,256,618</u>	<u>-</u>	Total — Highway Planning and Construction Cluster — U. S. Appalachian Regional Commission			
		<u>972,684,301</u>	<u>38,232,650</u>	Total — Highway Planning and Construction			
<b>Housing Voucher—Cluster:</b>							
<b>U. S. Department of Housing and Urban Development</b>							
14.871	D	4,357,450	3,930,810	Section 8 Housing Choice Vouchers			
		<u>4,357,450</u>	<u>3,930,810</u>	Total — Housing Voucher Cluster — U. S. Department of Housing and Urban Development			
		<u>4,357,450</u>	<u>3,930,810</u>	Total — Housing Voucher			
<b>Highway Safety—Cluster:</b>							
<b>U. S. Department of Transportation</b>							
20.600	D	5,725,100	1,808,583	State and Community Highway Safety			
20.601	D	1,146,779	436,303	Alcohol Impaired Driving Countermeasures Incentive Grants I			
20.602	D	172,299	107,674	Occupant Protection Incentive Grants			
20.610	D	166,944	-	State Traffic Safety Information System Improvement Grants			
20.612	D	165,563	119,604	Incentive Grant Program to Increase Motorcyclist Safety			
20.616	D	3,941,987	1,227,553	National Priority Safety Programs			
		<u>11,318,672</u>	<u>3,699,717</u>	Total — Highway Safety Cluster — U. S. Department of Transportation			
		<u>11,318,672</u>	<u>3,699,717</u>	Total — Highway Safety			
<b>Medicaid—Cluster:</b>							
<b>U. S. Department of Health and Human Services</b>							
93.775	D	4,373,380	-	State Medicaid Fraud Control Units			
93.777	D	15,954,857	-	State Survey and Certification of Health Care Providers and Suppliers (Title XVIII) Medicare			
93.778	D	8,839,063,815	228,650,473	Medical Assistance Program			
		<u>8,859,392,052</u>	<u>228,650,473</u>	Total — Medicaid Cluster — U. S. Department of Health and Human Services			
		<u>8,859,392,052</u>	<u>228,650,473</u>	Total — Medicaid			
<b>Economic Development—Cluster:</b>							
<b>U. S. Department of Commerce</b>							
11.300	D	1,133,301		Investments for Public Works and Economic Development Facilities			
11.307	D	143,886		Economic Adjustment Assistance			
11.307	I	500,000		Economic Adjustment Assistance	#205685	City of Greensboro	
11.307	I	25,735		Economic Adjustment Assistance	04-79-06686	NC Rural Econ Dev Ct	
		<u>1,802,922</u>		Total — Economic Development Cluster — U. S. Department of Commerce			
		<u>1,802,922</u>		Total — Economic Development			

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

For the Fiscal Year Ended June 30, 2016

Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
<b>Research and Development—Cluster:</b>							
<b>U. S. Department of Agriculture</b>							
10.001	D	2,251,360	32,895	Agricultural Research-Basic and Applied Research			
10.025	D	3,980,083	50,291	Plant and Animal Disease, Pest Control, and Animal Care			
10.025	I	170,664	-	Plant and Animal Disease, Pest Control, and Animal Care	01-15	Commission For The Eradication	
10.025	I	3,081	-	Plant and Animal Disease, Pest Control, and Animal Care	422368-19071	Virginia Polytech Institute	
10.025	I	4,195	-	Plant and Animal Disease, Pest Control, and Animal Care	5335-NC-ASBIO-NEAL	Rutgers University	
10.025	I	37,765	-	Plant and Animal Disease, Pest Control, and Animal Care	5450-BBYR3-NC	Rutgers University	
10.025	I	7,706	-	Plant and Animal Disease, Pest Control, and Animal Care	5693-BBYR4-NC	Rutgers University	
10.025	I	7,681	-	Plant and Animal Disease, Pest Control, and Animal Care	RC104184NCSU	Michigan State University	
10.025	I	96,753	-	Plant and Animal Disease, Pest Control, and Animal Care	RC105127NCSU	Michigan State University	
10.156	D	41,379	-	Federal-State Marketing Improvement Program			
10.168	D	38,703	22,300	Farmers' Market and Local Food Promotion Program			
10.200	D	829,930	283,514	Grants for Agricultural Research, Special Research Grants			
10.200	I	15,331	-	Grants for Agricultural Research, Special Research Grants	14-078	Univ of New Hampshire	
10.200	I	7,340	-	Grants for Agricultural Research, Special Research Grants	1400281309	Univ of Florida	
10.200	I	8,523	-	Grants for Agricultural Research, Special Research Grants	1600411957	Univ of Florida	
10.200	I	87,199	-	Grants for Agricultural Research, Special Research Grants	2-312-0214565-52422L	Research Triangle Institute (RTI International)	
10.200	I	4,509	-	Grants for Agricultural Research, Special Research Grants	8000067064-AG	Purdue University	
10.200	I	3,358	1,287	Grants for Agricultural Research, Special Research Grants	PO # 1600412007	Univ of Florida	
10.200	I	53,111	-	Grants for Agricultural Research, Special Research Grants	PO #1500343419	University of Florida	
10.200	I	2,406	-	Grants for Agricultural Research, Special Research Grants	PO#1500343169	Univ of Florida	
10.200	I	1,044	-	Grants for Agricultural Research, Special Research Grants	PO-1600411199	Univ of Florida	
10.200	I	18,061	-	Grants for Agricultural Research, Special Research Grants	PO-1600411948	Univ of Florida	
10.200	I	14,989	-	Grants for Agricultural Research, Special Research Grants	PO-1600412039	Univ of Florida	
10.200	I	135,664	-	Grants for Agricultural Research, Special Research Grants	S15041/S16032	Kansas State University	
10.200	I	1,261	-	Grants for Agricultural Research, Special Research Grants	UM-S1021	Univ of Maine	
10.200	I	8,484	-	Grants for Agricultural Research, Special Research Grants	UM-S950	Univ of Maine	
10.200	I	30,166	-	Grants for Agricultural Research, Special Research Grants	UMS979	Univ of Maine	
10.202	D	1,106,601	-	Cooperative Forestry Research			
10.203	D	4,130,200	-	Payments to Agricultural Experiment Stations Under the Hatch Act			
10.205	D	(69,012)	-	Payments to 1890 Land-Grant Colleges and Tuskegee University			
10.206	D	4,169,059	15,034	Grants for Agricultural Research-Competitive Research Grants			
10.207	D	335,260	-	Animal Health and Disease Research			
10.210	D	90,365	-	Higher Education - Graduate Fellowships Grant Program			
10.212	I	32,684	-	Small Business Innovation Research	2015-0619	Shure Foods, Inc.	
10.212	I	5,578	-	Small Business Innovation Research	3205-USDA-2S/NCSU	Luna Innovations, Inc	
10.212	I	1,933	-	Small Business Innovation Research	5596-1020	Faraday Technology, Inc.	
10.215	D	94,088	-	Sustainable Agriculture Research and Education			
10.215	I	78,596	35,559	Sustainable Agriculture Research and Education	RD309-122/4940246	Univ of Georgia	
10.215	I	1,954	-	Sustainable Agriculture Research and Education	RD309-125/3502028	Univ of Georgia	
10.215	I	32,140	6,470	Sustainable Agriculture Research and Education	RD309-125/4940916	Univ of Georgia	
10.215	I	8,497	-	Sustainable Agriculture Research and Education	RD309-125/5054746	Univ of Georgia	
10.215	I	76,962	-	Sustainable Agriculture Research and Education	RD309-129/8644667	Univ of Georgia	
10.215	I	55,947	-	Sustainable Agriculture Research and Education	RD309-129/S000732	Univ of Georgia	
10.215	I	4,729	-	Sustainable Agriculture Research and Education	RD309-129/S000841	Univ of Georgia	
10.215	I	1,358	-	Sustainable Agriculture Research and Education	RD309-129/S000848	Univ of Georgia	
10.215	I	2,027	-	Sustainable Agriculture Research and Education	RD309-134/S001099	Univ of Georgia	
10.216	D	789,183	15,154	1890 Institution Capacity Building Grants			
10.216	I	5,240	-	1890 Institution Capacity Building Grants	36 12091 367 76190	Tuskegee University	
10.216	I	23,596	-	1890 Institution Capacity Building Grants	R000018	Virginia State University	
10.216	I	40,517	-	1890 Institution Capacity Building Grants	RD309-129/S000680	University of Georgia	
10.216	I	22,086	-	1890 Institution Capacity Building Grants	Subaward #:CANFVSU-13-011	Fort Valley State University	
10.217	I	13,242	-	Higher Education - Institution Challenge Grants Program	60039552	Ohio State University	
10.219	D	300,326	84,905	Biotechnology Risk Assessment Research			
10.220	D	48,980	9,750	Higher Education - Multicultural Scholars Grant Program			
10.250	D	38,028	-	Agricultural and Rural Economic Research, Cooperative Agreements and Collaborations			
10.250	I	11,837	3,949	Agricultural and Rural Economic Research, Cooperative Agreements and Collaborations	3048111062-14-170	Univ of Kentucky Research Found	
10.253	I	63,902	(1,000)	Consumer Data and Nutrition Research	15-USDA-1039	Duke University	
10.255	I	5,664	-	Research Innovation and Development Grants in Economic (RIDGE)	8000069787	Purdue University	
10.303	D	354,317	92,670	Integrated Programs			
10.303	I	10,389	-	Integrated Programs	60025287 PO: RF01254093	Ohio State University	
10.305	D	9,911	-	International Science and Education Grants			
10.307	D	873,221	22,830	Organic Agriculture Research and Extension Initiative			
10.307	I	38,161	-	Organic Agriculture Research and Extension Initiative	4821	Rutgers University	
10.307	I	61,935	-	Organic Agriculture Research and Extension Initiative	67385-9950	Cornell University	
10.307	I	21,164	-	Organic Agriculture Research and Extension Initiative	67385-9950	Cornell University	

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct / Indirect	Program Expenditures	Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
			Provided to Subrecipients					
10.307	I	64,207	-		Organic Agriculture Research and Extension Initiative	8000064229-AG	Purdue University	
10.307	I	6,995	-		Organic Agriculture Research and Extension Initiative	8500028703	Univ of Tennessee	
10.307	I	42,303	-		Organic Agriculture Research and Extension Initiative	8500028703	Univ of Tennessee	
10.307	I	90,857	-		Organic Agriculture Research and Extension Initiative	C0421A-A	Oregon State Univ.	
10.307	I	9,541	-		Organic Agriculture Research and Extension Initiative	RC293-636/S000867	Univ of Georgia	
10.307	I	12,334	-		Organic Agriculture Research and Extension Initiative	Subaward No: UFDSP00010998	University of Florida	
10.307	I	16,536	-		Organic Agriculture Research and Extension Initiative	Subaward No: 8000064230-AG	Purdue University	
10.309	D	2,225,328	1,340,175		Specialty Crop Research Initiative			
10.309	I	355	-		Specialty Crop Research Initiative	350K836	Univ of Wisconsin	
10.309	I	33,779	-		Specialty Crop Research Initiative	422179-19071	Virginia Polytech Institute	
10.309	I	26,317	-		Specialty Crop Research Initiative	61314-9364	Cornell University	
10.309	I	44	-		Specialty Crop Research Initiative	RC105573NCSU	Michigan State University	
10.309	I	27,829	-		Specialty Crop Research Initiative	RR722-418/5054526	Univ of Florida	
10.309	I	6,747	-		Specialty Crop Research Initiative	S110021_2011-51181-21064	Texas A&M University	
10.309	I	440	-		Specialty Crop Research Initiative	UFDSP00010491	Univ of Florida	
10.309	I	46,319	-		Specialty Crop Research Initiative	UFDSP00011195/00125051	Univ of Florida	
10.310	D	9,123,756	3,587,842		Agriculture and Food Research Initiative (AFRI)			
10.310	I	37,324	-		Agriculture and Food Research Initiative (AFRI)	115334 G002890	Washington State University	
10.310	I	5,781	-		Agriculture and Food Research Initiative (AFRI)	126319_G003570	Washington State University	
10.310	I	5,943	-		Agriculture and Food Research Initiative (AFRI)	13-USDA-1015	Duke University	
10.310	I	1,799	-		Agriculture and Food Research Initiative (AFRI)	16-007995 D 00	Univ of Massachusetts	
10.310	I	113,387	-		Agriculture and Food Research Initiative (AFRI)	201223090-03	Univ of Cal - Davis	
10.310	I	93,621	79,821		Agriculture and Food Research Initiative (AFRI)	2015-68004-23179	Pennsylvania State University	
10.310	I	2,069	-		Agriculture and Food Research Initiative (AFRI)	238371A	University of Oregon	
10.310	I	198,794	-		Agriculture and Food Research Initiative (AFRI)	25574_2011-67003-30228	University of Delaware	
10.310	I	8,771	-		Agriculture and Food Research Initiative (AFRI)	416-41-07C	Iowa State University	
10.310	I	243,675	-		Agriculture and Food Research Initiative (AFRI)	422192-19071	Virginia Polytechnic	
10.310	I	50,777	-		Agriculture and Food Research Initiative (AFRI)	422370-19071	Virginia Polytechnic Institute	
10.310	I	562,047	171,552		Agriculture and Food Research Initiative (AFRI)	5197-NCSU-USDA-3179	Pennsylvania State University	
10.310	I	23,064	-		Agriculture and Food Research Initiative (AFRI)	542K452	University of Wisconsin Madison	
10.310	I	39,013	-		Agriculture and Food Research Initiative (AFRI)	562981/PO#3403894	Univ of Pennsylvania	
10.310	I	3,750	-		Agriculture and Food Research Initiative (AFRI)	60044791	Ohio State University	
10.310	I	20,288	-		Agriculture and Food Research Initiative (AFRI)	60045042	Ohio State University	
10.310	I	45,080	-		Agriculture and Food Research Initiative (AFRI)	71304-10173	Cornell University	
10.310	I	5,704	-		Agriculture and Food Research Initiative (AFRI)	718253-712683	Virginia Institute Of Marine	
10.310	I	97,594	3,300		Agriculture and Food Research Initiative (AFRI)	73934-10464	Cornell University	
10.310	I	100,403	-		Agriculture and Food Research Initiative (AFRI)	8000053331-AG	Purdue University	
10.310	I	250,350	-		Agriculture and Food Research Initiative (AFRI)	8000053331-AG	Purdue University	
10.310	I	219,294	-		Agriculture and Food Research Initiative (AFRI)	8000067418-AG	Purdue University	
10.310	I	808,334	-		Agriculture and Food Research Initiative (AFRI)	8500022696	Univ of Tennessee	
10.310	I	58,976	-		Agriculture and Food Research Initiative (AFRI)	C00046787-1	Univ of Missouri - Columbia	
10.310	I	22,037	-		Agriculture and Food Research Initiative (AFRI)	C0490A-A	Oregon State Univ.	
10.310	I	21,093	-		Agriculture and Food Research Initiative (AFRI)	RC104967NCSU	Michigan State University	
10.310	I	116,041	-		Agriculture and Food Research Initiative (AFRI)	S-000472	Univ of Cal - Riverside	
10.310	I	76,109	-		Agriculture and Food Research Initiative (AFRI)	S14148	Kansas State University	
10.310	I	9,422	-		Agriculture and Food Research Initiative (AFRI)	Subaward No:8000067017-AG	Purdue University	
10.312	D	15	-		Biomass Research and Development Initiative Competitive Grants Program (BRDI)			
10.312	I	333,923	-		Biomass Research and Development Initiative Competitive Grants Program (BRDI)	3048109826-058	Univ of Kentucky Research Found	
10.313	I	23,841	-		Veterinary Medicine Loan Repayment Program	Subaward Agmt 62524.9499	Cornell University	
10.320	I	15,349	-		Sun Grant Program	8500032072	Univ of Tennessee	
10.320	I	5,716	-		Sun Grant Program	8500033505	Univ of Tennessee	
10.320	I	18,010	-		Sun Grant Program	8500047865	Univ of Tennessee	
10.320	I	16,325	-		Sun Grant Program	8500047866	Univ of Tennessee	
10.328	I	14,848	-		National Food Safety Training, Education, Extension, Outreach, and Technical Assistance Competitive Grants Program	UFDSP00011138 / 00125142	Univ of Florida	
10.329	D	187,998	38,566		Crop Protection and Pest Management Competitive Grants Program			
10.329	I	13,267	-		Crop Protection and Pest Management Competitive Grants Program	76523-10612	Cornell University	
10.329	I	34,347	-		Crop Protection and Pest Management Competitive Grants Program	RF330-503/8644617	Univ of Georgia	
10.330	I	1,358	-		Alfalfa and Forage Research Program	8500046909	Univ of Tennessee	
10.443	D	131,592	26,222		Outreach and Assistance for Socially Disadvantaged and Veteran Farmers and Ranchers			
10.446	D	40,484	-		Rural Community Development Initiative			
10.500	D	8,933,168	-		Cooperative Extension Service			
10.652	D	165,346	-		Forestry Research			
10.674	D	36,731	-		Wood Utilization Assistance			
10.675	I	18,959	-		Urban and Community Forestry Program	A15-0258-S001	Univ of Tennessee	
10.680	D	122,217	-		Forest Health Protection			
10.902	D	24,153	-		Soil and Water Conservation			
10.903	D	46,759	-		Soil Survey			

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

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Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
10.912	D	217,295	93,387	Environmental Quality Incentives Program			
10.961	D	11,629	-	Scientific Cooperation and Research			
10.RD	D	2,124,974	31,191	U. S. Department of Agriculture			15-8130-0928-CA
10.RD	D	11,667	-	U. S. Department of Agriculture			5056049-5055799-5055746
10.RD	D	46,650	-	U. S. Department of Agriculture			USDA-D-RD1
10.RD	I	46,781	-	U. S. Department of Agriculture	#13-052	Land-Of-Sky Regional Council	#13-052
10.RD	I	1,500	-	U. S. Department of Agriculture	0018889	Auburn University	18889
10.RD	I	(6,360)	-	U. S. Department of Agriculture	5042442	Chapel Hill-Carrboro City Schools	5042442
10.RD	I	51,632	-	U. S. Department of Agriculture	5150-BATTS	Rutgers University	2012-51120-20088
10.RD	I	174,877	111,579	U. S. Department of Agriculture	Contingency Letter	University of California Davis	Contingency Letter
10.RD	I	2,361	-	U. S. Department of Agriculture	Subaward No:ASU330109	Alcorn State University	Subaward No:ASU330109
		48,593,050	6,159,243	Total — Research and Development — U. S. Department of Agriculture			
<b>U. S. Department of Commerce</b>							
11.012	I	46,444	-	Integrated Ocean Observing System (IOOS)	2013-001	Southeastern Universities Research Assoc	
11.012	I	3,435	-	Integrated Ocean Observing System (IOOS)	433894/S1574936	Rutgers the State University of New Jersey	
11.012	I	88,360	-	Integrated Ocean Observing System (IOOS)	IOOS.11(033)UNCCH.HS	SECOORA Program	
11.012	I	12,050	-	Integrated Ocean Observing System (IOOS)	IOO.11(033)NCSU.RH.MOD.3	SECOORA	
11.012	I	24,618	-	Integrated Ocean Observing System (IOOS)	IOOS.11(033)NCSU.LX.MOD.4	SECOORA	
11.012	I	77,164	-	Integrated Ocean Observing System (IOOS)	IOOS.11(033)NCSU.RH.MOD.4	SECOORA	
11.012	I	6,495	-	Integrated Ocean Observing System (IOOS)	IOOS.11(033)UNCW.LL.OBS.3	SECOORA	
11.012	I	234,082	52,438	Integrated Ocean Observing System (IOOS)	IOOS.11(033)UNCW.LL.OBS.4	SECOORA	
11.012	I	162,594	23,766	Integrated Ocean Observing System (IOOS)	IOOS.11(033)UNCW.LL.OBS.5	SECOORA	
11.020	D	126,756	-	Cluster Grants			
11.303	D	114,958	-	Economic Development-Technical Assistance			
11.407	D	41,963	-	Interjurisdictional Fisheries Act of 1986			
11.417	D	1,841,084	618,768	Sea Grant Support			
11.417	I	30,068	-	Sea Grant Support	2015-1016	Chagrin River Watershed	
11.419	D	2,167,706	-	Coastal Zone Management Administration Awards			
11.419	I	1,009	-	Coastal Zone Management Administration Awards	5088 / PO #S1911101	Rutgers University	
11.420	D	696,158	-	Coastal Zone Management Estuarine Research Reserves			
11.427	D	61,699	-	Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program			
11.431	D	88,638	-	Climate and Atmospheric Research			
11.431	I	10,683	-	Climate and Atmospheric Research	13-2322	Univ of South Carolina	
11.431	I	(25)	-	Climate and Atmospheric Research	505016-78050	Northeastern University	
11.431	I	21,795	-	Climate and Atmospheric Research	PO#2000016422	University of South Carolina (USC)	
11.431	I	83,634	-	Climate and Atmospheric Research	S150208	Texas A&M University	
11.432	I	5,782,591	1,039,076	National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes	13342-Z7812001	Univ of Maryland, College Park	
11.432	I	11,388	-	National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes	3003712268	Univ of Michigan	
11.432	I	67,986	-	National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes	S15-14	University of Miami	
11.432	I	4,905	-	National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes	URH35-040130	Florida Atlantic University	
11.432	I	417,271	-	National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes	URJ58	Florida Atlantic University	
11.439	D	75,088	-	Marine Mammal Data Program			
11.440	I	20,355	18,709	Environmental Sciences, Applications, Data, and Education	Z763701	Univ of Maryland	
11.440	I	3,630	-	Environmental Sciences, Applications, Data, and Education	Z763701	Univ of Maryland, College Park	
11.454	D	120,888	-	Unallied Management Projects			
11.459	D	49,201	-	Weather and Air Quality Research			
11.463	D	43,873	-	Habitat Conservation			
11.468	D	129,385	-	Applied Meteorological Research			
11.474	D	231,987	-	Atlantic Coastal Fisheries Cooperative Management Act			
11.478	D	112,001	-	Center for Sponsored Coastal Ocean Research-Coastal Ocean Program			
11.478	I	72,491	-	Center for Sponsored Coastal Ocean Research-Coastal Ocean Program	A100897	Wood Hole Oceanographic Institution	
11.478	I	18,481	-	Center for Sponsored Coastal Ocean Research-Coastal Ocean Program	NA288A-A	Oregon State University	
11.483	I	4,793	-	NOAA Programs for Disaster Relief Appropriations Act - Non-construction and Construction	16608-Z7818001	Univ of Maryland, College Park	
11.609	D	212,029	-	Measurement and Engineering Research and Standards			
11.609	I	4,148	-	Measurement and Engineering Research and Standards	140100153	Concurrent Technologies	
11.611	D	20,750	20,750	Manufacturing Extension Partnership			
11.619	I	50,163	-	Arrangements for Interdisciplinary Research Infrastructure	S 1266-15A	Youngstown State Univ	
11.RD	D	459,550	112,148	U. S. Department of Commerce			5055113-5055112
11.RD	D	70,621	2,238	U. S. Department of Commerce			NA100AR4170080
11.RD	I	7,553	-	U. S. Department of Commerce	2015-0454	Biohabitats Inc.	2015-0454
11.RD	I	4,335	-	U. S. Department of Commerce	CCU NO. 2012.02/SA12-CCU0	Coastal Carolina University	CCU NO. 2012.02/SA12-CCU0
11.RD	I	72,951	-	U. S. Department of Commerce	UTA13-000443	University of Texas - Austin	UTA13-000443
		14,009,782	1,887,893	Total — Research and Development — U. S. Department of Commerce			
<b>U. S. Department of Defense</b>							
12.300	D	4,508,646	1,730,144	Basic and Applied Scientific Research			

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Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
12.300	I	247,401	-	Basic and Applied Scientific Research	13224200 A100752	Woods Hole Oceanographic Institution	
12.300	I	210,644	-	Basic and Applied Scientific Research	UWSC6064/PO#BPO7021	University of Washington	
12.351	D	704,222	-	Basic Scientific Research - Combating Weapons of Mass Destruction			
12.351	I	19,951	-	Basic Scientific Research - Combating Weapons of Mass Destruction	2002708651	Johns Hopkins University	
12.355	D	12,794	-	Pest Management and Vector Control Research			
12.360	D	199,265	-	Research on Chemical and Biological Defense			
12.360	I	9,905	-	Research on Chemical and Biological Defense	S-10456-01/S1434-01 W911QY-15	Geneva Foundation	
12.420	D	2,330,770	293,233	Military Medical Research and Development			
12.420	I	5,582	-	Military Medical Research and Development	12078/UWSC8821	University of Washington	
12.420	I	31,249	-	Military Medical Research and Development	151202	University of Texas Southwestern Medical	
12.420	I	16,098	-	Military Medical Research and Development	3003306411	University of Michigan (UMICH)	
12.420	I	123,575	-	Military Medical Research and Development	313-0474 3139703	Duke University	
12.420	I	1,713	-	Military Medical Research and Development	410003856	University Health Network	
12.420	I	8,045	-	Military Medical Research and Development	60046663	Ohio State University	
12.420	I	34,576	-	Military Medical Research and Development	C16J12288 (J00244)	Yale University	
12.420	I	18,617	-	Military Medical Research and Development	N/A	Allina Health System	
12.420	I	(3,915)	-	Military Medical Research and Development	N/A	American Burn Association	
12.420	I	88,741	-	Military Medical Research and Development	N/A	Medical College of Wisconsin	
12.420	I	(13,953)	-	Military Medical Research and Development	S-001903.01.UNC	Applied Research Associates, Inc.	
12.420	I	43,944	-	Military Medical Research and Development	S-1278-01 S-1435-01	Geneva Foundation	
12.420	I	(10,536)	-	Military Medical Research and Development	WFUHS 110627	Wake Forest University Health Sciences	
12.431	D	5,847,312	520,254	Basic Scientific Research			
12.431	I	9,670	-	Basic Scientific Research	14-ARO-1098	Duke University	
12.431	I	83,504	-	Basic Scientific Research	15-33 AND 15-34	Academy of Applied Science	
12.431	I	1,231	-	Basic Scientific Research	4020-NCSU-USA-0525	Pennsylvania State University	
12.431	I	51,751	-	Basic Scientific Research	504062-78054	Northeastern University	
12.431	I	115,975	-	Basic Scientific Research	515120	Columbia University	
12.431	I	35,038	-	Basic Scientific Research	821	Brown University	
12.431	I	55,793	-	Basic Scientific Research	W911NF-12-2-0064/15-001	Cree, Inc.	
12.431	I	19,544	-	Basic Scientific Research	Z845802	University of Maryland	
12.598	D	266,720	186,581	Centers for Academic Excellence			
12.630	D	567,363	-	Basic, Applied, and Advanced Research in Science and Engineering			
12.630	I	11,633	-	Basic, Applied, and Advanced Research in Science and Engineering	11121-20898-1	Florida Gulf Coast University	
12.630	I	209,384	-	Basic, Applied, and Advanced Research in Science and Engineering	W9132T-11-2-0007	Co-Op Ecosystem Studies Unit	
12.750	I	23,055	-	Uniformed Services University Medical Research Projects	2830084	Duke University	
12.800	D	3,018,946	666,481	Air Force Defense Research Sciences Program			
12.800	I	213,857	-	Air Force Defense Research Sciences Program	10008276-NCSU	Bowling Green State University	
12.800	I	59,172	-	Air Force Defense Research Sciences Program	15-698	Arizona State University	
12.800	I	432,830	189,002	Air Force Defense Research Sciences Program	20140179	Nat'L Ctr For Defense Manufact	
12.800	I	40,823	-	Air Force Defense Research Sciences Program	421-20-31B	Iowa State University	
12.800	I	137,544	-	Air Force Defense Research Sciences Program	450169-19071	Virginia Polytech Institute	
12.800	I	186,968	-	Air Force Defense Research Sciences Program	450169-19071	Virginia Polytechnic Institute	
12.800	I	215,094	-	Air Force Defense Research Sciences Program	5011-NCSU-AFOSR-0067	Pennsylvania State University	
12.800	I	45,984	-	Air Force Defense Research Sciences Program	78133	University of South Carolina (USC)	
12.800	I	32,583	-	Air Force Defense Research Sciences Program	800002123-02	Florida Int'L Univ.	
12.800	I	96,644	-	Air Force Defense Research Sciences Program	GG11604-141694	Univ of Virginia	
12.800	I	12	-	Air Force Defense Research Sciences Program	J029/PO#101106	Defense Engineering Corp.	
12.800	I	139,980	-	Air Force Defense Research Sciences Program	RSC12035	Univ of Dayton	
12.901	D	101,960	-	Mathematical Sciences Grants Program			
12.902	D	164,262	-	Information Security Grants			
12.910	D	4,636,739	2,064,692	Research and Technology Development			
12.910	I	1,830	-	Research and Technology Development	00009160	Univ of Cal- Berkeley	
12.910	I	13,889	-	Research and Technology Development	4912065920.0	IBM	
12.910	I	57,395	-	Research and Technology Development	68542-10406	Cornell University	
12.RD	D	735,736	61,228	U. S. Department of Defense			5101541-5055199-5036101-5055080-5102351-5036801
12.RD	D	1,332,235	512,073	U. S. Department of Defense			DOD-D-RD1
12.RD	D	13,914,771	4,307,502	U. S. Department of Defense			H98230-13-D-0054/0006
12.RD	I	9,322	-	U. S. Department of Defense	009799-002	University of Cincinnati	009799-002
12.RD	I	14,632	-	U. S. Department of Defense	018-1	Intelligent Fusion Technology	018-1
12.RD	I	(427)	-	U. S. Department of Defense	10-S590-0004-02-C15	Universal Technology Corporation	10-S590-0004-02-C15
12.RD	I	135,535	-	U. S. Department of Defense	1003025.0025	Ecology And Environment, Inc.	1003025.003
12.RD	I	101,449	-	U. S. Department of Defense	1011580-338318	Carnegie Mellon University	1011580-338318
12.RD	I	1,168	-	U. S. Department of Defense	1012-NCS1408	Sa Photonics	1012-NCS1408
12.RD	I	4,065	-	U. S. Department of Defense	1023-NCSU1508	Sa Photonics	1023-NCSU1508
12.RD	I	92,554	-	U. S. Department of Defense	13-001/W911NF-12-2-0064	Cree, Inc.	13-001/W911NF-12-2-0064
12.RD	I	4,685	-	U. S. Department of Defense	14-16-NCSU	Cu Aerospace	14-16-NCSU
12.RD	I	3,000	-	U. S. Department of Defense	14-ARO-1099	Duke University	14-ARO-1099
12.RD	I	67,332	-	U. S. Department of Defense	15-0459	Brigham Young University	15-0459

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Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
12.RD	I	3,952	-	U. S. Department of Defense	152333	Infocitex	152333
12.RD	I	7,174	-	U. S. Department of Defense	152334	Infocitex	152334
12.RD	I	6,474	-	U. S. Department of Defense	153181	Infocitex	153181
12.RD	I	20,060	-	U. S. Department of Defense	16-00119-SUB-000	Carnegie Mellon University	16-00119-SUB-000
12.RD	I	7,402	-	U. S. Department of Defense	160398	Infocitex	160398
12.RD	I	4,733	-	U. S. Department of Defense	160513	Infocitex	160513
12.RD	I	37,457	-	U. S. Department of Defense	17118	Advanced Cooling Technologies	17118
12.RD	I	22,329	-	U. S. Department of Defense	2001-NCS1309	Sa Photonics	2001-NCS1309
12.RD	I	53,844	-	U. S. Department of Defense	2012-2080	Nj Microsystems, Inc.	2012-2080
12.RD	I	86,326	-	U. S. Department of Defense	2013-2643	Nla Diagnostics, Llc	2013-2643
12.RD	I	99,119	-	U. S. Department of Defense	2014-0517	Energy-To-Power Solutions(E2p)	G40100282914FOR
12.RD	I	24,846	-	U. S. Department of Defense	2014-1020	Haley & Aldrich, Inc.	2014-1020
12.RD	I	104,716	-	U. S. Department of Defense	2014-2227	Computational Sciences, Llc	2014-2227
12.RD	I	33,180	-	U. S. Department of Defense	2014-2392	Calabazas Creek Research, Inc.	2014-2392
12.RD	I	5,321	-	U. S. Department of Defense	2014-2547/PINS 57229	Adroit Materials, Inc.	2014-2547/PINS 57229
12.RD	I	8,863	-	U. S. Department of Defense	2014-2650	Agnitron Technology Inc.	2014-2650
12.RD	I	22,476	-	U. S. Department of Defense	2015-0760	American Superconductor Corp.	2015-0760
12.RD	I	122,452	-	U. S. Department of Defense	2015-0769	Vadum, Inc.	2015-0769
12.RD	I	13,507	-	U. S. Department of Defense	2015-1957	Solutions-les, Inc.	2015-1957
12.RD	I	24,067	-	U. S. Department of Defense	2016-0408	Adroit Materials, Inc.	2016-0408
12.RD	I	6,165	-	U. S. Department of Defense	206-000062	SRI International	5042468
12.RD	I	7,919	-	U. S. Department of Defense	210-001-2015-NCSU	Institute For Wildlife Studies	210-001-2015-NCSU
12.RD	I	32,865	-	U. S. Department of Defense	316091	University of Maryland	316091
12.RD	I	27,036	-	U. S. Department of Defense	3909-1	Maxentric Technologies, Llc	3909-1
12.RD	I	14,092	-	U. S. Department of Defense	4102294416	Lockheed Martin	5103414
12.RD	I	24,544	-	U. S. Department of Defense	80433	Creare, Inc.	5103180
12.RD	I	435,269	-	U. S. Department of Defense	888-11-16-04/5-312-0	Research Triangle Institute (RTI International)	5044883-5044860-5044859-5044858-5044857-5044856
12.RD	I	(5,961)	-	U. S. Department of Defense	940295	University of Texas MD Anderson Cancer Center	5042444
12.RD	I	93,570	-	U. S. Department of Defense	ARM211	Tufts University	ARM211
12.RD	I	27,583	-	U. S. Department of Defense	CVI7007-01	Control Vision, Inc.	CVI7007-01
12.RD	I	14,096	-	U. S. Department of Defense	CVI7008-01	Control Vision, Inc.	CVI7008-01
12.RD	I	25,942	-	U. S. Department of Defense	CVI7009-01 / 15-1857	Control Vision, Inc.	CVI7009-01 / 15-1857
12.RD	I	9,785	-	U. S. Department of Defense	Departmental Approval In Process	Scientific Research Corporation (SRC)	Departmental Approval In Process
12.RD	I	17,162	-	U. S. Department of Defense	FA8601-15-P-0061	Air Force Institute Of Technol	FA8601-15-P-0061
12.RD	I	17,027	10,320	U. S. Department of Defense	MSRDC	MSRDC	MSI STEM R&D #1
12.RD	I	51,789	-	U. S. Department of Defense	MSRDC	MSRDC	MSI STEM R&D #2
12.RD	I	19,906	-	U. S. Department of Defense	N/A	Banyan Systems, Inc.	4028491
12.RD	I	(1,749)	-	U. S. Department of Defense	N/A	Impulsonic Inc	5058753
12.RD	I	51,673	-	U. S. Department of Defense	N/A	Inferlink Corporation	5102074
12.RD	I	(8)	-	U. S. Department of Defense	N/A	National Strategic Research Institute	5042395
12.RD	I	51,771	-	U. S. Department of Defense	N00014-14-C-0122	Abb, Inc.	N00014-14-C-0122
12.RD	I	882	-	U. S. Department of Defense	NCAT 12-S-567-018-02-C2	Clarkson Aerospace	NCAT 12-S-567-018-02-C2
12.RD	I	80,235	-	U. S. Department of Defense	NCAT 13-S7700-01-C2	Clarkson Aerospace	NCAT 13-S7700-01-C2
12.RD	I	34,203	-	U. S. Department of Defense	NCAT 14-S7700-02-C2	Clarkson Aerospace	NCAT14-S7700-02-C2
12.RD	I	36,438	-	U. S. Department of Defense	P.O. NO. 72	Firstpass Engineering	2016-0630
12.RD	I	137,049	-	U. S. Department of Defense	PO #2009-NCS1404	Sa Photonics	PO #2009-NCS1404
12.RD	I	74,111	-	U. S. Department of Defense	PO 4102154739	Lockheed Martin Missiles and Fire Control	5102483
12.RD	I	1,384	-	U. S. Department of Defense	PO100642	Integrated Systems Solutions,	PO100642
12.RD	I	45,297	-	U. S. Department of Defense	RESS08103	Case Western Reserve University	RESS08103
12.RD	I	28,455	-	U. S. Department of Defense	RSC15002	Univ of Dayton	RSC15002
12.RD	I	288,303	-	U. S. Department of Defense	S-001460.00000.UNC	Applied Research Associates, Inc.	5101487-5042517
12.RD	I	374	-	U. S. Department of Defense	S-875-202-003	UES, Inc.	S-875-202-003
12.RD	I	113,823	-	U. S. Department of Defense	S-926-013-003	UES, Inc.	S-926-013-003
12.RD	I	1	-	U. S. Department of Defense	S911580	Emory University (EU)	5044970
12.RD	I	26,924	-	U. S. Department of Defense	SA-15-001	Datanova Scientific	SA-15-001
12.RD	I	111,697	-	U. S. Department of Defense	SC14-5912-1	Toyon Research Corporation	SC14-5912-1
12.RD	I	81,084	36,336	U. S. Department of Defense	Subaward No: RSC15001	University of Dayton Research Institute	Subaward No: RSC15001
12.RD	I	144,851	-	U. S. Department of Defense	SUB_NC A&T-S01_STEM	General Informatics, Inc	SUB-NC A&T-S01-STEM
12.RD	I	50,973	-	U. S. Department of Defense	TS14-16-02-001	Taitech, Inc.	TS14-16-02-001
12.RD	I	56,548	-	U. S. Department of Defense	TUL-SCC-553199-15/16	Tulane University	TUL-SCC-553199-15/16
12.RD	I	4,638	-	U. S. Department of Defense	Task Order No. 0028, RT 128	Stevens Institute of Technology	Task Order No. 0028, RT 128
12.RD	I	6,264	-	U. S. Department of Defense	Task Order No. 0031,RT131	Stevens Institute of Technology	Task Order No. 0031,RT131
12.RD	I	948,651	-	U. S. Department of Defense	UNC-0014	908 Devices, Inc	5101484
12.RD	I	87,748	-	U. S. Department of Defense	W81XWH-13-D-0044-001	Cherokee Nation Technology Solutions LLC	5103058-5100426
12.RD	I	2,163	-	U. S. Department of Defense	W912HQ-11-C-0058	Strategic Envir Rsch & Dev Pgm	W912HQ-11-C-0058
		<u>45,888,746</u>	<u>10,577,846</u>	Total — Research and Development — U. S. Department of Defense			

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For the Fiscal Year Ended June 30, 2016

Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
<b>U. S. Central Intelligence Agency</b>							
13.RD	D	14,496	-	U. S. Central Intelligence			2014-1408260004
13.RD	D	209,730	-	U. S. Central Intelligence Agency			5103144
		<u>224,226</u>	-	Total — Research and Development — U. S. Central Intelligence Agency			
<b>U. S. Department of Housing and Urban Development</b>							
14.267	D	12,744	-	Continuum of Care Program			
14.906	D	274,486	-	Healthy Homes Technical Studies Grants			
14.RD	I	44,677	-	U. S. Department of Housing and Urban Development	2013-5-35 MBE	A.P. Sloan Found.	2013-5-35 MBE
14.RD	I	1,878	-	U. S. Department of Housing and Urban Development	30060	Abt Associates, Inc.	5044375
14.RD	I	20,655	-	U. S. Department of Housing and Urban Development	N/A	Manpower Demonstration Research Corporation	5103638
		<u>354,440</u>	-	Total — Research and Development — U. S. Department of Housing and Urban Development			
<b>U. S. Department of Interior</b>							
15.153	I	59,968	-	Hurricane Sandy Disaster Relief Coastal Resiliency Grants.	VA-UNCC-0210-15G	Nature Conservancy	
15.153	I	32,964	-	Hurricane Sandy Disaster Relief Coastal Resiliency Grants.	VA-UNCW-0310-15G	Nature Conservancy	
15.231	I	122,730	-	Fish, Wildlife and Plant Conservation Resource Management	L15AC00032	Chicago Botanic Garden	
15.232	D	319,384	97,340	Wildland Fire Research and Studies Program			
15.423	D	43,780	12,856	Bureau of Ocean Energy Management (BOEM) Environmental Studies Program (ESP)			
15.560	D	133,098	-	SECURE Water Act Research Agreements			
15.608	I	9,567	-	Fish and Wildlife Management Assistance	FWS-800-037-2014-NCSU	Gulf States Marine Fisheries	
15.608	I	9,936	-	Fish and Wildlife Management Assistance	FWS-800-037-2015-NCSU	Gulf States Marine Fisheries	
15.637	I	23,694	-	Migratory Bird Joint Ventures	191000.33131.08	Mississippi State Univ	
15.650	D	52,660	-	Research Grants (Generic)			
15.657	D	9,992	-	Endangered Species Conservation - Recovery Implementation Funds			
15.663	I	8,152	-	National Fish and Wildlife Foundation	1701.14.040609	National Fish and Wildlife Foundation	
15.668	I	29,113	-	Coastal Impact Assistance Program	AQRUNC13	Houston Advanced Research Center (HARC)	
15.669	D	141,502	-	Cooperative Landscape Conservation			
15.805	D	95,045	30,652	Assistance to State Water Resources Research Institutes			
15.807	D	70,803	-	Earthquake Hazards Research and Monitoring Assistance			
15.808	D	394,580	-	U. S. Geological Survey- Research and Data Collection			
15.810	D	14,781	-	National Cooperative Geologic Mapping Program			
15.812	D	1,055,361	-	Cooperative Research Units Program			
15.820	D	904,016	179,885	National Climate Change and Wildlife Science Center			
15.875	D	18,046	464	Economic, Social, and Political Development of the Territories			
15.945	D	439,712	-	Cooperative Research and Training Programs - Resources of the National Park System			
15.945	I	14,825	-	Cooperative Research and Training Programs - Resources of the National Park System	P15AC00972	Co-Op Ecosystem Studies Unit	
15.945	I	5,867	-	Cooperative Research and Training Programs - Resources of the National Park System	P15AC01613	Cooperative Ecosystem Studies	
15.979	D	68,190	-	Hurricane Sandy Program			
15.RD	D	6,307	-	U. S. Department of Interior			5035682-5036371
15.RD	D	194,409	-	U. S. Department of Interior			G14AC00344
15.RD	I	(56)	-	U. S. Department of Interior	FP40339	University of Alaska	FP40339
		<u>4,278,426</u>	<u>321,197</u>	Total — Research and Development — U. S. Department of Interior			
<b>U. S. Department of Justice</b>							
16.525	D	131,728	-	Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus			
16.560	D	538,519	-	National Institute of Justice Research, Evaluation, and Development Project Grants			
16.560	I	39,286	-	National Institute of Justice Research, Evaluation, and Development Project Grants	13-DOJ-1022	Duke University	
16.560	I	72,138	-	National Institute of Justice Research, Evaluation, and Development Project Grants	428-20-07A	Iowa State University	
16.585	I	6,735	-	Drug Court Discretionary Grant Program	Agreement 5.1.14	County of Brunswick	
16.RD	I	28,655	-	U. S. Department of Justice	464763PO:US001-0000464763	Battelle Memorial Institute	464763PO:US001-0000464763
		<u>817,061</u>	-	Total — Research and Development — U. S. Department of Justice			
<b>U. S. Department of State</b>							
19.415	D	682,649	(82,961)	Professional and Cultural Exchange Programs - Citizen Exchanges			
19.501	D	329,497	9,000	Public Diplomacy Programs for Afghanistan and Pakistan			
		<u>1,012,146</u>	<u>(73,961)</u>	Total — Research and Development — U. S. Department of State			
<b>U. S. Department of Transportation</b>							
20.108	I	134,035	-	Aviation Research Grants	45000001709 45000001937	Boston University	
20.109	D	392,101	-	Air Transportation Centers of Excellence			
20.109	I	97,666	-	Air Transportation Centers of Excellence	15-C-UAS-NCSU-01	Federal Aviation Admin.	
20.200	D	1,008,724	230,772	Highway Research and Development Program			

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Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
20.200	I	10,766	-	Highway Research and Development Program	SUB0000607/HR 20-05	National Academies	
20.215	D	14,984	-	Highway Training and Education			
20.701	I	261,959	-	University Transportation Centers Program	5893-Z9600001	Univ of Maryland, College Park	
20.701	I	146,810	-	University Transportation Centers Program	5893-Z9600001	University of Maryland	
20.701	I	32,499	-	University Transportation Centers Program	A14-0490-S006	University of Tennessee	
20.RD	D	2,217,190	1,136,579	U. S. Department of Transportation			5102255-5101538-5100110-5100294-5036308
20.RD	D	20,165	15,532	U. S. Department of Transportation			DTFH61-10-C-00029
20.RD	I	60,984	-	U. S. Department of Transportation	025-5-1-042	Alaska DOT	025-5-1-042
20.RD	I	2,025	-	U. S. Department of Transportation	02563019	Alaska DOT	02563019
20.RD	I	(7,064)	-	U. S. Department of Transportation	1500-004-016-CS	CDM Smith	5042038
20.RD	I	56,127	-	U. S. Department of Transportation	18135_11074	Kittelson & Associates, Inc.	2015-3239/15-042
20.RD	I	11,178	-	U. S. Department of Transportation	18162/11074	Kittelson & Associates, Inc.	18162/11074
20.RD	I	27,763	-	U. S. Department of Transportation	19369/11074	Kittelson & Associates, Inc.	19369/11074
20.RD	I	12,351	-	U. S. Department of Transportation	19419 / 11074	Kittelson & Associates, Inc.	19419/11074
20.RD	I	1,014	-	U. S. Department of Transportation	2014-2578/E-146DRB1450	FDH Engineering, Inc.	2014-2578/E-146DRB1450
20.RD	I	345	-	U. S. Department of Transportation	20PO002036	Louis Berger Group, Inc.	20PO002036
20.RD	I	257,454	-	U. S. Department of Transportation	38049-01 38110-01	Vanasse Hangen Brustlin, (VHB) Inc.	5044830-5044309-5044151-5042661
20.RD	I	753,636	438,094	U. S. Department of Transportation	ACRP A02-58	National Academy of Sciences	5102294-5101978-5042511-5044940-5044646
20.RD	I	1,859	-	U. S. Department of Transportation	DTNH22-09-00135	TransAnalytics	5044100
20.RD	I	114,417	98,374	U. S. Department of Transportation	HR 03-113	National Academy of Sciences	HR 03-113
20.RD	I	84,851	-	U. S. Department of Transportation	HR 03-113 / SUB0000490	National Academy of Sciences	HR 03-113 / SUB0000490
20.RD	I	41,402	41,402	U. S. Department of Transportation	HR 09-54	National Academy of Sciences	2013-0869
20.RD	I	133,915	3,863	U. S. Department of Transportation	HR 09-54	National Academy of Sciences	HR 09-54
20.RD	I	25,103	25,103	U. S. Department of Transportation	HR-03-113	National Academy of Sciences	HR-03-113
20.RD	I	14,081	-	U. S. Department of Transportation	N/A	Dunlap and Associates, Inc.	5044648
20.RD	I	2,096	-	U. S. Department of Transportation	N/A	Pacific Institute for Research and Evaluation	5045779
20.RD	I	835	-	U. S. Department of Transportation	P010142080	SAIC	PO10142080
20.RD	I	44,495	-	U. S. Department of Transportation	RC103194NCAT	Michigan State University	RC103194NCAT
20.RD	I	72,713	-	U. S. Department of Transportation	RC103537A	Michigan State University	RC103537A
20.RD	I	89,664	-	U. S. Department of Transportation	RF01354864	Ohio State University	RF01354864
20.RD	I	68,863	-	U. S. Department of Transportation	S-001986-NCSU-00 14-00560	Applied Research Assoc. (Ara)	S-001986-NCSU-00 14-00560
20.RD	I	21,643	-	U. S. Department of Transportation	Task Order 13-NCA&T-E1	University of Tennessee-Knoxville	Task Order 13-NCA&T-E1-RD
20.RD	I	59,437	-	U. S. Department of Transportation	UF-EIES-1200008-UNC	Southeastern Transportation Research, In	5103923
20.RD	I	18,902	-	U. S. Department of Transportation	UF-EIES-1200025-NCS / TO	Univ of Florida	UF-EIES-1200025-NCS /TO
20.RD	I	6,425	-	U. S. Department of Transportation	UF-EIES-1200025-NCS / TO1	Univ of Florida	UF-EIES-1200025-NCS /TO1
20.RD	I	4,211	-	U. S. Department of Transportation	UF-EIES-1200025-NCS/TO#15	Univ of Florida	UF-EIES-1200025-NCS /TO#15
20.RD	I	3,123	-	U. S. Department of Transportation	UF-EIES-1200025-NCS/TO#16	Univ of Florida	UF-EIES-1200025-NCS /TO#16
20.RD	I	2,107	-	U. S. Department of Transportation	UF-EIES-1200025-NCS/TO12	Univ of Florida	UF-EIES-1200025-NCS /TO12
20.RD	I	29,223	-	U. S. Department of Transportation	UF-EIES-1200025-NCS/TO13	Univ of Florida	UF-EIES-1200025-NCS /TO13
		6,352,077	1,989,719	Total — Research and Development — U. S. Department of Transportation			
<b>National Aeronautics and Space Administration</b>							
43.001	D	1,443,632	215,205	Science			
43.001	I	10,791	-	Science	15-PHY-209376-NCSU	Auburn University	
43.001	I	18,512	-	Science	16-806	Arizona State University	
43.001	I	12,203	-	Science	18802	Univ of Massachusetts	
43.001	I	12,240	-	Science	3003899011	University of Michigan (UMICH)	
43.001	I	1	-	Science	4973-UNCCH-NASA-E28G	Pennsylvania State University	
43.001	I	11,496	-	Science	505015-78051	Northeastern University	
43.001	I	7,765	-	Science	73175	State Univ of New York	
43.001	I	19,161	-	Science	A101126	Woods Hole Oceanographic Institution	
43.001	I	18,955	-	Science	E000011	NSBRI	
43.001	I	6,971	-	Science	GO4-15077X	Smithsonian Astrophys Observ	
43.001	I	18,102	-	Science	GO5-16055X	Smithsonian Astrophys Observ	
43.001	I	60,940	-	Science	GO5-16069A	Smithsonian Astrophys Observ	
43.001	I	52,003	-	Science	GO5-16070X	Smithsonian Astrophys Observ	
43.001	I	129,991	-	Science	RR100-633/4944176	Univ of Georgia	
43.001	I	1,740	-	Science	RR176-308/S001031	Univ of Georgia	
43.002	D	169,055	-	Aeronautics			
43.002	I	41,381	-	Aeronautics	NCC9-58-461 PF04304	National Space Biomedical Research Institute	
43.002	I	22,607	-	Aeronautics	UA14-036	Univ of Alabama	
43.003	D	45,445	-	Exploration			
43.007	D	7,052	-	Space Operations			
43.008	D	136,319	5,062	Education			
43.008	I	9,970	-	Education	NNX15AH81H / 2015-1994	NASA	
43.009	D	111,304	-	Cross Agency Support			
43.RD	D	(22)	-	National Aeronautics and Space Administration			5036919
43.RD	D	212,140	-	National Aeronautics and Space Administration			NASA-D-RD1

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Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
43.RD	D	294,703	72,713	National Aeronautics and Space Administration			NNX10AI68H
43.RD	I	26,622	-	National Aeronautics and Space Administration	1/NCAT	AxNano, LLC	1/NCAT
43.RD	I	36,742	-	National Aeronautics and Space Administration	1022-1	X-Wave Innovations, Inc.	1022-1
43.RD	I	909	-	National Aeronautics and Space Administration	1472126	California Institute of Technology (CalTech)	5044779
43.RD	I	26,594	-	National Aeronautics and Space Administration	1517781	Jet Propulsion Laboratory	1517781
43.RD	I	18,410	-	National Aeronautics and Space Administration	C15-2B00-NCSSU 2B43-NCSSU	Nat'L Inst. of Aerospace	C15-2B00-NCSSU 2B43-NCSSU
43.RD	I	7,689	-	National Aeronautics and Space Administration	C15-2B00-NCSSU-2B35-NCSSU	Nat'L Inst. of Aerospace	C15-2B00-NCSSU-2B35-NCSSU
43.RD	I	161,148	-	National Aeronautics and Space Administration	C15-2B00-NCSSU-3774-NCSSU	Nat'L Inst. of Aerospace	C15-2B00-NCSSU-3774-NCSSU
43.RD	I	128,271	-	National Aeronautics and Space Administration	C16-2B00-NCAT, ACTIVITY 3773-N	Virginia Polytechnic Institute and State University	C16-2B00-NCAT,ACTIVITY 3773-N
43.RD	I	82,671	-	National Aeronautics and Space Administration	HST-GO-13840.008 14076.009 HST-HF2-51357.001-A	Space Telescope Science Institute	5103735-5102987-5100381
43.RD	I	90,666	-	National Aeronautics and Space Administration	HST-HF2-51344.001-A	Space Telescope Science Institute	HST-HF2-51344.001-A
43.RD	I	162,848	-	National Aeronautics and Space Administration	NCAT-03-01	Virginia Polytechnic Institute and State University	NCAT-03-01
43.RD	I	57,376	-	National Aeronautics and Space Administration	NCSSU-03-01-2892-NC	Nat'L Inst. of Aerospace	NCSSU-03-01-2892-NC
43.RD	I	308	-	National Aeronautics and Space Administration	NCSSU-03-01-2A25-NC	Nat'L Inst. of Aerospace	NCSSU-03-01-2A25-NC
43.RD	I	43,671	-	National Aeronautics and Space Administration	NCSSU-03-01-2A41-NC	Nat'L Inst. of Aerospace	NCSSU-03-01-2A41-NC
43.RD	I	120,623	-	National Aeronautics and Space Administration	NCSSU-03-01-3771-011-NC	Nat'L Inst. of Aerospace	NCSSU-03-01-3771-011-NC
43.RD	I	33,764	-	National Aeronautics and Space Administration	NCSSU-03-01-4502-NC	Nat'L Inst. of Aerospace	NCSSU-03-01-4502-NC
43.RD	I	39,456	-	National Aeronautics and Space Administration	NCSSU-03-01-4740-030-NC	Nat'L Inst. of Aerospace	NCSSU-03-01-4740-030-NC
43.RD	I	3,705	-	National Aeronautics and Space Administration	NCSSU-03-01-4770-001-NC	Nat'L Inst. of Aerospace	NCSSU-03-01-4770-001-NC
43.RD	I	14,038	-	National Aeronautics and Space Administration	PF03003	National Space Biomedical Research Institute	5044852
43.RD	I	19,589	-	National Aeronautics and Space Administration	PO 0001847	Science Systems Applications, Inc.	5100434
43.RD	I	21,346	-	National Aeronautics and Space Administration	RR176-303/S000861	Univ of Georgia	RR176-303/S000861
		3,970,903	292,980	Total — Research and Development — National Aeronautics and Space Administration			
<b>National Endowment for the Arts and Humanities</b>							
45.024	D	21,303	-	Promotion of the Arts-Grants to Organizations and Individuals			
45.024	I	1,870	-	Promotion of the Arts-Grants to Organizations and Individuals	4996	South Arts	
45.024	I	496	-	Promotion of the Arts-Grants to Organizations and Individuals	5046	UNCW Research Foundation	
45.129	I	35,921	-	Promotion of the Humanities-Federal/State Partnership	2013-0775	Friedrich Schiller University	
45.149	D	238,692	-	Promotion of the Humanities-Division of Preservation and Access			
45.161	D	112,318	83,859	Promotion of the Humanities-Research			
45.164	D	88,502	-	Promotion of the Humanities-Public Programs			
45.164	I	2,943	-	Promotion of the Humanities-Public Programs	LA105666	American Library Association	
45.169	D	34,033	-	Promotion of the Humanities-Office of Digital Humanities			
45.312	D	23,201	-	National Leadership Grants			
45.312	I	14,693	-	National Leadership Grants	UTA16-000464	University of Texas Austin	
45.313	D	471,190	650	Laura Bush 21st Century Librarian Program			
		1,045,162	84,509	Total — Research and Development — National Endowment for the Arts and Humanities			
<b>National Science Foundation</b>							
47.041	D	21,350,346	6,221,759	Engineering Grants			
47.041	I	25,336	-	Engineering Grants	14-082	Univ of New Hampshire	
47.041	I	97,295	-	Engineering Grants	2014-0225	Physical Devices Llc	
47.041	I	79,240	-	Engineering Grants	2015-1277	Smart Material Solutions LLC	
47.041	I	56,865	-	Engineering Grants	2015-2591	Lumecva	
47.041	I	25,467	-	Engineering Grants	2015-3123	Boston Mountain Biotech, LLC	
47.041	I	13,920	-	Engineering Grants	2016-1238	Kinetic	
47.041	I	111,766	-	Engineering Grants	33791	University of Delaware	
47.041	I	10,788	-	Engineering Grants	478359-19071	Virginia Polytech Institute	
47.041	I	10,430	-	Engineering Grants	478359-19071A	Virginia Polytech Institute	
47.041	I	7,662	-	Engineering Grants	A13-0112-S0001	University of Tennessee-Knoxville	
47.041	I	69,779	-	Engineering Grants	EEC-0540834	University of Minnesota	
47.041	I	(5,180)	-	Engineering Grants	N/A	Clave Biodesign, Inc.	
47.041	I	70,530	-	Engineering Grants	N/A	Impulsonic Inc	
47.041	I	(1,630)	-	Engineering Grants	N/A	Sonovol, LLC	
47.041	I	7,886	-	Engineering Grants	N/A	Texas A&M University	
47.041	I	74,355	-	Engineering Grants	Subgrant No. RG314-G1	Georgia Institute of Technology	
47.049	D	17,315,738	2,860,180	Mathematical and Physical Sciences			
47.049	I	25,445	-	Mathematical and Physical Sciences	00002006274	Univ of Minnesota	
47.049	I	30,462	-	Mathematical and Physical Sciences	0044297(011606-1)	University of Pittsburgh	
47.049	I	186,870	-	Mathematical and Physical Sciences	12-NSF-1027	Duke University	
47.049	I	636,610	-	Mathematical and Physical Sciences	12-NSF-1029	Duke University	
47.049	I	7,992	-	Mathematical and Physical Sciences	13013-81796-2	Texas State Univ - San Marcos	
47.049	I	2,937	-	Mathematical and Physical Sciences	173308	Univ of Arizona	
47.049	I	52,298	-	Mathematical and Physical Sciences	25-0521-0184-022	The University of Nebraska Lincoln	
47.049	I	91,049	-	Mathematical and Physical Sciences	2606-015012	Vanderbilt University	
47.049	I	149,591	-	Mathematical and Physical Sciences	UFDSP00010973	Univ of Florida	

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CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
47.049	I	92,201	-	Mathematical and Physical Sciences	UWSC6729 - PO #: BPO6175	Univ of Washington	
47.049	I	169,768	-	Mathematical and Physical Sciences	UWSC6738/PO#BP07546	University of Washington	
47.050	D	6,921,733	203,394	Geosciences			
47.050	I	6,518	-	Geosciences	15-NSF-1076	Duke University	
47.050	I	6,293	-	Geosciences	420-41-01A	Iowa State University	
47.050	I	60,653	-	Geosciences	45-25162	Columbia University	
47.050	I	131,735	25,340	Geosciences	48709463 60519451	University of Southern California (USC)	
47.050	I	17,879	-	Geosciences	Agreement 10.21.15	Claflin University	
47.050	I	18,630	-	Geosciences	N/A	OPeNDAP Open Source Project for Network	
47.050	I	69,578	-	Geosciences	RENCI-1340233	Arizona Geological Survey	
47.070	D	11,448,379	510,290	Computer and Information Science and Engineering			
47.070	I	16,736	-	Computer and Information Science and Engineering	00008062	Univ of Cal- Berkeley	
47.070	I	60,363	14,126	Computer and Information Science and Engineering	1872/PO# 9500011221 1939B/9500012168	Raytheon Company	
47.070	I	19,436	-	Computer and Information Science and Engineering	1906/PO#9500012013	BBN Technologies	
47.070	I	3,466	-	Computer and Information Science and Engineering	2014-06275-03	University of Illinois at Urbana-Champaign	
47.070	I	61,680	-	Computer and Information Science and Engineering	253-23-15160111	University of Arkansas Pine Bluff	
47.070	I	67,716	-	Computer and Information Science and Engineering	289687	University of Arizona	
47.070	I	59,767	-	Computer and Information Science and Engineering	9500012196	Global Environment for Network Innovations	
47.070	I	17,404	-	Computer and Information Science and Engineering	MMSA-16-525-8	Maine Mathematics and Science Alliance	
47.070	I	17,343	-	Computer and Information Science and Engineering	N/A	Arizona State University	
47.070	I	(3,230)	-	Computer and Information Science and Engineering	RA978-G9	Georgia Institute of Technology	
47.074	D	14,198,338	2,808,834	Biological Sciences			
47.074	I	80,353	-	Biological Sciences	0038425(011514-1)	University of Pittsburgh	
47.074	I	237,654	-	Biological Sciences	10-NSF-1060	Duke University	
47.074	I	72,624	-	Biological Sciences	10-NSF-1061	Duke University	
47.074	I	1,847	-	Biological Sciences	12-NSF-1082	Duke University	
47.074	I	107,132	-	Biological Sciences	131817	University of Arizona	
47.074	I	61,631	-	Biological Sciences	1435	Dartmouth College	
47.074	I	6,566	-	Biological Sciences	15-NSF-1096	Duke University	
47.074	I	245,863	-	Biological Sciences	27169	Univ of Delaware	
47.074	I	15,260	-	Biological Sciences	27184	University of Delaware	
47.074	I	60,348	-	Biological Sciences	3161/200201411	Cary Institute of Ecosystem Studies	
47.074	I	36,644	-	Biological Sciences	3R94X	University of New Mexico at Albuquerque	
47.074	I	11,050	-	Biological Sciences	420-66-08A	Iowa State University	
47.074	I	112,208	-	Biological Sciences	478778-19467	Virginia Tech	
47.074	I	48,391	-	Biological Sciences	57280A P3541 7802 21	SDSU Foundation	
47.074	I	318,710	-	Biological Sciences	61-2075NC	Michigan State University	
47.074	I	94,140	-	Biological Sciences	61406-9504	Cornell University	
47.074	I	169,476	-	Biological Sciences	67183-10114	Cornell University	
47.074	I	15,192	-	Biological Sciences	717511-712683	Virginia Institute of Marine Science	
47.074	I	7,166	5,365	Biological Sciences	C14D11779(D01845)	Yale University	
47.074	I	33,399	-	Biological Sciences	GA11020-142300	University of Virginia	
47.074	I	11,673	-	Biological Sciences	IOS-1444561	Nat'L Science Found.	
47.074	I	41,204	-	Biological Sciences	N/A	National Evolutionary Synthesis Center	
47.074	I	2,828	-	Biological Sciences	RF331-302/S001089	Univ of Georgia	
47.074	I	95,616	-	Biological Sciences	RR167-808/S000657	Univ of Georgia	
47.074	I	57,614	-	Biological Sciences	RR272-210/4689628 815/5054256	University of Georgia	
47.074	I	4,450	-	Biological Sciences	RR272-815/5054246	Univ of Georgia	
47.074	I	63,408	-	Biological Sciences	SA0000295	San Diego State University (SDSU)	
47.074	I	50,431	-	Biological Sciences	UP140024-A	University of South Dakota	
47.074	I	81,790	-	Biological Sciences	UTA10-000936	Univ of Texas	
47.075	D	2,042,721	94,195	Social, Behavioral, and Economic Sciences			
47.075	I	11,470	-	Social, Behavioral, and Economic Sciences	14-NSF-1102	Duke University	
47.075	I	2,552	-	Social, Behavioral, and Economic Sciences	16-789	Arizona State University	
47.075	I	25,307	-	Social, Behavioral, and Economic Sciences	5060-UNC-NSF-7666	Pennsylvania State University	
47.075	I	20,000	-	Social, Behavioral, and Economic Sciences	DG15-9439	Assoc. for Institutional Res.	
47.075	I	2,492	-	Social, Behavioral, and Economic Sciences	N/A	American Bar Foundation	
47.075	I	19,732	-	Social, Behavioral, and Economic Sciences	RC104050NCSU	Michigan State University	
47.075	I	13,278	-	Social, Behavioral, and Economic Sciences	RG14-5319	Assoc. for Institutional Res.	
47.076	D	15,165,845	923,946	Education and Human Resources			
47.076	I	499	-	Education and Human Resources	1463898	University of Maryland	
47.076	I	41,279	-	Education and Human Resources	2015-3274	Univ of Cal - Irvine	
47.076	I	175,635	-	Education and Human Resources	278-01.01	Concord Consortium	
47.076	I	5,834	-	Education and Human Resources	29778-Z4602001	Univ of Maryland, College Park	
47.076	I	99,598	-	Education and Human Resources	4691-UNCCH-NSF-6347	Pennsylvania State University	
47.076	I	9,686	-	Education and Human Resources	478570-19071	Virginia Polytechnic Institute	
47.076	I	11,493	-	Education and Human Resources	478605-19071	Virginia Polytechnic Institute	
47.076	I	230,346	-	Education and Human Resources	478639-19071	Virginia Polytech Institute	

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

For the Fiscal Year Ended June 30, 2016

Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
47.076	I	100,678	-	Education and Human Resources	564K340	University of Wisconsin at Madison	
47.076	I	1,835	-	Education and Human Resources	67931-10256	Cornell University	
47.076	I	145,353	-	Education and Human Resources	DUE-1125331	Carleton College	
47.076	I	9,130	-	Education and Human Resources	S150503	Prairie View A&M University	
47.076	I	17,689	-	Education and Human Resources	Subagreement # 332-0252	Duke University	
47.076	I	10,683	-	Education and Human Resources	UWSC8731 / PO# BPO10762	Univ of Washington	
47.078	D	86,937	-	Polar Programs			
47.078	I	25,864	-	Polar Programs	FP32463	University of Alaska Fairbanks	
47.079	D	236,081	-	Office of International Science and Engineering			
47.079	I	81,409	-	Office of International Science and Engineering	13-NSF-1035	Duke University	
47.080	D	3,082,112	908,974	Office of Cyberinfrastructure			
47.081	D	(3,696)	-	Office of Experimental Program to Stimulate Competitive Research			
47.082	D	105,559	105,559	Trans-NSF Recovery Act Research Support			
47.083	D	89,115	21,949	Office of Integrative Activities			
47.RD	D	458,634	-	National Science Foundation			5100660-5100068
47.RD	D	577,316	78,311	National Science Foundation			DMS-0946431
47.RD	D	103,979	-	National Science Foundation			EEC-1160483
47.RD	I	15,500	-	National Science Foundation	15-2538	Natl Evolutionary Synthesis Ct	2015-2675
47.RD	I	15,126	-	National Science Foundation	15-2675	Natl Evolutionary Synthesis St	2015-2538
47.RD	I	15,555	-	National Science Foundation	BAA-1402728	Bio-Adhesive Alliance Inc	BAA-1402728
47.RD	I	26,711	-	National Science Foundation	NSF SBIR PHASE 11A	GridBridge, Inc	NSF SBIR PHASE 11A
47.RD	I	48	-	National Science Foundation	NSF-SBIR/STTR	Thixomat Inc	NSF-SBIR/STTR
		<u>99,190,286</u>	<u>14,782,222</u>	Total — Research and Development — National Science Foundation			
<b>Small Business Administration</b>							
59.050	I	44,585	-	Prime Technical Assistance	UNCW US SBA	UNCW Research Foundation	
		<u>44,585</u>	-	Total — Research and Development — Small Business Administration			
<b>Smithsonian Institution</b>							
60.RD	D	82,837	-	Smithsonian Institution			5102920
60.RD	I	14,732	-	Smithsonian Institution	N/A	Waynesburg University	5101643
		<u>97,569</u>	-	Total — Research and Development — Smithsonian Institution			
<b>U. S. Department of Veterans Affairs</b>							
64.RD	D	99,451	-	U. S. Department of Veterans Affairs			2013-2500
64.RD	D	46,991	-	U. S. Department of Veterans Affairs			5102309-5100755-5100726-5100214-5036109
		<u>146,442</u>	-	Total — Research and Development — U. S. Department of Veterans Affairs			
<b>U. S. Environmental Protection Agency</b>							
66.001	D	1,722,489	-	Air Pollution Control Program Support			
66.034	I	41,869	-	Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act	APTISIP 101	Mid-Atlantic Regional Air Management Assoc	
66.203	D	257,009	7,730	Environmental Finance Center Grants			
66.419	D	6,593,259	-	Water Pollution Control State, Interstate, and Tribal Program Support			
66.424	D	1,721,806	1,290,568	Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act			
66.424	I	143	-	Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act	N/A	New Mexico Institute of Mining and Techn	
66.460	I	26,345	-	Nonpoint Source Implementation Grants	2014-1966	Hendersonville, NC	
66.461	D	278,694	-	Regional Wetland Program Development Grants			
66.469	I	563	-	Great Lakes Program	2012-06075-05 / A0131	Univ of Illinois	
66.509	D	489,162	106,192	Science To Achieve Results (STAR) Research Program			
66.509	I	13,282	-	Science To Achieve Results (STAR) Research Program	06-S150652	Texas A&M Agrilife Research	
66.509	I	180,893	-	Science To Achieve Results (STAR) Research Program	06-S160606	Texas A&M Agrilife Research	
66.509	I	33,849	-	Science To Achieve Results (STAR) Research Program	06-S160630	Texas A&M Agrilife Research	
66.509	I	17,699	-	Science To Achieve Results (STAR) Research Program	5710003200	Mass. Inst. Of Tech.	
66.509	I	4,270	-	Science To Achieve Results (STAR) Research Program	C14P11828(P00361)	Yale University	
66.509	I	75,704	-	Science To Achieve Results (STAR) Research Program	E0191A-A	Oregon State Univ.	
66.509	I	52,619	-	Science To Achieve Results (STAR) Research Program	G-58003-1	Colorado State Univ.	
66.509	I	34,823	-	Science To Achieve Results (STAR) Research Program	G-58004-1	Colorado State Univ.	
66.511	D	1,037,825	-	Office of Research and Development Consolidated Research/Training/Fellowships			
66.514	D	12,835	-	Science To Achieve Results (STAR) Fellowship Program			
66.516	D	7,425	-	P3 Award: National Student Design Competition for Sustainability			
66.611	D	20,568	-	Environmental Policy and Innovation Grants			
66.708	D	70,763	-	Pollution Prevention Grants Program			
66.809	D	150,018	-	Superfund State and Indian Tribe Core Program Cooperative Agreements			
66.RD	D	3,992,146	1,734,529	U. S. Environmental Protection Agency			5100534-5104194-5035629-5035270-5102778
66.RD	D	501	-	U. S. Environmental Protection Agency			EPA-D-RD1
66.RD	I	137,975	65,435	U. S. Environmental Protection Agency	#4944-RFA13-1/14-5	Health Effects Institute	#4944-RFA13-1/14-5

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

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Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
66.RD	I	23,516	23,516	U. S. Environmental Protection Agency	13-2619	Health Effects Institute	2013-2619
66.RD	I	4,368	-	U. S. Environmental Protection Agency	16-1630	Stockholm Environment Inst	2016-1630
66.RD	I	23,665	-	U. S. Environmental Protection Agency	16-312-0213199-52066L	RTI International	16-312-0213199-520066L
66.RD	I	(3,855)	-	U. S. Environmental Protection Agency	2013.006.01	Mid-Atlantic Regional Air Management Assoc	5042157
66.RD	I	91,589	-	U. S. Environmental Protection Agency	4902-RFA10-1/111-3-4	Health Effects Institute	5101263
66.RD	I	161,053	-	U. S. Environmental Protection Agency	4902-rfA10-1/111-3-3	Health Effects Institute	5042485-5044561-5044299-5042339
66.RD	I	197,927	58,588	U. S. Environmental Protection Agency	4944-RFA13-1/14-5-2	Health Effects Institute	4944-RFA13-1/14-5-2
66.RD	I	35,168	-	U. S. Environmental Protection Agency	C50599078	Alabama Department of Environmental Management	5102671
66.RD	I	2,146	-	U. S. Environmental Protection Agency	Check # 68191	ASHRAE	Check # 68191
66.RD	I	5,901	-	U. S. Environmental Protection Agency	N/A	Lake Michigan Air Directors Consortium	5101335
66.RD	I	34,090	-	U. S. Environmental Protection Agency	N/A	Oak Ridge Associated Universities	5042175
		17,550,102	3,286,558	Total — Research and Development — U. S. Environmental Protection Agency			
<b>U. S. Nuclear Regulatory Commission</b>							
77.008	D	211,392	-	U. S. Nuclear Regulatory Commission Scholarship and Fellowship Program			
		211,392	-	Total — Research and Development — U. S. Nuclear Regulatory Commission			
<b>U. S. Department of Energy</b>							
81.049	D	8,127,654	539,873	Office of Science Financial Assistance Program			
81.049	D	2,480,334	-	ARRA - Office of Science Financial Assistance Program			
81.049	I	315,395	-	Office of Science Financial Assistance Program	12-DOE-1077 (MOD 4)	Duke University	
81.049	I	25,598	-	Office of Science Financial Assistance Program	15-DOE-1068	Duke University	
81.049	I	32,473	-	Office of Science Financial Assistance Program	1550787/PO#1000273317	Univ of Colorado - Boulder	
81.049	I	110,846	-	Office of Science Financial Assistance Program	1551588/PO#1000375790	Univ of Colorado - Boulder	
81.049	I	22,290	-	Office of Science Financial Assistance Program	2013-1608	Ngimat Co.	
81.049	I	3,236	-	Office of Science Financial Assistance Program	2014-2289	Drs Research	
81.049	I	24,755	-	Office of Science Financial Assistance Program	2015-1703	Adroit Materials, Inc.	
81.049	I	157,655	-	Office of Science Financial Assistance Program	2015-2339	Adroit Materials, Inc.	
81.049	I	30,829	-	Office of Science Financial Assistance Program	2016-0566	Genesic Semiconductor, Inc.	
81.049	I	33,280	-	Office of Science Financial Assistance Program	2016-0942	Calabazas Creek Research, Inc.	
81.049	I	85,883	-	Office of Science Financial Assistance Program	254998	Temple University	
81.049	I	187,397	-	Office of Science Financial Assistance Program	5026-NCSU-DOE-1090	Pennsylvania State University	
81.049	I	139,309	-	Office of Science Financial Assistance Program	68856	SUNY at Stony Brook	
81.049	I	141,840	-	Office of Science Financial Assistance Program	B6681	Texas A&M University	
81.049	I	(95)	-	Office of Science Financial Assistance Program	GQ10044-133949	University of Virginia	
81.049	I	64,440	-	Office of Science Financial Assistance Program	SC0013830-001	American Superconductor Corp.	
81.049	I	252,549	-	Office of Science Financial Assistance Program	WU-15-69	Washington University-St Louis	
81.049	I	260,703	-	Office of Science Financial Assistance Program	WU-HT-10-09 PO: 2911086A	Washington University-St Louis	
81.057	D	83,134	-	University Coal Research			
81.086	D	9,772,801	7,918,813	Conservation Research and Development			
81.086	I	20,805	-	Conservation Research and Development	2015-0689	Triangle J Coun Govt	
81.086	I	51,112	-	Conservation Research and Development	2015-2325	Intermolecular, Inc.	
81.087	D	650,192	29,713	Renewable Energy Research and Development			
81.087	I	55,344	-	Renewable Energy Research and Development	1004	Corrim	
81.087	I	60,035	-	Renewable Energy Research and Development	2014-2776	Metabolix, Inc.	
81.087	I	38,983	-	Renewable Energy Research and Development	DOE-SPEC-FE11-012	Biodiversity Research Inst.	
81.087	I	179,711	-	Renewable Energy Research and Development	F-2013-31/F-2015-30	University of Toledo	
81.087	I	99,839	-	Renewable Energy Research and Development	ZFC-5-52044-01	Alliance For Sustainable Energy	
81.089	D	29,438	-	Fossil Energy Research and Development			
81.112	D	157,664	-	Stewardship Science Grant Program			
81.113	D	4,196,519	1,828,092	Defense Nuclear Nonproliferation Research			
81.113	I	119,857	-	Defense Nuclear Nonproliferation Research	209762	Univ of Arizona	
81.113	I	383,013	-	Defense Nuclear Nonproliferation Research	3003222368	Univ of Michigan	
81.121	D	841,199	36,000	Nuclear Energy Research, Development and Demonstration			
81.121	I	60,435	-	Nuclear Energy Research, Development and Demonstration	401012-5801	Colorado School Of Mines	
81.121	I	50,964	-	Nuclear Energy Research, Development and Demonstration	429329-19071	Virginia Polytech Institute	
81.121	I	41,079	-	Nuclear Energy Research, Development and Demonstration	5340-NCSU-DOE-0749	Pennsylvania State University	
81.122	D	25,621	-	Electricity Delivery and Energy Reliability, Research, Development and Analysis			
81.122	I	131,342	-	Electricity Delivery and Energy Reliability, Research, Development and Analysis	DE-OE0000734	Microgrid Institute	
81.123	D	722,540	356,661	National Nuclear Security Administration (NNSA) Minority Serving Institutions (MSI) Program			
81.123	I	308,235	-	National Nuclear Security Administration (NNSA) Minority Serving Institutions (MSI) Program	Subaward No: F1040061-14-08	Norfolk State University	
81.135	D	835,466	-	Advanced Research Projects Agency - Energy			
81.135	I	64,522	-	Advanced Research Projects Agency - Energy	2013-0069	Grid Logic, Inc.	
81.135	I	147,638	-	Advanced Research Projects Agency - Energy	2013-0070	Energy-To-Power Solutions(E2p)	
81.135	I	198,683	-	Advanced Research Projects Agency - Energy	2014-2	MSRI	
81.135	I	374,672	-	Advanced Research Projects Agency - Energy	2014-2747	Bio2electric, Llc	
81.135	I	34,983	-	Advanced Research Projects Agency - Energy	2015-3268	Grid Logic, Inc.	

