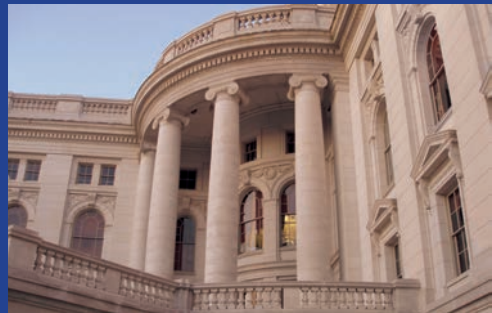


**Report 17-5
March 2017**

State of Wisconsin FY 2015-16 Single Audit

STATE OF WISCONSIN



Legislative Audit Bureau ■

State of Wisconsin FY 2015-16 Single Audit

Joint Legislative Audit Committee Members

Senate Members:

Robert Cowles, Co-chairperson
Chris Kapenga
Alberta Darling
Kathleen Vinehout
Mark Miller

Assembly Members:

Samantha Kerkman, Co-chairperson
John Macco
John Nygren
Melissa Sargent
Terese Berceau

LEGISLATIVE AUDIT BUREAU

State Auditor
Joe Chrisman

**Special Assistant to
the State Auditor**
Anne Sappenfield

**Financial Audit
Directors**
Kendra Eppler
Sherry Haakenson
Carolyn Stittleburg

**Assistant
Financial Audit
Director**
Erin Scharlau

**Quality Assurance
Coordinator**
Lisa Kasel

**Investigative Data
Specialist**
Joseph Johnson

**Publications and
Design Coordinator**
Susan Skowronski

Program Assistant
Christine Bartlett

Office Manager
Barbara Mazzoni

The Bureau is a nonpartisan legislative service agency responsible for conducting financial audits and performance evaluations of state agencies. The Bureau's purpose is to provide assurance to the Legislature that financial transactions and management decisions are made effectively, efficiently, and in compliance with state law and that state agencies carry out the policies of the Legislature and the Governor. Bureau reports typically contain reviews of financial transactions, analyses of agency performance or public policy issues, conclusions regarding the causes of problems found, and recommendations for improvement.

Reports are submitted to the Joint Legislative Audit Committee and made available to other committees of the Legislature and to the public. The Audit Committee may arrange public hearings on the issues identified in a report and may introduce legislation in response to the audit recommendations. However, the findings, conclusions, and recommendations in the report are those of the Legislative Audit Bureau.

The Bureau accepts confidential tips about fraud, waste, and mismanagement in any Wisconsin state agency or program through its hotline at 1-877-FRAUD-17.

For more information, visit www.legis.wisconsin.gov/lab.

Team Leaders

Shellee Bauknecht
Kevin Cords
Kyle Everard
Bruce Flinn
Jenny Frank
Garrett Gardner
Brian Geib
Nathan Heimler
Rachael Inman
Rachel Jacobson
Emily Pape
Joshua Petersen
Jenna Schmidt
Aaron Stoltenberg

Auditors

Emily Albrecht
Jeffrey Beckett
Jeremy Brandenburg
Timothy Coulthart
Bridget Cull
Martha Czerniakowski
Aaron Erdmann
Jacob Gasser
Kendra Glander
Jason Keel
Rita Klawitter
Michael Kuen
Tenzin Kunsang
Jan McAllister
Amanda Murkley
Heather Murray
Caryn Names
Katie Natzke
Lucas Nelson
Thi Nguyen
Kimberly Olson
Jake Poulos
Keri Routhieaux
Matt Rossi
BreeAnn Schlenske
Dominic Schuh
Jonathan Thomas
Joseph Westby
Brandon Woller
Stephanie Yost



Contact the Bureau at 22 East Mifflin Street, Suite 500, Madison, Wisconsin 53703;
AskLAB@legis.wisconsin.gov; or (608) 266-2818.

CONTENTS

Letter of Transmittal	1
Introduction	3
Auditor's Report	7
Auditor's Reports on Federal Programs	13
Department of Health Services	19
Department of Natural Resources	29
University of Wisconsin System	33
Other Agencies	51
State of Wisconsin Schedule of Findings and Questioned Costs for the Year Ended June 30, 2016	55
AUDITEE SECTION	73
State of Wisconsin Summary Schedule of Prior Audit Findings	75
State of Wisconsin Schedule of Expenditures of Federal Awards for the Year Ended June 30, 2016	89
Notes to the State of Wisconsin Schedule of Expenditures of Federal Awards	147
Corrective Action Plan	159



STATE OF WISCONSIN | Legislative Audit Bureau

22 East Mifflin St., Suite 500 ■ Madison, WI 53703 ■ (608) 266-2818 ■ Hotline: 1-877-FRAUD-17 ■ www.legis.wisconsin.gov/lab

Joe Chrisman
State Auditor

March 31, 2017

Senator Robert Cowles and
Representative Samantha Kerkman, Co-chairpersons
Joint Legislative Audit Committee
State Capitol
Madison, Wisconsin 53702

Dear Senator Cowles and Representative Kerkman:

We have completed our annual financial and compliance audit of the State of Wisconsin. This audit satisfies state agencies' audit requirements under the federal Single Audit Act of 1984, as amended, and of federal Office of Management and Budget *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). The audit also assists us in fulfilling our audit responsibilities under s. 13.94, Wis. Stats.

Our report contains the auditor's reports on internal control over financial reporting and on compliance with program requirements, and our audit opinion on the State of Wisconsin's Schedule of Expenditures of Federal Awards. In fiscal year (FY) 2015-16, state agencies administered \$11.6 billion in federal financial assistance.