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Federal CFDA Number	Direct / Indirect	Program Expenditures	Amount Provided to		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
			Subrecipients	CFDA Program Title				
81.135	I	56,724	-	-	Advanced Research Projects Agency - Energy	33339-Z7218002	Univ of Maryland, College Park	
81.135	I	5,120	-	-	Advanced Research Projects Agency - Energy	9153-20936	Vanderbilt University	
81.135	I	31,358	-	-	Advanced Research Projects Agency - Energy	S611	Gas Technology Institute	
81.RD	D	429,923	-	-	U. S. Department of Energy			2014-0910
81.RD	D	464,565	-	-	U. S. Department of Energy			5100681-5056043-5055082-5055085-5044839-5055776
81.RD	I	16	-	-	U. S. Department of Energy	00042959 #00001 INEST	Battelle Energy Alliance, LLC	00042959 #00001 INEST
81.RD	I	32,557	-	-	U. S. Department of Energy	00042959-47	Battelle Energy Alliance, LLC	00042959-47
81.RD	I	115,498	29,500	-	U. S. Department of Energy	00127981	Battelle Energy Alliance, LLC	127981
81.RD	I	18,837	-	-	U. S. Department of Energy	00145661-00001	Battelle Energy Alliance, LLC	00145661-00001
81.RD	I	29,143	-	-	U. S. Department of Energy	00145661-00002	Battelle Energy Alliance, LLC	00145661-00002
81.RD	I	25,948	-	-	U. S. Department of Energy	00145661-00003	Battelle Energy Alliance, LLC	00145661-00003
81.RD	I	14,508	-	-	U. S. Department of Energy	0145661-005	Battelle Energy Alliance, LLC	0145661-005
81.RD	I	15,624	-	-	U. S. Department of Energy	0145661-006	Battelle Energy Alliance, LLC	0145661-006
81.RD	I	19,737	-	-	U. S. Department of Energy	0145661-007	Battelle Energy Alliance, LLC	RD-83616501-0
81.RD	I	67,791	-	-	U. S. Department of Energy	0161615-001	Battelle Energy Alliance, LLC	0161615-001
81.RD	I	279,775	-	-	U. S. Department of Energy	1-340-0214113-51755L	RTI International	1-340-0214113-51755L
81.RD	I	53,000	-	-	U. S. Department of Energy	107832	Bettis Atomic Power Laboratory	107832
81.RD	I	81,139	-	-	U. S. Department of Energy	126482	Battelle Energy Alliance, LLC	5044471
81.RD	I	144,356	-	-	U. S. Department of Energy	145661-4	Battelle Energy Alliance, LLC	145661-4
81.RD	I	30,695	-	-	U. S. Department of Energy	145661-8	Battelle Energy Alliance, LLC	145661-8
81.RD	I	9,156	-	-	U. S. Department of Energy	1523159	Sandia National Lab	1523159
81.RD	I	69,431	-	-	U. S. Department of Energy	156020	Battelle Energy Alliance, LLC	156020
81.RD	I	58,576	-	-	U. S. Department of Energy	235049	Pacific Northwest National Lab	235049
81.RD	I	23,153	-	-	U. S. Department of Energy	278267	Los Alamos Nat'L Lab	278267
81.RD	I	22,439	-	-	U. S. Department of Energy	286473	Pacific Northwest National Lab	286473
81.RD	I	8,767	-	-	U. S. Department of Energy	292626	Pacific Northwest National Lab	292626
81.RD	I	23,945	-	-	U. S. Department of Energy	294828	Pacific Northwest National Lab	294828
81.RD	I	6,232	-	-	U. S. Department of Energy	4000040729	UT Battelle LLC	4000040729
81.RD	I	50,295	-	-	U. S. Department of Energy	4000056870	UT Battelle LLC	4000056870
81.RD	I	65,711	-	-	U. S. Department of Energy	4000061675	UT Battelle LLC	4000061675
81.RD	I	24,750	-	-	U. S. Department of Energy	4000109736	Oak Ridge National Lab	4000109736
81.RD	I	19,813	-	-	U. S. Department of Energy	4000110308	UT Battelle LLC	4000110308
81.RD	I	251,829	-	-	U. S. Department of Energy	4000114671	Oak Ridge National Lab	4000114671
81.RD	I	298,445	-	-	U. S. Department of Energy	4000114809	UT Battelle LLC	4000114809
81.RD	I	204,159	77,244	-	U. S. Department of Energy	4000120148 4000139793	Battelle UT	5101889-5044820
81.RD	I	10,910	-	-	U. S. Department of Energy	4000121049	UT Battelle LLC	4000121049
81.RD	I	3,849	-	-	U. S. Department of Energy	4000130891	UT Battelle LLC	4000130891
81.RD	I	18,136	-	-	U. S. Department of Energy	4000137757	Oak Ridge National Lab	4000137757
81.RD	I	15,766	-	-	U. S. Department of Energy	4000138971	UT Battelle LLC	4000138971
81.RD	I	14,205	-	-	U. S. Department of Energy	4000141794	Oak Ridge National Lab	4000141794
81.RD	I	2,282	-	-	U. S. Department of Energy	4000144475	UT Battelle LLC	4000144475
81.RD	I	29,914	-	-	U. S. Department of Energy	4000144968	Oak Ridge National Lab	4000144968
81.RD	I	18,717	-	-	U. S. Department of Energy	4000145160	UT Battelle LLC	4000145160
81.RD	I	2,388	-	-	U. S. Department of Energy	4000145506	UT Battelle LLC	4000145506
81.RD	I	100,393	-	-	U. S. Department of Energy	4200000036-4000120386	UT Battelle LLC	4200000036-4000120386
81.RD	I	40,213	-	-	U. S. Department of Energy	4200000036-4000126315	UT Battelle LLC	4200000036-4000126315
81.RD	I	77,436	-	-	U. S. Department of Energy	4200000036-4000133202	Oak Ridge National Lab	4200000036-4000133202
81.RD	I	50,333	-	-	U. S. Department of Energy	4200000036-4000141258	UT Battelle LLC	4200000036-4000141258
81.RD	I	59,879	-	-	U. S. Department of Energy	4200000036-4000143197	Oak Ridge National Lab	4200000036-4000143197
81.RD	I	46,852	-	-	U. S. Department of Energy	4200000570-4000135101	Oak Ridge National Lab	4200000570-4000135101
81.RD	I	19,723	-	-	U. S. Department of Energy	4200000570-4000135576	Oak Ridge National Lab	4200000570-4000135576
81.RD	I	46,057	-	-	U. S. Department of Energy	4200000570-4000139673	Oak Ridge National Lab	4200000570-4000139673
81.RD	I	23,334	-	-	U. S. Department of Energy	4200000570-4000143422	Oak Ridge National Lab	4200000570-4000143422
81.RD	I	8,078	-	-	U. S. Department of Energy	456470	Duke Energy Foundation	5044550
81.RD	I	75,978	-	-	U. S. Department of Energy	4F-32144	Argonne Nat'L Lab	4F-32144
81.RD	I	64,872	-	-	U. S. Department of Energy	68393-02	Battelle Energy Alliance, LLC	68393-02
81.RD	I	74,879	-	-	U. S. Department of Energy	7078212	L. Berkeley Natl Lab	7078212
81.RD	I	190,145	-	-	U. S. Department of Energy	7090112	L. Berkeley Natl Lab	7090112
81.RD	I	44,110	-	-	U. S. Department of Energy	B606928	Lawrence Livermore Natl. Secu.	B606928
81.RD	I	1,890	-	-	U. S. Department of Energy	B618034	Lawrence Livermore Natl Lab	B618034
81.RD	I	76	-	-	U. S. Department of Energy	BOA #532 TOA #267299	Savannah River Nuclear Solutions	BOA #532 TOA #267299
81.RD	I	4,828	-	-	U. S. Department of Energy	Check #019333 DATED 3-10-14	Voorhees College	Check #019333 DATED 3-10-14
81.RD	I	131,622	-	-	U. S. Department of Energy	P000013727	Six3 Advanced Systems Inc	5102923
81.RD	I	34,378	-	-	U. S. Department of Energy	PO 106482	Bechtel Corporation	5100043
81.RD	I	24,720	-	-	U. S. Department of Energy	PO 614877	Fermilab	PO 614877
81.RD	I	2,648	-	-	U. S. Department of Energy	XEJ-6-62175-01	Alliance For Sustainable Energy	XEJ-6-62175-01
81.RD	I	71,224	-	-	U. S. Department of Energy	XEV-5-42083-01	Alliance For Sustainable Energy	XEV-5-42083-01
		36,595,047		10,815,896	Total — Research and Development — U. S. Department of Energy			

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct / Indirect	Program Expenditures	Amount Provided to Subrecipients	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
<b>U. S. Department of Education</b>							
84.015	D	2,733,784	297,095	National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program			
84.015	I	302,388	-	National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program	15-ED-1054 15-FLAS-1055 1040	Duke University	
84.021	D	33,573	-	Overseas Programs - Group Projects Abroad			
84.022	D	38,332	-	Overseas Programs - Doctoral Dissertation Research Abroad			
84.116	D	767,921	9,946	Fund for the Improvement of Postsecondary Education			
84.120	I	10,203	-	Minority Science and Engineering Improvement	S150508	Prairie View A&M University	
84.129	D	489,946	-	Rehabilitation Long-Term Training			
84.133	D	37,596	7,539	National Institute on Disability and Rehabilitation Research			
84.133	I	2,509	-	National Institute on Disability and Rehabilitation Research	RE220-G2	Georgia Institute of Tech.	
84.133	I	28,803	-	National Institute on Disability and Rehabilitation Research	Subcontract Dated 10/27/2014	Langston University	
84.200	D	336,573	-	Graduate Assistance in Areas of National Need			
84.220	D	7,785	-	Centers for International Business Education			
84.305	D	2,689,012	415,882	Education Research, Development and Dissemination			
84.305	I	44,361	-	Education Research, Development and Dissemination	12-ED-1095 1108	Duke University	
84.305	I	326,191	-	Education Research, Development and Dissemination	21372-S4 3748-019846	Vanderbilt University	
84.305	I	61,143	-	Education Research, Development and Dissemination	22616-S2	Vanderbilt University	
84.305	I	54,233	-	Education Research, Development and Dissemination	3003143121	University of Michigan (UMICH)	
84.305	I	117,708	-	Education Research, Development and Dissemination	4876-UNCCH-USDE-0031	Pennsylvania State University	
84.305	I	18	-	Education Research, Development and Dissemination	511135	Columbia University Teachers College	
84.305	I	252,813	-	Education Research, Development and Dissemination	PT109818-SC104563	Virginia Commonwealth University (VCU)	
84.324	D	2,857,937	1,382,106	Research in Special Education			
84.324	I	280,332	-	Research in Special Education	BL-4240321-UNC	Indiana University System	
84.325	D	1,173,864	(56)	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities			
84.325	I	173,220	-	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities	2789-015468	Vanderbilt University	
84.325	I	20,546	-	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities	F-2012-115	University of Toledo	
84.325	I	18,767	-	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities	N/A	Northampton Community College	
84.325	I	24,150	-	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities	N/A	Tacoma Community College	
84.326	D	5,270,160	2,102,092	Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities			
84.326	I	1	-	Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities	223791B	University of Oregon	
84.326	I	-	-	Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities	UKRF 3048106788-10-3	University of Kentucky (UK)	
84.327	D	485,480	-	Special Education-Educational Technology Media, and Materials for Individuals with Disabilities			
84.365	D	344,002	-	English Language Acquisition State Grants			
84.373	I	1,547,798	-	Special Education-Technical Assistance on State Data Collection	51-001279	SRI International	
84.373	I	348,097	-	Special Education-Technical Assistance on State Data Collection	6189-S-006	Westat, Inc.	
84.373	I	158,652	19,845	Special Education-Technical Assistance on State Data Collection	FY2011-94	University Of Kansas	
84.396	I	(492)	-	ARRA - State Fiscal Stabilization Fund (SFSF) - Investing in Innovation (i3) Fund, Recovery Act	60033310	Ohio State University(OSU)	
84.412	I	-	-	Race to the Top – Early Learning Challenge	C14-236	Delaware Office of Early Learning	
84.RD	I	50,960	-	U. S. Department of Education	1-312-0214656-52171L	RTI International	1-312-0214656-52171L
84.RD	I	364,442	-	U. S. Department of Education	12/13-006	North Carolina Partnership for Children	5045796
84.RD	I	24,182	-	U. S. Department of Education	40346S03620	Mathematica Policy Research, Inc.	5042635
84.RD	I	105,884	-	U. S. Department of Education	R01615 R01752	Florida State University	5100506-5044865
84.RD	I	8,065	-	U. S. Department of Education	R01723	Florida State University	R01723
		21,590,939	4,234,449	Total — Research and Development — U. S. Department of Education			
<b>U. S. Department of Health and Human Services</b>							
93.067	D	70,729	68,735	Global AIDS			
93.067	I	95,839	-	Global AIDS	846968	Centre for Infectious Disease Research	
93.067	I	(2,870)	-	Global AIDS	N/A	University of Malawi College of Medicine	
93.068	I	9,517	-	Chronic Diseases: Research, Control, and Prevention	N/A	Arthritis Foundation	
93.069	D	368,029	-	Public Health Emergency Preparedness			
93.073	D	2,208,488	(2,540)	Birth Defects and Developmental Disabilities - Prevention and Surveillance			
93.077	D	10,271,302	741,903	Family Smoking Prevention and Tobacco Control Act Regulatory Research			
93.077	I	(496)	-	Family Smoking Prevention and Tobacco Control Act Regulatory Research	N/A	Wake Forest University	
93.080	I	98,114	26,156	Blood Disorder Program: Prevention, Surveillance, and Research	ATHN2015001-VN-1	American Thrombosis and Hemostasis Network	
93.088	I	3,486	-	Advancing System Improvements for Key Issues in Women's Health	N/A	North Carolina Coalition Against Domestic Violence	

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Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
93.103	D	831,552	80,384	Food and Drug Administration-Research			
93.103	I	1,457	-	Food and Drug Administration-Research	06-S140685	Texas A&M University	
93.103	I	4,898	-	Food and Drug Administration-Research	567061	University of Pennsylvania	
93.103	I	51,808	-	Food and Drug Administration-Research	67644	University of Connecticut	
93.103	I	79	-	Food and Drug Administration-Research	N/A	Boston University	
93.103	I	5,928	-	Food and Drug Administration-Research	N/A	University Of Kansas	
93.103	I	18,761	-	Food and Drug Administration-Research	S-002335/PO15-00247	Applied Research Associates, Inc.	
93.107	D	880,459	860,281	Area Health Education Centers Point of Service Maintenance and Enhancement Awards			
93.110	D	3,896,545	1,004,324	Maternal and Child Health Federal Consolidated Programs			
93.110	I	125,323	-	Maternal and Child Health Federal Consolidated Programs	H30MC24046-02	Hemophilia of Georgia (HOG)	
93.110	I	1,001	-	Maternal and Child Health Federal Consolidated Programs	T453817	Emory University (EU)	
93.113	D	12,754,619	1,740,831	Environmental Health			
93.113	I	10	-	Environmental Health	0255-9995-4609	Mount Sinai School of Medicine	
93.113	I	10,802	-	Environmental Health	11-NIH-1002	Duke University Medical Center	
93.113	I	66	-	Environmental Health	124927 G003416	Washington State University	
93.113	I	8,541	-	Environmental Health	15-NIH-1034	Duke University	
93.113	I	11,779	-	Environmental Health	16-0167	SciKon Innovation Inc	
93.113	I	108,338	-	Environmental Health	2001627675	Johns Hopkins University	
93.113	I	26,314	-	Environmental Health	2014-01	SeaTox Research Inc	
93.113	I	4,589	-	Environmental Health	2015-0248	Kwj Engineering	
93.113	I	3,469	-	Environmental Health	52674078	Univ of Southern Cal	
93.113	I	59,886	-	Environmental Health	542	Brown University	
93.113	I	438,941	-	Environmental Health	5R01ES014065-08/NCSU	Mount Desert Island Bio Lab.	
93.113	I	17,356	-	Environmental Health	H48496	University of Southern California (USC)	
93.113	I	(1)	-	Environmental Health	N/A	BioDepronix, LLC	
93.113	I	77,907	-	Environmental Health	PO753538/2331	Henry M Jackson Foundation	
93.113	I	15,579	-	Environmental Health	RR715-234/S000725	University of Georgia	
93.113	I	53,050	-	Environmental Health	T133135	Emory University	
93.113	I	16,559	-	Environmental Health	UNCES019672	Pennsylvania State University	
93.117	D	741,387	55	Preventive Medicine and Public Health Residency Training Program, Integrative Medicine Program, and National Coordinating Center for Integrative Medicine			
93.121	D	9,885,268	3,920,175	Oral Diseases and Disorders Research			
93.121	I	79,519	-	Oral Diseases and Disorders Research	000407304-001	Univ of Alabama	
93.121	I	63,054	-	Oral Diseases and Disorders Research	00412838-011	University of Alabama at Birmingham	
93.121	I	321,348	-	Oral Diseases and Disorders Research	018106-UNC2410	The Forsyth Institute	
93.121	I	18,429	-	Oral Diseases and Disorders Research	10034028-01	University of Utah	
93.121	I	33,027	-	Oral Diseases and Disorders Research	100852-00001	Tufts University	
93.121	I	24,733	-	Oral Diseases and Disorders Research	10830SUB	Seattle Children's Hospital	
93.121	I	109,563	-	Oral Diseases and Disorders Research	2000203699	Carolinas HealthCare System	
93.121	I	14,849	-	Oral Diseases and Disorders Research	2034092	Duke University	
93.121	I	30,339	-	Oral Diseases and Disorders Research	222000007-133	The Methodist Hospital Research Institute	
93.121	I	165,188	-	Oral Diseases and Disorders Research	3002885068	University of Michigan (UMICH)	
93.121	I	7,244	-	Oral Diseases and Disorders Research	60054664	Ohio State University	
93.121	I	266,325	-	Oral Diseases and Disorders Research	6R44DE022218-03	N2 Biomedical LLC	
93.121	I	4,774	-	Oral Diseases and Disorders Research	F6570-05	New York University (NYU)	
93.121	I	35,770	-	Oral Diseases and Disorders Research	K001153-00-S01	Kitware, Inc.	
93.121	I	(4,950)	-	Oral Diseases and Disorders Research	N/A	3dMD	
93.121	I	44,444	-	Oral Diseases and Disorders Research	N/A	InSilixa, Inc.	
93.121	I	46,415	-	Oral Diseases and Disorders Research	PT112270-SC107121	Virginia Commonwealth Univ	
93.135	D	1,988,358	250,346	Centers for Research and Demonstration for Health Promotion and Disease Prevention			
93.135	I	(33)	-	Centers for Research and Demonstration for Health Promotion and Disease Prevention	416325-G	University of Rochester	
93.135	I	11,599	-	Centers for Research and Demonstration for Health Promotion and Disease Prevention	8460SC	University of California at San Francisco	
93.135	I	28,209	-	Centers for Research and Demonstration for Health Promotion and Disease Prevention	99-S132303	Texas A&M University	
93.135	I	88	-	Centers for Research and Demonstration for Health Promotion and Disease Prevention	PO#300060218/000033	University of Texas MD Anderson Cancer Center	
93.136	D	1,382,409	198,756	Injury Prevention and Control Research and State and Community Based Programs			
93.136	I	10,497	-	Injury Prevention and Control Research and State and Community Based Programs	661	Pacific Institute for Research and Evaluation	
93.143	D	2,618,642	735,771	NIEHS Superfund Hazardous Substances-Basic Research and Education			
93.145	I	59,120	-	AIDS Education and Training Centers	T066356	Emory University (EU)	
93.145	I	167,771	-	AIDS Education and Training Centers	VUMC 56921	Vanderbilt University	
93.153	I	130,573	-	Coordinated Services and Access to Research for Women, Infants, Children, and Youth	3090041	Duke University Medical Center	
93.153	I	59,083	-	Coordinated Services and Access to Research for Women, Infants, Children, and Youth	3090042	Duke University	
93.155	D	1,294,806	156,608	Rural Health Research Centers			

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Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
93.155	I	20,125	-	Rural Health Research Centers	W000771351 PO100156	University of Iowa	
93.172	D	7,650,814	1,798,523	Human Genome Research			
93.172	I	10,082	-	Human Genome Research	13-NIH-1083/2033159	Duke University	
93.172	I	1,402	-	Human Genome Research	1440 G PA513	Univ of Cal - LA	
93.172	I	2,785	-	Human Genome Research	5848	Rutgers the State University of New Jersey	
93.173	D	2,528,078	74,974	Research Related to Deafness and Communication Disorders			
93.173	I	149,817	1,200	Research Related to Deafness and Communication Disorders	1001194169	University of Iowa	
93.173	I	55,218	-	Research Related to Deafness and Communication Disorders	51255415	University of Southern California (USC)	
93.173	I	4,235	-	Research Related to Deafness and Communication Disorders	N/A	Cedar Grove Institute for Sustainable Communities	
93.173	I	158,117	-	Research Related to Deafness and Communication Disorders	R01DC011038	Boys Town National Research Hospital	
93.173	I	1	-	Research Related to Deafness and Communication Disorders	SP0012457	Northwestern University	
93.173	I	18	-	Research Related to Deafness and Communication Disorders	VUMC 43089	Vanderbilt University Medical Center	
93.178	D	5,803	-	Nursing Workforce Diversity			
93.184	I	154,825	105,406	Disabilities Prevention	ATHN2011001-IVN-3	American Thrombosis and Hemostasis Network	
93.186	D	371,442	150	National Research Service Award in Primary Care Medicine			
93.191	D	125,367	-	Graduate Psychology Education Program and Patient Navigator and Chronic Disease Prevention Program			
93.213	D	2,475,401	(400)	Research and Training in Complementary and Integrative Health			
93.213	I	6,214	-	Research and Training in Complementary and Integrative Health	4102-64548	Purdue University	
93.213	I	145,177	-	Research and Training in Complementary and Integrative Health	4102-70443	Purdue University	
93.225	D	446,175	-	National Research Service Awards Health Services Research Training			
93.226	D	5,350,942	2,647,508	Research on Healthcare Costs, Quality and Outcomes			
93.226	I	5,328	-	Research on Healthcare Costs, Quality and Outcomes	2032514	Duke University	
93.226	I	356,750	-	Research on Healthcare Costs, Quality and Outcomes	20387729	Duke University	
93.226	I	22,873	-	Research on Healthcare Costs, Quality and Outcomes	SP0025667-PROJ000691	Northwestern University	
93.226	I	12,592	-	ARRA - Research on Healthcare Costs, Quality and Outcomes	N/A	Community Care of North Carolina (CCNC)	
93.241	I	319,474	-	State Rural Hospital Flexibility Program	P004027952	University of Minnesota	
93.242	D	24,011,267	3,691,908	Mental Health Research Grants			
93.242	I	6,066	-	Mental Health Research Grants	080-18014-S11901	Thomas Jefferson University	
93.242	I	146,539	-	Mental Health Research Grants	10-NIH-1045	Duke University	
93.242	I	(5)	-	Mental Health Research Grants	104624	Brigham and Womens Hospital	
93.242	I	101,735	-	Mental Health Research Grants	1R01MH100628-01	Rush University Medical Center	
93.242	I	100,397	-	Mental Health Research Grants	2-5-15886	University of Colorado	
93.242	I	20	-	Mental Health Research Grants	2000 G NF 192	University of California at Los Angeles	
93.242	I	(29,429)	-	Mental Health Research Grants	2001799974	Johns Hopkins University	
93.242	I	132,007	-	Mental Health Research Grants	2011-2598	University of California at Irvine (UCI)	
93.242	I	220,682	-	Mental Health Research Grants	2012-05795-01-02	University of Illinois at Chicago (UIC)	
93.242	I	788	-	Mental Health Research Grants	203-1993	Duke University Medical Center	
93.242	I	9,012	-	Mental Health Research Grants	34-5160-2074-001	University of Nebraska Medical Center	
93.242	I	337,367	(10,000)	Mental Health Research Grants	416351	University of Rochester	
93.242	I	39,351	-	Mental Health Research Grants	495K250	University of Wisconsin at Madison	
93.242	I	4,100	-	Mental Health Research Grants	565091	University of Pennsylvania	
93.242	I	60,703	-	Mental Health Research Grants	580	Pacific Institute for Research and Evaluation	
93.242	I	114,487	-	Mental Health Research Grants	60040275 UNC	Northwestern University	
93.242	I	322,150	-	Mental Health Research Grants	60091569-24813-A	Stanford University	
93.242	I	180,584	-	Mental Health Research Grants	66911R	University of Miami	
93.242	I	203,849	-	Mental Health Research Grants	8288SC	University of California at San Francisco	
93.242	I	31,819	-	Mental Health Research Grants	A004036501	University of Minnesota	
93.242	I	301,073	7,200	Mental Health Research Grants	BL-4631228-UNC	1666956 Trustees of Indiana University	
93.242	I	9,046	-	Mental Health Research Grants	M14A12129(A08021)	Yale University	
93.242	I	141,386	-	Mental Health Research Grants	N/A	Cactus Consulting Group, LLC	
93.242	I	65,145	(520)	Mental Health Research Grants	N/A	Virtually Better, Inc	
93.242	I	129,827	-	Mental Health Research Grants	N/A	Xona Microfluidics, LLC	
93.242	I	8,176	-	Mental Health Research Grants	PD303148-SC104511	Virginia Commonwealth University (VCU)	
93.242	I	27,151	-	Mental Health Research Grants	PO#1240043IN4687096	Indiana University System	
93.242	I	90,176	-	Mental Health Research Grants	T28681B	Emory University (EU)	
93.242	I	7,537	-	Mental Health Research Grants	UNC-1	Randolph-Macon College	
93.242	I	15,841	-	Mental Health Research Grants	UWSC8457	University of Washington	
93.242	I	(3)	-	Mental Health Research Grants	WFUHS 10075	Wake Forest University School of Medicine	
93.242	I	49,170	-	Mental Health Research Grants	Wu-12-280/PO 2917859	Washington University in Saint Louis	
93.243	D	1,628,980	168,984	Substance Abuse and Mental Health Services-Projects of Regional and National Significance			
93.243	I	(10)	-	Substance Abuse and Mental Health Services-Projects of Regional and National Significance	FY12.525.003	University of Colorado	
93.243	I	10,088	-	Substance Abuse and Mental Health Services-Projects of Regional and National Significance	M13A11521 (A09092)	Yale University	
93.243	I	8,498	-	Substance Abuse and Mental Health Services-Projects of Regional and National Significance	UNCW-01	County of Brunswick	
93.247	D	291,286	-	Advanced Nursing Education Grant Program			

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Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
93.262	D	2,375,784	574,835	Occupational Safety and Health Program			
93.262	I	16,566	-	Occupational Safety and Health Program	3200000109-16-042	Univ of Kentucky Research Found	
93.262	I	62,610	-	Occupational Safety and Health Program	PO00001000059/4885 1	University of Rhode Island	
93.262	I	10,004	-	Occupational Safety and Health Program	Subaward No. 3210000144-16-105	University of Kentucky	
93.262	I	69,012	-	Occupational Safety and Health Program	W000592376	University of Iowa	
93.270	I	24,148	-	Adult Viral Hepatitis Prevention and Control	PO#M150019842	New York University (NYU)	
93.273	D	13,277,088	2,286,184	Alcohol Research Programs			
93.273	I	(5,952)	-	Alcohol Research Programs	1-312-0212210	Research Triangle Institute (RTI International)	
93.273	I	137,847	-	Alcohol Research Programs	14-NIH-0143	Duke University	
93.273	I	920	-	Alcohol Research Programs	3003690995	Univ of Michigan	
93.273	I	38,659	-	Alcohol Research Programs	406-SUB	Cleveland Clinic Foundation	
93.273	I	78,581	-	Alcohol Research Programs	500693 NCSU	Feinstein Inst For Medical Res	
93.273	I	44,180	-	Alcohol Research Programs	55478	Binghamton University	
93.273	I	12,945	-	Alcohol Research Programs	M15A12008(A10126)	Yale University	
93.276	I	7,903	-	Drug-Free Communities Support Program Grants	UNCW Crossroads	Coastal Horizons Center Inc	
93.279	D	11,242,703	1,685,700	Drug Abuse and Addiction Research Programs			
93.279	I	25,803	-	Drug Abuse and Addiction Research Programs	122812_G003334	Washington State University	
93.279	I	4,124	-	Drug Abuse and Addiction Research Programs	2-312-0214377-51847L	Research Triangle Institute (RTI International)	
93.279	I	55,971	-	Drug Abuse and Addiction Research Programs	203-8049	Duke University	
93.279	I	149,399	-	Drug Abuse and Addiction Research Programs	5020734	Scripps Research Institute	
93.279	I	258,760	-	Drug Abuse and Addiction Research Programs	61878019	University of Southern California (USC)	
93.279	I	21,207	-	Drug Abuse and Addiction Research Programs	710-9833-8985	Miriam Hospital	
93.279	I	8,062	-	Drug Abuse and Addiction Research Programs	MUSC13-046	Medical University of South Carolina (MUSC)	
93.279	I	(19,402)	-	Drug Abuse and Addiction Research Programs	N/A	University of Florida	
93.279	I	30,735	(742)	Drug Abuse and Addiction Research Programs	R01DA032533/149R183	Dartmouth College	
93.279	I	32,099	-	Drug Abuse and Addiction Research Programs	RJ47TAG003777	Florida Atlantic University	
93.279	I	33,578	-	Drug Abuse and Addiction Research Programs	SR00002140/ESURF5528	University of Maryland at Baltimore (UMB)	
93.283	D	801,419	10,795	Centers for Disease Control and Prevention-Investigations and Technical Assistance			
93.283	I	54,948	-	Centers for Disease Control and Prevention-Investigations and Technical Assistance	2R44DP003101-02	3C Institute for Social Development	
93.283	I	(4,372)	-	Centers for Disease Control and Prevention-Investigations and Technical Assistance	N/A	American Thrombosis and Hemostasis Network	
93.286	D	4,629,260	943,528	Discovery and Applied Research for Technological Innovations to Improve Human Health			
93.286	I	(1)	-	Discovery and Applied Research for Technological Innovations to Improve Human Health	106368	Brigham and Womens Hospital	
93.286	I	37,508	-	Discovery and Applied Research for Technological Innovations to Improve Human Health	1106149	SUNY at Stony Brook	
93.286	I	56,019	-	Discovery and Applied Research for Technological Innovations to Improve Human Health	14-3473	Cell Microsystems, Inc.	
93.286	I	179,071	-	Discovery and Applied Research for Technological Innovations to Improve Human Health	1550237/PO# 1000209323	Univ of Colorado - Boulder	
93.286	I	27,697	-	Discovery and Applied Research for Technological Innovations to Improve Human Health	1R43EB021212-01	BioFluidica Microtechnologies LLC	
93.286	I	111,437	-	Discovery and Applied Research for Technological Innovations to Improve Human Health	2015-0247	Nirvana Sciences, Inc.	
93.286	I	26,793	-	Discovery and Applied Research for Technological Innovations to Improve Human Health	5R01EB0009557-06	Medical College of Wisconsin	
93.286	I	(8,483)	-	Discovery and Applied Research for Technological Innovations to Improve Human Health	80451	Louisiana State University (LSU)	
93.286	I	35,997	-	Discovery and Applied Research for Technological Innovations to Improve Human Health	K000688-00-S03	Kitware, Inc.	
93.286	I	23,775	-	Discovery and Applied Research for Technological Innovations to Improve Human Health	N/A	Tissuevision Inc.	
93.286	I	65,272	-	Discovery and Applied Research for Technological Innovations to Improve Human Health	UNIV 58419/2186-0163	Vanderbilt University Medical Center	
93.292	I	9,788	-	National Public Health Improvement Initiative	N/A	Association of Maternal and Child Health	
93.297	I	17,195	2,324	Teenage Pregnancy Prevention Program	N/A	The National Campaign to Prevent Teen and Unplanned Pregnancy	
93.300	D	583,473	31,802	National Center for Health Workforce Analysis			
93.300	I	87,121	-	National Center for Health Workforce Analysis	4743-01	Health Research Incorporated	
93.307	D	631,156	13,222	Minority Health and Health Disparities Research			
93.307	I	68,557	-	Minority Health and Health Disparities Research	117634/117635/117635/117636	Wake Forest University Health Sciences	
93.307	I	347,833	-	Minority Health and Health Disparities Research	16-2910 POU5C01-2000	University of South Carolina (USC)	
93.307	I	24,520	-	Minority Health and Health Disparities Research	3002987899	University of Michigan (UMICH)	
93.307	I	139,524	-	Minority Health and Health Disparities Research	HU-140004	Hampton University	
93.307	I	12,137	-	Minority Health and Health Disparities Research	HU-150005	Hampton University	
93.307	I	88,673	-	Minority Health and Health Disparities Research	HU-150006	Hampton University	
93.307	I	956,001	-	Minority Health and Health Disparities Research	HU-160024	Hampton University	
93.307	I	46,306	31,131	Minority Health and Health Disparities Research	TCCPP008	Morehouse College School of Medicine	

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CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
93.310	D	3,385,856	483,407	Trans-NIH Research Support			
93.310	I	21,389	-	Trans-NIH Research Support	1-312-0215007-52418L	Research Triangle Institute (RTI International)	
93.310	I	122,498	-	Trans-NIH Research Support	152296.5096367.0209	Harvard University Medical School	
93.310	I	(1,431)	-	Trans-NIH Research Support	3003124659	University of Michigan (UMICH)	
93.310	I	99,399	-	Trans-NIH Research Support	68-1096429	California Institute of Technology (CalTech)	
93.330	D	257,677	-	Leadership in Public Health Social Work Education Grant Program			
93.350	D	12,206,301	1,864,679	National Center for Advancing Translational Sciences			
93.350	I	40,372	-	National Center for Advancing Translational Sciences	1441TR001330-01	Initos Pharmaceuticals, LLC	
93.351	D	4,156,775	16,210	Research Infrastructure Programs			
93.351	I	61,017	-	Research Infrastructure Programs	K000786-00S04	Kitware, Inc.	
93.358	D	348,177	-	Advanced Education Nursing Traineeships			
93.359	D	425,486	29,183	Nurse Education, Practice Quality and Retention Grants			
93.361	D	1,625,954	37,069	Nursing Research			
93.361	I	81,135	-	Nursing Research	0255-5071-4609	Mount Sinai School of Medicine	
93.361	I	22,195	-	Nursing Research	10037474-UNC	University of Utah	
93.361	I	31,537	-	Nursing Research	14-19995	Keona Health, Inc.	
93.361	I	273,821	150	Nursing Research	2034749	Duke University	
93.361	I	7,988	-	Nursing Research	300003061-01	Childrens Research Institute	
93.361	I	28,335	-	Nursing Research	560124	University of Pennsylvania	
93.393	D	14,306,909	3,907,634	Cancer Cause and Prevention Research			
93.393	I	49,586	-	Cancer Cause and Prevention Research	0255-6601-4609	Mount Sinai School of Medicine	
93.393	I	1,207	-	Cancer Cause and Prevention Research	10-16373-99-01-G1	H Lee Moffitt Cancer and Research Institute	
93.393	I	133,071	(1,050)	Cancer Cause and Prevention Research	1026387	Beth Israel Deaconess Medical Center	
93.393	I	41,945	-	Cancer Cause and Prevention Research	115-9341-UNC-01	Kaiser Foundation Research Institute	
93.393	I	59,359	-	Cancer Cause and Prevention Research	150159.5077497.0002	Harvard University	
93.393	I	43,826	-	Cancer Cause and Prevention Research	2001659822	Johns Hopkins University	
93.393	I	(4,573)	-	Cancer Cause and Prevention Research	203-0297	Duke University	
93.393	I	3,180	-	Cancer Cause and Prevention Research	44706-D	University of Chicago	
93.393	I	(2,322)	-	Cancer Cause and Prevention Research	4500001522	Boston University	
93.393	I	3,837	-	Cancer Cause and Prevention Research	500331-78051	Northeastern University	
93.393	I	28,511	-	Cancer Cause and Prevention Research	565706	University of Pennsylvania	
93.393	I	130,274	-	Cancer Cause and Prevention Research	600037274 UNC	Northwestern University	
93.393	I	1,162	-	Cancer Cause and Prevention Research	63663941	Mayo Clinic	
93.393	I	8,272	-	Cancer Cause and Prevention Research	66971E	University of Miami	
93.393	I	916,340	-	Cancer Cause and Prevention Research	76-01	SUNY Buffalo Roswell Park Cancer Institute	
93.393	I	124,409	77,266	Cancer Cause and Prevention Research	7R21CA186481-03	Public Health Serv	
93.393	I	18,097	-	Cancer Cause and Prevention Research	8686SC	University of California at San Francisco	
93.393	I	14,272	-	Cancer Cause and Prevention Research	913	Dartmouth College	
93.393	I	282,759	-	Cancer Cause and Prevention Research	CA1542992-050UNC	Group Health Research Institute	
93.393	I	24,571	-	Cancer Cause and Prevention Research	E0012914	University of Illinois at Chicago (UIC)	
93.393	I	63,430	-	Cancer Cause and Prevention Research	PO 1568 G NA643	EMMES Corporation	
93.393	I	59,088	-	Cancer Cause and Prevention Research	SP00011274-02	Georgia State University	
93.393	I	82,885	-	Cancer Cause and Prevention Research	T253674	Emory University (EU)	
93.393	I	34,786	-	Cancer Cause and Prevention Research	VUMC 42432	Vanderbilt University Medical Center	
93.393	I	4,821	-	Cancer Cause and Prevention Research	WU-14-99	Washington University in Saint Louis	
93.394	D	2,642,802	559,190	Cancer Detection and Diagnosis Research			
93.394	I	30	-	Cancer Detection and Diagnosis Research	108415	Brigham and Womens Hospital	
93.394	I	10,891	-	Cancer Detection and Diagnosis Research	15-0448	Sonovul, LLC	
93.394	I	127,623	-	Cancer Detection and Diagnosis Research	1552592/PO:1000500405	Univ of Colorado - Boulder	
93.394	I	49,579	-	Cancer Detection and Diagnosis Research	1R44CA203221-01	Accuray Incorporated	
93.394	I	50,614	-	Cancer Detection and Diagnosis Research	2016-0750	Soymeds, Inc	
93.394	I	29,908	-	Cancer Detection and Diagnosis Research	2031849	Duke University	
93.394	I	43,061	20,120	Cancer Detection and Diagnosis Research	3001861664	University of Michigan (UMICH)	
93.394	I	56,903	-	Cancer Detection and Diagnosis Research	FP056002-01-PR	University of Chicago	
93.394	I	46,393	-	Cancer Detection and Diagnosis Research	K000646-00-S01	Kitware, Inc.	
93.394	I	40,687	-	Cancer Detection and Diagnosis Research	N/A	BioFluidica Microtechnologies LLC	
93.394	I	146,323	25	Cancer Detection and Diagnosis Research	N/A	OptoSonics, Inc.	
93.394	I	55,806	-	Cancer Detection and Diagnosis Research	VUMC 38860	Vanderbilt University Medical Center	
93.394	I	370,810	-	Cancer Detection and Diagnosis Research	WU-15-90/PO#2922492Y	Washington University in Saint Louis	
93.395	D	7,847,520	1,362,953	Cancer Treatment Research			
93.395	I	850	-	Cancer Treatment Research	109685	Brigham and Womens Hospital	
93.395	I	18,109	-	Cancer Treatment Research	1812	American College of Radiology (ACR)	
93.395	I	9,808	-	Cancer Treatment Research	2015-0383	Scion Cardio-Vascular, Inc.	
93.395	I	(105)	-	Cancer Treatment Research	2033833	Duke University	
93.395	I	93,659	-	Cancer Treatment Research	310472	Albert Einstein College of Medicine Inc	
93.395	I	(6,405)	-	Cancer Treatment Research	60037258	Ohio State University	
93.395	I	297,914	-	Cancer Treatment Research	63801556	Mayo Clinic	
93.395	I	226,267	-	Cancer Treatment Research	961188-RSUB	Childrens Hospital of Philadelphia	

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CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
93.395	I	127,957	-	Cancer Treatment Research	FY2016-005	University of Kansas Center for Research	
93.395	I	13,212	-	Cancer Treatment Research	N/A	Capture Pharmaceuticals	
93.395	I	65,988	-	Cancer Treatment Research	N/A	Gynecologic Oncology Group (GOG)	
93.395	I	140,574	-	Cancer Treatment Research	N/A	Reveris Therapeutics	
93.395	I	(15)	-	Cancer Treatment Research	PD300785-SC105154	Virginia Commonwealth University (VCU)	
93.395	I	39,134	-	Cancer Treatment Research	U10CA180820-01-UNC-1	American College of Radiology Imaging Network	
93.395	I	12,912	-	Cancer Treatment Research	UNC039TW-00	Frontier Science and Technology Research	
93.395	I	17,298	-	Cancer Treatment Research	UTA14-001433	University of Texas (UT)	
93.395	I	61,217	-	Cancer Treatment Research	VUMC 57291	Vanderbilt University Medical Center	
93.395	I	5,312	-	Cancer Treatment Research	WU-16-42	Washington University in Saint Louis	
93.396	D	7,907,046	630,629	Cancer Biology Research			
93.396	I	68,753	-	Cancer Biology Research	009680-002	University of Cincinnati	
93.396	I	113,323	-	Cancer Biology Research	3030	University of Texas MD Anderson Cancer Center	
93.396	I	28,676	-	Cancer Biology Research	431769-19467	Virginia Tech	
93.396	I	20,047	-	Cancer Biology Research	5600599560	Baylor University College of Medicine	
93.396	I	18,705	-	Cancer Biology Research	647K662	University of Wisconsin at Madison	
93.396	I	51,686	-	Cancer Biology Research	66183959	University of Southern California (USC)	
93.396	I	(7,652)	-	Cancer Biology Research	N/A	Texas A&M University	
93.396	I	15,982	-	Cancer Biology Research	N/A	University of Texas Southwestern Medical	
93.397	D	15,939,882	1,130,446	Cancer Centers Support Grants			
93.397	I	14,870	-	Cancer Centers Support Grants	1230601	Dana Farber Cancer Institute	
93.397	I	-	-	Cancer Centers Support Grants	2000796704	Johns Hopkins University	
93.397	I	134,271	-	Cancer Centers Support Grants	IN4689833UNC	Indiana University at Indianapolis	
93.397	I	75,599	-	Cancer Centers Support Grants	MUSC15-085	Medical University of South Carolina (MU)	
93.397	I	62,744	-	Cancer Centers Support Grants	WU-16-236	Washington University-St Louis	
93.398	D	4,747,927	5,600	Cancer Research Manpower			
93.399	I	2,532	-	Cancer Control	3003721052	University of Michigan (UMICH)	
93.399	I	50,243	-	Cancer Control	RES508421	Case Western Reserve University	
93.399	I	(31,959)	-	Cancer Control	TFED29-117	National Surgical Adjuvant Breast and Bowel Project	
93.424	I	145,200	39,423	NON-ACA/PPHF - Building Capacity of the Public Health System to Improve Population Health through National Nonprofit Organizations	G804	National Network of Public Health Institute	
93.424	I	6,367	-	NON-ACA/PPHF - Building Capacity of the Public Health System to Improve Population Health through National Nonprofit Organizations	N/A	Association of University Centers on Disabilities	
93.433	D	151,061	4,497	ACL National Institute on Disability, Independent Living, and Rehabilitation Research			
93.505	I	396,924	3,220	Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program	14-07-5-01-078-0	Montana State Government	
93.505	I	158,903	-	Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program	15-07-5-01-080-0	Montana Department of Health and Human Services	
93.505	I	1,042	-	Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program	G857	Thrive by Five Washington	
93.510	D	838,283	-	Affordable Care Act (ACA) Primary Care Residency Expansion Program			
93.516	D	10,921	-	Affordable Care Act (ACA) Public Health Training Centers Program			
93.516	I	20,128	-	Affordable Care Act (ACA) Public Health Training Centers Program	T278674	Emory University	
93.516	I	36,663	-	Affordable Care Act (ACA) Public Health Training Centers Program	T470332	Emory University	
93.524	I	44,280	-	Building Capacity of the Public Health System to Improve Population Health through National, Non-Profit Organizations- financed in part by Prevention and Public Health Funds (PPHF)	N/A	National Network of Public Health Institute	
93.542	D	482,216	-	Health Promotion and Disease Prevention Research Centers: PPHF - Affordable Care Act Projects			
93.600	I	1,201	-	Head Start	SC36898D-03-01	University of Denver	
93.601	D	(101)	-	Child Support Enforcement Demonstrations and Special Projects			
93.610	D	1,025,815	-	Health Care Innovation Awards (HCIA)			
93.610	I	498,983	-	Health Care Innovation Awards (HCIA)	N/A	Community Care of North Carolina (CCNC)	
93.632	D	580,139	-	University Centers for Excellence in Developmental Disabilities Education, Research, and Service			
93.652	I	31,854	-	Adoption Opportunities	153405528	University of Wisconsin at Milwaukee	
93.652	I	102,221	-	Adoption Opportunities	HHS2014ACF-ACFYCO797	Spaulding for Children, National Research	
93.670	D	214,782	-	Child Abuse and Neglect Discretionary Activities			
93.701	I	4,245	-	Trans-NIH Recovery Act Research Support	N/A	Brain Plasticity, Inc.	
93.718	D	152	-	ARRA - Health Information Technology Regional Extension Centers Program			
93.823	I	169,849	600	Ebola Support: Transmission and Prevention Control, Public Health Preparedness, Vaccine Development	2032402	Duke University	
93.837	D	24,936,365	4,037,650	Cardiovascular Diseases Research			
93.837	I	130,329	2,106	Cardiovascular Diseases Research	0000503570-008	University of Alabama at Birmingham	
93.837	I	118,115	23,157	Cardiovascular Diseases Research	0041597(125465-1)	University of Pittsburgh	
93.837	I	2,111	-	Cardiovascular Diseases Research	109135	Brigham and Womens Hospital	
93.837	I	16,163	-	Cardiovascular Diseases Research	110855	Wake Forest University School of Medicine	
93.837	I	31,502	-	Cardiovascular Diseases Research	11530-FA87/14-2688	University of South Carolina (USC)	
93.837	I	282,375	-	Cardiovascular Diseases Research	202-3202	Duke University	
93.837	I	179,755	-	Cardiovascular Diseases Research	2034835	Duke University Medical Center	

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CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
93.837	I	18,801	-	Cardiovascular Diseases Research	225708	Massachusetts General Hospital	
93.837	I	27,995	-	Cardiovascular Diseases Research	3001303804	University of Michigan (UMICH)	
93.837	I	(7,895)	-	Cardiovascular Diseases Research	431746-19467	Virginia Tech	
93.837	I	(262)	-	Cardiovascular Diseases Research	5	Gramercy Research Group	
93.837	I	2,149	-	Cardiovascular Diseases Research	5-29746/415311-G	University of Rochester	
93.837	I	2,227	-	Cardiovascular Diseases Research	51500	Vanderbilt University	
93.837	I	44,692	-	Cardiovascular Diseases Research	5601054815/1020323239	Baylor University College of Medicine	
93.837	I	25,540	-	Cardiovascular Diseases Research	563490	University of Pennsylvania	
93.837	I	9,562	-	Cardiovascular Diseases Research	60040818	Ohio State University	
93.837	I	163,815	-	Cardiovascular Diseases Research	60436087-107606-A	Stanford University	
93.837	I	179	-	Cardiovascular Diseases Research	6667481041-NCCH	University of Mississippi Medical Center	
93.837	I	(2,640)	-	Cardiovascular Diseases Research	6763SC	University of California at San Francisco	
93.837	I	429,072	-	Cardiovascular Diseases Research	710-9144	Miriam Hospital	
93.837	I	28,466	-	Cardiovascular Diseases Research	728	Brown University	
93.837	I	91,527	-	Cardiovascular Diseases Research	739597	University of Washington	
93.837	I	70,677	-	Cardiovascular Diseases Research	800551	Fred Hutchinson Cancer Research Center	
93.837	I	19,376	-	Cardiovascular Diseases Research	N/A	Duke University Clinical Research Institute	
93.837	I	12,411	-	Cardiovascular Diseases Research	N/A	New England Research Institutes	
93.837	I	46,004	-	Cardiovascular Diseases Research	N/A	Path BioAnalytics	
93.837	I	5	-	Cardiovascular Diseases Research	N/A	University of Southern California (USC)	
93.837	I	9,589	-	Cardiovascular Diseases Research	N/A	Yale University	
93.837	I	13,268	-	Cardiovascular Diseases Research	N002127502	University of Minnesota	
93.837	I	4,819	-	Cardiovascular Diseases Research	R44 HL 126224-01A1 S	Elucid Biomed Inc.	
93.837	I	-	-	Cardiovascular Diseases Research	RESS05771	Case Western Reserve University	
93.837	I	2,691	-	Cardiovascular Diseases Research	S607676	Emory University (EU)	
93.837	I	37,237	385	Cardiovascular Diseases Research	W000680121	University of Iowa	
93.837	I	39,242	-	Cardiovascular Diseases Research	WFUHS 111546	Wake Forest University Health Sciences	
93.837	I	40,267	-	Cardiovascular Diseases Research	WU-14-241	Washington University in Saint Louis	
93.838	D	9,721,679	298,705	Lung Diseases Research			
93.838	I	65,082	-	Lung Diseases Research	10842SUB	Seattle Childrens Hospital Research Institute	
93.838	I	33,797	-	Lung Diseases Research	2002772677	Johns Hopkins University	
93.838	I	3,299	-	Lung Diseases Research	2011-2546	University of California at Irvine (UCI)	
93.838	I	7,187	-	Lung Diseases Research	2014-1428	Biomarck Pharmaceuticals	
93.838	I	337,181	-	Lung Diseases Research	203-1647	Duke University	
93.838	I	151,660	220	Lung Diseases Research	2032351	Duke University Medical Center	
93.838	I	12,640	-	Lung Diseases Research	3003104557	University of Michigan (UMICH)	
93.838	I	6,289	(1,170)	Lung Diseases Research	3210515144	Hospital for Sick Children (SickKids)	
93.838	I	32,757	-	Lung Diseases Research	4686685-UNC	Indiana University System	
93.838	I	2,380	-	Lung Diseases Research	752648	University of Washington	
93.838	I	210,584	-	Lung Diseases Research	901487-UNC	Childrens Memorial Hospital of Chicago	
93.838	I	151	-	Lung Diseases Research	IN4086488NC	Indiana University Purdue University Indianapolis	
93.838	I	(32)	-	Lung Diseases Research	N/A	Parion Sciences	
93.838	I	19,623	-	Lung Diseases Research	N/A	Radikal Therapeutics, Inc.	
93.838	I	(140)	-	Lung Diseases Research	N/A	X-In8 Biologicals Corporation	
93.838	I	72,917	-	Lung Diseases Research	RESS07797	Case Western Reserve University	
93.838	I	11,045	-	Lung Diseases Research	W000705635	University of Iowa	
93.839	D	7,345,915	1,132,868	Blood Diseases and Resources Research			
93.839	I	119,325	-	Blood Diseases and Resources Research	07327-3	Minneapolis Medical Research Foundation	
93.839	I	6,179	-	Blood Diseases and Resources Research	10239SUB	Seattle Children's Hospital	
93.839	I	47,261	-	Blood Diseases and Resources Research	1026762	Beth Israel Deaconess Medical Center	
93.839	I	7,875	-	Blood Diseases and Resources Research	203-0276	Duke University Medical Center	
93.839	I	14,770	-	Blood Diseases and Resources Research	24-6230-0191-003	University of Nebraska at Lincoln	
93.839	I	438,719	-	Blood Diseases and Resources Research	564956/100477/1/14994	University of Pennsylvania	
93.839	I	416,518	-	Blood Diseases and Resources Research	802	Childrens Hospital of Philadelphia	
93.839	I	140,459	-	Blood Diseases and Resources Research	A12470	Rensselaer Polytechnic Institute (RPI)	
93.839	I	50,963	-	Blood Diseases and Resources Research	N/A	Chimera Biotechnology Inc.	
93.839	I	(1)	-	Blood Diseases and Resources Research	N/A	New England Research Institutes	
93.839	I	44,439	-	Blood Diseases and Resources Research	N/A	Ohio State University	
93.839	I	17,151	-	Blood Diseases and Resources Research	PO#1529670/2	Medical College of Wisconsin	
93.839	I	122,532	-	Blood Diseases and Resources Research	RR571-373/4944276	University of Georgia	
93.839	I	3,219	-	Blood Diseases and Resources Research	UNC-2015	Bloodworks Northwest	
93.839	I	207,977	-	Blood Diseases and Resources Research	UWSC8675 (BPO9467)	University of Washington	
93.839	I	42,163	-	Blood Diseases and Resources Research	WU-16-68	Washington University in Saint Louis	
93.846	D	7,516,209	478,948	Arthritis, Musculoskeletal and Skin Diseases Research			
93.846	I	348,717	-	Arthritis, Musculoskeletal and Skin Diseases Research	1122-001	Maine Medical Center	
93.846	I	23,267	-	Arthritis, Musculoskeletal and Skin Diseases Research	12-01091/101776	New York University (NYU)	
93.846	I	201,497	-	Arthritis, Musculoskeletal and Skin Diseases Research	14-010	Wake Forest University	
93.846	I	2,263	-	Arthritis, Musculoskeletal and Skin Diseases Research	2033893	Duke University	

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Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
93.846	I	309,209	-	Arthritis, Musculoskeletal and Skin Diseases Research	2R42AR055042-02	Cytex Therapeutics, Inc	
93.846	I	69,322	-	Arthritis, Musculoskeletal and Skin Diseases Research	N/A	BioVinc, LLC	
93.846	I	4,894	-	Arthritis, Musculoskeletal and Skin Diseases Research	WU-15-37/PO#2922731Y	Washington University in Saint Louis	
93.847	D	26,807,022	4,642,596	Diabetes, Digestive, and Kidney Diseases Extramural Research			
93.847	I	33,509	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	102095487	Baylor University College of Medicine	
93.847	I	47,497	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	102140101	Baylor College of Medicine	
93.847	I	46,068	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	12-023-58090	California Polytechnic State University	
93.847	I	634,870	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	14-179296-07	Connecticut Childrens Medical Center	
93.847	I	23,596	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	14-2000	Curl Bio, LLC	
93.847	I	52,149	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	14070977-01	Cornell University Medical Campus	
93.847	I	130,713	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	16-NIH-1017	Duke University	
93.847	I	24,173	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	197SUB/283SUB	Cleveland Clinic	
93.847	I	1,181	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	2001815789	Johns Hopkins University	
93.847	I	34,146	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	2002879987	Johns Hopkins Bloomberg School of Public Health	
93.847	I	41,454	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	2011-0322	Theralogics, Inc.	
93.847	I	56,357	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	2014-3018	Winsantor, Inc.	
93.847	I	63,344	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	222917	Massachusetts General Hospital	
93.847	I	80,964	4,319	Diabetes, Digestive, and Kidney Diseases Extramural Research	25034-65	Georgia Regents University	
93.847	I	165,272	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	2R44DK093392-02	Zen-Bio/SouthEast Techniv.	
93.847	I	226,457	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	3001310929	University of Michigan (UMICH)	
93.847	I	42,547	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	3207860212/PO951193-330182	Childrens Hospital of Philadelphia	
93.847	I	(3,187)	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	4144008-G	University of Rochester	
93.847	I	269,737	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	4500001478	Boston University Board of Trustees	
93.847	I	49,625	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	5	Medical College of Wisconsin	
93.847	I	86,250	(3,800)	Diabetes, Digestive, and Kidney Diseases Extramural Research	589951	Children's Hospital Boston	
93.847	I	48,719	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	60040977 UNC	Northwestern University	
93.847	I	23,002	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	64744923	University of California at San Diego (UCSD)	
93.847	I	6,386	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	9937-01	Kaiser Foundation Research Institute	
93.847	I	140,592	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	IN4685579UNC	Indiana University System	
93.847	I	15,103	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	N/A	University of South Florida Tampa	
93.847	I	107,469	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	PO#2922664Y/WU-15-10	Washington University in Saint Louis	
93.847	I	4,336	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	R42DK074193-02A1	Theralogics	
93.847	I	503	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	RO1 DK092468	Oregon Research Institute	
93.847	I	263,244	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	S-GRD1314-KR31	George Washington University	
93.847	I	(75)	(75)	Diabetes, Digestive, and Kidney Diseases Extramural Research	S630622	Emory University (EU)	
93.847	I	33,217	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	Site 105 179995/1886	Duke University Clinical Research Institute	
93.847	I	100,316	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	T2D-UNC	Southeast TechInventures (STI)	
93.847	I	90,367	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	UNCCK095078	Pennsylvania State University	
93.847	I	93,414	2,714	Diabetes, Digestive, and Kidney Diseases Extramural Research	WFUHS 114580	Wake Forest University Health Sciences	
93.853	D	10,596,199	719,379	Extramural Research Programs in the Neurosciences and Neurological Disorders			
93.853	I	14,760	-	Extramural Research Programs in the Neurosciences and Neurological Disorders	0001197792/R21NS0889	Cedars Sinai Medical Center	
93.853	I	42,202	-	Extramural Research Programs in the Neurosciences and Neurological Disorders	2(GG008402)	Columbia University	
93.853	I	255,827	-	Extramural Research Programs in the Neurosciences and Neurological Disorders	2014-0568	The Allen Institute for Brain Science	
93.853	I	540	-	Extramural Research Programs in the Neurosciences and Neurological Disorders	202302	Duke University	
93.853	I	151,075	-	Extramural Research Programs in the Neurosciences and Neurological Disorders	2259	Boston Medical Center	
93.853	I	(1,356)	-	Extramural Research Programs in the Neurosciences and Neurological Disorders	416220	University of Rochester	
93.853	I	118,869	111,073	Extramural Research Programs in the Neurosciences and Neurological Disorders	5600909926	Baylor University College of Medicine	
93.853	I	56,831	-	Extramural Research Programs in the Neurosciences and Neurological Disorders	562300/PO#:3308068	Univ of Pennsylvania	
93.853	I	158,632	-	Extramural Research Programs in the Neurosciences and Neurological Disorders	9091SC	University of California at San Francisco	
93.853	I	42,167	-	Extramural Research Programs in the Neurosciences and Neurological Disorders	FY2016-006	University of Kansas Center for Research	
93.853	I	94,907	-	Extramural Research Programs in the Neurosciences and Neurological Disorders	K000841-00-S02	Kitware, Inc.	
93.853	I	16,763	-	Extramural Research Programs in the Neurosciences and Neurological Disorders	N/A	Beth Israel Deaconess Medical Center	
93.853	I	68,670	-	Extramural Research Programs in the Neurosciences and Neurological Disorders	N/A	Dignify Therapeutics	
93.853	I	18,359	-	Extramural Research Programs in the Neurosciences and Neurological Disorders	N/A	EMMES Corporation	
93.853	I	11,013	-	Extramural Research Programs in the Neurosciences and Neurological Disorders	N/A	New York University (NYU)	
93.853	I	-	-	Extramural Research Programs in the Neurosciences and Neurological Disorders	N/A	Pennsylvania State University	
93.853	I	51,215	-	Extramural Research Programs in the Neurosciences and Neurological Disorders	SNNC7115	Soterix Medical Inc	
93.853	I	45,572	-	Extramural Research Programs in the Neurosciences and Neurological Disorders	T458594	Emory University (EU)	
93.853	I	38,631	-	Extramural Research Programs in the Neurosciences and Neurological Disorders	UWSC7150/PO#BPO7044	University of Washington	
93.855	D	57,528,985	13,506,809	Allergy and Infectious Diseases Research			
93.855	I	1,744,381	1,100	Allergy and Infectious Diseases Research	000397076-0011	University of Alabama at Birmingham	
93.855	I	200,458	-	Allergy and Infectious Diseases Research	000503356-SP002-SC006	Univ of Alabama	
93.855	I	74,235	-	Allergy and Infectious Diseases Research	0043800 (125428-1)	University of Pittsburgh	
93.855	I	3,102,084	152,760	Allergy and Infectious Diseases Research	0080.144/955	Family Health International	
93.855	I	501,920	-	Allergy and Infectious Diseases Research	0254-6990-4609	Mount Sinai School of Medicine	
93.855	I	94,757	-	Allergy and Infectious Diseases Research	1(GG007638)	Columbia University Trustees	
93.855	I	72,840	-	Allergy and Infectious Diseases Research	1005926_UNCCH	Oregon Health and Science University	
93.855	I	15,970	-	Allergy and Infectious Diseases Research	10466	Wake Forest University School of Medicine	

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Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
93.855	I	2,103,375	(51,759)	Allergy and Infectious Diseases Research	108088	Brigham and Womens Hospital	
93.855	I	(844)	-	Allergy and Infectious Diseases Research	1186601	Dana Farber Cancer Institute	
93.855	I	29,309	-	Allergy and Infectious Diseases Research	135408	Cincinnati Childrens Hospital Medical Center	
93.855	I	920,003	-	Allergy and Infectious Diseases Research	15121923-N1	Cornell University Medical Campus	
93.855	I	115,414	-	Allergy and Infectious Diseases Research	1551603/PO#1000370198	Univ of Colorado - Boulder	
93.855	I	24,315	-	Allergy and Infectious Diseases Research	1651	Dartmouth College	
93.855	I	40,681	-	Allergy and Infectious Diseases Research	1R41A1112064-01	Clinical Sensors, Inc.	
93.855	I	32,868	-	Allergy and Infectious Diseases Research	2 (GG010526)	Columbia University	
93.855	I	15,418	-	Allergy and Infectious Diseases Research	2-5-23318	University of Colorado Denver	
93.855	I	1,400,345	(220,362)	Allergy and Infectious Diseases Research	2002115654	Johns Hopkins University	
93.855	I	29,339	-	Allergy and Infectious Diseases Research	201303042-02	Univ of Cal - Davis	
93.855	I	54,935	-	Allergy and Infectious Diseases Research	2014-2283	Nirvana Sciences, Inc.	
93.855	I	7,967	-	Allergy and Infectious Diseases Research	2016-0593	Nirvana Sciences, Inc.	
93.855	I	819,567	10,010	Allergy and Infectious Diseases Research	203 9893	Duke University	
93.855	I	350,618	-	Allergy and Infectious Diseases Research	2033193	Duke University Medical Center	
93.855	I	611,256	-	Allergy and Infectious Diseases Research	2501 PO824643	Henry M Jackson Foundation	
93.855	I	192,196	-	Allergy and Infectious Diseases Research	2R42AIC98192	Agile Sciences	
93.855	I	20,765	-	Allergy and Infectious Diseases Research	3020702	Duke University	
93.855	I	318,640	-	Allergy and Infectious Diseases Research	41666	Vanderbilt University Medical Center	
93.855	I	156,481	3,000	Allergy and Infectious Diseases Research	4500001632	Boston University	
93.855	I	6	-	Allergy and Infectious Diseases Research	473K174	University of Wisconsin	
93.855	I	162,323	-	Allergy and Infectious Diseases Research	490K582	University of Wisconsin at Madison	
93.855	I	877,048	-	Allergy and Infectious Diseases Research	5(GG008377-12)	Columbia University	
93.855	I	-	-	Allergy and Infectious Diseases Research	5-20560	The Scripps Research Institute	
93.855	I	82,312	-	Allergy and Infectious Diseases Research	5-20686	Scripps Research Institute	
93.855	I	138,243	-	Allergy and Infectious Diseases Research	54406214	University of Southern California (USC)	
93.855	I	157,614	-	Allergy and Infectious Diseases Research	55940/PO#3250385	University of Pennsylvania	
93.855	I	5,202	-	Allergy and Infectious Diseases Research	5R44AI084282-04	G-Zero Therapeutics, Inc.	
93.855	I	10,042	-	Allergy and Infectious Diseases Research	60040631 UNC	Northwestern University	
93.855	I	48,556	-	Allergy and Infectious Diseases Research	608195277	Wits Health Consortium	
93.855	I	28,241	-	Allergy and Infectious Diseases Research	645K234	Univ of Wisconsin	
93.855	I	317,654	-	Allergy and Infectious Diseases Research	759220	University of Washington	
93.855	I	130,778	-	Allergy and Infectious Diseases Research	809002	Fred Hutchinson Cancer Research Center	
93.855	I	86,587	-	Allergy and Infectious Diseases Research	8180 PO 191798	Rutgers the State University of New Jersey	
93.855	I	197,283	-	Allergy and Infectious Diseases Research	825SC	University of California at San Francisco	
93.855	I	313,767	-	Allergy and Infectious Diseases Research	8908	University of California at Berkeley	
93.855	I	335,346	23,503	Allergy and Infectious Diseases Research	9294	Magee-Womens Research Institute & Foundation	
93.855	I	(8,734)	-	Allergy and Infectious Diseases Research	BRS-ACURE0Q-06-00160	Social and Scientific Systems (S3), Inc.	
93.855	I	578,274	-	Allergy and Infectious Diseases Research	FY14ITN008	Benaroya Research Institute	
93.855	I	122,457	-	Allergy and Infectious Diseases Research	G-2544-1	Colorado State Univ.	
93.855	I	143,930	-	Allergy and Infectious Diseases Research	M60-NC-075-1101-3	Institute for Clinical Research	
93.855	I	8,219	-	Allergy and Infectious Diseases Research	MA150048	University of Hawaii	
93.855	I	12,018	-	Allergy and Infectious Diseases Research	MUSC:14 034	University of South Carolina (USC)	
93.855	I	196,988	-	Allergy and Infectious Diseases Research	N/A	Capture Pharmaceuticals	
93.855	I	116,146	-	Allergy and Infectious Diseases Research	N/A	Centre for the AIDS Programme of Research	
93.855	I	9,852	-	Allergy and Infectious Diseases Research	N/A	Mucommune, LLC	
93.855	I	394	-	Allergy and Infectious Diseases Research	N/A	Research Triangle Institute (RTI International)	
93.855	I	68,576	-	Allergy and Infectious Diseases Research	N/A	University of Cape Town	
93.855	I	12,494	-	Allergy and Infectious Diseases Research	P004756921	University of Minnesota Board of Regents	
93.855	I	32,009	-	Allergy and Infectious Diseases Research	P2013-0529 UNC 15	Childrens Hospital Los Angeles	
93.855	I	(8,305)	-	Allergy and Infectious Diseases Research	P66162854R	University of Minnesota	
93.855	I	159,040	-	Allergy and Infectious Diseases Research	R01A1111965	Monash University	
93.855	I	23,748	-	Allergy and Infectious Diseases Research	R988507	SUNY at Buffalo	
93.855	I	15,989	-	Allergy and Infectious Diseases Research	T371044	Emory University (EU)	
93.855	I	187,888	-	Allergy and Infectious Diseases Research	W000474787-100117752	University of Iowa	
93.855	I	37,996	-	Allergy and Infectious Diseases Research	WSU16036	Wayne State University	
93.856	D	231,650	-	Microbiology and Infectious Diseases Research			
93.859	D	34,279,830	2,094,124	Biomedical Research and Research Training			
93.859	I	42,885	-	Biomedical Research and Research Training	0023300(119860-01)	University of Pittsburgh	
93.859	I	76,837	-	Biomedical Research and Research Training	1001321424	University of Iowa	
93.859	I	15,000	-	Biomedical Research and Research Training	102208235	Baylor College of Medicine	
93.859	I	(350)	-	Biomedical Research and Research Training	203-1083	Duke University	
93.859	I	139,763	-	Biomedical Research and Research Training	203-1990	Duke University Medical Center	
93.859	I	125,336	-	Biomedical Research and Research Training	3003094798	Univ of Michigan	
93.859	I	225,304	-	Biomedical Research and Research Training	3003277546	University of Michigan (UMICH)	
93.859	I	29,129	-	Biomedical Research and Research Training	34-2005-2076-005	University of Nebraska at Omaha	
93.859	I	10,810	-	Biomedical Research and Research Training	361195-13340-02	Temple University	
93.859	I	42,208	-	Biomedical Research and Research Training	431745-19071	Virginia Polytech Institute	

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Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
93.859	I	399,759	-	Biomedical Research and Research Training	5044606412K285	University of Wisconsin	
93.859	I	5,182	-	Biomedical Research and Research Training	55631-11504-UNC-05	Sanford-Burnham Medical Research Institute	
93.859	I	19,036	-	Biomedical Research and Research Training	60026168	Ohio State University	
93.859	I	2,592	-	Biomedical Research and Research Training	FP058702	University of Chicago	
93.859	I	1,585	-	Biomedical Research and Research Training	FY2012-096	University Of Kansas	
93.859	I	184,563	-	Biomedical Research and Research Training	FY2016-001	University of Kansas Center for Research	
93.859	I	70,296	-	Biomedical Research and Research Training	MUSC12-032	Medical University of South Carolina (MUSC)	
93.859	I	73,335	-	Biomedical Research and Research Training	PO#1594722/IN4684684	Indiana University System	
93.859	I	163,667	-	Biomedical Research and Research Training	PO#204867	Jackson Laboratory	
93.859	I	87,493	-	Biomedical Research and Research Training	RC104917UNC	Michigan State University	
93.859	I	96,354	-	Biomedical Research and Research Training	RF164-G1	Georgia Institute of Tech.	
93.859	I	7,245	-	Biomedical Research and Research Training	UA 12-009	Univ of Alabama	
93.859	I	408,799	-	Biomedical Research and Research Training	WA00360578/OSP201609	University of Massachusetts	
93.865	D	29,873,758	9,014,554	Child Health and Human Development Extramural Research			
93.865	I	90,038	(800)	Child Health and Human Development Extramural Research	000378020-001	University of Alabama at Birmingham	
93.865	I	32,368	-	Child Health and Human Development Extramural Research	1-312-02131113-51003L	Research Triangle Institute (RTI International)	
93.865	I	371,351	(417)	Child Health and Human Development Extramural Research	14-NIH-1039	Duke University	
93.865	I	11,798	-	Child Health and Human Development Extramural Research	15-2719	University of South Carolina (USC)	
93.865	I	70,168	-	Child Health and Human Development Extramural Research	1547811/PO1000094529	University of Colorado	
93.865	I	1,064	50	Child Health and Human Development Extramural Research	16091646-01	Cornell University Weill Medical College	
93.865	I	93,227	-	Child Health and Human Development Extramural Research	1R01HD072705-01	Eastern Virginia Medical School	
93.865	I	20,000	20,000	Child Health and Human Development Extramural Research	2002795954	Johns Hopkins University	
93.865	I	59,656	-	Child Health and Human Development Extramural Research	2012-2745	University of California at Irvine (UCI)	
93.865	I	13,650	-	Child Health and Human Development Extramural Research	2033620 ZHD10SR-A	Duke University Medical Center	
93.865	I	17,169	-	Child Health and Human Development Extramural Research	2034757	Duke University	
93.865	I	88,750	-	Child Health and Human Development Extramural Research	4243-UNC0DHHS-0709	Pennsylvania State University	
93.865	I	4,291	-	Child Health and Human Development Extramural Research	440545	Wake Forest University Health Sciences	
93.865	I	126,541	-	Child Health and Human Development Extramural Research	60032241 NCSU/PO PUR09545	Northwestern University	
93.865	I	11,528	-	Child Health and Human Development Extramural Research	60032241 UNC	Northwestern University	
93.865	I	733	-	Child Health and Human Development Extramural Research	60041793	Ohio State University	
93.865	I	89,410	-	Child Health and Human Development Extramural Research	727265	University of Washington	
93.865	I	135,671	-	Child Health and Human Development Extramural Research	9373	Women and Infants Hospital of Rhode Island	
93.865	I	95,193	-	Child Health and Human Development Extramural Research	D1404360-01	Wits Health Consortium	
93.865	I	293,495	9,800	Child Health and Human Development Extramural Research	F4330-02	New York University (NYU)	
93.865	I	15,126	-	Child Health and Human Development Extramural Research	M14A12036(A10192)	Yale University	
93.865	I	370,145	700	Child Health and Human Development Extramural Research	N/A	George Washington University	
93.865	I	16,915	-	Child Health and Human Development Extramural Research	N/A	Inquisithalth Inc	
93.865	I	109,707	-	Child Health and Human Development Extramural Research	N/A	Liverpool School of Tropical Medicine	
93.865	I	4,336	-	Child Health and Human Development Extramural Research	N/A	Qualiber, Inc.	
93.865	I	28,417	-	Child Health and Human Development Extramural Research	N/A	University of Cape Town	
93.865	I	47,668	-	Child Health and Human Development Extramural Research	PD301855-SC102433	Virginia Commonwealth University (VCU)	
93.865	I	8,278	-	Child Health and Human Development Extramural Research	RC104815NCSU	Michigan State University	
93.865	I	82,831	-	Child Health and Human Development Extramural Research	UFDSP00011045	University of Florida	
93.865	I	135,869	(400)	Child Health and Human Development Extramural Research	VUMC35301	Vanderbilt University Medical Center	
93.865	I	3,431	-	Child Health and Human Development Extramural Research	WU-15-337	Washington University in Saint Louis	
93.866	D	5,524,824	892,969	Aging Research			
93.866	I	11,611	-	Aging Research	0011496A	University of Texas at Houston Health Sc	
93.866	I	378,312	-	Aging Research	13-NIH-1080	Duke University	
93.866	I	111,388	-	Aging Research	2001442722	Johns Hopkins University	
93.866	I	126	-	Aging Research	201121619-01	University of California at Davis (UCD)	
93.866	I	51,240	-	Aging Research	2013-02	Doty Scientific, Inc.	
93.866	I	18,213	-	Aging Research	2034216	Duke University	
93.866	I	8,330	-	Aging Research	23030.914940.6695	City of Hope National Medical Center	
93.866	I	146,952	-	Aging Research	2616022661	University of Texas at Arlington	
93.866	I	88,096	-	Aging Research	450002003	Boston University	
93.866	I	35,303	-	Aging Research	60041739 UNC	Northwestern University	
93.866	I	8,667	-	Aging Research	67K531	University of Wisconsin at Madison	
93.866	I	22,756	-	Aging Research	9055	Hebrew Rehabilitation Center	
93.866	I	307,762	(2,300)	Aging Research	A12418	Rensselaer Polytechnic Institute (RPI)	
93.866	I	(3,088)	-	Aging Research	H54027	University of Southern California (USC)	
93.866	I	19,843	-	Aging Research	N/A	HealthSpan Dx	
93.866	I	58,899	-	Aging Research	RC105335E	Michigan State University	
93.866	I	75,466	-	Aging Research	RR540-193/4942156	University of Georgia	
93.866	I	39,023	-	Aging Research	UTA15-000439	University of Texas at Austin	
93.866	I	58,732	-	Aging Research	VUMC38284	Vanderbilt University Medical Center	
93.867	D	2,483,172	140,533	Vision Research			
93.867	I	38,064	-	Vision Research	1001272428	University of Iowa	
93.867	I	26,847	-	Vision Research	10033536-00	University of Utah	

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CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
93.867	I	12,904	-	Vision Research	2001536656	Johns Hopkins University	
93.867	I	24,933	-	Vision Research	2001590661	Johns Hopkins University	
93.867	I	303,023	-	Vision Research	N/A	CMP Tarhelm Partners LLC	
93.867	I	45,964	-	Vision Research	N/A	Jaeb Center for Health Research	
93.867	I	(4,889)	-	Vision Research	N/A	University of Pennsylvania	
93.879	I	54,316	-	Medical Library Assistance	10028048-01	University of Utah	
93.884	D	610,214	-	Grants for Primary Care Training and Enhancement			
93.918	D	549,850	152,891	Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease			
93.924	D	20,549	-	Ryan White HIV/AIDS Dental Reimbursement and Community Based Dental Partnership Grants			
93.928	D	398,526	198,995	Special Projects of National Significance			
93.928	I	3,216	-	Special Projects of National Significance	15-0239	CommWell Health	
93.943	D	(26,107)	-	Epidemiologic Research Studies of Acquired Immunodeficiency Syndrome (AIDS) and Human Immunodeficiency Virus (HIV) Infection in Selected Population Groups			
93.945	D	455,780	-	Assistance Programs for Chronic Disease Prevention and Control			
93.945	I	1,341	239,152	Assistance Programs for Chronic Disease Prevention and Control	N/A	Emory University (EU)	
93.946	D	171,246	-	Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs			
93.964	D	20,011	22,869	Prevention and Public Health Fund (PPHF) Public Health Traineeships			
93.969	D	746,061	-	PPHF Geriatric Education Centers			
93.989	D	2,782,213	193,300	International Research and Research Training			
93.989	I	30,332	1,067,972	International Research and Research Training	1003185_UNC	Oregon Health and Science University	
93.989	I	32,046	-	International Research and Research Training	5-R25TW008981-02	Stellenbosch University	
93.989	I	42,885	-	International Research and Research Training	60035474 UNC	Northwestern University	
93.989	I	78,101	-	International Research and Research Training	N/A	University of Zambia (UNZA)	
93.989	I	(15,607)	-	International Research and Research Training	VUMC 39590	Vanderbilt University Medical Center	
93.994	I	195	(9,706)	Maternal and Child Health Services Block Grant to the States	B04MC-28117	Appalachian District Health De	
93.RD	D	53,969	-	U. S. Department of Health and Human Services			14IPA1406354
93.RD	D	16,381,809	-	U. S. Department of Health and Human Services			5032906-5104526
93.RD	I	799	3,329,898	U. S. Department of Health and Human Services	#4944-RFA13-1/14-5	Family Services, Inc.	2014-2012
93.RD	I	52,314	-	U. S. Department of Health and Human Services	00500918-T004-SC06	University of Alabama at Birmingham	5100837-5103086-5100696-4027586
93.RD	I	137,489	-	U. S. Department of Health and Human Services	008-1116	Agile Sciences	008-1116
93.RD	I	329	-	U. S. Department of Health and Human Services	06150-PSC-P11-TAP-N	JBS International Inc.	5100544-5042134
93.RD	I	9,996	-	U. S. Department of Health and Human Services	0844.0003/104012	Family Health International	5100167-5042355
93.RD	I	136,873	-	U. S. Department of Health and Human Services	08800-036-00-FPG-0	Urban Institute	5044651
93.RD	I	19,422	(2,831)	U. S. Department of Health and Human Services	1-312-0213517 / PO 51339L	RTI International	1-312-0213517 / PO 51339L
93.RD	I	15,565	-	U. S. Department of Health and Human Services	10-16385-99-01-02	H Lee Moffitt Cancer and Research Institute	4028455
93.RD	I	1,517,478	-	U. S. Department of Health and Human Services	10-312-0213462-52100	Research Triangle Institute (RTI International)	5042130-5104552
93.RD	I	12,916	400	U. S. Department of Health and Human Services	112255	Wake Forest University Health Sciences	5104031-5101442
93.RD	I	393,906	-	U. S. Department of Health and Human Services	12XS457	Leidos Biomedical Research	5042480-4028511-5043964-5058977-5043783
93.RD	I	129,156	88,715	U. S. Department of Health and Human Services	13-3946	XinRay Systems	5042300
93.RD	I	152	-	U. S. Department of Health and Human Services	13XS093	SAIC-Frederick, Inc.	4028512
93.RD	I	15,946	-	U. S. Department of Health and Human Services	15-715	Arizona State University	5101856
93.RD	I	36,617	-	U. S. Department of Health and Human Services	15LDSK0079	ICF International	5102827
93.RD	I	47,328	-	U. S. Department of Health and Human Services	2013156199/HHSN26120	Group Health Research Institute	5102415-510215-5042237
93.RD	I	3,919	-	U. S. Department of Health and Human Services	2015-0242	Biosono Inc.	2015-0242
93.RD	I	123,905	-	U. S. Department of Health and Human Services	2016-0746	Agle Sciences, Inc.	2016-0746
93.RD	I	69,785	-	U. S. Department of Health and Human Services	203-8015	Duke University	5042262-5103603
93.RD	I	5,694	-	U. S. Department of Health and Human Services	2038817	Duke University Clinical Research Institute	5101595
93.RD	I	73,926	-	U. S. Department of Health and Human Services	293500401	American Institutes for Research (AIR)	5102508-5100299-504385
93.RD	I	7,658	-	U. S. Department of Health and Human Services	2U01GH000486-SA1	Centre for Infectious Disease Research	5101543-5042160-5042127
93.RD	I	153,195	-	U. S. Department of Health and Human Services	30015-87-381	La Jolla Institute for Allergy and Immunology	5101428
93.RD	I	88,261	-	U. S. Department of Health and Human Services	3002-082	Carter Consulting, Inc	5044906
93.RD	I	76,503	-	U. S. Department of Health and Human Services	30305	Wake Forest University	5100428-5042341-5042452
93.RD	I	29	-	U. S. Department of Health and Human Services	40283S03546	Mathematica Policy Research, Inc.	5100397-5043510
93.RD	I	726,959	-	U. S. Department of Health and Human Services	43777 44774/43775-2	Abt Associates, Inc.	5102364-5103611-5100425
93.RD	I	47,469	-	U. S. Department of Health and Human Services	5-312-0214073-52017L	RTI International	5-312-0214073-52017L
93.RD	I	(3,077)	-	U. S. Department of Health and Human Services	5-50682	Scripps Research Institute	5042448
93.RD	I	(362)	-	U. S. Department of Health and Human Services	530	University of Maryland at Baltimore (UMB)	5102842-2100209
93.RD	I	151,720	-	U. S. Department of Health and Human Services	66102700414-04UNC-GA	University of Mississippi Medical Center	5104071-5101287-5104498-5101285-5042457-5042455
93.RD	I	214,573	-	U. S. Department of Health and Human Services	724840	Fred Hutchinson Cancer Research Center	5104032-5101703-5102198-5042622-5042132-5102286
93.RD	I	111,565	-	U. S. Department of Health and Human Services	8977-S-003	Westat, Inc.	5044479
93.RD	I	168,300	-	U. S. Department of Health and Human Services	974560	McKing Consulting Corporation	5101752
93.RD	I	124	45,829	U. S. Department of Health and Human Services	BTAS1-350-203	Pharmaceutical Product Development (PPD)	5042428

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

For the Fiscal Year Ended June 30, 2016

Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
93.RD	I	113,114	-	U. S. Department of Health and Human Services	CRB-DCR01-S-09-00029	Social and Scientific Systems (S3), Inc.	5102471-5101870-5101182-5042522-5042258-5042119
93.RD	I	3,845	(150)	U. S. Department of Health and Human Services	HHSN272201000053C	Duke University Medical Center	HHSN272201000053C
93.RD	I	64,777	-	U. S. Department of Health and Human Services	LSBPO1378/HHSF22320151013	Lifesource Biomedical	LSBPO1378/HHSF22320151013
93.RD	I	12,301	-	U. S. Department of Health and Human Services	M60-NC-705-1101-3	Institute for Clinical Research	5044165
93.RD	I	54,106	-	U. S. Department of Health and Human Services	N/A	250Glycan Therapeutics, Inc.	5103578-5058235
93.RD	I	(1,338)	-	U. S. Department of Health and Human Services	N/A	Argos Therapeutics, Inc.	4028209
93.RD	I	112,884	-	U. S. Department of Health and Human Services	N/A	Atlas Research, LLC	5103119
93.RD	I	30,102	-	U. S. Department of Health and Human Services	N/A	BioFluidica Microtechnologies LLC	5058272-5058236
93.RD	I	115,472	-	U. S. Department of Health and Human Services	N/A	Brigham and Womens Hospital	4028716-4028359
93.RD	I	(68,756)	-	U. S. Department of Health and Human Services	N/A	Center Line Productions	5058825
93.RD	I	65,152	-	U. S. Department of Health and Human Services	N/A	Directors of Health Promotion and Education	5043216
93.RD	I	14,280	-	U. S. Department of Health and Human Services	N/A	EMMES Corporation	4027325
93.RD	I	33,425	-	U. S. Department of Health and Human Services	N/A	KIYATEC Inc.	5100795
93.RD	I	(2)	-	U. S. Department of Health and Human Services	N/A	MDB INC	5042379
93.RD	I	3,858	-	U. S. Department of Health and Human Services	N/A	MacroGenics, Inc.	5103712
93.RD	I	3,106	-	U. S. Department of Health and Human Services	N/A	Nanovector, Inc.	5058646
93.RD	I	1,489	-	U. S. Department of Health and Human Services	N/A	Universidad del Valle de Guatemala (UVG)	5103539
93.RD	I	478	-	U. S. Department of Health and Human Services	N/A	University of California at San Francisco	4028407-4028059
93.RD	I	556,681	-	U. S. Department of Health and Human Services	N/A	Zero to Three	5102780
93.RD	I	58,464	-	U. S. Department of Health and Human Services	S150202	Avram Corporation	5101077-5042564
93.RD	I	54,047	-	U. S. Department of Health and Human Services	Subaward No:UFDSP00010628	University of Florida	Subaward No:UFDSP00010628
93.RD	I	(1,169)	-	U. S. Department of Health and Human Services	UNC 01/HHSN271200900	Feinstein Institute for Medical Research	5042351
93.RD	I	142,113	-	U. S. Department of Health and Human Services	UNC-14005-002-0145-2	Advanced BioScience Laboratories, Inc	5102110-5044755
93.RD	I	11,144	-	U. S. Department of Health and Human Services	UWSC7547758997	University of Washington	5101206-5042491
93.RD	I	(18)	-	ARRA - U. S. Department of Health and Human Services	4-0601	Palo Alto Medical Foundation	5043871
93.RD	I	8,239	-	ARRA - U. S. Department of Health and Human Services	DH140006001	Missouri Department of Health and Senior Services	5042131
		503,876,572	76,387,031	Total — Research and Development — U. S. Department of Health and Human Services			
<b>Corporation for National and Community Service</b>							
94.019	I	216,658	-	Social Innovation Fund	N/A	New Profit, Inc	
		216,658	-	Total — Research and Development — Corporation for National and Community Service			
<b>Social Security Administration</b>							
96.007	I	17,917	-	Social Security-Research and Demonstration	5002099-S4	Boston College	
		17,917	-	Total — Research and Development — Social Security Administration			
<b>U. S. Department of Homeland Security</b>							
97.044	D	843,323	15,594	Assistance to Firefighters Grant			
97.061	D	2,083,454	900,200	Centers for Homeland Security			
97.077	D	29,192	-	Homeland Security Research, Development, Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Threat Detection			
97.108	D	501,428	87,651	Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies			
97.122	D	3,181,118	1,678,743	Bio-Preparedness Collaboratory			
97.RD	D	37,835	11,941	U. S. Department of Homeland Security			5042176
97.RD	I	24,704	-	U. S. Department of Homeland Security	13-215017110 FA45 PO51435	Univ of South Carolina	13-215017110 FA45 PO51435
		6,701,054	2,694,129	Total — Research and Development — U. S. Department of Homeland Security			
<b>U. S. Agency for International Development</b>							
98.001	D	34,333,422	22,783,844	USAID Foreign Assistance for Programs Overseas			
98.001	I	144,976	20,637	USAID Foreign Assistance for Programs Overseas	06-S131628	Texas A&M University	
98.001	I	16,958	-	USAID Foreign Assistance for Programs Overseas	12-330-0212555-52302	Research Triangle Institute (RTI International)	
98.001	I	1,465	-	USAID Foreign Assistance for Programs Overseas	2015-1969	Univ. of The Philippines	
98.001	I	145,607	-	USAID Foreign Assistance for Programs Overseas	4-330-0212934	RTI International	
98.001	I	55,036	-	USAID Foreign Assistance for Programs Overseas	SH1422	Population Council	
98.001	I	21,137	-	USAID Foreign Assistance for Programs Overseas	Subaward # 2015-06391-02	University of Illinois-Urbana-Champaign	
98.012	I	62,323	52,158	USAID Development Partnerships for University Cooperation and Development	N/A	Higher Education for Development (HED)	
98.012	I	261,646	185,641	USAID Development Partnerships for University Cooperation and Development	RC710-059/4708614	University of Georgia	
98.012	I	452,927	404,600	USAID Development Partnerships for University Cooperation and Development	RC710-059/4945986	University of Georgia	
98.RD	D	14,319,200	13,083,176	United States Agency for International Development			5101418-5035670-5035640-5036646
98.RD	I	29,839	-	United States Agency for International Development	16-0042	Icrisat	2016-0042
98.RD	I	33,013	-	United States Agency for International Development	2000006098	National Academy of Sciences	2000006098
98.RD	I	6,104	6,104	United States Agency for International Development	2007-1200-03	Oregon State Univ.	2007-1200-03
98.RD	I	51	-	United States Agency for International Development	41060000-8000044265	Purdue University	41060000-8000044265
98.RD	I	3,799	-	United States Agency for International Development	8000062951(GRANTNO.206766	Purdue University	8000062951(GRANTNO.206766
98.RD	I	4,223	-	United States Agency for International Development	8000063004	Purdue University	8000063004

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)**

For the Fiscal Year Ended June 30, 2016

Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
98.RD	I	15,520	-	United States Agency for International Development	8000066667	Purdue University	8000066667
98.RD	I	188,423	67,377	United States Agency for International Development	RD011G-C	Oregon State Univ.	RD011G-C
		<u>50,095,669</u>	<u>36,603,537</u>	Total — Research and Development — U. S. Agency for International Development			
<b>Other Federal Assistance</b>							
99.RD	D	82,103	-	Other Federal Assistance			5102168-5100548-5055075-5055040
		<u>82,103</u>	-	Total — Research and Development — Other Federal Assistance			
		<u>862,962,354</u>	<u>170,043,248</u>	Total — Research and Development			
<b>Student Financial Assistance—Cluster:</b>							
<b>U. S. Department of Education</b>							
84.007	D	13,341,064	33,087	Federal Supplemental Educational Opportunity Grants			
84.033	D	12,307,039	33,783	Federal Work-Study Program			
84.038	D	95,004,783	-	Federal Perkins Loan Program-Federal Capital Contributions			
84.063	D	691,567,071	2,336,652	Federal Pell Grant Program			
84.268	D	1,374,038,397	-	Federal Direct Student Loans			
84.379	D	274,595	-	Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)			
84.408	D	5,376	-	Postsecondary Education Scholarships for Veteran's Dependents			
		<u>2,186,538,325</u>	<u>2,403,522</u>	Total — Student Financial Assistance Programs Cluster — U. S. Department of Education			
<b>U. S. Department of Health and Human Services</b>							
93.264	D	530,907	-	Nurse Faculty Loan Program (NFLP)			
93.342	D	3,826,476	-	Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students			
93.364	D	349,390	-	Nursing Student Loans			
93.925	D	2,220,330	5,600	Scholarships for Health Professions Students from Disadvantaged Backgrounds			
		<u>6,927,103</u>	<u>5,600</u>	Total — Student Financial Assistance Programs Cluster — U. S. Department of Health and Human Services			
		<u>2,193,465,428</u>	<u>2,409,122</u>	Total —Student Financial Assistance			
<b>Supplemental Nutrition Assistance Program (SNAP)—Cluster:</b>							
<b>U. S. Department of Agriculture</b>							
10.551	D	2,301,607,978	-	Supplemental Nutrition Assistance Program			
10.561	D	106,087,054	89,404,797	State Administrative Matching Grants for the Supplemental Nutrition Assistance Program			
		<u>2,407,695,032</u>	<u>89,404,797</u>	Total — Supplemental Nutrition Assistance Program (SNAP) — U. S. Department of Agriculture			
		<u>2,407,695,032</u>	<u>89,404,797</u>	Total —Supplemental Nutrition Assistance Program (SNAP)			
<b>Special Education—Cluster (IDEA)</b>							
<b>U. S. Department of Education</b>							
84.027	D	335,184,800	322,109,865	Special Education-Grants to States			
84.173	D	10,941,053	8,990,542	Special Education-Preschool Grants			
		<u>346,125,853</u>	<u>331,100,407</u>	Total — Special Education Cluster (IDEA) — U. S. Department of Education			
		<u>346,125,853</u>	<u>331,100,407</u>	Total —Special Education (IDEA)			
<b>TANF—Cluster:</b>							
<b>U. S. Department of Health and Human Services</b>							
93.558	D	239,967,326	186,261,889	Temporary Assistance for Needy Families			
		<u>239,967,326</u>	<u>186,261,889</u>	Total — TANF Cluster — U. S. Department of Health and Human Services			
		<u>239,967,326</u>	<u>186,261,889</u>	Total —TANF			
<b>TRIO—Cluster:</b>							
<b>U. S. Department of Education</b>							
84.042	D	8,078,155	-	TRIO-Student Support Services			
84.044	D	2,054,062	36,013	TRIO-Talent Search			
84.047	D	4,918,543	13,033	TRIO-Upward Bound			

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

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Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
84.066	D	1,463,774	-	TRIO-Educational Opportunity Centers			
84.217	D	480,050	(120)	TRIO-McNair Post-Baccalaureate Achievement			
		<u>16,994,584</u>	<u>48,926</u>	Total —TRIO — U. S. Department of Education			
		<u>16,994,584</u>	<u>48,926</u>	Total —TRIO			

**Transit Services Programs—Cluster:****U. S. Department of Transportation**

20.513	D	5,733,363	5,691,322	Enhanced Mobility of Seniors and Individuals with Disabilities			
20.516	D	2,412,783	1,398,108	Job Access And Reverse Commute Program			
20.521	D	1,088,157	676,007	New Freedom Program			
		<u>9,234,303</u>	<u>7,765,437</u>	Total — Transit Services Programs Cluster — U. S. Department of Transportation			
		<u>9,234,303</u>	<u>7,765,437</u>	Total —Transit Services Programs			

**WIA—Cluster:****U. S. Department of Labor**

17.258	D	28,011,259	27,773,673	WIA/WIOA Adult Program			
17.258	I	266,631	-	WIA/WIOA Adult Program	0-2020-33	Cape Fear COG	
17.258	I	329,502	-	WIA/WIOA Adult Program	11-2020-40-6169	Eastern Carolina Workforce Dev Board	
17.258	I	2,442	-	WIA/WIOA Adult Program	14-2020-49-1533	HCCOG	
17.258	I	59,466	-	WIA/WIOA Adult Program	15-2020-40-6227-08	WAC	
17.258	I	40,000	-	WIA/WIOA Adult Program	15-2020-49-1380	Region D	
17.258	I	40,000	-	WIA/WIOA Adult Program	15-2020-49-1533	HCCOG	
17.258	I	191,996	-	WIA/WIOA Adult Program	15-2020/4020-40-6035-07	East Carolina Workforce Development	
17.258	I	188,102	-	WIA/WIOA Adult Program	15-2020/4020-40-6331-09	Eastern Carolina Workforce Development Board, Inc.	
17.258	I	118,279	-	WIA/WIOA Adult Program	15-4020-49-1380	Region D	
17.258	I	134,604	-	WIA/WIOA Adult Program	15-4020-49-1533	HCCOG	
17.258	I	154,763	-	WIA/WIOA Adult Program	2020	ECWDB	
17.258	I	168,854	-	WIA/WIOA Adult Program	8-2020-2.1.4505.02.04	Upper Coastal Plain Council	
17.258	I	150,390	-	WIA/WIOA Adult Program	N/A	Land of Sky Regional Council	
17.258	I	109,790	-	WIA/WIOA Adult Program	N/A	Lumber-River Council of Gov.	
17.258	I	151,759	-	WIA/WIOA Adult Program	N/A	Mid East Commission	
17.258	I	215,390	-	WIA/WIOA Adult Program	WIA-2015-0412-61-11-01	Mountain Area Workforce Development	
17.258	I	97,237	-	WIA/WIOA Adult Program	WIA-2015-0412-61-57-02	Mountain Area Workforce Development	
17.258	I	23,524	-	WIA/WIOA Adult Program	WIA-Aspire	Mountain Area Workforce Development	
17.259	D	25,772,538	25,772,538	WIA/WIOA Youth Activities			
17.259	I	207,798	-	WIA/WIOA Youth Activities	0-2040-33	Cape Fear COG	
17.259	I	110,620	-	WIA/WIOA Youth Activities	11-2020-40-6169	Eastern Carolina Workforce Dev Board	
17.259	I	128,181	-	WIA/WIOA Youth Activities	1117	Kerr-Tar Regional Council of Government	
17.259	I	5,993	-	WIA/WIOA Youth Activities	14-2040-49-1533	HCCOG	
17.259	I	142,000	-	WIA/WIOA Youth Activities	15-2040-49-1380	Region D	
17.259	I	162,300	-	WIA/WIOA Youth Activities	15-2040-49-1533	HCCOG	
17.259	I	71,127	-	WIA/WIOA Youth Activities	15-2040/4040-40-6035-07	East Carolina Workforce Development	
17.259	I	53,294	-	WIA/WIOA Youth Activities	15-2040/4040-40-6331-09	Eastern Carolina Workforce Development Board, Inc.	
17.259	I	58,389	-	WIA/WIOA Youth Activities	15-4040-49-1380	Region D	
17.259	I	69,753	-	WIA/WIOA Youth Activities	15-4040-49-1533	HCCOG	
17.259	I	335,405	-	WIA/WIOA Youth Activities	1516-349	Gaston County	
17.259	I	90,687	-	WIA/WIOA Youth Activities	2040	ECWDB	
17.259	I	171,836	-	WIA/WIOA Youth Activities	2040 44 5465	Council of Government	
17.259	I	212,905	-	WIA/WIOA Youth Activities	44-15-5467-YTH	LRCOG	
17.259	I	167,796	-	WIA/WIOA Youth Activities	N/A	Council of Government	
17.259	I	115,947	-	WIA/WIOA Youth Activities	N/A	Lumber-River Council of Gov.	
17.278	D	28,009,821	18,747,249	WIA/WIOA Dislocated Worker Formula Grants			
17.278	I	230,825	-	WIA/WIOA Dislocated Worker Formula Grants	0-2030-33	Cape Fear COG	
17.278	I	258,851	-	WIA/WIOA Dislocated Worker Formula Grants	11-2020-40-6169	Eastern Carolina Workforce Dev Board	
17.278	I	3,348	-	WIA/WIOA Dislocated Worker Formula Grants	14-2030-49-1533	HCCOG	
17.278	I	19,136	-	WIA/WIOA Dislocated Worker Formula Grants	15-2030-40-6227-08	WAC	
17.278	I	47,000	-	WIA/WIOA Dislocated Worker Formula Grants	15-2030-49-1380	Region D	
17.278	I	40,000	-	WIA/WIOA Dislocated Worker Formula Grants	15-2030-49-1533	HCCOG	
17.278	I	50,000	-	WIA/WIOA Dislocated Worker Formula Grants	15-2031-49-1380	Region D	
17.278	I	50,000	-	WIA/WIOA Dislocated Worker Formula Grants	15-2031-49-1533	HCCOG	
17.278	I	5,349	-	WIA/WIOA Dislocated Worker Formula Grants	15-3030-49-1380	Region D	
17.278	I	11,000	-	WIA/WIOA Dislocated Worker Formula Grants	15-3031-49-1380	Region D	
17.278	I	88,173	-	WIA/WIOA Dislocated Worker Formula Grants	15-4030-49-1380	Region D	
17.278	I	64,552	-	WIA/WIOA Dislocated Worker Formula Grants	15-4030-49-1533	HCCOG	
17.278	I	104,213	-	WIA/WIOA Dislocated Worker Formula Grants	2030	ECWDB	

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

For the Fiscal Year Ended June 30, 2016

Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
17.278	I	90,571	-	WIA/WIOA Dislocated Worker Formula Grants	N/A	Lumber-River Council of Gov.	
17.278	I	70,699	-	WIA/WIOA Dislocated Worker Formula Grants	N/A	Mid East Commission	
		<u>87,474,095</u>	<u>72,293,460</u>	Total — WIA Cluster — U. S. Department of Labor			
		<u>87,474,095</u>	<u>72,293,460</u>	Total —WIA			
<b>Other Programs:</b>							
<b>U. S. Department of Agriculture</b>							
10.001	D	26,118	-	Agricultural Research-Basic and Applied Research			
10.025	D	1,948,092	-	Plant and Animal Disease, Pest Control, and Animal Care			
10.028	D	40,000	-	Wildlife Services			
10.053	D	11,336	-	Dairy Indemnity Program			
10.163	D	188,765	-	Market Protection and Promotion			
10.168	D	44,773	-	Farmers' Market and Local Food Promotion Program			
10.170	D	1,089,642	-	Specialty Crop Block Grant Program - Farm Bill			
10.200	I	49,526	-	Grants for Agricultural Research, Special Research Grants	8000068943-AG	Indiana Purdue Ft Wayne Univ	
10.203	D	265,599	-	Payments to Agricultural Experiment Stations Under the Hatch Act			
10.206	D	3,131,210	155,169	Grants for Agricultural Research-Competitive Research Grants			
10.210	D	16,794	-	Higher Education - Graduate Fellowships Grant Program			
10.215	I	19,679	-	Sustainable Agriculture Research and Education	RD309-129/5054646	Univ of Georgia	
10.215	I	3,778	-	Sustainable Agriculture Research and Education	RD309-129/8644727	Univ of Georgia	
10.215	I	20,907	-	Sustainable Agriculture Research and Education	RD309-129/S000773	Univ of Georgia	
10.215	I	94	-	Sustainable Agriculture Research and Education	RD309-129/S000834	Univ of Georgia	
10.216	D	542,548	18,033	1890 Institution Capacity Building Grants			
10.216	I	5,644	-	1890 Institution Capacity Building Grants	OSP02830020120022/PO-0011411	Southern Univ A and M	
10.217	D	59,090	40,726	Higher Education - Institution Challenge Grants Program			
10.217	I	1,413	-	Higher Education - Institution Challenge Grants Program	320699-19071	Virginia Polytechnic	
10.217	I	38,227	-	Higher Education - Institution Challenge Grants Program	60039552	Ohio State University	
10.220	D	101,895	-	Higher Education - Multicultural Scholars Grant Program			
10.224	D	(1,384)	-	Fund for Rural America-Research, Education, and Extension Activities			
10.225	I	762	-	Community Food Projects	2015-1669	Third Sector New England, Inc.	
10.250	D	71,047	-	Agricultural and Rural Economic Research, Cooperative Agreements and Collaborations			
10.253	D	75,607	12,194	Consumer Data and Nutrition Research			
10.303	D	76,824	40,563	Integrated Programs			
10.303	I	14,238	-	Integrated Programs	1590-207-2008693	Clemson University	
10.303	I	28,749	-	Integrated Programs	RC101368NCSU	Michigan State University	
10.304	D	79,645	-	Homeland Security-Agricultural			
10.304	I	19,799	-	Homeland Security-Agricultural	RC101676NCSU	Michigan State University	
10.304	I	25,761	-	Homeland Security-Agricultural	UFDSP00010246	Univ of Florida	
10.310	D	289,452	99,944	Agriculture and Food Research Initiative (AFRI)			
10.310	I	172,413	-	Agriculture and Food Research Initiative (AFRI)	25-6239-0235-305	Univ of Nebraska- Lincoln	
10.310	I	14,605	-	Agriculture and Food Research Initiative (AFRI)	545892-19071	Virginia Polytech Institute	
10.310	I	11,549	-	Agriculture and Food Research Initiative (AFRI)	RC299-458/S000769	Univ of Georgia	
10.310	I	31,865	-	Agriculture and Food Research Initiative (AFRI)	UF11100	University of Florida	
10.310	I	520,690	-	Agriculture and Food Research Initiative (AFRI)	UFDSP00010678	Univ of Florida	
10.310	I	164,153	-	Agriculture and Food Research Initiative (AFRI)	UFDSP0010678	Univ of Florida	
10.310	I	41,145	-	Agriculture and Food Research Initiative (AFRI)	Z552806	Univ of Maryland	
10.310	I	19,966	67,582	Agriculture and Food Research Initiative (AFRI)	Z5797001	Univ of Maryland	
10.311	I	2,590	-	Beginning Farmer and Rancher Development Program	545943-19071	Virginia Polytech Institute	
10.311	I	434	-	Beginning Farmer and Rancher Development Program	Sub#UA AES 91132-03	Univ of Arkansas	
10.318	I	5,251	-	Women and Minorities in Science, Technology, Engineering, and Mathematics Fields	Z574200	Univ of Maryland	
10.329	D	1,045,939	260,339	Crop Protection and Pest Management Competitive Grants Program			
10.435	D	118,019	-	State Mediation Grants			
10.443	D	43,423	4,900	Outreach and Assistance for Socially Disadvantaged and Veteran Farmers and Ranchers			
10.455	D	(1)	-	Community Outreach and Assistance Partnership Program			
10.475	D	4,196,705	-	Cooperative Agreements with States for Intrastate Meat and Poultry Inspection			
10.479	D	77,293	-	Food Safety Cooperative Agreements			
10.500	D	1,954,233	260,369	Cooperative Extension Service			
10.500	I	2,541	-	Cooperative Extension Service	2015-00768-04	Univ of Illinois	
10.500	I	942	-	Cooperative Extension Service	21663-19 PO#P0040668	Univ of Arkansas	
10.500	I	537	-	Cooperative Extension Service	21666-12	Univ of Arkansas	
10.500	I	256,356	-	Cooperative Extension Service	25-6365-0040-005	Univ of Nebraska - Lincoln	
10.500	I	1,060	-	Cooperative Extension Service	39 3124411666122	Tuskegee University	
10.500	I	3,778	-	Cooperative Extension Service	5188-NCSU-USDA-2628	Pennsylvania State University	
10.500	I	3,135	-	Cooperative Extension Service	5370-NCSU-USDA-4341	Pennsylvania State University	
10.500	I	227,956	-	Cooperative Extension Service	RC105427NCSU	Michigan State University	
10.500	I	249	-	Cooperative Extension Service	RE582-364/4942436	Univ of Georgia	

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

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Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
10.500	I	18,657	4,214	Cooperative Extension Service	RE675-171/4942716	Univ of Georgia	
10.500	I	9,716	-	Cooperative Extension Service	RE675-171/4944686	Univ of Georgia	
10.500	I	28,770	-	Cooperative Extension Service	RE675-171/S000682	Univ of Georgia	
10.500	I	23,425	-	Cooperative Extension Service	S14018	Kansas State University	
10.500	I	23,128	-	Cooperative Extension Service	S15126	Kansas State University	
10.500	I	114,344	-	Cooperative Extension Service	S16016	Kansas State University	
10.543	D	1,677	-	Healthier US School Challenge: Smarter Lunchrooms			
10.557	D	181,681,497	47,111,630	Special Supplemental Nutrition Program for Women, Infants, and Children			
10.558	D	101,239,024	100,015,915	Child and Adult Care Food Program			
10.560	D	9,292,217	-	State Administrative Expenses for Child Nutrition			
10.567	D	181,253	135,073	Food Distribution Program on Indian Reservations			
10.572	D	144,147	-	WIC Farmers' Market Nutrition Program (FMNP)			
10.576	D	65,418	-	Senior Farmers Market Nutrition Program			
10.578	D	4,736,324	1,500	WIC Grants To States (WGS)			
10.579	D	1,068,354	1,068,354	Child Nutrition Discretionary Grants Limited Availability			
10.582	D	4,270,496	4,177,738	Fresh Fruit and Vegetable Program			
10.600	D	9,224	-	Foreign Market Development Cooperator Program			
10.614	D	15,474	-	Scientific Cooperation Exchange Program with China			
10.652	D	845,593	13,000	Forestry Research			
10.664	D	3,520,796	-	Cooperative Forestry Assistance			
10.674	D	47,068	-	Wood Utilization Assistance			
10.676	D	3,202,787	-	Forest Legacy Program			
10.678	D	120,162	-	Forest Stewardship Program			
10.680	D	828,168	-	Forest Health Protection			
10.681	D	30,321	-	Wood Education and Resource Center (WERC)			
10.769	D	22,752	-	Rural Business Enterprise Grants			
10.855	D	131,352	-	Distance Learning and Telemedicine Loans and Grants			
10.868	D	4,031	-	Rural Energy for America Program			
10.902	D	651,627	-	Soil and Water Conservation			
10.903	D	51,603	-	Soil Survey			
10.912	D	558,510	239,669	Environmental Quality Incentives Program			
10.912	I	8,580	-	Environmental Quality Incentives Program	RI-100-304-NC-STATE	Rodale Institute	
10.960	D	30,509	-	Technical Agricultural Assistance			
10.962	D	84,739	-	Cochran Fellowship Program-International Training-Foreign Participant			
10.U01	D	652,088	-	U. S. Department of Agriculture			Phytosanitary Certificates
10.U02	D	66,869	-	U. S. Department of Agriculture			USDA-D-U01
10.U03	I	19,782	-	U. S. Department of Agriculture	Subaward No:CIE-1604-NCAT	Association of Research Directors (ARD) Inc	Subaward No:CIE-1604-NCAT
10.U04	I	7,544	-	U. S. Department of Agriculture	MOA Dated 12-10-14	Delaware State University	MOA Dated 12-10-14
10.U05	I	73,376	-	U. S. Department of Agriculture	RC100236NC	The Regents of the University of Michigan	RC100236NC
10.U06	D	274,691	-	U. S. Department of Agriculture			400-0100-001-00128
10.U07	I	1,000	-	U. S. Department of Agriculture	PO# I6 13800 00	Iowa State Univ	PO# I6 13800 00
10.U08	I	67,062	-	U. S. Department of Agriculture	018000.340753.03	Mississippi State University	018000.340753.03
10.U09	D	91,953	-	U. S. Department of Commerce			USDA 501699-530202-530369-5A1699
10.U10	D	3,124	-	U. S. Department of Agriculture			16-8130-0636-CA
		<u>331,521,688</u>	<u>153,726,912</u>	Total — Other Programs — U. S. Department of Agriculture			
<b>U. S. Department of Commerce</b>							
11.303	D	277,571	-	Economic Development-Technical Assistance			
11.417	D	441,336	21,581	Sea Grant Support			
11.417	I	25,349	-	Sea Grant Support	D004196857	Univ of Minnesota	
11.417	I	22,081	-	Sea Grant Support	RE746-073/4942226	Univ of Georgia	
11.417	I	2,055	1,712	Sea Grant Support	UF-12130	Univ of Florida	
11.427	D	127,327	27,150	Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program			
11.431	D	85	-	Climate and Atmospheric Research			
11.431	I	53,358	-	Climate and Atmospheric Research	R/ECC-1C; NA150AR4310111	SC Sea Grant Consortium	
11.433	D	89,564	82,100	Marine Fisheries Initiative			
11.433	I	19,217	-	Marine Fisheries Initiative	RC282-395/S000697	Univ of Georgia	
11.435	D	91,628	-	Southeast Area Monitoring and Assessment Program			
11.439	D	91,070	-	Marine Mammal Data Program			
11.440	I	2,671	-	Environmental Sciences, Applications, Data, and Education	14-058.06	Broward County, FL	
11.440	I	39,590	-	Environmental Sciences, Applications, Data, and Education	WC-133R-14-CN	Riverside Technology	
11.440	I	37,533	-	Environmental Sciences, Applications, Data, and Education	Z78130004	Univ of Maryland	
11.459	D	27,422	-	Weather and Air Quality Research			
11.459	I	3,970	-	Weather and Air Quality Research	NNC2012-13-NOAA	Nurture Nature Ctr	
11.463	I	368,490	-	Habitat Conservation	W912EP-14-2-001	Department of the Army	
11.467	D	13,258	-	Meteorologic and Hydrologic Modernization Development			
11.469	D	5,544	-	Congressionally Identified Awards and Projects			
11.472	D	34,000	-	Unallied Science Program			

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

For the Fiscal Year Ended June 30, 2016

Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
11.478	D	44,939	-	Center for Sponsored Coastal Ocean Research-Coastal Ocean Program			
11.558	D	465,374	-	State Broadband Data and Development Grant Program			
11.609	D	220,690	-	Measurement and Engineering Research and Standards			
11.609	I	20,000	-	Measurement and Engineering Research and Standards	1503315	Univ of Texas at Dallas	
11.611	D	3,001,123	605,630	Manufacturing Extension Partnership			
11.619	D	206,101	-	Arrangements for Interdisciplinary Research Infrastructure			
11.620	D	108,371	-	Science, Technology, Business and/or Education Outreach			
11.U01	D	8,688	10,451	U. S. Department of Commerce			NA100AR4170080
11.U02	I	81,817	-	U. S. Department of Commerce	SA15-NCSU01	Global Science & Technology	SA15-NCSU01
11.U03	I	129,511	-	U. S. Department of Commerce	Agmt 11/26/13/70NANB13H192	Edison Welding Institute (EWI)	Agmt 11/26/13/70NANB13H192
		6,059,733	748,624	Total — Other Programs — U. S. Department of Commerce			
<b>U. S. Department of Defense</b>							
12.002	D	460,844	-	Procurement Technical Assistance For Business Firms			
12.114	D	49,557	-	Collaborative Research and Development			
12.300	D	2,079,063	-	Basic and Applied Scientific Research			
12.300	I	33,260	-	Basic and Applied Scientific Research	07-S140728	Texas A&M University	
12.300	I	7,395	-	Basic and Applied Scientific Research	201323A	Florida Institute of Technology	
12.300	I	14,509	-	Basic and Applied Scientific Research	406295 - SUB 1	The Catholic University of America	
12.300	I	30,838	-	Basic and Applied Scientific Research	421-23-03A	Iowa State University	
12.300	I	338,829	154,515	Basic and Applied Scientific Research	W9126G-12-2-0051	Co-Op Ecosystem Studies Unit	
12.300	I	19,056	-	Basic and Applied Scientific Research	W9126G-12-2-0051	Cooperative Ecosystem Studies	
12.357	I	35,999	-	ROTC Language and Culture Training Grants	2603-NCSU-6-GO-015-PO1	Institute Of Int'L Education	
12.401	D	22,831,938	-	National Guard Military Operations and Maintenance (O&M) Projects			
12.404	D	5,264,110	-	National Guard ChalleNGe Program			
12.420	D	652,743	76,409	Military Medical Research and Development			
12.420	I	7,088	-	Military Medical Research and Development	3260-ARM-1S/UNCG	Luna Innovations, Inc	
12.420	I	19,105	-	Military Medical Research and Development	7137164	Rhode Island Hospital	
12.431	D	1,868,054	171,047	Basic Scientific Research			
12.431	I	171,152	-	Basic Scientific Research	Sub Agmt #2010-04989-01	University of Illinois	
12.556	I	7,645	-	Competitive Grants: Promoting K-12 Student Achievement at Military-Connected Schools	A16-0138	Wayne County Public Schools	
12.560	D	115,776	572	DOD, NDEP, DOTC-STEM Education Outreach Implementation			
12.579	I	505,211	-	Language Training Center	2603-NCSU-6-LTC-LT4-PO2	Institute Of Int'L Education	
12.579	I	1,234,554	-	Language Training Center	2603-NCSU-6-LTC-LT5-PO4	Institute Of Int'L Education	
12.610	D	163,122	-	Community Economic Adjustment Assistance for Compatible Use and Joint Land Use Studies			
12.630	D	574,430	-	Basic, Applied, and Advanced Research in Science and Engineering			
12.630	I	13,617	-	Basic, Applied, and Advanced Research in Science and Engineering	HHM402-12-1-001	Morgan State University	
12.630	I	2,850	-	Basic, Applied, and Advanced Research in Science and Engineering	LTR 9/22/14 / W911NF-10-2-0076	Academy of Applied Science	
12.630	I	18,447	-	Basic, Applied, and Advanced Research in Science and Engineering	LTR dated 10/1/2015	Academy of Applied Science	
12.630	I	214,091	83,009	Basic, Applied, and Advanced Research in Science and Engineering	W911SR-14-0001-0002	MSI STEM Res & Dev	
12.631	D	932	(373)	Science, Technology, Engineering and Mathematics (STEM) Educational Program: Science, Mathematics And Research for Transformation (SMART)			
12.750	I	71,190	-	Uniformed Services University Medical Research Projects	#2890	Henry M. Jackson Foundation	
12.800	D	564,993	415,450	Air Force Defense Research Sciences Program			
12.901	D	28,795	-	Mathematical Sciences Grants Program			
12.901	I	7,828	-	Mathematical Sciences Grants Program	245153	Simons Foundation	
12.903	D	68,743	-	GenCyber Grants Program			
12.U01	D	1,125,098	-	U. S. Department of Defense			#DCBR-CA-07
12.U02	D	137,657	-	U. S. Department of Defense			NC09242015
12.U03	I	10,000	-	U. S. Department of Defense	NCAT-NCASE-15	Morgan State University	NCAT-NCASE-15
12.U04	D	111,588	-	U. S. Department of Defense			W912PM-15-P-0111
12.U05	I	11,216	-	U. S. Department of Defense	1486	Small Business Group, Inc.	1486
12.U06	D	304,208	-	U. S. Department of Defense			DOD 501860-530166
12.U07	I	218,810	-	U. S. Department of Defense	2-2015	American Museum of Natural History	2-2015
12.U08	I	37,938	-	U. S. Department of Defense	178504	Battelle Memorial Institute	178504
12.U09	I	4,161	-	U. S. Department of Defense	GC4564	Geosyntec Consultants Inc	GC4564
12.U10	I	34,796	6,989	U. S. Department of Defense	W911NF-12-0044-SCINICC-003	Invincea Labs, LLC	W911NF-12-0044-SCINICC-003
12.U11	I	103,183	-	U. S. Department of Defense	297520130517/ N00014-13-C-0346	IRIflex Corporation	297520130517/N00014-13-C-0346
12.U12	I	5,317	-	U. S. Department of Defense	2975-2016-0192	Nanohmics, Inc.	2975-2016-0192
12.U13	I	112,411	-	U. S. Department of Defense	2975-14-0619	Nanohmics, Inc.	2975-14-0619
12.U14	I	13,944	-	U. S. Department of Defense	2975-15-0482	OPTIPRO	2975-15-0482
12.U15	I	20,571	-	U. S. Department of Defense	2975-15-0483	OPTIPRO	2975-15-0483
12.U16	I	14,613	-	U. S. Department of Defense	PO# 11952	Rochester Precision Optics, LLC	PO#11952
12.U17	I	22,706	-	U. S. Department of Defense	AOR 2/1/16	TDA Research, Inc.	AOR 2/1/16
12.U18	I	17,196	-	U. S. Department of Defense	TSC-1077-40066	Technology Services Corporation	TSC-1077-40066
12.U19	I	29,810	-	U. S. Department of Defense	60049437	The Ohio State University	60049437
12.U20	I	620	-	U. S. Department of Defense	S-875-201-003	UES, Inc.	S-875-201-003

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

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Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
12.U21	D	12,226	-	U. S. Department of Defense			
12.U22	I	23,620	-	U. S. Department of Defense	N/A	MCCYN	IPA Agreement - USAWC ACCYN QIP 2015
		<u>39,847,453</u>	<u>907,618</u>	Total — Other Programs — U. S. Department of Defense			
<b>U. S. Central Intelligence Agency</b>							
13.U01	I	(3,156)	-	U. S. Central Intelligence Agency	411259706 / 2013-13083000010	Purdue University	411259706 / 2013-13083000010
		<u>(3,156)</u>	<u>-</u>	Total — Other Programs — U. S. Central Intelligence Agency			
<b>U. S. Department of Housing and Urban Development</b>							
14.169	D	114,238	-	Housing Counseling Assistance Program			
14.171	D	10,323	-	Manufactured Home Dispute Resolution			
14.228	D	29,263,245	-	Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii			
14.228	I	1,251	26,922,778	Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii	A16-0129-001	Town of Fremont	
14.228	I	1,251	-	Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii	A16-0130-001	City of Roanoke Rapids	
14.228	I	1,251	-	Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii	A16-0132-001	McDowell County	
14.231	D	4,537,842	4,211,005	Emergency Solutions Grant Program			
14.241	D	1,865,250	407,185	Housing Opportunities for Persons with AIDS			
14.401	D	142,057	-	Fair Housing Assistance Program-State and Local			
14.520	D	(9,069)	-	Historically Black Colleges and Universities Program			
14.704	I	1,117	-	Community Challenge Planning Grants and the Department of Transportation's TIGER II Planning Grants	#205507	City of High Point	
14.906	D	30,426	-	Healthy Homes Technical Studies Grants			
14.U01	D	20,364	19,489	U. S. Department of Housing and Urban Development			FF204K134006
		<u>35,979,546</u>	<u>31,560,457</u>	Total — Other Programs — U. S. Department of Housing and Urban Development			
<b>U. S. Department of Interior</b>							
15.231	I	19,878	-	Fish, Wildlife and Plant Conservation Resource Management	F13-AP00833	Chicago Botanic Gardens	
15.424	D	129,101	5,000	Marine Minerals Activities - Hurricane Sandy			
15.608	D	123,246	-	Fish and Wildlife Management Assistance			
15.608	I	17,724	-	Fish and Wildlife Management Assistance	191000.331301.07/40181AJ186	Mississippi State University	
15.615	D	971,014	-	Cooperative Endangered Species Conservation Fund			
15.616	D	103,389	88,678	Clean Vessel Act Program			
15.621	D	11,226	-	Asian Elephant Conservation Fund			
15.622	D	110,762	-	Sportfishing and Boating Safety Act			
15.626	D	249,881	-	Enhanced Hunter Education and Safety Program			
15.634	D	1,720,241	-	State Wildlife Grants			
15.637	I	41,544	11,192	Migratory Bird Joint Ventures	191000.331301.06/40181AJ186	Mississippi State Univ	
15.650	D	47,433	-	Research Grants (Generic)			
15.657	D	180,655	-	Endangered Species Conservation - Recovery Implementation Funds			
15.660	D	9,520	-	Endangered Species - Candidate Conservation Action Funds			
15.669	D	17,890	-	Cooperative Landscape Conservation			
15.669	I	36,369	-	Cooperative Landscape Conservation	NCBU 20150801.3875.01	Nature Conservancy of NC	
15.808	D	68,506	-	U. S. Geological Survey- Research and Data Collection			
15.808	D	40,000	-	U. S. Geological Survey-Research and Data Collection			
15.808	I	1,597	-	U. S. Geological Survey- Research and Data Collection	1553519	Regents of the University of Colorado	
15.815	I	18,089	-	National Land Remote Sensing Education Outreach and Research	AV13-NC01/G14AP00002	AmericaView	
15.820	D	19,482	-	National Climate Change and Wildlife Science Center			
15.904	D	966,901	104,368	Historic Preservation Fund Grants-In-Aid			
15.916	D	139,188	139,188	Outdoor Recreation-Acquisition, Development and Planning			
15.925	D	4,138	-	National Maritime Heritage Grants Program			
15.931	D	17,818	-	Conservation Activities by Youth Service Organizations			
15.945	D	423,035	-	Cooperative Research and Training Programs - Resources of the National Park System			
		<u>5,488,627</u>	<u>348,426</u>	Total — Other Programs — U. S. Department of Interior			
<b>U. S. Department of Justice</b>							
16.013	D	15,827	-	Violence Against Women Act Court Training and Improvement Grants			
16.017	D	328,516	328,516	Sexual Assault Services Formula Program			
16.523	D	56,550	56,550	Juvenile Accountability Block Grants			
16.525	D	104,786	-	Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus			
16.525	I	4,492	-	Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus	BC-2013-DOJ-A&T	Bennett College	
16.540	D	284,760	190,890	Juvenile Justice and Delinquency Prevention-Allocation to States			
16.543	D	376,325	-	Missing Children's Assistance			

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

For the Fiscal Year Ended June 30, 2016

Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
16.554	D	327,671	-	National Criminal History Improvement Program (NCHIP)			
16.560	D	596,348	-	National Institute of Justice Research, Evaluation, and Development Project Grants			
16.575	D	19,225,145	14,762,974	Crime Victim Assistance			
16.576	D	1,334,928	1,081,516	Crime Victim Compensation			
16.582	D	142,517	28,951	Crime Victim Assistance/Discretionary Grants			
16.588	D	3,284,220	2,258,907	Violence Against Women Formula Grants			
16.590	I	54,022	-	Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program	2014-WE-AX-0008	Haywood County	
16.590	I	21,971	-	Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program	A-16-0190-001	Pitt County	
16.593	D	383,624	-	Residential Substance Abuse Treatment for State Prisoners			
16.601	I	133,893	-	Corrections-Training and Staff Development	N/A	Manpower Demonstration Research Corporation	
16.606	D	1,915,850	-	State Criminal Alien Assistance Program			
16.609	I	40,534	-	Project Safe Neighborhoods	PSN-BONNIE DOONE	City of Fayetteville NC	
16.710	D	85,798	-	Public Safety Partnership and Community Policing Grants			
16.726	I	4,942	-	Juvenile Mentoring Program	2013-JU-FX-0022	National 4-H Council	
16.726	I	157,573	3,583	Juvenile Mentoring Program	2014-OJDP-NMPV-534	National 4-H Council	
16.726	I	16,145	-	Juvenile Mentoring Program	2015-JU-FX-0015	National 4-H Council	
16.726	I	44,484	-	Juvenile Mentoring Program	2016-2015-JU-FX-0015	National 4-H Council	
16.726	I	3,000	-	Juvenile Mentoring Program	NC10825-13-0614-E1	Natl CASA Assoc	
16.726	I	7,500	-	Juvenile Mentoring Program	NC10922-0613-S2	Natl CASA Assoc	
16.726	I	51,100	-	Juvenile Mentoring Program	NC10922-0614-L1	Natl CASA Assoc	
16.735	D	50,638	-	PREA Program: Demonstration Projects to Establish "Zero Tolerance" Cultures for Sexual Assault in Correctional Facilities			
16.738	D	4,903,705	2,449,273	Edward Byrne Memorial Justice Assistance Grant Program			
16.738	I	36,658	-	Edward Byrne Memorial Justice Assistance Grant Program	2015001753	Charlotte Mecklenburg Police Dept	
16.740	D	270,744	-	Statewide Automated Victim Information Notification (SAVIN) Program			
16.741	D	2,029,708	-	DNA Backlog Reduction Program			
16.742	D	243,255	237,253	Paul Coverdell Forensic Sciences Improvement Grant Program			
16.746	D	52,292	-	Capital Case Litigation Initiative			
16.750	D	175,401	-	Support for Adam Walsh Act Implementation Grant Program			
16.751	D	72,553	-	Edward Byrne Memorial Competitive Grant Program			
16.751	I	44,873	-	Edward Byrne Memorial Competitive Grant Program	2013-DB-BX-K005	NYPTI	
16.752	D	140,242	-	Economic High-Tech and Cyber Crime Prevention			
16.754	D	121,692	92,624	Harold Rogers Prescription Drug Monitoring Program			
16.758	I	5,416	-	Improving the Investigation and Prosecution of Child Abuse and the Regional and Local Children's Advocacy Centers	12-GREEN-NC-SA16;2015-CH-FX-K001	Childrens Advocacy Ctr of NC Inc	
16.758	I	1,714	-	Improving the Investigation and Prosecution of Child Abuse and the Regional and Local Children's Advocacy Centers	13-GREEN-NC-SA15	Childrens Advocacy Ctr of NC Inc	
16.758	I	25,876	-	Improving the Investigation and Prosecution of Child Abuse and the Regional and Local Children's Advocacy Centers	32027-16	Childrens Advocacy Ctr of NC Inc	
16.812	D	74,654	-	Second Chance Act Reentry Initiative			
16.816	D	46,315	46,315	John R. Justice Prosecutors and Defenders Incentive Act			
16.817	I	24,938	-	Byrne Criminal Justice Innovation Program	2014-AJ-BX-0015	City of Durham	
16.827	D	65,195	-	Justice Reinvestment Initiative			
16.922	D	1,447,531	-	Equitable Sharing Program			
16.U01	D	72,661	-	U. S. Department of Justice			IPA Agreement - Office of Violence Against Women
		<u>38,908,582</u>	<u>21,537,352</u>	Total — Other Programs — U. S. Department of Justice			
<b>U. S. Department of Labor</b>							
17.002	D	1,729,013	-	Labor Force Statistics			
17.005	D	146,080	-	Compensation and Working Conditions			
17.225	D	300,852,997	-	Unemployment Insurance			
17.235	D	2,430,796	2,348,388	Senior Community Service Employment Program			
17.245	D	6,818,274	-	Trade Adjustment Assistance			
17.260	D	587,248	-	WIA Dislocated Workers	15-2030/4030-40-6035-07	East Carolina Workforce Development	
17.260	I	161,338	-	WIA Dislocated Workers	15-2030/4030-40-6331-09	Eastern Carolina Workforce Development Board, Inc.	
17.260	I	104,910	-	WIA Dislocated Workers	N/A	Land of Sky Regional Council	
17.260	I	206,343	-	WIA Dislocated Workers	WIA-2015-0412-61-11-01	Mountain Area Workforce Development	
17.260	I	180,293	-	WIA Dislocated Workers	WIA-2015-0412-61-11-02	Mountain Area Workforce Development	
17.260	I	13,033	-	WIA Dislocated Workers	WIA-2015-0412-61-57-02	Mountain Area Workforce Development	
17.260	I	10,505	-	WIA Dislocated Workers			
17.261	D	498,825	-	WIA/WIOA Pilots, Demonstrations, and Research Projects			
17.265	D	243,163	41,107	Native American Employment and Training			
17.268	D	1,629,486	681,074	H-1B Job Training Grants			
17.271	D	449,594	-	Work Opportunity Tax Credit Program (WOTC)			
17.273	D	586,142	-	Temporary Labor Certification for Foreign Workers			
17.277	D	2,334,259	2,334,259	WIOA National Dislocated Worker Grants / WIA National Emergency Grants			
17.277	I	7,071	-	WIOA National Dislocated Worker Grants / WIA National Emergency Grants	14-3030-49-1533	HCCOG	
17.277	I	72,321	-	WIOA National Dislocated Worker Grants / WIA National Emergency Grants	15-3030-49-1533	HCCOG	
17.277	I	31,793	-	WIOA National Dislocated Worker Grants / WIA National Emergency Grants	15-3031-49-1533	HCCOG	

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)**

For the Fiscal Year Ended June 30, 2016

Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
17.280	D	18,759	-	WIA/WIOA Dislocated Worker National Reserve Demonstration Grants			
17.281	D	2,252,467	-	WIA/WIOA Dislocated Worker National Reserve Technical Assistance and Training			
17.282	D	11,682,532	-	Trade Adjustment Assistance Community College and Career Training (TAACCT) Grants			
17.282	I	501,924	-	Trade Adjustment Assistance Community College and Career Training (TAACCT) Grants	TC-23794-12-60-A-20	Wichita Area Technical College	
17.502	D	44,971	-	Occupational Safety and Health-Susan Harwood Training Grants			
17.503	D	5,078,146	-	Occupational Safety and Health - State Program			
17.504	D	1,514,156	-	Consultation Agreements			
17.600	D	226,719	-	Mine Health and Safety Grants			
17.U01	I	9,785	-	U. S. Department of Labor	Paideleave-uncg-2015-01	L&M Policy Research, LLC	DOL-OPS-14-C-003
		<u>340,422,943</u>	<u>5,404,828</u>	Total — Other Programs — U. S. Department of Labor			
<b>U. S. Department of State</b>							
19.009	I	19,573	-	Academic Exchange Programs - Undergraduate Programs	FY16-YALI-CL-APP-01	IREX	
19.021	I	15,587	-	Investing in People in The Middle East and North Africa	FY16-IJLP-WCC-01	IREX	
19.040	D	68,280	-	Public Diplomacy Programs			
19.432	I	(898)	-	Academic Exchange Programs - Educational Advising and Student Services	S-ECAGD-13-CA-029 (CB)	Institute of International Education Inc	
19.501	D	66	-	Public Diplomacy Programs for Afghanistan and Pakistan			
19.900	D	10,340	3,462	AECEA/ESF PD Programs			
19.900	I	167	-	AECEA/ESF PD Programs	W16-1013	Eurasia Foundation	
19.U01	I	20,425	-	U. S. Department of State	2015-1002	Embassy Of France In The U.S.	60636
19.U02	I	636	-	U. S. Department of State	EP2243502	Virginia Commonwealth Univ	EP2243502
		<u>134,176</u>	<u>3,462</u>	Total — Other Programs — U. S. Department of State			
<b>U. S. Department of Transportation</b>							
20.106	D	12,178,699	12,130,369	Airport Improvement Program			
20.200	I	34,788	-	Highway Research and Development Program	125137-G003462	Washington State University	
20.200	I	6,748	-	Highway Research and Development Program	Task 1-3B.1	Snyder & Associates, Inc.	
20.200	I	1,919	-	Highway Research and Development Program	Task Order 1-3B.2	Snyder & Associates, Inc.	
20.215	D	68,444	-	Highway Training and Education			
20.215	I	21,972	-	Highway Training and Education	KCS-UT SUB TO NCAT	Knox County School Systems	
20.218	D	4,292,747	-	National Motor Carrier Safety			
20.231	D	164,101	-	Performance and Registration Information Systems Management			
20.232	D	192,483	-	Commercial Driver's License Program Improvement Grant			
20.234	D	2,070	-	Safety Data Improvement Program			
20.235	D	52,733	-	Commercial Motor Vehicle Operator Training Grants			
20.237	D	947,151	-	Commercial Vehicle Information Systems and Networks			
20.319	D	149,079,649	-	High-Speed Rail Corridors and Intercity Passenger Rail Service - Capital Assistance Grants			
20.505	D	2,356,025	2,000,027	Metropolitan Transportation Planning and State and Non-Metropolitan Planning and Research			
20.509	D	25,548,675	23,686,945	Formula Grants for Rural Areas			
20.528	D	154,855	-	Rail Fixed Guideway Public Transportation System State Safety Oversight Formula Grant Program			
20.604	D	182,489	-	Safety Incentive Grants for Use of Seatbelts			
20.607	D	7,262,294	2,606,615	Alcohol Open Container Requirements			
20.614	D	6,870	-	National Highway Traffic Safety Administration (NHTSA) Discretionary Safety Grants			
20.614	I	37,190	-	National Highway Traffic Safety Administration (NHTSA) Discretionary Safety Grants	DTNH22-09-D-00138	Dunlap and Assoc Inc	
20.700	D	278,050	-	Pipeline Safety Program State Base Grant			
20.701	I	3,961	-	University Transportation Centers Program	2975-2015-0424	Manhattan College	
20.703	D	588,509	338,002	Interagency Hazardous Materials Public Sector Training and Planning Grants			
20.933	D	509	-	National Infrastructure Investments			
20.U01	I	62,950	-	U. S. Department of Transportation	Task Order 13-NCA&T-E1	University of Tennessee-Knoxville	Task Order 13-NCA&T-E1-NC
20.U02	D	48,830	-	U. S. Department of Transportation			DTFH6115P00099
20.U03	I	223,907	97,808	U. S. Department of Transportation	2015-3239/15-042	Go Triangle	2015-3239/15-042
20.U04	I	53,245	-	U. S. Department of Transportation	15-2938	Triangle J Coun Govt	2015-2938
20.U05	I	525	-	U. S. Department of Transportation	2014-2927/14-031	Triangle Transit Authority	2014-2927/14-031
		<u>203,852,388</u>	<u>40,859,766</u>	Total — Other Programs — U. S. Department of Transportation			
<b>U.S. Department of the Treasury Internal Revenue Service (IRS)</b>							
21.008	D	7,831	-	Low Income Taxpayer Clinics			
21.U01	D	1,265,339	-	U. S. Department of Treasury			Treasury Asset Forfeiture Funds
		<u>1,273,170</u>	-	Total — Other Programs — U. S. Department of the Treasury Internal Revenue Service (IRS)			

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

For the Fiscal Year Ended June 30, 2016

Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
<b>U. S. Appalachian Regional Commission</b>							
23.001	D	64,790	16,247	Appalachian Regional Development (See individual Appalachian Programs)			
23.002	D	49,050	-	Appalachian Area Development			
23.011	D	318,938	-	ARRA - Appalachian Research, Technical Assistance, and Demonstration Projects			
23.011	I	4,181	-	Appalachian Research, Technical Assistance, and Demonstration Projects	N/A	East Tennessee State Univ	
23.U01	D	33,710	-	U. S. Appalachian Regional Commission			NC-18320-15
		<u>470,669</u>	<u>16,247</u>	Total — Other Programs — U. S. Appalachian Regional Commission			
<b>U. S. Equal Employment Opportunity Commission</b>							
30.U01	D	67,200	-	U. S. Equal Employment Opportunity Commission			ECCCN130023P0004
		<u>67,200</u>	-	Total — Other Programs — U. S. Equal Employment Opportunity Commission			
<b>U. S. General Services Administration</b>							
39.003	D	15,366,101	-	Donation of Federal Surplus Personal Property			
		<u>15,366,101</u>	-	Total — Other Programs — U. S. General Services Administration			
<b>U. S. Library of Congress</b>							
43.001	D	274,077	-	Science			
43.001	I	98,259	-	Science	098002.001.0189.2015.03	SURVICE Engineering	
43.001	I	1,268	-	Science	12-002JNA	Delaware State University	
43.001	I	36,330	-	Science	SC-3041; MOD 3	SETI Inst	
43.001	I	19,895	-	Science	SUB#6194-B	Boise State Univ	
43.001	I	12,755	-	Science	SUB68016074	UCF Athletics Association Inc	
43.003	D	28,464	-	Exploration			
43.008	D	761,593	278,540	Education			
43.U01	D	8,668	-	National Aeronautics and Space Administration			NASA-D-U01
43.U02	I	121,411	-	National Aeronautics and Space Administration	LSK-NNK14EA01C-NCAT LETTER SUB	Millennium Engineering and Integration Company	NASA-INC2
43.U03	I	58,750	-	National Aeronautics and Space Administration	Letter Dated 9-23-03	National Action Council for Minorities in Engineering Inc	NASA-INC3
43.U04	D	36,042	-	National Aeronautics and Space Administration			NCSU-03-01-4740-024-NC
43.U05	I	12,576	-	National Aeronautics and Space Administration	NCSU-03-01-4740-018-NC	Nat'L Inst. of Aerospace	NCSU-03-01-4740-018-NC
		<u>1,470,088</u>	<u>278,540</u>	Total — Other Programs — U. S. Library of Congress			
<b>National Endowment for the Arts and Humanities</b>							
45.024	D	25,235	-	Promotion of the Arts-Grants to Organizations and Individuals			
45.024	I	438	-	Promotion of the Arts-Grants to Organizations and Individuals	5043	South Arts	
45.025	D	934,592	766,866	Promotion of the Arts-Partnership Agreements			
45.149	D	11,982	-	Promotion of the Humanities-Division of Preservation and Access			
45.160	D	67,028	-	Promotion of the Humanities-Fellowships and Stipends			
45.161	D	115,074	15,744	Promotion of the Humanities-Research			
45.161	I	15,839	-	Promotion of the Humanities-Research	#100149517	University of Iowa	
45.161	I	35,889	-	Promotion of the Humanities-Research	NMU 2016-01	Northern Michigan University	
45.162	D	9,687	-	Promotion of the Humanities-Teaching and Learning Resources and Curriculum Development			
45.163	D	22,777	-	Promotion of the Humanities-Professional Development			
45.164	D	2,228	-	Promotion of the Humanities-Public Programs			
45.301	I	5,717	-	Museums for America	#205653	Greensboro Children's Museum	
45.301	I	14,718	-	Museums for America	#205672	Levine Museum of the New South	
45.309	D	42,197	-	Museum Grants for African American History and Culture			
45.310	D	4,190,212	2,890,084	Grants to States			
45.312	D	53,608	1,019	National Leadership Grants			
45.313	D	217,611	-	Laura Bush 21st Century Librarian Program			
45.400	D	22,473	-	Peace Corps - Global Health and PEPFAR Initiative Program			
45.U01	I	951	-	Federal Council on the Arts and the Humanities	15-41	NC Humanities Council	15-41
45.U02	I	2,000	-	Federal Council on the Arts and the Humanities	15-30863	New England Fdnn For The Arts	15-30863
45.U03	I	7,320	-	Federal Council on the Arts and the Humanities	2015-1498	South Arts	2015-1498
45.U04	I	6,660	-	Federal Council on the Arts and the Humanities	4919	South Arts	4919
		<u>5,804,236</u>	<u>3,673,713</u>	Total — Other Programs — National Endowment for the Arts and Humanities			
<b>National Science Foundation</b>							
47.041	D	2,247,127	75,909	Engineering Grants			
47.041	I	3,402	-	Engineering Grants	100600-1	Clarkson University	
47.041	I	20,815	-	Engineering Grants	40B31-A	Research Foundation of CUNY	
47.041	I	49,988	-	Engineering Grants	416571-G	University of Rochester	
47.041	I	17,132	-	Engineering Grants	416572-G	University of Rochester	
47.041	I	21,894	-	Engineering Grants	416833-G	University of Rochester	
47.041	I	17,434	-	Engineering Grants	EEC-1263346	Regents of the University of Minnesota	
47.041	I	1,505	-	Engineering Grants	GF-1667-2	University of North Texas	

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

For the Fiscal Year Ended June 30, 2016

Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
47.041	I	35,450	-	Engineering Grants	RG314-G2	Georgia Tech	
47.041	I	1,431	-	Engineering Grants	SUB082112/0003361-CMMI-1234780	University of Rhode Island	
47.041	I	372	-	Engineering Grants	WHO#847132SP	Wood Hole Oceanographic Institution	
47.041	I	39,263	-	Engineering Grants	email 03/11/2016	Research Foundation of CUNY	
47.049	D	1,415,085	6,482	Mathematical and Physical Sciences			
47.049	I	8,232	-	Mathematical and Physical Sciences	1001217-UNCC/DMS-1100695	University of Wyoming	
47.049	I	453,695	-	Mathematical and Physical Sciences	12-NSF-1026	Duke University	
47.049	I	21,387	-	Mathematical and Physical Sciences	13-1726	American Physical Society	
47.049	I	2,966	-	ARRA - Mathematical and Physical Sciences	15-0439	BYU Ctr Undergraduate Res in Math	
47.050	D	1,035,990	14,749	Geosciences			
47.050	I	49,274	-	Geosciences	14-NSF-1026/EAR1338694	Duke University	
47.050	I	8,454	-	Geosciences	31(GG009393/OCE-1450528	Columbia University	
47.050	I	21,310	-	Geosciences	SA-14-20	Consortium For Ocean Leadership	
47.070	D	2,696,316	107,907	Computer and Information Science and Engineering			
47.074	D	1,810,617	141,470	Biological Sciences			
47.074	I	8,137	-	Biological Sciences	14-035	University of New Hampshire	
47.074	I	27,736	-	Biological Sciences	14-2657/IOS-1354452	University of South Carolina	
47.074	I	101,852	-	Biological Sciences	564K336	University of Wisconsin-Madison	
47.075	D	701,165	12,909	Social, Behavioral, and Economic Sciences			
47.076	D	11,352,815	868,780	Education and Human Resources			
47.076	I	63,107	-	Education and Human Resources	0007964-1000046713/47258	Howard University	
47.076	I	32,510	-	Education and Human Resources	07-NC11-NSF2014	Natl Writing Project Corp	
47.076	I	26,556	-	Education and Human Resources	1304591	Kentucky Community & Technical College System	
47.076	I	29,813	-	Education and Human Resources	1348810-12-UNC	Horizon	
47.076	I	5,180	-	Education and Human Resources	2-312-0213140	RTI International	
47.076	I	139,851	-	Education and Human Resources	4101-63663 / DUE-1431694	Purdue University	
47.076	I	7,712	-	Education and Human Resources	92-NC08-NSF2013-MOD1	National Writing Project Corporation	
47.076	I	44,231	-	Education and Human Resources	C00032406-1	Univ of Missouri - Columbia	
47.076	I	41,348	-	Education and Human Resources	DRL-1502755	Michigan State University	
47.076	I	74,004	-	Education and Human Resources	GA10969-141627	University of Virginia	
47.076	I	18,793	-	Education and Human Resources	Grant # 1533627	Morehouse College	
47.076	I	63,710	-	Education and Human Resources	RC104079UNC	Michigan State University	
47.076	I	30,801	-	Education and Human Resources	UF-EIES-1109030-NCA	University of Florida	
47.076	I	188,667	-	Education and Human Resources	UTA13-000932	University of Texas at Austin	
47.078	D	72,064	-	Polar Programs			
47.078	I	41,010	-	Polar Programs	ANT-0424589	University of Kansas	
47.079	D	42,619	-	Office of International Science and Engineering			
47.080	D	19,143	-	Office of Cyberinfrastructure			
47.082	D	133,319	41,856	ARRA - Trans-NSF Recovery Act Research Support			
47.U01	I	1,007	-	National Science Foundation	Check #19002 Harrisburg Unive	The National Center for Science and Civic Engagement	Check #19002 Harrisburg Unive 1560084
47.U02	D	853,564	-	National Science Foundation			
47.U03	I	8,550	-	National Science Foundation	C602	South Carolina Sea Grant Cnsrt	C602
47.U04	I	30,416	-	National Science Foundation	C802	South Carolina Sea Grant Cnsrt	C802
47.U05	I	2,000	-	National Science Foundation	14-1265	Stevens Inst Of Tech	2014-1265
47.U06	D	144,622	-	National Science Foundation			NSF 530347
47.U07	I	7,514	-	National Science Foundation	2015-000539	University of Puerto Rico Mayaguez Campus	2015-000539
47.U08	D	67,464	-	National Science Foundation			25909-10-NSF-ATE
		<u>24,360,419</u>	<u>1,270,062</u>	Total — Other Programs — National Science Foundation			
<b>U. S. Small Business Administration</b>							
59.037	D	2,123,118	-	Small Business Development Centers			
59.044	D	201,025	-	Veterans Outreach Program			
59.U01	D	1,232,381	-	U. S. Small Business Administration			SBAHG-16-B-0050
		<u>3,556,524</u>	-	Total — Other Programs — U.S. Small Business Administration			
<b>U. S. Department of Veterans Affairs</b>							
64.028	D	364,440	-	Post-9/11 Veterans Educational Assistance			
64.124	D	414,561	-	All-Volunteer Force Educational Assistance			
64.203	D	3,014,847	-	State Cemetery Grants			
64.U01	D	72,686	-	U. S. Department of Veterans Affairs			VA 530247-248-297-357-358-359
64.U02	I	10,287	-	U. S. Department of Veterans Affairs	Research IPA VA/UNC 15-0001	VA Portland Health Care System	Research IPA VA/UNC 15-0001
		<u>3,876,821</u>	-	Total — Other Programs — U.S. Department of Veterans Affairs			
<b>U. S. Environmental Protection Agency</b>							
66.032	D	280,393	-	State Indoor Radon Grants			

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct / Indirect	Program Expenditures	Amount Provided to Subrecipients	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
66.034	D	2,876	-	Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act			
66.040	D	91,963	-	State Clean Diesel Grant Program			
66.202	D	613,854	-	Congressionally Mandated Projects			
66.306	I	5,188	-	Environmental Justice Collaborative Problem-Solving Cooperative Agreement Program	#205643	Greensboro Housing Coalition	
66.432	D	3,197,821	-	State Public Water System Supervision			
66.433	D	116,138	-	State Underground Water Source Protection			
66.454	D	255,730	-	Water Quality Management Planning			
66.456	D	603,401	-	National Estuary Program			
66.460	D	3,370,265	-	Nonpoint Source Implementation Grants			
66.460	I	16,551	-	Nonpoint Source Implementation Grants	2015-1025	Town of Pittsboro	
66.461	D	115,976	25,053	Regional Wetland Program Development Grants			
66.472	D	292,249	-	Beach Monitoring and Notification Program Implementation Grants			
66.511	I	41,941	-	Office of Research and Development Consolidated Research/Training/Fellowships	4951-RFA 14-4/16-2	Health Effects Institute	
66.513	D	15,359	-	Greater Research Opportunities (GRO) Fellowships For Undergraduate Environmental Study			
66.514	D	13,837	-	Science To Achieve Results (STAR) Fellowship Program			
66.516	D	32,945	-	P3 Award: National Student Design Competition for Sustainability			
66.605	D	667,911	-	Performance Partnership Grants			
66.608	D	12,974	-	Environmental Information Exchange Network Grant Program and Related Assistance			
66.701	D	119,367	-	Toxic Substances Compliance Monitoring Cooperative Agreements			
66.707	D	254,735	-	TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals			
66.708	D	13,262	-	Pollution Prevention Grants Program			
66.716	D	90,867	-	Research, Development, Monitoring, Public Education, Outreach, Training, Demonstrations, and Studies			
66.801	D	2,227,482	-	Hazardous Waste Management State Program Support			
66.802	D	1,533,969	-	Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements			
66.804	D	818,553	-	Underground Storage Tank Prevention, Detection and Compliance Program			
66.805	D	2,313,761	-	Leaking Underground Storage Tank Trust Fund Corrective Action Program			
66.808	I	5,335	-	Solid Waste Management Assistance Grants	2975-2013-0036	Green Blue Institute, Inc.	
66.951	I	4,774	-	Environmental Education Grants	E/EPA MINI-3	South Carolina Sea Grant Cnstr	
66.U01	D	14,985	-	U. S. Environmental Protection Agency			FP-91748201
		<u>17,144,462</u>	<u>25,053</u>	Total — Other Programs — U. S. Environmental Protection Agency			
<b><u>Nuclear Regulatory Commission</u></b>							
77.008	D	175,711	-	U. S. Nuclear Regulatory Commission Scholarship and Fellowship Program			
		<u>175,711</u>	-	Total — Other Programs — Nuclear Regulatory Commission			
<b><u>U. S. Department of Energy</u></b>							
81.041	D	258,691	-	State Energy Program			
81.042	D	4,070,500	-	Weatherization Assistance for Low-Income Persons			
81.086	D	280,485	39,957	Conservation Research and Development			
81.087	D	139,241	-	Renewable Energy Research and Development			
81.087	I	161,640	-	Renewable Energy Research and Development	10001630/DE-FOA-0000856	EPRI (Electric Power Institute Inc)	
81.087	I	41,173	-	Renewable Energy Research and Development	Agreement Dated 1-7-15 / 14-0603	SineWatts	
81.117	D	1,146,574	44,970	Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance			
81.117	I	28,897	-	Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance	Solar America Cities	Iclei	
81.119	D	411,166	-	State Energy Program Special Projects			
81.121	D	274,662	-	Nuclear Energy Research, Development and Demonstration			
81.214	D	(101)	-	Environmental Monitoring/Cleanup, Cultural and Resource Mgmt., Emergency Response Research, Outreach, Technical Analysis			
81.U01	I	10,411	-	U. S. Department of Energy	Letter Dated 6-12-15	National Nuclear Security Administration	Letter Dated 6-12-15
81.U02	D	240,049	-	U. S. Department of Energy			2014-0910
81.U03	I	7,348	-	U. S. Department of Energy	2014-0672	Argonne Nat'L Lab	2014-0672
81.U04	I	14,396	-	U. S. Department of Energy	4000010698	UT Battelle LLC	4000010698
81.U05	I	138,736	-	U. S. Department of Energy	4300080655	B&W Y-12	4300080655
81.U06	I	26,853	-	U. S. Department of Energy	B612098	Lawrence Livermore National Laboratory	B612098
81.U07	I	72,017	-	U. S. Department of Energy	245450-1	Los Alamos National Security	245450-1
		<u>7,322,738</u>	<u>84,927</u>	Total — Other Programs — U. S. Department of Energy			
<b><u>U. S. Department of Education</u></b>							
84.002	D	16,229,482	14,133,898	Adult Education - Basic Grants to States			
84.004	D	299,545	-	Civil Rights Training and Advisory Services			
84.010	D	420,169,805	415,517,365	Title I Grants to Local Educational Agencies			

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

For the Fiscal Year Ended June 30, 2016

Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
84.010	I	11,402	-	Title I Grants to Local Educational Agencies	PO 3059583	Charlotte Mecklenburg Board of Education	
84.011	D	5,423,021	4,793,575	Migrant Education-State Grant Program			
84.013	D	1,929,290	-	Title I State Agency Program for Neglected and Delinquent Children and Youth			
84.016	D	27,207	-	Undergraduate International Studies and Foreign Language Programs			
84.021	D	2,063	-	Overseas Programs - Group Projects Abroad			
84.031	D	39,845,351	173,483	Higher Education-Institutional Aid			
84.048	D	35,367,078	18,490,878	Career and Technical Education - Basic Grants to States			
84.116	D	1,231,890	-	Fund for the Improvement of Postsecondary Education			
84.120	D	512,304	-	Minority Science and Engineering Improvement			
84.120	I	9,588	-	Minority Science and Engineering Improvement	2015-000536	University of Puerto Rico Mayaguez Campus	
84.126	D	98,846,462	120,507	Rehabilitation Services Vocational Rehabilitation Grants to States			
84.129	D	523,894	2,000	Rehabilitation Long-Term Training			
84.141	D	506,958	-	Migrant Education-High School Equivalency Program			
84.144	D	33,776	-	Migrant Education-Coordination Program			
84.161	D	304,569	-	Rehabilitation Services Client Assistance Program			
84.169	D	517,438	517,438	Independent Living State Grants			
84.177	D	890,011	-	Rehabilitation Services Independent Living Services for Older Individuals Who are Blind			
84.181	D	11,958,660	707,407	Special Education-Grants for Infants and Families			
84.187	D	606,578	-	Supported Employment Services for Individuals with the Most Significant Disabilities			
84.196	D	2,004,161	1,668,808	Education for Homeless Children and Youth			
84.200	D	702,308	-	Graduate Assistance in Areas of National Need			
84.215	I	21,559	-	Fund for the Improvement of Education	PO 9036345	Charlotte Mecklenburg Board of Education	
84.215	I	79,147	-	Fund for the Improvement of Education	S215G140012-002	Alleghany Co. Schools	
84.224	D	409,998	-	Assistive Technology			
84.265	D	93,307	-	Rehabilitation Training - State Vocational Rehabilitation Unit In-Service Training			
84.287	D	34,470,120	33,271,810	Twenty-First Century Community Learning Centers			
84.299	D	11,664	-	Indian Education - Special Programs for Indian Children			
84.299	I	15,385	-	Indian Education - Special Programs for Indian Children	N/A	Lumbee Land Dev	
84.299	I	18,784	-	Indian Education - Special Programs for Indian Children	N/A	Lumbee Land Dev.	
84.305	D	968,597	352,439	Education Research, Development and Dissemination			
84.305	I	10,177	-	Education Research, Development and Dissemination	29338SUB51805	University of Vermont & State Agricultural College	
84.305	I	91,790	-	Education Research, Development and Dissemination	R305D140023	University of Illinois	
84.305	I	17,273	-	Education Research, Development and Dissemination	TUL677-13/14	Tulane Univ	
84.305	I	75,795	-	Education Research, Development and Dissemination	WFUHS 114266	Wake Forest University Health Sciences	
84.315	D	88,887	-	Capacity Building for Traditionally Underserved Populations			
84.323	D	1,237,374	1,026,836	Special Education - State Personnel Development			
84.324	D	636,911	5,625	Research in Special Education			
84.324	I	154,776	-	Research in Special Education	224311A	University of Oregon	
84.324	I	101,375	-	Research in Special Education	SA 416646	Univ of Rochester	
84.325	D	2,464,980	-	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities			
84.325	I	149,485	-	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities	88401-15-16	Salus University	
84.326	D	2,346,683	1,179,294	Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities			
84.326	I	1,109	-	Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities	224440D	University of Oregon	
84.326	I	90,973	-	Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities	FY2013-039 / H326Y120005	University of Kansas Center for Research Inc	
84.334	D	8,045,962	4,040,641	Gaining Early Awareness and Readiness for Undergraduate Programs			
84.334	I	102,812	-	Gaining Early Awareness and Readiness for Undergraduate Programs	P334A140205	USDOE	
84.334	I	432	-	Gaining Early Awareness and Readiness for Undergraduate Programs	P334S120003	USDOE	
84.334	I	121	-	Gaining Early Awareness and Readiness for Undergraduate Programs	P334S120003-14	USDOE	
84.336	D	2,028,243	281,985	Teacher Quality Partnership Grants			
84.350	D	367,871	-	Transition to Teaching			
84.358	D	5,820,396	5,498,825	Rural Education			
84.363	D	1,467,490	-	School Leadership			
84.365	D	15,221,386	14,607,583	English Language Acquisition State Grants			
84.366	D	4,335,313	4,037,788	Mathematics and Science Partnerships			
84.366	I	61,661	-	Mathematics and Science Partnerships	2015-1763	Person County Schools	
84.366	I	33,379	-	Mathematics and Science Partnerships	DOE 11/4/14	Kannapolis City Schools	
84.366	I	18,810	-	Mathematics and Science Partnerships	SRV14TA-031	Bertie County(NC) Schools	
84.367	D	47,311,945	45,380,639	Improving Teacher Quality State Grants			
84.367	I	40,379	-	Improving Teacher Quality State Grants	#20140138	Randolph County Schools	
84.367	I	9,556	-	Improving Teacher Quality State Grants	07-NC11-SEED2012	Natl Writing Project Corp	
84.367	I	9,344	-	Improving Teacher Quality State Grants	92-NC08-SEED2012	National Writing Project Corporation	
84.367	I	2,644	-	Improving Teacher Quality State Grants	92-NC08-SEED2016	National Writing Project Corporation	
84.368	D	2,059,857	-	Grants for Enhanced Assessment Instruments			

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

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Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
84.369	D	11,245,388	-	Grants for State Assessments and Related Activities			
84.369	I	18,443	-	Grants for State Assessments and Related Activities	A15-0148	Lenoir County Schools	
84.372	D	1,283,771	-	Statewide Longitudinal Data Systems			
84.373	I	56,781	-	Special Education-Technical Assistance on State Data Collection	A001945802	University of Minnesota	
84.377	D	11,415,198	10,086,643	School Improvement Grants			
84.382	D	883,730	-	Strengthening Minority-Serving Institutions			
84.395	D	25,273,161	7,419,216	ARRA - State Fiscal Stabilization Fund (SFSF) - Race-to-the-Top Incentive Grants, Recovery Act			
84.395	I	2,628	-	ARRA - State Fiscal Stabilization Fund (SFSF) - Race-to-the-Top Incentive Grants, Recovery Act	#101588	Winston Salem Forsyth County Schools	
84.405	D	38,011	-	ARRA - Teacher Quality Partnerships, Recovery Act			
84.407	D	182,695	22,082	Transition Programs for Students with Intellectual Disabilities into Higher Education			
84.411	I	252,116	-	Investing in Innovation (I3) Fund	#511138	Teachers College Columbia University	
84.411	I	9,492	-	Investing in Innovation (I3) Fund	1516-013-01	Columbus State Community College	
84.411	I	43,761	-	Investing in Innovation (I3) Fund	SRV11TA-025	North Carolina New Schools Project Inc.	
84.411	I	233,393	-	Investing in Innovation (I3) Fund	SRV12TA-026	North Carolina New Schools Project Inc.	
84.411	I	262,301	110,000	Investing in Innovation (I3) Fund	SRV15TA-031	North Carolina New Schools Project Inc.	
84.411	I	289,526	125,146	Investing in Innovation (I3) Fund	U411B120049	Jobs For The Future	
84.412	D	18,991,500	7,646,900	Race to the Top – Early Learning Challenge			
84.412	I	43,669	-	Race to the Top – Early Learning Challenge	#20130	Guilford Child Development	
84.U01	D	130,610	-	U. S. Department of Education			ED08C00082
84.U02	D	52,666	-	U. S. Department of Education			DED-D-U01
84.U03	D	440,479	-	U. S. Department of Education			2015-0287
84.U04	I	426,563	-	U. S. Department of Education	2015-0287	Harnett County	2015-0287
84.U05	I	15,656	-	U. S. Department of Education	2015-0613	Jones County Schools	2015-0613
84.U06	I	17,884	-	U. S. Department of Education	2015-3054	Lee County Schools	2015-3054
84.U07	I	(294)	-	U. S. Department of Education	PO# 9034152	Charlotte Mecklenburg Board of Education	PO# 9034152
84.U08	I	1,293	-	U. S. Department of Education	DOE 9/5/13	Kannapolis City Schools	DOE 9/5/13
84.U09	I	87,122	-	U. S. Department of Education	US DOED 530204	Kannapolis City Schools	US DOED 530204
84.U10	D	1,205,829	213,279	U. S. Department of Education			ED-ESE-14-C-0131
		841,349,963	591,432,090	Total — Other Programs — U. S. Department of Education			
<b>National Archives and Records Administration</b>							
89.003	D	25,782	-	National Historical Publications and Records Grants			
		25,782	-	Total — Other Programs — National Archives and Records Administration			
<b>U. S. Election Assistance Commission</b>							
90.401	D	549,903	291,292	Help America Vote Act Requirements Payments			
		549,903	291,292	Total — Other Programs — U. S. Election Assistance Commission			
<b>U. S. Department of Health and Human Services</b>							
93.041	D	122,720	122,720	Special Programs for the Aging - Title VII, Chapter 3-Programs for Prevention of Elder Abuse, Neglect, and Exploitation			
93.042	D	285,508	285,508	Special Programs for the Aging - Title VII, Chapter 2-Long Term Care Ombudsman Services for Older Individuals			
93.043	D	701,419	665,623	Special Programs for the Aging - Title III, Part D-Disease Prevention and Health Promotion Services			
93.048	D	499,034	44,000	Special Programs for the Aging-Title IV-and Title II-Discretionary Projects			
93.052	D	4,567,842	3,728,192	National Family Caregiver Support, Title III, Part E			
93.070	D	202,103	-	Environmental Public Health and Emergency Response			
93.070	I	22,289	-	Environmental Public Health and Emergency Response	1UE2EH001343-01	Gaston County Department of Health	
93.071	D	726,618	467,792	Medicare Enrollment Assistance Program			
93.072	D	70,039	-	Lifespan Respite Care Program			
93.074	D	22,298,674	8,374,253	Hospital Preparedness Program (HPP) and Public Health Emergency Preparedness (PHEP) Aligned Cooperative Agreements			
93.079	D	434,800	-	Cooperative Agreements to Promote Adolescent Health through School-Based HIV/STD Prevention and School-Based Surveillance			
93.089	D	(933)	-	Emergency System for Advance Registration of Volunteer Health Professionals			
93.092	D	1,242,591	382,145	Affordable Care Act (ACA) Personal Responsibility Education Program			
93.094	D	1,023,956	582,695	Well-Integrated Screening and Evaluation for Women Across the Nation			
93.103	D	1,143,317	-	Food and Drug Administration-Research			
93.103	I	7,288	-	Food and Drug Administration-Research	14-AUFSI-360490-NCSU-2	Auburn University	
93.103	I	5,300	-	Food and Drug Administration-Research	15-AUFSI-360490-NCSU	Auburn University	
93.103	I	2,468	-	Food and Drug Administration-Research	DUKE SPS: 207574/215728	Duke University	
93.103	I	31,965	-	Food and Drug Administration-Research	S16027	Kansas State University	
93.104	D	664,258	647,209	Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED)			
93.104	I	22,730	-	Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED)	AC-000003	Alamance County Dept of Social Services	

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

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CFDA Number	Direct / Indirect	Program Expenditures	Amount Provided to		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
			Subrecipients					
93.110	D	184,348	18,899		Maternal and Child Health Federal Consolidated Programs			
93.110	I	9,511	-		Maternal and Child Health Federal Consolidated Programs	5H30MC24046-04-00	Hemophilia of Georgia Inc	
93.110	I	249,482	-		Maternal and Child Health Federal Consolidated Programs	60041104	Ohio State University	
93.113	D	374,636	-		Environmental Health			
93.116	D	1,613,073	749,679		Project Grants and Cooperative Agreements for Tuberculosis Control Programs			
93.121	I	25,817	-		Oral Diseases and Disorders Research	1794-209-2008855	Clemson University	
93.124	D	111,233	-		Nurse Anesthetist Traineeships			
93.127	D	102,054	18,165		Emergency Medical Services for Children			
93.13	D	179,929	-		Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices			
93.136	D	1,721,288	63,561		Injury Prevention and Control Research and State and Community Based Programs			
93.150	D	1,119,933	1,124,510		Projects for Assistance in Transition from Homelessness (PATH)			
93.153	D	593,432	-		Coordinated Services and Access to Research for Women, Infants, Children, and Youth			
93.165	D	5,216	-		Grants to States for Loan Repayment Program			
93.172	I	5,703	-		Human Genome Research	TBI/1U41HG007497-01	The Jackson Laboratory	
93.173	D	33,838	28,625		Research Related to Deafness and Communication Disorders			
93.173	I	48,069	-		Research Related to Deafness and Communication Disorders	GB10125	Univ of Virginia	
93.178	D	1,033,029	-		Nursing Workforce Diversity			
93.184	D	214,066	51,894		Disabilities Prevention			
93.191	D	192,177	-		Graduate Psychology Education Program and Patient Navigator and Chronic Disease Prevention Program			
93.211	D	279,070	3,200		Telehealth Programs			
93.213	D	867,659	104,963		Research and Training in Complementary and Integrative Health			
93.213	I	224,706	-		Research and Training in Complementary and Integrative Health	1U54AT008909-01	University of Washington	
93.213	I	59,548	-		Research and Training in Complementary and Integrative Health	UWSC4869 BPO0011025	University of Washington	
93.217	D	5,331,084	4,172,590		Family Planning-Services			
93.226	D	116,566	5,534		Research on Healthcare Costs, Quality and Outcomes			
93.226	I	13,253	-		Research on Healthcare Costs, Quality and Outcomes	WFUHS 118165	Wake Forest University Health Science	
93.234	D	220,031	218,160		Traumatic Brain Injury State Demonstration Grant Program			
93.235	D	1,888,365	850,423		Affordable Care Act (ACA) Abstinence Education Program			
93.236	D	6,303	-		Grants to States to Support Oral Health Workforce Activities			
93.239	I	1,477	-		Policy Research and Evaluation Grants	SOW_SASH_10242014	RTI International	
93.240	D	232,612	-		State Capacity Building			
93.241	D	491,742	328,113		State Rural Hospital Flexibility Program			
93.242	D	849,684	479,912		Mental Health Research Grants			
93.242	I	60,100	-		Mental Health Research Grants	203-3280	Duke University	
93.242	I	2,484	-		Mental Health Research Grants	WFUHS 10075	Wake Forest University Health Sciences	
93.243	D	6,130,992	3,762,840		Substance Abuse and Mental Health Services-Projects of Regional and National Significance			
93.243	I	53,274	-		Substance Abuse and Mental Health Services-Projects of Regional and National Significance	1H79TI026129	Brunswick County	
93.243	I	6,295	-		Substance Abuse and Mental Health Services-Projects of Regional and National Significance	Subaward No: HBCUCFE15-16/19	HBCU Center for Excellence	
93.247	D	372,624	-		Advanced Nursing Education Grant Program			
93.250	D	8,883	-		Geriatric Academic Career Awards			
93.251	D	272,323	-		Universal Newborn Hearing Screening			
93.262	D	124,645	-		Occupational Safety and Health Program			
93.262	I	10,561	-		Occupational Safety and Health Program	000500836-016/2T42OH008436-10	Univ of Alabama at Birmingham	
93.262	I	10,000	-		Occupational Safety and Health Program	3049025834-16-16-030/7547-14	Univ of Kentucky	
93.262	I	7,248	-		Occupational Safety and Health Program	3210000144-16-0097	Univ of Kentucky	
93.262	I	2,796	-		Occupational Safety and Health Program	3210000144-16-098	Univ of Kentucky Research Found	
93.262	I	26,396	-		Occupational Safety and Health Program	4885/120715	State of Rhode Island	
93.262	I	18,287	10,000		Occupational Safety and Health Program	U60 OH009762	Center to Protect Workers Rights	
93.268	D	119,084,077	1,828,359		Immunization Cooperative Agreements			
93.270	D	69,288	-		Adult Viral Hepatitis Prevention and Control			
93.273	D	1,039,949	191,969		Alcohol Research Programs			
93.273	I	7,439	-		Alcohol Research Programs	#20130028.1	Prevention Strategies LLC	
93.273	I	280,057	-		Alcohol Research Programs	5304+-UNC-DHHS-2931	Pennsylvania State University	
93.279	D	593,385	133,469		Drug Abuse and Addiction Research Programs			
93.279	I	26,102	-		Drug Abuse and Addiction Research Programs	14091280-4	Cornell University	
93.279	I	16,204	-		Drug Abuse and Addiction Research Programs	360782-04760-7341-02	Temple University	
93.279	I	69,726	-		Drug Abuse and Addiction Research Programs	360782-04760-7342-02	Temple University	
93.279	I	54,214	-		Drug Abuse and Addiction Research Programs	361052-04760-02	Temple Research Admin	
93.279	I	27,237	-		Drug Abuse and Addiction Research Programs	361052-04760-02	Temple University	
93.279	I	21,990	-		Drug Abuse and Addiction Research Programs	500392-78053	Northeastern University	
93.279	I	4,087	-		Drug Abuse and Addiction Research Programs	710993	The Miriam Hospital	
93.279	I	74	-		Drug Abuse and Addiction Research Programs	ECIG Adolescent	Amer Acad of Chil and Adolescent Psychiatry	

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

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Federal CFDA Number	Direct / Indirect	Program Expenditures	Amount Provided to Subrecipients	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
93.283	D	1,694,021	142,866	Centers for Disease Control and Prevention-Investigations and Technical Assistance			
93.283	I	1,350	-	Centers for Disease Control and Prevention-Investigations and Technical Assistance	15-04-IPE	Assoc of Prevention Teaching and Research	
93.283	I	956	-	Centers for Disease Control and Prevention-Investigations and Technical Assistance	Subaward 3820499/WIP 2013-N-02	Duke University	
93.283	I	33,839	-	Centers for Disease Control and Prevention-Investigations and Technical Assistance	UA13-067	Univ of Alabama	
93.296	D	54,467	-	State Partnership Grant Program to Improve Minority Health			
93.297	D	413,960	339,524	Teenage Pregnancy Prevention Program			
93.301	D	260,159	259,239	Small Rural Hospital Improvement Grant Program			
93.305	D	1,561,103	603,408	National State Based Tobacco Control Programs			
93.307	D	1,361,881	9,624	Minority Health and Health Disparities Research			
93.307	I	1,485	-	Minority Health and Health Disparities Research	RN0078-2014-001	University of North Texas Health Science Center	
93.307	I	16,867	-	Minority Health and Health Disparities Research	SP# 14-132S1	Carolinas Medical Center	
93.314	D	171,404	-	Early Hearing Detection and Intervention Information System (EHDI-IS) Surveillance Program			
93.323	D	733,898	-	Epidemiology and Laboratory Capacity for Infectious Diseases (ELC)			
93.324	D	1,777,837	521,149	State Health Insurance Assistance Program			
93.336	D	213,406	-	Behavioral Risk Factor Surveillance System			
93.350	I	33,377	-	National Center for Advancing Translational Sciences	WFUHS-441416	Wake Forest University Baptist Medical Center	
93.351	D	804,910	11,955	Research Infrastructure Programs			
93.358	D	682,631	-	Advanced Education Nursing Traineeships			
93.359	D	293,731	15,777	Nurse Education, Practice Quality and Retention Grants			
93.360	D	280,754	-	Biomedical Advanced Research and Development Authority (BARDA), Biodefense Medical Countermeasure Development			
93.361	I	65,250	-	Nursing Research	#20130187	Prevention Strategies LLC	
93.389	D	363,899	-	National Center for Research Resources			
93.393	D	82,072	-	Cancer Cause and Prevention Research			
93.393	I	13,325	-	Cancer Cause and Prevention Research	WFUHS 558377 (R01CA178941)	Wake Forest University Health Science	
93.394	I	48,786	-	Cancer Detection and Diagnosis Research	223808 / 2R01CA135650-05A1	Massachusetts General Hospital	
93.394	I	265	-	Cancer Detection and Diagnosis Research	A151216 (SCREENING ALCHEMIST)	Cancer and Leukemia Group B	
93.394	I	8,144	-	Cancer Detection and Diagnosis Research	UWSC7354 (PO756970) AMEND #2	Univ of Washington	
93.395	D	257,626	(283)	Cancer Treatment Research			
93.395	I	40,193	-	Cancer Treatment Research	9500080215-12C	Children's Hosp of Philadelphia	
93.395	I	1,646	-	Cancer Treatment Research	A011106 / ALTERNATE	Cancer and Leukemia Group B	
93.395	I	265	-	Cancer Treatment Research	ALLIANCE A081105 (EGFR ALCHEMI)	Cancer and Leukemia Group B	
93.395	I	79	-	Cancer Treatment Research	B-43	Natl Surgical Adjuvant Breast and Bowel Project	
93.395	I	265	-	Cancer Treatment Research	E4512 (ALK ALCHEMIST)	Cancer and Leukemia Group B	
93.395	I	40,008	-	Cancer Treatment Research	ECA CA171983	Pennsylvania State University	
93.395	I	217,022	-	Cancer Treatment Research	GB 10232	Univ of Virginia	
93.395	I	1,022	-	Cancer Treatment Research	N1048-(PROSPECT)/ALLIANCE	Cancer and Leukemia Group B	
93.395	I	251	-	Cancer Treatment Research	NRG BR001	NRG Oncology	
93.395	I	333,563	107,012	Cancer Treatment Research	P01CA125066	Ohio State University	
93.395	I	44,355	-	Cancer Treatment Research	PHR-SSS-S-15-004243	Social and Sci Sys Inc	
93.395	I	47,333	-	Cancer Treatment Research	PHR-SSS-S-15-004550	Social and Sci Sys Inc	
93.395	I	251	-	Cancer Treatment Research	PROTOCOL A071102	Cancer and Leukemia Group B	
93.395	I	251	-	Cancer Treatment Research	PROTOCOL A071101	Cancer and Leukemia Group B	
93.395	I	24	-	Cancer Treatment Research	PROTOCOL A071401	Cancer and Leukemia Group B	
93.395	I	285	-	Cancer Treatment Research	PROTOCOL NSABP-51 / RTOG-1304	NRG Oncology	
93.395	I	171	-	Cancer Treatment Research	PROTOCOL RTOG-1216	NRG Oncology	
93.395	I	33,500	-	Cancer Treatment Research	R15CA192936-UNCG	Campbell University	
93.395	I	471	-	Cancer Treatment Research	U10CA021661	Amer Coll of Radiology	
93.396	D	180,293	-	Cancer Biology Research			
93.397	I	251	-	Cancer Centers Support Grants	PROTOCOL A011202 / ALLIANCE	Cancer and Leukemia Group B	
93.399	I	1,498	-	Cancer Control	E2108 PROTOCOL	Cancer and Leukemia Group B	
93.399	I	75	-	Cancer Control	ECOG 1609	Cancer Trials Support Unit	
93.399	I	514	-	Cancer Control	N107C ALLIANCE	Univ of Chicago	
93.449	D	96,492	-	Ruminant Feed Ban Support Project			
93.500	D	1,256,383	320,701	Pregnancy Assistance Fund Program			
93.505	D	3,142,356	2,074,736	Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program			
93.506	D	1,443,758	-	ACA Nationwide Program for National and State Background Checks for Direct Patient Access Employees of Long Term Care Facilities and Providers			
93.507	D	156,878	-	PPHF National Public Health Improvement Initiative			
93.511	D	286,471	-	Affordable Care Act (ACA) Grants to States for Health Insurance Premium Review			
93.519	D	214,165	-	Affordable Care Act (ACA) - Consumer Assistance Program Grants			

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct / Indirect	Program Expenditures	Amount Provided to Subrecipients	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
93.521	D	783,586	-	The Affordable Care Act: Building Epidemiology, Laboratory, and Health Information Systems Capacity in the Epidemiology and Laboratory Capacity for Infectious Disease (ELC) and Emerging Infections Program (EIP) Cooperative Agreements; PPHF			
93.531	D	6,725	-	PPHF - Community Transformation Grants and National Dissemination and Support for Community Transformation Grants - financed solely by Prevention and Public Health Funds			
93.539	D	856,315	-	PPHF Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance financed in part by Prevention and Public Health Funds			
93.556	D	11,525,689	10,073,416	Promoting Safe and Stable Families			
93.560	D	(26,881)	-	Family Support Payments to States-Assistance Payments			
93.563	D	99,811,957	86,416,632	Child Support Enforcement			
93.566	D	6,810,366	2,549,692	Refugee and Entrant Assistance-State Administered Programs			
93.568	D	95,925,054	75,828,963	Low-Income Home Energy Assistance			
93.569	D	20,408,144	19,653,577	Community Services Block Grant			
93.576	D	1,285,982	1,096,899	Refugee and Entrant Assistance-Discretionary Grants			
93.584	D	715,657	684,625	Refugee and Entrant Assistance-Targeted Assistance Grants			
93.586	D	634,456	-	State Court Improvement Program			
93.590	D	967,516	915,486	Community-Based Child Abuse Prevention Grants			
93.591	I	11,447	-	Family Violence Prevention and Services/State Domestic Violence Coalitions	#205645	National Resource Center of Domestic Violence	
93.597	D	298,853	-	Grants to States for Access and Visitation Programs			
93.599	D	854,473	854,473	Chafee Education and Training Vouchers Program (ETV)			
93.600	D	134,833	-	Head Start			
93.600	I	102,754	-	Head Start	#205692	Guilford Child Development	
93.603	D	144,414	-	Adoption and Legal Guardianship Incentive Payments			
93.617	D	20,986	20,986	Voting Access for Individuals with Disabilities-Grants to States			
93.630	D	2,606,706	1,152,507	Developmental Disabilities Basic Support and Advocacy Grants			
93.630	I	144,671	34,688	Developmental Disabilities Basic Support and Advocacy Grants	31031	USDHHS	
93.643	D	291,816	28,523	Children's Justice Grants to States			
93.645	D	7,950,507	2,746,209	Stephanie Tubbs Jones Child Welfare Services Program			
93.647	I	46,499	-	Social Services Research and Demonstration	90PH0025	Child Trends	
93.652	D	650,725	416,131	Adoption Opportunities			
93.658	D	74,410,786	72,421,342	Foster Care-Title IV-E			
93.659	D	51,582,745	3,716,013	Adoption Assistance			
93.667	D	60,549,373	49,730,435	Social Services Block Grant			
93.669	D	407,574	18,000	Child Abuse and Neglect State Grants			
93.671	D	2,600,157	2,433,334	Family Violence Prevention and Services/Domestic Violence Shelter and Supportive Services			
93.674	D	2,730,710	2,653,053	Chafee Foster Care Independence Program			
93.734	D	203,238	72,044	Empowering Older Adults and Adults with Disabilities through Chronic Disease Self-Management Education Programs - financed by Prevention and Public Health Funds (PPHF)			
93.735	D	560,133	-	State Public Health Approaches for Ensuring Qutline Capacity Funded in part by Prevention and Public Health Funds (PPHF)			
93.738	I	75,441	-	PPHF: Racial and Ethnic Approaches to Community Health Program financed solely by Public Prevention and Health Funds	Contract Dated 1/12/15	Cabarrus Health Alliance	
93.745	D	47,408	-	PPHF: Health Care Surveillance/Health Statistics - Surveillance Program Announcement: Behavioral Risk Factor Surveillance System Financed in Part by Prevention and Public Health Fund			
93.752	D	2,527,741	1,581,491	Cancer Prevention and Control Programs for State, Territorial and Tribal Organizations financed in part by Prevention and Public Health Funds			
93.753	D	330,999	13,334	Child Lead Poisoning Prevention Surveillance financed in part by Prevention and Public Health (PPHF) Program			
93.757	D	3,041,142	1,262,525	State and Local Public Health Actions to Prevent Obesity, Diabetes, Heart Disease and Stroke (PPHF)			
93.758	D	6,584,751	5,396,380	Preventive Health and Health Services Block Grant funded solely with Prevention and Public Health Funds (PPHF)			
93.761	D	102,164	-	Evidence-Based Falls Prevention Programs Financed Solely by Prevention and Public Health Funds (PPHF)			
93.767	D	397,735,275	7,394,017	Children's Health Insurance Program			
93.779	D	123,648	24,505	Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations			
93.779	I	333	-	Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations	23-312-021279-52034	RTI International	
93.779	I	153	-	Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations	RTI MASTER 888-11-16	RTI International	
93.791	D	7,266,338	-	Money Follows the Person Rebalancing Demonstration			

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Federal CFDA Number	Direct / Indirect	Program Expenditures	Amount Provided to Subrecipients	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
93.815	D	16,358	-	Domestic Ebola Supplement to the Epidemiology and Laboratory Capacity for Infectious Diseases (ELC).			
93.817	D	94,811	-	Hospital Preparedness Program (HPP) Ebola Preparedness and Response Activities			
93.829	D	59,821	14,332	Section 223 Demonstration Programs to Improve Community Mental Health Services			
93.837	D	1,954,087	-	Cardiovascular Diseases Research			
93.837	I	31,686	-	Cardiovascular Diseases Research	000511972-002/1UH2HL130691-01	Univ of Alabama at Birmingham	
93.837	I	5,401	-	Cardiovascular Diseases Research	109363 / 137829 (AMEND #1)	Cincinnati Children's Hospital Medical Center	
93.837	I	14,880	-	Cardiovascular Diseases Research	2033701/RHL124444B	Duke University	
93.837	I	2,300	-	Cardiovascular Diseases Research	2034187	Duke University	
93.837	I	2,995	-	Cardiovascular Diseases Research	2034189	Duke University	
93.837	I	30,245	-	Cardiovascular Diseases Research	M12A11364(A08651)	Yale University	
93.837	I	85,210	-	Cardiovascular Diseases Research	VUMC42078/R24HL085343	Vanderbilt University	
93.838	D	69,761	8,534	Lung Diseases Research			
93.839	I	100	-	Blood Diseases and Resources Research	136444	Children's Med Ctr	
93.846	D	463,465	77,779	Arthritis, Musculoskeletal and Skin Diseases Research			
93.846	I	12,907	-	Arthritis, Musculoskeletal and Skin Diseases Research	12-002	Wake Forest University	
93.847	D	1,399,833	53,905	Diabetes, Digestive, and Kidney Diseases Extramural Research			
93.847	I	13,687	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	203-8074/DILIN	Duke University	
93.847	I	14,541	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	330182/2U01DK066174	Children's Hosp of Philadelphia	
93.847	I	12,666	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	952614	Nationwide Children's Hosp	
93.847	I	24,256	-	Diabetes, Digestive, and Kidney Diseases Extramural Research	UFDSP00010043	University of Florida	
93.853	D	814,566	233,303	Extramural Research Programs in the Neurosciences and Neurological Disorders			
93.853	I	40,709	-	Extramural Research Programs in the Neurosciences and Neurological Disorders	00107151/UFDSP00010694	University of Florida	
93.855	D	966,185	52,944	Allergy and Infectious Diseases Research			
93.855	I	113,356	-	Allergy and Infectious Diseases Research	0000831644	Fred Hutchinson Cancer Research Center	
93.855	I	71,116	-	Allergy and Infectious Diseases Research	0011094B	Univ of Texas at Houston	
93.855	I	284,419	-	Allergy and Infectious Diseases Research	2R44AI092914-03	Tunitas Therapeutics, Inc	
93.855	I	91,333	-	Allergy and Infectious Diseases Research	3210871219	Children's Hosp of Philadelphia	
93.855	I	79,250	-	Allergy and Infectious Diseases Research	Duke SPS#:199679/157805/210393	Duke University	
93.855	I	3,437	-	Allergy and Infectious Diseases Research	NIH 2R44A1092914-03	Tunitas Therapeutics, Inc	
93.859	D	5,020,703	110,677	Biomedical Research and Research Training			
93.859	I	17,569	-	Biomedical Research and Research Training	122098 G003250	Washington State University	
93.859	I	8,340	-	Biomedical Research and Research Training	1658-2009178	Clemson University	
93.859	I	38,236	-	Biomedical Research and Research Training	T36GM095335	Carnegie Mellon University	
93.865	D	1,058,738	167,529	Child Health and Human Development Extramural Research			
93.865	I	78,058	-	Child Health and Human Development Extramural Research	000388010-057	University of Alabama at Birmingham	
93.865	I	16,171	-	Child Health and Human Development Extramural Research	199688/TASK 23	Duke University	
93.865	I	111,540	-	Child Health and Human Development Extramural Research	3020638	Duke University	
93.865	I	261,731	-	Child Health and Human Development Extramural Research	431909-19728	Virginia Polytechnic Institute and State Univ	
93.865	I	35,141	-	Child Health and Human Development Extramural Research	88167	University of Connecticut	
93.865	I	37,594	-	Child Health and Human Development Extramural Research	AA-5-44452-01	Oklahoma State University	
93.865	I	5,886	-	Child Health and Human Development Extramural Research	MUSC13-088	Medical Univ of South Carolina	
93.865	I	28,959	-	Child Health and Human Development Extramural Research	RTI MASTER 888-11-16	RTI International	
93.866	D	54,487	-	Aging Research			
93.866	I	7,015	-	Aging Research	3003913736/PO1AG029409	University of Michigan	
93.866	I	5,317	-	Aging Research	ASPREE	Wake Forest University	
93.866	I	315,631	-	Aging Research	WFUHS 30209/30215/330216/20	Wake Forest University	
93.879	D	13,731	-	Medical Library Assistance			
93.884	D	403,525	-	Grants for Primary Care Training and Enhancement			
93.884	I	23,084	-	Grants for Primary Care Training and Enhancement	WFUHS 116164	Wake Forest University	
93.912	I	2,962	-	Rural Health Care Services Outreach, Rural Health Network Development and Small Health Care Provider Quality Improvement Program	P10RH28076	Vidant Edgecombe Hospital	
93.913	D	140,883	-	Grants to States for Operation of Offices of Rural Health			
93.917	D	33,722,653	7,735,800	HIV Care Formula Grants			
93.918	D	568,433	-	Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease			
93.926	D	2,501,748	1,208,261	Healthy Start Initiative			
93.928	D	919,365	-	Special Projects of National Significance			
93.928	I	23,454	-	Special Projects of National Significance	WFUHS 119036	Wake Forest University Health Sciences	
93.933	D	80,366	-	Demonstration Projects for Indian Health			
93.940	D	9,718,207	2,442,483	HIV Prevention Activities-Health Department Based			
93.941	D	156,066	2,545	HIV Demonstration, Research, Public and Professional Education Projects			
93.944	D	1,909,965	-	Human Immunodeficiency Virus (HIV)/Acquired Immunodeficiency Virus Syndrome (AIDS) Surveillance			
93.945	D	1,426,732	673,851	Assistance Programs for Chronic Disease Prevention and Control			
93.946	D	162,317	-	Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs			
93.958	D	12,658,663	11,737,830	Block Grants for Community Mental Health Services			

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)

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Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
93.959	D	31,683,722	29,073,480	Block Grants for Prevention and Treatment of Substance Abuse			
93.959	I	134,955	-	Block Grants for Prevention and Treatment of Substance Abuse	PO000411	Sandhills Center	
93.959	I	29,955	-	Block Grants for Prevention and Treatment of Substance Abuse	WFUHS 332516/FY16-275	Wake Forest University	
93.969	D	638,573	35,000	PPHF Geriatric Education Centers			
93.977	D	2,701,403	96,608	Preventive Health Services-Sexually Transmitted Diseases Control Grants			
93.991	D	(31,586)	-	Preventive Health and Health Services Block Grant			
93.991	I	11,709	-	Preventive Health and Health Services Block Grant	CY-5-557	SC DHEC	
93.991	I	12,771	-	Preventive Health and Health Services Block Grant	CY-6-466	SC DHEC	
93.994	D	16,565,280	12,239,015	Maternal and Child Health Services Block Grant to the States			
93.994	I	299	-	Maternal and Child Health Services Block Grant to the States	1232456	Appalachian District Health	
93.994	I	298	-	Maternal and Child Health Services Block Grant to the States	1726	Buncombe County	
93.994	I	15,701	-	Maternal and Child Health Services Block Grant to the States	2015-2584	Robeson County	
93.994	I	15,506	-	Maternal and Child Health Services Block Grant to the States	2015-2585 (B04MC-28117)	Appalachian District Health	
93.994	I	15,700	-	Maternal and Child Health Services Block Grant to the States	2015-2586	Cabarrus Health Alliance	
93.994	I	15,701	-	Maternal and Child Health Services Block Grant to the States	2015-2587	Buncombe County	
93.994	I	15,794	-	Maternal and Child Health Services Block Grant to the States	2015-2801	Albemarle Regional Hlth. Serv.	
93.U01	D	234,049	-	U. S. Department of Health and Human Services			#HHSF223201400149C
93.U02	D	396,541	-	U. S. Department of Health and Human Services			HHS-D-U01
93.U03	I	1,413	-	U. S. Department of Health and Human Services	Contract Dated 11-26-14	HBCU Center for Excellence	Contract Dated 11-26-14
93.U04	D	241,085	17,685	U. S. Department of Health and Human Services			HHSF223200730024C
93.U05	I	6,292	-	U. S. Department of Health and Human Services	PO# 69296	Hamner Institutes	14IPA1406354
93.U06	I	1,055	-	U. S. Department of Health and Human Services	720	University of Maryland	720
93.U07	I	(125)	-	ARRA - U. S. Department of Health and Human Services	N/A	Leidos Biomedical Research	4028511
93.U08	I	(3,120)	-	ARRA - U. S. Department of Health and Human Services	N/A	SAIC-Frederick, Inc.	544919
93.U09	I	85,001	-	ARRA - U. S. Department of Health and Human Services	N/A	Social and Scientific Systems (S3), Inc.	5042516
93.U10	I	14,400	-	U. S. Department of Health and Human Services	Agreement Date 11/18/14	Cabarrus Health Alliance	Agreement Dated 11/18/14
93.U11	I	1,200	-	U. S. Department of Health and Human Services	2975-2016-0359	Georgia Institute of Technology	2975-2016-0359
93.U12	I	2,004	-	U. S. Department of Health and Human Services	009979-002	University of Cincinnati	009979-002
93.U13	I	41,963	-	U. S. Department of Health and Human Services	8-312-0213405-51919L	RTI International	SAMHSA Contract S2832012000061
		<u>1,194,642,698</u>	<u>449,021,551</u>	Total — Other Programs — U. S. Department of Health and Human Services			
<b>Corporation for National and Community Service</b>							
94.002	D	142,238	-	Retired and Senior Volunteer Program			
94.003	D	321,747	-	State Commissions			
94.006	D	3,948,796	3,948,796	AmeriCorps			
94.007	I	986	-	Program Development and Innovation Grants	A16-0018	Iowa Campus Compact	
		<u>4,413,767</u>	<u>3,948,796</u>	Total — Other Programs — Corporation for National and Community Service			
<b>Social Security Administration</b>							
96.008	D	150,925	-	Social Security - Work Incentives Planning and Assistance Program			
		<u>150,925</u>	-	Total — Other Programs — Social Security Administration			
<b>U. S. Department of Homeland Security</b>							
97.005	I	119,408	-	State and Local Homeland Security National Training Program	FY14-K00154-66 EH-NCCU	Rural Domestic Preparedness	
97.008	D	107,584	107,584	Non-Profit Security Program			
97.012	D	2,359,275	-	Boating Safety Financial Assistance			
97.023	D	583,426	-	Community Assistance Program State Support Services Element (CAP-SSSE)			
97.029	D	886,547	870,495	Flood Mitigation Assistance			
97.036	D	13,243,143	6,392,416	Disaster Grants - Public Assistance (Presidentially Declared Disasters)			
97.039	D	4,499,190	4,011,713	Hazard Mitigation Grant			
97.041	D	226,311	-	National Dam Safety Program			
97.042	D	8,823,346	4,630,450	Emergency Management Performance Grants			
97.043	D	28,232	-	State Fire Training Systems Grants			
97.044	D	191,695	-	Assistance to Firefighters Grant			
97.045	D	2,190,959	-	Cooperating Technical Partners			
97.047	D	534,494	276,121	Pre-Disaster Mitigation			
97.056	D	279,385	-	Port Security Grant Program			
97.061	I	12,080	-	Centers for Homeland Security	4112-51775	Purdue University	
97.061	I	46,420	-	Centers for Homeland Security	SUB NO: P004561601	University of Minnesota	
97.062	D	128,775	-	Scientific Leadership Awards			
97.067	D	8,258,182	5,360,403	Homeland Security Grant Program			
97.089	D	356,164	-	Driver's License Security Grant Program			
97.U01	I	19,474	-	U. S. Department of Homeland Security	JCVI-13-010	J Craig Venter Institute (JCVI)	5042176
97.U02	D	174,711	105,860	U. S. Department of Homeland Security			DHS 530332
		<u>43,068,801</u>	<u>21,755,042</u>	Total — Other Programs — U. S. Department of Homeland Security			
<b>United States Agency for International Development</b>							
98.012	I	65,952	-	USAID Development Partnerships for University Cooperation and Development	RC102540 RC103597	Michigan State University	

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (DETAIL)**

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Federal		Amount		CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
CFDA Number	Direct / Indirect	Program Expenditures	Provided to Subrecipients				
98.U01	I	4,414	-	United States Agency for International Development	RC100599	Michigan State University	RC100599
98.U02	I	36,142	-	United States Agency for International Development	RC102095BHEARD-MALAWI	Michigan State University	RC102095BHEARD-MALAWI
98.U03	I	1,397,536	325,411	United States Agency for International Development	100303/W0936	Family Health International	5042586
98.U04	I	10	-	United States Agency for International Development	999000550	Food for the Hungry (FH)	5100164
98.U05	I	9,883	-	United States Agency for International Development	AID-623-A-12-00011	IntraHealth International	5042338
98.U06	I	897	-	United States Agency for International Development	2000004604	National Academy of Sciences	5042523
98.U07	I	124,561	-	United States Agency for International Development	N/A	Right to Care	5102482-5100450
98.U08	I	173,973	-	United States Agency for International Development	6015-S03	Westat, Inc.	5044596
98.U09	I	14,581	-	United States Agency for International Development	UNC001	Witkoppen Health and Welfare Center	5044838
		<u>1,827,949</u>	<u>325,411</u>	Total — Other Programs — United States Agency for International Development			
<b>Other Federal Assistance</b>							
99.U01	D	42,382	42,382	Other Federal Assistance			NC092015A
99.U02	D	79,601	-	Other Federal Assistance			SJI-14-T-164- and SJI-15-N-178
99.U03	D	102,275	-	Other Federal Assistance			352BBHSIS
99.U04	D	166,564	144,976	Other Federal Assistance			355RSOMMS
99.U05	D	99,807	-	Other Federal Assistance			355YDASIS
99.U06	I	21,581	-	Other Federal Assistance	2014-JU-FX-0025	National 4-H Council	2014-JU-FX-0025
99.U07	D	11,002	-	Other Federal Assistance			PC-15-8-057
99.U08	I	12,363	-	Other Federal Assistance	1516-11103	CPB	11103-4 CPB
99.U09	I	128,154	-	Other Federal Assistance	1545	Corporation for Public Broadcast	ID 1545
		<u>663,729</u>	<u>187,358</u>	Total — Other Programs — Other Federal Assistance			
		<u>3,169,793,636</u>	<u>1,327,407,527</u>	Total — Other Programs			
		<u>20,352,984,001</u>	<u>3,426,934,196</u>	<b>TOTAL EXPENDITURES OF FEDERAL AWARDS</b>			

N/A = Not Available

D = Direct Federal Assistance – Assistance received directly from the federal government or received in a pass-through relationship from other State entities.