We tested internal controls and compliance with laws and regulations for 14 federal programs that were selected for review using risk-based assessment criteria established by the federal government and specified in Uniform Guidance. Although state agencies generally complied with federal requirements, we made 9 recommendations to improve administration of federal programs.

State agencies reported taking steps to address prior audit concerns from the FY 2014-15 single audit (report 16-5). However, we report new and continuing internal control deficiencies and areas of federal noncompliance. The federal government will work with state agencies to resolve the new and continuing concerns we identified.

The application of Uniform Guidance for FY 2015-16 affected both auditing and reporting. For example, grants typically selected for audit annually in the past no longer met the requirements to be selected. In addition, changes to the format of this report were necessary in order to make explicit certain information required to be reported under Uniform Guidance. These changes include creation of a separate auditee section, which includes the Schedule of Expenditures of Federal Awards and related notes, the agency corrective action plans, and the Summary Schedule of Prior Audit Findings.

We appreciate the courtesy and cooperation extended to us by state agency staff during our audit. Agency responses to individual findings are included within the agency chapters. However, under Uniform Guidance, agency corrective action plans to address the concerns we identified are included separately in the auditee section of this report.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Joe Chrisman".

Joe Chrisman
State Auditor

JC/ES/ss

Introduction ■

Wisconsin state agencies administered \$11.6 billion in federal financial assistance during fiscal year (FY) 2015-16, including \$10.4 billion in cash assistance, \$1.0 billion in noncash assistance, and \$200.6 million in outstanding loan balances. As a condition of receiving federal funds, state agencies must meet the audit requirements of the federal Single Audit Act of 1984, as amended, and of federal Office of Management and Budget *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). We performed this audit for FY 2015-16 at the request of state agencies that administered federal financial assistance and to assist us in fulfilling our audit responsibilities under s. 13.94, Wis. Stats. We focused our audit on the internal controls over 14 selected federal programs and tested compliance with laws and regulations related to these programs.

We are required by federal rules to:

- render an opinion on the State's financial statements;
- issue a report on the State's internal control and compliance related to financial reporting; and
- issue a report on the State's compliance with requirements applicable to each major program, on its internal control over compliance, and on its Schedule of Expenditures of Federal Awards.

Our opinion on the State's FY 2015-16 financial statements was included in the Comprehensive Annual Financial Report (CAFR), which was issued by the Wisconsin Department of Administration (DOA) in March 2017 and is available

on DOA's website. The other required auditor's reports, along with the agencies' responses to our findings and their corrective action plans, are included in this single audit report. This single audit report, along with other required information, has been submitted to the federal government as required by Uniform Guidance.

As shown in the table below, ten programs accounted for 83.9 percent of the \$11.6 billion in federal financial assistance state agencies administered during FY 2015-16.

State of Wisconsin Expenditures of Federal Funds¹
FY 2015-16

Federal Program	Primary Recipient	Expenditures	Percentage of Total
Medicaid Cluster	DHS	\$ 4,857,095,394	41.8%
Student Financial Assistance Cluster	UW System	1,069,818,710	9.2
Supplemental Nutrition Assistance Program (SNAP) Cluster	DHS	1,031,052,509	8.9
Highway Planning and Construction Cluster	DOT	759,136,226	6.5
Unemployment Insurance ²	DWD	583,763,201	5.0
Research and Development Cluster	UW System	579,682,659	5.0
Child Nutrition Cluster	DPI	249,931,893	2.1
Temporary Assistance for Needy Families (TANF) Cluster	DCF	221,233,446	1.9
Special Education Cluster	DPI	205,238,266	1.8
Children's Health Insurance Program (CHIP)	DHS	200,502,490	1.7
Subtotal		9,757,454,794	83.9
Other Federal Programs		1,870,433,703	16.1
Total		\$11,627,888,497	100.0%

¹ Includes cash assistance; noncash assistance, such as food commodities; and outstanding loan balances.

² In accordance with federal requirements, consists of insurance benefits paid from employer contributions, direct federal funding, and cash advances from the federal government.

The Department of Health Services (DHS) is responsible for the Medicaid Cluster, which is the largest federal program administered by the State. In addition, DHS disbursed \$1.0 billion in federal funds and benefits under the Supplemental Nutrition Assistance Program (SNAP) Cluster for Wisconsin's FoodShare program and \$200.5 million under the Children's Health Insurance Program (CHIP).

The University of Wisconsin (UW) System administered federal student financial assistance totaling \$1.1 billion under the Student Financial Assistance Cluster, which was the second-largest federal program administered by the State during

FY 2015-16. UW System also disbursed \$579.7 million under a variety of research and development grants.

The Department of Transportation (DOT) is responsible for administering the Highway Planning and Construction Cluster, which was the fourth-largest federal program administered by the State during FY 2015-16.

Other state agencies administered other large federal programs, including:

- the Department of Workforce Development (DWD), which expended funds under the Unemployment Insurance (UI) program;
- the Department of Public Instruction (DPI), which provided funds to local schools and other entities under the Child Nutrition Cluster and the Special Education Cluster; and
- the Department of Children and Families (DCF), which expended funds under the Temporary Assistance for Needy Families (TANF) Cluster.

The audit of FY 2015-16 was the first audit of the State for which Uniform Guidance established the process for selecting the grant programs to be audited. Uniform Guidance categorizes federal programs as “type A” (large programs) and “type B” (smaller programs). For the State, type A programs had expenditures of \$30 million or more in federal funds. The type A and B programs selected for audit were those determined to be subject to a higher risk of noncompliance based on the risk factors established by Uniform Guidance. Some grants typically selected for audit annually in the past no longer met the requirements to be selected for audit in FY 2015-16 under Uniform Guidance.

In addition, Uniform Guidance changed requirements for certain auditee-prepared documents included in the single audit report. As a result, additional information about the status of prior audit findings is included in the Summary Schedule of Prior Audit Findings and the auditee corrective action plans are reported separately from the auditor’s findings. Changes to the format of this single audit report were made to accommodate Uniform Guidance requirements.

The audit of FY 2015-16 focused on the nine type A programs and five type B programs listed in Section I of the Schedule of Findings and Questioned Costs. These programs were administered by eight state agencies, including UW System, and accounted for 48.1 percent of the \$11.6 billion in federal financial assistance administered by state agencies. We also followed up on the status of corrective actions to address prior year concerns reported in the FY 2014-15 single audit report (report 16-5). The FY 2015-16 single audit report includes those findings that are required to be reported under Uniform Guidance, including findings related to the audit of the State’s financial statements. In addition, we noted certain additional internal control or compliance matters that we conveyed to agency management in separate communications.

Auditor's Report ■



Independent Auditor's Report on Internal Control over Financial Reporting and on Compliance and Other Matters

Honorable Members of the Legislature

The Honorable Scott Walker, Governor

We have audited the financial statements and the related notes 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 Wisconsin, which collectively comprise the State's basic financial statements, as of and for the year ended June 30, 2016, and have issued our report thereon dated March 30, 2017.

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*, which is issued by the Comptroller General of the United States. The basic financial statements and related auditor's opinions have been included in the State of Wisconsin's Comprehensive Annual Financial Report (CAFR) for the fiscal year ended June 30, 2016.

Our report includes a reference to other auditors who audited the financial statements of the Environmental Improvement Fund, the College Savings Program Trust, the Wisconsin Housing and Economic Development Authority, the University of Wisconsin Hospitals and Clinics Authority, and the University of Wisconsin Foundation, as described in our report on the State of Wisconsin's basic financial statements. The financial statements of the Environmental Improvement Fund, the College Savings Program Trust, the Wisconsin Housing and Economic Development Authority, and the University of Wisconsin Hospitals and Clinics Authority were audited in accordance with auditing standards generally accepted in the United States of America and *Government Auditing Standards*. This report does not include the results of the other auditors' testing of internal control over financial reporting or compliance and other matters that were reported on separately by those auditors. Although the financial statements of the University of Wisconsin Foundation were audited in accordance with auditing standards generally accepted in the United States of America, they were not audited in accordance with *Government Auditing Standards* and, accordingly, this report does not include reporting on internal control over financial reporting or instances of reportable noncompliance associated with the University of Wisconsin Foundation.

Internal Control over Financial Reporting

Management of the State of Wisconsin is responsible for establishing and maintaining effective internal control over financial reporting (internal control). In planning and performing our audit of the financial statements, we considered the State's 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 misstatements, or to detect and correct misstatements on a timely basis. A *material weakness* is a deficiency or a combination of deficiencies in internal control such that there is a reasonable possibility that a material misstatement of the State's basic financial statements will not be prevented, or that a material misstatement will not be 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 over financial reporting that might be material weaknesses or significant deficiencies and, therefore, material weaknesses or significant deficiencies may exist that were not identified. However, we identified certain deficiencies in internal control that we consider to be material weaknesses or significant deficiencies.

We consider the deficiency in internal control, described in Section II of the Schedule of Findings and Questioned Costs as Finding 2016-010, to be a material weakness. We consider the deficiencies in internal control, described in Section II of the Schedule of Findings and Questioned Costs, as Findings 2016-011, 2016-012, 2016-013, 2016-014, 2016-015, and 2016-016, to be significant deficiencies. Because the University of Wisconsin (UW) System's financial activity is also reported separately from the State's CAFR, Finding 2016-012 will also be included in the Independent Auditor's Report on Internal Control over Financial Reporting and on Compliance and Other Matters for UW System's financial statements.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the State's basic financial statements are free from material misstatement, we performed tests of 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*.

We noted an additional matter related to financial reporting errors that did not rise to the level of a significant deficiency. This matter is discussed on page 69 in Section II of the Schedule of Findings and Questioned Costs.

Responses to Findings

Agency-specific responses to the findings identified in our audit are described in Section II of the Schedule of Findings and Questioned Costs and the Corrective Action Plan. The responses and corrective action plans were not subjected to the auditing procedures applied in the audit of the financial statements and, accordingly, we express no opinion on them.

Purpose of This Report

This report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be used when considering the State's internal control and compliance. 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 State's internal control or on compliance. Accordingly, this report is not suitable for any other purpose.

LEGISLATIVE AUDIT BUREAU



Joe Chrisman
State Auditor

March 30, 2017

Auditor's Reports on Federal Programs ■



**Independent Auditor's Report on Compliance for Each Major Federal Program;
Report on Internal Control over Compliance; and Report on the Schedule of
Expenditures of Federal Awards Required by Uniform Guidance**

Honorable Members of the Legislature

The Honorable Scott Walker, Governor

Report on Compliance for Each Major Federal Program

We have audited the State of Wisconsin's compliance with the types of compliance requirements described in the federal Office of Management and Budget (OMB) Compliance Supplement that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2016. The State of Wisconsin's major federal programs are identified in the Summary of Auditor's Results section of the accompanying Schedule of Findings and Questioned Costs.