I = Indirect Federal Assistance – Assistance received in a pass-through relationship from entities other than the federal government or other State entities.

The accompanying notes are an integral part of this schedule.

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)**

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
<b>Primary Government</b>						
<b><u>N. C. Administrative Office of the Courts</u></b>						
16.013	D	15,827	Violence Against Women Act Court Training and Improvement Grants			
16.560	D	159,254	National Institute of Justice Research, Evaluation, and Development Project Grants			
16.590	I	54,022	Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program	2014-WE-AX-0008	Haywood County	
16.726	I	3,000	Juvenile Mentoring Program	NC10825-13-0614-E1	Natl CASA Assoc	
16.726	I	7,500	Juvenile Mentoring Program	NC10922-0613-S2	Natl CASA Assoc	
16.726	I	51,100	Juvenile Mentoring Program	NC10922-0614-L1	Natl CASA Assoc	
16.746	D	52,292	Capital Case Litigation Initiative			
16.751	I	44,873	Edward Byrne Memorial Competitive Grant Program	2013-DB-BX-K005	NYPTI	
93.243	I	53,274	Substance Abuse and Mental Health Services-Projects of Regional and National Significance	1H79T026129	Brunswick County	
93.586	D	634,456	State Court Improvement Program			
99.U01	D	42,382	Other Federal Assistance			NC092015A
99.U02	D	79,601	Other Federal Assistance			SJI-14-T-164- and SJI-15-N-178
		<u>1,197,581</u>	Total — N. C. Administrative Office of the Courts			
<b><u>N. C. Department of Administration</u></b>						
14.401	D	142,057	Fair Housing Assistance Program-State and Local			
14.871	D	4,357,450	Section 8 Housing Choice Vouchers			
14.U01	D	20,364	U. S. Department of Housing and Urban Development			FF204K134006
17.265	D	243,163	Native American Employment and Training			
39.003	D	15,366,101	Donation of Federal Surplus Personal Property			
64.203	D	3,014,847	State Cemetery Grants			
84.044	D	220,975	TRIO-Talent Search			
93.671	D	2,600,157	Family Violence Prevention and Services/Domestic Violence Shelter and Supportive Services			
		<u>25,965,114</u>	Total — N. C. Department of Administration			
<b><u>N. C. Department of Agriculture and Consumer Services</u></b>						
10.025	D	1,896,290	Plant and Animal Disease, Pest Control, and Animal Care			
10.053	D	11,336	Dairy Indemnity Program			
10.163	D	188,765	Market Protection and Promotion			
10.170	D	1,089,642	Specialty Crop Block Grant Program - Farm Bill			
10.203	D	265,599	Payments to Agricultural Experiment Stations Under the Hatch Act			
10.250	D	71,047	Agricultural and Rural Economic Research, Cooperative Agreements and Collaborations			
10.304	D	79,645	Homeland Security-Agricultural			
10.475	D	4,196,705	Cooperative Agreements with States for Intrastate Meat and Poultry Inspection			
10.479	D	77,293	Food Safety Cooperative Agreements			
10.555	D	46,863,269	National School Lunch Program			
10.559	D	86,128	Summer Food Service Program for Children			
10.560	D	1,422,668	State Administrative Expenses for Child Nutrition			
10.565	D	406,133	Commodity Supplemental Food Program			
10.567	D	181,253	Food Distribution Program on Indian Reservations			
10.568	D	2,304,151	Emergency Food Assistance Program (Administrative Costs)			
10.569	D	20,235,730	Emergency Food Assistance Program (Food Commodities)			
10.652	D	266,777	Forestry Research			
10.664	D	3,517,933	Cooperative Forestry Assistance			
10.676	D	3,202,787	Forest Legacy Program			
10.678	D	120,162	Forest Stewardship Program			
10.680	D	828,168	Forest Health Protection			
10.902	D	561,797	Soil and Water Conservation			
10.912	D	8,561	Environmental Quality Incentives Program			
10.U01	D	652,088	U. S. Department of Agriculture			Phytosanitary Certificates
12.U01	D	1,125,098	U. S. Department of Defense			#DCBR-CA-07
15.615	D	96,594	Cooperative Endangered Species Conservation Fund			
66.605	D	667,911	Performance Partnership Grants			
93.103	D	1,143,317	Food and Drug Administration-Research			
93.449	D	96,492	Ruminant Feed Ban Support Project			
93.U01	D	234,049	U. S. Department of Health and Human Services			#HHSF223201400149C
		<u>91,897,388</u>	Total — N. C. Department of Agriculture and Consumer Services			
<b><u>N. C. Department of Commerce</u></b>						
12.610	D	163,122	Community Economic Adjustment Assistance for Compatible Use and Joint Land Use Studies			
14.228	D	29,263,245	Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii			
17.002	D	1,729,013	Labor Force Statistics			

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)**

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
17.207	D	24,396,758	Employment Service/Wagner-Peyser Funded Activities			
17.225	D	300,852,997	Unemployment Insurance			
17.245	D	6,002,123	Trade Adjustment Assistance			
17.258	D	27,773,673	WIA/WIOA Adult Program			
17.259	D	25,772,538	WIA/WIOA Youth Activities			
17.261	D	498,825	WIA/WIOA Pilots, Demonstrations, and Research Projects			
17.271	D	449,594	Work Opportunity Tax Credit Program (WOTC)			
17.273	D	586,142	Temporary Labor Certification for Foreign Workers			
17.277	D	2,334,259	WIOA National Dislocated Worker Grants / WIA National Emergency Grants			
17.278	D	27,920,388	WIA/WIOA Dislocated Worker Formula Grants			
17.280	D	18,759	WIA/WIOA Dislocated Worker National Reserve Demonstration Grants			
17.281	D	2,252,467	WIA/WIOA Dislocated Worker National Reserve Technical Assistance and Training			
17.801	D	5,522,516	Disabled Veterans' Outreach Program (DVOP)			
17.804	D	783,894	Local Veterans' Employment Representative Program			
20.700	D	278,050	Pipeline Safety Program State Base Grant			
23.001	D	31,525	Appalachian Regional Development (See individual Appalachian Programs)			
23.011	D	318,938	ARRA - Appalachian Research, Technical Assistance, and Demonstration Projects			
		<u>456,948,826</u>	Total — N. C. Department of Commerce			
<b><u>N. C. Community College System</u></b>						
84.002	D	15,998,544	Adult Education - Basic Grants to States			
		<u>15,998,544</u>	Total — N. C. Community College System			
<b><u>N. C. Department of Cultural Resources</u></b>						
15.904	D	966,901	Historic Preservation Fund Grants-In-Aid			
15.916	D	139,188	Outdoor Recreation-Acquisition, Development and Planning			
15.925	D	4,138	National Maritime Heritage Grants Program			
45.025	D	934,592	Promotion of the Arts-Partnership Agreements			
45.310	D	4,190,212	Grants to States			
45.312	D	48,441	National Leadership Grants			
89.003	D	11,790	National Historical Publications and Records Grants			
		<u>6,295,262</u>	Total — N. C. Department of Cultural Resources			
<b><u>N. C. Department of Environmental Quality</u></b>						
11.407	D	41,963	Interjurisdictional Fisheries Act of 1986			
11.419	D	2,167,706	Coastal Zone Management Administration Awards			
11.420	D	696,158	Coastal Zone Management Estuarine Research Reserves			
11.435	D	91,628	Southeast Area Monitoring and Assessment Program			
11.439	D	91,070	Marine Mammal Data Program			
11.463	I	368,490	Habitat Conservation	W912EP-14-2-001	Department of the Army	
11.474	D	231,987	Atlantic Coastal Fisheries Cooperative Management Act			
15.605	D	2,698,031	Sport Fish Restoration Program			
15.622	D	110,762	Sportfishing and Boating Safety Act			
15.808	D	211,085	U. S. Geological Survey- Research and Data Collection			
66.001	D	1,722,489	Air Pollution Control Program Support			
66.034	D	2,876	Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act			
66.040	D	91,963	State Clean Diesel Grant Program			
66.202	D	613,854	Congressionally Mandated Projects			
66.419	D	6,593,259	Water Pollution Control State, Interstate, and Tribal Program Support			
66.432	D	3,197,821	State Public Water System Supervision			
66.433	D	116,138	State Underground Water Source Protection			
66.454	D	255,730	Water Quality Management Planning			
66.456	D	603,401	National Estuary Program			
66.458	D	34,758,217	Capitalization Grants for Clean Water State Revolving Funds			
66.460	D	3,370,265	Nonpoint Source Implementation Grants			
66.461	D	278,694	Regional Wetland Program Development Grants			
66.468	D	100,122,535	Capitalization Grants for Drinking Water State Revolving Funds			
66.472	D	292,249	Beach Monitoring and Notification Program Implementation Grants			
66.708	D	70,763	Pollution Prevention Grants Program			
66.801	D	2,227,482	Hazardous Waste Management State Program Support			
66.802	D	1,533,969	Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements			
66.804	D	818,553	Underground Storage Tank Prevention, Detection and Compliance Program			
66.805	D	2,313,761	Leaking Underground Storage Tank Trust Fund Corrective Action Program			
66.809	D	150,018	Superfund State and Indian Tribe Core Program Cooperative Agreements			
81.041	D	258,691	State Energy Program			
81.042	D	4,070,500	Weatherization Assistance for Low-Income Persons			

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)**

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
81.119	D	411,166	State Energy Program Special Projects			
97.041	D	226,311	National Dam Safety Program			
		<u>170,809,585</u>	Total — N. C. Department of Environmental Quality			
<b><u>N. C. Department of Environmental Quality - Wildlife</u></b>						
10.028	D	40,000	Wildlife Services			
11.472	D	34,000	Unallied Science Program			
15.605	D	8,540,472	Sport Fish Restoration Program			
15.608	D	123,246	Fish and Wildlife Management Assistance			
15.611	D	16,605,961	Wildlife Restoration and Basic Hunter Education			
15.615	D	874,420	Cooperative Endangered Species Conservation Fund			
15.616	D	103,389	Clean Vessel Act Program			
15.626	D	249,881	Enhanced Hunter Education and Safety Program			
15.634	D	1,720,241	State Wildlife Grants			
15.657	D	60,026	Endangered Species Conservation Recovery Implementation Funds			
97.012	D	2,359,275	Boating Safety Financial Assistance			
		<u>30,710,911</u>	Total — N. C. Department of Environmental Quality - Wildlife			
<b><u>N. C. Department of Health and Human Services</u></b>						
10.551	D	2,301,607,978	Supplemental Nutrition Assistance Program			
10.557	D	181,681,497	Special Supplemental Nutrition Program for Women, Infants, and Children			
10.558	D	101,239,024	Child and Adult Care Food Program			
10.559	D	(150)	Summer Food Service Program for Children			
10.560	D	2,138,565	State Administrative Expenses for Child Nutrition			
10.561	D	106,087,054	State Administrative Matching Grants for the Supplemental Nutrition Assistance Program			
10.572	D	144,147	WIC Farmers' Market Nutrition Program (FMNP)			
10.576	D	65,418	Senior Farmers Market Nutrition Program			
10.578	D	4,736,324	WIC Grants To States (WGS)			
14.231	D	4,537,842	Emergency Solutions Grant Program			
14.241	D	1,865,250	Housing Opportunities for Persons with AIDS			
16.754	D	121,692	Harold Rogers Prescription Drug Monitoring Program			
17.235	D	2,430,796	Senior Community Service Employment Program			
66.032	D	280,393	State Indoor Radon Grants			
66.608	D	5,964	Environmental Information Exchange Network Grant Program and Related Assistance			
66.701	D	119,367	Toxic Substances Compliance Monitoring Cooperative Agreements			
66.707	D	254,735	TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals			
66.716	D	90,867	Research, Development, Monitoring, Public Education, Outreach, Training, Demonstrations, and Studies			
84.126	D	98,846,462	Rehabilitation Services Vocational Rehabilitation Grants to States			
84.161	D	304,569	Rehabilitation Services Client Assistance Program			
84.169	D	517,438	Independent Living State Grants			
84.177	D	890,011	Rehabilitation Services Independent Living Services for Older Individuals Who are Blind			
84.181	D	11,958,660	Special Education-Grants for Infants and Families			
84.187	D	606,578	Supported Employment Services for Individuals with the Most Significant Disabilities			
84.224	D	409,998	Assistive Technology			
84.265	D	93,307	Rehabilitation Training - State Vocational Rehabilitation Unit In-Service Training			
84.412	D	18,991,500	Race to the Top – Early Learning Challenge			
93.041	D	122,720	Special Programs for the Aging - Title VII, Chapter 3-Programs for Prevention of Elder Abuse, Neglect, and Exploitation			
93.042	D	285,508	Special Programs for the Aging - Title VII, Chapter 2-Long Term Care Ombudsman Services for Older Individuals			
93.043	D	701,419	Special Programs for the Aging - Title III, Part D-Disease Prevention and Health Promotion Services			
93.044	D	14,172,443	Special Programs for the Aging-Title III, Part B-Grants for Supportive Services and Senior Centers			
93.045	D	14,140,954	Special Programs for the Aging-Title III, Part C-Nutrition Services			
93.048	D	129,007	Special Programs for the Aging-Title IV-and Title II-Discretionary Projects			
93.052	D	4,567,842	National Family Caregiver Support, Title III, Part E			
93.053	D	3,397,859	Nutrition Services Incentive Program			
93.070	D	202,103	Environmental Public Health and Emergency Response			
93.072	D	70,039	Lifespan Respite Care Program			
93.074	D	22,298,674	Hospital Preparedness Program (HPP) and Public Health Emergency Preparedness (PHEP) Aligned Cooperative Agreements			
93.089	D	(933)	Emergency System for Advance Registration of Volunteer Health Professionals			
93.092	D	1,242,591	Affordable Care Act (ACA) Personal Responsibility Education Program			
93.094	D	1,023,956	Well-Integrated Screening and Evaluation for Women Across the Nation			

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
93.104	D	664,258	Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED)			
93.110	D	182,397	Maternal and Child Health Federal Consolidated Programs			
93.116	D	1,613,073	Project Grants and Cooperative Agreements for Tuberculosis Control Programs			
93.127	D	102,054	Emergency Medical Services for Children			
93.130	D	179,929	Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices			
93.136	D	1,721,288	Injury Prevention and Control Research and State and Community Based Programs			
93.150	D	1,119,933	Projects for Assistance in Transition from Homelessness (PATH)			
93.165	D	5,216	Grants to States for Loan Repayment Program			
93.184	D	214,066	Disabilities Prevention			
93.217	D	5,331,084	Family Planning-Services			
93.224	D	2,928,201	Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, and Public Housing Primary Care)			
93.234	D	220,031	Traumatic Brain Injury State Demonstration Grant Program			
93.236	D	6,303	Grants to States to Support Oral Health Workforce Activities			
93.240	D	232,612	State Capacity Building			
93.241	D	491,742	State Rural Hospital Flexibility Program			
93.243	D	3,975,410	Substance Abuse and Mental Health Services-Projects of Regional and National Significance			
93.251	D	272,323	Universal Newborn Hearing Screening			
93.262	D	115,508	Occupational Safety and Health Program			
93.268	D	119,084,077	Immunization Cooperative Agreements			
93.270	D	69,288	Adult Viral Hepatitis Prevention and Control			
93.283	D	1,694,021	Centers for Disease Control and Prevention-Investigations and Technical Assistance			
93.296	D	54,467	State Partnership Grant Program to Improve Minority Health			
93.297	D	413,960	Teenage Pregnancy Prevention Program			
93.301	D	260,159	Small Rural Hospital Improvement Grant Program			
93.305	D	1,561,103	National State Based Tobacco Control Programs			
93.314	D	171,404	Early Hearing Detection and Intervention Information System (EHDI-IS) Surveillance Program			
93.323	D	733,898	Epidemiology and Laboratory Capacity for Infectious Diseases (ELC)			
93.336	D	213,406	Behavioral Risk Factor Surveillance System			
93.500	D	1,256,383	Pregnancy Assistance Fund Program			
93.505	D	3,142,356	Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program			
93.506	D	1,443,758	ACA Nationwide Program for National and State Background Checks for Direct Patient Access Employees of Long Term Care Facilities and Providers			
93.507	D	156,878	PPHF National Public Health Improvement Initiative			
93.521	D	783,586	The Affordable Care Act: Building Epidemiology, Laboratory, and Health Information Systems Capacity in the Epidemiology and Laboratory Capacity for Infectious Disease (ELC) and Emerging Infections Program (EIP) Cooperative Agreements; PPHF			
93.531	D	6,725	PPHF - Community Transformation Grants and National Dissemination and Support for Community Transformation Grants - financed solely by Prevention and Public Health Funds			
93.539	D	856,315	PPHF Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance financed in part by Prevention and Public Health Funds			
93.556	D	11,525,689	Promoting Safe and Stable Families			
93.558	D	239,967,326	Temporary Assistance for Needy Families			
93.560	D	(26,881)	Family Support Payments to States-Assistance Payments			
93.563	D	99,811,957	Child Support Enforcement			
93.566	D	6,810,366	Refugee and Entrant Assistance-State Administered Programs			
93.568	D	95,925,054	Low-Income Home Energy Assistance			
93.569	D	20,408,144	Community Services Block Grant			
93.575	D	147,327,112	Child Care and Development Block Grant			
93.576	D	1,063,616	Refugee and Entrant Assistance-Discretionary Grants			
93.584	D	715,657	Refugee and Entrant Assistance-Targeted Assistance Grants			
93.590	D	967,516	Community-Based Child Abuse Prevention Grants			
93.596	D	120,021,809	Child Care Mandatory and Matching Funds of the Child Care and Development Fund			
93.597	D	298,853	Grants to States for Access and Visitation Programs			
93.599	D	854,473	Chafee Education and Training Vouchers Program (ETV)			
93.603	D	144,414	Adoption and Legal Guardianship Incentive Payments			
93.630	D	2,606,706	Developmental Disabilities Basic Support and Advocacy Grants			
93.645	D	7,950,507	Stephanie Tubbs Jones Child Welfare Services Program			
93.652	D	650,725	Adoption Opportunities			
93.658	D	74,410,786	Foster Care-Title IV-E			
93.659	D	51,582,745	Adoption Assistance			
93.667	D	60,549,373	Social Services Block Grant			

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)**

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
93.669	D	407,574	Child Abuse and Neglect State Grants			
93.674	D	2,730,710	Chafee Foster Care Independence Program			
93.735	D	560,133	State Public Health Approaches for Ensuring Qutline Capacity - Funded in part by Prevention and Public Health Funds (PPHF)			
93.745	D	47,408	PPHF: Health Care Surveillance/Health Statistics Surveillance Program Announcement: Behavioral Risk Factor Surveillance System Financed in Part by Prevention and Public Health Fund			
93.752	D	2,527,741	Cancer Prevention and Control Programs for State, Territorial and Tribal Organizations financed in part by Prevention and Public Health Funds			
93.753	D	330,999	Child Lead Poisoning Prevention Surveillance financed in part by Prevention and Public Health (PPHF) Program			
93.757	D	3,041,142	State and Local Public Health Actions to Prevent Obesity, Diabetes, Heart Disease and Stroke (PPHF)			
93.758	D	6,584,751	Preventive Health and Health Services Block Grant funded solely with Prevention and Public Health Funds (PPHF)			
93.761	D	102,164	Evidence-Based Falls Prevention Programs Financed Solely by Prevention and Public Health Funds (PPHF)			
93.767	D	397,735,275	Children's Health Insurance Program			
93.777	D	15,954,857	State Survey and Certification of Health Care Providers and Suppliers (Title XVIII) Medicare			
93.778	D	8,839,063,815	Medical Assistance Program			
93.791	D	7,266,338	Money Follows the Person Rebalancing Demonstration			
93.815	D	16,358	Domestic Ebola Supplement to the Epidemiology and Laboratory Capacity for Infectious Diseases (ELC).			
93.817	D	94,811	Hospital Preparedness Program (HPP) Ebola Preparedness and Response Activities			
93.829	D	59,821	Section 223 Demonstration Programs to Improve Community Mental Health Services			
93.913	D	140,883	Grants to States for Operation of Offices of Rural Health			
93.917	D	33,722,653	HIV Care Formula Grants			
93.926	D	1,774,563	Healthy Start Initiative			
93.928	D	919,365	Special Projects of National Significance			
93.940	D	9,718,207	HIV Prevention Activities-Health Department Based			
93.944	D	1,909,965	Human Immunodeficiency Virus (HIV)/Acquired Immunodeficiency Virus Syndrome (AIDS) Surveillance			
93.945	D	1,426,732	Assistance Programs for Chronic Disease Prevention and Control			
93.946	D	162,317	Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs			
93.958	D	12,658,663	Block Grants for Community Mental Health Services			
93.959	D	31,683,722	Block Grants for Prevention and Treatment of Substance Abuse			
93.977	D	2,701,403	Preventive Health Services-Sexually Transmitted Diseases Control Grants			
93.991	D	(31,586)	Preventive Health and Health Services Block Grant			
93.994	D	16,565,280	Maternal and Child Health Services Block Grant to the States			
96.001	D	63,272,639	Social Security-Disability Insurance			
96.008	D	150,925	Social Security - Work Incentives Planning and Assistance Program			
99.U03	D	102,275	Other Federal Assistance			352BBHSIS
99.U04	D	166,564	Other Federal Assistance			355RSOMMS
99.U05	D	99,807	Other Federal Assistance			355YDASIS
		<u>13,450,890,901</u>	Total — N. C. Department of Health and Human Services			

**N. C. Department of Information Technology**

11.558	D	465,374	State Broadband Data and Development Grant Program			
15.808	D	40,000	U. S. Geological Survey-Research and Data Collection			
		<u>505,374</u>	Total — N. C. Department of Information Technology			

**N. C. Department of Insurance**

14.171	D	10,323	Manufactured Home Dispute Resolution			
93.048	D	370,027	Special Programs for the Aging-Title IV-and Title II-Discretionary Projects			
93.071	D	726,618	Medicare Enrollment Assistance Program			
93.324	D	1,777,837	State Health Insurance Assistance Program			
93.511	D	286,471	Affordable Care Act (ACA) Grants to States for Health Insurance Premium Review			
93.519	D	214,165	Affordable Care Act (ACA) Consumer Assistance Program Grants			
97.043	D	28,232	State Fire Training Systems Grants			
97.044	D	191,695	Assistance to Firefighters Grant			
		<u>3,605,368</u>	Total — N. C. Department of Insurance			

**N. C. Department of Justice**

16.741	D	2,029,708	DNA Backlog Reduction Program			
16.922	D	8,207	Equitable Sharing Program			
93.775	D	4,373,380	State Medicaid Fraud Control Units			
		<u>6,411,295</u>	Total — N. C. Department of Justice			

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)**

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
<b><u>N. C. Department of Labor</u></b>						
17.005	D	146,080	Compensation and Working Conditions			
17.503	D	5,078,146	Occupational Safety and Health - State Program			
17.504	D	1,514,156	Consultation Agreements			
17.600	D	226,719	Mine Health and Safety Grants			
		<u>6,965,101</u>	Total — N. C. Department of Labor			
<b><u>N. C. Department of Public Instruction</u></b>						
10.553	D	137,354,960	School Breakfast Program			
10.555	D	389,612,784	National School Lunch Program			
10.556	D	140,714	Special Milk Program for Children			
10.559	D	12,155,105	Summer Food Service Program for Children			
10.560	D	5,730,984	State Administrative Expenses for Child Nutrition			
10.579	D	1,068,354	Child Nutrition Discretionary Grants Limited Availability			
10.582	D	4,270,496	Fresh Fruit and Vegetable Program			
12.U02	D	137,657	U. S. Department of Defense			NC09242015
84.010	D	420,169,805	Title I Grants to Local Educational Agencies			
84.011	D	5,423,021	Migrant Education-State Grant Program			
84.013	D	1,929,290	Title I State Agency Program for Neglected and Delinquent Children and Youth			
84.027	D	335,184,800	Special Education-Grants to States			
84.048	D	35,285,982	Career and Technical Education - Basic Grants to States			
84.144	D	33,776	Migrant Education-Coordination Program			
84.173	D	10,941,053	Special Education-Preschool Grants			
84.196	D	2,004,161	Education for Homeless Children and Youth			
84.287	D	34,470,120	Twenty-First Century Community Learning Centers			
84.323	D	1,237,374	Special Education - State Personnel Development			
84.326	D	304,642	Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities			
84.358	D	5,820,396	Rural Education			
84.365	D	15,221,386	English Language Acquisition State Grants			
84.366	D	4,335,313	Mathematics and Science Partnerships			
84.367	D	46,039,645	Improving Teacher Quality State Grants			
84.368	D	2,059,857	Grants for Enhanced Assessment Instruments			
84.369	D	11,245,388	Grants for State Assessments and Related Activities			
84.372	D	1,283,771	Statewide Longitudinal Data Systems			
84.377	D	10,751,286	School Improvement Grants			
84.U01	D	130,610	U. S. Department of Education			ED08C00082
93.079	D	434,800	Cooperative Agreements to Promote Adolescent Health through School-Based HIV/STD Prevention and School-Based Surveillance			
93.235	D	1,888,365	Affordable Care Act (ACA) Abstinence Education Program			
93.600	D	134,833	Head Start			
		<u>1,496,800,728</u>	Total — N. C. Department of Public Instruction			
<b><u>N. C. Department of Public Safety</u></b>						
10.543	D	1,677	Healthier US School Challenge: Smarter Lunchrooms			
12.401	D	22,831,938	National Guard Military Operations and Maintenance (O&M) Projects			
12.404	D	5,264,110	National Guard ChallenGe Program			
16.017	D	328,516	Sexual Assault Services Formula Program			
16.523	D	56,550	Juvenile Accountability Block Grants			
16.540	D	284,760	Juvenile Justice and Delinquency Prevention-Allocation to States			
16.543	D	376,325	Missing Children's Assistance			
16.554	D	327,671	National Criminal History Improvement Program (NCHIP)			
16.575	D	19,225,145	Crime Victim Assistance			
16.576	D	1,334,928	Crime Victim Compensation			
16.588	D	3,284,220	Violence Against Women Formula Grants			
16.593	D	383,624	Residential Substance Abuse Treatment for State Prisoners			
16.606	D	1,915,850	State Criminal Alien Assistance Program			
16.710	D	85,798	Public Safety Partnership and Community Policing Grants			
16.735	D	50,638	PREA Program: Demonstration Projects to Establish "Zero Tolerance" Cultures for Sexual Assault in Correctional Facilities			
16.738	D	4,903,705	Edward Byrne Memorial Justice Assistance Grant Program			
16.740	D	270,744	Statewide Automated Victim Information Notification (SAVIN) Program			
16.742	D	243,255	Paul Coverdell Forensic Sciences Improvement Grant Program			
16.750	D	175,401	Support for Adam Walsh Act Implementation Grant Program			
16.751	D	72,553	Edward Byrne Memorial Competitive Grant Program			
16.812	D	74,654	Second Chance Act Reentry Initiative			
16.816	D	46,315	John R. Justice Prosecutors and Defenders Incentive Act			
16.827	D	65,195	Justice Reinvestment Initiative			
16.922	D	1,439,324	Equitable Sharing Program			
20.231	D	164,101	Performance and Registration Information Systems Management			

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)**

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
20.237	D	688,079	Commercial Vehicle Information Systems and Networks			
20.703	D	588,509	Interagency Hazardous Materials Public Sector Training and Planning Grants			
21.U01	D	1,265,339	U. S. Department of Treasury			Treasury Asset Forfeiture Funds
93.643	D	291,816	Children's Justice Grants to States			
97.008	D	107,584	Non-Profit Security Program			
97.023	D	583,426	Community Assistance Program State Support Services Element (CAP-SSSE)			
97.029	D	886,547	Flood Mitigation Assistance			
97.036	D	13,204,234	Disaster Grants - Public Assistance (Presidentially Declared Disasters)			
97.039	D	4,499,190	Hazard Mitigation Grant			
97.042	D	8,823,346	Emergency Management Performance Grants			
97.045	D	2,190,959	Cooperating Technical Partners			
97.047	D	534,494	Pre-Disaster Mitigation			
97.056	D	197,805	Port Security Grant Program			
97.067	D	8,258,182	Homeland Security Grant Program			
		<u>105,326,507</u>	Total — N. C. Department of Public Safety			
<b><u>N. C. Secretary of State</u></b>						
16.752	D	140,242	Economic High-Tech and Cyber Crime Prevention			
		<u>140,242</u>	Total — N. C. Secretary of State			
<b><u>N. C. Department of Transportation</u></b>						
20.106	D	12,178,699	Airport Improvement Program			
20.205	D	967,900,756	Highway Planning and Construction			
20.218	D	4,292,747	National Motor Carrier Safety			
20.219	D	1,187,752	Recreational Trails Program			
20.232	D	192,483	Commercial Driver's License Program Improvement Grant			
20.234	D	2,070	Safety Data Improvement Program			
20.235	D	52,733	Commercial Motor Vehicle Operator Training Grants			
20.237	D	259,072	Commercial Vehicle Information Systems and Networks			
20.319	D	149,079,649	High-Speed Rail Corridors and Intercity Passenger Rail Service - Capital Assistance Grants			
20.500	D	295,729	Federal Transit-Capital Investment Grants			
20.505	D	2,356,025	Metropolitan Transportation Planning and State and Non-Metropolitan Planning and Research			
20.507	D	59,811	Federal Transit-Formula Grants			
20.509	D	25,548,675	Formula Grants for Rural Areas			
20.513	D	5,733,363	Enhanced Mobility of Seniors and Individuals with Disabilities			
20.516	D	2,412,783	Job Access And Reverse Commute Program			
20.521	D	1,088,157	New Freedom Program			
20.528	D	154,855	Rail Fixed Guideway Public Transportation System State Safety Oversight Formula Grant Program			
20.600	D	5,725,100	State and Community Highway Safety			
20.601	D	1,146,779	Alcohol Impaired Driving Countermeasures Incentive Grants I			
20.602	D	172,299	Occupant Protection Incentive Grants			
20.604	D	182,489	Safety Incentive Grants for Use of Seatbelts			
20.607	D	7,262,294	Alcohol Open Container Requirements			
20.610	D	166,944	State Traffic Safety Information System Improvement Grants			
20.612	D	165,563	Incentive Grant Program to Increase Motorcyclist Safety			
20.614	D	6,870	National Highway Traffic Safety Administration (NHTSA) Discretionary Safety Grants			
20.616	D	3,941,987	National Priority Safety Programs			
20.933	D	509	National Infrastructure Investments			
23.003	D	3,256,618	Appalachian Development Highway System			
97.056	D	81,580	Port Security Grant Program			
97.089	D	356,164	Driver's License Security Grant Program			
		<u>1,195,260,555</u>	Total — N. C. Department of Transportation			
<b><u>N. C. Office of Administrative Hearings</u></b>						
30.U01	D	67,200	U. S. Equal Employment Opportunity Commission			EECCN130023P0004
		<u>67,200</u>	Total — N. C. Office of Administrative Hearings			
<b><u>N. C. Office of the Governor</u></b>						
84.395	D	25,273,161	ARRA - State Fiscal Stabilization Fund (SFSF) - Race-to-the-Top Incentive Grants, Recovery Act			
94.003	D	321,747	State Commissions			
94.006	D	3,948,796	AmeriCorps			
		<u>29,543,704</u>	Total — N. C. Office of the Governor			

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)**

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
<b><u>N. C. State Board of Elections</u></b>						
90.401	D	549,903	Help America Vote Act Requirements Payments			
93.617	D	20,986	Voting Access for Individuals with Disabilities-Grants to States			
		<u>570,889</u>	Total — N. C. State Board of Elections			
		<u>17,095,911,075</u>	Total — Primary Government			
<b><u>Component Units</u></b>						
<b><u>University of North Carolina System</u></b>						
<b><u>Appalachian State University</u></b>						
10.001	D	18,793	Agricultural Research-Basic and Applied Research			
10.310	I	19,966	Agriculture and Food Research Initiative (AFRI)	Z5797001	Univ of Maryland	
10.311	I	434	Beginning Farmer and Rancher Development Program	Sub#UA AES 91132-03	Univ of Arkansas	
10.318	I	5,251	Women and Minorities in Science, Technology, Engineering, and Mathematics Fields	Z574200	Univ of Maryland	
11.433	I	19,217	Marine Fisheries Initiative	RC282-395/S000697	Univ of Georgia	
11.620	D	9,115	Science, Technology, Business and/or Education Outreach			
14.906	D	30,426	Healthy Homes Technical Studies Grants			
15.650	D	20,738	Research Grants (Generic)			
15.657	D	7,123	Endangered Species Conservation - Recovery Implementation Funds			
15.660	D	9,520	Endangered Species - Candidate Conservation Action Funds			
15.931	D	17,818	Conservation Activities by Youth Service Organizations			
15.945	D	11,588	Cooperative Research and Training Programs - Resources of the National Park System			
19.009	I	19,573	Academic Exchange Programs - Undergraduate Programs	FY16-YALI-CL-APP-01	IREX	
19.040	D	67,466	Public Diplomacy Programs			
19.501	D	66	Public Diplomacy Programs for Afghanistan and Pakistan			
23.001	D	33,265	Appalachian Regional Development (See individual Appalachian Programs)			
23.002	D	49,050	Appalachian Area Development			
23.011	I	4,181	Appalachian Research, Technical Assistance, and Demonstration Projects	N/A	East Tennessee State Univ	
43.001	I	19,895	Science	SUB#6194-B	Boise State Univ	
45.024	D	19,908	Promotion of the Arts-Grants to Organizations and Individuals			
47.041	I	372	Engineering Grants	WHOI#847132SP	Wood Hole Oceanographic Institution	
47.049	D	169,328	Mathematical and Physical Sciences			
47.050	D	175,524	Geosciences			
47.070	D	295,431	Computer and Information Science and Engineering			
47.074	D	243,798	Biological Sciences			
47.075	D	75,067	Social, Behavioral, and Economic Sciences			
47.076	D	345,580	Education and Human Resources			
66.516	D	32,945	P3 Award: National Student Design Competition for Sustainability			
81.086	D	280,485	Conservation Research and Development			
84.007	D	311,746	Federal Supplemental Educational Opportunity Grants			
84.016	D	27,207	Undergraduate International Studies and Foreign Language Programs			
84.033	D	458,039	Federal Work-Study Program			
84.038	D	4,757,693	Federal Perkins Loan Program-Federal Capital Contributions			
84.042	D	272,165	TRIO-Student Support Services			
84.047	D	670,746	TRIO-Upward Bound			
84.063	D	19,798,062	Federal Pell Grant Program			
84.116	D	7,331	Fund for the Improvement of Postsecondary Education			
84.215	I	79,147	Fund for the Improvement of Education	S215G140012-002	Allegheny Co. Schools	
84.268	D	87,093,880	Federal Direct Student Loans			
84.324	I	101,375	Research in Special Education	SA 416646	Univ of Rochester	
84.334	D	4,028,168	Gaining Early Awareness and Readiness for Undergraduate Programs			
84.407	D	79,852	Transition Programs for Students with Intellectual Disabilities into Higher Education			
93.173	D	31,265	Research Related to Deafness and Communication Disorders			
93.213	D	8,788	Research and Training in Complementary and Integrative Health			
93.243	D	288,692	Substance Abuse and Mental Health Services-Projects of Regional and National Significance			
93.855	D	80,253	Allergy and Infectious Diseases Research			
93.866	D	28,987	Aging Research			
93.884	I	23,084	Grants for Primary Care Training and Enhancement	WFUHS 116164	Wake Forest University	
94.011	D	375,396	Foster Grandparent Program			
94.016	D	248,985	Senior Companion Program			
		<u>120,772,784</u>	Total — Appalachian State University			
<b><u>East Carolina University</u></b>						
10.216	I	5,644	1890 Institution Capacity Building Grants	OSP02830020120022/PO-0011411	Southern Univ A and M	
10.310	D	51,839	Agriculture and Food Research Initiative (AFRI)			
10.855	D	131,352	Distance Learning and Telemedicine Loans and Grants			

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
11.427	D	55,368	Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program			
11.431	I	53,358	Climate and Atmospheric Research	R/ECC-1C; NA150AR4310111	SC Sea Grant Consortium	
11.433	D	89,564	Marine Fisheries Initiative			
11.459	D	1,814	Weather and Air Quality Research			
11.459	I	3,970	Weather and Air Quality Research	NNC2012-13-NOAA	Nurture Nature Ctr	
11.609	I	20,000	Measurement and Engineering Research and Standards	1503315	Univ of Texas at Dallas	
11.620	D	14,517	Science, Technology, Business and/or Education Outreach			
12.114	D	49,557	Collaborative Research and Development			
12.300	I	14,509	Basic and Applied Scientific Research	406295 - SUB 1	The Catholic University of America	
12.420	D	100,573	Military Medical Research and Development			
12.431	D	140,881	Basic Scientific Research			
12.556	I	7,645	Competitive Grants: Promoting K-12 Student Achievement at Military-Connected Schools	A16-0138	Wayne County Public Schools	
12.901	D	887	Mathematical Sciences Grants Program			
14.218	I	9,792	Community Development Block Grants/Entitlement Grants	DOC# 836840	City of Greenville	
14.218	I	2,390	Community Development Block Grants/Entitlement Grants	DOC# 836840 V16D	City of Greenville	
14.228	I	1,251	Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii	A16-0129-001	Town of Fremont	
14.228	I	1,251	Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii	A16-0130-001	City of Roanoke Rapids	
14.228	I	1,251	Community Development Block Grants/State's program and Non-Entitlement Grants in Hawaii	A16-0132-001	McDowell County	
15.231	I	19,878	Fish, Wildlife and Plant Conservation Resource Management	F13-AP00833	Chicago Botanic Gardens	
15.424	D	129,101	Marine Minerals Activities - Hurricane Sandy			
15.637	I	41,544	Migratory Bird Joint Ventures	191000.331301.06/40181AJ186	Mississippi State Univ	
15.650	D	26,695	Research Grants (Generic)			
15.669	I	36,369	Cooperative Landscape Conservation	NCBU 20150801.3875.01	Nature Conservancy of NC	
15.808	D	18,201	U. S. Geological Survey- Research and Data Collection			
15.808	I	1,597	U. S. Geological Survey- Research and Data Collection	1553519	Regents of the University of Colorado	
15.815	I	18,089	National Land Remote Sensing - Education Outreach and Research	AV13-NC01/G14AP00002	AmericaView	
15.945	D	68,787	Cooperative Research and Training Programs Resources of the National Park System			
16.560	D	36,573	National Institute of Justice Research, Evaluation, and Development Project Grants			
16.590	I	21,971	Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program	A-16-0190-001	Pitt County	
16.758	I	5,416	Improving the Investigation and Prosecution of Child Abuse and the Regional and Local Children's Advocacy Centers	12-GREEN-NC-SA16;2015-CI-FX-K001	Childrens Advocacy Ctr of NC Inc	
16.758	I	1,714	Improving the Investigation and Prosecution of Child Abuse and the Regional and Local Children's Advocacy Centers	13-GREEN-NC-SA15	Childrens Advocacy Ctr of NC Inc	
16.758	I	25,876	Improving the Investigation and Prosecution of Child Abuse and the Regional and Local Children's Advocacy Centers	32027-16	Childrens Advocacy Ctr of NC Inc	
20.614	I	37,190	National Highway Traffic Safety Administration (NHTSA) Discretionary Safety Grants	DTNH22-09-D-00138	Dunlap and Assoc Inc	
43.001	D	274,077	Science			
43.001	I	36,330	Science	SC-3041; MOD 3	SETI Inst	
43.001	I	12,755	Science	SUB68016074	UCF Athletics Association Inc	
45.024	I	438	Promotion of the Arts-Grants to Organizations and Individuals	5043	South Arts	
45.161	D	115,074	Promotion of the Humanities-Research			
45.313	D	186,036	Laura Bush 21st Century Librarian Program			
47.041	D	110,943	Engineering Grants			
47.049	D	17,621	Mathematical and Physical Sciences			
47.050	D	432,423	Geosciences			
47.050	I	49,274	Geosciences	14-NSF-1026/EAR1338694	Duke University	
47.050	I	8,454	Geosciences	31(GG009393/OCE-1450528	Columbia University	
47.050	I	21,310	Geosciences	SA-14-20	Consortium For Ocean Leadership	
47.070	D	144,883	Computer and Information Science and Engineering			
47.074	D	391,881	Biological Sciences			
47.075	D	105,228	Social, Behavioral, and Economic Sciences			
47.076	D	354,536	Education and Human Resources			
47.076	I	32,510	Education and Human Resources	07-NC11-NSF2014	Natl Writing Project Corp	
47.078	D	72,064	Polar Programs			
47.079	D	5,424	Office of International Science and Engineering			
66.511	I	41,941	Office of Research and Development Consolidated Research/Training/Fellowships	4951-RFA 14-4/16-2	Health Effects Institute	
66.608	D	7,010	Environmental Information Exchange Network Grant Program and Related Assistance			
66.708	D	13,262	Pollution Prevention Grants Program			
84.007	D	634,602	Federal Supplemental Educational Opportunity Grants			
84.031	D	121,245	Higher Education-Institutional Aid			
84.033	D	49,945	Federal Work-Study Program			

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
84.038	D	9,996,465	Federal Perkins Loan Program-Federal Capital Contributions			
84.063	D	33,570,865	Federal Pell Grant Program			
84.268	D	155,164,310	Federal Direct Student Loans			
84.305	I	17,273	Education Research, Development and Dissemination	TUL677-13/14	Tulane Univ	
84.325	D	270,912	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities			
84.336	D	476,444	Teacher Quality Partnership Grants			
84.367	I	9,556	Improving Teacher Quality State Grants	07-NC11-SEED2012	Natl Writing Project Corp	
84.369	I	18,443	Grants for State Assessments and Related Activities	A15-0148	Lenoir County Schools	
84.379	D	5,690	Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)			
89.003	D	13,992	National Historical Publications and Records Grants			
93.103	I	2,468	Food and Drug Administration-Research	Duke SPS: 207574/215728	Duke University	
93.110	I	9,511	Maternal and Child Health Federal Consolidated Programs	5H30MC24046-04-00	Hemophilia of Georgia Inc	
93.113	D	71,489	Environmental Health			
93.124	D	13,763	Nurse Anesthetist Traineeships			
93.153	D	593,432	Coordinated Services and Access to Research for Women, Infants, Children, and Youth			
93.173	D	2,573	Research Related to Deafness and Communication Disorders			
93.173	I	48,069	Research Related to Deafness and Communication Disorders	GB10125	Univ of Virginia	
93.211	D	279,070	Telehealth Programs			
93.213	D	370,894	Research and Training in Complementary and Integrative Health			
93.224	I	2,603	Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, and Public Housing Primary Care)	A12-0057-001	Greene County Health Care Inc	
93.224	I	34,601	Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, and Public Housing Primary Care)	A15-0015-001	Greene County Health Care Inc	
93.224	I	18,767	Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, and Public Housing Primary Care)	A15-0048-001	Greene County Health Care Inc	
93.224	I	7,614	Consolidated Health Centers (Community Health Centers, Migrant Health Centers, Health Care for the Homeless, and Public Housing Primary Care)	A15-0106-001	Greene County Health Care Inc	
93.243	D	330,218	Substance Abuse and Mental Health Services-Projects of Regional and National Significance			
93.247	D	372,624	Advanced Nursing Education Grant Program			
93.250	D	8,883	Geriatric Academic Career Awards			
93.262	I	10,561	Occupational Safety and Health Program	000500836-016/2T42OH008436-10	Univ of Alabama at Birmingham	
93.262	I	10,000	Occupational Safety and Health Program	3049025834-16-16-030/7547-14	Univ of Kentucky	
93.262	I	7,248	Occupational Safety and Health Program	3210000144-16-0097	Univ of Kentucky	
93.262	I	2,796	Occupational Safety and Health Program	3210000144-16-098	Univ of Kentucky Research Found	
93.262	I	26,396	Occupational Safety and Health Program	4885/120715	State of Rhode Island	
93.262	I	18,287	Occupational Safety and Health Program	U60 OH009762	Center to Protect Workers Rights	
93.273	D	299,220	Alcohol Research Programs			
93.279	I	54,214	Drug Abuse and Addiction Research Programs	361052-04760-02	Temple Research Admin	
93.279	I	74	Drug Abuse and Addiction Research Programs	ECIG Adolescent	Amer Acad of Chil and Adolescent Psychiatry	
93.283	I	1,350	Centers for Disease Control and Prevention-Investigations and Technical Assistance	15-04-IPE	Assoc of Prevention Teaching and Research	
93.283	I	956	Centers for Disease Control and Prevention-Investigations and Technical Assistance	Subaward 3820499/WIP 2013-N-02	Duke University	
93.283	I	33,839	Centers for Disease Control and Prevention-Investigations and Technical Assistance	UA13-067	Univ of Alabama	
93.342	D	379,403	Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students			
93.351	D	217,313	Research Infrastructure Programs			
93.358	D	332,631	Advanced Education Nursing Traineeships			
93.364	D	296,018	Nursing Student Loans			
93.393	D	82,072	Cancer Cause and Prevention Research			
93.394	I	265	Cancer Detection and Diagnosis Research	A151216 (SCREENING ALCHEMIST)	Cancer and Leukemia Group B	
93.394	I	8,144	Cancer Detection and Diagnosis Research	UWSC7354 (P0756970) AMEND #2	Univ of Washington	
93.395	D	68,234	Cancer Treatment Research			
93.395	I	40,193	Cancer Treatment Research	9500080215-12C	Childrens Hosp of Philadelphia	
93.395	I	1,646	Cancer Treatment Research	A011106 / ALTERNATE	Cancer and Leukemia Group B	
93.395	I	265	Cancer Treatment Research	ALLIANCE A081105 (EGFR ALCHEMI)	Cancer and Leukemia Group B	
93.395	I	79	Cancer Treatment Research	B-43	Natl Surgical Adjuvant Breast and Bowel Project	
93.395	I	265	Cancer Treatment Research	E4512 (ALK ALCHEMIST)	Cancer and Leukemia Group B	
93.395	I	40,008	Cancer Treatment Research	ECA CA171983	Pennsylvania State University	
93.395	I	217,022	Cancer Treatment Research	GB 10232	Univ of Virginia	
93.395	I	1,022	Cancer Treatment Research	N1048-(PROSPECT)/ALLIANCE	Cancer and Leukemia Group B	
93.395	I	251	Cancer Treatment Research	NRG BR001	NRG Oncology	
93.395	I	44,355	Cancer Treatment Research	PHR-SSS-S-15-004243	Social and Sci Sys Inc	
93.395	I	47,333	Cancer Treatment Research	PHR-SSS-S-15-004550	Social and Sci Sys Inc	
93.395	I	251	Cancer Treatment Research	PROTOCOL A071102	Cancer and Leukemia Group B	
93.395	I	251	Cancer Treatment Research	PROTOCOL A071101	Cancer and Leukemia Group B	

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
93.395	I	24	Cancer Treatment Research	PROTOCOL A071401	Cancer and Leukemia Group B	
93.395	I	285	Cancer Treatment Research	PROTOCOL NSABP-51 / RTOG-1304	NRG Oncology	
93.395	I	171	Cancer Treatment Research	PROTOCOL RTOG-1216	NRG Oncology	
93.395	I	471	Cancer Treatment Research	U10CA021661	Amer Coll of Radiology	
93.397	I	251	Cancer Centers Support Grants	PROTOCOL A011202 / ALLIANCE	Cancer and Leukemia Group B	
93.399	I	1,498	Cancer Control	E2108 PROTOCOL	Cancer and Leukemia Group B	
93.399	I	75	Cancer Control	ECOG 1609	Cancer Trials Support Unit	
93.399	I	514	Cancer Control	N107C ALLIANCE	Univ of Chicago	
93.837	D	1,923,812	Cardiovascular Diseases Research			
93.837	I	31,686	Cardiovascular Diseases Research	000511972-002/1UH2HL130691-01	Univ of Alabama at Birmingham	
93.837	I	5,401	Cardiovascular Diseases Research	109363 / 137829 (AMEND #1)	Cincinnati Childrens Hospital Medical Center	
93.837	I	14,880	Cardiovascular Diseases Research	2033701/RHL124444B	Duke University	
93.837	I	2,300	Cardiovascular Diseases Research	2034187	Duke University	
93.837	I	2,995	Cardiovascular Diseases Research	2034189	Duke University	
93.837	I	30,245	Cardiovascular Diseases Research	M12A11364(A08651)	Yale University	
93.839	I	100	Blood Diseases and Resources Research	136444	Childrens Med Ctr	
93.846	D	463,465	Arthritis, Musculoskeletal and Skin Diseases Research			
93.846	I	12,907	Arthritis, Musculoskeletal and Skin Diseases Research	12-002	Wake Forest University	
93.847	D	1,000,184	Diabetes, Digestive, and Kidney Diseases Extramural Research			
93.847	I	13,687	Diabetes, Digestive, and Kidney Diseases Extramural Research	203-8074/DILIN	Duke University	
93.847	I	14,541	Diabetes, Digestive, and Kidney Diseases Extramural Research	330182/2U01DK066174	Childrens Hosp of Philadelphia	
93.847	I	12,666	Diabetes, Digestive, and Kidney Diseases Extramural Research	952614	Nationwide Childrens Hosp	
93.853	D	412,957	Extramural Research Programs in the Neurosciences and Neurological Disorders			
93.853	I	40,709	Extramural Research Programs in the Neurosciences and Neurological Disorders	00107151/UFDSP00010694	University of Florida	
93.855	D	707,503	Allergy and Infectious Diseases Research			
93.855	I	71,116	Allergy and Infectious Diseases Research	0011094B	Univ of Texas at Houston	
93.855	I	284,419	Allergy and Infectious Diseases Research	2R44AI092914-03	Tunitas Therapeutics, Inc	
93.855	I	91,333	Allergy and Infectious Diseases Research	3210871219	Childrens Hosp of Philadelphia	
93.855	I	79,250	Allergy and Infectious Diseases Research	DUKE SPS#:199679/157805/210393	Duke University	
93.859	D	231,857	Biomedical Research and Research Training			
93.859	I	8,340	Biomedical Research and Research Training	1658-2009178	Clemson University	
93.865	D	230,443	Child Health and Human Development Extramural Research			
93.865	I	16,171	Child Health and Human Development Extramural Research	199688/TASK 23	Duke University	
93.866	I	5,317	Aging Research	ASPREE	Wake Forest University	
93.866	I	315,631	Aging Research	WUHS 30209/30215/330216/20	Wake Forest University	
93.884	D	403,525	Grants for Primary Care Training and Enhancement			
93.912	I	2,962	Rural Health Care Services Outreach, Rural Health Network Development and Small Health Care Provider Quality Improvement Program	P10RH28076	Vidant Edgecombe Hospital	
93.918	D	568,433	Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease			
93.959	I	29,955	Block Grants for Prevention and Treatment of Substance Abuse	WUHS 332516/FY16-275	Wake Forest University	
93.969	D	638,573	PPHF Geriatric Education Centers			
		216,108,823	Total — East Carolina University			
<b>Elizabeth City State University</b>						
12.630	D	110,652	Basic, Applied, and Advanced Research in Science and Engineering			
12.630	I	13,617	Basic, Applied, and Advanced Research in Science and Engineering	HHM402-12-1-001	Morgan State University	
14.169	D	114,238	Housing Counseling Assistance Program			
14.520	D	(12,919)	Historically Black Colleges and Universities Program			
16.525	D	36,363	Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus			
16.560	D	85,113	National Institute of Justice Research, Evaluation, and Development Project Grants			
43.008	D	133,208	Education			
45.149	D	5,982	Promotion of the Humanities-Division of Preservation and Access			
47.049	D	6,014	Mathematical and Physical Sciences			
47.050	D	316,938	Geosciences			
47.070	D	42,675	Computer and Information Science and Engineering			
47.074	I	8,137	Biological Sciences	14-035	University of New Hampshire	
47.076	D	705,793	Education and Human Resources			
47.076	I	74,004	Education and Human Resources	GA10969-141627	University of Virginia	
47.078	I	41,010	Polar Programs	ANT-0424589	University of Kansas	
47.080	D	5,496	Office of Cyberinfrastructure			
84.007	D	357,764	Federal Supplemental Educational Opportunity Grants			
84.031	D	4,020,159	Higher Education-Institutional Aid			
84.033	D	299,841	Federal Work-Study Program			
84.038	D	880,666	Federal Perkins Loan Program-Federal Capital Contributions			
84.042	D	315,913	TRIO-Student Support Services			
84.047	D	318,348	TRIO-Upward Bound			
84.063	D	5,492,415	Federal Pell Grant Program			
84.120	D	206,856	Minority Science and Engineering Improvement			

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Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
84.268	D	9,303,905	Federal Direct Student Loans			
84.363	D	123,506	School Leadership			
84.379	D	8,978	Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)			
84.382	D	210,055	Strengthening Minority-Serving Institutions			
93.307	D	171	Minority Health and Health Disparities Research			
93.859	D	234,762	Biomedical Research and Research Training			
97.062	D	128,775	Scientific Leadership Awards			
		<u>23,588,435</u>	Total — Elizabeth City State University			
<b>Fayetteville State University</b>						
10.168	D	44,773	Farmers' Market and Local Food Promotion Program			
10.310	D	12,901	Agriculture and Food Research Initiative (AFRI)			
11.303	D	128,966	Economic Development-Technical Assistance			
11.620	D	6,465	Science, Technology, Business and/or Education Outreach			
12.300	D	643,953	Basic and Applied Scientific Research			
12.420	D	147,119	Military Medical Research and Development			
12.431	D	54,000	Basic Scientific Research			
12.630	D	37,717	Basic, Applied, and Advanced Research in Science and Engineering			
45.400	D	22,473	Peace Corps Global Health and PEPFAR Initiative Program			
47.076	D	700,645	Education and Human Resources			
59.044	D	201,025	Veterans Outreach Program			
84.007	D	575,665	Federal Supplemental Educational Opportunity Grants			
84.031	D	3,017,734	Higher Education-Institutional Aid			
84.033	D	414,388	Federal Work-Study Program			
84.038	D	2,573,318	Federal Perkins Loan Program-Federal Capital Contributions			
84.042	D	265,200	TRIO-Student Support Services			
84.044	D	271,073	TRIO-Talent Search			
84.047	D	540,915	TRIO-Upward Bound			
84.063	D	15,345,491	Federal Pell Grant Program			
84.066	D	420,033	TRIO-Educational Opportunity Centers			
84.217	D	233,546	TRIO-McNair Post-Baccalaureate Achievement			
84.268	D	32,779,688	Federal Direct Student Loans			
84.334	D	91	Gaining Early Awareness and Readiness for Undergraduate Programs			
84.379	D	76,675	Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)			
93.243	D	294,250	Substance Abuse and Mental Health Services-Projects of Regional and National Significance			
93.307	D	27,191	Minority Health and Health Disparities Research			
93.859	D	496,643	Biomedical Research and Research Training			
		<u>59,331,938</u>	Total — Fayetteville State University			
<b>North Carolina Agricultural &amp; Technical State University</b>						
10.205	D	(69,012)	Payments to 1890 Land-Grant Colleges and Tuskegee University			
10.206	D	7,300,269	Grants for Agricultural Research-Competitive Research Grants			
10.210	D	2,319	Higher Education - Graduate Fellowships Grant Program			
10.215	D	94,088	Sustainable Agriculture Research and Education			
10.216	D	1,331,731	1890 Institution Capacity Building Grants			
10.216	I	40,517	1890 Institution Capacity Building Grants	RD309-129/S000680	University of Georgia	
10.216	I	22,086	1890 Institution Capacity Building Grants	Subaward #:CANFVSU-13-011	Fort Valley State University	
10.217	I	13,242	Higher Education - Institution Challenge Grants Program	60039552	Ohio State University	
10.220	D	92,578	Higher Education - Multicultural Scholars Grant Program			
10.224	D	(1,384)	Fund for Rural America-Research, Education, and Extension Activities			
10.250	D	32,663	Agricultural and Rural Economic Research, Cooperative Agreements and Collaborations			
10.305	D	9,911	International Science and Education Grants			
10.307	I	12,334	Organic Agriculture Research and Extension Initiative	Subaward No: UFDSP00010998	University of Florida	
10.307	I	16,536	Organic Agriculture Research and Extension Initiative	Subaward No: 8000064230-AG	Purdue University	
10.309	D	(63)	Specialty Crop Research Initiative			
10.310	D	308,234	Agriculture and Food Research Initiative (AFRI)			
10.310	I	23,064	Agriculture and Food Research Initiative (AFRI)	542K452	University of Wisconsin Madison	
10.310	I	9,422	Agriculture and Food Research Initiative (AFRI)	Subaward No:8000067017-AG	Purdue University	
10.310	I	31,865	Agriculture and Food Research Initiative (AFRI)	UF11100	University of Florida	
10.313	I	23,841	Veterinary Medicine Loan Repayment Program	Subaward Agmt 62524.9499	Cornell University	
10.443	D	175,015	Outreach and Assistance for Socially Disadvantaged and Veteran Farmers and Ranchers			
10.455	D	(1)	Community Outreach and Assistance Partnership Program			
10.500	D	891,181	Cooperative Extension Service			
10.500	I	1,060	Cooperative Extension Service	39 3124411666122	Tuskegee University	
10.902	D	61,674	Soil and Water Conservation			

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Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
10.961	D	(2)	Scientific Cooperation and Research			
10.RD	D	46,650	U. S. Department of Agriculture			USDA-D-RD1
10.RD	I	174,877	U. S. Department of Agriculture	Contingency Letter	University of California Davis	Contingency Letter
10.RD	I	2,361	U. S. Department of Agriculture	Subaward No:ASU330109	Alcorn State University	Subaward No:ASU330109
10.U02	D	66,869	U. S. Department of Agriculture			USDA-D-U01
10.U03	I	19,782	U. S. Department of Agriculture	Subaward No:CIE-1604-NCAT	Association of Research Directors (ARD) Inc	Subaward No:CIE-1604-NCAT
10.U04	I	7,544	U. S. Department of Agriculture	MOA Dated 12-10-14	Delaware State University	MOA Dated 12-10-14
10.U05	I	73,376	U. S. Department of Agriculture	RC100236NC	The Regents of the University of Michigan	RC100236NC
11.609	D	52,886	Measurement and Engineering Research and Standards			
12.300	D	(3,553)	Basic and Applied Scientific Research			
12.431	D	1,081,536	Basic Scientific Research			
12.431	I	19,544	Basic Scientific Research	Z845802	University of Maryland	
12.630	D	504,581	Basic, Applied, and Advanced Research in Science and Engineering			
12.902	D	164,262	Information Security Grants			
12.RD	D	1,332,235	U. S. Department of Defense			DOD-D-RD1
12.RD	I	(427)	U. S. Department of Defense	10-S590-0004-02-C15	Universal Technology Corporation	10-S590-0004-02-C15
12.RD	I	32,865	U. S. Department of Defense	316091	University of Maryland	316091
12.RD	I	9,785	U. S. Department of Defense	Departmental Approval In Process	Scientific Research Corporation (SRC)	Departmental Approval In Process
12.RD	I	17,027	U. S. Department of Defense	MSI STEM R&D #1	MSRDC	MSI STEM R&D #1
12.RD	I	51,789	U. S. Department of Defense	MSI STEM R&D #2	MSRDC	MSI STEM R&D #2
12.RD	I	882	U. S. Department of Defense	NCAT 12-S-567-018-02-C2	Clarkson Aerospace	NCAT 12-S-567-018-02-C2
12.RD	I	80,235	U. S. Department of Defense	NCAT 13-S7700-01-C2	Clarkson Aerospace	NCAT 13-S7700-01-C2
12.RD	I	34,203	U. S. Department of Defense	NCAT 14-S7700-02-C2	Clarkson Aerospace	NCAT14-S7700-02-C2
12.RD	I	81,084	U. S. Department of Defense	Subaward No: RSC15001	University of Dayton Research Institute	Subaward No: RSC15001
12.RD	I	144,851	U. S. Department of Defense	SUBK_NC A&T-S01_STEM	General Informatics, Inc	SUB-NC A&T-S01-STEM
12.RD	I	4,638	U. S. Department of Defense	Task Order No. 0028, RT 128	Stevens Institute of Technology	Task Order No. 0028, RT 128
12.RD	I	6,264	U. S. Department of Defense	Task Order No. 0031,RT131	Stevens Institute of Technology	Task Order No. 0031,RT131
12.U03	I	10,000	U. S. Department of Defense	NCAT-NCASE-15	Morgan State University	NCAT-NCASE-15
14.520	D	3,850	Historically Black Colleges and Universities Program			
15.RD	I	(56)	U. S. Department of Interior	FP40339	University of Alaska	FP40339
16.525	I	4,492	Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus	BC-2013-DOJ-A&T	Bennett College	
16.582	D	142,517	Crime Victim Assistance/Discretionary Grants			
16.726	I	4,942	Juvenile Mentoring Program	2013-JU-FX-0022	National 4-H Council	
16.726	I	16,145	Juvenile Mentoring Program	2015-JU-FX-0015	National 4-H Council	
20.215	D	30,715	Highway Training and Education			
20.215	I	21,972	Highway Training and Education	KCS-UT SUB TO NCAT	Knox County School Systems	
20.RD	I	44,495	U. S. Department of Transportation	RC103194NCAT	Michigan State University	RC103194NCAT
20.RD	I	89,664	U. S. Department of Transportation	RF01354864	Ohio State University	RF01354864
20.RD	I	21,643	U. S. Department of Transportation	Task Order 13-NCA&T-E1	University of Tennessee-Knoxville	Task Order 13-NCA&T-E1-RD
20.U01	I	62,950	U. S. Department of Transportation	Task Order 13-NCA&T-E1	University of Tennessee-Knoxville	Task Order 13-NCA&T-E1-NC
43.008	D	5,774	Education			
43.RD	D	212,140	National Aeronautics and Space Administration			NASA-D-RD1
43.RD	I	26,622	National Aeronautics and Space Administration	1/NCAT	AxNano, LLC	1/NCAT
43.RD	I	128,271	National Aeronautics and Space Administration	C16-2B00-NCAT, ACTIVITY 3773-N	Virginia Polytechnic Institute and State University	C16-2B00-NCAT,ACTIVITY 3773-N
43.RD	I	162,848	National Aeronautics and Space Administration	NCAT-03-01	Virginia Polytechnic Institute and State University	NCAT-03-01
43.U01	D	8,668	National Aeronautics and Space Administration			NASA-D-U01
43.U02	I	121,411	National Aeronautics and Space Administration	LSK-NNK14EA01C-NCAT LETTER SUB	Millennium Engineering and Integration Company	NASA-I-NC2
43.U03	I	58,750	National Aeronautics and Space Administration	Letter Dated 9-23-03	National Action Council for Minorities in Engineering Inc	NASA-I-NC3
47.041	D	3,562,258	Engineering Grants			
47.041	I	7,662	Engineering Grants	A13-0112-S0001	University of Tennessee-Knoxville	
47.041	I	69,779	Engineering Grants	EEC-0540834	University of Minnesota	
47.041	I	17,434	Engineering Grants	EEC-1263346	Regents of the University of Minnesota	
47.041	I	74,355	Engineering Grants	Subgrant No. RG314-G1	Georgia Institute of Technology	
47.049	D	193,498	Mathematical and Physical Sciences			
47.049	I	52,298	Mathematical and Physical Sciences	25-0521-0184-022	The University of Nebraska Lincoln	
47.050	D	470,384	Geosciences			
47.070	D	255,777	Computer and Information Science and Engineering			
47.070	I	61,680	Computer and Information Science and Engineering	253-23-15160111	University of Arkansas Pine Bluff	
47.074	D	13,832	Biological Sciences			
47.074	I	318,710	Biological Sciences	61-2075NC	Michigan State University	
47.075	D	33,236	Social, Behavioral, and Economic Sciences			
47.076	D	4,870,603	Education and Human Resources			
47.076	I	63,107	Education and Human Resources	0007964-1000046713/47258	Howard University	
47.076	I	17,689	Education and Human Resources	Subagreement # 332-0252	Duke University	
47.076	I	30,801	Education and Human Resources	UF-EIES-1109030-NCA	University of Florida	
47.078	I	25,864	Polar Programs	FP32463	University of Alaska Fairbanks	
47.079	D	81,585	Office of International Science and Engineering			
47.081	D	(3,696)	Office of Experimental Program to Stimulate Competitive Research			
47.RD	I	15,555	National Science Foundation	BAA-1402728	Bio-Adhesive Alliance Inc	BAA-1402728

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Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
47.RD	I	26,711	National Science Foundation	NSF SBIR PHASE 11A	GridBridge, Inc	NSF SBIR PHASE 11A
47.RD	I	48	National Science Foundation	NSF-SBIR/STTR	Thixomat Inc	NSF-SBIR/STTR
47.U01	I	1,007	National Science Foundation	Check #19002 Harrisburg Unive	The National Center for Science and Civic Engagement	Check #19002 Harrisburg Unive
66.RD	D	501	U. S. Environmental Protection Agency			EPA-D-RD1
66.RD	I	2,146	U. S. Environmental Protection Agency	Check # 68191	ASHRAE	Check # 68191
81.087	D	22,086	Renewable Energy Research and Development			
81.123	D	722,540	National Nuclear Security Administration (NNSA) Minority Serving Institutions (MSI) Program			
81.123	I	308,235	National Nuclear Security Administration (NNSA) Minority Serving Institutions (MSI) Program	Subaward No: F1040061-14-08	Norfolk State University	
81.214	D	(101)	Environmental Monitoring/Cleanup, Cultural and Resource Mgmt., Emergency Response Research, Outreach, Technical Analysis			
81.RD	I	76	U. S. Department of Energy	BOA #532 TOA #267299	Savannah River Nuclear Solutions	BOA #532 TOA #267299
81.RD	I	4,828	U. S. Department of Energy	Check #019333 DATED 3-10-14	Voorhees College	Check #019333 DATED 3-10-14
81.U01	I	10,411	U. S. Department of Energy	Letter Dated 6-12-15	National Nuclear Security Administration	Letter Dated 6-12-15
84.007	D	487,321	Federal Supplemental Educational Opportunity Grants			
84.031	D	18,523,789	Higher Education-Institutional Aid			
84.033	D	325,765	Federal Work-Study Program			
84.038	D	1,507,388	Federal Perkins Loan Program-Federal Capital Contributions			
84.042	D	322,123	TRIO-Student Support Services			
84.047	D	487,306	TRIO-Upward Bound			
84.063	D	26,827,118	Federal Pell Grant Program			
84.120	D	213,666	Minority Science and Engineering Improvement			
84.129	D	188,959	Rehabilitation Long-Term Training			
84.133	I	28,803	National Institute on Disability and Rehabilitation Research	Subcontract Dated 10/27/2014	Langston University	
84.268	D	81,184,392	Federal Direct Student Loans			
84.315	D	35,940	Capacity Building for Traditionally Underserved Populations			
84.325	D	230,732	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities			
84.U02	D	52,666	U. S. Department of Education			DED-D-U01
93.113	D	(209)	Environmental Health			
93.243	I	6,295	Substance Abuse and Mental Health Services-Projects of Regional and National Significance	Subaward No: HBCUCFE15-16/19	HBCU Center for Excellence	
93.262	I	10,004	Occupational Safety and Health Program	Subaward No. 3210000144-16-105	University of Kentucky	
93.307	D	17,469	Minority Health and Health Disparities Research			
93.307	I	139,524	Minority Health and Health Disparities Research	HU-140004	Hampton University	
93.307	I	12,137	Minority Health and Health Disparities Research	HU-150005	Hampton University	
93.307	I	88,673	Minority Health and Health Disparities Research	HU-150006	Hampton University	
93.397	D	844	Cancer Centers Support Grants			
93.853	D	61,445	Extramural Research Programs in the Neurosciences and Neurological Disorders			
93.859	D	1,280,260	Biomedical Research and Research Training			
93.859	I	38,236	Biomedical Research and Research Training	T36GM095335	Carnegie Mellon University	
93.RD	I	54,047	U. S. Department of Health and Human Services	Subaward No:UFDSP00010628	University of Florida	Subaward No:UFDSP00010628
93.U02	D	396,541	U. S. Department of Health and Human Services			HHS-D-U01
93.U03	I	1,413	U. S. Department of Health and Human Services	Contract Dated 11-26-14	HBCU Center for Excellence	Contract Dated 11-26-14
97.061	I	46,420	Centers for Homeland Security	SUB NO: P004561601	University of Minnesota	
97.077	D	29,192	Homeland Security Research, Development, Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Threat Detection			
98.001	I	144,976	USAID Foreign Assistance for Programs Overseas	06-S131628	Texas A&M University	
98.001	I	21,137	USAID Foreign Assistance for Programs Overseas	Subaward # 2015-06391-02	University Of Illinois-Urbana-Champaign	
99.U06	I	21,581	Other Federal Assistance	2014-JU-FX-0025	National 4-H Council	2014-JU-FX-0025
		<u>159,723,979</u>	Total — North Carolina Agricultural & Technical State University			
<b>North Carolina Central University</b>						
10.310	D	101,513	Agriculture and Food Research Initiative (AFRI)			
12.420	D	66,812	Military Medical Research and Development			
12.431	I	83,504	Basic Scientific Research	15-33 AND 15-34	Academy of Applied Science	
12.630	I	214,091	Basic, Applied, and Advanced Research in Science and Engineering	W911SR-14-0001-0002	MSI STEM Res & Dev	
16.525	D	68,423	Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus			
21.008	D	7,831	Low Income Taxpayer Clinics			
43.001	I	1,268	Science	12-002JNA	Delaware State University	
45.160	D	46,028	Promotion of the Humanities-Fellowships and Stipends			
45.163	D	14,208	Promotion of the Humanities-Professional Development			
45.309	D	42,197	Museum Grants for African American History and Culture			
47.041	D	134,742	Engineering Grants			
47.049	I	453,695	Mathematical and Physical Sciences	12-NSF-1026	Duke University	
47.074	D	57,415	Biological Sciences			
47.075	I	11,470	Social, Behavioral, and Economic Sciences	14-NSF-1102	Duke University	
47.076	D	2,069,061	Education and Human Resources			

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Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
47.079	I	81,409	Office of International Science and Engineering	13-NSF-1035	Duke University	
81.049	I	315,395	Office of Science Financial Assistance Program	12-DOE-1077 (MOD 4)	Duke University	
81.087	D	30,094	Renewable Energy Research and Development			
84.007	D	912,275	Federal Supplemental Educational Opportunity Grants			
84.031	D	6,597,794	Higher Education-Institutional Aid			
84.033	D	717,853	Federal Work-Study Program			
84.038	D	6,880,796	Federal Perkins Loan Program-Federal Capital Contributions			
84.063	D	19,170,940	Federal Pell Grant Program			
84.120	D	91,782	Minority Science and Engineering Improvement			
84.268	D	85,475,184	Federal Direct Student Loans			
84.325	D	263,210	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities			
84.379	D	3,708	Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)			
93.113	D	27,494	Environmental Health			
93.243	D	472,492	Substance Abuse and Mental Health Services-Projects of Regional and National Significance			
93.273	D	952,142	Alcohol Research Programs			
93.307	I	956,001	Minority Health and Health Disparities Research	HU-160024	Hampton University	
93.359	D	35,816	Nurse Education, Practice Quality and Retention Grants			
93.364	D	27,534	Nursing Student Loans			
93.393	D	183,928	Cancer Cause and Prevention Research			
93.396	D	167,001	Cancer Biology Research			
93.397	D	1,133,836	Cancer Centers Support Grants			
93.837	D	76,808	Cardiovascular Diseases Research			
93.847	I	165,272	Diabetes, Digestive, and Kidney Diseases Extramural Research	2R44DK093392-02	Zen-Bio/SouthEast Techniv.	
93.859	D	217,558	Biomedical Research and Research Training			
93.865	I	111,540	Child Health and Human Development Extramural Research	3020638	Duke University	
93.925	D	599,850	Scholarships for Health Professions Students from Disadvantaged Backgrounds			
94.007	I	986	Program Development and Innovation Grants	A16-0018	Iowa Campus Compact	
97.005	I	119,408	State and Local Homeland Security National Training Program	FY14-K00154-66 EH-NCCU	Rural Domestic Preparedness	
		<u>129,160,364</u>	Total — North Carolina Central University			
<b>North Carolina State University</b>						
10.001	D	2,211,585	Agricultural Research-Basic and Applied Research			
10.025	D	3,987,842	Plant and Animal Disease, Pest Control, and Animal Care			
10.025	I	170,664	Plant and Animal Disease, Pest Control, and Animal Care	01-15	Commission For The Eradication	
10.025	I	3,081	Plant and Animal Disease, Pest Control, and Animal Care	422368-19071	Virginia Polytech Institute	
10.025	I	4,195	Plant and Animal Disease, Pest Control, and Animal Care	5335-NC-ASBIO-NEAL	Rutgers University	
10.025	I	37,765	Plant and Animal Disease, Pest Control, and Animal Care	5450-BBYR3-NC	Rutgers University	
10.025	I	7,706	Plant and Animal Disease, Pest Control, and Animal Care	5693-BBYR4-NC	Rutgers University	
10.025	I	7,681	Plant and Animal Disease, Pest Control, and Animal Care	RC104184NCSU	Michigan State University	
10.025	I	96,753	Plant and Animal Disease, Pest Control, and Animal Care	RC105127NCSU	Michigan State University	
10.156	D	41,379	Federal-State Marketing Improvement Program			
10.200	D	351,818	Grants for Agricultural Research, Special Research Grants			
10.200	I	15,331	Grants for Agricultural Research, Special Research Grants	14-078	Univ of New Hampshire	
10.200	I	7,340	Grants for Agricultural Research, Special Research Grants	1400281309	Univ of Florida	
10.200	I	8,523	Grants for Agricultural Research, Special Research Grants	1600411957	Univ of Florida	
10.200	I	4,509	Grants for Agricultural Research, Special Research Grants	8000067064-AG	Purdue University	
10.200	I	3,358	Grants for Agricultural Research, Special Research Grants	PO # 1600412007	Univ of Florida	
10.200	I	53,111	Grants for Agricultural Research, Special Research Grants	PO #1500343419	University of Florida	
10.200	I	2,406	Grants for Agricultural Research, Special Research Grants	PO#1500343169	Univ of Florida	
10.200	I	1,044	Grants for Agricultural Research, Special Research Grants	PO-1600411199	Univ of Florida	
10.200	I	18,061	Grants for Agricultural Research, Special Research Grants	PO-1600411948	Univ of Florida	
10.200	I	14,989	Grants for Agricultural Research, Special Research Grants	PO-1600412039	Univ of Florida	
10.200	I	1,261	Grants for Agricultural Research, Special Research Grants	UM-S1021	Univ of Maine	
10.200	I	8,484	Grants for Agricultural Research, Special Research Grants	UM-S950	Univ of Maine	
10.200	I	30,166	Grants for Agricultural Research, Special Research Grants	UMS979	Univ of Maine	
10.202	D	1,106,601	Cooperative Forestry Research			
10.203	D	4,130,200	Payments to Agricultural Experiment Stations Under the Hatch Act			
10.207	D	335,260	Animal Health and Disease Research			
10.210	D	104,840	Higher Education - Graduate Fellowships Grant Program			
10.212	I	32,684	Small Business Innovation Research	2015-0619	Shure Foods, Inc.	
10.212	I	5,578	Small Business Innovation Research	3205-USDA-2S/NCSU	Luna Innovations, Inc	
10.212	I	1,933	Small Business Innovation Research	5596-1020	Faraday Technology, Inc.	
10.215	I	78,596	Sustainable Agriculture Research and Education	RD309-122/4940246	Univ of Georgia	
10.215	I	1,954	Sustainable Agriculture Research and Education	RD309-125/3502028	Univ of Georgia	
10.215	I	32,140	Sustainable Agriculture Research and Education	RD309-125/4940916	Univ of Georgia	

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Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
10.215	I	8,497	Sustainable Agriculture Research and Education	RD309-125/5054746	Univ of Georgia	
10.215	I	19,679	Sustainable Agriculture Research and Education	RD309-129/5054646	Univ of Georgia	
10.215	I	76,962	Sustainable Agriculture Research and Education	RD309-129/8644667	Univ of Georgia	
10.215	I	3,778	Sustainable Agriculture Research and Education	RD309-129/8644727	Univ of Georgia	
10.215	I	55,947	Sustainable Agriculture Research and Education	RD309-129/S000732	Univ of Georgia	
10.215	I	20,907	Sustainable Agriculture Research and Education	RD309-129/S000773	Univ of Georgia	
10.215	I	94	Sustainable Agriculture Research and Education	RD309-129/S000834	Univ of Georgia	
10.215	I	4,729	Sustainable Agriculture Research and Education	RD309-129/S000841	Univ of Georgia	
10.215	I	1,358	Sustainable Agriculture Research and Education	RD309-129/S000848	Univ of Georgia	
10.215	I	2,027	Sustainable Agriculture Research and Education	RD309-134/S001099	Univ of Georgia	
10.216	I	5,240	1890 Institution Capacity Building Grants	36 12091 367 76190	Tuskegee University	
10.216	I	23,596	1890 Institution Capacity Building Grants	R000018	Virginia State University	
10.217	D	59,090	Higher Education - Institution Challenge Grants Program			
10.217	I	1,413	Higher Education - Institution Challenge Grants Program	320699-19071	Virginia Polytechnic	
10.217	I	38,227	Higher Education - Institution Challenge Grants Program	60039552	Ohio State University	
10.219	D	300,326	Biotechnology Risk Assessment Research			
10.220	D	58,297	Higher Education - Multicultural Scholars Grant Program			
10.225	I	762	Community Food Projects	2015-1669	Third Sector New England, Inc.	
10.250	D	5,365	Agricultural and Rural Economic Research, Cooperative Agreements and Collaborations			
10.250	I	11,837	Agricultural and Rural Economic Research, Cooperative Agreements and Collaborations	3048111062-14-170	Univ of Kentucky Research Found	
10.255	I	5,664	Research Innovation and Development Grants in Economic (RIDGE)	8000069787	Purdue University	
10.303	D	431,141	Integrated Programs			
10.303	I	14,238	Integrated Programs	1590-207-2008693	Clemson University	
10.303	I	10,389	Integrated Programs	60025287 PO: RF01254093	Ohio State University	
10.303	I	28,749	Integrated Programs	RC101368NCSU	Michigan State University	
10.304	I	19,799	Homeland Security-Agricultural	RC101676NCSU	Michigan State University	
10.304	I	25,761	Homeland Security-Agricultural	UFDSPO0010246	Univ of Florida	
10.307	D	873,221	Organic Agriculture Research and Extension Initiative			
10.307	I	38,161	Organic Agriculture Research and Extension Initiative	4821	Rutgers University	
10.307	I	61,935	Organic Agriculture Research and Extension Initiative	67385-9950	Cornell University	
10.307	I	21,164	Organic Agriculture Research and Extension Initiative	67835-9950	Cornell University	
10.307	I	64,207	Organic Agriculture Research and Extension Initiative	8000064229-AG	Purdue University	
10.307	I	6,995	Organic Agriculture Research and Extension Initiative	8500028703	Univ of Tennessee	
10.307	I	42,303	Organic Agriculture Research and Extension Initiative	8500028703	Univ of Tennessee	
10.307	I	90,857	Organic Agriculture Research and Extension Initiative	C0421A-A	Oregon State Univ.	
10.307	I	9,541	Organic Agriculture Research and Extension Initiative	RC293-636/S000867	Univ of Georgia	
10.309	D	2,225,391	Specialty Crop Research Initiative			
10.309	I	355	Specialty Crop Research Initiative	350K836	Univ of Wisconsin	
10.309	I	33,779	Specialty Crop Research Initiative	422179-19071	Virginia Polytech Institute	
10.309	I	26,317	Specialty Crop Research Initiative	61314-9364	Cornell University	
10.309	I	44	Specialty Crop Research Initiative	RC105573NCSU	Michigan State University	
10.309	I	27,829	Specialty Crop Research Initiative	RR722-418/5054526	Univ of Florida	
10.309	I	6,747	Specialty Crop Research Initiative	S110021 2011-51181-21064	Texas A&M University	
10.309	I	440	Specialty Crop Research Initiative	UFDSPO0010491	Univ of Florida	
10.309	I	46,319	Specialty Crop Research Initiative	UFDSPO0011195/00125051	Univ of Florida	
10.310	D	8,536,078	Agriculture and Food Research Initiative (AFRI)			
10.310	I	37,324	Agriculture and Food Research Initiative (AFRI)	115334 G002890	Washington State University	
10.310	I	5,781	Agriculture and Food Research Initiative (AFRI)	126319_G003570	Washington State University	
10.310	I	5,943	Agriculture and Food Research Initiative (AFRI)	13-USDA-1015	Duke University	
10.310	I	1,799	Agriculture and Food Research Initiative (AFRI)	16-007995 D 00	Univ of Massachusetts	
10.310	I	113,387	Agriculture and Food Research Initiative (AFRI)	201223090-03	Univ of Cal - Davis	
10.310	I	93,621	Agriculture and Food Research Initiative (AFRI)	2015-68004-23179	Pennsylvania State University	
10.310	I	2,069	Agriculture and Food Research Initiative (AFRI)	238371A	University of Oregon	
10.310	I	172,413	Agriculture and Food Research Initiative (AFRI)	25-6239-0235-305	Univ of Nebraska- Lincoln	
10.310	I	198,794	Agriculture and Food Research Initiative (AFRI)	25574 2011-67003-30228	University of Delaware	
10.310	I	8,771	Agriculture and Food Research Initiative (AFRI)	416-41-07C	Iowa State University	
10.310	I	243,675	Agriculture and Food Research Initiative (AFRI)	422192-19071	Virginia Polytechnic	
10.310	I	50,777	Agriculture and Food Research Initiative (AFRI)	422370-19071	Virginia Polytechnic Institute	
10.310	I	562,047	Agriculture and Food Research Initiative (AFRI)	5197-NCSU-USDA-3179	Pennsylvania State University	
10.310	I	14,605	Agriculture and Food Research Initiative (AFRI)	545892-19071	Virginia Polytech Institute	
10.310	I	39,013	Agriculture and Food Research Initiative (AFRI)	562981/PO#3403894	Univ of Pennsylvania	
10.310	I	3,750	Agriculture and Food Research Initiative (AFRI)	60044791	Ohio State University	
10.310	I	45,080	Agriculture and Food Research Initiative (AFRI)	71304-10173	Cornell University	
10.310	I	5,704	Agriculture and Food Research Initiative (AFRI)	718253-712683	Virginia Institute Of Marine	
10.310	I	100,403	Agriculture and Food Research Initiative (AFRI)	8000053331-AG	Perdue University	
10.310	I	250,350	Agriculture and Food Research Initiative (AFRI)	8000053331-AG	Purdue University	
10.310	I	219,294	Agriculture and Food Research Initiative (AFRI)	8000067418-AG	Purdue University	
10.310	I	808,334	Agriculture and Food Research Initiative (AFRI)	8500022696	Univ of Tennessee	

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10.310	I	58,976	Agriculture and Food Research Initiative (AFRI)	C00046787-1	Univ of Missouri - Columbia	
10.310	I	22,037	Agriculture and Food Research Initiative (AFRI)	C0490A-A	Oregon State Univ.	
10.310	I	21,093	Agriculture and Food Research Initiative (AFRI)	RC104967NCSU	Michigan State University	
10.310	I	11,549	Agriculture and Food Research Initiative (AFRI)	RC299-458/S000769	Univ of Georgia	
10.310	I	116,041	Agriculture and Food Research Initiative (AFRI)	S-000472	Univ of Cal - Riverside	
10.310	I	76,109	Agriculture and Food Research Initiative (AFRI)	S14148	Kansas State University	
10.310	I	520,690	Agriculture and Food Research Initiative (AFRI)	UFDSP00010678	Univ of Florida	
10.310	I	164,153	Agriculture and Food Research Initiative (AFRI)	UFDSP0010678	Univ of Florida	
10.310	I	41,145	Agriculture and Food Research Initiative (AFRI)	Z552806	Univ of Maryland	
10.311	I	2,590	Beginning Farmer and Rancher Development Program	545943-19071	Virginia Polytech Institute	
10.312	D	15	Biomass Research and Development Initiative Competitive Grants Program (BRDI)			
10.312	I	333,923	Biomass Research and Development Initiative Competitive Grants Program (BRDI)	3048109826-058	Univ of Kentucky Research Found	
10.320	I	15,349	Sun Grant Program	8500032072	Univ of Tennessee	
10.320	I	5,716	Sun Grant Program	8500033505	Univ of Tennessee	
10.320	I	18,010	Sun Grant Program	8500047865	Univ of Tennessee	
10.320	I	16,325	Sun Grant Program	8500047866	Univ of Tennessee	
10.328	I	14,848	National Food Safety Training, Education, Extension, Outreach, and Technical Assistance Competitive Grants Program	UFDSP00011138 / 00125142	Univ of Florida	
10.329	D	1,233,937	Crop Protection and Pest Management Competitive Grants Program			
10.329	I	13,267	Crop Protection and Pest Management Competitive Grants Program	76523-10612	Cornell University	
10.329	I	34,347	Crop Protection and Pest Management Competitive Grants Program	RF330-503/8644617	Univ of Georgia	
10.330	I	1,358	Alfalfa and Forage Research Program	8500046909	Univ of Tennessee	
10.500	D	9,996,220	Cooperative Extension Service			
10.500	I	2,541	Cooperative Extension Service	2015-00768-04	Univ of Illinois	
10.500	I	942	Cooperative Extension Service	21663-19 PO#P0040668	Univ of Arkansas	
10.500	I	537	Cooperative Extension Service	21666-12	Univ of Arkansas	
10.500	I	256,356	Cooperative Extension Service	25-6365-0040-005	Univ of Nebraska - Lincoln	
10.500	I	3,778	Cooperative Extension Service	5188-NCSU-USDA-2628	Pennsylvania State University	
10.500	I	3,135	Cooperative Extension Service	5370-NCSU-USDA-4341	Pennsylvania State University	
10.500	I	227,956	Cooperative Extension Service	RC105427NCSU	Michigan State University	
10.500	I	249	Cooperative Extension Service	RE582-364/4942436	Univ of Georgia	
10.500	I	18,657	Cooperative Extension Service	RE675-171/4942716	Univ of Georgia	
10.500	I	9,716	Cooperative Extension Service	RE675-171/4944686	Univ of Georgia	
10.500	I	28,770	Cooperative Extension Service	RE675-171/S000682	Univ of Georgia	
10.500	I	23,425	Cooperative Extension Service	S14018	Kansas State University	
10.500	I	23,128	Cooperative Extension Service	S15126	Kansas State University	
10.500	I	114,344	Cooperative Extension Service	S16016	Kansas State University	
10.600	D	9,224	Foreign Market Development Cooperator Program			
10.614	D	15,474	Scientific Cooperation Exchange Program with China			
10.652	D	225,963	Forestry Research			
10.674	D	83,799	Wood Utilization Assistance			
10.675	I	18,959	Urban and Community Forestry Program	A15-0258-S001	Univ of Tennessee	
10.680	D	122,217	Forest Health Protection			
10.681	D	30,321	Wood Education and Resource Center (WERC)			
10.769	D	22,752	Rural Business Enterprise Grants			
10.868	D	4,031	Rural Energy for America Program			
10.902	D	28,156	Soil and Water Conservation			
10.903	D	98,362	Soil Survey			
10.912	D	767,244	Environmental Quality Incentives Program			
10.912	I	8,580	Environmental Quality Incentives Program	RI-100-304-NC-STATE	Rodale Institute	
10.960	D	30,509	Technical Agricultural Assistance			
10.961	D	11,631	Scientific Cooperation and Research			
10.962	D	84,739	Cochran Fellowship Program-International Training-Foreign Participant			
10.RD	D	2,124,974	U. S. Department of Agriculture			15-8130-0928-CA
10.RD	I	46,781	U. S. Department of Agriculture	#13-052	Land-Of-Sky Regional Council	#13-052
10.RD	I	1,500	U. S. Department of Agriculture	0018889	Auburn University	18889
10.RD	I	51,632	U. S. Department of Agriculture	5150-BATTS	Rutgers University	2012-51120-20098
10.U06	D	274,691	U. S. Department of Agriculture			400-0100-001-00128
10.U07	I	1,000	U. S. Department of Agriculture	PO# 16 13800 00	Iowa State Univ	PO# 16 13800 00
10.U08	I	67,062	U. S. Department of Agriculture	018000.340753.03	Mississippi State University	018000.340753.03
11.012	I	12,050	Integrated Ocean Observing System (IOOS)	IOO.11(033)NCSU.RH.MOD.3	SECOORA	
11.012	I	24,618	Integrated Ocean Observing System (IOOS)	IOOS.11(033)NCSU.LX.MOD.4	SECOORA	
11.012	I	77,164	Integrated Ocean Observing System (IOOS)	IOOS.11(033)NCSU.RH.MOD.4	SECORRA	
11.307	D	23,411	Economic Adjustment Assistance			
11.307	I	25,735	Economic Adjustment Assistance	04-79-06686	NC Rural Econ Dev Ct	
11.417	D	2,234,496	Sea Grant Support			
11.417	I	30,068	Sea Grant Support	2015-1016	Chagrin River Watershed	
11.417	I	25,349	Sea Grant Support	D004196857	Univ of Minnesota	
11.417	I	22,081	Sea Grant Support	RE746-073/4942226	Univ of Georgia	
11.417	I	2,055	Sea Grant Support	UF-12130	Univ of Florida	