The State of Wisconsin's basic financial statements include the operations of the Wisconsin Housing and Economic Development Authority, the Wisconsin Economic Development Corporation, the University of Wisconsin Hospitals and Clinics Authority, and the Wisconsin Court System. These entities expended \$214.2 million in federal awards that are not included in the State of Wisconsin's Schedule of Expenditures of Federal Awards for the year ended June 30, 2016. As discussed in Note 1D, our federal compliance audit, as described under the Auditor's Responsibility section of this report, did not include the operations of these entities.

Management's Responsibility

Management of each Wisconsin state agency 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 Wisconsin's major federal programs based on our audit of the types of compliance requirements referred to in the first paragraph. 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*, which is issued by the Comptroller General of the United States; and 2 U.S. CFR Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Those standards and Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance occurred with the types of compliance requirements referred to in the first paragraph that could have a direct and material effect on a major federal program. An audit includes examining, on a test basis, evidence about the State of Wisconsin's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

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

Opinion on Each Major Federal Program

In our opinion, the State of Wisconsin complied, in all material respects, with the types of compliance requirements referred to in the first paragraph that could have a direct and material effect on each of its major federal programs identified in the Summary of Auditor's Results section of the accompanying Schedule of Findings and Questioned Costs, for the year ended June 30, 2016.

Other Matters

The results of our auditing procedures disclosed instances of noncompliance, which are required to be reported in accordance with Uniform Guidance and which are described in the accompanying agency report narratives and in Section III of the Schedule of Findings and Questioned Costs as Findings 2016-001 through 2016-007, and 2016-009. Our opinion on each major federal program is not modified with respect to these matters.

Wisconsin state agencies' responses to the noncompliance findings identified in our audit are described in the accompanying agency report narratives and the Corrective Action Plan. The responses were not subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on them.

Report on Internal Control over Compliance

Management of each Wisconsin state agency is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to in the first paragraph. In planning and performing our audit, we considered the State of Wisconsin's internal control over compliance with the types of compliance requirements that could have a direct and material effect on a major federal program. This consideration was solely to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with Uniform Guidance. This consideration was 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 Wisconsin's internal control over compliance.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent noncompliance with a type of compliance requirement of a federal program, or to detect and correct such noncompliance on a timely basis. *A material weakness in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected on a timely basis. *A significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

Our consideration of the internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies and, therefore, material weaknesses or significant deficiencies may exist that were not identified. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, we identified certain deficiencies in internal control over compliance, described in the accompanying agency report narratives and in Section III of the Schedule of Findings and Questioned Costs as Findings 2016-001, and 2016-003 through 2016-009, that we consider to be significant deficiencies.

Wisconsin state agencies' responses to the internal control over compliance findings identified in our audit are described in the accompanying agency report narratives and the Corrective Action Plan. The responses were not subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on them.

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 Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

Report on Schedule of Expenditures of Federal Awards

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 for the State of Wisconsin as of and for the year ended June 30, 2016, and the related notes to the financial statements, which collectively comprise the State of Wisconsin's basic financial statements. We have issued our report thereon dated March 30, 2017, which contains unmodified opinions on those financial statements. Our audit was conducted for the purpose of forming our opinions on the financial statements that collectively comprise the basic financial statements. The accompanying Schedule of Expenditures of Federal Awards is presented for purposes of additional analysis, as required by Uniform Guidance, and is not a required part of the basic financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the basic financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the Schedule of Expenditures of Federal Awards is fairly stated in all material respects in relation to the basic financial statements as a whole.

LEGISLATIVE AUDIT BUREAU



Joe Chrisman
State Auditor

March 30, 2017

Department of Health Services ■

The Wisconsin Department of Health Services (DHS) provides services to clients in communities and institutions, regulates certain care providers, and supervises and consults with local public and volunteer agencies. It administers state and federal programs involving public health, mental health, substance abuse, long-term care, services to people with disabilities, and medical care. DHS administered \$6.5 billion in federal financial assistance in FY 2015-16.

We reviewed DHS's internal controls over revenues, expenditures, and the administration of federal grant programs. We tested compliance with grant requirements for three type A programs—Special Supplemental Nutrition Program for Women, Infants, and Children (CFDA #10.557), Immunization Cooperative Agreements (Immunization) program (CFDA #93.268), and the Medicaid Cluster (CFDA #93.775/93.777/93.778). We also audited the Money Follows the Person Rebalancing Demonstration (Money Follows the Person) program (CFDA #93.791), which is a type B program. Our audit findings are the following:

- Computer Data Matches;
- Incorrect Federal Financial Participation Rate;
- Federal Financial Report—Money Follows the Person; and
- Federal Financial Report—Immunization Program

In addition, we followed up on DHS's progress in addressing Findings 2015-023 through 2015-027 of the FY 2014-15 audit (report 16-5). DHS implemented corrective actions to address our concerns related to Finding 2015-025. In addition, DHS took corrective actions to partially address the remaining findings

(Finding 2015-023, 2015-024, 2015-026, and 2015-027). It will be important for DHS to continue to work to resolve these findings. The Summary Schedule of Prior Audit Findings on page 75, which is prepared by management, describes the status of each finding as of the end of our audit period. For findings that were not fully corrected, the schedule describes DHS's ongoing steps to address these findings.

Finding 2016-001: Computer Data Matches

Criteria:

The U.S. Department of Health and Human Services (DHHS) provides funding to DHS for the Medical Assistance (MA) Program. DHS is required under 42 CFR s. 435.948 to verify the reasonableness of wage and other information that is provided by individuals applying for assistance and that is used in making eligibility determinations. DHS is allowed to determine which information from various computer databases is useful for verifying the reasonableness of the information in the statewide Client Assistance for Reemployment and Economic Support (CARES) computer system. DHS completes data matches with the following:

- information from the U.S. Social Security Administration (SSA), including social security numbers and supplemental security income payments;
- state wage information collected by the Division of Unemployment Insurance in the Department of Workforce Development, which is Wisconsin's state wage information collection agency (SWICA); and
- unemployment compensation (UC) information maintained by the Department of Workforce Development's Division of Unemployment Insurance.

As required by 42 CFR s. 435.952, DHS must promptly perform the data matches. Local agency caseworkers then follow up on data match discrepancies to ensure eligibility determinations are based on the most recent and reliable data. DHS policy generally requires that caseworkers resolve the discrepancies within 45 days of the data match date and document in CARES the actions taken to resolve them. If it is determined that benefits were provided to ineligible individuals or excessive benefits were provided to eligible individuals, DHS must take steps to recoup the overpayments and return the federal share to the federal government.

Condition:

In prior audits, we found that DHS completed the required data matches for SSA, SWICA, and UC. However, we also found that caseworkers did not perform follow-up in a timely manner on the SWICA and UC data match discrepancies despite enhancements to CARES and DHS's ongoing efforts to address concerns in this area. We recommended that DHS continue its efforts to ensure caseworkers follow up in a timely manner and document the resolution of data match

discrepancies between CARES and other databases (Finding 2015-024). DHS's corrective action plan indicated that it would continue to make enhancements to CARES and improve the timeliness of follow-up on data matches.

During the FY 2015-16 audit, we noted overall improvements in the timeliness of resolving cases with data match discrepancies. For example, between April 2015 and March 2016, caseworkers resolved 67.2 percent of MA Program cases that had a SWICA match discrepancy in 45 days or less, compared to 36.8 percent in the prior year. At the time of our fieldwork, caseworkers had not yet started a review of over 7,000 cases, or 4.3 percent, compared to 11.4 percent that had not been started during the prior year.

However, we continued to identify timeliness concerns for specific cases we reviewed. We tested the follow-up efforts for a selection of ten MA Program cases for which a SWICA data match discrepancy occurred between April 2015 and March 2016. For these cases, we reviewed CARES to determine whether there was evidence indicating that a caseworker reviewed and resolved the discrepancy within 45 days and that CARES was appropriately updated. We found that five of the ten cases were not resolved within 45 days of the SWICA data match date.

We also tested the follow-up efforts for a selection of five MA Program cases for which a UC data match discrepancy occurred between April 2015 and March 2016. We found that caseworkers indicated that, for these cases, the discrepancy was resolved or was determined to have no effect on the participant's eligibility determination. However, three of the five cases that required additional research were not resolved within 45 days of the UC data match date. For one case, we also identified that there was no documentation in CARES identifying how the caseworker resolved the discrepancy or determined that there was no effect on the case.

Questioned Costs:

Undetermined.

Context:

DHS receives funding from DHHS to administer the MA Program. Funding under this program is used to provide financial assistance to states for medical payments on behalf of adults, children, pregnant women, and the aged who meet income and resource requirements, and other categorically eligible groups.

Effect:

Because caseworkers were not consistently following up in a timely manner on the identified data match discrepancies, it is unknown whether the most accurate information available was used to make eligibility determinations. It is also possible that some individuals received services for which they were not eligible and for which DHS received federal reimbursement.

Cause:

Despite enhancements DHS made to CARES, further improvement is needed to ensure that caseworkers resolve and document data match discrepancies in a timely manner.

Recommendation

We again recommend that the Wisconsin Department of Health Services ensure caseworkers follow up in a timely manner and document the resolution of data match discrepancies between CARES and other databases.

Finding 2016-001: Computer Data Matches

Medical Assistance Program (CFDA #93.778)

<u>Award Numbers</u>	<u>Award Years</u>
051505WI5MAP	2015
051605WI5MAP	2016

Questioned Costs: Undetermined

Response from the Department of Health Services: The Wisconsin Department of Health Services agrees with the audit finding and recommendation.

Finding 2016-002: Incorrect Federal Financial Participation Rate

Criteria:

DHHS provides funding to DHS for the MA Program. Federal financial participation (FFP) rates for the MA Program are determined by 42 CFR s. 433.15 (b) for specific expenditures. FFP rates for administrative activities range from 50.0 percent to 90.0 percent.

Condition:

On October 1, 2015, the State implemented an enterprise resource planning (ERP) system called STAR, which includes an accounting system. The accounting system automatically allocates DHS expenditures between different funding sources and account codes using accounting rules established by DHS. In prior years, DHS used a manual allocation process. Due to the size and complexity of the MA Program, DHS established 514 accounting rules for the program during FY 2015-16.

DHS staff create account codes to designate MA Program activities in the State’s accounting system and establish accounting rules for specific MA activities using the FFP rate applicable to each activity. The accounting system automatically follows the accounting rule by applying the specified FFP rate to the expenditures charged to the account code and draws the federal portion of the expenditures.

We reviewed 56 accounting rules to ensure that DHS had entered the appropriate FFP rate for the specified MA Program activity. We found that DHS staff had entered an incorrect FFP rate for one accounting rule. DHS staff entered a 90.0 percent FFP rate instead of the authorized FFP rate of 50.0 percent for an administrative activity. During FY 2015-16, a total of \$65,560 in expenditures was recorded with this account code.