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Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
11.419	I	1,009	Coastal Zone Management Administration Awards	5088 / PO #S1911101	Rutgers University	
11.427	D	61,699	Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program			
11.431	I	10,683	Climate and Atmospheric Research	13-2322	Univ of South Carolina	
11.431	I	83,634	Climate and Atmospheric Research	S150208	Texas A&M University	
11.432	I	5,782,591	National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes	13342-Z7812001	Univ of Maryland, College Park	
11.432	I	11,388	National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes	3003712268	Univ of Michigan	
11.440	I	20,355	Environmental Sciences, Applications, Data, and Education	Z763701	Univ of Maryland	
11.440	I	3,630	Environmental Sciences, Applications, Data, and Education	Z763701	Univ of Maryland, College Park	
11.454	D	120,888	Unallied Management Projects			
11.459	D	20,653	Weather and Air Quality Research			
11.468	D	129,385	Applied Meteorological Research			
11.478	I	72,491	Center for Sponsored Coastal Ocean Research-Coastal Ocean Program	A100897	Wood Hole Oceanographic Institution	
11.483	I	4,793	NOAA Programs for Disaster Relief Appropriations Act - Non-construction and Construction	16608-Z7818001	Univ of Maryland, College Park	
11.609	D	56,572	Measurement and Engineering Research and Standards			
11.609	I	4,148	Measurement and Engineering Research and Standards	140100153	Concurrent Technologies	
11.611	D	3,021,873	Manufacturing Extension Partnership			
11.619	I	50,163	Arrangements for Interdisciplinary Research Infrastructure	S 1266-15A	Youngstown State Univ	
11.620	D	65,694	Science, Technology, Business and/or Education Outreach			
11.RD	D	70,621	U. S. Department of Commerce			NA100AR4170080
11.RD	I	7,553	U. S. Department of Commerce	2015-0454	Biohabitats Inc.	2015-0454
11.RD	I	4,335	U. S. Department of Commerce	CCU NO. 2012.02/SA12-CCU0	Coastal Carolina University	CCU NO. 2012.02/SA12-CCU0
11.RD	I	72,951	U. S. Department of Commerce	UTA13-000443	University of Texas - Austin	UTA13-000443
11.U01	D	8,688	U. S. Department of Commerce			NA100AR4170080
11.U02	I	81,817	U. S. Department of Commerce	SA15-NCSU01	Global Science & Technology	SA15-NCSU01
12.002	D	460,844	Procurement Technical Assistance For Business Firms			
12.300	D	3,561,649	Basic and Applied Scientific Research			
12.300	I	33,260	Basic and Applied Scientific Research	07-S140728	Texas A&M University	
12.300	I	338,829	Basic and Applied Scientific Research	W9126G-12-2-0051	Co-Op Ecosystem Studies Unit	
12.300	I	19,056	Basic and Applied Scientific Research	W9126G-12-2-0051	Cooperative Ecosystem Studies	
12.355	D	12,794	Pest Management and Vector Control Research			
12.357	I	35,999	ROTC Language and Culture Training Grants	2603-NCSU-6-GO-015-PO1	Institute Of Int'L Education	
12.360	D	199,265	Research on Chemical and Biological Defense			
12.420	I	34,576	Military Medical Research and Development	C16J12288 (J00244)	Yale University	
12.431	D	3,039,922	Basic Scientific Research			
12.431	I	1,231	Basic Scientific Research	4020-NCSU-USA-0525	Pennsylvania State University	
12.431	I	115,975	Basic Scientific Research	515120	Columbia University	
12.431	I	55,793	Basic Scientific Research	W911NF-12-2-0064/15-001	Cree, Inc.	
12.579	I	505,211	Language Training Center	2603-NCSU-6-LTC-LT4-PO2	Institute Of Int'L Education	
12.579	I	1,234,554	Language Training Center	2603-NCSU-6-LTC-LT5-PO4	Institute Of Int'L Education	
12.630	D	38,514	Basic, Applied, and Advanced Research in Science and Engineering			
12.630	I	209,384	Basic, Applied, and Advanced Research in Science and Engineering	W9132T-11-2-0007	Co-Op Ecosystem Studies Unit	
12.800	D	2,192,760	Air Force Defense Research Sciences Program			
12.800	I	213,857	Air Force Defense Research Sciences Program	10008276-NCSU	Bowling Green State University	
12.800	I	59,172	Air Force Defense Research Sciences Program	15-698	Arizona State University	
12.800	I	432,830	Air Force Defense Research Sciences Program	20140179	Nat'L Ctr For Defense Manufac	
12.800	I	40,823	Air Force Defense Research Sciences Program	421-20-31B	Iowa State University	
12.800	I	137,544	Air Force Defense Research Sciences Program	450169-19071	Virginia Polytech Institute	
12.800	I	186,968	Air Force Defense Research Sciences Program	450169-19071	Virginia Polytechnic Institute	
12.800	I	215,094	Air Force Defense Research Sciences Program	5011-NCSU-AFOSR-0067	Pennsylvania State University	
12.800	I	32,583	Air Force Defense Research Sciences Program	800002123-02	Florida Int'L Univ.	
12.800	I	96,644	Air Force Defense Research Sciences Program	CG11604-141694	Univ of Virginia	
12.800	I	12	Air Force Defense Research Sciences Program	J029/PO#10106	Defense Engineering Corp.	
12.800	I	139,980	Air Force Defense Research Sciences Program	RSC12035	Univ of Dayton	
12.901	D	101,960	Mathematical Sciences Grants Program			
12.910	D	461,387	Research and Technology Development			
12.910	I	1,830	Research and Technology Development	00009160	Univ of Cal- Berkeley	
12.910	I	13,889	Research and Technology Development	4912065920.0	IBM	
12.910	I	57,395	Research and Technology Development	68542-10406	Cornell University	
12.RD	D	13,914,771	U. S. Department of Defense			H98230-13-D-0054/0006
12.RD	I	9,322	U. S. Department of Defense	009799-002	University of Cincinnati	009799-002
12.RD	I	14,632	U. S. Department of Defense	018-1	Intelligent Fusion Technology	018-1
12.RD	I	135,535	U. S. Department of Defense	1003025.0025	Ecology And Environment, Inc.	1003025.003
12.RD	I	101,449	U. S. Department of Defense	1011580-338318	Carnegie Mellon University	1011580-338318
12.RD	I	1,168	U. S. Department of Defense	1012-NCS1408	Sa Photonics	1012-NCS1408
12.RD	I	4,065	U. S. Department of Defense	1023-NCSU1508	Sa Photonics	1023-NCSU1508
12.RD	I	92,554	U. S. Department of Defense	13-001/W911NF-12-2-0064	Cree, Inc.	13-001/W911NF-12-2-0064
12.RD	I	4,685	U. S. Department of Defense	14-16-NCSU	Cu Aerospace	14-16-NCSU
12.RD	I	3,000	U. S. Department of Defense	14-ARO-1099	Duke University	14-ARO-1099

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12.RD	I	67,332	U. S. Department of Defense	15-0459	Brigham Young University	15-0459
12.RD	I	3,952	U. S. Department of Defense	152333	Infocitex	152333
12.RD	I	7,174	U. S. Department of Defense	152334	Infocitex	152334
12.RD	I	6,474	U. S. Department of Defense	153181	Infocitex	153181
12.RD	I	20,060	U. S. Department of Defense	16-00119-SUB-000	Carnegie Mellon University	16-00119-SUB-000
12.RD	I	7,402	U. S. Department of Defense	160398	Infocitex	160398
12.RD	I	4,733	U. S. Department of Defense	160513	Infocitex	160513
12.RD	I	37,457	U. S. Department of Defense	17118	Advanced Cooling Technologies	17118
12.RD	I	22,329	U. S. Department of Defense	2001-NCS1309	Sa Photonics	2001-NCS1309
12.RD	I	53,844	U. S. Department of Defense	2012-2080	Nj Microsystems, Inc.	2012-2080
12.RD	I	86,326	U. S. Department of Defense	2013-2643	Nla Diagnostics, Llc	2013-2643
12.RD	I	99,119	U. S. Department of Defense	2014-0517	Energy-To-Power Solutions(E2p)	G40100282914FOR
12.RD	I	24,846	U. S. Department of Defense	2014-1020	Haley & Aldrich, Inc.	2014-1020
12.RD	I	104,716	U. S. Department of Defense	2014-2227	Computational Sciences, Llc	2014-2227
12.RD	I	33,180	U. S. Department of Defense	2014-2392	Calabazas Creek Research, Inc.	2014-2392
12.RD	I	5,321	U. S. Department of Defense	2014-2547/PINS 57229	Adroit Materials, Inc.	2014-2547/PINS 57229
12.RD	I	8,863	U. S. Department of Defense	2014-2650	Agnitron Technology Inc.	2014-2650
12.RD	I	22,476	U. S. Department of Defense	2015-0760	American Superconductor Corp.	2015-0760
12.RD	I	122,452	U. S. Department of Defense	2015-0769	Vadum, Inc.	2015-0769
12.RD	I	13,507	U. S. Department of Defense	2015-1957	Solutions-Ies, Inc.	2015-1957
12.RD	I	24,067	U. S. Department of Defense	2016-0408	Adroit Materials, Inc.	2016-0408
12.RD	I	7,919	U. S. Department of Defense	210-001-2015-NCSU	Institute For Wildlife Studies	210-001-2015-NCSU
12.RD	I	27,036	U. S. Department of Defense	3909-1	Maxentric Technologies, Llc	3909-1
12.RD	I	93,570	U. S. Department of Defense	ARM211	Tufts University	ARM211
12.RD	I	27,583	U. S. Department of Defense	CVI7007-01	Control Vision, Inc.	CVI7007-01
12.RD	I	14,096	U. S. Department of Defense	CVI7008-01	Control Vision, Inc.	CVI7008-01
12.RD	I	25,942	U. S. Department of Defense	CVI7009-01 / 15-1857	Control Vision, Inc.	CVI7009-01 / 15-1857
12.RD	I	17,162	U. S. Department of Defense	FA8601-15-P-0061	Air Force Institute Of Technol	FA8601-15-P-0061
12.RD	I	51,771	U. S. Department of Defense	N00014-14-C-0122	Abb, Inc.	N00014-14-C-0122
12.RD	I	36,438	U. S. Department of Defense	P. O. NO. 72	Firstpass Engineering	2016-0630
12.RD	I	137,049	U. S. Department of Defense	PO #2009-NCS1404	Sa Photonics	PO #2009-NCS1404
12.RD	I	1,384	U. S. Department of Defense	PO100642	Integrated Systems Solutions,	PO100642
12.RD	I	45,297	U. S. Department of Defense	RES508103	Case Western Reserve University	RES508103
12.RD	I	28,455	U. S. Department of Defense	RSC15002	Univ of Dayton	RSC15002
12.RD	I	374	U. S. Department of Defense	S-875-202-003	UES, Inc.	S-875-202-003
12.RD	I	113,823	U. S. Department of Defense	S-926-013-003	UES, Inc.	S-926-013-003
12.RD	I	26,924	U. S. Department of Defense	SA-15-001	Datanova Scientific	SA-15-001
12.RD	I	111,697	U. S. Department of Defense	SC14-5912-1	Toyon Research Corporation	SC14-5912-1
12.RD	I	50,973	U. S. Department of Defense	TS14-16-02-001	Taitech, Inc.	TS14-16-02-001
12.RD	I	56,548	U. S. Department of Defense	TUL-SCC-553199-15/16	Tulane University	TUL-SCC-553199-15/16
12.RD	I	2,163	U. S. Department of Defense	W912HQ-11-C-0058	Strategic Envir Rsch & Dev Pgm	W912HQ-11-C-0058
12.U04	D	111,588	U. S. Department of Defense			W912PM-15-P-0111
12.U05	I	11,216	U. S. Department of Defense	1486	Small Business Group, Inc.	1486
13.RD	D	14,496	U. S. Central Intelligence			2014-14082600004
14.906	D	274,486	Healthy Homes Technical Studies Grants			
14.RD	I	44,677	U. S. Department of Housing and Urban Development	2013-5-35 MBE	A.P. Sloan Found.	2013-5-35 MBE
15.232	D	170,038	Wildland Fire Research and Studies Program			
15.605	I	17,545	Sport Fish Restoration Program	2015-000067	Puerto Rico DENR	
15.605	I	107,165	Sport Fish Restoration Program	2016-000069	Puerto Rico DENR	
15.608	I	9,567	Fish and Wildlife Management Assistance	FWS-800-037-2014-NCSU	Gulf States Marine Fisheries	
15.608	I	9,936	Fish and Wildlife Management Assistance	FWS-800-037-2015-NCSU	Gulf States Marine Fisheries	
15.611	I	309,627	Wildlife Restoration and Basic Hunter Education	2015-000141	Puerto Rico DENR	
15.611	I	90,721	Wildlife Restoration and Basic Hunter Education	2016-000031	Puerto Rico DENR	
15.611	I	159,541	Wildlife Restoration and Basic Hunter Education	2016-000092	Puerto Rico DENR	
15.621	D	11,226	Asian Elephant Conservation Fund			
15.637	I	23,694	Migratory Bird Joint Ventures	191000.33131.08	Mississippi State Univ	
15.650	D	21,325	Research Grants (Generic)			
15.657	D	33,364	Endangered Species Conservation - Recovery Implementation Funds			
15.669	D	141,502	Cooperative Landscape Conservation			
15.805	D	95,045	Assistance to State Water Resources Research Institutes			
15.807	D	70,803	Earthquake Hazards Research and Monitoring Assistance			
15.808	D	140,759	U. S. Geological Survey- Research and Data Collection			
15.812	D	1,055,361	Cooperative Research Units Program			
15.820	D	923,498	National Climate Change and Wildlife Science Center			
15.945	D	438,486	Cooperative Research and Training Programs - Resources of the National Park System			
15.945	I	14,825	Cooperative Research and Training Programs - Resources of the National Park System	P15AC00972	Co-Op Ecosystem Studies Unit	
15.945	I	5,867	Cooperative Research and Training Programs - Resources of the National Park System	P15AC01613	Cooperative Ecosystem Studies	

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15.979	D	68,190	Hurricane Sandy Program			
15.RD	D	194,409	U. S. Department of Interior			G14AC00344
16.560	D	303,007	National Institute of Justice Research, Evaluation, and Development Project Grants			
16.560	I	72,138	National Institute of Justice Research, Evaluation, and Development Project Grants	428-20-07A	Iowa State University	
16.726	I	157,573	Juvenile Mentoring Program	2014-OJJDP-NMPV-534	National 4-H Council	
16.726	I	44,484	Juvenile Mentoring Program	2016-2015-JU-FX-0015	National 4-H Council	
16.RD	I	28,655	U. S. Department of Justice	464763PO-US001-0000464763	Battelle Memorial Institute	464763PO-US001-0000464763
17.502	D	44,971	Occupational Safety and Health-Susan Harwood Training Grants			
19.U01	I	20,425	U. S. Department of State	2015-1002	Embassy Of France In The U.S.	60636
19.U02	I	636	U. S. Department of State	EP2243502	Virginia Commonwealth Univ	EP2243502
20.109	I	97,666	Air Transportation Centers of Excellence	15-C-UAS-NCSU-01	Federal Aviation Admin.	
20.205	I	14,685	Highway Planning and Construction	11-026	Univ of New Hampshire	
20.205	I	170,267	Highway Planning and Construction	15-3317	City of Durham	
20.205	I	525	Highway Planning and Construction	2010-2076/PO#:38525	City of Raleigh	
20.205	I	98,469	Highway Planning and Construction	58285	City of Raleigh	
20.215	D	27,763	Highway Training and Education			
20.701	I	261,959	University Transportation Centers Program	5893-Z9600001	Univ of Maryland, College Park	
20.701	I	146,810	University Transportation Centers Program	5893-Z9600001	University of Maryland	
20.RD	D	20,165	U. S. Department of Transportation			DTFH61-10-C-00029
20.RD	I	60,984	U. S. Department of Transportation	025-5-1-042	Alaska DOT	025-5-1-042
20.RD	I	2,025	U. S. Department of Transportation	02563019	Alaska DOT	02563019
20.RD	I	56,127	U. S. Department of Transportation	18135_11074	Kittelson & Associates, Inc.	2015-3239/15-042
20.RD	I	11,178	U. S. Department of Transportation	18162/11074	Kittelson & Associates, Inc.	18162/11074
20.RD	I	27,763	U. S. Department of Transportation	19369/11074	Kittelson & Associates, Inc.	19369/11074
20.RD	I	12,351	U. S. Department of Transportation	19419 / 11074	Kittelson & Associates, Inc.	19419/11074
20.RD	I	1,014	U. S. Department of Transportation	2014-2578/E-146DRB1450	FDH Engineering, Inc.	2014-2578/E-146DRB1450
20.RD	I	345	U. S. Department of Transportation	20PO002036	Louis Berger Group, Inc.	20PO002036
20.RD	I	114,417	U. S. Department of Transportation	HR 03-113	National Academy of Sciences	HR 03-113
20.RD	I	84,851	U. S. Department of Transportation	HR 03-113 / SUB0000490	National Academy of Sciences	HR 03-113 / SUB0000490
20.RD	I	41,402	U. S. Department of Transportation	HR 09-54	National Academy of Sciences	2013-0869
20.RD	I	133,915	U. S. Department of Transportation	HR 09-54	National Academy of Sciences	HR 09-54
20.RD	I	25,103	U. S. Department of Transportation	HR-03-113	National Academy of Sciences	HR-03-113
20.RD	I	835	U. S. Department of Transportation	P010142080	SAIC	P010142080
20.RD	I	72,713	U. S. Department of Transportation	RC103537A	Michigan State University	RC103537A
20.RD	I	68,863	U. S. Department of Transportation	S-001986-NCSU-00 14-00560	Applied Research Assoc. (Ara)	S-001986-NCSU-00 14-00560
20.RD	I	18,902	U. S. Department of Transportation	UF-EIES-1200025-NCS / TO	Univ of Florida	UF-EIES-1200025-NCS /TO
20.RD	I	6,425	U. S. Department of Transportation	UF-EIES-1200025-NCS / TO1	Univ of Florida	UF-EIES-1200025-NCS /TO1
20.RD	I	4,211	U. S. Department of Transportation	UF-EIES-1200025-NCS/TO#15	Univ of Florida	UF-EIES-1200025-NCS /TO#15
20.RD	I	3,123	U. S. Department of Transportation	UF-EIES-1200025-NCS/TO#16	Univ of Florida	UF-EIES-1200025-NCS /TO#16
20.RD	I	2,107	U. S. Department of Transportation	UF-EIES-1200025-NCS/TO12	Univ of Florida	UF-EIES-1200025-NCS /TO12
20.RD	I	29,223	U. S. Department of Transportation	UF-EIES-1200025-NCS/TO13	Univ of Florida	UF-EIES-1200025-NCS /TO13
20.U02	D	48,830	U. S. Department of Transportation			DTFH6115P00099
20.U03	I	223,907	U. S. Department of Transportation	2015-3239/15-042	Go Triangle	2015-3239/15-042
20.U04	I	53,245	U. S. Department of Transportation	15-2938	Triangle J Coun Govt	2015-2938
20.U05	I	525	U. S. Department of Transportation	2014-2927/14-031	Triangle Transit Authority	2014-2927/14-031
43.001	D	791,474	Science			
43.001	I	10,791	Science	15-PHY-209376-NCSU	Auburn University	
43.001	I	12,203	Science	18802	Univ of Massachusetts	
43.001	I	7,765	Science	73175	State Univ of New York	
43.001	I	18,955	Science	EO00011	NSBRI	
43.001	I	6,971	Science	GO4-15077X	Smithsonian Astrophys Observ	
43.001	I	18,102	Science	GO5-16055X	Smithsonian Astrophys Observ	
43.001	I	60,940	Science	GO5-16069A	Smithsonian Astrophys Observ	
43.001	I	52,003	Science	GO5-16070X	Smithsonian Astrophys Observ	
43.001	I	129,991	Science	RR100-633/4944176	Univ of Georgia	
43.001	I	1,740	Science	RR176-308/S001031	Univ of Georgia	
43.002	D	169,055	Aeronautics			
43.002	I	22,607	Aeronautics	UA14-036	Univ of Alabama	
43.003	D	45,445	Exploration			
43.008	D	648,963	Education			
43.008	I	9,970	Education	NNX15AH81H / 2015-1994	NASA	
43.009	D	111,304	Cross Agency Support			
43.RD	D	294,703	National Aeronautics and Space Administration			NNX10AI68H
43.RD	I	36,742	National Aeronautics and Space Administration	1022-1	X-Wave Innovations, Inc.	1022-1
43.RD	I	26,594	National Aeronautics and Space Administration	1517781	Jet Propulsion Laboratory	1517781
43.RD	I	18,410	National Aeronautics and Space Administration	C15-2B00-NCSU 2B43-NCSU	NatL Inst. of Aerospace	C15-2B00-NCSU 2B43-NCSU
43.RD	I	7,689	National Aeronautics and Space Administration	C15-2B00-NCSU-2B35-NCSU	NatL Inst. of Aerospace	C15-2B00-NCSU-2B35-NCSU
43.RD	I	161,148	National Aeronautics and Space Administration	C15-2B00-NCSU-3774-NCSU	NatL Inst. of Aerospace	C15-2B00-NCSU-3774-NCSU
43.RD	I	90,666	National Aeronautics and Space Administration	HST-HF2-51344.001-A	Space Telescope Science Institute	HST-HF2-51344.001-A
43.RD	I	57,376	National Aeronautics and Space Administration	NCSU-03-01-2892-NC	NatL Inst. of Aerospace	NCSU-03-01-2892-NC

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43.RD	I	308	National Aeronautics and Space Administration	NCSU-03-01-2A25-NC	Nat'L Inst. of Aerospace	NCSU-03-01-2A25-NC
43.RD	I	43,671	National Aeronautics and Space Administration	NCSU-03-01-2A41-NC	Nat'L Inst. of Aerospace	NCSU-03-01-2A41-NC
43.RD	I	120,623	National Aeronautics and Space Administration	NCSU-03-01-3771-011-NC	Nat'L Inst. of Aerospace	NCSU-03-01-3771-011-NC
43.RD	I	33,764	National Aeronautics and Space Administration	NCSU-03-01-4502-NC	Nat'L Inst. of Aerospace	NCSU-03-01-4502-NC
43.RD	I	39,456	National Aeronautics and Space Administration	NCSU-03-01-4740-030-NC	Nat'L Inst. of Aerospace	NCSU-03-01-4740-030-NC
43.RD	I	3,705	National Aeronautics and Space Administration	NCSU-03-01-4770-001-NC	Nat'L Inst. of Aerospace	NCSU-03-01-4770-001-NC
43.RD	I	21,346	National Aeronautics and Space Administration	RR176-303/S000861	Univ of Georgia	RR176-303/S000861
43.U04	D	36,042	National Aeronautics and Space Administration			NCSU-03-01-4740-024-NC
43.U05	I	12,576	National Aeronautics and Space Administration	NCSU-03-01-4740-018-NC	Nat'L Inst. of Aerospace	NCSU-03-01-4740-018-NC
45.129	I	35,921	Promotion of the Humanities-Federal/State Partnership	2013-0775	Friedrich Schiller University	
45.161	D	43,555	Promotion of the Humanities-Research			
45.169	D	34,033	Promotion of the Humanities-Office of Digital Humanities			
45.312	D	23,260	National Leadership Grants			
45.U01	I	951	Federal Council on the Arts and the Humanities	15-41	NC Humanities Council	15-41
45.U02	I	2,000	Federal Council on the Arts and the Humanities	15-30863	New England Fdnn For The Arts	15-30863
45.U03	I	7,320	Federal Council on the Arts and the Humanities	2015-1498	South Arts	2015-1498
45.U04	I	6,660	Federal Council on the Arts and the Humanities	4919	South Arts	4919
47.041	D	16,342,851	Engineering Grants			
47.041	I	25,336	Engineering Grants	14-082	Univ of New Hampshire	
47.041	I	97,295	Engineering Grants	2014-0225	Physical Devices Llc	
47.041	I	79,240	Engineering Grants	2015-1277	Smart Material Solutions LLC	
47.041	I	56,865	Engineering Grants	2015-2591	Lumeova	
47.041	I	25,467	Engineering Grants	2015-3123	Boston Mountain Biotech, LLC	
47.041	I	13,920	Engineering Grants	2016-1238	Kinetic	
47.041	I	10,788	Engineering Grants	478359-19071	Virginia Polytech Institute	
47.041	I	10,430	Engineering Grants	478359-19071A	Virginia Polytech Institute	
47.049	D	6,826,896	Mathematical and Physical Sciences			
47.049	I	25,445	Mathematical and Physical Sciences	00002006274	Univ of Minnesota	
47.049	I	636,610	Mathematical and Physical Sciences	12-NSF-1029	Duke University	
47.049	I	21,387	Mathematical and Physical Sciences	13-1726	American Physical Society	
47.049	I	7,992	Mathematical and Physical Sciences	13013-81796-2	Texas State Univ - San Marcos	
47.049	I	2,937	Mathematical and Physical Sciences	173308	Univ of Arizona	
47.049	I	91,049	Mathematical and Physical Sciences	2606-015012	Vanderbilt University	
47.049	I	149,591	Mathematical and Physical Sciences	UFDSP00010973	Univ of Florida	
47.049	I	92,201	Mathematical and Physical Sciences	UWSC6729 - PO #: BPO6175	Univ of Washington	
47.050	D	2,996,708	Geosciences			
47.050	I	6,293	Geosciences	420-41-01A	Iowa State University	
47.070	D	5,798,762	Computer and Information Science and Engineering			
47.070	I	16,736	Computer and Information Science and Engineering	00008062	Univ of Cal- Berkeley	
47.074	D	6,298,707	Biological Sciences			
47.074	I	80,353	Biological Sciences	0038425(011514-1)	University of Pittsburgh	
47.074	I	72,624	Biological Sciences	10-NSF-1061	Duke University	
47.074	I	1,847	Biological Sciences	12-NSF-1082	Duke University	
47.074	I	6,566	Biological Sciences	15-NSF-1096	Duke University	
47.074	I	245,863	Biological Sciences	27169	Univ of Delaware	
47.074	I	15,260	Biological Sciences	27184	University of Delaware	
47.074	I	94,140	Biological Sciences	61406-9504	Cornell University	
47.074	I	169,476	Biological Sciences	67183-10114	Cornell University	
47.074	I	7,166	Biological Sciences	C14D11779(D01845)	Yale University	
47.074	I	11,673	Biological Sciences	IOS-1444561	Nat'L Science Found.	
47.074	I	2,828	Biological Sciences	RF331-302/S001089	Univ of Georgia	
47.074	I	95,616	Biological Sciences	RR167-808/S000657	Univ of Georgia	
47.074	I	4,450	Biological Sciences	RR272-815/S054246	Univ of Georgia	
47.074	I	81,790	Biological Sciences	UTA10-000936	Univ of Texas	
47.075	D	695,758	Social, Behavioral, and Economic Sciences			
47.075	I	2,552	Social, Behavioral, and Economic Sciences	16-789	Arizona State University	
47.075	I	20,000	Social, Behavioral, and Economic Sciences	DG15-9439	Assoc. for Institutional Res.	
47.075	I	19,732	Social, Behavioral, and Economic Sciences	RC104050NCSU	Michigan State University	
47.075	I	13,278	Social, Behavioral, and Economic Sciences	RG14-5319	Assoc. for Institutional Res.	
47.076	D	8,031,315	Education and Human Resources			
47.076	I	41,279	Education and Human Resources	2015-3274	Univ of Cal - Irvine	
47.076	I	175,635	Education and Human Resources	278-01.01	Concord Consortium	
47.076	I	5,834	Education and Human Resources	29778-Z4602001	Univ of Maryland, College Park	
47.076	I	9,686	Education and Human Resources	478570-19071	Virginia Polytechnic Institute	
47.076	I	11,493	Education and Human Resources	478605-19071	Virginia Polytechnic Institute	
47.076	I	230,346	Education and Human Resources	478639-19071	Virginia Polytech Institute	
47.076	I	1,835	Education and Human Resources	67931-10256	Cornell University	
47.076	I	44,231	Education and Human Resources	C00032406-1	Univ of Missouri - Columbia	
47.076	I	145,353	Education and Human Resources	DUE-1125331	Carleton College	
47.076	I	9,130	Education and Human Resources	S150503	Prairie View A&M University	

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47.076	I	10,683	Education and Human Resources	UWSC8731 / PO# BPO10762	Univ of Washington	
47.078	D	30,103	Polar Programs			
47.079	D	151,348	Office of International Science and Engineering			
47.080	D	188,188	Office of Cyberinfrastructure			
47.082	D	177,640	Trans-NSF Recovery Act Research Support			
47.083	D	89,115	Office of Integrative Activities			
47.RD	D	577,316	National Science Foundation			DMS-0946431
47.RD	D	103,979	National Science Foundation			EEC-1160483
47.RD	I	15,500	National Science Foundation	15-2538	Natl Evolutionary Synthesis Ct	2015-2675
47.RD	I	15,126	National Science Foundation	15-2675	Natl Evolutionary Synthesis St	2015-2538
47.U02	D	853,564	National Science Foundation			1560084
47.U03	I	8,550	National Science Foundation	C602	South Carolina Sea Grant Cnsrt	C602
47.U04	I	30,416	National Science Foundation	C802	South Carolina Sea Grant Cnsrt	C802
47.U05	I	2,000	National Science Foundation	14-1265	Stevens Inst Of Tech	2014-1265
59.037	D	1,860,406	Small Business Development Centers			
59.U01	D	1,232,381	U. S. Small Business Administration			SBAHG-16-B-0050
64.RD	D	99,451	U. S. Department of Veterans Affairs			2013-2500
66.460	I	26,345	Nonpoint Source Implementation Grants	2014-1966	Hendersonville, NC	
66.460	I	16,551	Nonpoint Source Implementation Grants	2015-1025	Town of Pittsboro	
66.461	D	115,976	Regional Wetland Program Development Grants			
66.469	I	563	Great Lakes Program	2012-06075-05 / A0131	Univ of Illinois	
66.509	D	402,258	Science To Achieve Results (STAR) Research Program			
66.509	I	13,282	Science To Achieve Results (STAR) Research Program	06-S150652	Texas A&M Agrilife Research	
66.509	I	180,893	Science To Achieve Results (STAR) Research Program	06-S160606	Texas A&M Agrilife Research	
66.509	I	33,849	Science To Achieve Results (STAR) Research Program	06-S160630	Texas A&M Agrilife Research	
66.509	I	17,699	Science To Achieve Results (STAR) Research Program	5710003200	Mass. Inst. Of Tech.	
66.509	I	4,270	Science To Achieve Results (STAR) Research Program	C14P11828(P00361)	Yale University	
66.509	I	75,704	Science To Achieve Results (STAR) Research Program	E0191A-A	Oregon State Univ.	
66.509	I	52,619	Science To Achieve Results (STAR) Research Program	G-58003-1	Colorado State Univ.	
66.509	I	34,823	Science To Achieve Results (STAR) Research Program	G-58004-1	Colorado State Univ.	
66.514	D	3,230	Science To Achieve Results (STAR) Fellowship Program			
66.611	D	20,568	Environmental Policy and Innovation Grants			
66.951	I	4,774	Environmental Education Grants	E/EPA MINI-3	South Carolina Sea Grant Cnsrt	
66.RD	I	137,975	U. S. Environmental Protection Agency	#4944-RFA13-1/14-5	Health Effects Institute	#4944-RFA13-1/14-5
66.RD	I	23,516	U. S. Environmental Protection Agency	13-2619	Health Effects Institute	2013-2619
66.RD	I	4,368	U. S. Environmental Protection Agency	16-1630	Stockholm Environment Inst	2016-1630
66.RD	I	23,665	U. S. Environmental Protection Agency	16-312-0213199-52066L	RTI International	16-312-0213199-52066L
66.RD	I	197,927	U. S. Environmental Protection Agency	4944-RFA13-1/14-5-2	Health Effects Institute	4944-RFA13-1/14-5-2
66.U01	D	14,985	U. S. Environmental Protection Agency			FP-91748201
77.008	D	314,558	U. S. Nuclear Regulatory Commission Scholarship and Fellowship Program			
81.049	D	3,743,290	Office of Science Financial Assistance Program			
81.049	I	25,598	Office of Science Financial Assistance Program	15-DOE-1068	Duke University	
81.049	I	32,473	Office of Science Financial Assistance Program	1550787/PO#1000273317	Univ of Colorado - Boulder	
81.049	I	110,846	Office of Science Financial Assistance Program	1551588/PO#1000375790	Univ of Colorado - Boulder	
81.049	I	22,290	Office of Science Financial Assistance Program	2013-1608	Ngimat Co.	
81.049	I	3,236	Office of Science Financial Assistance Program	2014-2289	Drs Research	
81.049	I	24,755	Office of Science Financial Assistance Program	2015-1703	Adroit Materials, Inc.	
81.049	I	157,655	Office of Science Financial Assistance Program	2015-2339	Adroit Materials, Inc.	
81.049	I	30,829	Office of Science Financial Assistance Program	2016-0566	Genesic Semiconductor, Inc.	
81.049	I	33,280	Office of Science Financial Assistance Program	2016-0942	Calabazas Creek Research, Inc.	
81.049	I	85,883	Office of Science Financial Assistance Program	254998	Temple University	
81.049	I	187,397	Office of Science Financial Assistance Program	5026-NCSSU-DOE-1090	Pennsylvania State University	
81.049	I	141,840	Office of Science Financial Assistance Program	B6681	Texas A&M University	
81.049	I	64,440	Office of Science Financial Assistance Program	SC0013830-001	American Superconductor Corp.	
81.049	I	252,549	Office of Science Financial Assistance Program	WU-15-69	Washington University-St Louis	
81.049	I	260,703	Office of Science Financial Assistance Program	WU-HT-10-09 PO: 2911086A	Washington University-St Louis	
81.057	D	83,134	University Coal Research			
81.086	D	9,772,801	Conservation Research and Development			
81.086	I	20,805	Conservation Research and Development	2015-0689	Triangle J Coun Govt	
81.086	I	51,112	Conservation Research and Development	2015-2325	Intermolecular, Inc.	
81.087	D	598,012	Renewable Energy Research and Development			
81.087	I	55,344	Renewable Energy Research and Development	1004	Corrim	
81.087	I	60,035	Renewable Energy Research and Development	2014-2776	Metabolix, Inc.	
81.087	I	38,983	Renewable Energy Research and Development	DOE-SPEC-FE11-012	Biodiversity Research Inst.	
81.087	I	99,839	Renewable Energy Research and Development	ZFC-S-52044-01	Alliance For Sustainable Energy	
81.089	D	29,438	Fossil Energy Research and Development			
81.112	D	157,664	Stewardship Science Grant Program			
81.113	D	4,196,519	Defense Nuclear Nonproliferation Research			
81.113	I	119,857	Defense Nuclear Nonproliferation Research	209762	Univ of Arizona	
81.113	I	383,013	Defense Nuclear Nonproliferation Research	3003222368	Univ of Michigan	

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81.117	D	1,146,574	Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance			
81.117	I	28,897	Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance	Solar America Cities	Iclei	
81.121	D	1,115,861	Nuclear Energy Research, Development and Demonstration			
81.121	I	60,435	Nuclear Energy Research, Development and Demonstration	401012-5801	Colorado School Of Mines	
81.121	I	50,964	Nuclear Energy Research, Development and Demonstration	429329-19071	Virginia Polytech Institute	
81.121	I	41,079	Nuclear Energy Research, Development and Demonstration	5340-NCSU-DOE-0749	Pennsylvania State University	
81.122	D	25,621	Electricity Delivery and Energy Reliability, Research, Development and Analysis			
81.122	I	131,342	Electricity Delivery and Energy Reliability, Research, Development and Analysis	DE-OE0000734	Microgrid Institute	
81.135	D	835,466	Advanced Research Projects Agency - Energy			
81.135	I	64,522	Advanced Research Projects Agency - Energy	2013-0069	Grid Logic, Inc.	
81.135	I	147,638	Advanced Research Projects Agency - Energy	2013-0070	Energy-To-Power Solutions(E2p)	
81.135	I	198,683	Advanced Research Projects Agency - Energy	2014-2	MSRI	
81.135	I	374,672	Advanced Research Projects Agency - Energy	2014-2747	Bio2electric, Llc	
81.135	I	34,983	Advanced Research Projects Agency - Energy	2015-3268	Grid Logic, Inc.	
81.135	I	56,724	Advanced Research Projects Agency - Energy	33339-Z7218002	Univ of Maryland, College Park	
81.135	I	5,120	Advanced Research Projects Agency - Energy	9153-20936	Vanderbilt University	
81.135	I	31,358	Advanced Research Projects Agency - Energy	S611	Gas Technology Institute	
81.RD	D	429,923	U. S. Department of Energy			2014-0910
81.RD	I	16	U. S. Department of Energy	00042959 #00001 INEST	Battelle Energy Alliance, LLC	00042959 #00001 INEST
81.RD	I	32,557	U. S. Department of Energy	00042959-47	Battelle Energy Alliance, LLC	00042959-47
81.RD	I	115,498	U. S. Department of Energy	00127981	Battelle Energy Alliance, LLC	127981
81.RD	I	18,837	U. S. Department of Energy	00145661-00001	Battelle Energy Alliance, LLC	00145661-00001
81.RD	I	29,143	U. S. Department of Energy	00145661-00002	Battelle Energy Alliance, LLC	00145661-00002
81.RD	I	25,948	U. S. Department of Energy	00145661-00003	Battelle Energy Alliance, LLC	00145661-00003
81.RD	I	14,508	U. S. Department of Energy	0145661-005	Battelle Energy Alliance, LLC	0145661-005
81.RD	I	15,624	U. S. Department of Energy	0145661-006	Battelle Energy Alliance, LLC	0145661-006
81.RD	I	19,737	U. S. Department of Energy	0145661-007	Battelle Energy Alliance, LLC	RD-83616501-0
81.RD	I	67,791	U. S. Department of Energy	0161615-001	Battelle Energy Alliance, LLC	0161615-001
81.RD	I	279,775	U. S. Department of Energy	1-340-0214113-51755L	RTI International	1-340-0214113-51755L
81.RD	I	53,000	U. S. Department of Energy	107832	Bettis Atomic Power Laboratory	107832
81.RD	I	144,356	U. S. Department of Energy	145661-4	Battelle Energy Alliance, LLC	145661-4
81.RD	I	30,695	U. S. Department of Energy	145661-8	Battelle Energy Alliance, LLC	145661-8
81.RD	I	9,156	U. S. Department of Energy	1523159	Sandia National Lab	1523159
81.RD	I	69,431	U. S. Department of Energy	156020	Battelle Energy Alliance, LLC	156020
81.RD	I	58,576	U. S. Department of Energy	235049	Pacific Northwest National Lab	235049
81.RD	I	23,153	U. S. Department of Energy	278267	Los Alamos Nat'L Lab	278267
81.RD	I	22,439	U. S. Department of Energy	286473	Pacific Northwest National Lab	286473
81.RD	I	8,767	U. S. Department of Energy	292626	Pacific Northwest National Lab	292626
81.RD	I	23,945	U. S. Department of Energy	294828	Pacific Northwest National Lab	294828
81.RD	I	6,232	U. S. Department of Energy	4000040729	UT Battelle LLC	4000040729
81.RD	I	50,295	U. S. Department of Energy	4000056870	UT Battelle LLC	4000056870
81.RD	I	65,711	U. S. Department of Energy	4000061675	UT Battelle LLC	4000061675
81.RD	I	24,750	U. S. Department of Energy	4000109736	Oak Ridge National Lab	4000109736
81.RD	I	19,813	U. S. Department of Energy	4000110308	UT Battelle LLC	4000110308
81.RD	I	251,829	U. S. Department of Energy	4000114671	Oak Ridge National Lab	4000114671
81.RD	I	298,445	U. S. Department of Energy	4000114809	UT Battelle LLC	4000114809
81.RD	I	10,910	U. S. Department of Energy	4000121049	UT Battelle LLC	4000121049
81.RD	I	3,849	U. S. Department of Energy	4000130891	UT Battelle LLC	4000130891
81.RD	I	18,136	U. S. Department of Energy	4000137757	Oak Ridge National Lab	4000137757
81.RD	I	15,766	U. S. Department of Energy	4000138971	UT Battelle LLC	4000138971
81.RD	I	14,205	U. S. Department of Energy	4000141794	Oak Ridge National Lab	4000141794
81.RD	I	2,282	U. S. Department of Energy	4000144475	UT Battelle LLC	4000144475
81.RD	I	29,914	U. S. Department of Energy	4000144968	Oak Ridge National Lab	4000144968
81.RD	I	18,717	U. S. Department of Energy	4000145160	UT Battelle LLC	4000145160
81.RD	I	2,388	U. S. Department of Energy	4000145506	UT Battelle LLC	4000145506
81.RD	I	100,393	U. S. Department of Energy	4200000036-4000120386	UT Battelle LLC	4200000036-4000120386
81.RD	I	40,213	U. S. Department of Energy	4200000036-4000126315	UT Battelle LLC	4200000036-4000126315
81.RD	I	77,436	U. S. Department of Energy	4200000036-4000133202	Oak Ridge National Lab	4200000036-4000133202
81.RD	I	50,333	U. S. Department of Energy	4200000036-4000141258	UT Battelle LLC	4200000036-4000141258
81.RD	I	59,879	U. S. Department of Energy	4200000036-4000143197	Oak Ridge National Lab	4200000036-4000143197
81.RD	I	46,852	U. S. Department of Energy	4200000570-4000135101	Oak Ridge National Lab	4200000570-4000135101
81.RD	I	19,723	U. S. Department of Energy	4200000570-4000135576	Oak Ridge National Lab	4200000570-4000135576
81.RD	I	46,057	U. S. Department of Energy	4200000570-4000139673	Oak Ridge National Lab	4200000570-4000139673
81.RD	I	23,334	U. S. Department of Energy	4200000570-4000143422	Oak Ridge National Lab	4200000570-4000143422
81.RD	I	75,978	U. S. Department of Energy	4F-32144	Argonne Nat'L Lab	4F-32144
81.RD	I	64,872	U. S. Department of Energy	68393-02	Battelle Energy Alliance, LLC	68393-02
81.RD	I	74,879	U. S. Department of Energy	7078212	L. Berkeley Natl Lab	7078212
81.RD	I	190,145	U. S. Department of Energy	7090112	L. Berkeley Natl Lab	7090112

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81.RD	I	44,110	U. S. Department of Energy	B606928	Lawrence Livermore Natl. Secu.	B606928
81.RD	I	1,890	U. S. Department of Energy	B618034	Lawrence Livermore Natl Lab	B618034
81.RD	I	24,720	U. S. Department of Energy	PO 614877	Fermilab	PO 614877
81.RD	I	2,648	U. S. Department of Energy	XEJ-6-62175-01	Alliance For Sustainable Energy	XEJ-6-62175-01
81.RD	I	71,224	U. S. Department of Energy	XEV-5-42083-01	Alliance For Sustainable Energy	XEV-5-42083-01
81.U02	D	240,049	U. S. Department of Energy			2014-0910
81.U03	I	7,348	U. S. Department of Energy	2014-0672	Argonne Nat'L Lab	2014-0672
81.U04	I	14,396	U. S. Department of Energy	4000010698	UT Battelle LLC	4000010698
84.004	D	299,545	Civil Rights Training and Advisory Services			
84.007	D	440,031	Federal Supplemental Educational Opportunity Grants			
84.033	D	229,482	Federal Work-Study Program			
84.038	D	11,550,932	Federal Perkins Loan Program-Federal Capital Contributions			
84.042	D	381,828	TRIO-Student Support Services			
84.044	D	96,094	TRIO-Talent Search			
84.047	D	793,463	TRIO-Upward Bound			
84.063	D	21,084,100	Federal Pell Grant Program			
84.120	I	10,203	Minority Science and Engineering Improvement	S150508	Prairie View A&M University	
84.133	D	37,596	National Institute on Disability and Rehabilitation Research			
84.133	I	2,509	National Institute on Disability and Rehabilitation Research	RE220-G2	Georgia Institute of Tech.	
84.200	D	601,746	Graduate Assistance in Areas of National Need			
84.268	D	112,575,224	Federal Direct Student Loans			
84.305	I	61,143	Education Research, Development and Dissemination	22616-S2	Vanderbilt University	
84.363	D	1,343,984	School Leadership			
84.366	I	61,661	Mathematics and Science Partnerships	2015-1763	Person County Schools	
84.377	D	663,912	School Improvement Grants			
84.RD	I	50,960	U. S. Department of Education	1-312-0214656-52171L	RTI International	1-312-0214656-52171L
84.RD	I	8,065	U. S. Department of Education	R01723	Florida State University	R01723
84.U03	D	440,479	U. S. Department of Education			2015-0287
84.U04	I	426,563	U. S. Department of Education	2015-0287	Harnett County	2015-0287
84.U05	I	15,656	U. S. Department of Education	2015-0613	Jones County Schools	2015-0613
84.U06	I	17,884	U. S. Department of Education	2015-3054	Lee County Schools	2015-3054
93.103	D	480,319	Food and Drug Administration-Research			
93.103	I	1,457	Food and Drug Administration-Research	06-S140685	Texas A&M University	
93.103	I	7,288	Food and Drug Administration-Research	14-AUFSI-360490-NCSU-2	Auburn University	
93.103	I	5,300	Food and Drug Administration-Research	15-AUFSI-360490-NCSU	Auburn University	
93.103	I	31,965	Food and Drug Administration-Research	S16027	Kansas State University	
93.113	D	3,723,405	Environmental Health			
93.113	I	8,541	Environmental Health	15-NIH-1034	Duke University	
93.113	I	4,589	Environmental Health	2015-0248	Kwj Engineering	
93.113	I	3,469	Environmental Health	52674078	Univ of Southern Cal	
93.113	I	438,941	Environmental Health	5R01ES014065-08/NCSU	Mount Desert Island Bio Lab.	
93.113	I	53,050	Environmental Health	T133135	Emory University	
93.121	D	3,159	Oral Diseases and Disorders Research			
93.121	I	79,519	Oral Diseases and Disorders Research	000407304-001	Univ of Alabama	
93.121	I	46,415	Oral Diseases and Disorders Research	PT112270-SC107121	Virginia Commonwealth Univ	
93.172	D	87,749	Human Genome Research			
93.172	I	1,402	Human Genome Research	1440 G PA513	Univ of Cal - LA	
93.213	I	6,214	Research and Training in Complementary and Integrative Health	4102-64548	Purdue University	
93.213	I	145,177	Research and Training in Complementary and Integrative Health	4102-70443	Purdue University	
93.226	I	5,328	Research on Healthcare Costs, Quality and Outcomes	2032514	Duke University	
93.242	D	51,471	Mental Health Research Grants			
93.243	D	290,230	Substance Abuse and Mental Health Services-Projects of Regional and National Significance			
93.262	D	42,067	Occupational Safety and Health Program			
93.262	I	16,566	Occupational Safety and Health Program	3200000109-16-042	Univ of Kentucky Research Found	
93.273	D	630,267	Alcohol Research Programs			
93.273	I	920	Alcohol Research Programs	3003690995	Univ of Michigan	
93.273	I	78,581	Alcohol Research Programs	500693 NCSU	Feinstein Inst For Medical Res	
93.279	I	25,803	Drug Abuse and Addiction Research Programs	122812_G003334	Washington State University	
93.286	D	1,091,807	Discovery and Applied Research for Technological Innovations to Improve Human Health			
93.286	I	179,071	Discovery and Applied Research for Technological Innovations to Improve Human Health	1550237/PO# 1000209323	Univ of Colorado - Boulder	
93.286	I	111,437	Discovery and Applied Research for Technological Innovations to Improve Human Health	2015-0247	Nirvana Sciences, Inc.	
93.310	D	496,667	Trans-NIH Research Support			
93.351	D	1,305,005	Research Infrastructure Programs			
93.360	D	280,754	Biomedical Advanced Research and Development Authority (BARDA), Biodefense Medical Countermeasure Development			
93.361	D	102,044	Nursing Research			

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93.393	D	960,138	Cancer Cause and Prevention Research			
93.393	I	124,409	Cancer Cause and Prevention Research	7R21CA186481-03	Public Health Serv	
93.394	D	1,097	Cancer Detection and Diagnosis Research			
93.394	I	127,623	Cancer Detection and Diagnosis Research	1552592/PO:1000500405	Univ of Colorado - Boulder	
93.394	I	50,614	Cancer Detection and Diagnosis Research	2016-0750	Soymeds, Inc	
93.395	I	9,808	Cancer Treatment Research	2015-0383	Scion Cardio-Vascular, Inc.	
93.396	D	137,122	Cancer Biology Research			
93.397	I	62,744	Cancer Centers Support Grants	WU-16-236	Washington University-St Louis	
93.433	D	151,061	ACL National Institute on Disability, Independent Living, and Rehabilitation Research			
93.837	D	1,068,094	Cardiovascular Diseases Research			
93.837	I	163,815	Cardiovascular Diseases Research	60436087-107606-A	Stanford University	
93.838	I	7,187	Lung Diseases Research	2014-1428	Biomarck Pharmaceuticals	
93.846	D	293,374	Arthritis, Musculoskeletal and Skin Diseases Research			
93.846	I	309,209	Arthritis, Musculoskeletal and Skin Diseases Research	2R42AR055042-02	Cytex Therapeutics, Inc	
93.847	D	53,101	Diabetes, Digestive, and Kidney Diseases Extramural Research			
93.847	I	24,173	Diabetes, Digestive, and Kidney Diseases Extramural Research	197SUB/283SUB	Cleveland Clinic	
93.847	I	41,454	Diabetes, Digestive, and Kidney Diseases Extramural Research	2011-0322	Theralogics, Inc.	
93.847	I	56,357	Diabetes, Digestive, and Kidney Diseases Extramural Research	2014-3018	Winsantor, Inc.	
93.853	D	790,083	Extramural Research Programs in the Neurosciences and Neurological Disorders			
93.853	I	56,831	Extramural Research Programs in the Neurosciences and Neurological Disorders	562300/PO#:3308068	Univ of Pennsylvania	
93.855	D	698,572	Allergy and Infectious Diseases Research			
93.855	I	200,458	Allergy and Infectious Diseases Research	000503356-SP002-SC006	Univ of Alabama	
93.855	I	115,414	Allergy and Infectious Diseases Research	1551603/PO#1000370198	Univ of Colorado - Boulder	
93.855	I	32,868	Allergy and Infectious Diseases Research	2 (GG010526)	Columbia University	
93.855	I	29,339	Allergy and Infectious Diseases Research	201303042-02	Univ of Cal - Davis	
93.855	I	54,935	Allergy and Infectious Diseases Research	2014-2283	Nirvana Sciences, Inc.	
93.855	I	7,967	Allergy and Infectious Diseases Research	2016-0593	Nirvana Sciences, Inc.	
93.855	I	20,765	Allergy and Infectious Diseases Research	3020702	Duke University	
93.855	I	28,241	Allergy and Infectious Diseases Research	645K234	Univ of Wisconsin	
93.855	I	122,457	Allergy and Infectious Diseases Research	G-2544-1	Colorado State Univ.	
93.859	D	4,492,421	Biomedical Research and Research Training			
93.859	I	125,336	Biomedical Research and Research Training	3003094798	Univ of Michigan	
93.859	I	10,810	Biomedical Research and Research Training	361195-13340-02	Temple University	
93.859	I	42,208	Biomedical Research and Research Training	431745-19071	Virginia Polytech Institute	
93.859	I	96,354	Biomedical Research and Research Training	RF164-G1	Georgia Institute of Tech.	
93.859	I	7,245	Biomedical Research and Research Training	UA 12-009	Univ of Alabama	
93.865	D	356,222	Child Health and Human Development Extramural Research			
93.865	I	17,169	Child Health and Human Development Extramural Research	2034757	Duke University	
93.865	I	126,541	Child Health and Human Development Extramural Research	60032241 NCSU/PO PUR09545	Northwestern University	
93.865	I	5,886	Child Health and Human Development Extramural Research	MUSC13-088	Medical Univ of South Carolina	
93.865	I	8,278	Child Health and Human Development Extramural Research	RC104815NCSU	Michigan State University	
93.866	D	733,428	Aging Research			
93.866	I	51,240	Aging Research	2013-02	Doty Scientific, Inc.	
93.866	I	18,213	Aging Research	2034216	Duke University	
93.867	D	190,121	Vision Research			
93.867	I	24,933	Vision Research	2001590661	Johns Hopkins University	
93.991	I	11,709	Preventive Health and Health Services Block Grant	CY-5-557	SC DHEC	
93.991	I	12,771	Preventive Health and Health Services Block Grant	CY-6-466	SC DHEC	
93.994	I	299	Maternal and Child Health Services Block Grant to the States	1232456	Appalachian District Health	
93.994	I	298	Maternal and Child Health Services Block Grant to the States	1726	Buncombe County	
93.994	I	15,701	Maternal and Child Health Services Block Grant to the States	2015-2584	Robeson County	
93.994	I	15,506	Maternal and Child Health Services Block Grant to the States	2015-2585 (B04MC-28117)	Appalachian District Health	
93.994	I	15,700	Maternal and Child Health Services Block Grant to the States	2015-2586	Cabarrus Health Alliance	
93.994	I	15,701	Maternal and Child Health Services Block Grant to the States	2015-2587	Buncombe County	
93.994	I	15,794	Maternal and Child Health Services Block Grant to the States	2015-2801	Albemarle Regional Hlth. Serv.	
93.994	I	195	Maternal and Child Health Services Block Grant to the States	B04MC-28117	Appalachian District Health De	
93.RD	D	53,969	U. S. Department of Health and Human Services			14IPA1406354
93.RD	I	799	U. S. Department of Health and Human Services	#4944-RFA13-1/14-5	Family Services, Inc.	2014-2012
93.RD	I	137,489	U. S. Department of Health and Human Services	008-1116	Agile Sciences	008-1116
93.RD	I	19,422	U. S. Department of Health and Human Services	1-312-0213517 / PO 51339L	RTI International	1-312-0213517 / PO 51339L
93.RD	I	3,919	U. S. Department of Health and Human Services	2015-0242	Biosono Inc.	2015-0242
93.RD	I	123,905	U. S. Department of Health and Human Services	2016-0746	Agile Sciences, Inc.	2016-0746
93.RD	I	47,469	U. S. Department of Health and Human Services	5-312-0214073-52017L	RTI International	5-312-0214073-52017L
93.RD	I	3,845	U. S. Department of Health and Human Services	HHSN272201000053C	Duke University Medical Center	HHSN272201000053C
93.RD	I	64,777	U. S. Department of Health and Human Services	LSBPO1378/HHSF22320151013	Lifescource Biomedical	LSBPO1378/HHSF22320151013
93.U04	D	241,085	U. S. Department of Health and Human Services			HHSF223200730024C
93.U05	I	6,292	U. S. Department of Health and Human Services	PO# 69296	Hamner Institutes	14IPA1406354
93.U06	I	1,055	U. S. Department of Health and Human Services	720	University of Maryland	720
96.007	I	17,917	Social Security-Research and Demonstration	5002099-S4	Boston College	
97.044	D	843,323	Assistance to Firefighters Grant			

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)**

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
97.108	D	501,428	Homeland Security, Research, Testing, Evaluation, and Demonstration of Technologies			
97.RD	I	24,704	U. S. Department of Homeland Security	13-215017110 FA45 PO51435	Univ of South Carolina	13-215017110 FA45 PO51435
98.001	I	1,465	USAID Foreign Assistance for Programs Overseas	2015-1969	Univ. of The Philippines	
98.001	I	145,607	USAID Foreign Assistance for Programs Overseas	4-330-0212934	RTI International	
98.012	I	65,952	USAID Development Partnerships for University Cooperation and Development	RC102540 RC103597	Michigan State University	
98.012	I	261,646	USAID Development Partnerships for University Cooperation and Development	RC710-059/4708614	University of Georgia	
98.012	I	452,927	USAID Development Partnerships for University Cooperation and Development	RC710-059/4945986	Univ of Georgia	
98.RD	I	29,839	United States Agency for International Development	16-0042	Icrisat	2016-0042
98.RD	I	33,013	United States Agency for International Development	2000006098	National Academy of Sciences	2000006098
98.RD	I	6,104	United States Agency for International Development	2007-1200-03	Oregon State Univ.	2007-1200-03
98.RD	I	51	United States Agency for International Development	41060000-8000044265	Purdue University	41060000-8000044265
98.RD	I	3,799	United States Agency for International Development	8000062951(GRANTNO.206766	Purdue University	8000062951(GRANTNO.206766
98.RD	I	4,223	United States Agency for International Development	8000063004	Purdue University	8000063004
98.RD	I	15,520	United States Agency for International Development	8000066667	Purdue University	8000066667
98.RD	I	188,423	United States Agency for International Development	RD011G-C	Oregon State Univ.	RD011G-C
98.U01	I	4,414	United States Agency for International Development	RC100599	Michigan State University	RC100599
98.U02	I	36,142	United States Agency for International Development	RC102095BHEARD-MALAWI	Michigan State University	RC102095BHEARD-MALAWI
99.U07	D	11,002	Other Federal Assistance			PC-15-8-057
		<u>362,260,622</u>	Total — North Carolina State University			

**University of North Carolina - General Administration**

19.040	D	814	Public Diplomacy Programs			
64.124	D	414,561	All-Volunteer Force Educational Assistance			
84.334	D	4,017,703	Gaining Early Awareness and Readiness for Undergraduate Programs			
84.350	D	367,849	Transition to Teaching			
84.367	D	1,272,300	Improving Teacher Quality State Grants			
		<u>6,073,227</u>	Total — University of North Carolina - General Administration			

**University of North Carolina at Asheville**

10.310	D	147,880	Agriculture and Food Research Initiative (AFRI)			
10.652	D	370,255	Forestry Research			
10.664	D	2,863	Cooperative Forestry Assistance			
11.431	D	85	Climate and Atmospheric Research			
11.440	I	2,671	Environmental Sciences, Applications, Data, and Education	14-058.06	Broward County, FL	
11.440	I	39,590	Environmental Sciences, Applications, Data, and Education	WC-133R-14-CN	Riverside Technology	
11.440	I	37,533	Environmental Sciences, Applications, Data, and Education	Z78130004	Univ of Maryland	
11.459	D	25,608	Weather and Air Quality Research			
11.467	D	13,258	Meteorologic and Hydrologic Modernization Development			
15.669	D	17,890	Cooperative Landscape Conservation			
45.163	D	8,569	Promotion of the Humanities-Professional Development			
47.041	D	35,167	Engineering Grants			
47.049	D	279,559	Mathematical and Physical Sciences			
47.050	D	35,729	Geosciences			
47.075	D	99,000	Social, Behavioral, and Economic Sciences			
47.076	D	112,213	Education and Human Resources			
84.007	D	79,353	Federal Supplemental Educational Opportunity Grants			
84.033	D	79,631	Federal Work-Study Program			
84.038	D	1,399,901	Federal Perkins Loan Program-Federal Capital Contributions			
84.063	D	5,668,865	Federal Pell Grant Program			
84.268	D	13,900,256	Federal Direct Student Loans			
84.379	D	9,280	Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)			
93.110	I	249,482	Maternal and Child Health Federal Consolidated Programs	60041104	Ohio State University	
93.734	D	203,238	Empowering Older Adults and Adults with Disabilities through Chronic Disease Self-Management Education Programs Financed by Prevention and Public Health Funds (PPHF)			
		<u>22,817,876</u>	Total — University of North Carolina at Asheville			

**University of North Carolina at Chapel Hill**

10.001	D	47,100	Agricultural Research-Basic and Applied Research			
10.168	D	38,703	Farmers' Market and Local Food Promotion Program			
10.200	D	478,112	Grants for Agricultural Research, Special Research Grants			
10.200	I	87,199	Grants for Agricultural Research, Special Research Grants	2-312-0214565-52422L	Research Triangle Institute (RTI International)	
10.200	I	135,664	Grants for Agricultural Research, Special Research Grants	S15041/S16032	Kansas State University	
10.253	I	63,902	Consumer Data and Nutrition Research	15-USDA-1039	Duke University	
10.310	D	223,061	Agriculture and Food Research Initiative (AFRI)			
10.310	I	20,288	Agriculture and Food Research Initiative (AFRI)	60045042	Ohio State University	
10.310	I	97,594	Agriculture and Food Research Initiative (AFRI)	73934-10464	Cornell University	
10.446	D	40,484	Rural Community Development Initiative			

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
10.902	D	24,153	Soil and Water Conservation			
10.RD	D	11,667	U. S. Department of Agriculture			5056049-5055799-5055746
10.RD	I	(6,360)	U. S. Department of Agriculture	5042442	Chapel Hill-Carrboro City Schools	5042442
11.012	I	46,444	Integrated Ocean Observing System (IOOS)	2013-001	Southeastern Universities Research Assoc	
11.012	I	3,435	Integrated Ocean Observing System (IOOS)	433894/S1574936	Rutgers the State University of New Jersey	
11.012	I	88,360	Integrated Ocean Observing System (IOOS)	100S.11(033)UNCCH.HS	SECOORA Program	
11.020	D	126,756	Cluster Grants			
11.303	D	114,958	Economic Development-Technical Assistance			
11.431	D	88,638	Climate and Atmospheric Research			
11.431	I	(25)	Climate and Atmospheric Research	505016-78050	Northeastern University	
11.431	I	21,795	Climate and Atmospheric Research	PO#2000016422	University of South Carolina (USC)	
11.459	D	28,548	Weather and Air Quality Research			
11.478	D	112,001	Center for Sponsored Coastal Ocean Research-Coastal Ocean Program			
11.478	I	18,481	Center for Sponsored Coastal Ocean Research-Coastal Ocean Program	NA288A-A	Oregon State University	
11.609	D	102,571	Measurement and Engineering Research and Standards			
11.RD	D	459,550	U. S. Department of Commerce			5055113-5055112
12.300	D	849,277	Basic and Applied Scientific Research			
12.300	I	247,401	Basic and Applied Scientific Research	13224200 A100752	Woods Hole Oceanographic Institution	
12.300	I	210,644	Basic and Applied Scientific Research	UWSC6064/PO#BPO7021	University of Washington	
12.351	D	704,222	Basic Scientific Research - Combating Weapons of Mass Destruction			
12.351	I	19,951	Basic Scientific Research - Combating Weapons of Mass Destruction	2002708651	Johns Hopkins University	
12.360	I	9,905	Research on Chemical and Biological Defense	S-10456-01/S1434-01 W911QY-15	Geneva Foundation	
12.420	D	2,263,958	Military Medical Research and Development			
12.420	I	5,582	Military Medical Research and Development	12078/UWSC8821	University of Washington	
12.420	I	31,249	Military Medical Research and Development	151202	University of Texas Southwestern Medical	
12.420	I	16,098	Military Medical Research and Development	3003306411	University of Michigan (UMICH)	
12.420	I	123,575	Military Medical Research and Development	313-0474 3139703	Duke University	
12.420	I	1,713	Military Medical Research and Development	410003856	University Health Network	
12.420	I	8,045	Military Medical Research and Development	60046663	Ohio State University	
12.420	I	18,617	Military Medical Research and Development	N/A	Allina Health System	
12.420	I	(3,915)	Military Medical Research and Development	N/A	American Burn Association	
12.420	I	88,741	Military Medical Research and Development	N/A	Medical College of Wisconsin	
12.420	I	(13,953)	Military Medical Research and Development	S-001903.01.UNC	Applied Research Associates, Inc.	
12.420	I	43,944	Military Medical Research and Development	S-1278-01 S-1435-01	Geneva Foundation	
12.420	I	(10,536)	Military Medical Research and Development	WFUHS 110627	Wake Forest University Health Sciences	
12.431	D	1,754,444	Basic Scientific Research			
12.431	I	9,670	Basic Scientific Research	14-ARO-1098	Duke University	
12.431	I	51,751	Basic Scientific Research	504062-78054	Northeastern University	
12.431	I	35,038	Basic Scientific Research	821	Brown University	
12.598	D	266,720	Centers for Academic Excellence			
12.630	D	24,268	Basic, Applied, and Advanced Research in Science and Engineering			
12.750	I	23,055	Uniformed Services University Medical Research Projects	2830084	Duke University	
12.800	D	826,186	Air Force Defense Research Sciences Program			
12.800	I	45,984	Air Force Defense Research Sciences Program	78133	University of South Carolina (USC)	
12.910	D	4,175,352	Research and Technology Development			
12.RD	D	735,736	U. S. Department of Defense			5101541-5055199-5036101-5055080-5102351-5036801
12.RD	I	6,165	U. S. Department of Defense	206-000062	SRI International	5042468
12.RD	I	14,092	U. S. Department of Defense	4102294416	Lockheed Martin	5103414
12.RD	I	24,544	U. S. Department of Defense	80433	Creare, Inc.	5103180
12.RD	I	435,269	U. S. Department of Defense	888-11-16-04/5-312-0	Research Triangle Institute (RTI International)	5044883-5044860-5044859-5044858-5044857-5044856
12.RD	I	(5,961)	U. S. Department of Defense	940295	University of Texas MD Anderson Cancer Center	5042444
12.RD	I	19,906	U. S. Department of Defense	N/A	Banyan Systems, Inc.	4028491
12.RD	I	(1,749)	U. S. Department of Defense	N/A	Impulsonic Inc	5058753
12.RD	I	51,673	U. S. Department of Defense	N/A	Inferlink Corporation	5102074
12.RD	I	(8)	U. S. Department of Defense	N/A	National Strategic Research Institute	5042395
12.RD	I	74,111	U. S. Department of Defense	PO 4102154739	Lockheed Martin Missiles and Fire Control	5102483
12.RD	I	288,303	U. S. Department of Defense	S-001460.00000.UNC	Applied Research Associates, Inc.	5101487-5042517
12.RD	I	1	U. S. Department of Defense	S911580	Emory University (EU)	5044970
12.RD	I	948,651	U. S. Department of Defense	UNC-0014	908 Devices, Inc	5101484
12.RD	I	87,748	U. S. Department of Defense	W81XWH-13-D-0044-001	Cherokee Nation Technology Solutions LLC	5103058-5100426
13.RD	D	209,730	U. S. Central Intelligence Agency			5103144
14.267	D	12,744	Continuum of Care Program			
14.RD	I	1,878	U. S. Department of Housing and Urban Development	30060	Abt Associates, Inc.	5044375
14.RD	I	20,655	U. S. Department of Housing and Urban Development	N/A	Manpower Demonstration Research Corporation	5103638
15.153	I	59,968	Hurricane Sandy Disaster Relief Coastal Resiliency Grants.	VA-UNCCH-0210-15G	Nature Conservancy	
15.231	I	122,730	Fish, Wildlife and Plant Conservation Resource Management	L15AC00032	Chicago Botanic Garden	
15.232	D	149,346	Wildland Fire Research and Studies Program			
15.423	D	43,780	Bureau of Ocean Energy Management (BOEM) Environmental Studies Program (ESP)			
15.560	D	133,098	SECURE Water Act - Research Agreements			

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
15.650	D	31,335	Research Grants (Generic)			
15.668	I	29,113	Coastal Impact Assistance Program	AQRUNC13	Houston Advanced Research Center (HARC)	
15.808	D	42,736	U. S. Geological Survey- Research and Data Collection			
15.810	D	4,623	National Cooperative Geologic Mapping Program			
15.945	D	1,599	Cooperative Research and Training Programs - Resources of the National Park System			
15.RD	D	6,307	U. S. Department of Interior			5035682-5036371
16.525	D	55,568	Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus			
16.560	D	235,512	National Institute of Justice Research, Evaluation, and Development Project Grants			
16.560	I	39,286	National Institute of Justice Research, Evaluation, and Development Project Grants	13-DOJ-1022	Duke University	
19.415	D	682,649	Professional and Cultural Exchange Programs - Citizen Exchanges			
20.108	I	134,035	Aviation Research Grants	45000001709 4500001937	Boston University	
20.109	D	392,101	Air Transportation Centers of Excellence			
20.200	D	1,008,724	Highway Research and Development Program			
20.200	I	10,766	Highway Research and Development Program	SUB0000607/HR 20-05	National Academies	
20.215	D	14,984	Highway Training and Education			
20.701	I	32,499	University Transportation Centers Program	A14-0490-S006	University of Tennessee	
20.RD	D	2,217,190	U. S. Department of Transportation			5102255-5101538-5100110-5100294-5036308
20.RD	I	(7,064)	U. S. Department of Transportation	1500-004-016-CS	CDM Smith	5042038
20.RD	I	257,454	U. S. Department of Transportation	38049-01 38110-01	Vanasse Hangen Brustlin, (VHB) Inc.	5044830-5044309-5044151-5042661
20.RD	I	753,636	U. S. Department of Transportation	ACRP A02-58	National Academy of Sciences	5102294-5101978-5042511-5044940-5044646
20.RD	I	1,859	U. S. Department of Transportation	DTNH22-09-00135	TransAnalytics	5044100
20.RD	I	14,081	U. S. Department of Transportation	N/A	Dunlap and Associates, Inc.	5044648
20.RD	I	2,096	U. S. Department of Transportation	N/A	Pacific Institute for Research and Evaluation	5045779
20.RD	I	59,437	U. S. Department of Transportation	UF-EIES-1200008-UNC	Southeastern Transportation Research, In	5103923
43.001	D	645,507	Science			
43.001	I	18,512	Science	16-806	Arizona State University	
43.001	I	12,240	Science	3003899011	University of Michigan (UMICH)	
43.001	I	1	Science	4973-UNCCH-NASA-E28G	Pennsylvania State University	
43.001	I	11,496	Science	505015-78051	Northeastern University	
43.002	I	41,381	Aeronautics	NCC9-58-461 PF04304	National Space Biomedical Research Institute	
43.007	D	7,052	Space Operations			
43.008	D	109,967	Education			
43.RD	D	(22)	National Aeronautics and Space Administration			5036919
43.RD	I	909	National Aeronautics and Space Administration	1472126	California Institute of Technology (CalTech)	5044779
43.RD	I	82,671	National Aeronautics and Space Administration	HST-GO-13840.008 14076.009 HST-HF2-51357.001-A	Space Telescope Science Institute	5103735-5102987-5100381
43.RD	I	14,038	National Aeronautics and Space Administration	PF03003	National Space Biomedical Research Institute	5044852
43.RD	I	19,589	National Aeronautics and Space Administration	PO 0001847	Science Systems Applications, Inc.	5100434
45.024	D	19,753	Promotion of the Arts-Grants to Organizations and Individuals			
45.149	D	238,692	Promotion of the Humanities-Division of Preservation and Access			
45.161	D	68,763	Promotion of the Humanities-Research			
45.164	D	88,502	Promotion of the Humanities-Public Programs			
45.312	D	(59)	National Leadership Grants			
45.312	I	14,693	National Leadership Grants	UTA16-000464	University of Texas Austin	
45.313	D	471,190	Laura Bush 21st Century Librarian Program			
47.041	D	1,483,671	Engineering Grants			
47.041	I	111,766	Engineering Grants	33791	University of Delaware	
47.041	I	(5,180)	Engineering Grants	N/A	Clave Biodesign, Inc.	
47.041	I	70,530	Engineering Grants	N/A	Impulsonic Inc	
47.041	I	(1,630)	Engineering Grants	N/A	Sonovol, LLC	
47.041	I	7,886	Engineering Grants	N/A	Texas A&M University	
47.049	D	10,064,560	Mathematical and Physical Sciences			
47.049	I	30,462	Mathematical and Physical Sciences	0044297(011606-1)	University of Pittsburgh	
47.049	I	186,870	Mathematical and Physical Sciences	12-NSF-1027	Duke University	
47.049	I	169,768	Mathematical and Physical Sciences	UWSC6738/PO#BP07546	University of Washington	
47.050	D	2,987,363	Geosciences			
47.050	I	6,518	Geosciences	15-NSF-1076	Duke University	
47.050	I	131,735	Geosciences	48709463 60519451	University of Southern California (USC)	
47.050	I	18,630	Geosciences	N/A	OPeNDAP Open source Project for Network	
47.050	I	69,578	Geosciences	RENCI-1340233	Arizona Geological Survey	
47.070	D	5,480,797	Computer and Information Science and Engineering			
47.070	I	60,363	Computer and Information Science and Engineering	1872/PO# 9500011221 1939B/9500012168	Raytheon Company	
47.070	I	19,436	Computer and Information Science and Engineering	1906/PO#9500012013	BBN Technologies	
47.070	I	3,466	Computer and Information Science and Engineering	2014-06275-03	University of Illinois at Urbana-Champaign	
47.070	I	67,716	Computer and Information Science and Engineering	289687	University of Arizona	
47.070	I	59,767	Computer and Information Science and Engineering	9500012196	Global Environment for Network Innovations	
47.070	I	17,404	Computer and Information Science and Engineering	MMSA-16-525-8	Maine Mathematics and Science Alliance	
47.070	I	17,343	Computer and Information Science and Engineering	N/A	Arizona State University	
47.070	I	(3,230)	Computer and Information Science and Engineering	RA978-G9	Georgia Institute of Technology	

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Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
47.074	D	7,791,741	Biological Sciences			
47.074	I	237,654	Biological Sciences	10-NSF-1060	Duke University	
47.074	I	61,631	Biological Sciences	1435	Dartmouth College	
47.074	I	60,348	Biological Sciences	3161/200201411	Cary Institute of Ecosystem Studies	
47.074	I	36,644	Biological Sciences	3R94X	University of New Mexico at Albuquerque	
47.074	I	112,208	Biological Sciences	478778-19467	Virginia Tech	
47.074	I	48,391	Biological Sciences	57280A P3541 7802 21	SDSU Foundation	
47.074	I	33,399	Biological Sciences	GA11020-142300	University of Virginia	
47.074	I	41,204	Biological Sciences	N/A	National Evolutionary Synthesis Center	
47.074	I	57,614	Biological Sciences	RR272-210/4689628 815/5054256	University of Georgia	
47.074	I	63,408	Biological Sciences	SA0000295	San Diego State University (SDSU)	
47.074	I	50,431	Biological Sciences	UP140024-A	University of South Dakota	
47.075	D	1,423,160	Social, Behavioral, and Economic Sciences			
47.075	I	25,307	Social, Behavioral, and Economic Sciences	5060-UNC-NSF-7666	Pennsylvania State University	
47.075	I	2,492	Social, Behavioral, and Economic Sciences	N/A	American Bar Foundation	
47.076	D	4,618,405	Education and Human Resources			
47.076	I	99,598	Education and Human Resources	4691-UNCCH-NSF-6347	Pennsylvania State University	
47.076	I	100,678	Education and Human Resources	564K340	University of Wisconsin at Madison	
47.078	D	1,737	Polar Programs			
47.079	D	3,148	Office of International Science and Engineering			
47.080	D	2,893,924	Office of Cyberinfrastructure			
47.RD	D	458,634	National Science Foundation			5100660-5100068
60.RD	D	82,837	Smithsonian Institution			5102920
60.RD	I	14,732	Smithsonian Institution	N/A	Waynesburg University	5101643
64.RD	D	46,991	U. S. Department of Veterans Affairs			5102309-5100755-5100726-5100214-5036109
66.034	I	41,869	Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act	APTISIP 101	Mid-Atlantic Regional Air Management Assoc	
66.203	D	257,009	Environmental Finance Center Grants			
66.424	D	1,721,806	Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act			
66.424	I	143	Surveys, Studies, Investigations, Demonstrations, and Training Grants - Section 1442 of the Safe Drinking Water Act	N/A	New Mexico Institute of Mining and Techn	
66.509	D	28,605	Science To Achieve Results (STAR) Research Program			
66.511	D	1,037,825	Office of Research and Development Consolidated Research/Training/Fellowships			
66.514	D	12,835	Science To Achieve Results (STAR) Fellowship Program			
66.516	D	7,425	P3 Award: National Student Design Competition for Sustainability			
66.RD	D	3,992,146	U. S. Environmental Protection Agency			5100534-5104194-5035629-5035270-5102778
66.RD	I	(3,855)	U. S. Environmental Protection Agency	2013.006.01	Mid-Atlantic Regional Air Management Assoc	5042157
66.RD	I	91,589	U. S. Environmental Protection Agency	4902-RFA10-1/111-3-4	Health Effects Institute	5101263
66.RD	I	161,053	U. S. Environmental Protection Agency	4902-rFA10-1/111-3-3	Health Effects Institute	5042485-5044561-5044299-5042339
66.RD	I	35,168	U. S. Environmental Protection Agency	C50599078	Alabama Department of Environmental Management	5102671
66.RD	I	5,901	U. S. Environmental Protection Agency	N/A	Lake Michigan Air Directors Consortium	5101335
66.RD	I	34,090	U. S. Environmental Protection Agency	N/A	Oak Ridge Associated Universities	5042175
81.049	D	6,864,698	Office of Science Financial Assistance Program			
81.049	I	139,309	Office of Science Financial Assistance Program	68856	SUNY at Stony Brook	
81.049	I	(95)	Office of Science Financial Assistance Program	GQ10044-133949	University of Virginia	
81.087	I	179,711	Renewable Energy Research and Development	F-2013-31/F-2015-30	University of Toledo	
81.RD	D	464,565	U. S. Department of Energy			5100681-5056043-5055082-5055085-5044839-5055776
81.RD	I	81,139	U. S. Department of Energy	126482	Battelle Energy Alliance, LLC	5044471
81.RD	I	204,159	U. S. Department of Energy	4000120148 4000139793	Battelle UT	5101889-5044820
81.RD	I	8,078	U. S. Department of Energy	456470	Duke Energy Foundation	5044550
81.RD	I	131,622	U. S. Department of Energy	P000013727	Six3 Advanced Systems Inc	5102923
81.RD	I	34,378	U. S. Department of Energy	PO 106482	Bechtel Corporation	5100043
84.007	D	613,199	Federal Supplemental Educational Opportunity Grants			
84.015	D	2,733,784	National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program			
84.015	I	302,388	National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program	15-ED-1054 15-FLAS-1055 1040	Duke University	
84.022	D	38,332	Overseas Programs - Doctoral Dissertation Research Abroad			
84.033	D	1,670,272	Federal Work-Study Program			
84.038	D	30,631,765	Federal Perkins Loan Program-Federal Capital Contributions			
84.047	D	496,011	TRIO-Upward Bound			
84.063	D	17,332,805	Federal Pell Grant Program			
84.116	D	763,224	Fund for the Improvement of Postsecondary Education			
84.129	D	314,064	Rehabilitation Long-Term Training			
84.200	D	100,781	Graduate Assistance in Areas of National Need			
84.217	D	246,504	TRIO-McNair Post-Baccalaureate Achievement			

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84.220	D	7,785	Centers for International Business Education			
84.268	D	173,399,973	Federal Direct Student Loans			
84.305	D	2,689,012	Education Research, Development and Dissemination			
84.305	I	44,361	Education Research, Development and Dissemination	12-ED-1095 1108	Duke University	
84.305	I	326,191	Education Research, Development and Dissemination	21372-S4 3748-019846	Vanderbilt University	
84.305	I	54,233	Education Research, Development and Dissemination	3003143121	University of Michigan (UMICH)	
84.305	I	117,708	Education Research, Development and Dissemination	4876-UNCCH-USDE-0031	Pennsylvania State University	
84.305	I	18	Education Research, Development and Dissemination	511135	Columbia University Teachers College	
84.305	I	252,813	Education Research, Development and Dissemination	PT109818-SC104563	Virginia Commonwealth University (VCU)	
84.324	D	2,857,937	Research in Special Education			
84.324	I	280,332	Research in Special Education	BL-4240321-UNC	Indiana University System	
84.325	D	1,173,864	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities			
84.325	I	173,220	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities	2789-015468	Vanderbilt University	
84.325	I	20,546	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities	F-2012-115	University of Toledo	
84.325	I	18,767	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities	N/A	Northampton Community College	
84.325	I	24,150	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities	N/A	Tacoma Community College	
84.326	D	5,270,160	Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities			
84.326	I	1	Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities	223791B	University of Oregon	
84.326	I	-	Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities	UKRF 3048106788-10-3	University of Kentucky (UK)	
84.327	D	485,480	Special Education - Education Technology Media, and Materials for Individuals with Disabilities			
84.373	I	1,547,798	Special Education-Technical Assistance on State Data Collection	51-001279	SRI International	
84.373	I	348,097	Special Education-Technical Assistance on State Data Collection	6189-S-006	Westat, Inc.	
84.373	I	158,652	Special Education-Technical Assistance on State Data Collection	FY2011-94	University Of Kansas	
84.412	I	-	Race to the Top -- Early Learning Challenge	C14-236	Delaware Office of Early Learning	
84.RD	I	364,442	U. S. Department of Education	12/13-006	North Carolina Partnership for Children	5045796
84.RD	I	24,182	U. S. Department of Education	40346S03620	Mathematica Policy Research, Inc.	5042635
84.RD	I	105,884	U. S. Department of Education	R01615 R01752	Florida State University	5100506-5044865
93.067	D	70,729	Global AIDS			
93.067	I	95,839	Global AIDS	846968	Centre for Infectious Disease Research	
93.067	I	(2,870)	Global AIDS	N/A	University of Malawi College of Medicine	
93.068	I	9,517	Chronic Diseases: Research, Control, and Prevention	N/A	Arthritis Foundation	
93.069	D	368,029	Public Health Emergency Preparedness			
93.073	D	2,208,488	Birth Defects and Developmental Disabilities - Prevention and Surveillance			
93.077	D	10,271,302	Family Smoking Prevention and Tobacco Control Act Regulatory Research			
93.077	I	(496)	Family Smoking Prevention and Tobacco Control Act Regulatory Research	N/A	Wake Forest University	
93.080	I	98,114	Blood Disorder Program: Prevention, Surveillance, and Research	ATHN2015001-VN-1	American Thrombosis and Hemostasis Network	
93.088	I	3,486	Advancing System Improvements for Key Issues in Women's Health	N/A	North Carolina Coalition Against Domestic Violence	
93.103	D	351,233	Food and Drug Administration-Research			
93.103	I	4,898	Food and Drug Administration-Research	567061	University of Pennsylvania	
93.103	I	51,808	Food and Drug Administration-Research	67644	University of Connecticut	
93.103	I	79	Food and Drug Administration-Research	N/A	Boston University	
93.103	I	5,928	Food and Drug Administration-Research	N/A	University Of Kansas	
93.103	I	18,761	Food and Drug Administration-Research	S-002335/PO15-00247	Applied Research Associates, Inc.	
93.107	D	880,459	Area Health Education Centers Point of Service Maintenance and Enhancement Awards			
93.110	D	3,896,545	Maternal and Child Health Federal Consolidated Programs			
93.110	I	125,323	Maternal and Child Health Federal Consolidated Programs	H30MC24046-02	Hemophilia of Georgia (HOG)	
93.110	I	1,001	Maternal and Child Health Federal Consolidated Programs	T453817	Emory University (EU)	
93.113	D	9,307,076	Environmental Health			
93.113	I	10	Environmental Health	0255-9995-4609	Mount Sinai School of Medicine	
93.113	I	10,802	Environmental Health	11-NIH-1002	Duke University Medical Center	
93.113	I	66	Environmental Health	124927 G003416	Washington State University	
93.113	I	11,779	Environmental Health	16-0167	SciKon Innovation Inc	
93.113	I	108,338	Environmental Health	2001627675	Johns Hopkins University	
93.113	I	59,886	Environmental Health	542	Brown University	
93.113	I	17,356	Environmental Health	H48496	University of Southern California (USC)	
93.113	I	(1)	Environmental Health	N/A	BioDeptronix, LLC	
93.113	I	77,907	Environmental Health	PO753538/2331	Henry M Jackson Foundation	
93.113	I	15,579	Environmental Health	RR715-234/S000725	University of Georgia	
93.113	I	16,559	Environmental Health	UNCES019672	Pennsylvania State University	
93.117	D	741,387	Preventive Medicine and Public Health Residency Training Program, Integrative Medicine Program, and National Coordinating Center for Integrative Medicine			

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93.121	D	9,882,109	Oral Diseases and Disorders Research			
93.121	I	63,054	Oral Diseases and Disorders Research	00412838-011	University of Alabama at Birmingham	
93.121	I	321,348	Oral Diseases and Disorders Research	018106-UNC2410	The Forsyth Institute	
93.121	I	18,429	Oral Diseases and Disorders Research	10034028-01	University of Utah	
93.121	I	33,027	Oral Diseases and Disorders Research	100852-00001	Tufts University	
93.121	I	24,733	Oral Diseases and Disorders Research	10830SUB	Seattle Children's Hospital	
93.121	I	109,563	Oral Diseases and Disorders Research	2000203699	Carolinas HealthCare System	
93.121	I	14,849	Oral Diseases and Disorders Research	2034092	Duke University	
93.121	I	30,339	Oral Diseases and Disorders Research	22200007-133	The Methodist Hospital Research Institute	
93.121	I	165,188	Oral Diseases and Disorders Research	3002885068	University of Michigan (UMICH)	
93.121	I	7,244	Oral Diseases and Disorders Research	60054664	Ohio State University	
93.121	I	266,325	Oral Diseases and Disorders Research	6R44DE022218-03	N2 Biomedical LLC	
93.121	I	4,774	Oral Diseases and Disorders Research	F6570-05	New York University (NYU)	
93.121	I	35,770	Oral Diseases and Disorders Research	K001153-00-S01	Kitware, Inc.	
93.121	I	(4,950)	Oral Diseases and Disorders Research	N/A	3dMD	
93.121	I	44,444	Oral Diseases and Disorders Research	N/A	InSilixa, Inc.	
93.135	D	1,988,358	Centers for Research and Demonstration for Health Promotion and Disease Prevention			
93.135	I	(33)	Centers for Research and Demonstration for Health Promotion and Disease Prevention	416325-G	University of Rochester	
93.135	I	11,599	Centers for Research and Demonstration for Health Promotion and Disease Prevention	8460SC	University of California at San Francisco	
93.135	I	28,209	Centers for Research and Demonstration for Health Promotion and Disease Prevention	99-S132303	Texas A&M University	
93.135	I	88	Centers for Research and Demonstration for Health Promotion and Disease Prevention	PO#3000602118/000033	University of Texas MD Anderson Cancer Center	
93.136	D	1,382,409	Injury Prevention and Control Research and State and Community Based Programs			
93.136	I	10,497	Injury Prevention and Control Research and State and Community Based Programs	661	Pacific Institute for Research and Evaluation	
93.143	D	2,618,642	NIEHS Superfund Hazardous Substances-Basic Research and Education			
93.145	I	59,120	AIDS Education and Training Centers	T066356	Emory University (EU)	
93.145	I	167,771	AIDS Education and Training Centers	VUMC 56921	Vanderbilt University	
93.153	I	130,573	Coordinated Services and Access to Research for Women, Infants, Children, and Youth	3090041	Duke University Medical Center	
93.153	I	59,083	Coordinated Services and Access to Research for Women, Infants, Children, and Youth	3090042	Duke University	
93.155	D	1,294,806	Rural Health Research Centers			
93.155	I	20,125	Rural Health Research Centers	W000771351 PO100156	University of Iowa	
93.172	D	7,563,065	Human Genome Research			
93.172	I	10,082	Human Genome Research	13-NIH-1083/2033159	Duke University	
93.172	I	2,785	Human Genome Research	5848	Rutgers the State University of New Jersey	
93.173	D	2,528,078	Research Related to Deafness and Communication Disorders			
93.173	I	149,817	Research Related to Deafness and Communication Disorders	1001194169	University of Iowa	
93.173	I	55,218	Research Related to Deafness and Communication Disorders	51255415	University of Southern California (USC)	
93.173	I	4,235	Research Related to Deafness and Communication Disorders	N/A	Cedar Grove Institute for Sustainable Communities	
93.173	I	158,117	Research Related to Deafness and Communication Disorders	R01DC011038	Boys Town National Research Hospital	
93.173	I	1	Research Related to Deafness and Communication Disorders	SP0012457	Northwestern University	
93.173	I	18	Research Related to Deafness and Communication Disorders	VUMC 43089	Vanderbilt University Medical Center	
93.178	D	5,803	Nursing Workforce Diversity			
93.184	I	154,825	Disabilities Prevention	ATHN2011001-IVN-3	American Thrombosis and Hemostasis Network	
93.186	D	371,442	National Research Service Award in Primary Care Medicine			
93.191	D	125,367	Graduate Psychology Education Program and Patient Navigator and Chronic Disease Prevention Program			
93.213	D	2,397,171	Research and Training in Complementary and Integrative Health			
93.225	D	446,175	National Research Service Awards - Health Services Research Training			
93.226	D	5,350,942	Research on Healthcare Costs, Quality and Outcomes			
93.226	I	356,750	Research on Healthcare Costs, Quality and Outcomes	20387729	Duke University	
93.226	I	22,873	Research on Healthcare Costs, Quality and Outcomes	SP0025667-PROJ000691	Northwestern University	
93.226	I	12,592	ARRA - Research on Healthcare Costs, Quality and Outcomes	N/A	Community Care of North Carolina (CCNC)	
93.241	I	319,474	State Rural Hospital Flexibility Program	P004027952	University of Minnesota	
93.242	D	23,959,796	Mental Health Research Grants			
93.242	I	6,066	Mental Health Research Grants	080-18014-S11901	Thomas Jefferson University	
93.242	I	146,539	Mental Health Research Grants	10-NIH-1045	Duke University	
93.242	I	(5)	Mental Health Research Grants	104624	Brigham and Womens Hospital	
93.242	I	101,735	Mental Health Research Grants	1R01MH100628-01	Rush University Medical Center	
93.242	I	100,397	Mental Health Research Grants	2-5-15886	University of Colorado	
93.242	I	20	Mental Health Research Grants	2000 G NF 192	University of California at Los Angeles	
93.242	I	(29,429)	Mental Health Research Grants	2001799974	Johns Hopkins University	
93.242	I	132,007	Mental Health Research Grants	2011-2596	University of California at Irvine (UCI)	
93.242	I	220,682	Mental Health Research Grants	2012-05795-01-02	University of Illinois at Chicago (UIC)	
93.242	I	788	Mental Health Research Grants	203-1993	Duke University Medical Center	
93.242	I	9,012	Mental Health Research Grants	34-5160-2074-001	University of Nebraska Medical Center	