Questioned Costs:

We determined that \$26,224 in unallowable costs was charged to federal funds due to DHS allocating 40.0 percent over the authorized FFP rate for a total of \$65,560 in expenditures. We also question an undetermined amount for other accounting rules established by DHS for MA Program account codes that potentially use an incorrect FFP rate.

Context:

DHS receives funding from DHHS to administer the MA Program. Funding under this program is used to provide financial assistance to states for medical payments on behalf of adults, children, pregnant women, and the aged who meet income and resource requirements, and other categorically eligible groups.

Effect:

As a result of DHS using an incorrect FFP rate when establishing an accounting rule for a MA Program account code, the accounting system automatically allocated more expenditures to federal funds than was authorized.

Cause:

DHS does not have adequate procedures in place to ensure all FFP rates entered for MA Program accounting rules within the accounting system are accurate. For example, the accounting system does not require an approval of accounting rules by a second individual, nor does DHS have a review process for this purpose. Further, DHS's existing monitoring procedures are not sufficient to detect all incorrect allocations of expenditures to federal funds resulting from errors in accounting rules established for the MA Program.

Recommendation

We recommend the Wisconsin Department of Health Services:

- *review existing accounting rules for Medical Assistance Program account codes to ensure the federal financial participation rates entered are accurate; and*
- *develop adequate procedures to ensure that accounting rules established for the Medical Assistance Program use appropriate federal financial participation rates and accurately allocate expenditures to federal funds.*

Finding 2016-002: Incorrect Federal Financial Participation Rate

Medical Assistance Program (CFDA #93.778)

<u>Award Numbers</u>	<u>Award Years</u>
051505W15MAP	2015
051605WI5MAP	2016

Questioned Costs: \$26,224, Plus an Undetermined Amount

Response from the Department of Health Services: The Wisconsin Department of Health Services agrees with the audit finding and recommendation.

Finding 2016-003: Federal Financial Report—Money Follows the Person

Criteria:

DHS is required by grant agreements with DHHS to submit a semiannual Federal Financial Report (FFR) for the Money Follows the Person program. The FFR includes information such as cash received and disbursed, federal and state shares of expenditures, and unobligated balances as of the end of the reporting period. DHHS requires the FFRs to be submitted no later than 30 days after the end of the reporting period.

Condition:

DHS prepares the FFR based on amounts in the State’s accounting system and the Notice of Award documentation from the Centers for Medicare and Medicaid Services (CMS). Before submitting the FFR to the federal government, a DHS supervisor reviews it.

In our prior audit, we reported that DHS made several significant errors in the FFRs. We recommended that DHS develop written procedures to ensure that the FFRs for the Money Follows the Person program are complete, accurate, and properly supported. We also recommended that DHS perform a thorough supervisory review of the FFRs to ensure the amounts reported are reasonable and free of material misstatement (Finding 2015-026). DHS’s corrective action plan indicated that it would create written procedures for completing the FFR. These procedures were anticipated to include the requirement for a thorough supervisory review to verify the accuracy of the information.

During our FY 2015-16 audit, we found that DHS had developed written procedures for preparing FFRs for the Money Follows the Person program. Further, we found that a supervisory review was performed. However, we identified four errors in the FFR we reviewed for the period ended June 30, 2016. As a result of the errors, the federal cash disbursements were overstated by \$990,466 and the federal share of expenditures and unobligated balance of federal funds was overstated by \$990,466.

Questioned Costs:

None.

Context:

DHS receives funding from CMS to administer the Money Follows the Person program. Program funds are used to help MA Program participants transition from institutions, such as nursing homes, to the community. The Money Follows the Person program provides DHS with additional federal funding beyond what MA federal funding would provide for the same services. DHS uses information from the State's accounting system to compile the FFR.

Effect:

DHS did not materially comply with the reporting requirement of the Money Follows the Person program. As a result, CMS did not receive accurate and complete information in the FFR, which CMS uses to monitor the program during the reported period.

Cause:

DHS staff made four errors in compiling the FFR, the largest of which was inadvertently reporting expenditures funded by state appropriations with amounts that should have only included federal expenditures. These errors were made because of the manual process DHS uses to compile the FFR. In addition, we found that DHS's written procedures for compiling the FFR did not include a step to remove expenditures funded by state appropriations.

 Recommendation

We recommend the Wisconsin Department of Health Services:

- *revise its written procedures to ensure that staff follow the appropriate steps in preparing a Federal Financial Report for the Money Follows the Person Rebalancing Demonstration program that is complete, accurate, and properly supported; and*
- *perform a thorough supervisory review of the Federal Financial Reports to ensure that amounts reported are reasonable and free of material errors.*

Finding 2016-003: Federal Financial Report—Money Follows the Person

Money Follows the Person Rebalancing Demonstration (CFDA #93.791)

<u>Award Number</u>	<u>Award Years</u>
1LICMS300139	2007-2016

Questioned Costs: None

Response from the Department of Health Services: The Wisconsin Department of Health Services agrees with the audit finding and recommendation.

Finding 2016-004: Federal Financial Report—Immunization Program

Criteria:

DHS is required by grant agreements with DHHS to submit an annual FFR for each award under the Immunization program. The FFR includes information such as the total funds authorized and disbursed during the time frame covered by the report, the federal share of expenditures, and the unobligated balance of federal funds. DHHS requires the FFRs to be submitted no later than 90 days after the end of the calendar quarter in which the budget period ends. If the information cannot be provided by the due date, DHS is required to contact DHHS before the due date.