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93.242	I	337,367	Mental Health Research Grants	416351	University of Rochester	
93.242	I	39,351	Mental Health Research Grants	495K250	University of Wisconsin at Madison	
93.242	I	4,100	Mental Health Research Grants	565091	University of Pennsylvania	
93.242	I	60,703	Mental Health Research Grants	580	Pacific Institute for Research and Evaluation	
93.242	I	114,487	Mental Health Research Grants	60040275 UNC	Northwestern University	
93.242	I	322,150	Mental Health Research Grants	60091569-24813-A	Stanford University	
93.242	I	180,584	Mental Health Research Grants	66911R	University of Miami	
93.242	I	203,849	Mental Health Research Grants	8288SC	University of California at San Francisco	
93.242	I	31,819	Mental Health Research Grants	A004036501	University of Minnesota	
93.242	I	301,073	Mental Health Research Grants	BL-4631228-UNC	1666956 Trustees of Indiana University	
93.242	I	9,046	Mental Health Research Grants	M14A12129(A08021)	Yale University	
93.242	I	141,386	Mental Health Research Grants	N/A	Caktus Consulting Group, LLC	
93.242	I	65,145	Mental Health Research Grants	N/A	Virtually Better, Inc	
93.242	I	129,827	Mental Health Research Grants	N/A	Xona Microfluidics, LLC	
93.242	I	8,176	Mental Health Research Grants	PD303148-SC104511	Virginia Commonwealth University (VCU)	
93.242	I	27,151	Mental Health Research Grants	PO#1240043/IN4687096	Indiana University System	
93.242	I	90,176	Mental Health Research Grants	T286918	Emory University (EU)	
93.242	I	7,537	Mental Health Research Grants	UNC-1	Randolph-Macon College	
93.242	I	15,841	Mental Health Research Grants	UWSC8457	University of Washington	
93.242	I	(3)	Mental Health Research Grants	WUHS 10075	Wake Forest University School of Medicine	
93.242	I	49,170	Mental Health Research Grants	Wu-12-280/PO 2917859	Washington University in Saint Louis	
93.243	D	875,717	Substance Abuse and Mental Health Services-Projects of Regional and National Significance			
93.243	I	(10)	Substance Abuse and Mental Health Services-Projects of Regional and National Significance	FY12.525.003	University of Colorado	
93.243	I	10,088	Substance Abuse and Mental Health Services-Projects of Regional and National Significance	M13A11521 (A09092)	Yale University	
93.247	D	291,286	Advanced Nursing Education Grant Program			
93.262	D	2,333,717	Occupational Safety and Health Program			
93.262	I	62,610	Occupational Safety and Health Program	PO00001000059/4885 1	University of Rhode Island	
93.262	I	69,012	Occupational Safety and Health Program	W000592376	University of Iowa	
93.264	D	530,907	Nurse Faculty Loan Program (NFLP)			
93.270	I	24,148	Adult Viral Hepatitis Prevention and Control	PO#M150019842	New York University (NYU)	
93.273	D	11,694,679	Alcohol Research Programs			
93.273	I	(5,952)	Alcohol Research Programs	1-312-0212210	Research Triangle Institute (RTI International)	
93.273	I	137,847	Alcohol Research Programs	14-NIH-0143	Duke University	
93.273	I	38,659	Alcohol Research Programs	406-SUB	Cleveland Clinic Foundation	
93.273	I	44,180	Alcohol Research Programs	55478	Binghamton University	
93.273	I	12,945	Alcohol Research Programs	M15A12008(A10126)	Yale University	
93.279	D	11,120,186	Drug Abuse and Addiction Research Programs			
93.279	I	4,124	Drug Abuse and Addiction Research Programs	2-312-0214377-51847L	Research Triangle Institute (RTI International)	
93.279	I	55,974	Drug Abuse and Addiction Research Programs	203-8049	Duke University	
93.279	I	149,399	Drug Abuse and Addiction Research Programs	5020734	Scripps Research Institute	
93.279	I	258,760	Drug Abuse and Addiction Research Programs	61878019	University of Southern California (USC)	
93.279	I	21,207	Drug Abuse and Addiction Research Programs	710-9833-8985	Miriam Hospital	
93.279	I	8,062	Drug Abuse and Addiction Research Programs	MUSC13-046	Medical University of South Carolina (MUSC)	
93.279	I	(19,402)	Drug Abuse and Addiction Research Programs	N/A	University of Florida	
93.279	I	30,735	Drug Abuse and Addiction Research Programs	R01DA032533/149R183	Dartmouth College	
93.279	I	32,099	Drug Abuse and Addiction Research Programs	RJ47/TAG003777	Florida Atlantic University	
93.279	I	33,578	Drug Abuse and Addiction Research Programs	SR00002140/ESURF5528	University of Maryland at Baltimore (UMB)	
93.283	D	801,419	Centers for Disease Control and Prevention-Investigations and Technical Assistance			
93.283	I	54,948	Centers for Disease Control and Prevention-Investigations and Technical Assistance	2R44DP003101-02	3C Institute for Social Development	
93.283	I	(4,372)	Centers for Disease Control and Prevention-Investigations and Technical Assistance	N/A	American Thrombosis and Hemostasis Network	
93.286	D	3,537,453	Discovery and Applied Research for Technological Innovations to Improve Human Health			
93.286	I	(1)	Discovery and Applied Research for Technological Innovations to Improve Human Health	106368	Brigham and Womens Hospital	
93.286	I	37,508	Discovery and Applied Research for Technological Innovations to Improve Human Health	1106149	SUNY at Stony Brook	
93.286	I	56,019	Discovery and Applied Research for Technological Innovations to Improve Human Health	14-3473	Cell Microsystems, Inc.	
93.286	I	27,697	Discovery and Applied Research for Technological Innovations to Improve Human Health	1R43EB021212-01	BioFluidica Microtechnologies LLC	
93.286	I	26,793	Discovery and Applied Research for Technological Innovations to Improve Human Health	5R01EB0009557-06	Medical College of Wisconsin	
93.286	I	(8,483)	Discovery and Applied Research for Technological Innovations to Improve Human Health	80451	Louisiana State University (LSU)	

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93.286	I	35,997	Discovery and Applied Research for Technological Innovations to Improve Human Health	K000688-00-S03	Kitware, Inc.	
93.286	I	23,775	Discovery and Applied Research for Technological Innovations to Improve Human Health	N/A	Tissuevision Inc.	
93.286	I	65,272	Discovery and Applied Research for Technological Innovations to Improve Human Health	UNIV 58419/2186-0163	Vanderbilt University Medical Center	
93.292	I	9,788	National Public Health Improvement Initiative	N/A	Association of Maternal and Child Health	
93.297	I	17,195	Teenage Pregnancy Prevention Program	N/A	The National Campaign to Prevent Teen and Unplanned Pregnancy	
93.300	D	583,473	National Center for Health Workforce Analysis			
93.300	I	87,121	National Center for Health Workforce Analysis	4743-01	Health Research Incorporated	
93.307	D	613,687	Minority Health and Health Disparities Research			
93.307	I	68,557	Minority Health and Health Disparities Research	117634/117635/117635/117636	Wake Forest University Health Sciences	
93.307	I	347,833	Minority Health and Health Disparities Research	16-2910 POU5C01-2000	University of South Carolina (USC)	
93.307	I	24,520	Minority Health and Health Disparities Research	3002987899	University of Michigan (UMICH)	
93.307	I	46,306	Minority Health and Health Disparities Research	TCCPP008	Morehouse College School of Medicine	
93.310	D	2,889,189	Trans-NIH Research Support			
93.310	I	21,389	Trans-NIH Research Support	1-312-0215007-52418L	Research Triangle Institute (RTI International)	
93.310	I	122,498	Trans-NIH Research Support	152296.5096367.0209	Harvard University Medical School	
93.310	I	(1,431)	Trans-NIH Research Support	3003124659	University of Michigan (UMICH)	
93.310	I	99,399	Trans-NIH Research Support	68-1096429	California Institute of Technology (CaITech)	
93.330	D	257,677	Leadership in Public Health Social Work Education Grant Program			
93.342	D	3,447,073	Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students			
93.350	D	12,206,301	National Center for Advancing Translational Sciences			
93.350	I	40,372	National Center for Advancing Translational Sciences	1441TR001330-01	Initox Pharmaceuticals, LLC	
93.351	D	3,302,829	Research Infrastructure Programs			
93.351	I	61,017	Research Infrastructure Programs	K000786-00S04	Kitware, Inc.	
93.358	D	348,177	Advanced Education Nursing Traineeships			
93.359	D	389,670	Nurse Education, Practice Quality and Retention Grants			
93.361	D	1,523,910	Nursing Research			
93.361	I	81,135	Nursing Research	0255-5071-4609	Mount Sinai School of Medicine	
93.361	I	31,537	Nursing Research	14-19995	Keona Health, Inc.	
93.361	I	273,821	Nursing Research	2034749	Duke University	
93.361	I	7,988	Nursing Research	300003061-01	Childrens Research Institute	
93.361	I	28,335	Nursing Research	560124	University of Pennsylvania	
93.393	D	13,162,843	Cancer Cause and Prevention Research			
93.393	I	49,586	Cancer Cause and Prevention Research	0255-6601-4609	Mount Sinai School of Medicine	
93.393	I	1,207	Cancer Cause and Prevention Research	10-16373-99-01-G1	H Lee Moffitt Cancer and Research Institute	
93.393	I	133,071	Cancer Cause and Prevention Research	1026387	Beth Israel Deaconess Medical Center	
93.393	I	41,945	Cancer Cause and Prevention Research	115-9341-UNC-01	Kaiser Foundation Research Institute	
93.393	I	59,359	Cancer Cause and Prevention Research	150159.5077497.0002	Harvard University	
93.393	I	43,826	Cancer Cause and Prevention Research	2001659822	Johns Hopkins University	
93.393	I	(4,573)	Cancer Cause and Prevention Research	203-0297	Duke University	
93.393	I	3,180	Cancer Cause and Prevention Research	44706-D	University of Chicago	
93.393	I	(2,322)	Cancer Cause and Prevention Research	4500001522	Boston University	
93.393	I	3,837	Cancer Cause and Prevention Research	500331-78051	Northeastern University	
93.393	I	28,511	Cancer Cause and Prevention Research	565706	University of Pennsylvania	
93.393	I	130,274	Cancer Cause and Prevention Research	600037274 UNC	Northwestern University	
93.393	I	1,162	Cancer Cause and Prevention Research	63663941	Mayo Clinic	
93.393	I	8,272	Cancer Cause and Prevention Research	66971E	University of Miami	
93.393	I	916,340	Cancer Cause and Prevention Research	76-01	SUNY Buffalo Roswell Park Cancer Institute	
93.393	I	18,097	Cancer Cause and Prevention Research	8686SC	University of California at San Francisco	
93.393	I	14,272	Cancer Cause and Prevention Research	913	Dartmouth College	
93.393	I	282,759	Cancer Cause and Prevention Research	CA1542992-050UNC	Group Health Research Institute	
93.393	I	24,571	Cancer Cause and Prevention Research	E0012914	University of Illinois at Chicago (UIC)	
93.393	I	63,430	Cancer Cause and Prevention Research	PO 1568 G NA643	EMMES Corporation	
93.393	I	59,088	Cancer Cause and Prevention Research	SP00011274-02	Georgia State University	
93.393	I	82,885	Cancer Cause and Prevention Research	T253674	Emory University (EU)	
93.393	I	34,786	Cancer Cause and Prevention Research	VUMC 42432	Vanderbilt University Medical Center	
93.393	I	4,821	Cancer Cause and Prevention Research	WU-14-99	Washington University in Saint Louis	
93.394	D	2,641,705	Cancer Detection and Diagnosis Research			
93.394	I	30	Cancer Detection and Diagnosis Research	108415	Brigham and Womens Hospital	
93.394	I	10,891	Cancer Detection and Diagnosis Research	15-0448	Sonovolt, LLC	
93.394	I	49,579	Cancer Detection and Diagnosis Research	1R44CA203221-01	Accuray Incorporated	
93.394	I	29,908	Cancer Detection and Diagnosis Research	2031849	Duke University	
93.394	I	43,061	Cancer Detection and Diagnosis Research	3001861664	University of Michigan (UMICH)	
93.394	I	56,903	Cancer Detection and Diagnosis Research	FP050002-01-PR	University of Chicago	
93.394	I	46,393	Cancer Detection and Diagnosis Research	K000646-00-S01	Kitware, Inc.	
93.394	I	40,687	Cancer Detection and Diagnosis Research	N/A	BioFluidica Microtechnologies LLC	
93.394	I	146,323	Cancer Detection and Diagnosis Research	N/A	OptoSonics, Inc.	

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93.394	I	55,806	Cancer Detection and Diagnosis Research	VUMC 38860	Vanderbilt University Medical Center	
93.394	I	370,810	Cancer Detection and Diagnosis Research	WU-15-90/PO#2922492Y	Washington University in Saint Louis	
93.395	D	7,847,520	Cancer Treatment Research			
93.395	I	850	Cancer Treatment Research	109685	Brigham and Womens Hospital	
93.395	I	18,109	Cancer Treatment Research	1812	American College of Radiology (ACR)	
93.395	I	(105)	Cancer Treatment Research	2033833	Duke University	
93.395	I	93,659	Cancer Treatment Research	310472	Albert Einstein College of Medicine Inc	
93.395	I	(6,405)	Cancer Treatment Research	60037258	Ohio State University	
93.395	I	297,914	Cancer Treatment Research	63801556	Mayo Clinic	
93.395	I	226,267	Cancer Treatment Research	961188-RSUB	Childrens Hospital of Philadelphia	
93.395	I	127,957	Cancer Treatment Research	FY2016-005	University of Kansas Center for Research	
93.395	I	13,212	Cancer Treatment Research	N/A	Capture Pharmaceuticals	
93.395	I	65,988	Cancer Treatment Research	N/A	Gynecologic Oncology Group (GOG)	
93.395	I	140,574	Cancer Treatment Research	N/A	Reveris Therapeutics	
93.395	I	(15)	Cancer Treatment Research	PD300785-SC105154	Virginia Commonwealth University (VCU)	
93.395	I	39,134	Cancer Treatment Research	U10CA180820-01-UNC-1	American College of Radiology Imaging Network	
93.395	I	12,912	Cancer Treatment Research	UNC039TW-00	Frontier Science and Technology Research	
93.395	I	17,298	Cancer Treatment Research	UTA14-001433	University of Texas (UT)	
93.395	I	61,217	Cancer Treatment Research	VUMC 57291	Vanderbilt University Medical Center	
93.395	I	5,312	Cancer Treatment Research	WU-16-42	Washington University in Saint Louis	
93.396	D	7,602,923	Cancer Biology Research			
93.396	I	68,753	Cancer Biology Research	009680-002	University of Cincinnati	
93.396	I	113,323	Cancer Biology Research	3030	University of Texas MD Anderson Cancer Center	
93.396	I	28,676	Cancer Biology Research	431769-19467	Virginia Tech	
93.396	I	20,047	Cancer Biology Research	5600599560	Baylor University College of Medicine	
93.396	I	18,705	Cancer Biology Research	647K662	University of Wisconsin at Madison	
93.396	I	51,686	Cancer Biology Research	66183959	University of Southern California (USC)	
93.396	I	(7,652)	Cancer Biology Research	N/A	Texas A&M University	
93.396	I	15,982	Cancer Biology Research	N/A	University of Texas Southwestern Medical	
93.397	D	14,805,202	Cancer Centers Support Grants			
93.397	I	14,870	Cancer Centers Support Grants	1230601	Dana Farber Cancer Institute	
93.397	I	-	Cancer Centers Support Grants	2000796704	Johns Hopkins University	
93.397	I	134,271	Cancer Centers Support Grants	IN4689833UNC	Indiana University at Indianapolis	
93.397	I	75,599	Cancer Centers Support Grants	MUSC15-085	Medical University of South Carolina (MU)	
93.398	D	4,747,927	Cancer Research Manpower			
93.399	I	2,532	Cancer Control	3003721052	University of Michigan (UMICH)	
93.399	I	50,243	Cancer Control	RES508421	Case Western Reserve University	
93.399	I	(31,959)	Cancer Control	TFED29-117	National Surgical Adjuvant Breast and Bowel Project	
93.424	I	145,200	NON-ACA/PPHF - Building Capacity of the Public Health System to Improve Population Health through National Nonprofit Organizations	G804	National Network of Public Health Institute	
93.424	I	6,367	NON-ACA/PPHF - Building Capacity of the Public Health System to Improve Population Health through National Nonprofit Organizations	N/A	Association of University Centers on Disabilities	
93.505	I	396,924	Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program	14-07-5-01-078-0	Montana State Government	
93.505	I	158,903	Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program	15-07-5-01-080-0	Montana Department of Health and Human Services	
93.505	I	1,042	Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program	G857	Thrive by Five Washington	
93.510	D	838,283	Affordable Care Act (ACA) Primary Care Residency Expansion Program			
93.516	D	10,921	Affordable Care Act (ACA) Public Health Training Centers Program			
93.524	I	44,280	Building Capacity of the Public Health System to Improve Population Health through National, Non-Profit Organizations- financed in part by Prevention and Public Health Funds (PPHF)	N/A	National Network of Public Health Institute	
93.542	D	482,216	Health Promotion and Disease Prevention Research Centers: PPHF - Affordable Care Act Projects			
93.600	I	1,201	Head Start	SC36898D-03-01	University of Denver	
93.601	D	(101)	Child Support Enforcement Demonstrations and Special Projects			
93.610	D	1,025,815	Health Care Innovation Awards (HCIA)			
93.610	I	498,983	Health Care Innovation Awards (HCIA)	N/A	Community Care of North Carolina (CCNC)	
93.632	D	580,139	University Centers for Excellence in Developmental Disabilities Education, Research, and Service			
93.652	I	31,854	Adoption Opportunities	153405528	University of Wisconsin at Milwaukee	
93.652	I	102,221	Adoption Opportunities	HHS2014ACF-ACFYCO797	Spaulding for Children, National Research	
93.670	D	214,782	Child Abuse and Neglect Discretionary Activities			
93.701	I	4,245	Trans-NIH Recovery Act Research Support	N/A	Brain Plasticity, Inc.	
93.718	D	152	ARRA - Health Information Technology Regional Extension Centers Program			
93.823	I	169,849	Ebola Support: Transmission and Prevention Control, Public Health Preparedness, Vaccine Development	2032402	Duke University	
93.837	D	23,791,463	Cardiovascular Diseases Research			
93.837	I	130,329	Cardiovascular Diseases Research	0000503570-008	University of Alabama at Birmingham	
93.837	I	118,115	Cardiovascular Diseases Research	0041597(125465-1)	University of Pittsburgh	

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93.837	I	2,111	Cardiovascular Diseases Research	109135	Brigham and Womens Hospital	
93.837	I	16,163	Cardiovascular Diseases Research	110855	Wake Forest University School of Medicine	
93.837	I	31,502	Cardiovascular Diseases Research	11530-FA87/14-2688	University of South Carolina (USC)	
93.837	I	282,375	Cardiovascular Diseases Research	202-3202	Duke University	
93.837	I	179,755	Cardiovascular Diseases Research	2034835	Duke University Medical Center	
93.837	I	18,801	Cardiovascular Diseases Research	225708	Massachusetts General Hospital	
93.837	I	27,995	Cardiovascular Diseases Research	3001303804	University of Michigan (UMICH)	
93.837	I	(7,895)	Cardiovascular Diseases Research	431746-19467	Virginia Tech	
93.837	I	(262)	Cardiovascular Diseases Research	5	Gramercy Research Group	
93.837	I	2,149	Cardiovascular Diseases Research	5-29746/415311-G	University of Rochester	
93.837	I	2,227	Cardiovascular Diseases Research	51500	Vanderbilt University	
93.837	I	44,692	Cardiovascular Diseases Research	5601054815/1020323239	Baylor University College of Medicine	
93.837	I	25,540	Cardiovascular Diseases Research	563490	University of Pennsylvania	
93.837	I	9,562	Cardiovascular Diseases Research	60040818	Ohio State University	
93.837	I	179	Cardiovascular Diseases Research	6667481041-NCCH	University of Mississippi Medical Center	
93.837	I	(2,640)	Cardiovascular Diseases Research	6763SC	University of California at San Francisco	
93.837	I	429,072	Cardiovascular Diseases Research	710-9144	Miriam Hospital	
93.837	I	28,466	Cardiovascular Diseases Research	728	Brown University	
93.837	I	91,527	Cardiovascular Diseases Research	739597	University of Washington	
93.837	I	70,677	Cardiovascular Diseases Research	800551	Fred Hutchinson Cancer Research Center	
93.837	I	19,376	Cardiovascular Diseases Research	N/A	Duke University Clinical Research Institute	
93.837	I	12,411	Cardiovascular Diseases Research	N/A	New England Research Institutes	
93.837	I	46,004	Cardiovascular Diseases Research	N/A	Path BioAnalytics	
93.837	I	5	Cardiovascular Diseases Research	N/A	University of Southern California (USC)	
93.837	I	9,589	Cardiovascular Diseases Research	N/A	Yale University	
93.837	I	13,268	Cardiovascular Diseases Research	N002127502	University of Minnesota	
93.837	I	4,819	Cardiovascular Diseases Research	R44 HL 126224-01A1 S	Elucid Biomaging Inc.	
93.837	I	-	Cardiovascular Diseases Research	RES505771	Case Western Reserve University	
93.837	I	2,691	Cardiovascular Diseases Research	S607676	Emory University (EU)	
93.837	I	37,237	Cardiovascular Diseases Research	W000680121	University of Iowa	
93.837	I	39,242	Cardiovascular Diseases Research	WFUHS 111546	Wake Forest University Health Sciences	
93.837	I	40,267	Cardiovascular Diseases Research	WU-14-241	Washington University in Saint Louis	
93.838	D	9,721,679	Lung Diseases Research			
93.838	I	65,082	Lung Diseases Research	10842SUB	Seattle Childrens Hospital Research Institute	
93.838	I	33,797	Lung Diseases Research	2002772677	Johns Hopkins University	
93.838	I	3,299	Lung Diseases Research	2011-2546	University of California at Irvine (UCI)	
93.838	I	337,181	Lung Diseases Research	203-1647	Duke University	
93.838	I	151,660	Lung Diseases Research	2032351	Duke University Medical Center	
93.838	I	12,640	Lung Diseases Research	3003104557	University of Michigan (UMICH)	
93.838	I	6,289	Lung Diseases Research	3210515144	Hospital for Sick Children (SickKids)	
93.838	I	32,757	Lung Diseases Research	4686685-UNC	Indiana University System	
93.838	I	2,380	Lung Diseases Research	752648	University of Washington	
93.838	I	210,584	Lung Diseases Research	901487-UNC	Childrens Memorial Hospital of Chicago	
93.838	I	151	Lung Diseases Research	IN4086488NC	Indiana University Purdue University Indianapolis	
93.838	I	(32)	Lung Diseases Research	N/A	Parion Sciences	
93.838	I	19,623	Lung Diseases Research	N/A	Radikal Therapeutics, Inc.	
93.838	I	(140)	Lung Diseases Research	N/A	X-In8 Biologicals Corporation	
93.838	I	72,917	Lung Diseases Research	RES507797	Case Western Reserve University	
93.838	I	11,045	Lung Diseases Research	W000705635	University of Iowa	
93.839	D	7,345,915	Blood Diseases and Resources Research			
93.839	I	119,325	Blood Diseases and Resources Research	07327-3	Minneapolis Medical Research Foundation	
93.839	I	6,179	Blood Diseases and Resources Research	10239SUB	Seattle Children's Hospital	
93.839	I	47,261	Blood Diseases and Resources Research	1026762	Beth Israel Deaconess Medical Center	
93.839	I	7,875	Blood Diseases and Resources Research	203-0276	Duke University Medical Center	
93.839	I	14,770	Blood Diseases and Resources Research	24-6230-0191-003	University of Nebraska at Lincoln	
93.839	I	438,719	Blood Diseases and Resources Research	564956/1004771/14994	University of Pennsylvania	
93.839	I	416,518	Blood Diseases and Resources Research	802	Childrens Hospital of Philadelphia	
93.839	I	140,459	Blood Diseases and Resources Research	A12470	Rensselaer Polytechnic Institute (RPI)	
93.839	I	50,963	Blood Diseases and Resources Research	N/A	Chimera Biotechnology Inc.	
93.839	I	(1)	Blood Diseases and Resources Research	N/A	New England Research Institutes	
93.839	I	44,439	Blood Diseases and Resources Research	N/A	Ohio State University	
93.839	I	17,151	Blood Diseases and Resources Research	PO#1529670/2	Medical College of Wisconsin	
93.839	I	122,532	Blood Diseases and Resources Research	RR571-373/4944276	University of Georgia	
93.839	I	3,219	Blood Diseases and Resources Research	UNC-2015	Bloodworks Northwest	
93.839	I	207,977	Blood Diseases and Resources Research	UWSC8675 (BP09467)	University of Washington	
93.839	I	42,163	Blood Diseases and Resources Research	WU-16-68	Washington University in Saint Louis	
93.846	D	7,222,835	Arthritis, Musculoskeletal and Skin Diseases Research			
93.846	I	348,717	Arthritis, Musculoskeletal and Skin Diseases Research	1122-001	Maine Medical Center	
93.846	I	23,267	Arthritis, Musculoskeletal and Skin Diseases Research	12-01091/101776	New York University (NYU)	
93.846	I	201,497	Arthritis, Musculoskeletal and Skin Diseases Research	14-010	Wake Forest University	

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93.846	I	2,263	Arthritis, Musculoskeletal and Skin Diseases Research	2033893	Duke University	
93.846	I	69,322	Arthritis, Musculoskeletal and Skin Diseases Research	N/A	BioVinc, LLC	
93.846	I	4,894	Arthritis, Musculoskeletal and Skin Diseases Research	WU-15-37/PO#2922731Y	Washington University in Saint Louis	
93.847	D	26,695,574	Diabetes, Digestive, and Kidney Diseases Extramural Research			
93.847	I	33,509	Diabetes, Digestive, and Kidney Diseases Extramural Research	102095487	Baylor University College of Medicine	
93.847	I	47,497	Diabetes, Digestive, and Kidney Diseases Extramural Research	102140101	Baylor College of Medicine	
93.847	I	46,068	Diabetes, Digestive, and Kidney Diseases Extramural Research	12-023-58090	California Polytechnic State University	
93.847	I	634,870	Diabetes, Digestive, and Kidney Diseases Extramural Research	14-179296-07	Connecticut Childrens Medical Center	
93.847	I	23,596	Diabetes, Digestive, and Kidney Diseases Extramural Research	14-2000	Curl Bio, LLC	
93.847	I	52,149	Diabetes, Digestive, and Kidney Diseases Extramural Research	14070977-01	Cornell University Medical Campus	
93.847	I	130,713	Diabetes, Digestive, and Kidney Diseases Extramural Research	16-NIH-1017	Duke University	
93.847	I	1,181	Diabetes, Digestive, and Kidney Diseases Extramural Research	2001815789	Johns Hopkins University	
93.847	I	34,146	Diabetes, Digestive, and Kidney Diseases Extramural Research	2002879987	Johns Hopkins Bloomberg School of Public Health	
93.847	I	63,344	Diabetes, Digestive, and Kidney Diseases Extramural Research	222917	Massachusetts General Hospital	
93.847	I	80,964	Diabetes, Digestive, and Kidney Diseases Extramural Research	25034-65	Georgia Regents University	
93.847	I	226,457	Diabetes, Digestive, and Kidney Diseases Extramural Research	3001310929	University of Michigan (UMICH)	
93.847	I	42,547	Diabetes, Digestive, and Kidney Diseases Extramural Research	3207860212/PO951193-330182	Childrens Hospital of Philadelphia	
93.847	I	(3,187)	Diabetes, Digestive, and Kidney Diseases Extramural Research	414408-G	University of Rochester	
93.847	I	269,737	Diabetes, Digestive, and Kidney Diseases Extramural Research	4500001478	Boston University Board of Trustees	
93.847	I	49,625	Diabetes, Digestive, and Kidney Diseases Extramural Research	5	Medical College of Wisconsin	
93.847	I	86,250	Diabetes, Digestive, and Kidney Diseases Extramural Research	589951	Children's Hospital Boston	
93.847	I	48,719	Diabetes, Digestive, and Kidney Diseases Extramural Research	60040977 UNC	Northwestern University	
93.847	I	23,002	Diabetes, Digestive, and Kidney Diseases Extramural Research	64744923	University of California at San Diego (UCSD)	
93.847	I	6,386	Diabetes, Digestive, and Kidney Diseases Extramural Research	9937-01	Kaiser Foundation Research Institute	
93.847	I	140,592	Diabetes, Digestive, and Kidney Diseases Extramural Research	IN4685579UNC	Indiana University System	
93.847	I	15,103	Diabetes, Digestive, and Kidney Diseases Extramural Research	N/A	University of South Florida Tampa	
93.847	I	107,469	Diabetes, Digestive, and Kidney Diseases Extramural Research	PO#2922664Y/WU-15-10	Washington University in Saint Louis	
93.847	I	4,336	Diabetes, Digestive, and Kidney Diseases Extramural Research	R42DK074193-02A1	TheraLogics	
93.847	I	503	Diabetes, Digestive, and Kidney Diseases Extramural Research	RO1 DK092468	Oregon Research Institute	
93.847	I	263,244	Diabetes, Digestive, and Kidney Diseases Extramural Research	S-GRD1314-KR31	George Washington University	
93.847	I	(75)	Diabetes, Digestive, and Kidney Diseases Extramural Research	S630622	Emory University (EU)	
93.847	I	33,217	Diabetes, Digestive, and Kidney Diseases Extramural Research	Site 105 179995/1886	Duke University Clinical Research Institute	
93.847	I	100,316	Diabetes, Digestive, and Kidney Diseases Extramural Research	T20-UNC	Southeast TechniVentures (STI)	
93.847	I	90,367	Diabetes, Digestive, and Kidney Diseases Extramural Research	UNCCK095078	Pennsylvania State University	
93.847	I	93,414	Diabetes, Digestive, and Kidney Diseases Extramural Research	WU-15-37	Wake Forest University Health Sciences	
93.853	D	9,744,671	Extramural Research Programs in the Neurosciences and Neurological Disorders			
93.853	I	14,760	Extramural Research Programs in the Neurosciences and Neurological Disorders	0001197792/R21NS0889	Cedars Sinai Medical Center	
93.853	I	42,202	Extramural Research Programs in the Neurosciences and Neurological Disorders	2(GG008402)	Columbia University	
93.853	I	255,827	Extramural Research Programs in the Neurosciences and Neurological Disorders	2014-0568	The Allen Institute for Brain Science	
93.853	I	540	Extramural Research Programs in the Neurosciences and Neurological Disorders	202302	Duke University	
93.853	I	151,075	Extramural Research Programs in the Neurosciences and Neurological Disorders	2259	Boston Medical Center	
93.853	I	(1,356)	Extramural Research Programs in the Neurosciences and Neurological Disorders	416220	University of Rochester	
93.853	I	118,869	Extramural Research Programs in the Neurosciences and Neurological Disorders	5600909926	Baylor University College of Medicine	
93.853	I	158,632	Extramural Research Programs in the Neurosciences and Neurological Disorders	9091SC	University of California at San Francisco	
93.853	I	42,167	Extramural Research Programs in the Neurosciences and Neurological Disorders	FY2016-006	University of Kansas Center for Research	
93.853	I	94,907	Extramural Research Programs in the Neurosciences and Neurological Disorders	K000841-00-S02	Kitware, Inc.	
93.853	I	16,763	Extramural Research Programs in the Neurosciences and Neurological Disorders	N/A	Beth Israel Deaconess Medical Center	
93.853	I	68,670	Extramural Research Programs in the Neurosciences and Neurological Disorders	N/A	Dignify Therapeutics	
93.853	I	18,359	Extramural Research Programs in the Neurosciences and Neurological Disorders	N/A	EMMES Corporation	
93.853	I	11,013	Extramural Research Programs in the Neurosciences and Neurological Disorders	N/A	New York University (NYU)	
93.853	I	-	Extramural Research Programs in the Neurosciences and Neurological Disorders	N/A	Pennsylvania State University	
93.853	I	51,215	Extramural Research Programs in the Neurosciences and Neurological Disorders	SNNC7115	Soterix Medical Inc	
93.853	I	45,572	Extramural Research Programs in the Neurosciences and Neurological Disorders	T458594	Emory University (EU)	
93.853	I	38,631	Extramural Research Programs in the Neurosciences and Neurological Disorders	UWSC7150/PO#BPO7044	University of Washington	
93.855	D	56,830,413	Allergy and Infectious Diseases Research			
93.855	I	1,744,381	Allergy and Infectious Diseases Research	000397076-0011	University of Alabama at Birmingham	
93.855	I	74,235	Allergy and Infectious Diseases Research	0043800 (125428-1)	University of Pittsburgh	
93.855	I	3,102,084	Allergy and Infectious Diseases Research	0080.144/955	Family Health International	
93.855	I	501,920	Allergy and Infectious Diseases Research	0254-6990-4609	Mount Sinai School of Medicine	
93.855	I	94,757	Allergy and Infectious Diseases Research	1(GG007638)	Columbia University Trustees	
93.855	I	72,840	Allergy and Infectious Diseases Research	1005926_UNCCH	Oregon Health and Science University	
93.855	I	15,970	Allergy and Infectious Diseases Research	10466	Wake Forest University School of Medicine	
93.855	I	2,103,375	Allergy and Infectious Diseases Research	108088	Brigham and Womens Hospital	
93.855	I	(844)	Allergy and Infectious Diseases Research	1186601	Dana Farber Cancer Institute	
93.855	I	29,309	Allergy and Infectious Diseases Research	135408	Cincinnati Childrens Hospital Medical Center	
93.855	I	920,003	Allergy and Infectious Diseases Research	15121923-N1	Cornell University Medical Campus	
93.855	I	24,315	Allergy and Infectious Diseases Research	1651	Dartmouth College	
93.855	I	40,681	Allergy and Infectious Diseases Research	1R41AI112064-01	Clinical Sensors, Inc.	
93.855	I	15,418	Allergy and Infectious Diseases Research	2-5-23318	University of Colorado Denver	
93.855	I	1,400,345	Allergy and Infectious Diseases Research	2002115654	Johns Hopkins University	

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93.855	I	819,567	Allergy and Infectious Diseases Research	203 9893	Duke University	
93.855	I	350,618	Allergy and Infectious Diseases Research	2033193	Duke University Medical Center	
93.855	I	611,256	Allergy and Infectious Diseases Research	2501 PO824643	Henry M Jackson Foundation	
93.855	I	192,196	Allergy and Infectious Diseases Research	2R42AIC98192	Agile Sciences	
93.855	I	318,640	Allergy and Infectious Diseases Research	41666	Vanderbilt University Medical Center	
93.855	I	156,481	Allergy and Infectious Diseases Research	4500001632	Boston University	
93.855	I	6	Allergy and Infectious Diseases Research	473K174	University of Wisconsin	
93.855	I	162,323	Allergy and Infectious Diseases Research	490K582	University of Wisconsin at Madison	
93.855	I	877,048	Allergy and Infectious Diseases Research	5(GG008377-12)	Columbia University	
93.855	I	-	Allergy and Infectious Diseases Research	5-20560	The Scripps Research Institute	
93.855	I	82,312	Allergy and Infectious Diseases Research	5-20686	Scripps Research Institute	
93.855	I	138,243	Allergy and Infectious Diseases Research	54406214	University of Southern California (USC)	
93.855	I	157,614	Allergy and Infectious Diseases Research	55940/PO#3250385	University of Pennsylvania	
93.855	I	5,202	Allergy and Infectious Diseases Research	5R44AI084282-04	G-Zero Therapeutics, Inc.	
93.855	I	10,042	Allergy and Infectious Diseases Research	60040631 UNC	Northwestern University	
93.855	I	48,556	Allergy and Infectious Diseases Research	608195277	Wits Health Consortium	
93.855	I	317,654	Allergy and Infectious Diseases Research	758220	University of Washington	
93.855	I	130,778	Allergy and Infectious Diseases Research	809002	Fred Hutchinson Cancer Research Center	
93.855	I	86,587	Allergy and Infectious Diseases Research	8180 PO 191798	Rutgers the State University of New Jersey	
93.855	I	197,283	Allergy and Infectious Diseases Research	825SC	University of California at San Francisco	
93.855	I	313,767	Allergy and Infectious Diseases Research	8908	University of California at Berkeley	
93.855	I	335,346	Allergy and Infectious Diseases Research	9294	Magee-Womens Research Institute & Foundation	
93.855	I	(8,734)	Allergy and Infectious Diseases Research	BRS-ACURE0Q-06-00160	Social and Scientific Systems (S3), Inc.	
93.855	I	578,274	Allergy and Infectious Diseases Research	FY14ITN008	Benaroya Research Institute	
93.855	I	143,930	Allergy and Infectious Diseases Research	M60-NC-075-1101-3	Institute for Clinical Research	
93.855	I	8,219	Allergy and Infectious Diseases Research	MA150048	University of Hawaii	
93.855	I	12,018	Allergy and Infectious Diseases Research	MUSC14 034	University of South Carolina (USC)	
93.855	I	196,988	Allergy and Infectious Diseases Research	N/A	Capture Pharmaceuticals	
93.855	I	116,146	Allergy and Infectious Diseases Research	N/A	Centre for the AIDS Programme of Research	
93.855	I	9,852	Allergy and Infectious Diseases Research	N/A	Mucommune, LLC	
93.855	I	394	Allergy and Infectious Diseases Research	N/A	Research Triangle Institute (RTI International)	
93.855	I	68,576	Allergy and Infectious Diseases Research	N/A	University of Cape Town	
93.855	I	12,494	Allergy and Infectious Diseases Research	P004756921	University of Minnesota Board of Regents	
93.855	I	32,009	Allergy and Infectious Diseases Research	P2013-0529 UNC 15	Childrens Hospital Los Angeles	
93.855	I	(8,305)	Allergy and Infectious Diseases Research	P66162854R	University of Minnesota	
93.855	I	159,040	Allergy and Infectious Diseases Research	R01A1111965	Monash University	
93.855	I	23,748	Allergy and Infectious Diseases Research	R988507	SUNY at Buffalo	
93.855	I	15,989	Allergy and Infectious Diseases Research	T371044	Emory University (EU)	
93.855	I	187,888	Allergy and Infectious Diseases Research	W000474787-100117752	University of Iowa	
93.855	I	37,996	Allergy and Infectious Diseases Research	WSU16036	Wayne State University	
93.856	D	231,650	Microbiology and Infectious Diseases Research			
93.859	D	30,128,634	Biomedical Research and Research Training			
93.859	I	42,885	Biomedical Research and Research Training	0023300(119860-01)	University of Pittsburgh	
93.859	I	76,837	Biomedical Research and Research Training	1001321424	University of Iowa	
93.859	I	15,000	Biomedical Research and Research Training	102208235	Baylor College of Medicine	
93.859	I	(350)	Biomedical Research and Research Training	203-1083	Duke University	
93.859	I	139,763	Biomedical Research and Research Training	203-1990	Duke University Medical Center	
93.859	I	225,304	Biomedical Research and Research Training	3003277546	University of Michigan (UMICH)	
93.859	I	29,129	Biomedical Research and Research Training	34-2005-2076-005	University of Nebraska at Omaha	
93.859	I	399,759	Biomedical Research and Research Training	5044606412K285	University of Wisconsin	
93.859	I	5,182	Biomedical Research and Research Training	55631-11504-UNC-05	Sanford-Burnham Medical Research Institute	
93.859	I	19,036	Biomedical Research and Research Training	60026168	Ohio State University	
93.859	I	2,592	Biomedical Research and Research Training	FP058702	University of Chicago	
93.859	I	1,585	Biomedical Research and Research Training	FY2012-096	University Of Kansas	
93.859	I	184,563	Biomedical Research and Research Training	FY2016-001	University of Kansas Center for Research	
93.859	I	70,296	Biomedical Research and Research Training	MUSC12-032	Medical University of South Carolina (MUSC)	
93.859	I	73,335	Biomedical Research and Research Training	PO#1594722/IN4684684	Indiana University System	
93.859	I	163,667	Biomedical Research and Research Training	PO#204867	Jackson Laboratory	
93.859	I	87,493	Biomedical Research and Research Training	RC104917UNC	Michigan State University	
93.859	I	408,799	Biomedical Research and Research Training	WA00360578/OSP201609	University of Massachusetts	
93.865	D	29,517,536	Child Health and Human Development Extramural Research			
93.865	I	90,038	Child Health and Human Development Extramural Research	000378020-001	University of Alabama at Birmingham	
93.865	I	32,368	Child Health and Human Development Extramural Research	1-312-02131113-51003L	Research Triangle Institute (RTI International)	
93.865	I	371,351	Child Health and Human Development Extramural Research	14-NIH-1039	Duke University	
93.865	I	11,798	Child Health and Human Development Extramural Research	15-2719	University of South Carolina (USC)	
93.865	I	70,168	Child Health and Human Development Extramural Research	1547811/PO1000094529	University of Colorado	
93.865	I	1,064	Child Health and Human Development Extramural Research	16091646-01	Cornell University Weill Medical College	
93.865	I	93,227	Child Health and Human Development Extramural Research	1R01HD072705-01	Eastern Virginia Medical School	
93.865	I	20,000	Child Health and Human Development Extramural Research	2002795954	Johns Hopkins University	
93.865	I	59,656	Child Health and Human Development Extramural Research	2012-2745	University of California at Irvine (UCI)	

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93.865	I	13,650	Child Health and Human Development Extramural Research	2033620 ZHD10SR-A	Duke University Medical Center	
93.865	I	88,750	Child Health and Human Development Extramural Research	4243-UNC0DHHS-0709	Pennsylvania State University	
93.865	I	4,291	Child Health and Human Development Extramural Research	440545	Wake Forest University Health Sciences	
93.865	I	11,528	Child Health and Human Development Extramural Research	60032241 UNC	Northwestern University	
93.865	I	733	Child Health and Human Development Extramural Research	60041793	Ohio State University	
93.865	I	89,410	Child Health and Human Development Extramural Research	727265	University of Washington	
93.865	I	135,671	Child Health and Human Development Extramural Research	9373	Women and Infants Hospital of Rhode Island	
93.865	I	95,193	Child Health and Human Development Extramural Research	D1404360-01	Wits Health Consortium	
93.865	I	293,495	Child Health and Human Development Extramural Research	F4330-02	New York University (NYU)	
93.865	I	15,126	Child Health and Human Development Extramural Research	M14A12036(A10192)	Yale University	
93.865	I	370,145	Child Health and Human Development Extramural Research	N/A	George Washington University	
93.865	I	16,915	Child Health and Human Development Extramural Research	N/A	Inquisihealth Inc	
93.865	I	109,707	Child Health and Human Development Extramural Research	N/A	Liverpool School of Tropical Medicine	
93.865	I	4,336	Child Health and Human Development Extramural Research	N/A	Qualiber, Inc.	
93.865	I	28,417	Child Health and Human Development Extramural Research	N/A	University of Cape Town	
93.865	I	47,668	Child Health and Human Development Extramural Research	PD301855-SC102433	Virginia Commonwealth University (VCU)	
93.865	I	82,831	Child Health and Human Development Extramural Research	UFDSP00011045	University of Florida	
93.865	I	135,869	Child Health and Human Development Extramural Research	VUMC35301	Vanderbilt University Medical Center	
93.865	I	3,431	Child Health and Human Development Extramural Research	WU-15-337	Washington University in Saint Louis	
93.866	D	4,684,154	Aging Research			
93.866	I	11,611	Aging Research	0011496A	University of Texas at Houston Health Sc	
93.866	I	378,312	Aging Research	13-NIH-1080	Duke University	
93.866	I	111,388	Aging Research	2001442722	Johns Hopkins University	
93.866	I	126	Aging Research	201121619-01	University of California at Davis (UCD)	
93.866	I	8,330	Aging Research	23030.914940.6695	City of Hope National Medical Center	
93.866	I	146,952	Aging Research	2616022661	University of Texas at Arlington	
93.866	I	88,096	Aging Research	450002003	Boston University	
93.866	I	35,303	Aging Research	60041739 UNC	Northwestern University	
93.866	I	8,667	Aging Research	67K531	University of Wisconsin at Madison	
93.866	I	22,756	Aging Research	9055	Hebrew Rehabilitation Center	
93.866	I	307,762	Aging Research	A12418	Rensselaer Polytechnic Institute (RPI)	
93.866	I	(3,088)	Aging Research	H54027	University of Southern California (USC)	
93.866	I	19,843	Aging Research	N/A	HealthSpan Dx	
93.866	I	58,899	Aging Research	RC105335E	Michigan State University	
93.866	I	75,466	Aging Research	RR540-193/4942156	University of Georgia	
93.866	I	39,023	Aging Research	UTA15-000439	University of Texas at Austin	
93.866	I	58,732	Aging Research	VUMC38284	Vanderbilt University Medical Center	
93.867	D	2,293,051	Vision Research			
93.867	I	38,064	Vision Research	1001272428	University of Iowa	
93.867	I	26,847	Vision Research	10033536-00	University of Utah	
93.867	I	12,904	Vision Research	2001536656	Johns Hopkins University	
93.867	I	303,023	Vision Research	N/A	CMP Tarhelm Partners LLC	
93.867	I	45,964	Vision Research	N/A	Jaeb Center for Health Research	
93.867	I	(4,889)	Vision Research	N/A	University of Pennsylvania	
93.879	I	54,316	Medical Library Assistance	10028048-01	University of Utah	
93.884	D	610,214	Grants for Primary Care Training and Enhancement			
93.918	D	549,850	Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease			
93.924	D	20,549	Ryan White HIV/AIDS Dental Reimbursement and Community Based Dental Partnership Grants			
93.928	D	398,526	Special Projects of National Significance			
93.928	I	3,216	Special Projects of National Significance	15-0239	CommWell Health	
93.941	I	-	HIV Demonstration, Research, Public and Professional Education Projects	WFUHS 115785	Wake Forest University Health Sciences	
93.943	D	(26,107)	Epidemiologic Research Studies of Acquired Immunodeficiency Syndrome (AIDS) and Human Immunodeficiency Virus (HIV) Infection in Selected Population Groups			
93.945	D	455,780	Assistance Programs for Chronic Disease Prevention and Control			
93.945	I	1,341	Assistance Programs for Chronic Disease Prevention and Control	N/A	Emory University (EU)	
93.946	D	171,246	Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs			
93.964	D	20,011	Prevention and Public Health Fund (PPHF) Public Health Traineeships			
93.969	D	746,061	PPHF Geriatric Education Centers			
93.989	D	2,782,213	International Research and Research Training			
93.989	I	30,332	International Research and Research Training	1003185_UNC	Oregon Health and Science University	
93.989	I	32,046	International Research and Research Training	5-R25TW008981-02	Stellenbosch University	
93.989	I	42,885	International Research and Research Training	60035474 UNC	Northwestern University	
93.989	I	78,101	International Research and Research Training	N/A	University of Zambia (UNZA)	
93.989	I	(15,607)	International Research and Research Training	VUMC 39590	Vanderbilt University Medical Center	
93.RD	D	16,381,809	U. S. Department of Health and Human Services			5032906-5104526
93.RD	I	52,314	U. S. Department of Health and Human Services	00500918-T004-SC06	University of Alabama at Birmingham	5100837-5103086-5100696-4027586

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93.RD	I	329	U. S. Department of Health and Human Services	06150-PSC-PII-TAP-N	JBS International Inc.	5100544-5042134
93.RD	I	9,996	U. S. Department of Health and Human Services	0844.0003/104012	Family Health International	5100167-5042355
93.RD	I	136,873	U. S. Department of Health and Human Services	08800-036-00-FPG-0	Urban Institute	5044651
93.RD	I	15,565	U. S. Department of Health and Human Services	10-16385-99-01-02	H Lee Moffitt Cancer and Research Institute	4028455
93.RD	I	1,517,478	U. S. Department of Health and Human Services	10-312-0213462-52100	Research Triangle Institute (RTI International)	5042130-5104552
93.RD	I	12,916	U. S. Department of Health and Human Services	112255	Wake Forest University Health Sciences	5104031-5101442
93.RD	I	393,906	U. S. Department of Health and Human Services	12XS457	Leidos Biomedical Research	5042480-4028511-5043964-5058977-5043783
93.RD	I	129,156	U. S. Department of Health and Human Services	13-3946	XinRay Systems	5042300
93.RD	I	152	U. S. Department of Health and Human Services	13XS093	SAIC-Frederick, Inc.	4028512
93.RD	I	15,946	U. S. Department of Health and Human Services	15-715	Arizona State University	5101856
93.RD	I	36,617	U. S. Department of Health and Human Services	15LDSK0079	ICF International	5102827
93.RD	I	47,328	U. S. Department of Health and Human Services	2013156199/HHSN26120	Group Health Research Institute	5102415-510215-5042237
93.RD	I	69,785	U. S. Department of Health and Human Services	203-8015	Duke University	5042262-5103603
93.RD	I	5,694	U. S. Department of Health and Human Services	2038817	Duke University Clinical Research Institute	5101595
93.RD	I	73,926	U. S. Department of Health and Human Services	293500401	American Institutes for Research (AIR)	5102508-5100299-504385
93.RD	I	7,658	U. S. Department of Health and Human Services	2U01GH000486-SA1	Centre for Infectious Disease Research	5101543-5042160-5042127
93.RD	I	153,195	U. S. Department of Health and Human Services	30015-87-381	La Jolla Institute for Allergy and Immunology	5101428
93.RD	I	88,261	U. S. Department of Health and Human Services	3002-082	Carter Consulting, Inc	5044906
93.RD	I	76,503	U. S. Department of Health and Human Services	30305	Wake Forest University	5100428-5042341-5042452
93.RD	I	29	U. S. Department of Health and Human Services	40283S03546	Mathematica Policy Research, Inc.	5100397-5043510
93.RD	I	726,959	U. S. Department of Health and Human Services	43777 44774/43775-2	Abt Associates, Inc.	5102364-5103611-5100425
93.RD	I	(3,077)	U. S. Department of Health and Human Services	5-50682	Scripps Research Institute	5042448
93.RD	I	(362)	U. S. Department of Health and Human Services	530	University of Maryland at Baltimore (UMB)	5102842-2100209
93.RD	I	151,720	U. S. Department of Health and Human Services	66102700414-04UNC-GA	University of Mississippi Medical Center	5104071-5101287-5104498-5101285-5042457-5042455
93.RD	I	214,573	U. S. Department of Health and Human Services	724840	Fred Hutchinson Cancer Research Center	5104032-5101703-5102198-5042622-5042132-5102286
93.RD	I	111,565	U. S. Department of Health and Human Services	8977-S-003	Westat, Inc.	5044479
93.RD	I	168,300	U. S. Department of Health and Human Services	974560	McKing Consulting Corporation	5101752
93.RD	I	124	U. S. Department of Health and Human Services	BT451-350-203	Pharmaceutical Product Development (PPD)	5042428
93.RD	I	113,114	U. S. Department of Health and Human Services	CRB-DCR01-S-09-00029	Social and Scientific Systems (S3), Inc.	5102471-5101870-5101182-5042522-5042258-5042119
93.RD	I	12,301	U. S. Department of Health and Human Services	M60-NC-705-1101-3	Institute for Clinical Research	5044165
93.RD	I	54,106	U. S. Department of Health and Human Services	N/A	250Glycan Therapeutics, Inc.	5103578-5058235
93.RD	I	(1,338)	U. S. Department of Health and Human Services	N/A	Argos Therapeutics, Inc.	4028209
93.RD	I	112,884	U. S. Department of Health and Human Services	N/A	Atlas Research, LLC	5103119
93.RD	I	30,102	U. S. Department of Health and Human Services	N/A	BioFluidica Microtechnologies LLC	5058272-5058236
93.RD	I	115,472	U. S. Department of Health and Human Services	N/A	Brigham and Womens Hospital	4028716-4028359
93.RD	I	(68,756)	U. S. Department of Health and Human Services	N/A	Center Line Productions	5058825
93.RD	I	65,152	U. S. Department of Health and Human Services	N/A	Directors of Health Promotion and Education	5043216
93.RD	I	14,280	U. S. Department of Health and Human Services	N/A	EMMES Corporation	4027325
93.RD	I	33,425	U. S. Department of Health and Human Services	N/A	KIYATEC Inc.	5100795
93.RD	I	(2)	U. S. Department of Health and Human Services	N/A	MDB INC	5042379
93.RD	I	3,858	U. S. Department of Health and Human Services	N/A	MacroGenics, Inc.	5103712
93.RD	I	3,106	U. S. Department of Health and Human Services	N/A	Nanovector, Inc.	5058646
93.RD	I	1,489	U. S. Department of Health and Human Services	N/A	Universidad del Valle de Guatemala (UVG)	5103539
93.RD	I	478	U. S. Department of Health and Human Services	N/A	University of California at San Francisco	4028407-4028059
93.RD	I	556,681	U. S. Department of Health and Human Services	N/A	Zero to Three	5102780
93.RD	I	58,464	U. S. Department of Health and Human Services	S150202	Avram Corporation	5101077-5042564
93.RD	I	(1,169)	U. S. Department of Health and Human Services	UNC 01/HHSN271200900	Feinstein Institute for Medical Research	5042351
93.RD	I	142,113	U. S. Department of Health and Human Services	UNC-14005-002-0145-2	Advanced BioScience Laboratories, Inc	5102110-5044755
93.RD	I	11,144	U. S. Department of Health and Human Services	UWSC7547/758997	University of Washington	5101206-5042491
93.RD	I	(18)	ARRA - U. S. Department of Health and Human Services	4-0601	Palo Alto Medical Foundation	5043871
93.RD	I	8,239	ARRA - U. S. Department of Health and Human Services	DH140006001	Missouri Department of Health and Senior	5042131
93.U07	I	(125)	ARRA - U. S. Department of Health and Human Services	N/A	Leidos Biomedical Research	4028511
93.U08	I	(3,120)	ARRA - U. S. Department of Health and Human Services	N/A	SAIC-Frederick, Inc.	544919
93.U09	I	85,001	ARRA - U. S. Department of Health and Human Services	N/A	Social and Scientific Systems (S3), Inc.	5042516
94.019	I	216,658	Social Innovation Fund	N/A	New Profit, Inc	
97.061	D	2,083,454	Centers for Homeland Security			
97.122	D	3,181,118	Bio-Preparedness Collaboratory			
97.RD	D	37,835	U. S. Department of Homeland Security			5042176
97.U01	I	19,474	U. S. Department of Homeland Security	JCVI-13-010	J Craig Venter Institute (JCVI)	5042176
98.001	D	34,333,422	USAID Foreign Assistance for Programs Overseas			
98.001	I	16,958	USAID Foreign Assistance for Programs Overseas	12-330-0212555-52302	Research Triangle Institute (RTI International)	
98.001	I	55,036	USAID Foreign Assistance for Programs Overseas	SH1422	Population Council	
98.012	I	62,323	USAID Development Partnerships for University Cooperation and Development	N/A	Higher Education for Development (HED)	
98.RD	D	14,319,200	United States Agency for International Development			5101418-5035670-5035640-5036646
98.U03	I	1,397,536	United States Agency for International Development	100303/W0936	Family Health International	5042586
98.U04	I	10	United States Agency for International Development	999000550	Food for the Hungry (FH)	5100164
98.U05	I	9,883	United States Agency for International Development	AID-623-A-12-00011	IntraHealth International	5042338
98.U06	I	897	United States Agency for International Development	2000004604	National Academy of Sciences	5042523
98.U07	I	124,561	United States Agency for International Development	N/A	Right to Care	5102462-5100450
98.U08	I	173,973	United States Agency for International Development	6015-S03	Westat, Inc.	5044596

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98.U09	I	14,581	United States Agency for International Development	UNC001	Witkopp Health and Welfare Center	5044838
99.RD	D	82,103	Other Federal Assistance			5102168-5100548-5055075-5055040
		863,620,860	University of North Carolina at Chapel Hill			
<b>University of North Carolina at Charlotte</b>						
10.652	D	66,466	Forestry Research			
10.U09	D	91,953	U. S. Department of Commerce			USDA 501699-530202-530369-5A1699
11.427	D	71,959	Fisheries Development and Utilization Research and Development Grants and Cooperative Agreements Program			
11.478	D	44,939	Center for Sponsored Coastal Ocean Research-Coastal Ocean Program			
11.609	D	220,690	Measurement and Engineering Research and Standards			
11.619	D	206,101	Arrangements for Interdisciplinary Research Infrastructure			
11.620	D	12,580	Science, Technology, Business and/or Education Outreach			
11.U03	I	129,511	U. S. Department of Commerce	Agrmt 11/26/13/70NANB13H192	Edison Welding Institute (EWI)	Agrmt 11/26/13/70NANB13H192
12.300	D	1,435,110	Basic and Applied Scientific Research			
12.300	I	7,395	Basic and Applied Scientific Research	201323A	Florida Institute of Technology	
12.300	I	30,838	Basic and Applied Scientific Research	421-23-03A	Iowa State University	
12.420	I	19,105	Military Medical Research and Development	7137164	Rhode Island Hospital	
12.431	D	1,443,983	Basic Scientific Research			
12.431	I	171,152	Basic Scientific Research	Sub Agmt #2010-04989-01	University of Illinois	
12.560	D	115,776	DOD, NDEP, DOTC-STEM Education Outreach Implementation			
12.630	I	2,850	Basic, Applied, and Advanced Research in Science and Engineering	LTR 9/22/14 / W911NF-10-2-0076	Academy of Applied Science	
12.630	I	18,447	Basic, Applied, and Advanced Research in Science and Engineering	LTR dated 10/1/2015	Academy of Applied Science	
12.631	D	932	Science, Technology, Engineering and Mathematics (STEM) Educational Program: Science, Mathematics And Research for Transformation (SMART)			
12.800	D	564,993	Air Force Defense Research Sciences Program			
12.901	I	7,828	Mathematical Sciences Grants Program	245153	Simons Foundation	
12.U06	D	304,208	U. S. Department of Defense			DOD 501860-530166
12.U07	I	218,810	U. S. Department of Defense	2-2015	American Museum of Natural History	2-2015
12.U08	I	37,938	U. S. Department of Defense	178504	Battelle Memorial Institute	178504
12.U09	I	4,161	U. S. Department of Defense	GC4564	Geosyntec Consultants Inc	GC4564
12.U10	I	34,796	U. S. Department of Defense	W911NF-12-0044-SCINICC-003	Invincea Labs, LLC	W911NF-12-0044-SCINICC-003
12.U11	I	103,183	U. S. Department of Defense	297520130517/ N00014-13-C-0346	IRflex Corporation	297520130517/N00014-13-C-0346
12.U12	I	5,317	U. S. Department of Defense	2975-2016-0192	Nanohmics, Inc.	2975-2016-0192
12.U13	I	112,411	U. S. Department of Defense	2975-14-0619	Nanohmics, Inc.	2975-14-0619
12.U14	I	13,944	U. S. Department of Defense	2975-15-0482	OPTIPRO	2975-15-0482
12.U15	I	20,571	U. S. Department of Defense	2975-15-0483	OPTIPRO	2975-15-0483
12.U16	I	14,613	U. S. Department of Defense	PO# 11952	Rochester Precision Optics, LLC	PO#11952
12.U17	I	22,706	U. S. Department of Defense	AOR 2/1/16	TDA Research, Inc.	AOR 2/1/16
12.U18	I	17,196	U. S. Department of Defense	TSC-1077-40066	Technology Services Corporation	TSC-1077-40066
12.U19	I	29,810	U. S. Department of Defense	60049437	The Ohio State University	60049437
12.U20	I	620	U. S. Department of Defense	S-875-201-003	UES, Inc.	S-875-201-003
13.U01	I	(3,156)	U. S. Central Intelligence Agency	411259706 / 2013-13083000010	Purdue University	411259706 / 2013-13083000010
15.608	I	17,724	Fish and Wildlife Management Assistance	191000.331301.07/40181A.J186	Mississippi State University	
16.801	I	133,893	Corrections-Training and Staff Development	N/A	Manpower Demonstration Research Corporation	
16.738	I	36,658	Edward Byrne Memorial Justice Assistance Grant Program	2015001753	Charlotte Mecklenburg Police Dept	
17.282	D	470,134	Trade Adjustment Assistance Community College and Career Training (TAACCCT) Grants			
19.432	I	(898)	Academic Exchange Programs - Educational Advising and Student Services	S-ECAGD-13-CA-029 (CB)	Institute of International Education Inc	
19.900	D	10,340	AEECA/ESF PD Programs			
19.900	I	167	AEECA/ESF PD Programs	W16-1013	Eurasia Foundation	
20.200	I	34,788	Highway Research and Development Program	125137-G003462	Washington State University	
20.200	I	6,748	Highway Research and Development Program	Task 1-3B.1	Snyder & Associates, Inc.	
20.200	I	1,919	Highway Research and Development Program	Task Order 1-3B.2	Snyder & Associates, Inc.	
20.215	D	9,966	Highway Training and Education			
20.701	I	3,961	University Transportation Centers Program	2975-2015-0424	Manhattan College	
43.001	I	98,259	Science	098002.001.0189.2015.03	SURVICE Engineering	
43.003	D	28,464	Exploration			
45.024	D	(2,537)	Promotion of the Arts-Grants to Organizations and Individuals			
47.041	D	1,790,362	Engineering Grants			
47.041	I	3,402	Engineering Grants	100600-1	Clarkson University	
47.041	I	20,815	Engineering Grants	40B31-A	Research Foundation of CUNY	
47.041	I	49,988	Engineering Grants	416571-G	University of Rochester	
47.041	I	17,132	Engineering Grants	416572-G	University of Rochester	
47.041	I	21,894	Engineering Grants	416833-G	University of Rochester	
47.041	I	1,505	Engineering Grants	GF-1667-2	University of North Texas	
47.041	I	1,431	Engineering Grants	SUB082112/0003361-CMMI-1234780	University of Rhode Island	
47.041	I	39,263	Engineering Grants	email 03/11/2016	Research Foundation of CUNY	
47.049	D	528,942	Mathematical and Physical Sciences			
47.049	I	8,232	Mathematical and Physical Sciences	1001217-UNCC/DMS-1100695	University of Wyoming	

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
47.050	D	41,122	Geosciences			
47.070	D	2,019,063	Computer and Information Science and Engineering			
47.074	D	827,548	Biological Sciences			
47.074	I	27,736	Biological Sciences	14-2657/IOS-1354452	University of South Carolina	
47.075	D	228,878	Social, Behavioral, and Economic Sciences			
47.076	D	1,704,172	Education and Human Resources			
47.076	I	29,813	Education and Human Resources	1348810-12-UNC	Horizon	
47.076	I	139,851	Education and Human Resources	4101-63663 / DUE-1431694	Purdue University	
47.076	I	7,712	Education and Human Resources	92-NC08-NSF2013-MOD1	National Writing Project Corporation	
47.076	I	18,793	Education and Human Resources	Grant # 1533627	Morehouse College	
47.079	D	37,195	Office of International Science and Engineering			
47.080	D	13,647	Office of Cyberinfrastructure			
47.082	D	61,228	ARRA - Trans-NSF Recovery Act Research Support			
47.U06	D	144,622	National Science Foundation			NSF 530347
47.U07	I	7,514	National Science Foundation	2015-000539	University of Puerto Rico Mayaguez Campus	2015-000539
64.U01	D	72,886	U. S. Department of Veterans Affairs			VA 530247-248-297-357-358-359
64.U02	I	10,287	U. S. Department of Veterans Affairs	Research IPA VA/UNC 15-0001	VA Portland Health Care System	Research IPA VA/UNC 15-0001
66.808	I	5,335	Solid Waste Management Assistance Grants	2975-2013-0036	Green Blue Institute, Inc.	
81.087	D	139,241	Renewable Energy Research and Development			
81.087	I	161,640	Renewable Energy Research and Development	10001630/DE-FOA-0000856	EPRI (Electric Power Institute Inc)	
81.087	I	41,173	Renewable Energy Research and Development	Agreement Dated 1-7-15 / 14-0603	SineWatts	
81.U05	I	138,736	U. S. Department of Energy	4300080655	B&W Y-12	4300080655
81.U06	I	26,853	U. S. Department of Energy	B612098	Lawrence Livermore National Laboratory	B612098
81.U07	I	72,017	U. S. Department of Energy	245450-1	Los Alamos National Security	245450-1
84.007	D	552,896	Federal Supplemental Educational Opportunity Grants			
84.010	I	11,402	Title I Grants to Local Educational Agencies	PO 3059583	Charlotte Mecklenburg Board of Education	
84.033	D	900,510	Federal Work-Study Program			
84.038	D	5,922,435	Federal Perkins Loan Program-Federal Capital Contributions			
84.042	D	99,425	TRIO-Student Support Services			
84.063	D	39,418,527	Federal Pell Grant Program			
84.120	I	9,588	Minority Science and Engineering Improvement	2015-000536	University of Puerto Rico Mayaguez Campus	
84.200	D	336,354	Graduate Assistance in Areas of National Need			
84.215	I	21,559	Fund for the Improvement of Education	PO 9036345	Charlotte Mecklenburg Board of Education	
84.268	D	135,327,343	Federal Direct Student Loans			
84.305	I	10,177	Education Research, Development and Dissemination	29338SUB51805	University of Vermont & State Agricultural College	
84.324	D	636,911	Research in Special Education			
84.324	I	154,776	Research in Special Education	224311A	University of Oregon	
84.325	D	1,049,278	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities			
84.326	D	2,042,041	Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities			
84.326	I	1,109	Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities	224440D	University of Oregon	
84.326	I	90,973	Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities	FY2013-039 / H326Y120005	University of Kansas Center for Research Inc	
84.366	I	33,379	Mathematics and Science Partnerships	DOE 11/4/14	Kannapolis City Schools	
84.367	I	9,344	Improving Teacher Quality State Grants	92-NC08-SEED2012	National Writing Project Corporation	
84.367	I	2,644	Improving Teacher Quality State Grants	92-NC08-SEED2016	National Writing Project Corporation	
84.373	I	56,781	Special Education-Technical Assistance on State Data Collection	A001945802	University of Minnesota	
84.U07	I	(294)	U. S. Department of Education	PO# 9034152	Charlotte Mecklenburg Board of Education	PO# 9034152
84.U08	I	1,293	U. S. Department of Education	DOE 9/5/13	Kannapolis City Schools	DOE 9/5/13
84.U09	I	87,122	U. S. Department of Education	US DOED 530204	Kannapolis City Schools	US DOED 530204
93.070	I	22,289	Environmental Public Health and Emergency Response	1UE2EH001343-01	Gaston County Department of Health	
93.110	D	1,951	Maternal and Child Health Federal Consolidated Programs			
93.121	I	25,817	Oral Diseases and Disorders Research	1794-209-2008855	Clemson University	
93.124	D	35,707	Nurse Anesthetist Traineeships			
93.172	I	5,703	Human Genome Research	TBI/1U41HG007497-01	The Jackson Laboratory	
93.178	D	256,265	Nursing Workforce Diversity			
93.226	D	116,566	Research on Healthcare Costs, Quality and Outcomes			
93.226	I	13,253	Research on Healthcare Costs, Quality and Outcomes	WFUHS 118165	Wake Forest University Health Science	
93.273	D	145,456	Alcohol Research Programs			
93.279	I	4,087	Drug Abuse and Addiction Research Programs	710993	The Miriam Hospital	
93.307	I	1,485	Minority Health and Health Disparities Research	RN0078-2014-001	University of North Texas Health Science Center	
93.307	I	16,867	Minority Health and Health Disparities Research	SP# 14-132S1	Carolinas Medical Center	
93.350	I	33,377	National Center for Advancing Translational Sciences	WFUHS-441416	Wake Forest University Baptist Medical Center	
93.389	D	363,899	National Center for Research Resources			
93.393	I	13,325	Cancer Cause and Prevention Research	WFUHS 558377 (R01CA178941)	Wake Forest University Health Science	
93.394	I	48,786	Cancer Detection and Diagnosis Research	223808 / 2R01CA135650-05A1	Massachusetts General Hospital	
93.395	D	189,392	Cancer Treatment Research			
93.396	D	180,293	Cancer Biology Research			

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Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
93.738	I	75,441	PPHF: Racial and Ethnic Approaches to Community Health Program financed solely by Public Prevention and Health Funds	Contract Dated 1/12/15	Cabarrus Health Alliance	
93.837	D	30,275	Cardiovascular Diseases Research			
93.837	I	85,210	Cardiovascular Diseases Research	VUMC42078/R24HL085343	Vanderbilt University	
93.838	D	69,761	Lung Diseases Research			
93.847	D	71,121	Diabetes, Digestive, and Kidney Diseases Extramural Research			
93.847	I	24,256	Diabetes, Digestive, and Kidney Diseases Extramural Research	UFDSP00010043	University of Florida	
93.853	D	401,609	Extramural Research Programs in the Neurosciences and Neurological Disorders			
93.855	I	113,356	Allergy and Infectious Diseases Research	0000831644	Fred Hutchinson Cancer Research Center	
93.859	D	1,050,033	Biomedical Research and Research Training			
93.865	D	24,523	Child Health and Human Development Extramural Research			
93.865	I	35,141	Child Health and Human Development Extramural Research	88167	University of Connecticut	
93.866	I	7,015	Aging Research	3003913736/P01AG029409	University of Michigan	
93.879	D	13,731	Medical Library Assistance			
93.925	D	535,975	Scholarships for Health Professions Students from Disadvantaged Backgrounds			
93.941	D	156,066	HIV Demonstration, Research, Public and Professional Education Projects			
93.U10	I	14,400	U. S. Department of Health and Human Services	Agreement Date 11/18/14	Cabarrus Health Alliance	Agreement Dated 11/18/14
93.U11	I	1,200	U. S. Department of Health and Human Services	2975-2016-0359	Georgia Institute of Technology	2975-2016-0359
93.U12	I	2,004	U. S. Department of Health and Human Services	009979-002	University of Cincinnati	009979-002
97.061	I	12,080	Centers for Homeland Security	4112-51775	Purdue University	
97.U02	D	174,711	U. S. Department of Homeland Security			DHS 530332
		206,057,149	Total — University of North Carolina at Charlotte			
<b>University of North Carolina at Greensboro</b>						
10.025	D	2,920	Plant and Animal Disease, Pest Control, and Animal Care			
10.200	I	49,526	Grants for Agricultural Research, Special Research Grants	8000068943-AG	Indiana Purdue Ft Wayne Univ	
10.253	D	75,607	Consumer Data and Nutrition Research			
10.U10	D	3,124	U. S. Department of Agriculture			16-8130-0636-CA
11.307	I	500,000	Economic Adjustment Assistance	#205685	City of Greensboro	
12.420	D	405,051	Military Medical Research and Development			
12.420	I	7,088	Military Medical Research and Development	3260-ARM-1S/UNCG	Luna Innovations, Inc	
12.431	D	121,134	Basic Scientific Research			
12.750	I	71,190	Uniformed Services University Medical Research Projects	#2890	Henry M. Jackson Foundation	
12.901	D	27,908	Mathematical Sciences Grants Program			
12.U21	D	12,226	U. S. Department of Defense			IPA Agreement - USAWC
14.704	I	1,117	Community Challenge Planning Grants and the Department of Transportation's TIGER II Planning Grants	#205507	City of High Point	
16.609	I	40,534	Project Safe Neighborhoods	PSN-BONNIE DOONE	City of Fayetteville NC	
16.817	I	24,938	Byrne Criminal Justice Innovation Program	2014-AJ-BX-0015	City of Durham	
16.U01	D	72,661	U. S. Department of Justice			IPA Agreement - Office of Violence Against Women
17.U01	I	9,785	U. S. Department of Labor	Paidleave-uncg-2015-01	L&M Policy Research, LLC	DOL-OPS-14-C-003
45.024	D	7,864	Promotion of the Arts-Grants to Organizations and Individuals			
45.160	D	21,000	Promotion of the Humanities-Fellowships and Stipends			
45.161	I	15,839	Promotion of the Humanities-Research	#100149517	University of Iowa	
45.161	I	35,889	Promotion of the Humanities-Research	NMU 2016-01	Northern Michigan University	
45.301	I	5,717	Museums for America	#205653	Greensboro Children's Museum	
45.301	I	14,718	Museums for America	#205672	Levine Museum of the New South	
45.312	D	5,167	National Leadership Grants			
45.313	D	31,575	Laura Bush 21st Century Librarian Program			
47.041	D	137,479	Engineering Grants			
47.041	I	35,450	Engineering Grants	RG314-G2	Georgia Tech	
47.049	D	369,869	Mathematical and Physical Sciences			
47.049	I	2,966	ARRA - Mathematical and Physical Sciences	15-0439	BYU Ctr Undergraduate Res in Math	
47.070	D	67,196	Computer and Information Science and Engineering			
47.074	D	34,886	Biological Sciences			
47.074	I	101,852	Biological Sciences	564K336	University of Wisconsin-Madison	
47.075	D	48,806	Social, Behavioral, and Economic Sciences			
47.076	D	658,463	Education and Human Resources			
47.076	I	5,180	Education and Human Resources	2-312-0213140	RTI International	
47.076	I	41,348	Education and Human Resources	DRL-1502755	Michigan State University	
47.076	I	63,710	Education and Human Resources	RC104079UNC	Michigan State University	
47.076	I	188,667	Education and Human Resources	UTA13-000932	University of Texas at Austin	
47.082	D	10	ARRA - Trans-NSF Recovery Act Research Support			
66.306	I	5,188	Environmental Justice Collaborative Problem-Solving Cooperative Agreement Program	#205643	Greensboro Housing Coalition	
66.514	D	10,607	Science To Achieve Results (STAR) Fellowship Program			
84.007	D	560,951	Federal Supplemental Educational Opportunity Grants			
84.021	D	2,063	Overseas Programs - Group Projects Abroad			
84.031	D	365,064	Higher Education-Institutional Aid			
84.033	D	357,258	Federal Work-Study Program			

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Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
84.038	D	5,773,829	Federal Perkins Loan Program-Federal Capital Contributions			
84.042	D	310,606	TRIO-Student Support Services			
84.063	D	32,732,413	Federal Pell Grant Program			
84.268	D	92,502,379	Federal Direct Student Loans			
84.305	D	968,597	Education Research, Development and Dissemination			
84.305	I	91,790	Education Research, Development and Dissemination	R305D140023	University of Illinois	
84.305	I	75,795	Education Research, Development and Dissemination	WFUHS 114266	Wake Forest University Health Sciences	
84.325	D	650,848	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities			
84.325	I	149,485	Special Education - Personnel Development to Improve Services and Results for Children with Disabilities	88401-15-16	Salus University	
84.336	D	1,551,799	Teacher Quality Partnership Grants			
84.366	I	18,810	Mathematics and Science Partnerships	SRV14TA-031	Bertie County(NC) Schools	
84.367	I	40,379	Improving Teacher Quality State Grants	#20140138	Randolph County Schools	
84.379	D	24,511	Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)			
84.395	I	2,628	ARRA - State Fiscal Stabilization Fund (SFSF) - Race-to-the-Top Incentive Grants, Recovery Act	#101588	Winston Salem Forsyth County Schools	
84.405	D	38,011	ARRA - Teacher Quality Partnerships, Recovery Act			
84.411	I	252,116	Investing in Innovation (3) Fund	#511138	Teachers College Columbia University	
84.411	I	9,492	Investing in Innovation (3) Fund	1516-013-01	Columbus State Community College	
84.411	I	43,761	Investing in Innovation (3) Fund	SRV11TA-025	North Carolina New Schools Project Inc.	
84.411	I	233,393	Investing in Innovation (3) Fund	SRV12TA-026	North Carolina New Schools Project Inc.	
84.411	I	262,301	Investing in Innovation (3) Fund	SRV15TA-031	North Carolina New Schools Project Inc.	
84.411	I	289,526	Investing in Innovation (3) Fund	U411B120049	Jobs For The Future	
84.412	I	43,669	Race to the Top -- Early Learning Challenge	#20130	Guilford Child Development	
84.U10	D	1,205,829	U. S. Department of Education			ED-ESE-14-C-0131
93.104	I	22,730	Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED)	AC-000003	Alamance County Dept of Social Services	
93.124	D	47,547	Nurse Anesthetist Traineeships			
93.191	D	192,177	Graduate Psychology Education Program and Patient Navigator and Chronic Disease Prevention Program			
93.213	D	487,977	Research and Training in Complementary and Integrative Health			
93.213	I	224,706	Research and Training in Complementary and Integrative Health	1U54AT008909-01	University of Washington	
93.213	I	59,548	Research and Training in Complementary and Integrative Health	UWSC4869 BPO0011025	University of Washington	
93.239	I	1,477	Policy Research and Evaluation Grants	SOW_SASH_10242014	RTI International	
93.242	D	849,684	Mental Health Research Grants			
93.242	I	60,100	Mental Health Research Grants	203-3280	Duke University	
93.242	I	2,484	Mental Health Research Grants	WFUHS 10075	Wake Forest University Health Sciences	
93.243	D	472,473	Substance Abuse and Mental Health Services-Projects of Regional and National Significance			
93.273	D	595,273	Alcohol Research Programs			
93.273	I	7,439	Alcohol Research Programs	#20130028.1	Prevention Strategies LLC	
93.273	I	280,057	Alcohol Research Programs	5304+-UNC-DHHS-2931	Pennsylvania State University	
93.279	D	593,385	Drug Abuse and Addiction Research Programs			
93.279	I	26,102	Drug Abuse and Addiction Research Programs	14091280-4	Cornell University	
93.279	I	16,204	Drug Abuse and Addiction Research Programs	360782-04760-7341-02	Temple University	
93.279	I	69,726	Drug Abuse and Addiction Research Programs	360782-04760-7342-02	Temple University	
93.279	I	27,237	Drug Abuse and Addiction Research Programs	361052-04760-02	Temple University	
93.279	I	21,990	Drug Abuse and Addiction Research Programs	500392-78053	Northeastern University	
93.307	D	1,295,012	Minority Health and Health Disparities Research			
93.351	D	136,538	Research Infrastructure Programs			
93.359	D	293,731	Nurse Education, Practice Quality and Retention Grants			
93.361	I	65,250	Nursing Research	#20130187	Prevention Strategies LLC	
93.395	I	333,563	Cancer Treatment Research	P01CA125066	Ohio State University	
93.395	I	33,500	Cancer Treatment Research	R15CA192936-UNCG	Campbell University	
93.575	D	18,750	Child Care and Development Block Grant			
93.576	D	222,366	Refugee and Entrant Assistance-Discretionary Grants			
93.591	I	11,447	Family Violence Prevention and Services/State Domestic Violence Coalitions	#205645	National Resource Center of Domestic Violence	
93.600	I	102,754	Head Start	#205692	Guilford Child Development	
93.647	I	46,499	Social Services Research and Demonstration	90PH0025	Child Trends	
93.779	I	333	Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations	23-312-021279-52034	RTI International	
93.779	I	153	Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations	RTI MASTER 888-11-16	RTI International	
93.847	D	328,528	Diabetes, Digestive, and Kidney Diseases Extramural Research			
93.855	D	178,429	Allergy and Infectious Diseases Research			
93.855	I	3,437	Allergy and Infectious Diseases Research	NIH 2R44A1092914-03	Tunitas Therapeutics, Inc	
93.859	D	298,313	Biomedical Research and Research Training			
93.859	I	17,569	Biomedical Research and Research Training	122098 G003250	Washington State University	
93.865	D	803,772	Child Health and Human Development Extramural Research			

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Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
93.865	I	78,058	Child Health and Human Development Extramural Research	000388010-057	University of Alabama at Birmingham	
93.865	I	261,731	Child Health and Human Development Extramural Research	431909-19728	Virginia Polytechnic Institute and State Univ	
93.865	I	37,594	Child Health and Human Development Extramural Research	AA-5-44452-01	Oklahoma State University	
93.865	I	28,959	Child Health and Human Development Extramural Research	RTI MASTER 888-11-16	RTI International	
93.866	D	25,500	Aging Research			
93.928	I	23,454	Special Projects of National Significance	WFUHS 119036	Wake Forest University Health Sciences	
93.959	I	134,955	Block Grants for Prevention and Treatment of Substance Abuse	PO000411	Sandhills Center	
93.U13	I	41,963	U. S. Department of Health and Human Services	8-312-0213405-51919L	RTI International	SAMHSA Contract S2832012000061
		<u>150,772,032</u>	Total — University of North Carolina at Greensboro			
<b>University of North Carolina at Pembroke</b>						
10.025	D	41,123	Plant and Animal Disease, Pest Control, and Animal Care			
12.431	D	79,466	Basic Scientific Research			
12.630	D	146,377	Basic, Applied, and Advanced Research in Science and Engineering			
17.259	I	212,905	WIA/WIOA Youth Activities	44-15-5467-YTH	LRCOG	
20.205	D	55,229	Highway Planning and Construction			
47.049	D	34,410	Mathematical and Physical Sciences			
47.076	D	127,282	Education and Human Resources			
84.007	D	139,278	Federal Supplemental Educational Opportunity Grants			
84.031	D	182,237	Higher Education-Institutional Aid			
84.033	D	140,072	Federal Work-Study Program			
84.038	D	823,629	Federal Perkins Loan Program-Federal Capital Contributions			
84.042	D	297,040	TRIO-Student Support Services			
84.063	D	14,466,221	Federal Pell Grant Program			
84.268	D	39,864,716	Federal Direct Student Loans			
84.299	D	11,664	Indian Education - Special Programs for Indian Children			
84.299	I	15,385	Indian Education - Special Programs for Indian Children	N/A	Lumbee Land Dev	
84.379	D	44,100	Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)			
84.382	D	306,011	Strengthening Minority-Serving Institutions			
93.243	D	285,454	Substance Abuse and Mental Health Services-Projects of Regional and National Significance			
93.859	D	192,496	Biomedical Research and Research Training			
93.926	D	727,185	Healthy Start Initiative			
		<u>58,192,280</u>	Total — University of North Carolina at Pembroke			
<b>University of North Carolina at Wilmington</b>						
11.012	I	6,495	Integrated Ocean Observing System (IOOS)	IOOS.11(033)UNCW.LL.OBS.3	SECOORA	
11.012	I	234,082	Integrated Ocean Observing System (IOOS)	IOOS.11(033)UNCW.LL.OBS.4	SECOORA	
11.012	I	162,594	Integrated Ocean Observing System (IOOS)	IOOS.11(033)UNCW.LL.OBS.5	SECOORA	
11.417	D	47,924	Sea Grant Support			
11.432	I	67,986	National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes	S15-14	University of Miami	
11.432	I	4,905	National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes	URH35-040130	Florida Atlantic University	
11.432	I	417,271	National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes	URJ58	Florida Atlantic University	
11.439	D	75,088	Marine Mammal Data Program			
11.463	D	43,873	Habitat Conservation			
12.300	D	101,273	Basic and Applied Scientific Research			
12.630	I	11,633	Basic, Applied, and Advanced Research in Science and Engineering	11121-20898-1	Florida Gulf Coast University	
15.153	I	32,964	Hurricane Sandy Disaster Relief Coastal Resiliency Grants.	VA-UNCW-0310-15G	Nature Conservancy	
15.663	I	8,152	National Fish and Wildlife Foundation	1701.14.046069	National Fish and Wildlife Foundation	
15.810	D	10,158	National Cooperative Geologic Mapping Program			
15.875	D	18,046	Economic, Social, and Political Development of the Territories			
16.525	D	76,160	Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus			
16.585	I	6,735	Drug Court Discretionary Grant Program	Agreement 5.1.14	County of Brunswick	
19.501	D	329,497	Public Diplomacy Programs for Afghanistan and Pakistan			
43.001	D	6,651	Science			
43.001	I	19,161	Science	A101126	Woods Hole Oceanographic Institution	
45.024	D	1,550	Promotion of the Arts-Grants to Organizations and Individuals			
45.024	I	1,870	Promotion of the Arts-Grants to Organizations and Individuals	4996	South Arts	
45.024	I	496	Promotion of the Arts-Grants to Organizations and Individuals	5046	UNCW Research Foundation	
45.164	I	2,943	Promotion of the Humanities-Public Programs	LA105666	American Library Association	
47.049	D	230,784	Mathematical and Physical Sciences			
47.050	D	467,278	Geosciences			
47.050	I	60,653	Geosciences	45-25162	Columbia University	
47.050	I	17,879	Geosciences	Agreement 10.21.15	Clatfin University	
47.070	D	11,230	Computer and Information Science and Engineering			
47.074	D	107,890	Biological Sciences			
47.074	I	107,132	Biological Sciences	131817	University of Arizona	
47.074	I	11,050	Biological Sciences	420-66-08A	Iowa State University	

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47.074	I	15,192	Biological Sciences	717511-712683	Virginia Institute of Marine Science	
47.075	D	34,753	Social, Behavioral, and Economic Sciences			
47.076	D	155,436	Education and Human Resources			
47.076	I	499	Education and Human Resources	1463898	University of Maryland	
47.078	D	55,097	Polar Programs			
59.050	I	44,585	Prime Technical Assistance	UNCW US SBA	UNCW Research Foundation	
66.509	D	58,299	Science To Achieve Results (STAR) Research Program			
84.007	D	325,428	Federal Supplemental Educational Opportunity Grants			
84.021	D	33,573	Overseas Programs - Group Projects Abroad			
84.033	D	297,587	Federal Work-Study Program			
84.038	D	4,282,370	Federal Perkins Loan Program-Federal Capital Contributions			
84.063	D	15,169,716	Federal Pell Grant Program			
84.116	D	4,697	Fund for the Improvement of Postsecondary Education			
84.268	D	79,118,928	Federal Direct Student Loans			
84.365	D	344,002	English Language Acquisition State Grants			
84.379	D	80,240	Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)			
84.396	I	(492)	ARRA - State Fiscal Stabilization Fund (SFSF) - Investing in Innovation (i3) Fund, Recovery Act	60033310	Ohio State University(OSU)	
93.113	I	26,314	Environmental Health	2014-01	SeaTox Research Inc	
93.213	D	78,230	Research and Training in Complementary and Integrative Health			
93.243	I	8,498	Substance Abuse and Mental Health Services-Projects of Regional and National Significance	UNCW-01	County of Brunswick	
93.276	I	7,903	Drug-Free Communities Support Program Grants	UNCW Crossroads	Coastal Horizons Center Inc	
93.279	D	122,517	Drug Abuse and Addiction Research Programs			
93.361	I	22,195	Nursing Research	10037474-UNC	University of Utah	
93.516	I	20,128	Affordable Care Act (ACA) Public Health Training Centers Program	T278674	Emory University	
93.516	I	36,663	Affordable Care Act (ACA) Public Health Training Centers Program	T470332	Emory University	
93.847	D	58,347	Diabetes, Digestive, and Kidney Diseases Extramural Research			
93.859	D	118,518	Biomedical Research and Research Training			
93.866	D	107,242	Aging Research			
		<u>103,327,868</u>	Total — University of North Carolina at Wilmington			
<b>North Carolina School of the Arts</b>						
84.007	D	50,007	Federal Supplemental Educational Opportunity Grants			
84.033	D	39,851	Federal Work-Study Program			
84.038	D	571,177	Federal Perkins Loan Program-Federal Capital Contributions			
84.063	D	1,100,089	Federal Pell Grant Program			
84.268	D	7,258,609	Federal Direct Student Loans			
		<u>9,019,733</u>	Total — North Carolina School of the Arts			
<b>Western Carolina University</b>						
10.435	D	118,019	State Mediation Grants			
10.652	D	81,478	Forestry Research			
11.303	D	148,605	Economic Development-Technical Assistance			
11.469	D	5,544	Congressionally Identified Awards and Projects			
15.657	D	90,134	Endangered Species Conservation - Recovery Implementation Funds			
15.808	D	50,305	U. S. Geological Survey- Research and Data Collection			
15.945	D	342,287	Cooperative Research and Training Programs - Resources of the National Park System			
16.560	D	315,408	National Institute of Justice Research, Evaluation, and Development Project Grants			
45.149	D	6,000	Promotion of the Humanities-Division of Preservation and Access			
47.049	D	384	Mathematical and Physical Sciences			
47.050	D	34,254	Geosciences			
47.074	D	3,197	Biological Sciences			
47.076	D	213,045	Education and Human Resources			
59.037	D	262,712	Small Business Development Centers			
66.513	D	15,359	Greater Research Opportunities (GRO) Fellowships For Undergraduate Environmental Study			
84.007	D	563,161	Federal Supplemental Educational Opportunity Grants			
84.033	D	270,687	Federal Work-Study Program			
84.038	D	6,490,823	Federal Perkins Loan Program-Federal Capital Contributions			
84.044	D	356,225	TRIO-Talent Search			
84.063	D	14,888,498	Federal Pell Grant Program			
84.268	D	60,400,319	Federal Direct Student Loans			
84.334	I	102,812	Gaining Early Awareness and Readiness for Undergraduate Programs	P334A140205	USDOE	
84.334	I	432	Gaining Early Awareness and Readiness for Undergraduate Programs	P334S120003	USDOE	
84.334	I	121	Gaining Early Awareness and Readiness for Undergraduate Programs	P334S120003-14	USDOE	
84.350	D	22	Transition to Teaching			