Condition:

DHS submitted two FFRs for specific Immunization program awards. However, we found that, at the time of our fieldwork, DHS had not submitted to DHHS the FFR for a third Immunization program award, which had a budget period ended December 31, 2015, and had not notified DHHS that it had not submitted this report as required.

Questioned Costs:

None.

Context:

DHS receives funding from DHHS's Centers for Disease Control and Prevention to administer the Immunization program. Funding under this program is used for planning, organizing, and conducting immunization programs for vaccine-preventable diseases and for purchasing vaccines. DHS receives annual funding for the Immunization program, and funds remaining under a specific grant award may be expended in subsequent years. As a result, DHS typically has available funding from several grant awards concurrently. DHS uses information from the State's accounting system to compile the FFR and must ensure the accuracy of the information within the report. On October 1, 2015, the State implemented STAR, which includes an accounting system.

Effect:

Due to its failure to submit the FFR for a third Immunization program award and notify DHHS that it had not submitted this report as required, DHS is in material noncompliance with the reporting requirement of the Immunization program. Further, failure to submit the required information in a timely manner may adversely affect DHS's future funding.

Cause:

The two FFRs for Immunization program awards that DHS had submitted in a timely manner had the majority of their funds expended using the State's prior accounting system. However, DHS staff indicated that the completion and submission of the third FFR report was delayed because over \$1.5 million of the award's expenditures was processed by STAR and DHS was uncertain about the accuracy of information from this system. Although DHS staff understood the requirement to notify DHHS of the delay, no notification was provided because DHS staff indicated it had other priorities, such as ensuring the accuracy of the STAR system.

☑ Recommendation

We recommend the Wisconsin Department of Health Services complete and submit the Federal Financial Report for the Immunization Cooperative Agreements program award with a budget period ended December 31, 2015, and ensure timely completion and submission of future reports.

Finding 2016-004: Federal Financial Report—Immunization Program***Immunization Cooperative Agreements*** (CFDA #93.268)

<u>Award Number</u>	<u>Award Year</u>
5H23IP00760-03	2014

Questioned Costs: None

Response from the Department of Health Services: The Wisconsin Department of Health Services agrees with the audit finding and recommendation.

■ ■ ■ ■

Department of Natural Resources ■

The Wisconsin Department of Natural Resources (DNR) administers programs related to protecting and enhancing Wisconsin's natural resources, including its air, land, water, forests, wildlife, fish, and plants. DNR administered \$120.7 million in federal financial assistance in FY 2015-16.

We reviewed and tested DNR's internal controls and tested compliance with grant requirements for the Fish and Wildlife Cluster (CFDA #15.605/15.611) and the Performance Partnership Grants (CFDA # 66.605) program, which are type B programs. We identified no issues that require reporting for the Performance Partnership Grants program. However, we identified concerns with reporting for the Fish and Wildlife Cluster.

Finding 2016-005: Paid Hunting and Fishing License Certification—Fish and Wildlife Cluster

Criteria:

The Sport Fish Restoration program and the Wildlife Restoration and Basic Hunter Education programs compose the Fish and Wildlife Cluster. Pursuant to 50 CFR s. 80.30, to participate in these programs, DNR must annually certify the number of paid fishing and hunting license holders by completing and signing forms 3-154A and 3-154B, Paid Hunting and Fishing License Certification (Certification). The certification period must end at least one year and less than two years before the beginning of the federal fiscal year that funds become available. The data reported in the Certification is used by the U.S. Fish and Wildlife Service (FWS), a bureau within the Department of the Interior, to compute the amount of funds to apportion to the State. Pursuant to 50 CFR s. 80.31, DNR must provide documentation to support the accuracy of the Certification.

Condition:

We tested the Certification filed for the license year ended March 2013 because this information will be used by FWS to apportion funding to DNR for FY 2015-16. DNR submitted the March 2013 Certification in August 2014, as required. However, we were unable to substantiate the information included in the Certification because DNR did not adequately retain documentation to support the information it reported. DNR relied upon its recreational licensing system vendor, Active Network, LLC, to compile the Certification. Although DNR indicates that it performed procedures to validate the Certification provided by Active Network, we found that it did not retain adequate documentation to support the information included within the Certification. We reviewed the Certifications for the license years ended March 31, 2014, and March 31, 2015, and noted a similar lack of supporting documentation for the information in the Certifications. DNR provided the underlying raw data for the Certifications, as well as evidence of some of the underlying job processes previously used to compile the data. However, this information did not fully support the accuracy of the information reported in the Certifications.

Questioned Costs:

None

Context:

DNR receives funding from FWS to administer the Fish and Wildlife Cluster. Funding under this grant cluster is used for the management of DNR fish and wildlife management activities. The majority of program and project grant funds under the Cluster are apportioned through a statutory formula that is based on data included in the annual Certification.

Effect:

Because DNR did not retain adequate documentation, we were unable to substantiate the accuracy of the information in the Certifications submitted for the years ended March 31, 2013, March 31, 2014, and March 31, 2015. Because FWS relies on DNR's Certification in its statutory formulas to compute the apportionment to the State, the effect of a potential misstatement could impact apportionment totals in the future.

Cause:

DNR severed its relationship with Active Network and the licensing system, Automated License Issuance System, was dissolved. In March 2016, DNR, working with Wisconsin Interactive Network, LLC, implemented a new online licensing system (Go Wild). At that time, Active Network terminated DNR's access to its data warehouse. Additionally, the DNR staff member responsible for compiling the supporting documentation retired during 2016. DNR staff indicated that, with some additional time, they could re-create this documentation for the Certifications we reviewed. DNR indicates that after planned implementation of additional functionality in the new system, it will be able to provide this documentation in the future.