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)**

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
84.379	D	21,413	Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)			
84.407	D	102,843	Transition Programs for Students with Intellectual Disabilities into Higher Education			
84.408	D	5,376	Postsecondary Education Scholarships for Veteran's Dependents			
93.124	D	14,216	Nurse Anesthetist Traineeships			
93.178	D	776,764	Nursing Workforce Diversity			
93.243	D	423,846	Substance Abuse and Mental Health Services-Projects of Regional and National Significance			
93.262	D	9,137	Occupational Safety and Health Program			
93.358	D	350,000	Advanced Education Nursing Traineeships			
93.630	I	144,671	Developmental Disabilities Basic Support and Advocacy Grants	31031	USDHHS	
93.933	D	80,366	Demonstration Projects for Indian Health			
		<u>86,688,463</u>	Total — Western Carolina University			
<b>Winston-Salem State University</b>						
10.310	D	31,702	Agriculture and Food Research Initiative (AFRI)			
11.300	D	1,104,052	Investments for Public Works and Economic Development Facilities			
12.630	D	279,684	Basic, Applied, and Advanced Research in Science and Engineering			
45.162	D	8,798	Promotion of the Humanities-Teaching and Learning Resources and Curriculum Development			
47.049	D	8,958	Mathematical and Physical Sciences			
47.070	D	28,881	Computer and Information Science and Engineering			
47.074	D	238,060	Biological Sciences			
47.076	D	531,437	Education and Human Resources			
84.007	D	580,739	Federal Supplemental Educational Opportunity Grants			
84.031	D	5,114,441	Higher Education-Institutional Aid			
84.033	D	552,915	Federal Work-Study Program			
84.038	D	961,596	Federal Perkins Loan Program-Federal Capital Contributions			
84.042	D	282,213	TRIO-Student Support Services			
84.063	D	13,720,848	Federal Pell Grant Program			
84.129	D	510,817	Rehabilitation Long-Term Training			
84.268	D	32,538,483	Federal Direct Student Loans			
84.315	D	52,947	Capacity Building for Traditionally Underserved Populations			
84.382	D	226,532	Strengthening Minority-Serving Institutions			
93.243	D	51,190	Substance Abuse and Mental Health Services-Projects of Regional and National Significance			
93.307	D	39,507	Minority Health and Health Disparities Research			
93.364	D	4,988	Nursing Student Loans			
93.779	D	123,648	Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations			
93.859	D	559,038	Biomedical Research and Research Training			
93.925	D	1,084,505	Scholarships for Health Professions Students from Disadvantaged Backgrounds			
		<u>58,635,979</u>	Total — Winston-Salem State University			
		<u>2,636,152,412</u>	Total — University of North Carolina System			
<b>Community Colleges:</b>						
<b>Alamance Community College</b>						
84.007	D	83,958	Federal Supplemental Educational Opportunity Grants			
84.033	D	93,259	Federal Work-Study Program			
84.063	D	7,592,750	Federal Pell Grant Program			
		<u>7,769,967</u>	Total — Alamance Community College			
<b>Asheville-Buncombe Technical Community College</b>						
17.258	I	215,390	WIA/WIOA Adult Program	WIA-2015-0412-61-11-01		Mountain Area Workforce Development
17.258	I	97,237	WIA/WIOA Adult Program	WIA-2015-0412-61-57-02		Mountain Area Workforce Development
17.258	I	23,524	WIA/WIOA Adult Program	WIA-Aspire		Mountain Area Workforce Development
17.260	I	180,293	WIA Dislocated Workers	WIA-2015-0412-61-11-01		Mountain Area Workforce Development
17.260	I	13,033	WIA Dislocated Workers	WIA-2015-0412-61-11-02		Mountain Area Workforce Development
17.260	I	10,505	WIA Dislocated Workers	WIA-2015-0412-61-57-02		Mountain Area Workforce Development
47.076	D	147,380	Education and Human Resources			
84.007	D	119,750	Federal Supplemental Educational Opportunity Grants			
84.033	D	131,049	Federal Work-Study Program			
84.063	D	10,566,611	Federal Pell Grant Program			
84.268	D	8,810,999	Federal Direct Student Loans			
		<u>20,315,771</u>	Total — Asheville-Buncombe Technical Community College			

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)**

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
<b>Beaufort County Community College</b>						
84.007	D	51,064	Federal Supplemental Educational Opportunity Grants			
84.033	D	50,000	Federal Work-Study Program			
84.042	D	321,457	TRIO-Student Support Services			
84.063	D	2,422,576	Federal Pell Grant Program			
		<u>2,845,097</u>	Total — Beaufort County Community College			
<b>Bladen Community College</b>						
17.258	I	109,790	WIA/WIOA Adult Program	N/A		Lumber-River Council of Gov.
17.259	I	115,947	WIA/WIOA Youth Activities	N/A		Lumber-River Council of Gov.
17.278	I	90,571	WIA/WIOA Dislocated Worker Formula Grants	N/A		Lumber-River Council of Gov.
84.007	D	60,000	Federal Supplemental Educational Opportunity Grants			
84.033	D	58,709	Federal Work-Study Program			
84.063	D	3,257,498	Federal Pell Grant Program			
		<u>3,692,515</u>	Total — Bladen Community College			
<b>Blue Ridge Community College</b>						
17.258	I	150,390	WIA/WIOA Adult Program	N/A		Land of Sky Regional Council
17.260	I	206,343	WIA Dislocated Workers	N/A		Land of Sky Regional Council
64.028	D	75,477	Post-9/11 Veterans Educational Assistance			
84.007	D	56,129	Federal Supplemental Educational Opportunity Grants			
84.033	D	47,761	Federal Work-Study Program			
84.063	D	3,051,360	Federal Pell Grant Program			
84.268	D	2,684,730	Federal Direct Student Loans			
		<u>6,272,190</u>	Total — Blue Ridge Community College			
<b>Brunswick Community College</b>						
11.307	D	120,475	Economic Adjustment Assistance			
84.007	D	36,374	Federal Supplemental Educational Opportunity Grants			
84.033	D	20,972	Federal Work-Study Program			
84.063	D	2,439,612	Federal Pell Grant Program			
		<u>2,617,433</u>	Total — Brunswick Community College			
<b>Caldwell Community College and Technical Institute</b>						
84.007	D	82,417	Federal Supplemental Educational Opportunity Grants			
84.033	D	64,242	Federal Work-Study Program			
84.042	D	267,494	TRIO-Student Support Services			
84.044	D	208,514	TRIO-Talent Search			
84.063	D	5,496,117	Federal Pell Grant Program			
		<u>6,118,784</u>	Total — Caldwell Community College and Technical Institute			
<b>Cape Fear Community College</b>						
84.007	D	67,620	Federal Supplemental Educational Opportunity Grants			
84.033	D	171,131	Federal Work-Study Program			
84.063	D	15,154,927	Federal Pell Grant Program			
84.268	D	10,613,524	Federal Direct Student Loans			
		<u>26,007,202</u>	Total — Cape Fear Community College			
<b>Carteret Community College</b>						
17.258	I	154,763	WIA/WIOA Adult Program	2020		ECWDB
17.259	I	90,687	WIA/WIOA Youth Activities	2040		ECWDB
17.278	I	104,213	WIA/WIOA Dislocated Worker Formula Grants	2030		ECWDB
84.007	D	58,964	Federal Supplemental Educational Opportunity Grants			
84.033	D	62,077	Federal Work-Study Program			
84.042	D	243,495	TRIO-Student Support Services			
84.063	D	2,937,887	Federal Pell Grant Program			
		<u>3,651,986</u>	Total — Carteret Community College			
<b>Catawba Valley Community College</b>						
12.903	D	68,743	GenCyber Grants Program			
45.164	D	2,228	Promotion of the Humanities-Public Programs			
84.007	D	151,647	Federal Supplemental Educational Opportunity Grants			
84.033	D	94,961	Federal Work-Study Program			
84.063	D	7,711,032	Federal Pell Grant Program			
84.268	D	1,615,050	Federal Direct Student Loans			
97.036	D	38,909	Disaster Grants - Public Assistance (Presidentially Declared Disasters)			
		<u>9,682,570</u>	Total — Catawba Valley Community College			

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)**

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
<b>Central Carolina Community College</b>						
84.007	D	62,250	Federal Supplemental Educational Opportunity Grants			
84.031	D	258,254	Higher Education-Institutional Aid			
84.033	D	76,507	Federal Work-Study Program			
84.042	D	298,185	TRIO-Student Support Services			
84.047	D	536,207	TRIO-Upward Bound			
84.063	D	8,252,765	Federal Pell Grant Program			
84.116	D	1,094,956	Fund for the Improvement of Postsecondary Education			
		<u>10,579,124</u>	Total — Central Carolina Community College			
<b>Central Piedmont Community College</b>						
17.268	D	1,629,486	H-1B Job Training Grants			
17.282	D	258,215	Trade Adjustment Assistance Community College and Career Training (TAACCT) Grants			
47.076	D	376,555	Education and Human Resources			
77.008	D	72,545	U. S. Nuclear Regulatory Commission Scholarship and Fellowship Program			
84.007	D	459,502	Federal Supplemental Educational Opportunity Grants			
84.033	D	571,546	Federal Work-Study Program			
84.042	D	239,542	TRIO-Student Support Services			
84.063	D	30,467,562	Federal Pell Grant Program			
		<u>34,074,953</u>	Total — Central Piedmont Community College			
<b>Cleveland Community College</b>						
17.282	D	2,665,791	Trade Adjustment Assistance Community College and Career Training (TAACCT) Grants			
84.007	D	66,250	Federal Supplemental Educational Opportunity Grants			
84.033	D	82,692	Federal Work-Study Program			
84.042	D	171,607	TRIO-Student Support Services			
84.063	D	5,024,890	Federal Pell Grant Program			
		<u>8,011,230</u>	Total — Cleveland Community College			
<b>Coastal Carolina Community College</b>						
17.258	I	191,996	WIA/WIOA Adult Program	15-2020/4020-40-6035-07		East Carolina Workforce Development
17.259	I	71,127	WIA/WIOA Youth Activities	15-2040/4040-40-6035-07		East Carolina Workforce Development
17.260	I	161,338	WIA Dislocated Workers	15-2030/4030-40-6035-07		East Carolina Workforce Development
84.007	D	159,182	Federal Supplemental Educational Opportunity Grants			
84.033	D	166,594	Federal Work-Study Program			
84.063	D	8,549,225	Federal Pell Grant Program			
		<u>9,299,462</u>	Total — Coastal Carolina Community College			
<b>College of the Albemarle</b>						
84.007	D	60,324	Federal Supplemental Educational Opportunity Grants			
84.033	D	39,655	Federal Work-Study Program			
84.063	D	2,875,481	Federal Pell Grant Program			
		<u>2,975,460</u>	Total — College of the Albemarle			
<b>Craven Community College</b>						
47.076	D	26,538	Education and Human Resources			
84.007	D	107,497	Federal Supplemental Educational Opportunity Grants			
84.033	D	79,145	Federal Work-Study Program			
84.042	D	218,486	TRIO-Student Support Services			
84.063	D	5,496,215	Federal Pell Grant Program			
		<u>5,927,881</u>	Total — Craven Community College			
<b>Davidson County Community College</b>						
47.076	I	26,556	Education and Human Resources	1304591		Kentucky Community & Technical College System
84.007	D	121,507	Federal Supplemental Educational Opportunity Grants			
84.033	D	52,541	Federal Work-Study Program			
84.042	D	199,873	TRIO-Student Support Services			
84.063	D	8,006,849	Federal Pell Grant Program			
84.268	D	7,663,547	Federal Direct Student Loans			
		<u>16,070,873</u>	Total — Davidson County Community College			
<b>Durham Technical Community College</b>						
84.007	D	148,889	Federal Supplemental Educational Opportunity Grants			
84.033	D	153,994	Federal Work-Study Program			
84.063	D	7,269,204	Federal Pell Grant Program			

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
84.268	D	6,660,180	Federal Direct Student Loans			
94.002	D	43,801	Retired and Senior Volunteer Program			
		14,276,068	Total — Durham Technical Community College			
<b>Edgecombe Community College</b>						
17.260	D	587,248	WIA Dislocated Workers			
84.007	D	128,320	Federal Supplemental Educational Opportunity Grants			
84.033	D	77,055	Federal Work-Study Program			
84.063	D	6,351,954	Federal Pell Grant Program			
84.268	D	7,005,866	Federal Direct Student Loans			
		14,150,443	Total — Edgecombe Community College			
<b>Fayetteville Technical Community College</b>						
12.U22	I	23,620	U. S. Department of Defense	N/A	MCCYN	ACCYN QIP 2015
84.007	D	656,013	Federal Supplemental Educational Opportunity Grants			
84.033	D	343,057	Federal Work-Study Program			
84.063	D	23,430,946	Federal Pell Grant Program			
84.268	D	17,495,012	Federal Direct Student Loans			
		41,948,648	Total — Fayetteville Technical Community College			
<b>Forsyth Technical Community College</b>						
17.282	D	3,964,861	Trade Adjustment Assistance Community College and Career Training (TAACCT) Grants			
47.076	D	125,943	Education and Human Resources			
84.007	D	453,264	Federal Supplemental Educational Opportunity Grants			
84.031	D	482,762	Higher Education-Institutional Aid			
84.033	D	191,351	Federal Work-Study Program			
84.063	D	14,064,282	Federal Pell Grant Program			
84.268	D	9,273,088	Federal Direct Student Loans			
		28,555,551	Total — Forsyth Technical Community College			
<b>Gaston College</b>						
17.259	I	335,405	WIA/WIOA Youth Activities	1516-349	Gaston County	
47.076	D	111,764	Education and Human Resources			
47.U08	D	67,464	National Science Foundation			25909-10-NSF-ATE
84.007	D	213,620	Federal Supplemental Educational Opportunity Grants			
84.033	D	162,997	Federal Work-Study Program			
84.042	D	234,091	TRIO-Student Support Services			
84.063	D	9,755,586	Federal Pell Grant Program			
99.U08	I	12,363	Other Federal Assistance	1516-11103	CPB	11103-4 CPB
		10,893,290	Total — Gaston College			
<b>Guilford Technical Community College</b>						
17.282	I	501,924	Trade Adjustment Assistance Community College and Career Training (TAACCT) Grants	TC-23794-12-60-A-20	Wichita Area Technical College	
64.028	D	244,856	Post-9/11 Veterans Educational Assistance			
84.007	D	390,669	Federal Supplemental Educational Opportunity Grants			
84.033	D	354,598	Federal Work-Study Program			
84.063	D	27,064,736	Federal Pell Grant Program			
84.268	D	26,524,229	Federal Direct Student Loans			
		55,081,012	Total — Guilford Technical Community College			
<b>Halifax Community College</b>						
17.258	I	168,854	WIA/WIOA Adult Program	8-2020-2.1.4505.02.04	Upper Coastal Plain Council	
84.007	D	37,800	Federal Supplemental Educational Opportunity Grants			
84.033	D	40,283	Federal Work-Study Program			
84.042	D	327,252	TRIO-Student Support Services			
84.063	D	2,563,192	Federal Pell Grant Program			
84.382	D	141,132	Strengthening Minority-Serving Institutions			
		3,278,513	Total — Halifax Community College			
<b>Haywood Community College</b>						
84.007	D	52,250	Federal Supplemental Educational Opportunity Grants			
84.033	D	51,846	Federal Work-Study Program			
84.063	D	3,073,555	Federal Pell Grant Program			
		3,177,651	Total — Haywood Community College			
<b>Isothermal Community College</b>						
23.U01	D	33,710	U. S. Appalachian Regional Commission			NC-18320-15

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)**

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
84.007	D	48,142	Federal Supplemental Educational Opportunity Grants			
84.033	D	53,188	Federal Work-Study Program			
84.063	D	3,541,883	Federal Pell Grant Program			
99.U09	I	128,154	Other Federal Assistance	1545	Corporation for Public Broadcast	ID 1545
		<u>3,805,077</u>	Total — Isothermal Community College			
<b>James Sprunt Community College</b>						
17.258	D	237,586	WIA/WIOA Adult Program			
17.278	D	89,433	WIA/WIOA Dislocated Worker Formula Grants			
84.007	D	57,542	Federal Supplemental Educational Opportunity Grants			
84.033	D	41,611	Federal Work-Study Program			
84.042	D	341,115	TRIO-Student Support Services			
84.044	D	219,748	TRIO-Talent Search			
84.047	D	275,793	TRIO-Upward Bound			
84.063	D	2,596,537	Federal Pell Grant Program			
		<u>3,859,365</u>	Total — James Sprunt Community College			
<b>Johnston Community College</b>						
47.076	D	29,392	Education and Human Resources			
84.007	D	116,356	Federal Supplemental Educational Opportunity Grants			
84.033	D	76,057	Federal Work-Study Program			
84.042	D	191,732	TRIO-Student Support Services			
84.063	D	5,856,972	Federal Pell Grant Program			
		<u>6,270,509</u>	Total — Johnston Community College			
<b>Lenoir Community College</b>						
17.258	I	329,502	WIA/WIOA Adult Program	11-2020-40-6169	Eastern Carolina Workforce Dev Board	
17.259	I	110,620	WIA/WIOA Youth Activities	11-2020-40-6169	Eastern Carolina Workforce Dev Board	
17.278	I	258,851	WIA/WIOA Dislocated Worker Formula Grants	11-2020-40-6169	Eastern Carolina Workforce Dev Board	
84.007	D	181,097	Federal Supplemental Educational Opportunity Grants			
84.033	D	100,074	Federal Work-Study Program			
84.063	D	4,912,068	Federal Pell Grant Program			
		<u>5,892,212</u>	Total — Lenoir Community College			
<b>Martin Community College</b>						
84.007	D	28,160	Federal Supplemental Educational Opportunity Grants			
84.033	D	29,386	Federal Work-Study Program			
84.063	D	909,752	Federal Pell Grant Program			
		<u>967,298</u>	Total — Martin Community College			
<b>Mayland Community College</b>						
17.258	I	40,000	WIA/WIOA Adult Program	15-2020-49-1380	Region D	
17.258	I	118,279	WIA/WIOA Adult Program	15-4020-49-1380	Region D	
17.259	I	142,000	WIA/WIOA Youth Activities	15-2040-49-1380	Region D	
17.259	I	58,389	WIA/WIOA Youth Activities	15-4040-49-1380	Region D	
17.278	I	47,000	WIA/WIOA Dislocated Worker Formula Grants	15-2030-49-1380	Region D	
17.278	I	50,000	WIA/WIOA Dislocated Worker Formula Grants	15-2031-49-1380	Region D	
17.278	I	5,349	WIA/WIOA Dislocated Worker Formula Grants	15-3030-49-1380	Region D	
17.278	I	11,000	WIA/WIOA Dislocated Worker Formula Grants	15-3031-49-1380	Region D	
17.278	I	88,173	WIA/WIOA Dislocated Worker Formula Grants	15-4030-49-1380	Region D	
84.007	D	26,835	Federal Supplemental Educational Opportunity Grants			
84.033	D	24,333	Federal Work-Study Program			
84.042	D	284,625	TRIO-Student Support Services			
84.063	D	1,650,604	Federal Pell Grant Program			
		<u>2,546,587</u>	Total — Mayland Community College			
<b>McDowell Technical Community College</b>						
84.007	D	23,405	Federal Supplemental Educational Opportunity Grants			
84.033	D	26,168	Federal Work-Study Program			
84.063	D	1,540,168	Federal Pell Grant Program			
		<u>1,589,741</u>	Total — McDowell Technical Community College			
<b>Mitchell Community College</b>						
84.007	D	45,200	Federal Supplemental Educational Opportunity Grants			
84.033	D	50,825	Federal Work-Study Program			
84.063	D	4,401,901	Federal Pell Grant Program			
		<u>4,497,926</u>	Total — Mitchell Community College			

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)**

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
<b>Montgomery Community College</b>						
84.007	D	17,051	Federal Supplemental Educational Opportunity Grants			
84.033	D	26,559	Federal Work-Study Program			
84.063	D	1,116,992	Federal Pell Grant Program			
		<u>1,160,602</u>	Total — Montgomery Community College			
<b>Nash Community College</b>						
11.300	D	29,249	Investments for Public Works and Economic Development Facilities			
17.282	D	1,060,268	Trade Adjustment Assistance Community College and Career Training (TAACCCT) Grants			
84.007	D	15,000	Federal Supplemental Educational Opportunity Grants			
84.033	D	30,000	Federal Work-Study Program			
84.063	D	6,410,511	Federal Pell Grant Program			
84.268	D	4,212,499	Federal Direct Student Loans			
		<u>11,757,527</u>	Total — Nash Community College			
<b>Pamlico Community College</b>						
17.258	I	59,466	WIA/WIOA Adult Program	15-2020-40-6227-08	WAC	
17.278	I	19,136	WIA/WIOA Dislocated Worker Formula Grants	15-2030-40-6227-08	WAC	
17.804	D	8,731	Local Veterans' Employment Representative Program			
84.007	D	9,645	Federal Supplemental Educational Opportunity Grants			
84.033	D	9,677	Federal Work-Study Program			
84.063	D	737,883	Federal Pell Grant Program			
		<u>844,538</u>	Total — Pamlico Community College			
<b>Piedmont Community College</b>						
17.259	I	167,796	WIA/WIOA Youth Activities	N/A	Council of Government	
84.007	D	30,610	Federal Supplemental Educational Opportunity Grants			
84.033	D	38,795	Federal Work-Study Program			
84.042	D	358,716	TRIO-Student Support Services			
84.063	D	2,417,411	Federal Pell Grant Program			
84.066	D	593,758	TRIO-Educational Opportunity Centers			
		<u>3,607,086</u>	Total — Piedmont Community College			
<b>Pitt Community College</b>						
84.007	D	334,254	Federal Supplemental Educational Opportunity Grants			
84.033	D	385,908	Federal Work-Study Program			
84.042	D	247,573	TRIO-Student Support Services			
84.063	D	20,110,303	Federal Pell Grant Program			
84.066	D	226,140	TRIO-Educational Opportunity Centers			
84.268	D	21,258,304	Federal Direct Student Loans			
		<u>42,562,482</u>	Total — Pitt Community College			
<b>Randolph Community College</b>						
17.282	D	388,838	Trade Adjustment Assistance Community College and Career Training (TAACCCT) Grants			
84.007	D	38,640	Federal Supplemental Educational Opportunity Grants			
84.033	D	58,762	Federal Work-Study Program			
84.063	D	5,172,618	Federal Pell Grant Program			
		<u>5,658,858</u>	Total — Randolph Community College			
<b>Richmond Community College</b>						
47.076	D	41,530	Education and Human Resources			
84.007	D	75,275	Federal Supplemental Educational Opportunity Grants			
84.033	D	83,433	Federal Work-Study Program			
84.063	D	6,110,516	Federal Pell Grant Program			
		<u>6,310,754</u>	Total — Richmond Community College			
<b>Roanoke-Chowan Community College</b>						
17.258	I	151,759	WIA/WIOA Adult Program	N/A	Mid East Commission	
17.278	I	70,699	WIA/WIOA Dislocated Worker Formula Grants	N/A	Mid East Commission	
84.007	D	15,451	Federal Supplemental Educational Opportunity Grants			
84.033	D	35,538	Federal Work-Study Program			
84.042	D	254,171	TRIO-Student Support Services			
84.063	D	1,842,788	Federal Pell Grant Program			
		<u>2,370,406</u>	Total — Roanoke-Chowan Community College			

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)**

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
<b>Robeson Community College</b>						
17.259	I	171,836	WIA/WIOA Youth Activities	2040 44 5465	Council of Government	
17.282	D	853,229	Trade Adjustment Assistance Community College and Career Training (TAACCTT) Grants			
47.076	D	131,503	Education and Human Resources			
84.007	D	42,385	Federal Supplemental Educational Opportunity Grants			
84.033	D	62,899	Federal Work-Study Program			
84.042	D	34,220	TRIO-Student Support Services			
84.063	D	5,262,802	Federal Pell Grant Program			
84.299	I	18,784	Indian Education - Special Programs for Indian Children	N/A	Lumbee Land Dev.	
		<u>6,577,658</u>	Total — Robeson Community College			
<b>Rockingham Community College</b>						
84.007	D	38,563	Federal Supplemental Educational Opportunity Grants			
84.031	D	178,245	Higher Education-Institutional Aid			
84.033	D	40,941	Federal Work-Study Program			
84.042	D	175,294	TRIO-Student Support Services			
84.063	D	2,858,895	Federal Pell Grant Program			
		<u>3,291,938</u>	Total — Rockingham Community College			
<b>Rowan-Cabarrus Community College</b>						
84.007	D	78,881	Federal Supplemental Educational Opportunity Grants			
84.033	D	47,790	Federal Work-Study Program			
84.063	D	10,923,978	Federal Pell Grant Program			
84.268	D	8,256	Federal Direct Student Loans			
		<u>11,058,905</u>	Total — Rowan-Cabarrus Community College			
<b>Sampson Community College</b>						
84.002	D	230,938	Adult Education - Basic Grants to States			
84.007	D	40,500	Federal Supplemental Educational Opportunity Grants			
84.033	D	31,009	Federal Work-Study Program			
84.042	D	33,277	TRIO-Student Support Services			
84.048	D	81,096	Career and Technical Education - Basic Grants to States			
84.063	D	2,632,594	Federal Pell Grant Program			
		<u>3,049,414</u>	Total — Sampson Community College			
<b>Sandhills Community College</b>						
84.007	D	56,250	Federal Supplemental Educational Opportunity Grants			
84.033	D	101,994	Federal Work-Study Program			
84.042	D	80,653	TRIO-Student Support Services			
84.063	D	5,605,231	Federal Pell Grant Program			
		<u>5,844,128</u>	Total — Sandhills Community College			
<b>South Piedmont Community College</b>						
84.007	D	36,711	Federal Supplemental Educational Opportunity Grants			
84.033	D	62,828	Federal Work-Study Program			
84.063	D	2,874,042	Federal Pell Grant Program			
		<u>2,973,581</u>	Total — South Piedmont Community College			
<b>Southeastern Community College</b>						
17.258	I	266,631	WIA/WIOA Adult Program	0-2020-33	Cape Fear COG	
17.259	I	207,798	WIA/WIOA Youth Activities	0-2040-33	Cape Fear COG	
17.278	I	230,825	WIA/WIOA Dislocated Worker Formula Grants	0-2030-33	Cape Fear COG	
84.007	D	73,750	Federal Supplemental Educational Opportunity Grants			
84.033	D	56,677	Federal Work-Study Program			
84.044	D	372,402	TRIO-Talent Search			
84.063	D	3,074,737	Federal Pell Grant Program			
93.364	D	20,850	Nursing Student Loans			
94.002	D	98,437	Retired and Senior Volunteer Program			
		<u>4,402,107</u>	Total — Southeastern Community College			
<b>Southwestern Community College</b>						
84.007	D	48,956	Federal Supplemental Educational Opportunity Grants			
84.033	D	61,884	Federal Work-Study Program			
84.042	D	287,955	TRIO-Student Support Services			
84.047	D	253,502	TRIO-Upward Bound			
84.063	D	4,296,978	Federal Pell Grant Program			
84.268	D	1,574,365	Federal Direct Student Loans			
		<u>6,523,640</u>	Total — Southwestern Community College			

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)**

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
<b><u>Stanly Community College</u></b>						
84.007	D	46,718	Federal Supplemental Educational Opportunity Grants			
84.031	D	513,295	Higher Education-Institutional Aid			
84.033	D	66,302	Federal Work-Study Program			
84.063	D	4,698,342	Federal Pell Grant Program			
		<u>5,324,657</u>	Total — Stanly Community College			
<b><u>Surry Community College</u></b>						
84.007	D	40,250	Federal Supplemental Educational Opportunity Grants			
84.033	D	73,837	Federal Work-Study Program			
84.047	D	220,741	TRIO-Upward Bound			
84.063	D	4,352,848	Federal Pell Grant Program			
84.066	D	223,843	TRIO-Educational Opportunity Centers			
		<u>4,911,519</u>	Total — Surry Community College			
<b><u>Tri-County Community College</u></b>						
10.766	D	100,000	Community Facilities Loans and Grants			
84.007	D	33,087	Federal Supplemental Educational Opportunity Grants			
84.033	D	33,530	Federal Work-Study Program			
84.063	D	2,336,652	Federal Pell Grant Program			
		<u>2,503,269</u>	Total — Tri-County Community College			
<b><u>Vance-Granville Community College</u></b>						
17.259	I	128,181	WIA/WIOA Youth Activities	1117	Kerr-Tar Regional Council of Government	
17.282	D	552,400	Trade Adjustment Assistance Community College and Career Training (TAACCT) Grants			
64.028	D	44,107	Post-9/11 Veterans Educational Assistance			
84.007	D	87,049	Federal Supplemental Educational Opportunity Grants			
84.033	D	94,597	Federal Work-Study Program			
84.063	D	4,941,093	Federal Pell Grant Program			
		<u>5,847,427</u>	Total — Vance-Granville Community College			
<b><u>Wake Technical Community College</u></b>						
17.245	D	816,151	Trade Adjustment Assistance			
17.282	D	1,468,796	Trade Adjustment Assistance Community College and Career Training (TAACCT) Grants			
45.162	D	889	Promotion of the Humanities-Teaching and Learning Resources and Curriculum Development			
47.076	D	312,433	Education and Human Resources			
84.007	D	324,464	Federal Supplemental Educational Opportunity Grants			
84.031	D	447,153	Higher Education-Institutional Aid			
84.033	D	168,489	Federal Work-Study Program			
84.063	D	31,704,881	Federal Pell Grant Program			
84.116	D	129,603	Fund for the Improvement of Postsecondary Education			
84.141	D	506,958	Migrant Education-High School Equivalency Program			
84.268	D	47,750,560	Federal Direct Student Loans			
		<u>83,630,377</u>	Total — Wake Technical Community College			
<b><u>Wayne Community College</u></b>						
17.258	I	188,102	WIA/WIOA Adult Program	15-2020/4020-40-6331-09	Eastern Carolina Workforce Development Board, Inc.	
17.259	I	53,294	WIA/WIOA Youth Activities	15-2040/4040-40-6331-09	Eastern Carolina Workforce Development Board, Inc.	
17.260	I	104,910	WIA Dislocated Workers	15-2030/4030-40-6331-09	Eastern Carolina Workforce Development Board, Inc.	
47.076	D	17,636	Education and Human Resources			
84.007	D	129,116	Federal Supplemental Educational Opportunity Grants			
84.031	D	23,179	Higher Education-Institutional Aid			
84.033	D	132,242	Federal Work-Study Program			
84.063	D	5,867,522	Federal Pell Grant Program			
		<u>6,516,001</u>	Total — Wayne Community College			
<b><u>Western Piedmont Community College</u></b>						
84.007	D	54,600	Federal Supplemental Educational Opportunity Grants			
84.033	D	68,434	Federal Work-Study Program			
84.042	D	161,698	TRIO-Student Support Services			
84.044	D	309,031	TRIO-Talent Search			
84.063	D	3,977,301	Federal Pell Grant Program			
		<u>4,571,064</u>	Total — Western Piedmont Community College			
<b><u>Wilkes Community College</u></b>						
17.258	I	2,442	WIA/WIOA Adult Program	14-2020-49-1533	HCCOG	

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS (BY STATE AGENCY)**

For the Fiscal Year Ended June 30, 2016

Federal CFDA Number	Direct/ Indirect	Program Expenditures	CFDA Program Title	Pass-Through Number	Pass-Through Entity Name	Additional Award Information
17.258	I	40,000	WIA/WIOA Adult Program	15-2020-49-1533	HCCOG	
17.258	I	134,604	WIA/WIOA Adult Program	15-4020-49-1533	HCCOG	
17.259	I	5,993	WIA/WIOA Youth Activities	14-2040-49-1533	HCCOG	
17.259	I	162,300	WIA/WIOA Youth Activities	15-2040-49-1533	HCCOG	
17.259	I	69,753	WIA/WIOA Youth Activities	15-4040-49-1533	HCCOG	
17.277	I	7,071	WIOA National Dislocated Worker Grants / WIA National Emergency Grants	14-3030-49-1533	HCCOG	
17.277	I	72,321	WIOA National Dislocated Worker Grants / WIA National Emergency Grants	15-3030-49-1533	HCCOG	
17.277	I	31,793	WIOA National Dislocated Worker Grants / WIA National Emergency Grants	15-3031-49-1533	HCCOG	
17.278	I	3,348	WIA/WIOA Dislocated Worker Formula Grants	14-2030-49-1533	HCCOG	
17.278	I	40,000	WIA/WIOA Dislocated Worker Formula Grants	15-2030-49-1533	HCCOG	
17.278	I	50,000	WIA/WIOA Dislocated Worker Formula Grants	15-2031-49-1533	HCCOG	
17.278	I	64,552	WIA/WIOA Dislocated Worker Formula Grants	15-4030-49-1533	HCCOG	
19.021	I	15,587	Investing in People in The Middle East and North Africa	FY16-IULP-WCC-01	IREX	
84.007	D	19,400	Federal Supplemental Educational Opportunity Grants			
84.033	D	56,370	Federal Work-Study Program			
84.042	D	305,169	TRIO-Student Support Services			
84.063	D	4,890,715	Federal Pell Grant Program			
84.268	D	1,236,144	Federal Direct Student Loans			
		<u>7,207,562</u>	Total — Wilkes Community College			
<b>Wilson Community College</b>						
84.007	D	58,145	Federal Supplemental Educational Opportunity Grants			
84.033	D	34,784	Federal Work-Study Program			
84.042	D	253,962	TRIO-Student Support Services			
84.047	D	325,511	TRIO-Upward Bound			
84.063	D	3,275,768	Federal Pell Grant Program			
84.268	D	1,764,455	Federal Direct Student Loans			
		<u>5,712,625</u>	Total — Wilson Community College			
		<u>620,920,514</u>	Total — Community Colleges			
		<u>3,257,072,926</u>	Total — Component Units			
		<u><b>20,352,984,001</b></u>	<b>Total Expenditures of Federal Awards</b>			

N/A = Not Available

D = Direct Federal Assistance – Assistance received directly from the federal government or received in a pass-through relationship from other State entities.

I = Indirect Federal Assistance – Assistance received in a pass-through relationship from entities other than the federal government or other State entities.

The accompanying notes are an integral part of this schedule.

## NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

June 30, 2016

## NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

### A. Basis of Presentation

The accompanying Schedule of Expenditures of Federal Awards is presented in accordance with requirements of Title 2 U.S. Code of Federal Regulations (CFR) Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). The Schedule appears in three formats:

- Summary – The summary schedule reports expenditures of federal awards by program or program cluster.
- Detail – The detail schedule presents federal programs by federal agency and lists individual programs within program clusters.
- By State Agency – The schedule by state agency presents expenditures of federal awards by state agency and by program. In some instances, federal funds have been transferred from one state agency to another to be expended in the same program. When this is the case, the expenditure of federal awards has been reported under the organization which received the funds directly from the Federal Government.

Federal CFDA numbers are from the Catalog of Federal Domestic Assistance published by the Office of Management and Budget and the General Services Administration. Programs without a CFDA number are presented with the federal agency's two-digit prefix followed by U with a two-digit number. If the Federal program is part of the Research and Development (R&D) cluster and the extension is not known, RD is placed in the three-digit extension field.

### B. Reporting Entity

The State of North Carolina financial reporting entity is fully described in Note 1 to the financial statements. The financial reporting entity includes (1) the primary government, (2) organizations for which the primary government is financially accountable, and (3) other organizations for which the nature and significance of their relationship with the primary government are such that exclusion would cause the primary government's financial statements to be misleading or incomplete.

The accompanying Schedule of Expenditures of Federal Awards includes all federal programs administered by the

state financial reporting entity except the programs of the State Education Assistance Authority, North Carolina Housing Finance Agency and Economic Development Partnership of North Carolina. These agencies issue separate reports for their programs.

### C. Basis of Accounting

An award is considered expended when the activity related to the award occurs. The activity generally pertains to events requiring compliance with laws, regulations, and the provisions of contract and grant agreements. Specific transaction types have been recognized as follows:

*Direct Costs:* Direct costs have been recognized on the cash basis of accounting, that is, when cash is disbursed rather than when the charge is incurred. Such expenditures are recognized following, as applicable, either the costs principles in the Office of Management and Budget Circulars A-87 and A-21 or the costs principles contained in the Uniform Guidance.

*Indirect costs:* Indirect costs are recovered from the federal government by applying a federally approved indirect cost rate or by allocating these costs among benefiting programs in accordance with a federally approved plan. Each program's share of indirect costs is recognized on the accompanying Schedule of Expenditures of Federal Awards.

The State of North Carolina has elected not to use the 10% de minimus indirect cost rate as allowed under the Uniform Guidance.

*Loan and loan guarantee transactions:*

- Federal Perkins Loan Program - Federal Capital Contributions (CFDA 84.038), Nurse Faculty Loan Program (CFDA 93.264), Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students (CFDA 93.342), Nursing Student Loans (CFDA 93.364), Capitalization Grants for Clean Water State Revolving Funds (CFDA 66.458), Capitalization Grants for Drinking Water State Revolving Funds (CFDA 66.468) and Community Development Block Grant Revolving Loan Fund (CFDA 14.228) – Expenditures of federal awards in the accompanying Schedule of Expenditures of Federal Awards include the value of new loans made during the year, the balance of loans from previous years with federal continuing compliance requirements, federal capital contributions received during the year, interest subsidy, and administrative cost allowances. Loan balances outstanding at year-end are disclosed in Note 2.
- Federal Direct Student Loans (CFDA 84.268) – These loans are made by outside lenders to students at institutions

**NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**

June 30, 2016

of higher education within the State reporting entity. The institutions are responsible for certain administrative requirements for new loans. As a result, the value of loans made during the year and administrative cost allowances are recognized as expenditures of federal awards in the accompanying Schedule of Expenditures of Federal Awards. The balance of loans for previous years is not included because the lender accounts for the prior balances.

*Other non-cash assistance:*

The State of North Carolina participated in several federal programs in which non-cash benefits are provided through the state to eligible participants. These include:

- Food Distribution Programs – Food commodities donated to the N.C. Department of Agriculture are reported at the value assigned by the U.S. Department of Agriculture. The Schedule of Expenditures of Federal Awards includes commodity distributions of:

<b>Program</b>	<b>CFDA #</b>	<b>Non-Cash Value</b>
Nation School Lunch Program	10.555	\$46,863,269
Summer Food Service Program for Children	10.559	86,128
Commodity Supplemental Food Program	10.565	299,903
Food Distribution Program on Indian Reservations	10.567	135,073
Emergency Food Assistance Program (Food Commodities)	10.569	20,235,730

- Supplemental Nutrition Assistance Program (CFDA 10.551) – The State issues food stamp benefits in electronic form. Food stamp benefits are recognized as expenditures when recipients use the benefits. The non-cash values during the fiscal year are reported as expenditures in the Schedule of Expenditures of Federal Awards. The estimated value during the fiscal year was \$2,301,607,978.
- Immunization Grants (CFDA 93.268) – Vaccines donated to the N. C. Department of Health and Human Services are reported at the value assigned by the

U. S Department of Health and Human Services. The amount reported in the Schedule of Expenditures of Federal Awards reflects routine immunizations including seasonal influenza. The value of the vaccines for the fiscal year is \$112,558,568.

- Donation of Federal Surplus Personal Property (CFDA 39.003) – Federal surplus property donated to the N.C. Department of Administration is valued at estimated fair market value at the time of receipt. The non-cash value during the fiscal year is reported as expenditures in the Schedule of Expenditures of Federal Awards. The estimated value during the fiscal year was \$14,428,681.
- Higher Education – Institutional Aid (CFDA 84.031) Funds to be used for endowments and the endowment is federally restricted. The cumulative balance of the federal awards for endowment funds that are restricted are considered awards expended in each year in which the funds are restricted. Institutional Aid during the fiscal year is reported as an expenditure in the Schedule of Expenditures of Federal Awards. The estimated value during the fiscal year was \$9,854,385.

**NOTE 2: FEDERAL LOANS OUTSTANDING**

The State of North Carolina had the following federal loan balances outstanding at year-end:

<b>Program</b>	<b>CFDA #</b>	<b>Amount Outstanding</b>
Federal Perkins Loan Program - Federal Capital Contributions	84.038	\$94,076,103
Capitalization Grants for Drinking Water State Revolving Funds	66.468	88,482,185
Capitalization Grants for Clean Water State Revolving Funds	66.458	33,751,217
Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students	93.342	3,815,469
Nursing Student Loans	93.364	412,990
Nurse Faculty Loan Program	93.264	530,747
Community Development Block Grant Revolving Loan Fund	14.228	2,224,785

**NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**

June 30, 2016

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**NOTE 3: UNEMPLOYMENT INSURANCE**

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State unemployment tax revenues and payments in lieu of taxes are combined with federal funds and used to pay benefits under the Unemployment Insurance program (CFDA 17.225). The state and federal portions of the total expenditures reported on the Schedule were \$234,859,335 and \$65,993,662 respectively.

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**NOTE 4: PASS-THROUGH AWARDS**

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Uniform Guidance defines a *subrecipient* as an entity that expends federal awards that are received from a pass-through entity to carry out a federal program. The total amount provided to subrecipients from each federal program is separately identified in the accompanying Summary Schedule of Expenditures of Federal Awards.

Note: Certain transactions relating to federal financial assistance may appear in the records of more than one state recipient agency. To avoid duplication and the overstatement of the aggregate level of federal financial assistance expended by the State of North Carolina, when federal financial assistance is received by one state recipient agency and redistributed to another state agency (i.e., a pass-through of funds by the primary recipient state agency to a sub-recipient state agency), the federal financial assistance will be reflected as expenditures by the primary recipient state agency.

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**Summary Schedule of Prior Audit Findings  
For the Year Ended June 30, 2016**

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2013-001	Health and Human Services	<p><u>Noncompliance with SNAP Requirements</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, June 15, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Agriculture is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-005	Health and Human Services	<p><u>Deficiencies in County Eligibility Determination Processes</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, June 28, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Agriculture is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-006	Health and Human Services	<p><u>Federal Funding Accountability Transparency Act Reporting Not Completed Timely</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, June 15, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Agriculture is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-007	Commerce	<p><u>Inaccurate Cash Management Improvement Act Analysis</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, September 13, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Housing and Urban Development is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2013-008	Commerce	<p><u>Inability to Support Compliance with Earmarking Requirements</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, September 13, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Housing and Urban Development is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-009	Commerce	<p><u>Management's Implementation of Corrective Action Was Inadequate</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, September 13, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Housing and Urban Development is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-010	Commerce	<p><u>Lack of Segregation of Duties in the Administration of Grants Management System</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, September 13, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Housing and Urban Development is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-011	Commerce	<p><u>Inaccurate Federal Reporting</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, September 13, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Housing and Urban Development is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2013-012	Commerce	<p><u>Deficiencies in Subrecipient Monitoring</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, September 13, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Housing and Urban Development is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-013	Public Safety	<p><u>Review of Subrecipient Audit Reports Needs Improvement</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, December 9, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Justice is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-014	Public Safety	<p><u>Review of Subrecipient Audit Reports Needs Improvement</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, December 9, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Justice is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-030	Transportation	<p><u>Review of Subrecipient Applications Not Always Documented</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, December 22, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Transportation is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2013-031	Transportation	<p><u>Subrecipient Data in Federal Reports Not Reviewed</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, December 22, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Transportation is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-032	Transportation	<p><u>Schedule of Expenditures of Federal Awards Not Accurate</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, December 22, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Transportation is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-033	Transportation	<p><u>Subrecipient Monitoring Not Adequately Performed</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, December 22, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Transportation is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-034	Environmental Quality	<p><u>Federal Funds Expended After the Period of Availability</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, October 25, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Environmental Protection Agency is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2013-035	Environmental Quality	<p><u>Monitoring of Subrecipient Cash Management Needs Improvement</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, October 25, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Environmental Protection Agency is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-036	Environmental Quality	<p><u>Federal Funds Used for Unallowable Activity</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, October 25, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Environmental Protection Agency is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-037	Environmental Quality	<p><u>Subrecipient Monitoring Needs Improvement</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, October 25, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Environmental Protection Agency is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-038	Public Instruction	<p><u>Noncompliance with Cash Management Requirements</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today October 24, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Education is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2013-039	Public Instruction	<p><u>Noncompliance with Period of Availability Requirements</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today October 24, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Education is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-041	Public Instruction	<p><u>Deficiencies in Title I Program Monitoring</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today October 24, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Education is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-042	Public Instruction	<p><u>Noncompliance with Cash Management Requirements</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today October 24, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Education is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-045	Elizabeth City State University	<p><u>Lack of Controls Over Federal Suspension and Debarment Verification</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, October 31, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Education is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2013-046	Fayetteville State University	<p><u>Cash Management Controls Need Improvement</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, October 31, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Education is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-047	Fayetteville State University	<p><u>Expenditures Understated on Annual Performance Report</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, October 31, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The US Department of Education is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-048	Public Instruction	<p><u>Noncompliance with Cash Management Requirements</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, October 24, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Education is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-051	James Sprunt Community College	<p><u>Weakness in the Student Financial Aid Application Verification Process</u></p> <p>Full corrective action has been taken.</p>
2013-054	Public Instruction	<p><u>Noncompliance with Cash Management Requirements</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, October 24, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> </ol>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
		<ol style="list-style-type: none"> <li>2. The U.S. Department of Education is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-057	James Sprunt Community College	<p><u>Weakness in the Student Financial Aid Application Verification Process</u></p> <p>Full corrective action has been taken.</p>
2013-060	Public Instruction	<p><u>Noncompliance with Cash Management Requirements</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, October 24, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Education is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-062	Public Instruction	<p><u>Noncompliance with Cash Management Requirements</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, October 24, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Education is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-064	Public Instruction	<p><u>Noncompliance with Cash Management Requirements</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, October 24, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Education is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2013-066	Public Instruction	<p><u>Noncompliance with Cash Management Requirements</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, October 24, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Education is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-068	Public Instruction	<p><u>Noncompliance with Cash Management Requirements</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, October 24, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Education is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-069	Public Instruction	<p><u>Subrecipients Not Notified of Budget Overruns</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, October 24, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Education is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-072	Health and Human Services	<p><u>Deficiencies in County Eligibility Determination Processes</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, June 15, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Health and Human Services is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2013-073	Health and Human Services	<p><u>Deficiency in Subrecipient Monitoring</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, June 15, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Health and Human Services is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-074	Health and Human Services	<p><u>Errors in Provider Billing and Payment Process</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, June 27, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Health and Human Services is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-075	Health and Human Services	<p><u>Deficiencies in County Eligibility Determination Processes</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, June 27, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Health and Human Services is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-076	Health and Human Services	<p><u>Errors in Provider Billing and Payment Process</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, June 27, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Health and Human Services is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2013-077	Health and Human Services	<p><u>Medicaid Disproportionate Share Hospital Payments Made Incorrectly</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, June 27, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Health and Human Services is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-078	Health and Human Services	<p><u>Deficiencies in the Eligibility System Interface Process</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, June 27, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Health and Human Services is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-079	Health and Human Services	<p><u>Deficiencies in County Eligibility Determination Processes</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, June 27, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Health and Human Services is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-080	Health and Human Services	<p><u>Deficiencies in Program Integrity Functions</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, June 27, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Health and Human Services is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2013-081	Health and Human Services	<p><u>Deficiencies in Provider Enrollment and Termination Processes</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, June 27, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Health and Human Services is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-082	Health and Human Services	<p><u>Untimely Use of Rebates</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, June 28, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Health and Human Services is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-086	Public Safety	<p><u>Deficiencies in Federal Reporting</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, December 9, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Homeland Security is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2013-087	Public Safety	<p><u>Review of Subrecipient Audit Reports Needs Improvement</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, December 9, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Homeland Security is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2013-089	University of North Carolina Chapel Hill	<p><u>Internal Controls Over Equipment Need Improvement</u></p> <p>The audit finding does not warrant further action because:</p> <ol style="list-style-type: none"> <li>1. As of today, July 25, 2016, two years have passed since the audit report in which the finding occurred was submitted on March 27, 2014 to the Federal clearinghouse;</li> <li>2. The U.S. Department of Health and Human Services is not currently following up with the Department on the audit finding; and</li> <li>3. A management decision has not been issued.</li> </ol>
2014-001	Health and Human Services	<p><u>Deficiencies in Eligibility System Access Controls</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Agriculture.</p>
2014-002	Health and Human Services	<p><u>SNAP Eligibility Determinations Not Performed Accurately</u></p> <p>Partial corrective action has been taken. The Department had counties assess the cases and initiate claims where necessary. Hard stop validation edits were added to the system to prevent workers from changing certification periods and reactivating closed cases and the denial notice procedure for FNS applications and recertification's were revised.</p> <p>However, the NCFASST staff continues to collaborate with the program staff to evaluate and modify the system, as necessary, while procedures are still being developed.</p>
2014-003	Health and Human Services	<p><u>Deficiencies in County Eligibility Determination Processes</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Agriculture.</p>
2014-004	Health and Human Services	<p><u>Facilities Not Properly Monitored</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Agriculture.</p>
2014-005	Health and Human Services	<p><u>Subaward Obligations Were Not Reported Timely</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Agriculture.</p>
2014-006	Health and Human Services	<p><u>Counties Not Properly Monitored</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Agriculture.</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2014-007	Commerce	<p><u>Subaward Obligations Were Not Reported Timely</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Housing and Urban Development.</p>
2014-008	Commerce	<p><u>Documentation to Support Benefit Overpayment Investigations Was Not Maintained</u></p> <p>Full corrective action has been taken.</p>
2014-015	Transportation	<p><u>Controls Were Not Operating Effectively to Ensure Payment of Minimum Pay Rates</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Transportation.</p>
2014-016	Transportation	<p><u>Quality Assurance Testing Standards Not Met</u></p> <p>Partial corrective action has been taken. All corrective actions planned as a result of the FY 2014 audit were implemented as listed below:</p> <p>Asphalt Mix QA and V Testing:</p> <ul style="list-style-type: none"> <li>• As of February 28, 2015 all QA Asphalt Labs that formerly reported to NCDOT's 14 Divisions now report to the Materials and Tests Unit.</li> <li>• The State Asphalt Materials Engineer has developed a query to track the sampling and testing performed by the QA Labs. The QA Supervisors are performing the query quarterly to assess whether their sample and test frequency requirements for asphalt mix are being met.</li> <li>• The three Pavement Specialists who report to the State Asphalt Materials Engineer verify that the queries are run quarterly and that each Supervisor is in compliance.</li> <li>• The QA Supervisors report their sample tracking to the State Asphalt Materials Engineer.</li> <li>• A meeting was held with the QA Supervisors on March 24, 2015 to discuss this process with representatives from each of the 14 QA laboratories and to clarify the requirements of the QMS manual.</li> </ul> <p>Asphalt Roadway Density QC, QA and V Testing:</p> <ul style="list-style-type: none"> <li>• The results of the audit were shared with representatives from each Resident Engineer's office via four regional training workshops beginning on March 9, 2015 and ending on April 1, 2015.</li> <li>• A formal memorandum to Division Engineers and appropriate staff detailing the audit findings and corrective actions was sent on April 9, 2015.</li> </ul>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
		<ul style="list-style-type: none"> <li>• A query was developed to determine if density frequencies were being met beginning in April of 2015. The process has been tested and modified. As of July 1 the query is run quarterly and Resident Engineers are notified via email of any deficiencies. Also, a summary report spreadsheet is sent to the State Materials Asphalt Engineer to track repeated deficiencies so that corrective action can be requested.</li> <li>• Draft changes to the QMS Asphalt Manual were incorporated effective January 1, 2016. M&amp;T 605 (Asphalt Roadway Inspector's Daily Report) has been modified and implemented simultaneously with QMS Asphalt Manual effective January 1, 2016.</li> </ul> <p>These changes were implemented starting in February of 2015 and continued until the beginning of 2016. The anticipated findings for the current audit period may be a result of corrective actions not being implemented prior to the start of the audit period. A significant portion of the audit period had already taken place by the time the final audit report was available and even more time had passed until all corrective actions had been implemented.</p>
2014-017	Transportation	<p><u>Controls Were Not Operating Effectively to Ensure Payment of Minimum Pay Rates</u></p> <p>Full corrective action has been taken.</p>
2014-018	Transportation	<p><u>Federal Report Contained Errors</u></p> <p>Full corrective action has been taken.</p>
2014-019	Transportation	<p><u>Subaward Obligations Were Not Reported</u></p> <p>Full corrective action has been taken.</p>
2014-020	Transportation	<p><u>Subrecipient Data in Federal Reports Not Reviewed</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Transportation.</p>
2014-021	Transportation	<p><u>Failure to Verify DUNS Number and Valid Local Match Prior to Award</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Transportation.</p>
2014-022	Transportation	<p><u>Subrecipient Monitoring Not Adequately Performed</u></p> <p>Full corrective action has been taken.</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2014-023	Transportation	<u>Subrecipient Charter Service Reports Submitted Late to the Federal Transit Authority</u>  Full corrective action has been taken.
2014-024	Environmental Quality	<u>Construction Project Inspections Were Not Monitored by Management to Ensure Timely Performance and Public Health is Protected</u>  Full corrective action has been taken, however awaiting management decision from the U.S. Environmental Protection Agency.
2014-025	University of North Carolina at Chapel Hill	<u>Satisfactory Academic Progress Policy Did Not Meet Federal Requirements</u>  Full corrective action has been taken.
2014-026	Winston-Salem State University	<u>Required Written Notifications Were Not Supplied to Students</u>  Full corrective action has been taken.
2014-029	Public Instruction	<u>Inaccurate School Status Reporting Could Impact Parental School Decision</u>  Full corrective action has been taken, however awaiting management decision from the U.S. Department of Education.
2014-030	Public Instruction	<u>Required Verification of Graduation Rates Was Not Performed</u>  Full corrective action has been taken, however awaiting management decision from the U.S. Department of Education.
2014-033	University of North Carolina at Chapel Hill	<u>Satisfactory Academic Progress Policy Did Not Meet Federal Requirements</u>  Full corrective action has been taken.
2014-034	Winston-Salem State University	<u>Required Written Notifications Were Not Supplied to Students</u>  Full corrective action has been taken.
2014-035	University of North Carolina at Chapel Hill	<u>Satisfactory Academic Progress Policy Did Not Meet Federal Requirements</u>  Full corrective action has been taken.
2014-036	Winston-Salem State University	<u>Required Written Notifications Were Not Supplied to Students</u>  Full corrective action has been taken.
2014-038	Elizabeth City State University	<u>Error in Calculation for Return of Title IV Funds</u>  Partial corrective action has been taken.

## Official Withdrawals:

- All students seeking to officially withdraw from the University are required to complete an online withdrawal form. This withdrawal from

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
		<p>is automatically forwarded to various departments including the Office of Financial Aid and Scholarships. In the event the form is not working electronically, students are required to visit various offices on campus including the Office of Financial Aid and Scholarships to complete the withdrawal process. This process is also supported by a monthly report from the Counseling and Testing office to confirm all students who have officially withdrawn from the University. The Office of Financial Aid will double check this monthly report against the R2T4's completed during that month to ensure all unofficial withdrawals have been reviewed for Return of TIV aid purposes.</p> <ul style="list-style-type: none"> <li>• Once the final results are available, financial aid will adjust student awards based on the results of the R2T4 and will send a memo to Student Accounts indicating the final adjustments. In addition, a letter will be sent to the students advising of the "unearned" amount of TIV aid that is being returned to the appropriate agency.</li> <li>• Student Accounts will notify Contracts and Grants of the amount to be return electronically to the appropriate agency.</li> </ul> <p>Unofficial Withdrawals:</p> <ul style="list-style-type: none"> <li>• Effective Fall 2015, the Financial Aid Staff now have access to GradesFirst to access attendance history for all students. GradesFirst is being monitored weekly in place to determine students who should be considered unofficial withdrawals. This weekly process is set up with triggers to review the appropriate students who are close to or at the maximum number of absences.</li> <li>• For students who are close to or at the maximum number of absences, the Financial Aid Office will reach out to the faculty and confirm within 7 days of initial review the student's LDA. Once confirmation is received from the Faculty, the Financial Aid Office will attempt to make contact with the students in question and receive clarification if the students are able to complete the official withdrawal process. This process will be completed within 14 days of the initial review. Depending on student response, then the Financial Aid Office will move forward with the unofficial withdrawal process if still needed and complete the Return of Title IV (R2T4) calculation.</li> <li>• Financial aid will adjust student awards based on the results of the R2T4 and will send a memo to Student Accounts indicating the final adjustments. In addition, a letter will be sent to the students advising of the "unearned" amount of TIV aid that is being returned to the appropriate agency.</li> <li>• Student Accounts will notify Contracts and Grants of the amount to be returned electronically to the appropriate agency.</li> </ul>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2014-039	University of North Carolina at Chapel Hill	<u>Satisfactory Academic Progress Policy Did Not Meet Federal Requirements</u> Full corrective action has been taken.
2014-040	University of North Carolina at Pembroke	<u>Enrollment Reporting Errors Threaten Eligibility for Title IV Student Aid</u> Full corrective action has been taken.
2014-041	Winston-Salem State University	<u>Enrollment Reporting Errors Threaten Eligibility for Title IV Student Aid</u> Full corrective action has been taken.
2014-042	Winston-Salem State University	<u>Required Written Notifications Were Not Supplied to Students</u> Full corrective action has been taken.
2014-047	Elizabeth City State University	<u>Error in Calculation for Return of Title IV Funds</u> Partial corrective action has been taken.

## Official Withdrawals:

- All students seeking to officially withdraw from the University are required to complete an online withdrawal form. This withdrawal from is automatically forwarded to various departments including the Office of Financial Aid and Scholarships. In the event the form is not working electronically, students are required to visit various offices on campus including the Office of Financial Aid and Scholarships to complete the withdrawal process. This process is also supported by a monthly report from the Counseling and Testing office to confirm all students who have officially withdrawn from the University. The Office of Financial Aid will double check this monthly report against the R2T4's completed during that month to ensure all unofficial withdrawals have been reviewed for Return of TIV aid purposes.
- Once the final results are available, financial aid will adjust student awards based on the results of the R2T4 and will send a memo to Student Accounts indicating the final adjustments. In addition, a letter will be sent to the students advising of the "unearned" amount of TIV aid that is being returned to the appropriate agency.
- Student Accounts will notify Contracts and Grants of the amount to be return electronically to the appropriate agency.

## Unofficial Withdrawals:

- Effective Fall 2015, the Financial Aid Staff now have access to GradesFirst to access attendance history for all students. GradesFirst is being monitored weekly in place to determine students who should be considered unofficial withdrawals. This weekly process is set up with triggers to review the appropriate students who are close to or at the maximum number of absences.

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
		<ul style="list-style-type: none"> <li>• For students who are close to or at the maximum number of absences, the Financial Aid Office will reach out to the faculty and confirm within 7 days of initial review the student's LDA. Once confirmation is received from the Faculty, the Financial Aid Office will attempt to make contact with the students in question and receive clarification if the students are able to complete the official withdrawal process. This process will be completed within 14 days of the initial review. Depending on student response, then the Financial Aid Office will move forward with the unofficial withdrawal process if still needed and complete the Return of Title IV (R2T4) calculation.</li> <li>• Financial aid will adjust student awards based on the results of the R2T4 and will send a memo to Student Accounts indicating the final adjustments. In addition, a letter will be sent to the students advising of the "unearned" amount of TIV aid that is being returned to the appropriate agency.</li> <li>• Student Accounts will notify Contracts and Grants of the amount to be return electronically to the appropriate agency.</li> </ul>
2014-048	Elizabeth City State University	<p><u>Lack of Controls Over Required Direct Loan Reconciliations</u></p> <p>Partial corrective action has been taken. Direct Loan Reconciliations will be completed monthly in accordance with the federal regulations. The Director of Financial Aid and Student Loan Manager have developed a Direct Loan Reconciliation Process Guide that will provide step-by-step directions to completing the reconciliations timely and accurately. This guide will cover the process from setting up loan reconciliation reports on the Common Origination and Disbursement (COD) system annually through the final steps of what documentation is to be retained each month.</p> <p>The Financial Aid Office has committed to completing the monthly reconciliations by the 25<sup>th</sup> of each month following the month end. The reconciliations will include identification of all discrepancies and resolution of said discrepancies. Any discrepancies that cannot be resolved due to timing of disbursement reporting to COD, will be notated and resolved in the following month's reconciliation. Banner Financial Aid will be utilized solely for the reconciliation purposes. The revised process will include a 3-way reconciliation between COD, Financial Aid, Student Accounts, and Monthly G5 drawdown history.</p> <p>The Student Loan Manger will be responsible for completing the Monthly Direct Loan Reconciliations and the Director of Financial Aid will sign off on the monthly worksheets. In the event the Student Loan Manager is unable to complete the monthly reconciliations, the Director of Financial Aid will serve as back-up and the Associate Vice Chancellor for Enrollment Management will then sign off on the monthly reconciliation worksheets.</p> <p>Hard copies of all the monthly reconciliations will be retained by the Student Loan Manager as well as saved on an internal network drive for data security</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
		purposes. Hard copies of the reconciliation worksheets will be forwarded to the Associate Vice Chancellor of Enrollment Management.
2014-049	University of North Carolina at Chapel Hill	<u>Satisfactory Academic Progress Policy Did Not Meet Federal Requirements</u> Full corrective action has been taken.
2014-050	University of North Carolina at Chapel Hill	<u>Lack of Controls Over Required Direct Loan Reconciliations</u> Full corrective action has been taken.
2014-051	University of North Carolina at Pembroke	<u>Enrollment Reporting Errors Threaten Eligibility for Title IV Student Aid</u> Full corrective action has been taken.
2014-052	Winston-Salem State University	<u>Enrollment Reporting Errors Threaten Eligibility for Title IV Student Aid</u> Full corrective action has been taken.
2014-053	Winston-Salem State University	<u>Required Direct Loan Reconciliations Were Not Properly Performed</u> Full corrective action has been taken.
2014-054	Winston-Salem State University	<u>Required Written Notifications Were Not Supplied to Students</u> Full corrective action has been taken.
2014-055	Public Instruction	<u>Department Failed to Fully Document Subrecipient Monitoring Visits</u> Full corrective action has been taken, however awaiting management decision from the U.S. Department of Education.
2014-061	Health and Human Services	<u>Subaward Obligations Were Not Reported Timely</u> Full corrective action has been taken, however awaiting management decision from the U.S. Department of Health and Human Services.
2014-062	Health and Human Services	<u>Subaward Obligations Were Not Reported Timely</u> Full corrective action has been taken, however awaiting management decision from the U.S. Department of Health and Human Services.
2014-063	Health and Human Services	<u>Subaward Obligations Were Not Reported Timely</u> Full corrective action has been taken, however awaiting management decision from the U.S. Department of Health and Human Services.
2014-066	Health and Human Services	<u>Deficiencies in County Eligibility Determination Processes</u> Full corrective action has been taken, however awaiting management decision from the U.S. Department of Health and Human Services.

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2014-067	Health and Human Services	<p><u>Deficiencies in County Eligibility Determination Processes</u></p> <p>Partial corrective action has been taken. The Division of Social Services (DSS) has enhanced the Title IV-E training by providing technical assistance webinars to the county department of social services (DSS) monthly to reinforce policies and procedures. All payments made in error have been recouped.</p> <p>However, the program improvement plans have not been fully implemented.</p>
2014-068	Health and Human Services	<p><u>Monitoring of Child Abuse Registry Not Being Performed</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Health and Human Services.</p>
2014-069	Health and Human Services	<p><u>Errors in Children's Health Insurance Provider Billing and Payment Process</u></p> <p>Partial corrective action has been taken. DMA investigated the claims errors and actions were taken to collect or repay claims as applicable. Some claims were resolved by obtaining additional information from providers. Rate change errors cited were corrected and required documents were subsequently sent to the Fiscal Agent to initiate the proper reprocessing of claims. Monitoring activities were strengthened throughout the State Fiscal Year to ensure the accuracy of eligibility determinations performed by the fiscal agent. Any claims remaining unresolved will continue to be followed-up on until full resolution occurs. The anticipated completion date is March 30, 2017.</p> <p>DMA will continue providing education, training and ongoing communications with providers as necessary.</p>
2014-070	Health and Human Services	<p><u>Deficiencies with the Rate Change Process</u></p> <p>Partial corrective action has been taken. The Department continues to follow the established provider reimbursement procedures to ensure that appropriate documentation is reviewed timely and maintained to support rate modifications in NC Tracks.</p> <p>The remaining questioned costs that resulted from the net overpayment identified by the auditors will be confirmed and returned to the Federal funding agency by September 30, 2016.</p>
2014-072	Health and Human Services	<p><u>Deficiencies in Provider Enrollment and Termination Processes</u></p> <p>Partial corrective action has been taken. The Department implemented monitoring activities with the fiscal agent in January 2016. Management and staff strengthened the monitoring activities throughout State Fiscal Year 2016 as deemed necessary and the monitoring plan was revised accordingly. DMA will continue to adhere to the established monitoring plan to ensure the accuracy in the eligibility determinations performed by the</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
		contractor, compliance to federal and state requirements, and that supporting documentation is maintained in provider files.
		DMA initiated actions to implement an automated process to ensure that all sanctioned providers are terminated and properly removed from the claims payment system (NC Tracks). In addition, DMA initiated the development of system enhancements to automate license, background, and penalty/sanction checks. These system features are on schedule for implementation in August 2016.
2014-073	Health and Human Services	<p data-bbox="558 684 1089 711"><u>Deficiencies with Program Integrity Functions</u></p> <p data-bbox="558 741 1468 800">Full corrective action has been taken, however awaiting management decision from the U.S. Department of Health and Human Services.</p>
2014-074	Health and Human Services	<p data-bbox="558 831 1235 858"><u>Deficiencies in County Eligibility Determination Processes</u></p> <p data-bbox="558 888 1468 1398">Partial corrective action has been taken. The Department continues to improve training and strengthen their monitoring efforts of county staff to ensure the adequacy of eligibility determinations and the proper maintenance of supporting documentation. The Operational Support Team (OST) began conducting supervisor cluster meetings to ensure that county staff know how to access training materials available through the on-line learning management system. OST will continue to update webinar trainings, conduct onsite visits, and provide technical support as necessary to address identified deficiencies and ensure compliance with eligibility requirements. Medicaid Eligibility staff will continue to monitor the counties' application process to ensure adherence to federal guidelines. A sample tool is generated through the eligibility system to identify Medicaid applications by county to test for compliance. In addition, counties are required to perform second party reviews of their eligibility determinations. The counties will send their results, including deficiencies and recommended improvements, to OST on a quarterly basis to evaluate and assess the need for focused training.</p> <p data-bbox="558 1434 1468 1524">The Department will continue to follow-up with counties to ensure that corrective action plans have been implemented and questions costs issues have been resolved.</p>
2014-075	Health and Human Services	<p data-bbox="558 1556 1222 1583"><u>Errors in Medicaid Provider Billing and Payment Process</u></p> <p data-bbox="558 1612 1468 1908">Partial corrective action has been taken. DMA investigated the claims errors and actions were taken to collect or repay claims as applicable. Some claims were resolved by obtaining additional information from providers. Rate change errors cited were corrected and required documents were subsequently sent to the Fiscal Agent to initiate the proper reprocessing of claims. Monitoring activities were strengthened throughout the State Fiscal Year to ensure the accuracy of eligibility determinations performed by the fiscal agent. Any claims remaining unresolved will continue to be followed-up on until full resolution occurs. The anticipated completion date is March 30, 2017.</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
		DMA will continue providing education, training and ongoing communications with providers as necessary.
2014-076	Health and Human Services	<p><u>Medicaid Disproportionate Share Hospital Payments Made Incorrectly</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Health and Human Services.</p>
2014-077	Health and Human Services	<p><u>Deficiencies with the Rate Change Process</u></p> <p>Partial corrective action has been taken. The Department continues to follow the established provider reimbursement procedures to ensure that appropriate documentation is reviewed timely and maintained to support rate modifications in NC Tracks.</p> <p>The remaining questioned costs that resulted from the net overpayment identified by the auditors will be confirmed and returned to the Federal funding agency by December 31, 2016.</p>
2014-079	Health and Human Services	<p><u>Deficiencies in County Eligibility Determination Processes</u></p> <p>Partial corrective action has been taken. The Department continues to improve training and strengthen their monitoring efforts of county staff to ensure the adequacy of eligibility determinations and the proper maintenance of supporting documentation. The Operational Support Team (OST) began conducting supervisor cluster meetings to ensure that county staff know how to access training materials available through the on-line learning management system. OST will continue to update webinar trainings, conduct onsite visits, and provide technical support as necessary to address identified deficiencies and ensure compliance with eligibility requirements. Medicaid Eligibility staff will continue to monitor the counties application process to ensure adherence to federal guidelines. A sample tool is generated through the eligibility system to identify Medicaid applications by county to test for compliance. In addition, counties are required to perform second party reviews of their eligibility determinations. The counties will send their results, including deficiencies and recommended improvements, to OST on a quarterly basis to evaluate and assess the need for focused training.</p> <p>The Department will continue to follow up with counties to ensure that corrective action plans have been implemented and question costs issues have been resolved.</p>
2014-080	Health and Human Services	<p><u>Deficiencies in Provider Enrollment and Termination Processes</u></p> <p>Partial corrective action has been taken. The Department implemented monitoring activities with the fiscal agent in January 2016. Management and staff strengthened the monitoring activities throughout State Fiscal Year 2016 as deemed necessary and the monitoring plan was revised accordingly. DMA will continue to adhere to the established monitoring plan to ensure the accuracy in the eligibility determinations performed by the</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
2014-081	Health and Human Services	<p>contractor, compliance to federal and state requirements, and that supporting documentation is maintained in provider files.</p> <p>DMA initiated actions to implement an automated process to ensure that all sanctioned providers are terminated and properly removed from the claims payment system (NC Tracks). In addition, DMA initiated the development of system enhancements to automate license, background, and penalty/sanction checks. These system features are on schedule for implementation in August 2016.</p>
2014-081	Health and Human Services	<p><u>Management Did Not Take Full Corrective Action on Prior Recommendations</u></p> <p>Partial corrective action has been taken. The Department implemented monitoring activities with the fiscal agent in January 2016. Management and staff strengthened the monitoring activities throughout State Fiscal Year 2016 as deemed necessary and the monitoring plan was revised accordingly. DMA will continue to adhere to the established monitoring plan to ensure the accuracy in the eligibility determinations performed by the contractor, compliance to federal and state requirements, and that supporting documentation is maintained in provider files.</p> <p>DMA initiated actions to implement an automated process to ensure that all sanctioned providers are terminated and properly removed from the claims payment system (NC Tracks). In addition, DMA initiated the development of system enhancements to automate license, background, and penalty/sanction checks. These system features are on schedule for implementation in August 2016.</p>
2014-082	Health and Human Services	<p><u>Deficiencies with Program Integrity Functions</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Health and Human Services.</p>
2014-084	Health and Human Services	<p><u>Improper Reclassification of Refunds</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Health and Human Services.</p>
2014-085	Health and Human Services	<p><u>Errors in Substance Abuse Provider Billing and Payment Process</u></p> <p>Partial corrective action has been taken. The Division of Mental Health, Developmental Disabilities, and Substance Abuse (DMH/DD/SAS) has updated its policy to improve the accuracy of the claims reporting process. Additionally DMH/DD/SAS has recouped all questioned costs identified by the Office of the State Auditor.</p> <p>The DMH/DD/SAS created an NCTracks Customer Service Request (CSR) 1874 on June 15, 2015 to capture claims for clients that have retro-active eligibility for Third Party Insurance (TPL) or Medicare after DMH/DD/SAS has paid a claim, similar to the retro-active process identified in NCTracks for</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
		<p>Medicaid. CSR 1874. This is scheduled to go into NCTracks production September 25, 2016.</p> <p>After CSR 1874 is implemented in September 2016, DMH/DD/SAS will create another CSR to run the new process against claims processed from July 1, 2013, when NCTracks went live, forward to reprocess any claims that might have a paid claim after the client received retro-active TPL or Medicare insurance.</p> <p>Corrective action completed on the claim identified as paid by DMH/DD/SAS before the client received retro-active eligibility for third party insurance was recouped by the LME-MCO on June 2, 2015 for the full claim amount of \$39.62.</p>
2014-086	Health and Human Services	<p><u>Deficiencies in NCTracks Program Change Controls</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Health and Human Services.</p>
2014-087	Health and Human Services	<p><u>Deficiencies in Level of Effort and Earmarking Processes</u></p> <p>Partial corrective action has been taken. The Division of Mental Health, Developmental Disabilities and Substance Abuse Services (DMHDDSAS) currently has one position that reviews the Financial Workbook monthly. A second level of review takes place with the Assistant Director of Budget and Finance. A final level of discussion to review trends and issues includes staff members of the Addictions and Management Operations Section, Executive Management, and external stakeholders such as staff from the General Assembly, LME-MCOs and DMA as applicable. The plan to add two positions to assist in monitoring the LME MCOs expenditure data in financial reporting tool did not occur due to reorganization within the division and multiple staff vacancies.</p> <p>DMHDDSAS works continuously with the Division of Medical Assistance to update the Financial Workbook and make changes to improve the workflow for the LME MCOs.</p>
2014-088	Health and Human Services	<p><u>Management Did Not Take Full Corrective Action on Prior Recommendations</u></p> <p>Partial corrective action has been taken. The Division of Mental Health, Developmental Disabilities and Substance Abuse Services (DMH/DD/SAS) has implemented procedures to independently select provider cases for the SAPTBG audit. To ameliorate the problem of incomplete monitoring tools, visual alerts have been programmed into the automated review tools and a third level review process which includes review by the supervisor has been implemented. Plans of Correction (POC) that resulted from the fiscal monitoring reviews of non-profits were requested, evaluated and monitored for successful implementation.</p> <p>Timely filing for SFY 2014 dates of service was extended to June 30, 2015 due to the conversion from the Integrated Payment and Reimbursement</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
2014-089	Health and Human Services	<p>System (IPRS) to NCTracks. The settlement review process for SFY 2014 began on September 11, 2015. In November 2015, the Financial Audit Team Leader resigned and another staff person went on extended medical leave, leaving two FTE positions to complete the SFY 2014 settlement reviews, thereby delaying the projected timeframe for completion of the remaining settlement reviews. Preliminary reports for the LME-MCO settlements were reviewed and approved by the supervisor before being sent to the LME-MCO for feedback. The rules, regulations, and citations for each non-compliant issue have been researched to facilitate development of the POCs. The final report and POC are in the process of being consolidated to be sent to each LME-MCO. Financial Audit Team staff will be assigned to monitor implementation of the POCs. The anticipated date by which the final reports and POCs will be sent to the LME-MCOs is October 31, 2016.</p> <p><u>Monitoring Procedures Need Improvement</u></p> <p>Partial corrective action has been taken. The Division of Mental Health, Developmental Disabilities and Substance Abuse Services (DMH/DD/SAS) has implemented procedures to independently select provider cases for the SAPTBG audit. To ameliorate the problem of incomplete monitoring tools, visual alerts have been programmed into the automated review tools and a third level review process which includes review by the supervisor has been implemented. Plans of Correction (POC) that resulted from the fiscal monitoring reviews of non-profits were requested, evaluated and monitored for successful implementation.</p> <p>Timely filing for SFY 2014 dates of service was extended to June 30, 2015 due to the conversion from the Integrated Payment and Reimbursement System (IPRS) to NCTracks. The settlement review process for SFY 2014 began on September 11, 2015. In November 2015, the Financial Audit Team Leader resigned and another staff person went on extended medical leave, leaving two FTE positions to complete the SFY 2014 settlement reviews, thereby delaying the projected timeframe for completion of the remaining settlement reviews. Preliminary reports for the LME-MCO settlements were reviewed and approved by the supervisor before being sent to the LME-MCO for feedback. The rules, regulations, and citations for each non-compliant issue have been researched to facilitate development of the POCs. The final report and POC are in the process of being consolidated to be sent to each LME-MCO. Financial Audit Team staff will be assigned to monitor implementation of the POCs. The anticipated date by which the final reports and POCs will be sent to the LME-MCOs is October 31, 2016.</p>
2014-090	Health and Human Services	<p><u>Deficiencies in the Independent Peer Review Process</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Health and Human Services.</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2014-094	University of North Carolina at Chapel Hill	<u>Lack of Salary and Wage Certifications Increases Risk of Inappropriate Charges to Federal Grants</u>  Full corrective action has been taken.
2015-001	University of North Carolina at Chapel Hill	<u>Financial Statements Contained Significant Misstatements and Omissions</u>  Full corrective action has been taken.
2015-002	Health and Human Services	<u>Deficiencies in System Access Controls</u>  Full corrective action has been taken, however awaiting management decision from the U.S. Department of Agriculture.
2015-003	Health and Human Services	<u>Deficiencies in NC FAST Program Change Controls</u>  Full corrective action has been taken, however awaiting management decision from the U.S. Department of Agriculture.
2015-004	Health and Human Services	<u>Management Decisions Were Not Communicated Timely</u>  Partial corrective action has been taken. The Department implemented a tracking database that will be used to produce a monthly report showing the upcoming due dates for management decision letters. The database is currently being utilized to track the receipt and status of the audit report reviews. A status report has been developed and is being utilized by management to ensure audit reviews are being completed timely. Additional reports are being designed and developed. The database was implemented in September 2016 and continues to be modified as needed.
2015-005	Health and Human Services	<u>Duplicate Payments Made to SNAP Participants</u>  Partial corrective action has been taken. The Department implemented several local enhancements to minimize the risk of duplicate issuances from January 2015 to January 2016.  The Department implemented a Dual Issuance Batch Process, which identifies any dual issuances and place them on hold. This process is currently being tested and validated.  The Department also established a claim or unsubstantiated each case from the April 2015 system error.
2015-006	Health and Human Services	<u>Changes Made to Cases Result in Payments Made Outside of Certification Period</u>  Full corrective action has been taken, however awaiting management decision from the U.S. Department of Agriculture.

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2015-007	Health and Human Services	<p><u>SNAP Eligibility Determinations and Benefit Calculations Not Performed Accurately</u></p> <p>Partial corrective action has been taken. NC FAST initiated processes to implement two reports for the October 2016 COLA that shows all cases that did not update to the new federal rates during the mass change update. Anticipated completion date is 10/1/2016.</p> <p>The Division of Social Services (DSS) program and County staff are in the process of researching each case to determine if claims have been or need to be established for the over issuance.</p>
2015-008	Health and Human Services	<p><u>Deficiencies in System Access Controls</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Agriculture.</p>
2015-009	Health and Human Services	<p><u>Management Decisions Were Not Communicated Timely</u></p> <p>Partial corrective action has been taken. The Department implemented a tracking database that will be used to produce a monthly report showing the upcoming due dates for management decision letters. The database is currently being utilized to track the receipt and status of the audit report reviews. A status report has been developed and is being utilized by management to ensure audit reviews are being completed timely. Additional reports are being designed and developed. The database was implemented in September 2016 and continues to be modified as needed.</p>
2015-010	Health and Human Services	<p><u>Monitoring of Child and Adult Care Facilities Had Weaknesses</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Agriculture.</p>
2015-011	Health and Human Services	<p><u>Management Decisions Were Not Communicated Timely</u></p> <p>Partial corrective action has been taken. The Department implemented a tracking database that will be used to produce a monthly report showing the upcoming due dates for management decision letters. The database is currently being utilized to track the receipt and status of the audit report reviews. A status report has been developed and is being utilized by management to ensure audit reviews are being completed timely. Additional reports are being designed and developed. The database was implemented in September 2016 and continues to be modified as needed.</p>
2015-012	Public Safety	<p><u>Lack of Salary and Wage Certifications Increases Risk of Inaccurate Charges to Federal Grants</u></p> <p>Partial corrective action has been taken. As of December 2016, all time entry errors in Beacon that were identified during the audit were corrected and the NC National Guard State Appropriation and Personnel Office</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
		(SAPO) maintains documentation reflecting the corrections. As of July 2016, all time entry is reconciled weekly and all reconciliation reports are maintained by the National Guard. The National Guard State Appropriations and Personnel Manager is actively involved in the Beacon process to ensure time records are submitted and reconciled accurately on a weekly basis.
		The NC National Guard State Appropriations and Personnel Manager and the Department are actively pursuing employee self-service time entry in BEACON for all NC National Guard State employees. However, due to the nature of the program, there are State employees that are being supervised by Federal employees. Federal employees do not have permission to approve time in BEACON due to security measures. The NC National Guard State Appropriations and Personnel Manager will continue to work with the Department towards the goal of employee self-service time entry.
2015-013	Wildlife Resources Commission	<p data-bbox="557 842 1466 867"><u>The Commission Did Not Ensure Vendors Were Not Suspended or Debarred</u></p> <p data-bbox="557 905 1466 961">Full corrective action has been taken, however awaiting management decision from the U.S. Department of Interior.</p>
2015-014	Wildlife Resources Commission	<p data-bbox="557 999 1466 1024"><u>The Commission Did Not Follow State Procurement Policies</u></p> <p data-bbox="557 1052 1466 1119">Full corrective action has been taken, however awaiting management decision from the U.S. Department of Interior.</p>
2015-015	Wildlife Resources Commission	<p data-bbox="557 1157 1466 1182"><u>The Commission Did Not Ensure Vendors Were Not Suspended or Debarred</u></p> <p data-bbox="557 1209 1466 1276">Full corrective action has been taken, however awaiting management decision from the U.S. Department of Interior.</p>
2015-016	Wildlife Resources Commission	<p data-bbox="557 1314 1466 1339"><u>The Commission Did Not Follow State Procurement Policies</u></p> <p data-bbox="557 1367 1466 1434">Full corrective action has been taken, however awaiting management decision from the U.S. Department of Interior.</p>
2015-017	Transportation	<p data-bbox="557 1461 1466 1486"><u>Highway Quality Potentially At Risk Due to Insufficient Testing</u></p> <p data-bbox="557 1514 1027 1539">Partial corrective action has been taken.</p> <p data-bbox="557 1577 919 1602">Asphalt Mix QA and V Testing:</p> <p data-bbox="557 1640 1466 1875">In addition to the corrective actions that were implemented last year, a review of procedures was done with the QA Supervisors responsible for conducting the required amount of testing. To prevent similar instances of this occurring, the QA Supervisors responsible for sampling and testing this material will run Division specific reports once every two weeks to confirm that the appropriate sampling frequencies are being met. Additionally, the Quality Systems Group will run a similar query on two Divisions per month randomly to ensure that the QA Supervisors are in compliance.</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
		There are several cases in this finding where small quantities of mix were produced over short periods of time – the contractor produces an approved job mix formula and then ceases production before Department samples can be taken. Once production ceases, it is impossible to sample. The verification/quality assurance process is designed to be random so that a contractor cannot assume when a Department representative will be present to sample. Sometimes the randomness of this process causes the sample timing to fall outside of the production time frame. Therefore, a specification change will be implemented in cooperation with the asphalt industry and FHWA. This specification change will allow material to be accepted based on available test data when production issues do not allow enough time to obtain a Department controlled verification sample. This issue will also be discussed at the upcoming CAPA/NCDOT Conference which will be attended by both contractor and Department personnel.
2015-018	Transportation	<u>Estimated \$1.4 Million in Cost-Saving Recommendations Left Out of Final Project Plans</u>  Full corrective action has been taken.
2015-019	Transportation	<u>Review Procedures Not Consistently Followed to Ensure Contractor Compliance with Federal Pay Rates</u>  Full corrective action has been taken, however awaiting management decision from the U.S. Department of Transportation.
2015-020	Transportation	<u>Management Oversight of Highway Materials Acceptance Testing Not Performed</u>  Full corrective action has been taken.
2015-021	Transportation	<u>Review Procedures Not Consistently Followed to Ensure Contractor Compliance with Federal Pay Rates</u>  Full corrective action has been taken.
2015-022	Environmental Quality	<u>Construction Project Inspections Were Not Monitored by Management to Ensure Public Health Is Protected</u>  Full corrective action has been taken, however awaiting management decision from the U.S. Environmental Protection Agency.
2015-023	Environmental Quality	<u>Construction Project Inspections Were Not Monitored by Management to Ensure Public Health Is Protected</u>  Full corrective action has been taken, however awaiting management decision from the U.S. Environmental Protection Agency.

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2015-024	Durham Technical Community College	<p><u>College Disbursed Funds to Ineligible Students</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Education.</p>
2015-025	Durham Technical Community College	<p><u>Errors in Calculation for Return of Title IV Funds</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Education.</p>
2015-026	Public Instruction	<p><u>Fiscal Monitoring Results Were Not Communicated Timely</u></p> <p>Partial corrective action has been taken. New fiscal monitoring processes and procedures were implemented to address this finding. However, it was discovered additional internal controls are required due to an employee's intentional circumvention of existing controls. The new corrective action plan (CAP) has been submitted to the U.S. Department of Education's Post Audit Group and is currently under review.</p>
2015-027	Public Instruction	<p><u>Required Verification of Adjustments to Graduation Rates Was Not Performed</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Education.</p>
2015-028	Public Instruction	<p><u>Fiscal Monitoring Results Were Not Communicated Timely</u></p> <p>Partial corrective action has been taken. New fiscal monitoring processes and procedures were implemented to address this finding. However, it was discovered additional internal controls are required due to an employee's intentional circumvention of existing controls. The new corrective action plan (CAP) has been submitted to the U.S. Department of Education's Post Audit Group and is currently under review.</p>
2015-029	Durham Technical Community College	<p><u>College Disbursed Funds to Ineligible Students</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Education.</p>
2015-030	Durham Technical Community College	<p><u>Errors in Calculation for Return of Title IV Funds</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Education.</p>
2015-031	North Carolina Central University	<p><u>Students May Not Be Notified About Loan Cancellation Rights</u></p> <p>Full corrective action has been taken.</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2015-032	Public Instruction	<p><u>Fiscal Monitoring Results Were Not Communicated Timely</u></p> <p>Partial corrective action has been taken. New fiscal monitoring processes and procedures were implemented to address this finding. However, it was discovered additional internal controls are required due to an employee's intentional circumvention of existing controls. The new corrective action plan (CAP) has been submitted to the U.S. Department of Education's Post Audit Group and is currently under review.</p>
2015-033	Public Instruction	<p><u>Career and Technical Education Grant Submonitoring Visits Were Not Documented</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Education.</p>
2015-034	Public Instruction	<p><u>Performance Indicators Were Not Verified</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Education.</p>
2015-035	Caldwell Community College	<p><u>Enrollment Reporting Errors</u></p> <p>No corrective action has been taken. The College is currently working with the National Student Clearinghouse to develop procedures to ensure enrollment changes reported by the College to the Clearinghouse are reported to the U.S. Department of Education in a timely, accurate manner.</p> <p>We have developed a workflow that now includes offices of the Registrar and Financial Aid. We realize it is imperative the offices work together in a cohesive manner to ensure compliance in enrollment reporting. The workflow presented below allows the burden of error reporting and adjustment to be shared equally between the offices that will be making the necessary adjustments to any error reports that may be generated through the enrollment reporting process.</p> <p>Enrollment Reporting Workflow:</p> <ul style="list-style-type: none"> <li>• Administrators in the Financial Aid Office and the Registrar's Office will be given access to enrollment reporting "error adjustment" features within Clearinghouse</li> <li>• Registrar performs enrollment reporting to National Student Clearinghouse every 60 days</li> <li>• Error reports will be sent to Financial Aid and Registrars Administrators</li> <li>• SSCR codes will be brought to the attention of Clearinghouse for resolution as directed by Clearinghouse</li> </ul>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
		<ul style="list-style-type: none"> <li>• Error reports/codes will be reviewed in a timely manner upon receipt by Financial Aid and Registrar Administrator where applicable</li> <li>• Error adjustments will be made within in a timely manner upon confirmation that an adjustment needs to be made by both the Registrar and Financial Aid Administrators</li> <li>• Adjustment errors will be sent back to the Clearinghouse for reporting</li> </ul> <p>*This process will continue until all error adjustments have been cleared by NSLDS.</p> <p>Administrative staff members will be taking advantage of ongoing training offered by the National Student Clearinghouse to help stay current with enrollment reporting requirements.</p>
2015-036	Craven Community College	<p><u>Error in Calculation for Return to Title IV Funds</u></p> <p>Full corrective action has been taken.</p>
2015-037	Craven Community College	<p><u>Enrollment Reporting Errors</u></p> <p>Full corrective action has been taken.</p>
2015-038	Durham Technical Community College	<p><u>College Disbursed Funds to Ineligible Students</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Education.</p>
2015-039	Durham Technical Community College	<p><u>Disbursements Not Timely Reported to Federal Government</u></p> <p>Full corrective action has been taken.</p>
2015-040	Durham Technical Community College	<p><u>Errors in Calculation for Return of Title IV Funds</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Education.</p>
2015-041	Durham Technical Community College	<p><u>Errors in Enrollment Status Reporting</u></p> <p>Full corrective action has been taken.</p>
2015-042	North Carolina Central University	<p><u>Errors in Enrollment Status Reporting</u></p> <p>Full corrective action has been taken.</p>
2015-043	Health and Human Services	<p><u>Errors in Claims Payment Process</u></p> <p>Partial corrective action has been taken. The Department did fully address the identified over and underpaid claims prior to the projected completion date of June 30, 2016. This has been documented with a fiscal journal entry.</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
		<p>This component is complete.</p> <ul style="list-style-type: none"> <li>• Following the development of an Interagency Memorandum Of Agreement (IMOA) between the Division of Vocational Rehabilitation Services (DVRS), the Division of Services for the Blind (DVRB), and the Division of Medical Assistance (DMA) to allow the divisions to access comparable benefit information via NC Tracks, the divisions began piloting access to a few users to further develop user guides for the remainder of those to be granted access to the comparable benefit information within NC Tracks. The finalized guides were then sent out to the rest of the current TPQY (Third Party QuerY) system users in a statewide e-mail 5-13-16 providing further instruction in the use of NC Tracks and the process of gaining access. By early to mid-June, nearly all TPQY users were provided access to NC Tracks to verify comparable benefits. This component was completed prior to June 30, 2016 as projected.</li> <li>• The policy review, analysis and adjustment component of the corrective action remains in process and will be in process until the October 1, 2016 anticipated completion date as presented in the original corrective action plan for this component of the item. The divisions continue to review policies relevant to this finding and have already made adjustments to policy as follows: <ul style="list-style-type: none"> <li>- DVRS revised policy section 3-10-3 effective June 1, 2016 which describes when comparable benefits must be verified via NC Tracks. It was necessary to gain adequate access to NC Tracks in order for this to occur.</li> <li>- Quality Development Specialists and supervisors continue to emphasize the need to collect and maintain appropriate documentation related to the provision of services and the Individualized Employment Plan.</li> </ul> </li> </ul>
2015-044	Health and Human Services	<p><u>Deficiencies in BEAM Program Change Controls</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Education.</p>
2015-045	Health and Human Services	<p><u>Deficiencies in System Access Controls</u></p> <p>Partial corrective action has been taken. Corrective actions to address the risks identified by the audit team were detailed in a response separately submitted to OSA. Although some corrective actions had been completed, not all actions had been implemented by June 30, 2016. All corrective actions were subsequently completed in August 2016. Evidence of completion was provided to OSA. No additional actions are required at this time.</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
2015-046	Health and Human Services	<p data-bbox="558 380 1463 407"><u>Management Did Not Take Full Corrective Action on Prior Recommendations</u></p> <p data-bbox="558 436 1027 464">Partial corrective action has been taken.</p> <p data-bbox="558 493 1349 520"><u>Rehabilitation Services – Vocational Rehabilitation Grants to States</u></p> <ul data-bbox="607 558 1463 1812" style="list-style-type: none"> <li data-bbox="607 558 1463 678">• Errors in Claims Payment Process - The Department did fully address the identified over and underpaid claims prior to the projected completion date of June 30, 2016. This has been documented with a fiscal journal entry. This component is complete.</li> <li data-bbox="607 716 1463 1136">• Following the development of an interagency memorandum of agreement (IMOA) between DVRS (Division of Vocational Rehabilitation Services, DSB (Division of Services for the Blind) and DMA (Division of Medical Assistance) to allow the divisions to access comparable benefit information via NC Tracks, the divisions began piloting access to a few users to further develop user guides for the remainder of those to be granted access to the comparable benefit information within NC Tracks. The finalized guides were then sent out to the rest of the current TPQY (Third Party QuerY) system users in a statewide e-mail 5-13-16 providing further instruction in the use of NC Tracks and the process of gaining access. By early to mid-June, nearly all TPQY users were provided access to NC Tracks to verify comparable benefits. This component was completed prior to June 30, 2016 as projected.</li> <li data-bbox="607 1173 1463 1661">• The policy review, analysis and adjustment component of the corrective action remains in process and will be in process until the October 1, 2016 anticipated completion date as presented in the original corrective action plan for this component of the item. The divisions continue to review policies relevant to this finding and have already made adjustments to policy as follows: <ul style="list-style-type: none"> <li data-bbox="699 1388 1463 1507">- DVRS revised policy section 3-10-3 effective June 1, 2016 which describes when comparable benefits must be verified via NC Tracks. It was necessary to gain adequate access to NC Tracks in order for this to occur.</li> <li data-bbox="699 1545 1463 1661">- Quality Development Specialists and supervisors continue to emphasize the need to collect and maintain appropriate documentation related to the provision of services and the Individualized Employment Plan.</li> </ul> </li> <li data-bbox="607 1698 1463 1812">• Deficiencies in Participant Eligibility Determinations – Full correction action has been taken, however awaiting management decision from the U.S. Department of Education. See finding 2015-047.</li> </ul>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
		<p><u>Medical Assistance Program</u></p> <p>Deficiencies in Provider Enrollment and Termination Processes - The Department implemented monitoring activities with the fiscal agent in January 2016. Management and staff strengthened the monitoring activities throughout State Fiscal Year 2016 as deemed necessary and the monitoring plan was revised accordingly. DMA will continue to adhere to the established monitoring plan to ensure the accuracy in the eligibility determinations performed by the contractor, compliance to federal and state requirements, and that supporting documentation is maintained in provider files.</p> <p>DMA initiated actions to implement an automated process to ensure that all sanctioned providers are terminated and properly removed from the claims payment system (NC Tracks). In addition, DMA initiated the development of system enhancements to automate license, background, and penalty/sanction checks. These system features are on schedule for implementation in August 2016.</p> <p><u>Block Grants For Prevention and Treatment of Substance Abuse</u></p> <p>Monitoring Procedures Need Improvement - Partial corrective action has been taken. The Financial Audit Team received training on the Plan of Correction (POC) policy, on the compliance requirements of the Substance Abuse Prevention and Treatment Block Grant and on the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards. The POC Policy has been reviewed. The Financial Audit Team does not have any recommendations for modification of the plan.</p> <p>The settlement review process for SFY 2014 began on September 11, 2015. In November 2015, the Financial Audit Team Leader resigned and another staff person went on extended medical leave, leaving two FTE positions to complete the SFY 2014 settlement reviews, thereby delaying the projected timeframe for completion of the remaining settlement reviews. Preliminary reports for the LME-MCO settlements were reviewed and approved by the supervisor before being sent to the LME-MCO for feedback. The rules, regulations, and citations for each non-compliant issue have been researched to facilitate development of the POCs. The final report and POC are in the process of being consolidated to be sent to each LME-MCO. Financial Audit Team staff will be assigned to monitor implementation of the POCs. The anticipated date by which the final reports and POCs will be sent to the LME-MCOs is October 31, 2016.</p>
2015-047	Health and Human Services	<p><u>Deficiencies in Participant Eligibility Determinations</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Education.</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2015-048	Health and Human Services	<u>Deficiencies in Participant Plan for Employment Documentation</u> Full corrective action has been taken, however awaiting management decision from the U.S. Department of Education.
2015-049	Public Instruction	<u>Fiscal Monitoring Results Were Not Communicated Timely</u> Partial corrective action has been taken. New fiscal monitoring processes and procedures were implemented to address this finding. However, it was discovered additional internal controls are required due to an employee's intentional circumvention of existing controls. The new corrective action plan (CAP) has been submitted to the U.S. Department of Education's Post Audit Group and is currently under review.
2015-050	Durham Technical Community College	<u>College Disbursed Funds to Ineligible Students</u> Full corrective action has been taken, however awaiting management decision from the U.S. Department of Education.
2015-051	Durham Technical Community College	<u>Disbursements Not Timely Reported to Federal Government</u> Full corrective action has been taken.
2015-052	Durham Technical Community College	<u>Errors in Calculation for Return of Title IV Funds</u> Full corrective action has been taken, however awaiting management decision from the U.S. Department of Education.
2015-053	Durham Technical Community College	<u>Students Were Not Notified About Loan Information</u> Full corrective action has been taken.
2015-054	Durham Technical Community College	<u>Errors in Enrollment Status Reporting</u> Full corrective action has been taken.
2015-055	North Carolina Central University	<u>Errors in Enrollment Status Reporting</u> Full corrective action has been taken.
2015-056	North Carolina Central University	<u>Students May Not Be Notified About Loan Cancellation Rights</u> Full corrective action has been taken.
2015-057	Public Instruction	<u>Department Failed to Fully Document Subrecipient Monitoring Visits</u> Full corrective action has been taken, however awaiting management decision from the U.S. Department of Education.

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2015-058	Public Instruction	<p><u>Fiscal Monitoring Results Were Not Communicated Timely</u></p> <p>Partial corrective action has been taken. New fiscal monitoring processes and procedures were implemented to address this finding. However, it was discovered additional internal controls are required due to an employee's intentional circumvention of existing controls. The new corrective action plan (CAP) has been submitted to the U.S. Department of Education's Post Audit Group and is currently under review.</p>
2015-059	Public Instruction	<p><u>Documentation Did Not Support Salary Payments</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Education.</p>
2015-060	Public Instruction	<p><u>Fiscal Monitoring Results Were Not Communicated Timely</u></p> <p>Partial corrective action has been taken. New fiscal monitoring processes and procedures were implemented to address this finding. However, it was discovered additional internal controls are required due to an employee's intentional circumvention of existing controls. The new corrective action plan (CAP) has been submitted to the U.S. Department of Education's Post Audit Group and is currently under review.</p>
2015-061	Health and Human Services	<p><u>Management Decisions Were Not Communicated Timely</u></p> <p>Partial corrective action has been taken. The Department implemented a tracking database that will be used to produce a monthly report showing the upcoming due dates for management decision letters. The database is currently being utilized to track the receipt and status of the audit report reviews. A status report has been developed and is being utilized by management to ensure audit reviews are being completed timely. Additional reports are being designed and developed. The database was implemented in September 2016 and continues to be modified as needed.</p>
2015-062	Health and Human Services	<p><u>Management Decisions Were Not Communicated Timely</u></p> <p>Partial corrective action has been taken. The Department implemented a tracking database that will be used to produce a monthly report showing the upcoming due dates for management decision letters. The database is currently being utilized to track the receipt and status of the audit report reviews. A status report has been developed and is being utilized by management to ensure audit reviews are being completed timely. Additional reports are being designed and developed. The database was implemented in September 2016 and continues to be modified as needed.</p>
2015-063	Health and Human Services	<p><u>Management Decisions Were Not Communicated Timely</u></p> <p>Partial corrective action has been taken. The Department implemented a tracking database that will be used to produce a monthly report showing the upcoming due dates for management decision letters. The database is</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
		currently being utilized to track the receipt and status of the audit report reviews. A status report has been developed and is being utilized by management to ensure audit reviews are being completed timely. Additional reports are being designed and developed. The database was implemented in September 2016 and continues to be modified as needed.
2015-064	Health and Human Services	<p><u>Management Decisions Were Not Communicated Timely</u></p> <p>Partial corrective action has been taken. The Department implemented a tracking database that will be used to produce a monthly report showing the upcoming due dates for management decision letters. The database is currently being utilized to track the receipt and status of the audit report reviews. A status report has been developed and is being utilized by management to ensure audit reviews are being completed timely. Additional reports are being designed and developed. The database was implemented in September 2016 and continues to be modified as needed.</p>
2015-065	Health and Human Services	<p><u>Department Did Not Ensure Corrective Actions</u></p> <p>Full corrective action has been taken.</p>
2015-066	Health and Human Services	<p><u>Deficiencies in System Access Controls</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Health and Human Services.</p>
2015-067	Health and Human Services	<p><u>Deficiencies in County Eligibility Determination Processes</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Health and Human Services.</p>
2015-068	Health and Human Services	<p><u>Inaccurate Performance Reports Could Potentially Result in Penalties of Up To \$75 Million</u></p> <p>Partial corrective action has been taken. The Division of Social Services (DSS) Performance Management – Reporting and Evaluation Management and Client Services Data Warehouse (CSDW) staff have determined the correct and necessary code required to extract deemed core hours for reporting on the ACF199 Report. The code has been validated and indicated positive and successful modification.</p> <p>However, DSS Performance Management - Reporting and Evaluation Management team continues to work with the CSDW and NC FAST staff to ensure data is accurate for future ACF 199 Reports.</p>
2015-069	Health and Human Services	<p><u>Management Decisions Were Not Communicated Timely</u></p> <p>Partial corrective action has been taken. The Department implemented a tracking database that will be used to produce a monthly report showing the upcoming due dates for management decision letters. The database is currently being utilized to track the receipt and status of the audit report</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
2015-070	Health and Human Services	<p>reviews. A status report has been developed and is being utilized by management to ensure audit reviews are being completed timely. Additional reports are being designed and developed. The database was implemented in September 2016 and continues to be modified as needed.</p> <p><u>Management Decisions Were Not Communicated Timely</u></p> <p>Partial corrective action has been taken. The Department implemented a tracking database that will be used to produce a monthly report showing the upcoming due dates for management decision letters. The database is currently being utilized to track the receipt and status of the audit report reviews. A status report has been developed and is being utilized by management to ensure audit reviews are being completed timely. Additional reports are being designed and developed. The database was implemented in September 2016 and continues to be modified as needed.</p>
2015-071	Information Technology	<p><u>Vulnerability to Unauthorized Changes Detected in a System</u></p> <p>Partial corrective action has been taken.</p> <p>Recommendation 1: The Department should restrict the ability to change the billing rate algorithm to those persons charged with maintenance. Current status: Full Corrective action has been taken</p> <p>This corrective action has been addressed and resolved. A change was submitted to the RACF administrator by the Service Management Support Team on February 1, 2016 limiting read/write and update access to only the Service Management Support team, SAS Contractor, that will be deleted when his contract is up, and the automated scheduler "ZEKE". The access list has been reduced from 48 users down to 5 users.</p> <p>Recommendation 2: The Department should investigate the possibility of implementing integrated application and operational change control procedures, including a change tracking log. Current status: Corrective action taken is significantly different from corrective action previously reported.</p> <p>This corrective action has been addressed by going to a manual change control process which is completed with a peer check on the change process. Only two personnel can make the change and the peer check is completed by the other employee not making the change.</p> <p>Recommendation 3: The Department should perform regular documented reviews of standard users' rights to comply with guidance outlined in the Statewide Information Security Manual. Current status: Partial Corrective action has been taken.</p> <p>This action correction is approximately 65% complete, and we expect to wrap everything up Spring 2017. We have identified 90% of our privileged</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
		and normal accounts, created the infrastructure to manage the information and are working on populating the system.
2015-072	Health and Human Services	<p data-bbox="558 495 1235 516"><u>Deficiencies in County Eligibility Determination Processes</u></p> <p data-bbox="558 554 1468 699">Partial corrective action has been taken. The Division of Social Services (DSS) has enhanced the Title IV-E training by providing technical assistance webinars to the county department of social services (DSS) monthly to reinforce policies and procedures. The cases with payments made in error have been assessed and the overpayments have been recouped.</p> <p data-bbox="558 730 1468 785">However, the Division is currently developing program improvement plans to address the errors noted in the case files.</p>
2015-073	Health and Human Services	<p data-bbox="558 810 1227 831"><u>Management Decisions Were Not Communicated Timely</u></p> <p data-bbox="558 869 1468 1045">Partial corrective action has been taken. The Department implemented a tracking database that will be used to produce a monthly report showing the upcoming due dates for management decision letters. The database is currently being utilized to track the receipt and status of the audit report reviews. A status report has been developed and is being utilized by management to ensure audit reviews are being completed timely. Additional</p> <p data-bbox="558 1077 1468 1131">reports are being designed and developed. The database was implemented in September 2016 and continues to be modified as needed.</p>
2015-074	Health and Human Services	<p data-bbox="558 1167 1227 1188"><u>Management Decisions Were Not Communicated Timely</u></p> <p data-bbox="558 1226 1468 1402">Partial corrective action has been taken. The Department implemented a tracking database that will be used to produce a monthly report showing the upcoming due dates for management decision letters. The database is currently being utilized to track the receipt and status of the audit report reviews. A status report has been developed and is being utilized by management to ensure audit reviews are being completed timely. Additional</p> <p data-bbox="558 1434 1468 1488">reports are being designed and developed. The database was implemented in September 2016 and continues to be modified as needed.</p>
2015-075	Health and Human Services	<p data-bbox="558 1497 1446 1518"><u>Errors in Children's Health Insurance Provider Billing and Payment Process</u></p> <p data-bbox="558 1556 1468 1854">Partial corrective action has been taken. DMA investigated the claims errors and actions were taken to collect or repay claims, as applicable. Some claims were resolved by obtaining additional information from providers. The rate change errors cited were corrected and required documents were subsequently sent to the Fiscal Agent to initiate the proper reprocessing of claims. Monitoring activities were strengthened throughout the State Fiscal Year to ensure the accuracy of eligibility determinations performed by the fiscal agent. Any claims remaining unresolved will continue to be followed-up on until full resolution occurs. The anticipated completion date is December 31, 2016.</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
2015-076	Health and Human Services	<p>DMA will continue providing education, training and ongoing communications with providers as necessary.</p>
2015-076	Health and Human Services	<p><u>Deficiencies in Provider Enrollment and Termination Processes</u></p> <p>Partial corrective action has been taken. The Department implemented monitoring activities with the fiscal agent in January 2016. Management and staff strengthened the monitoring activities throughout State Fiscal Year 2016 as deemed necessary and the monitoring plan was revised accordingly. DMA will continue to adhere to the established monitoring plan to ensure the accuracy in the eligibility determinations performed by the contractor, compliance to federal and state requirements, and that supporting documentation is maintained in provider files.</p> <p>DMA initiated actions to implement an automated process to ensure that all sanctioned providers are terminated and properly removed from the claims payment system (NC Tracks). In addition, DMA initiated the development of system enhancements to automate license, background, and penalty/sanction checks. These system features are on schedule for implementation in August 2016.</p>
2015-077	Health and Human Services	<p><u>Deficiencies with the Rate Change Process</u></p> <p>Partial corrective action has been taken. The Department continues to follow the established provider reimbursement procedures to ensure that appropriate documentation is reviewed timely and maintained to support rate modifications in NC Tracks.</p> <p>The appropriate rates were entered into NC Tracks to correct the cited errors. The Provider Reimbursement Section submitted the required documents to the Fiscal Agent to ensure that the repayments will be processed properly and timely. The claims reprocessing process should be complete by December 31, 2016 as previously anticipated.</p>
2015-078	Health and Human Services	<p><u>Deficiencies in County Eligibility Determination Processes</u></p> <p>Partial corrective action has been taken. The Department continues to improve training and strengthen their monitoring efforts of county staff to ensure the adequacy of eligibility determinations and the proper maintenance of supporting documentation. The Operational Support Team (OST) began conducting supervisor cluster meetings to ensure that county staff know how to access training materials available through the on-line learning management system. OST will continue to update webinar trainings, conduct onsite visits, and provide technical support as necessary to address identified deficiencies and ensure compliance with eligibility requirements. Medicaid Eligibility staff will continue to monitor the counties application process to ensure adherence to federal guidelines. A sample tool is generated through the eligibility system to identify Medicaid applications by county to test for compliance. In addition, counties are required to perform second party reviews of their eligibility determinations. The counties will send</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
		<p>their results, including deficiencies and recommended improvements, to OST on a quarterly basis to evaluate and assess the need for focused training.</p> <p>The Department will continue to follow-up with counties to ensure that corrective action plans have been implemented and question costs issues have been resolved.</p>
2015-079	Health and Human Services	<p><u>Deficiencies in System Access Controls</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Health and Human Services.</p>
2015-080	Health and Human Services	<p><u>Management Decisions Were Not Communicated Timely</u></p> <p>Partial corrective action has been taken. The Department implemented a tracking database that will be used to produce a monthly report showing the upcoming due dates for management decision letters. The database is currently being utilized to track the receipt and status of the audit report reviews. A status report has been developed and is being utilized by management to ensure audit reviews are being completed timely. Additional reports are being designed and developed. The database was implemented in September 2016 and continues to be modified as needed.</p>
2015-081	Health and Human Services	<p><u>Errors in Medicaid Provider Billing and Payment Process</u></p> <p>Partial corrective action has been taken. DMA investigated the claims errors and actions were taken to collect or repay claims, as applicable. Some claims were resolved by obtaining additional information from providers. The rate change errors cited were corrected and required documents were subsequently sent to the Fiscal Agent to initiate the proper reprocessing of claims. Monitoring activities were strengthened throughout the State Fiscal Year to ensure the accuracy of eligibility determinations performed by the fiscal agent. Any claims remaining unresolved will continue to be followed-up on until full resolution occurs. The anticipated completion date is December 31, 2016.</p> <p>DMA will continue providing education, training and ongoing communications with providers as necessary.</p>
2015-082	Health and Human Services	<p><u>Deficiencies with the Rate Change Process</u></p> <p>Partial corrective action has been taken. The Department continues to follow the established provider reimbursement procedures to ensure that appropriate documentation is reviewed timely and maintained to support rate modifications in NC Tracks.</p> <p>The appropriate rates were entered into NC Tracks to correct the cited errors. The Provider Reimbursement Section submitted the required documents to the Fiscal Agent to ensure that the repayments will be processed properly and timely. The claims reprocessing process should be complete by December 31, 2016 as previously anticipated.</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2015-083	Health and Human Services	<p><u>Deficiencies in County Eligibility Determination Processes</u></p> <p>Partial corrective action has been taken. The Department continues to improve training and strengthen their monitoring efforts of county staff to ensure the adequacy of eligibility determinations and the proper maintenance of supporting documentation. The Operational Support Team (OST) began conducting supervisor cluster meetings to ensure that county staff know how to access training materials available through the on-line learning management system. OST will continue to update webinar trainings, conduct onsite visits, and provide technical support as necessary to address identified deficiencies and ensure compliance with eligibility requirements. Medicaid Eligibility staff will continue to monitor the counties application process to ensure adherence to federal guidelines. A sample tool is generated through the eligibility system to identify Medicaid applications by county to test for compliance. In addition, counties are required to perform second party reviews of their eligibility determinations. The counties will send their results, including deficiencies and recommended improvements, to OST on a quarterly basis to evaluate and assess the need for focused training.</p> <p>The Department will continue to follow-up with counties to ensure that corrective action plans have been implemented and question costs issues have been resolved.</p>
2015-084	Health and Human Services	<p><u>Deficiencies in System Access Controls</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Health and Human Services.</p>
2015-085	Health and Human Services	<p><u>Management Decisions Were Not Communicated Timely</u></p> <p>Partial corrective action has been taken. The Department implemented a tracking database that will be used to produce a monthly report showing the upcoming due dates for management decision letters. The database is currently being utilized to track the receipt and status of the audit report reviews. A status report has been developed and is being utilized by management to ensure audit reviews are being completed timely. Additional reports are being designed and developed. The database was implemented in September 2016 and continues to be modified as needed.</p>
2015-086	Health and Human Services	<p><u>Deficiencies in Provider Enrollment and Termination Processes</u></p> <p>Partial corrective action has been taken. The Department implemented monitoring activities with the fiscal agent in January 2016. Management and staff strengthened the monitoring activities throughout State Fiscal Year 2016 as deemed necessary and the monitoring plan was revised accordingly. DMA will continue to adhere to the established monitoring plan to ensure the accuracy in the eligibility determinations performed by the contractor, compliance to federal and state requirements, and that supporting documentation is maintained in provider files.</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
2015-087	Health and Human Services	<p>DMA initiated actions to implement an automated process to ensure that all sanctioned providers are terminated and properly removed from the claims payment system (NC Tracks). In addition, DMA initiated the development of system enhancements to automate license, background, and penalty/sanction checks. These system features are on schedule for implementation in August 2016.</p> <p><u>Management Did Not Take Full Corrective Action on Prior Recommendations</u></p> <p>Partial corrective action has been taken. The Department implemented monitoring activities with the fiscal agent in January 2016. Management and staff strengthened the monitoring activities throughout State Fiscal Year 2016 as deemed necessary and the monitoring plan was revised accordingly. DMA will continue to adhere to the established monitoring plan to ensure the accuracy in the eligibility determinations performed by the contractor, compliance to federal and state requirements, and that supporting documentation is maintained in provider files.</p> <p>DMA initiated actions to implement an automated process to ensure that all sanctioned providers are terminated and properly removed from the claims payment system (NC Tracks). In addition, DMA initiated the development of system enhancements to automate license, background, and penalty/sanction checks. These system features are on schedule for implementation in August 2016.</p>
2015-088	Health and Human Services	<p><u>Benefits Paid to Ineligible Participants</u></p> <p>Partial corrective action has been taken.</p> <p>The Office of the State Auditor recommended the following:</p> <ul style="list-style-type: none"> <li>• The Department should clearly document policies and procedures to ensure verification of information is performed.</li> <li>• The Department should provide Online Verification access to staff making program eligibility determinations.</li> </ul> <p>For recommendation 1, the Program Manual has been updated to include policies, procedures, and instructions for staff that clearly explain eligibility requirements.</p> <p>For recommendation 2, the Division of Public Health (DPH) has made extensive efforts to gain access to the Online Verification System (OLV) to determine if OLV does function in a fashion to meet the needs of determining client eligibility for the program. DPH has been unsuccessful in gaining said access. At this time, for DPH to gain access to the OLV system access agreements from ESC, DOT, SSA, CMS, and USDA would be required. It is not clear at this time if these federal and state entities will allow such access per existing polices. At this time, DHHS and DPH will explore utilization of the DHHS NC FAST ESB (Enterprise Service Bus) capabilities and explore</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
		<p>other technical solutions. All of these accesses will be contingent on receiving approval for access to the external systems through appropriate approval processes. This will include, but not be limited to, federal approvals, policy reviews, and state MOA changes required to gain access to utilize the existing DHHS NC FAST ESB web services and or other technical solutions explored. Specifically, the following issues exist:</p> <ul style="list-style-type: none"> <li>The DHHS Privacy and Security Office reviewed the Information Exchange Agreement (IEA), the governing document for how the North Carolina Department of Health and Human Services (NC DHHS) may use the SSA-provided data/information. The IEA indicates "The State Agency will use each identified data exchange system only for the purpose of administering the specific program for which access to the data exchange system is provided. SSA data exchange systems are protected by the Privacy Act and Federal law prohibits the use of SSA's data for any purpose other than the purpose of administering the specific program for which such data is disclosed". The ADAP program administered by DPH is not listed among the programs for which the SSA-provided data exchange system may be used.</li> </ul> <p>Given the above information, it is the belief of DHHS, Information Technology (IT) experts and DPH that OLV is not the tool best suited to resolve this issue. Therefore, DHHS management, IT experts in DHHS and DPH will continue to look at other alternatives to include the use of the DHHS NC FAST ESB and to seek any required Federal and State system access approvals to resolve this issue.</p>
2015-089	Health and Human Services	<p><u>Deficiencies in Rate Change Process</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Health and Human Services.</p>
2015-090	Health and Human Services	<p><u>Deficiencies in File Maintenance Request Change Controls</u></p> <p>Full corrective action has been taken, however awaiting management decision from the U.S. Department of Health and Human Services.</p>
2015-091	Health and Human Services	<p><u>Deficiencies and Errors in Provider Billing and Payment Process</u></p> <p>Partial corrective action has been taken.</p> <p><u>Refund</u></p> <p>Corrective action completed. DMH/DD/SAS Budget and Finance staff entered a journal voucher into the NC Accounting System (NCAS) so that a \$271 credit could be created and refunded back to SAMHSA. The FRCs for the claims that constituted the overpayment were researched to ensure the credit was applied to the correct grant year. The Federal Funds Section in the DHHS Office of the Controller paid this credit back to SAMSHA by doing a negative draw against the applicable grant award. The Financial Reporting</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
		Section of the DHHS Office of the Controller confirmed that this reclass was processed on 9/21/16.
		<u>Procedure for Reviewing Claims to Ensure Correct Payment</u>
		<ul style="list-style-type: none"> <li>• Corrective action completed. Three system defects were written to correct and prevent the six claim error types identified from occurring again in the NCTracks system. The defect corrections were implemented by the Fiscal Agent/Vendor on October 23, 2015 and March 31, 2016. DMH/DD/SAS NCTracks staff monitors claims after each check-write and have not found a reoccurrence of these errors.</li> <li>• Corrective action completed. The Division created a system defect for the NCTracks DMH Rate Report, RS04032-R0890, in order for the LME-MCOs to review their active rates for each provider location in NCTracks. The Division works with the LME-MCOs on an ongoing basis to review provider rates and end date any rates which are no longer needed. The corrected Rate Report assists this process.</li> <li>• Corrective action completed. NC DMH/DD/SAS has local procedure codes that are unique and specific to our service system. These procedure codes are not National Standard codes (CPT and HCPCS).</li> </ul>
		<p>The claims for state-specific local procedure codes (i.e., Y codes) that were not sent to private third party insurance carriers (TPL) were reviewed by DMH/DD/SAS clinical staff. The staff also reviewed "Medicare and Your Mental Health Benefits" and the "Mental Health Services" publications on the Medicare website. These documents state the types of services Medicare pays for. After reviewing the Medicare documents, the clinical staff determined that our state-specific procedure codes would not be reimbursed by Medicare. In addition, after DMH/DD/SAS reviewed the list of HCPCS procedure codes, which the Division of Medical Assistance (DMA) allows the LME-MCO to bypass sending to Medicare and TPL, we agreed that on the basis of our research, neither the HCPCS codes nor our state-specific local codes would be reimbursed by Medicare.</p>
		<ul style="list-style-type: none"> <li>• Partial correction. The Division's NCTracks Team created a customer service request (CSR) 1874 to check for retroactive eligibility for third party insurances similar to our check for retroactive Medicaid eligibility. According to DHHS priorities, this CSR is scheduled to be implemented in the Fiscal Agent's September 25, 2016 special production release.</li> </ul>

After CSR 1874 is implemented, CSR 1874.1 will take the logic from CSR 1874 and reprocess paid claims from 7-1-2013 to 9-25-2016 to check for retroactive TPL eligibility. The recouped funds will be put into the General Fund account 1993. We have asked for CSR 1874.1 to be completed by July 2017.

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

<b>Original Finding Number **</b>	<b>State Department</b>	<b>Current Status of Prior Audit Finding</b>
2015-092	Health and Human Services	<p><u>Maintenance of Effort Spending Not Supported</u></p> <p>Partial corrective action has been taken. Several components specific to this prior audit finding have been completed, including the following:</p> <ul style="list-style-type: none"> <li>• The Division obtained the actual expenditure data from the two managed care organizations for state fiscal year (SFY) 2014. The Division contacted SAMHSA-CSAT via email on May 3, 2016, regarding the need to revise its previously reported MOE amount for 2014. SAMHSA-CSAT requested a letter of explanation prior to granting access to the web system to change the estimated amount to the actual amount. Such letter has been drafted and will be submitted by the SSA July 2016.</li> <li>• All LME-MCOs have submitted data for SFY 2015 and are now submitting data on a monthly basis.</li> <li>• For the current state fiscal year (2017), the Division has assigned each LME-MCO with a required maintenance of effort (MOE) expenditure amount. A report from each of the LME-MCOs will be collected and monitored monthly.</li> <li>• The Division's effort to strengthen and improve its guidance to LME-MCOs on the required reporting of MOE expenditures continues as a work in progress.</li> </ul>
2015-093	Health and Human Services	<p><u>Management Did Not Take Full Corrective Action on Prior Recommendations</u></p> <p>Full corrective action has not been taken, however the U.S. Department of Health and Human Services has issued a final management decision and action taken was consistent with the final management decision.</p>
2015-094	Health and Human Services	<p><u>Monitoring Procedures Need Improvement</u></p> <p>Partial corrective action has been taken. The Financial Audit Team received training on the Plan of Correction (POC) policy, on the compliance requirements of the Substance Abuse Prevention and Treatment Block Grant and on the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards. The POC Policy has been reviewed. The Financial Audit Team does not have any recommendations for modification of the plan.</p> <p>The settlement review process for SFY 2014 began on September 11, 2015. In November 2015, the Financial Audit Team Leader resigned and another staff person went on extended medical leave, leaving two FTE positions to complete the SFY 2014 settlement reviews, thereby delaying the projected timeframe for completion of the remaining settlement reviews. Preliminary reports for the LME-MCO settlements were reviewed and approved by the supervisor before being sent to the LME-MCO for feedback. The rules, regulations, and citations for each non-compliant issue have been</p>

**SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS**

For the Fiscal Year Ended June 30, 2016

Original Finding Number **	State Department	Current Status of Prior Audit Finding
		researched to facilitate development of the POCs. The final report and POC are in the process of being consolidated to be sent to each LME-MCO. Financial Audit Team staff will be assigned to monitor implementation of the POCs. The anticipated date by which the final reports and POCs will be sent to the LME-MCOs is October 31, 2016.
2015-095	Health and Human Services	<u>Management Decisions Were Not Communicated Timely</u>  Partial corrective action has been taken. The Department implemented a tracking database that will be used to produce a monthly report showing the upcoming due dates for management decision letters. The database is currently being utilized to track the receipt and status of the audit report reviews. A status report has been developed and is being utilized by management to ensure audit reviews are being completed timely. Additional reports are being designed and developed. The database was implemented in September 2016 and continues to be modified as needed.
2015-096	Public Safety	<u>Review of Subrecipient Audit Reports Needs Improvement</u>  Full corrective action has been taken.
2015-097	University of North Carolina at Chapel Hill	<u>Lack of Salary and Wage Certifications Increase Risk of Inappropriate Charges to Federal Grants</u>  Full corrective action has been taken.

\*\* The first four digits denote the June 30 fiscal year-end in which the finding initially occurred.

**Corrective Action Plan  
For the Year Ended June 30, 2016**

**CORRECTIVE ACTION PLAN**

For the Fiscal Year Ended June 30, 2016

<b>Finding Number</b>	<b>Department/ Contact Person/ Phone Number</b>	<b>Corrective Action Planned</b>
2016-001	Health and Human Services Wayne Black (919) 527-6336  Angela Taylor (919) 813-5001	<p><u>Errors in SNAP Notifications, Benefit Calculations, and Eligibility Determinations</u></p> <p>The Department created five defects to investigate the root cause of the notification errors on March 2, 2017.</p> <p>The Department created one defect to investigate the potential system issue that resulted in a benefit calculation error on March 3, 2017.</p> <p>The Department will ensure that over and underpayments are processed according to policy.</p> <p>The Department created the FNS COLA reports located in NC FAST Help to facilitate the review of cases on hold. The Department will draft a letter to the counties notifying them to review all current cases on hold prior to the annual COLA update.</p> <p>Additional training will be provided to the departments of social services if necessary.</p> <p><i>Anticipated Completion Date: June 30, 2017</i></p>
2016-002	Health and Human Services Chet Spruill (919) 855-3690	<p><u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u></p> <p>The Department will complete the implementation of monthly management reports which provide status information on outstanding audit reports to be reviewed. The management reports will be reviewed by management to ensure the monitoring reviews are completed timely. Additionally, the Department will reallocate resources to conduct the reviews until the sub-recipient monitoring function is sufficiently staffed.</p> <p><i>Anticipated Completion Date: June 30, 2017</i></p>
2016-003	Health and Human Services Betsy Moore (919) 527-6316	<p><u>Counties Were Not Adequately Monitored</u></p> <p>The Department coordinated to ensure that the system generated the necessary report to review the timeliness of recertifications. NC FAST delivered the timeliness of recertification report on February 8, 2017.</p> <p>The Department reviewed all the State monitoring findings at the August and September 2016 staff meetings and reemphasized to the staff how to execute the established monitoring procedures. As a result:</p> <ul style="list-style-type: none"> <li>• The monitors signed the NC Management Evaluation Plan, indicating they read and understood the requirements in the Plan, and returned to a Supervisor by December 15, 2016.</li> <li>• The Monitoring Worksheet, which is used during the monitoring visit to identify errors that are sited, was revised on December 2016.</li> </ul>

**CORRECTIVE ACTION PLAN**

For the Fiscal Year Ended June 30, 2016

Finding Number	Department/ Contact Person/ Phone Number	Corrective Action Planned
2016-004	Transportation Technical Services Director Rodger Rochelle (919) 707-2900	<p>The Worksheet was revised to better identify the errors, which are carried forward to the Summary Letter and the Performance Improvement Plan.</p> <ul style="list-style-type: none"> <li>The monitors will continue to send the Summary Letter and Performance Improvement Plan to a Supervisor for review and approval. In addition, the Acceptance Letter and Release Letter will be submitted to a Supervisor for review and approval.</li> </ul> <p>The Department is reorganizing the Operational Support Team (OST) to create an Economic and Family Services group to work closer with the DSS management. This group will assist as needed in assuring that required county monitoring is completed.</p> <p><i>Anticipated Completion Date:</i> April 1, 2017</p> <p><u>No Documentation to Support Selecting Lower Ranked Highway Consultant Firms</u></p> <p>All engineering firms considered for selection first must be pre-qualified by the Department to ensure they have the qualification to perform the advertised scope of work. The selection process ensures the most highly qualified firm is selected for each scope of work.</p> <p>Professional Services Firms are selected by committee. Each committee member scores each proposing firm's Letter of Interest based on several evaluation criteria. These scores are transmitted to the ex-officio selection facilitator who then compiles the scores and calculates the average scores of the committee members, which provides a draft of the collective scores from the committee. The selection facilitator then calls a meeting of the selection committee to discuss the evaluation criteria and the draft collective scoring. This meeting affords a critical opportunity for committee members to exchange information related to each firm's qualifications. The final selection of a firm or firms is determined by the draft average scores in conjunction with information gathered from the committee discussion. Based on that information, it is possible that a firm or firms with lower draft scores are ultimately determined to be more highly qualified for that particular advertised scope of work.</p> <p>The department has implemented a new process for all future selections that requires the selection facilitator to prepare a summary of the selection results and factors determining the decision in the event that the highest scored firm or firms are not selected. This summary also will be signed by the selection facilitator, the Director of Technical Services and Chief Engineer, and maintained on file along with all other procurement documentation maintained by the department. This process has been communicated to all appropriate department personnel.</p> <p><i>Corrective action was completed on:</i> February 9, 2017</p>

**CORRECTIVE ACTION PLAN**

For the Fiscal Year Ended June 30, 2016

Finding Number	Department/ Contact Person/ Phone Number	Corrective Action Planned
2016-005	Transportation  State Materials Engineer  Christopher A. Peoples, PE  (919) 329-4000	<p data-bbox="573 422 1300 443"><u>Highway Quality Potentially At Risk Due to Insufficient Testing</u></p> <p data-bbox="573 485 1438 506">For aggregate materials compliance, the corrective actions are as follows:</p> <ul data-bbox="621 548 1464 1776" style="list-style-type: none"> <li data-bbox="621 548 1464 968">• Materials and Tests staff have created a Technical Bulletin detailing proper sampling methods, the appropriate sample frequencies for roadway assurance and density, and an example of how to determine the size of the density test section. This technical bulletin will be distributed to appropriate staff in all 14 divisions including the Division Engineer, Division Construction Engineer and all contract administration engineers for each division. In addition, it will be posted on the Materials and Tests Unit web site along with the presentation on this topic that will be presented at the upcoming Contract Administration Workshops. There are four workshops across the state occurring over the next month in which the contract administration engineers from each division will be attending. Distribution of the bulletin will occur immediately and the presentations will be made over the course of the next month.</li> <li data-bbox="621 1010 1464 1125">• Materials and Tests Technical Trainers are emphasizing the importance of program compliance with students attending certification classes for aggregate materials. This will be an ongoing effort.</li> <li data-bbox="621 1167 1464 1314">• Technical Trainers will address the findings with technicians during the field certification/assessment process and emphasize the importance of compliance. This is a one-on-one discussion with technicians who have recently attended certification classes. The emphasis will continue throughout 2017 and beyond as needed.</li> <li data-bbox="621 1356 1464 1619">• Materials and Tests representatives will develop a program that analyzes the sampling and testing data from the contract administration database on a monthly basis. The program will automatically notify appropriate Materials and Tests staff if there are deficiencies. Staff will then contact the appropriate Resident Engineer's Office to explain the deficiency and work to correct the issue. A similar process has been developed for Asphalt Densities and has been effective. The process will be developed and implemented by April 1, 2017.</li> <li data-bbox="621 1661 1464 1776">• Materials and Tests staff is in the process of further investigating each occurrence noted in the report and visually inspecting the actual locations where the material was placed to determine if further evaluations or corrective actions are necessary.</li> </ul>

For asphalt mix formulas compliance, the corrective actions are as follows:

- Materials and Tests Management reviewed sampling and testing procedures with all QA Supervisors (responsible for the

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		<p>Department's sampling and testing). This was completed on January 31, 2017.</p> <ul style="list-style-type: none"> <li>• For the cases where staff failed to take action, a technician training issue was identified. The QA Supervisor responsible for sampling and testing these particular Job Mix Formulas was relatively new to the role. The technician was visiting the plant at an appropriate frequency, however, the technician failed to sample appropriately while on those visits. Due to miscommunication, he did not understand that both QA samples and V samples can be taken on the same visit. A meeting between this QA Supervisor and his direct supervisor occurred on November 22, 2016 to correct the miscommunication and discuss all aspects of appropriately meeting the requirements associated with this process.</li> <li>• A similar process to analyze data as noted in the aggregate corrective actions is being developed to notify QA Supervisors and Asphalt Specialists on a monthly basis when deficiencies in asphalt mix samples occur. Management responsible for these functions will also be notified and will ensure corrective actions will be taken immediately. This process will be implemented on March 1, 2017.</li> <li>• A draft of a "Small Quantities" policy exemption has been developed and is being shared with industry partners and the Federal Highway Administration for feedback on the potential impacts and risks. Small Quantities exceptions will allow all available test data (QC, QA or Verification) to be used in the acceptance decision when samples are not taken due to limited production of a particular Job Mix Formula. The final policy will be in place by May 1, 2017.</li> <li>• Materials and Tests staff is in the process of further investigating each occurrence noted in the report and visually inspecting the actual locations where the material was placed and determine if further evaluations or corrective actions are necessary.</li> </ul> <p><i>Anticipated Completion Date:</i> May 1, 2017</p>
2016-006	Elizabeth City State University Jill E. Gable (252) 335-4850	<p><u>University Disbursed Funds to Ineligible Students</u></p> <p>The University has implemented AdmissionPros, a web based tool designed to manage the overall recruitment and admissions process for applicants and admitted students. This tool has an audit feature that will alert both the student and the University when a final high school transcript has not been received. This alert prompts the prospective student admit to submit the appropriate documents. In addition, the admissions team has access to run reports to track missing final high school transcripts. During June/July of each recruitment cycle, the Office of Financial Aid &amp; Scholarships will work with the Office of Admissions &amp; Recruitment to</p>

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Finding Number	Department/ Contact Person/ Phone Number	Corrective Action Planned
		<p>identify those prospective students who have failed to submit the final high school transcript. A document tracking requirement will be added to the student's Banner Financial Aid record for missing high school transcripts. This tracking requirement will prevent any Title IV aid from disbursing as long as the final high school requirement is outstanding. Students will receive notifications from the Office of Financial Aid &amp; Scholarships regarding the need for the transcript and to submit the updated transcript to the Office of Admissions. Once the student has submitted the necessary final official high school transcript, the Office of Admissions will notify Financial Aid so that the student's Financial Aid tracking requirement can be updated to "satisfied status". Once the Fall enrollment census has passed, the Office of Admissions &amp; Recruitment will transfer all enrollment files including final high school transcripts to the Office of the Registrar for retention purposes.</p> <p>The University has updated the Financial Aid SAP appeal review process effective for Spring 2017 to ensure the review process adheres to the University policy. Each student appeal that is submitted is reviewed in detail by Financial Aid staff prior to being reviewed by the Financial Aid SAP Appeals committee. Appeals lacking any of the requirements outlined in the policy will be returned to the student to provide updated information. If a student chooses not to submit any additional information, the appeal will be denied by the Financial Aid SAP Appeal Committee based on insufficient documentation. Each completed appeal will be accompanied by a "SAP Appeal Review Results" Checklist. This checklist will outline the reason code for financial aid suspension, whether the student has submitted all appropriate information, places for the judges to indicate their decisions, standard denial reason codes, and a final approved/denied reason code. Additional guidelines have been provided to the SAP Appeal Committee members as well as the Financial Aid Staff to ensure appeals are reviewed in line with the policy. Effective with Spring 2017, the University saw a 12 percent increase in denied appeals due to insufficient documentation, lack of satisfactory progress, and other reasons.</p> <p><i>Corrective action was completed on: January 2017</i></p>
2016-007	Elizabeth City State University  Jill E. Gable (252) 335-4850	<p><u>Errors in Calculation for Return of Title IV Funds</u></p> <p>All students officially withdrawing must complete the Official Withdrawal Process with the Registrar's Office. The Registrar's Office will contact the appropriate faculty and verify academic engagement for the student. Once this process has been completed, the Registrar's Office will send the completed withdrawal form to the Office of Financial Aid &amp; Scholarship. The Financial Aid Office will complete the necessary Return of Title IV Funds calculation within the required 30-day timeframe. A monthly report will also be forwarded to the Office of Financial Aid &amp; Scholarships to verify that all the withdrawals have been tracked.</p> <p>Any student who unofficially withdraws from the University by ceasing academic engagement will be tracked at the end of each semester once</p>

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Finding Number	Department/ Contact Person/ Phone Number	Corrective Action Planned
		<p>grades are posted. Any student who has earned all "F"s will be reviewed for Return of Title IV Calculation purposes. For students who are earning an "F" grade, faculty will be required to report last academic engagement at the time of grade submission. The Financial Aid Office will request Institutional Research Office to the report of all "F"s as well as the last date of academic engagement.</p> <p>At the end of each semester, a comprehensive listing of Official and Unofficial withdrawals will be requested from Institutional Research to audit the Return of Title IV Calculation process and ensure that funds are returned timely and accurately.</p> <p>Each Return of Title IV Calculation will have a checklist that outlines what information to review and where to pull data from to ensure all components are included in the calculation. Each Return of Title IV Calculation will be completed by the appropriately assigned financial aid staff member and signed off by the Director of Financial Aid prior to completion. Staff member(s) assigned to the completion of Return of Title IV Calculations will be required to complete trainings to ensure they fully understand the scope of the process and be able to complete the calculations correctly.</p> <p><i>Corrective action was completed on: June 2016</i></p>
2016-008	Mitchell Community College Candace Cooper (704) 878-3256	<p><u>Untimely Return of Title IV Funds</u></p> <p>To modify current Return of Title IV Funds procedures to streamline the turnaround time from the point the Financial Aid Office provides the Accounts Receivable Office with the ROFD (Return of funds Detail Report) and copy of the withdrawal paperwork for review, to the time the FATR (Batch FA Transmittal Register) and FATP (Batch FA Transmittal Update) processes are run to ensure the timely return of unearned funds no later than 45 days from the determination of a student's withdrawal.</p> <p>To establish better tracking in our current Return of Title IV Funds procedures by modifying an existing report to include each student's withdrawal determination date and the date the FATR was run.</p> <p>To closely monitor the timing of the FATR and FATP being run in conjunction with the Accounts Receivable month end process.</p> <p><i>Anticipated Completion Date: March 31, 2017</i></p>
2016-009	Public Instruction Leigh Ann Kerr (919) 807-3553	<p><u>Fiscal Monitoring Results Were Delivered Late</u></p> <p>Division Management conducted an internal investigation which resulted in the referenced employee's separation from the Department in June 2016. A new Monitoring and Compliance Section Chief was hired who implemented revised internal procedures with emphasis on fiscal monitoring staff responsibilities as well as oversight expectations for the Section Chief and</p>

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Finding Number	Department/ Contact Person/ Phone Number	Corrective Action Planned
2016-010	Public Instruction Leigh Ann Kerr (919) 807-3553	<p>Assistant Director in an effort to ensure adherence to existing internal controls. The Assistant Director will continue to assess the fiscal monitoring process to improve the efficiency and effectiveness of existing internal controls.</p> <p><i>Corrective action was completed on: September 30, 2016</i></p> <p><u>Fiscal Monitoring Results Were Delivered Late</u></p> <p>See 2016-009 for Corrective Action Plan.</p>
2016-011	Central Carolina Community College Zilma Lopes (919) 718-7542	<p><u>Errors in Calculation for Return of Title IV Funds</u></p> <p>Central Carolina Community College agrees with the audit finding that Return to Title IV funds were incorrectly calculated and untimely. As stated on the audit report, the former Assistant Financial Aid Director held the primary responsibility for completing the Return to Title IV funds process and failed to complete the calculations in a timely manner. After the Director of Financial left the College, upper management began inquiring on the completeness of these return calculations and was told that return calculations were being processed. Once a new Director of Financial Aid was hired, the College became aware that Return of Title IV calculations were not being completed in a timely manner, and immediate action was taken to process any outstanding return calculations for the 2015-2016 year. Unearned funds were returned to the Department of Education, and the following procedures were put in place:</p> <ol style="list-style-type: none"> <li>1. To ensure that return calculations are performed timely and are properly monitored, the Return to Title IV funds process was reassigned as the primary responsibility of the Director of Financial Aid. In addition, the new Assistant Director of Financial Aid was cross-trained in performing R2T4s to serve as the back-up, in the absence of the Director.</li> <li>2. An internal calendar for each term was created to track the processing dates of Return to Title IV funds calculations and the corresponding regulatory deadlines.</li> <li>3. The report that is used to identify financial aid recipients with registration statuses of drops, withdrawals, and unearned Fs is now generated using the College's Informer system by the Director of Financial Aid on a bi-weekly basis. This information is then used to perform Return to Title IV funds calculations using the Colleague system.</li> <li>4. The College's attendance policy and procedures will be updated to better align with federal regulations for Return to Title IV funds.</li> </ol>

*Anticipated Completion Date: May 1, 2017*

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<b>Finding Number</b>	<b>Department/ Contact Person/ Phone Number</b>	<b>Corrective Action Planned</b>
2016-012	Elizabeth City State University Jill E. Gable (252) 335-4850	<u>University Disbursed Funds to Ineligible Students</u> See 2016-006 for Corrective Action Plan.
2016-013	Public Instruction Leigh Ann Kerr (919) 807-3553	<u>Fiscal Monitoring Results Were Delivered Late</u> See 2016-009 for Corrective Action Plan.
2016-014	Asheville-Buncombe Technical Community College Cynthia Anderson (828) 398-7161 Jon Grunder (828) 398-7533	<u>Student Financial Aid Over-Awards</u> Corrective action will be taken by A-B Tech to ensure Student Financial Aid Over-Awards are addressed. A-B Tech has identified solutions to the underlying factors that contributed to the Over-Awards. Manual awards will now be tracked throughout the term at each transmission point to ensure they have been done correctly. A report has been built to identify students who have been manually awarded. This report is run and checked prior to each major transmittal of federal funds. The Associate Director of Financial Aid will check manual awards for accuracy prior to each transmittal. Pell Grant Recalculations are now ensured to be covered by adding a recalculation date at the end of the semester after all courses have begun and passed their census dates.  The Director and Associate Director of Financial Aid are responsible for ensuring these actions are accurately and properly executed and tested on a monthly basis.  Corrective action was implemented as of February 9, 2017
2016-015	Asheville-Buncombe Technical Community College Aaron Richman (828) 398-7290 Tom Anspach (828) 398-7494	<u>Enrollment Status Reporting Errors</u> The following three corrective actions have been taken by A-B Tech to ensure that student enrollment data reported to NSLDS agrees with College records:  1. A locally produced report identifies students whose enrollment status changes to less than half time. The report is processed on a monthly basis as part of the National Student Clearinghouse (NSC) upload of enrollment statuses. The report verifies that enrollment status changes are transmitted from the College to the NSC and then, in turn, to the NSLDS.  2. The NSC's Monthly Reject Report is being processed within NSC-specified time periods.  3. The NSLDS, effective January 2017, is producing a new SSCR reject report which will also be processed within NSLDS specified time periods.

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Finding Number	Department/ Contact Person/ Phone Number	Corrective Action Planned
2016-016	Central Carolina Community College  Haley Thomas  (919) 718-7237	<p>These three processes will be performed on a monthly basis going forward. The Registrar and the Records Compliance Specialist are responsible for implementing the corrective action and processing monthly verifications.</p> <p>Corrective action has been fully implemented as of January 9, 2017.</p> <p><u>Enrollment Status Reporting Errors</u></p> <p>The following corrective actions have been taken or will be taken by the College to ensure that student enrollment data reported to NSLDS agrees with College records:</p> <ol style="list-style-type: none"> <li>1. The College has worked to convert the flat file generated by the graduate report into a readable file for line item comparison with currently used local Informer report previously only checking counts. Completed February 17, 2017.</li> <li>2. The College is working with the NSC to learn how to use both the Reject Detail information provided by the NSC's Enrollment Status reporting and to determine why reported statuses to NSC are not being reported to NSLDS when no error is identified. Anticipated Completion Date of March 1, 2017.</li> <li>3. The College is working with the NC Community College System Office to determine why some students are not reported when the College is following the NSC and NCCCS recommended best practices for submission. Anticipated Completion Date of April 1, 2017.</li> <li>4. The NSLDS, effective January 2017, is producing a new SSCR reject report which will also be processed for NSLDS. For reported students with SSN error warnings, the college will send email and hard copy letters asking for SSN verification and will place registration holds on their accounts until verification is received as their enrollment is not being reported to lenders, servicers, or NSLDS. Anticipated Completion Date of February 28, 2017.</li> <li>5. College personnel are attending an NSC Workshop on March 15, 2017 for NSC training.</li> </ol>

*Anticipated Completion Date: April 1, 2017*

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<b>Finding Number</b>	<b>Department/ Contact Person/ Phone Number</b>	<b>Corrective Action Planned</b>
2016-017	Central Carolina Community College  Zilma Lopes (919) 718-7542	<u>Errors in Calculation for Return of Title IV Funds</u>  See 2016-011 for Corrective Action Plan.
2016-018	Elizabeth City State University  Jill E. Gable (252) 335-4850	<u>University Disbursed Funds to Ineligible Students</u>  See 2016-006 for Corrective Action Plan.
2016-019	Elizabeth City State University  Jill E. Gable (252) 335-4850	<u>Errors in Calculation for Return of Title IV Funds</u>  See 2016-007 for Corrective Action Plan.
2016-020	Forsyth Technical Community College  Vice President, Business Services (336) 734-7540	<u>Enrollment Status Reporting Errors</u>  When running the monthly enrollment report, corrections have been made by the Records Department to ensure the correct dates are now used. As an additional verifying check, the Financial Aid Department has started comparing this information provided by the Records Department, to a report indicating withdrawals for students, to confirm the information sent to the Clearinghouse contains the changed enrollments. The Director of Financial Aid oversees periodic checks in NSLDS to verify that students are reported correctly.  <i>Anticipated Completion Date: January 1, 2017</i>
2016-021	Mitchell Community College  Betsy Patterson (704) 878-3244	<u>Enrollment Status Reporting Errors</u>  The College will convert the flat file generated by the College's database system and compare it with a local Informer query to check counts. This report will be done on a monthly basis.  The College is working with other Colleges and the NSC to learn how to use both the Reject Detail information provided by the NSC's Enrollment Status reporting and to determine why reported statuses to NSC are not being reported to NSLDS when no error is identified. The Reject Detail information will be reviewed on a monthly basis.  The College is working with other Colleges and the NC Community College System Office (NCCCS) to determine why some students are not reported when the College is following the NSC and NCCCS recommended best practices for submission.  NSLDS, effective January 2017, produced a new SSCR reject report for schools to review and process. For reported students with SSN error warning, the College has begun placing registration holds on student accounts until verification is received, as their enrollment is not being

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<b>Finding Number</b>	<b>Department/ Contact Person/ Phone Number</b>	<b>Corrective Action Planned</b>
		reported to lenders, servicers, or NSLDS. The SSCR reject report will be reviewed on a monthly basis.
		The Director of Admissions/Registrar will be attending a NSC workshop on March 15, 2017 for NSC training.
		<i>Anticipated Completion Date:</i> March 15, 2017
2016-022	Mitchell Community College Candace Cooper (704) 878-3256	<u>Untimely Return of Title IV Funds</u> See 2016-008 for Corrective Action Plan.
2016-023	North Carolina A&T State University Office of Financial Aid, Sherri Avent (336) 334-7973	<u>Enrollment Status Reporting Errors</u> The University contacted the NSC to gain a better understanding of the reporting issues to NSLDS and to inform the best corrective actions going forward. As a result, the University updated its enrollment reporting profile on February 9, 2017. Additionally, enhanced institutional controls in the Office of Records and Registration/Registrar and Office of Financial Aid have been developed and implemented to ensure compliance with federal regulations 34CFR 690.83 and 34CFR 685.309.  <i>Anticipated Completion Date:</i> May 1, 2017
2016-024	North Carolina State University Krista Ringler (919) 515-2866	<u>Enrollment Status Reporting Errors</u> The University immediately reported the graduation status of the affected students to the National Student Loan Data System (NSLDS) on 9/23/2016. The Clearinghouse reporting function that updates this information in NSLDS was revised effective 11/1/2016 to ensure graduation status of students graduating at the summer midpoint are reported timely. Additionally, a process has been established to review a sample of students following the summer midpoint to confirm graduation statuses have been accurately reported to NSLDS.  <i>Corrective action was completed on:</i> September 23, 2016
2016-025	Health and Human Services Tracy Howell (919) 808-0903	<u>Errors in Medical Claim Payment Process</u> Effective November 2015, the new claims processing system (BEAM) began to directly interface with NCTRACKS to return the Medicaid rate in place on the date of payment for the date of service. This interface helped to reduce the sample error rate from 47% in SFY 2014-15 to 6% in SFY 2015-16.

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Finding Number	Department/ Contact Person/ Phone Number	Corrective Action Planned
		<p>The following corrective actions have been put in place:</p> <ul style="list-style-type: none"> <li>• The DHHS Controller's Office provided claims processing training to staff in August, 2016.</li> <li>• Medical claims for which there is no Medicaid rate are manually priced by the DHHS Controller's Office. A random sample of all manually priced claims are now audited for accuracy by designated reviewers.</li> <li>• Medical claims identified as overpayments have been recouped by the Controller's Office as of August 2016.</li> </ul> <p><i>Corrective action was completed on: August 31, 2016</i></p>
2016-026	Health and Human Services  Philip R. Protz (919) 855-3567	<p><u>Testing of Changes to the Vocational Rehabilitation Eligibility System Unable to be Verified</u></p> <p>In March, 2016 in immediate response to the FY 2015 similar finding, the DSB-DVRS cross-divisional BEAM management team developed standard operating procedures and controls pertaining to user acceptance testing (UAT) documentation parameters. Additionally, DSB and DVRS expanded the development change cycles under normal operating conditions to a 3-week cycle to test, document, and accept or reject change items prior to loading into the production environment. Lastly, the standard operating procedures and controls were finalized.</p> <p><i>Corrective action was completed on: June 30, 2016</i></p>
2016-027	Health and Human Services  Philip R. Protz (919) 855-3567	<p><u>Deficiencies in System Access Controls</u></p> <p>The Department is committed to maintaining information security and system access controls. As a result, we have implemented corrective actions to address the risks identified by the audit team. These corrective actions have been detailed in a response separately submitted to OSA. Any potential security risks or noncompliance are given the highest priority by DHHS and corrective actions will be monitored by the DHHS senior leadership team.</p> <p><i>Corrective action was completed on: August 12, 2016</i></p>
2016-028	Health and Human Services  Helen Tack (919) 855-3570	<p><u>\$10.5 Million in Pre-Employment Transition Services Not Spent on Students with Disabilities</u></p> <p>Using the final federal regulations issued July 2016 the Division of Vocational Rehabilitation and the Division of Services for the Blind are developing expanded service requirements and the capacity to provide and track Pre-Employment Transitions Services. As a result, the Department has completed or will perform the following four actions.</p>

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For the Fiscal Year Ended June 30, 2016

Finding Number	Department/ Contact Person/ Phone Number	Corrective Action Planned
		<ul style="list-style-type: none"> <li>• A request for applications was submitted to Rehabilitation Services Administration to expand capacity and the network for provider's pre-employment transition services. Approval was issued September 2016 on the DHHS website.</li> <li>• The Department is working with the contracted vendor of the case management system, along with other program subscribers, to develop and implement tracking of case service payments and staff time specific to this initiative.</li> <li>• The Department staff has been provided training and technical assistance by our federal partner, Rehabilitation Services Administration.</li> <li>• For further technical assistance, the Department has reached out to Workforce Innovation Technical Assistance Center, an organization that works with State Vocational Rehabilitation Agencies to implement the new requirements of the Workforce Innovations and Opportunity Act including Pre-Employment Transition Services.</li> </ul> <p>The Department is committed not only to achieve full compliance with the pre-employment transition services earmarking requirement, but also to provide efficient and effective services to the targeted population.</p> <p><i>Anticipated Completion Date:</i> September 30, 2019</p>
2016-029	Public Instruction Leigh Ann Kerr (919) 807-3553	<u>Fiscal Monitoring Results Were Delivered Late</u> See 2016-009 for Corrective Action Plan.
2016-030	Asheville-Buncombe Technical Community College Aaron Richman (828) 398-7290 Tom Anspach (828) 398-7494	<u>Enrollment Status Reporting Errors</u> See 2016-015 for Corrective Action Plan.
2016-031	Elizabeth City State University Jill E. Gable (252) 335-4850	<u>University Disbursed Funds to Ineligible Students</u> See 2016-006 for Corrective Action Plan.

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<b>Finding Number</b>	<b>Department/ Contact Person/ Phone Number</b>	<b>Corrective Action Planned</b>
2016-032	Elizabeth City State University Jill E. Gable (252) 335-4850	<u>Errors in Calculation for Return of Title IV Funds</u>  See 2016-007 for Corrective Action Plan.
2016-033	Elizabeth City State University Jill E. Gable (252) 335-4850	<u>Noncompliance in Administration of Direct Loans</u>  The Banner process that was set up to send the Loan Right to Cancel Notifications prior to the 2015-2016 award year became outdated due to various system upgrades to the Direct Loan module of Banner Financial Aid. Due to significant turnover in the Financial Aid Office, the process was not updated to reflect the new fields to ensure the process was successful. The Office of Financial Aid & Scholarships has since modified the Banner process to ensure all components of the process can be executed properly. The changes to the process were implemented in June 2016. The Banner process now occurs weekly for all disbursements of Direct Loans and the notifications to students are emailed and an electronic copy saved on the internal shared drive.  <i>Corrective action was completed on: June 2016</i>
2016-034	Elizabeth City State University Jill E. Gable (252) 335-4850	<u>Errors in Required Direct Loan Reconciliations</u>  The University has put additional measures in place to ensure financial aid staff responsible for completing the direct loan reconciliations are completing the requirement timely and accurately. Completed Direct Loan Reconciliations are submitted to the Director of Financial Aid each month for review and approval. Additional measures for monitoring include a deadline each month for submission of the Direct Loan Reconciliations as well as requirement to explain and show resolution of discrepancies. If any of these items are missing the reconciliation will be returned to the appropriate staff member to resolve. If additional resolution needed, the staff member will be responsible to resubmit the incomplete reconciliation for final approval.  <i>Anticipated Completion Date: July 2017</i>
2016-035	Forsyth Technical Community College Vice President, Business Services (336) 734-7540	<u>Enrollment Status Reporting Errors</u>  See 2016-020 for Corrective Action Plan.
2016-036	North Carolina A&T State University Office of Financial Aid, Sherri Avent (336) 334-7973	<u>Enrollment Status Reporting Errors</u>  See 2016-023 for Corrective Action Plan.

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For the Fiscal Year Ended June 30, 2016

<b>Finding Number</b>	<b>Department/ Contact Person/ Phone Number</b>	<b>Corrective Action Planned</b>
2016-037	North Carolina State University Krista Ringle (919) 515-2866	<u>Enrollment Status Reporting Errors</u> See 2016-024 for Corrective Action Plan.
2016-038	Public Instruction Leigh Ann Kerr (919) 807-3553	<u>Fiscal Monitoring Results Were Delivered Late</u> See 2016-009 for Corrective Action Plan.
2016-039	Health and Human Services David Locklear (919) 527-6311	<u>Deficiencies in County Eligibility Determination Process</u>  A State Representative will be assigned to conduct a special case file review for the relevant counties cited for findings. The counties will complete a Program Improvement Plan (PIP) for the errors identified.  A State Representative will review and approve the PIPs to ensure successful measures are implemented to prevent reoccurrence of the errors.  A State Representative will conduct a three to six-month desk review to ensure the findings cited are resolved.  On March 10, 2017, the Department recorded a training presentation to strengthen the Work First program policy and increase worker familiarity with the NCFAST System. The presentation will be made available to all county staff through the NC FAST Learning Gateway website.  <i>Anticipated Completion Date:</i> September 30, 2017
2016-040	Health and Human Services Robin Register (919) 527-6268	<u>Five-Year Limit Not Monitored for the Temporary Assistance for Needy Families (TANF) Program</u>  The Department's Client Services Data Warehouse (CSDW) team has obtained guidance from the NC FAST team on the calculation needed to run the required report to monitor the TANF five-year limit.  The work effort to calculate and store the five-year limit on Federal assistance data in the Client Services Data Warehouse (CSDW) began in January 2017.  Once the data becomes available in CSDW, the Department will run monthly queries to capture individuals who have been granted an extension to the five-year limit to ensure the 20% maximum is not exceeded. A tracking spreadsheet will be prepared to document the results.  If the number of individuals who have been granted an extension jeopardizes the 20% maximum, policy will be revised as necessary.  <i>Anticipated Completion Date:</i> December 31, 2017

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For the Fiscal Year Ended June 30, 2016

Finding Number	Department/ Contact Person/ Phone Number	Corrective Action Planned
2016-041	Health and Human Services Robin Register (919) 527-6268	<p data-bbox="573 422 1463 478"><u>Inaccurate TANF Data on Families Was Submitted to the Federal Government</u></p> <p data-bbox="573 516 1463 573">Programming changes have been identified, modified and/or moved to production to address the following data elements:</p> <ol data-bbox="618 611 1463 1184" style="list-style-type: none"> <li data-bbox="618 611 1463 699">1. Work participation status: Programming code changes from FY 2015 were modified, tested and moved to production. These changes were revised and moved back to production on 1/18/2017.</li> <li data-bbox="618 730 1463 1035">2. Number of countable months the participant received assistance: <ol data-bbox="667 793 1463 1035" style="list-style-type: none"> <li data-bbox="667 793 1463 919">a. Programming code changes were modified on 10/7/2016 to remove the duplicate months in the federal time clock calculation. The last ACF-199 Report that was retransmitted on 10/14/2016 for FFY 2015 included this change.</li> <li data-bbox="667 947 1463 1035">b. Programming code changes were modified and moved to production on 1/18/2017 to correct the countable months for unrelated adults.</li> </ol> </li> <li data-bbox="618 1066 1463 1184">3. Relationship to head of household: Programming code changes have been identified to calculate the type of family and the relationship to head of household data elements. Code changes are expected to be completed by 4/13/17.</li> </ol> <p data-bbox="573 1220 1463 1308">Data differences remain between the NC FAST production and the data used in the NC FAST tables by CSDW in data elements 2 and 3 above. The Division will continue to work with NC FAST to resolve those issues.</p> <p data-bbox="573 1346 1170 1371"><i>Anticipated Completion Date:</i> September 30, 2017</p>
2016-042	Health and Human Services Chet Spruill (919) 855-3690	<p data-bbox="573 1402 1382 1434"><u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u></p> <p data-bbox="573 1465 1052 1493">See 2016-002 for Corrective Action Plan.</p>
2016-043	Environmental Quality Brad Atkinson (919) 707-9235	<p data-bbox="573 1560 1166 1591"><u>Results from Site Visits Not Communicated Timely</u></p> <p data-bbox="573 1623 1463 1774">The Department will modify the current monitoring plan and monitoring database and will include mechanisms to ensure that assessment letters are delivered in a timely manner. The revised plan will include designating a primary and secondary person to monitor the status of compliance monitoring and the related assessment letters.</p> <p data-bbox="573 1801 1463 1921">The revised plan will also state that whenever monitoring staffing levels fall below two monitors each for either fiscal or programmatic monitoring, temporary monitoring staff will be secured to ensure that monitoring of subgrantees and the delivery of assessment letters to them occurs in a</p>

**CORRECTIVE ACTION PLAN**

For the Fiscal Year Ended June 30, 2016

Finding Number	Department/ Contact Person/ Phone Number	Corrective Action Planned
2016-044	Environmental Quality  Brad Atkinson (919) 707-9235	<p>timely manner and that Corrective Action Plans from the subgrantees are received in a timely manner.</p> <p><i>Anticipated Completion Date:</i> February 28, 2017</p>
2016-045	Health and Human Services  Suzanne Harlow (919) 527-6299	<p><u>Deficiency in System Access and Change Controls</u></p> <p>The Department is committed to maintaining information security and system access controls. The Department is working on corrective actions to address the risks identified by the audit team, which have been detailed in a response separately submitted to OSA. All system access and change controls will comply with the applicable portions of the North Carolina Statewide Information Security Manual.</p> <p><i>Anticipated Completion Date:</i> A timeline for completion of the overall task will be established after the scope of the work is better defined.</p> <p><u>Weatherization Funds Were Overspent</u></p> <p>The Department has sought guidance from the US Department of Health and Human Services (HHS) Administration for Children and Families (ACF) for allocating and expending the Weatherization funds.</p> <p>The Department will revise its current practice for allocating and expending the Weatherization funds to comply with the federal guidance.</p> <p>If it is determined that there is a need to allot or expend funds in excess of 15%, a waiver will be submitted to the Secretary between April and September of that year to request up to the 25% maximum.</p> <p><i>Anticipated Completion Date:</i> September 30, 2017</p>
2016-046	Health and Human Services  Suzanne Harlow (919) 527-6299	<p><u>Inaccurate Household Information Reported to the Federal Government</u></p> <p>The under-reported data was previously extracted from a temporary storage data location. The data is extracted from actual tables as of June 23, 2016.</p> <p>The over-reported data followed the incorrect reporting requirements. We will re-submit the FFY 2015 Household Report using the correct requirements. The FFY 2016 Household Report was submitted using the correct requirements on March 2, 2017.</p> <p>The raw data will be compiled and reconciled to existing reports in the Energy Program prior to preparing the Household Report in On-Line Data</p>

**CORRECTIVE ACTION PLAN**

For the Fiscal Year Ended June 30, 2016

<b>Finding Number</b>	<b>Department/ Contact Person/ Phone Number</b>	<b>Corrective Action Planned</b>
		Collection (OLDC). The assistant section chief will reconcile the compiled data to the Household Report prior to certifying in OLDC.  <i>Anticipated Completion Date:</i> June 30, 2017
2016-047	Health and Human Services  Betsy Moore (919) 527-6316	<u>Counties Were Not Adequately Monitored</u>  The Department reviewed all the State monitoring findings at the August and September 2016 staff meetings and reemphasized with the staff to how execute the established monitoring procedures. As a result: <ul style="list-style-type: none"> <li>• The monitors signed the NC Management Evaluation Plan, indicating they read and understood the requirements in the Plan, and returned to a Supervisor by December 15, 2016.</li> <li>• The Monitoring Worksheet, which is used during the monitoring visit to identify errors that are sited, was revised on December 2016. The Worksheet was revised to better identify the errors, which are carried forward to the Summary Letter and the Performance Improvement Plan.</li> <li>• The monitors will continue to send the Summary Letter and Performance Improvement Plan to a Supervisor for review and approval. In addition, the Acceptance Letter and Release Letter will be submitted to a Supervisor for review and approval.</li> </ul> <p>The Department is reorganizing the Operational Support Team (OST) to create an Economic and Family Services group to work closer with DSS management. This group will assist as needed in assuring that required county monitoring is completed.</p> <i>Anticipated Completion Date:</i> April 1, 2017
2016-048	Health and Human Services  Chet Spruill (919) 855-3690	<u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u>  See 2016-002 for Corrective Action Plan.
2016-049	Health and Human Services  Chet Spruill (919) 855-3690	<u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u>  See 2016-002 for Corrective Action Plan.
2016-050	Health and Human Services  Chet Spruill (919) 855-3690	<u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u>  See 2016-002 for Corrective Action Plan.

**CORRECTIVE ACTION PLAN**

For the Fiscal Year Ended June 30, 2016

<b>Finding Number</b>	<b>Department/ Contact Person/ Phone Number</b>	<b>Corrective Action Planned</b>
2016-051	Health and Human Services Chet Spruill (919) 855-3690	<u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u>  See 2016-002 for Corrective Action Plan.
2016-052	Health and Human Services C. Allen Shaffer (919) 814-0107	<u>Errors in Children's Health Insurance Provider Billing and Payment Process</u>  The Federal Payment Error Rate Measurement program consistently identifies insufficient/improper documentation as the most prevalent national error that providers make in Medicaid billing nationwide. For that reason, DMA maintains multiple avenues of constant education and monitoring for such errors by North Carolina providers.  The Division will address the issue of insufficient/improper documentation with providers utilizing the following venues: <ul style="list-style-type: none"> <li>• Issue a special Medicaid Bulletin reiterating the requirement to maintain sufficient and appropriate documentation to support billing for services rendered.</li> <li>• Periodically emphasize the Department's provision of on-line NC Tracks training for new provider employees in the monthly communications to Medicaid providers.</li> <li>• Formally encourage providers to require on-line NC Tracks training for new employees via Provider letters.</li> <li>• Review the audit findings directly with the associated providers and require development of corrective action plans.</li> </ul> <p><i>Anticipated Completion Date:</i> December 31, 2017</p>
	Carolyn McClanahan (919) 813-5340	The Department's Division of Medical Assistance (DMA) has created a customer service request (CSR) ticket to capture Third Party Insurance data within the NCFAST system. A work group is being organized to provide detailed business rules and logic to NCFAST staff to ensure Third Party Insurance is identified appropriately to prevent future inaccurate eligibility determinations in the NC Health Choice/CHIP program. Once this new process is initiated, NCFAST will document the change through a job aid and distribute to all 100 counties. The Division of Social Services (DSS) Operational Support Team (OST) will follow up with counties on the change in Third Party Insurance system status for improved eligibility.  DMA Beneficiary Services and DSS OST will continue to provide training, monitoring, and guidance to each county Department of Social Services (DSS) to ensure the accuracy of eligibility determinations and the proper maintenance of supporting documentation. This process was initiated in June 2016, and determined to be a successful strategy and will, therefore, continue as an ongoing action.

**CORRECTIVE ACTION PLAN**

For the Fiscal Year Ended June 30, 2016

Finding Number	Department/ Contact Person/ Phone Number	Corrective Action Planned
2016-053	Health and Human Services Carolyn McClanahan (919) 813-5343	<p data-bbox="570 422 1464 600">During January 2017, DMA Beneficiary Services and DSS OST began monitoring the counties to ensure that applications are adequately processed and documented to adhere to federal guidelines. For counties that do not meet appropriate timeliness rates on their applications (reviewed at monthly and quarterly intervals), OST staff will meet with them for technical assistance training and review.</p> <p data-bbox="570 636 1268 663">Appropriate collection or payment will be made as required.</p> <p data-bbox="570 699 1097 726"><i>Anticipated Completion Date:</i> June 30, 2017</p> <p data-bbox="570 762 1219 789"><u>Deficiencies in County Eligibility Determination Process</u></p> <p data-bbox="570 825 1464 940">To promote compliance, second party reviews and CHIP trainings are conducted consistently among all 100 counties, The Department will provide the county Department of Social Services [DSS] staff with the following training and tracking tools:</p> <ul data-bbox="618 978 1464 1879" style="list-style-type: none"> <li data-bbox="618 978 1464 1094">• The Department and the Operational Support Team [OST] will work closely with DSS to provide formal CHIP policy training modules, which will be placed in the NCFAST Learning Gateway portal used with the counties' current formal training process.</li> <li data-bbox="618 1129 1464 1308">• A new 2<sup>nd</sup> Party Review Sheet along with required documents has been created for county department of social services to use to capture identified eligibility elements consistently. The Department will require counties to begin testing the new tools in March 2017 to transition for the new second party review stats which begins in the 4<sup>th</sup> SFY 2017 QTR (4/1/2017 – 6/30/2017).</li> <li data-bbox="618 1344 1464 1459">• DMA has implemented a required minimum number of cases to be reviewed quarterly by county department of social services. This will ensure an equal sample of cases are reviewed based on county Medicaid/NCHC population size.</li> <li data-bbox="618 1495 1464 1879">• DMA will receive quarterly quality assurance summary findings to be shared with OST to be used for Cluster Training Meetings or other contacts with the counties. <ul style="list-style-type: none"> <li data-bbox="716 1619 1464 1734">• The OST is assigned to all counties for monitoring the counties for performance accuracy and timeliness standards, provide program support, policy guidance, on-site consultations and technical assistance.</li> <li data-bbox="716 1770 1464 1879">• The Department will continue to provide training through OST with webinars, onsite visits, and follow-up calls, technical support and other available avenues. Implementation of these measures will provide more</li> </ul> </li> </ul>

**CORRECTIVE ACTION PLAN**

For the Fiscal Year Ended June 30, 2016

Finding Number	Department/ Contact Person/ Phone Number	Corrective Action Planned
		<p>consistency among counties and identification of error trends to analyze and create any additional internal controls for accuracy.</p> <p><i>Anticipated Completion Date:</i> June 30, 2017</p>
2016-054	Health and Human Services Chet Spruill (919) 855-3690	<p><u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u></p> <p>See 2016-002 for Corrective Action Plan.</p>
2016-055	Health and Human Services Christal Kelly (919) 814-0056	<p><u>Errors in Medicaid Provider Billing and Payment Process</u></p> <p>Implemented rate changes were not recouped/repaid prior to fiscal year end; therefore, the errors identified in 2015 rolled into the 2016 Office of State Auditor Single Claim audit. The reprocessing of claims and implementation of the correct methodology shall bring the deficiencies into compliance within the identified completion date.</p> <p>DMA Provider Reimbursement generated File Maintenance Request (FMR) 4174 to address the reprocessing of claims that were previously paid at the incorrect rate. The correct codes were implemented in the NC Tracks system in April 2016, which was after the claim was originally paid. The process is scheduled to begin in April 2017 and should be completed by December 31, 2017. Claims reprocessing will correct the payments that were previously paid in error. DMA Provider Reimbursement will track the FMR status in Sharenet and will confirm completion when the FMR is implemented.</p> <p>Claim reprocessed under CSR 1871 on 9/20/16 and paid \$37.25 using the lessor of logic. This was identified as an error because the reprocessing did not occur prior to 6/30/16. To mitigate any future risk, this CSR will correctly reimburse claims that were previously paid using the incorrect pricing logic. The lessor of logic methodology was implemented in NC Tracks in November 2015 under CSR 1871 and will be used to price crossover claims going forward. Periodic claims review will be conducted to monitor and evaluate the corrective action. Currently in compliance, as the claim was reprocessed on September 20, 2016.</p> <p>Pharmacy claims are reimbursed at the (SMAC) State Maximum Allowable Cost rates in the system at the time of payment. DMA Provider Reimbursement doesn't systematically reprocess claims because of retroactive SMAC (State Maximum Allowable Cost) rates due to the volume. However, pharmacies may reverse and rebill claims to obtain the retroactive rate. To mitigate any future risk, SMAC rates are occasionally adjusted on an ad hoc basis, based on provider reports on costs changes between the quarterly review cycle. When this occurs, providers will be notified and reminded of the claims adjustment process. DMA will monitor</p>

**CORRECTIVE ACTION PLAN**

For the Fiscal Year Ended June 30, 2016

Finding Number	Department/ Contact Person/ Phone Number	Corrective Action Planned
		<p>by continually informing providers of their ability to submit adjustment claims when SMAC rates are updated after a claims date of service. The correct SMAC rate was updated in NC Tracks on 8/11/15.</p> <p><i>Anticipated Completion Date:</i> December 31, 2017</p>
	C. Allen Shaffer (919) 814-0107	<p>The Federal Payment Error Rate Measurement program consistently identifies insufficient/improper documentation as the most prevalent national error that providers make in Medicaid billing nationwide. For that reason, DMA maintains multiple avenues of constant education and monitoring for such errors by North Carolina providers.</p> <p>As corrective action for the audit findings, the Division will address insufficient/improper documentation with providers:</p> <ul style="list-style-type: none"> <li>• As part of scheduled written communications to Medicaid providers, starting immediately.</li> <li>• By emphasizing the Department's provision of on-line NC Tracks training for new provider employees in scheduled written communications to Medicaid providers.</li> <li>• By asking providers to require on-line NC Tracks training for new employees in Provider letters.</li> <li>• By making the audit findings directly available to providers, along with advice for development of individual provider plans of correction.</li> </ul> <p><i>Anticipated Completion Date:</i> December 31, 2017</p> <p>Prior approval issues were identified in the 2016 OSA Single Claim audit. The Agency will adhere to the following corrections to eliminate future potential error findings:</p> <ul style="list-style-type: none"> <li>• In January of 2017, the Division announced to providers a tightening of policy regarding prior approvals, and referred all providers to free, Department-provided special training on this issue. (see Medicaid Bulletin, January 2017, pg. 3). Although this point has been addressed and further corrective action on the audit findings is not specifically indicated, the Division will continue to provide education and raise awareness with providers on this issue.</li> <li>• The Division is providing specific provider education on prior approval via web seminar.</li> </ul> <p><i>Anticipated Completion Date:</i> March 16, 2017</p>

**CORRECTIVE ACTION PLAN**

For the Fiscal Year Ended June 30, 2016

Finding Number	Department/ Contact Person/ Phone Number	Corrective Action Planned
Carolyn McClanahan (919) 813-5340	The Office of the State Auditor Single Audit report identified three claim errors with Patient Monthly Liability (PML) amounts applied in NC Tracks. By implementing the following corrective actions, the errors will be brought into compliance by the completion date indicated.	<p>A defect in the eligibility system was identified and a task force was created to review PML issues and correct the defect for error. The defect EI-1490 was a duplicate of EI-12889 and has been in production since September, 2015. Due to the system defect and keying error in NCFast, the PML balance was not applied in NC FAST. The Eligibility Coverage Code was incorrectly applied as a response to changes. Training to correct the issues will be brought into compliance by the completion date and ongoing. The system manager is responsible for any ongoing monitoring or issues related to PML.</p> <p>The patient monthly liability amount was not applied since it was not noted in NC Tracks until after the claims date of service was determined by the department. All systems were correct and the correct PML was in NC Tracks on 5/18/16. It was classified by the department as a provider billing error and Provider Reimbursement was notified.</p> <p>DMA has since notified the county DSS offices of the release date and conducted PML training with all 100 counties via a webinar. The Operational Systems Team [OST] completed a PowerPoint training on Medicaid Long Term Care (LTC) for all counties to use moving forward. DMA will continue to provide updates on the PML process to local county DSS offices.</p> <p><i>Anticipated Completion Date:</i> September 2015 and ongoing</p>
Joel Mercer (919) 855-4156	Third-Party Insurance Issues identified in the 2016 Office of the State Auditor Single Audit report include two paid claim issues and vendor recovery from Medicare. By implementing the following corrective actions, the errors will be cured by the completion date indicated.	<p>The CareMark policy was forwarded to HMS (the TPR vendor) on June 23, 2016. The recipient had prescription drug insurance added to NCTracks after the claim paid and recovery was not attempted prior to year-end. The quantity for the prescription in question was not included on the file feed that HMS received from the fiscal agent (CSRA). To mitigate any future risk, HMS has been instructed to notify DMA Third Party Unit when there is any missing information needed to pursue recovery. This process will be monitored by the DMA's TPL Quality Assurance staff monthly. This issue has also been communicated during the HMS monthly client meeting.</p> <p>Recipient had third party insurance that was not applied prior to filing claim with Medicaid. An email was sent to HMS to determine if recovery was pursued for the claim in question. Once it was confirmed that the recovery</p>

**CORRECTIVE ACTION PLAN**

For the Fiscal Year Ended June 30, 2016

Finding Number	Department/ Contact Person/ Phone Number	Corrective Action Planned
2016-056	Health and Human Services Carolyn McClanahan (919) 813-5343	<p>was not pursued, the vendor filed the claim with Cigna insurance; this claim is currently open pending payment. To mitigate any future risk, HMS has been instructed to cross reference all policies added to NC Tracks to the vendor commercial insurance recovery file. This process will ensure that DMA identifies liable third parties who are responsible for paying Medicaid recipients' medical bills. This issue is also communicated during the HMS monthly client meeting.</p> <p>Finally, HMS has begun to utilize the Global Eligibility Files (GEF) to enhance the identification of Medicare eligibility data beyond that provided by the MMA (Medicare Modernization Act) and EDB (Enrollment Database) files. HMS is redesigning its data intake and Medicare Disallowance process to identify claims that should be coordinated with Medicare. This enhanced process verifies that the recouped amount being invoiced is the same amount processed and completed by CSRA. If any discrepancies are found they are reported to HMS for correction. This process will be monitored by DMA's TPL Quality Assurance staff monthly. This issue will continue to be tracked for discussion during our recurring HMS monthly client meetings.</p> <p><i>Anticipated Completion Date:</i> March 31, 2017</p> <p><u>Deficiencies in County Eligibility Determination Process</u></p> <p>To promote compliance, second party reviews and Medicaid trainings are conducted consistently among all 100 counties, The Department will provide the county Department of Social Services [DSS] staff with the following training and tracking tools:</p> <ul style="list-style-type: none"> <li>• The Department and the Operational Support Team [OST] will work closely with DSS to provide formal Medicaid policy training modules, which will be placed in the NCFast Learning Gateway portal used with the counties' current formal training process.</li> <li>• A new 2<sup>nd</sup> Party Review Sheet along with required documents has been created for county department of social services to use to capture identified eligibility elements consistently. The Department will require counties to begin testing the new tools in March 2017 to transition for the new second party review stats which begins in the 4<sup>th</sup> SFY 2017 QTR (4/1/2017 – 6/30/2017).</li> <li>• DMA has implemented a required minimum number of cases to be reviewed quarterly by county department of social services. This will ensure an equal sample of cases are reviewed based on county Medicaid/NCHC population size.</li> <li>• DMA will receive quarterly quality assurance summary findings to be shared with OST to be used for Cluster Training Meetings or other contacts with the counties.</li> </ul>

**CORRECTIVE ACTION PLAN**

For the Fiscal Year Ended June 30, 2016

Finding Number	Department/ Contact Person/ Phone Number	Corrective Action Planned
		<ul style="list-style-type: none"> <li>• The OST is assigned to all counties for monitoring the counties for performance accuracy and timeliness standards, provide program support, policy guidance, on-site consultations and technical assistance.</li> <li>• The Department will continue to provide training through OST with webinars, onsite visits, and follow-up calls, technical support and other available avenues. Implementation of these measures will provide more consistency among counties and identification of error trends to analyze and create any additional internal controls for accuracy.</li> </ul>
<i>Anticipated Completion Date: June 30, 2017</i>		
2016-057	Health and Human Services Chet Spruill (919) 855-3690	<u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u>  See 2016-002 for Corrective Action Plan.
2016-058	Health and Human Services Danny Staley (919) 707-5000	<u>No Procedures to Identify Undisclosed Income for Recipients of HIV Services</u>  The Division of Public Health, NC FAST and the Privacy and Security Office will work collaboratively to perform the following actions. <ol style="list-style-type: none"> <li>1. Define the program and technical requirements for implementing an independent process to validate recipient income.</li> <li>2. Complete a risk and cost analysis to determine the feasibility of implementing an independent process to validate recipient income.</li> <li>3. Document results of risk and cost analysis to include the decision to implement or not implement.</li> <li>4. If the decision is made to implement:               <ol style="list-style-type: none"> <li>a. obtain approvals to allow for usage of required sources of income.</li> <li>b. design and implement technical solution to allow for validation of recipient income.</li> <li>c. update process documentation to incorporate changes.</li> </ol> </li> </ol>

*Anticipated Completion Date: June 30, 2018*

**CORRECTIVE ACTION PLAN**

For the Fiscal Year Ended June 30, 2016

<b>Finding Number</b>	<b>Department/ Contact Person/ Phone Number</b>	<b>Corrective Action Planned</b>
2016-059	Health and Human Services Chet Spruill (919) 855-3690	<u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u> See 2016-002 for Corrective Action Plan.
2016-060	Health and Human Services Chet Spruill (919) 855-3690	<u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u> See 2016-002 for Corrective Action Plan.
2016-061	Health and Human Services Chet Spruill (919) 855-3690	<u>Inadequate Subrecipient Monitoring Increased Risk of Wasted Funds</u> See 2016-002 for Corrective Action Plan.
2016-062	UNC-Chapel Hill James Dean, Executive Vice Chancellor and Provost (919) 962-2198	<u>Failure to Complete Required Federal Award Closeouts</u>  As previously discussed with the audit team, issues developed during the implementation of the University's new accounting system, which rolled out in the first quarter of FY15. In addition, due to rapid growth in the University's research portfolio, the Office of Sponsored Research (OSR), which is principally responsible for the award closeout and reconciliation processes, faced staffing challenges. These issues concerning conversion and staffing contributed to the audit finding. At this time, the University estimates that the financial impact of the incomplete closeout reconciliations is not material in relation to the University's research portfolio during the applicable period.

Responsive to the Audit Findings and Recommendations, the University has taken the following corrective actions:

- Engaged the expertise of an external consulting firm focused on resolving the challenges created by the rapid growth in the University's research portfolio, the transition to a new accounting system and staffing levels in the OSR.
- Conducted a formal staffing assessment of the OSR and established an additional 37 FTEs to accommodate the University's current research portfolio and to ensure proper resourcing of OSR functions, including the closeout process.
- Created and staffed a team dedicated to final closeout and reconciliation processes, and that team is actively working through the population of awards requiring final closeout and reconciliation.

With additional dedicated resources engaged, we anticipate that by the conclusion of FY17, the University will have closed out and reconciled all federal awards ending in that fiscal year. The University's Office of the Vice

**CORRECTIVE ACTION PLAN**

For the Fiscal Year Ended June 30, 2016

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<b>Finding Number</b>	<b>Department/ Contact Person/ Phone Number</b>	<b>Corrective Action Planned</b>
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Chancellor for Research has responsibility for this timeline and the corrective actions discussed above. For awards ending prior to FY17, we are engaged in ongoing conversations with the government to remediate closeout and reconciliation issues.

*Anticipated Completion Date:* June 30, 2017

## ORDERING INFORMATION

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For additional information contact:  
Bill Holmes  
Director of External Affairs  
**919-807-7513**



The planning and compilation of the statewide federal compliance procedures for the Single Audit Report required 922 audit hours at an approximate cost of \$94,966.

The hours and related costs of audits at individual state entities to support the independent auditor's reports contained herein are included in audit reports issued for those entities.