Recommendation

We recommend the Wisconsin Department of Natural Resources ensure it retains adequate documentation to support information in the Paid Hunting and Fishing License Certifications.

Finding 2016-005: Paid Hunting and Fishing License Certification—Fish and Wildlife Cluster

Fish and Wildlife Cluster (CFDA #15.605/15.611)

<u>Award Numbers</u>	<u>Award Years</u>
F11AF00597	2012-2016
F13AF00211	2013-2016
F13AF00212	2014-2017
F13AF00515	2013-2016
F13AF00812	2015-2016
F13AF01084	2014-2016
F13AF01116	2014-2018
F13AF01159	2014-2018
F14AF00464	2014-2018
F14AF00470	2014-2020
F14AF00474	2015-2018
F14AF00811	2015-2016
F14AF01084	2014-2016
F14AF01334	2015-2018
F14AF01368	2015-2018
F15AF00417	2015-2018
F15AF00420	2015-2019
F15AF00558_A	2016
F15AF00558_E	2016
F15AF00558_M	2016
F15AF00563_E	2016
F15AF00563_HE	2016
F15AF00828	2016-2017
F15AF00762	2016-2017
F15AF01111	2016-2019

Questioned Costs: None

Response from the Department of Natural Resources: The Department of Natural Resources agrees with this finding.

The Department has submitted this certification to the U.S. Fish and Wildlife Service (FWS) annually, and it has not noted any concerns with the validity of the data. FWS has provided an acceptance certificate to the Department for each of the years in question.

After the Department became aware of the concern related to documentation, it provided additional information and documentation to the auditors, including some of the detailed queries and reports that tied revenues back to the specific license type. The Department has a high degree of confidence that the information included in the Certification was accurate and agreed with the underlying database, supporting its paid hunting and fishing licenses.

University of Wisconsin System ■

The University of Wisconsin (UW) System provides postsecondary academic education for approximately 179,000 students. The UW System includes 13 four-year universities, 13 two-year colleges (UW Colleges), UW-Extension, and UW System Administration. Each of the 13 universities awards bachelor's and master's degrees, and several also confer doctoral degrees. Each of the 13 colleges offers general education associate degrees and course credits that transfer to other degree-granting universities. UW-Extension, in cooperation with other UW institutions, provides continuing education courses in classrooms and via distance education, as well as public service programs to Wisconsin residents. UW System Administration consists of the UW System President's staff who assist the Board of Regents in establishing and monitoring systemwide policies, financial planning for the system, and maintaining fiscal control.

During FY 2015-16, UW System administered \$1.7 billion in federal financial assistance, including \$579.7 million disbursed under the Research and Development (R&D) Cluster and \$1.1 billion administered under the Student Financial Assistance Cluster. These programs were not selected for testing during the FY 2015-16 audit. However, we followed up on UW System's progress in addressing Findings 2015-028 and 2015-030 related to these programs from our FY 2014-15 audit (report 16-5). UW System implemented corrective action to address our concerns related to Finding 2015-028 and took corrective actions to partially address Finding 2015-030. It will be important for UW System to continue to work to resolve this finding. The Summary Schedule of Prior Audit Findings on page 75, which is prepared by management, describes the status of these findings as of the end of our audit period. For the finding that was not fully corrected, the schedule also describes UW System's ongoing steps to address the finding.

For the FY 2015-16 single audit, we reviewed and tested internal controls and tested compliance related to the Cooperative Extension Service (CFDA # 10.500) program, a type B program, and noted no issues that required reporting. We also reviewed the TRIO Cluster (CFDA # 84.042/84.044/84.047/84.066/84.217), which is also a type B program. Each of the 13 four-year universities and UW Colleges administers one or more of the programs in the Cluster. We focused our review on the three largest programs: TRIO—Student Support Services (CFDA #84.042), TRIO—Upward Bound (CFDA #84.047), and TRIO—McNair Post-Baccalaureate Achievement (CFDA #84.217). We report concerns related to matching requirements, eligibility determination, time and effort reporting, and preparation of the Annual Performance Reports for programs in the TRIO Cluster.

We also included the Wisconsin Humanities Council in the FY 2015-16 audit of UW System and audited the Promotion of the Humanities—Federal/State Partnership (CFDA #45.129) grant. The Wisconsin Humanities Council is a nonprofit organization associated with UW System through its relationship with UW-Extension, which is responsible for the fiscal and personnel administration of the Humanities Council. We documented and tested controls used in administering the grant and tested federal grant requirements. We noted no issues that required reporting during our review of this program.

Finding 2016-006: Matching, TRIO—Student Support Services

Criteria:

34 CFR s. 646.33 requires TRIO—Student Support Services program funding that is used for grant aid to students be matched in cash, from non-federal sources, in an amount that is not less than 33 percent of the total federal grant aid used for students. Institutions may apply for and receive a waiver from the matching requirement on the basis of eligibility for receipt of funds under Part A or B of Title III, or Title V of the Higher Education Act of 1965.

Condition:

Eight of the eleven UW System institutions that receive funding under the TRIO—Student Support Services program provide grant aid to students. Of these eight institutions, four have received a waiver from the U.S. Department of Education and are not required to meet the match requirements. However, for three of the remaining four institutions, we identified concerns with compliance with the federal match requirements.

First, UW-Madison under-matched its grant aid to students by \$16,156. After we inquired about the match to UW-Madison, staff provided an additional \$16,500 in match funding in February 2017.

Second, UW-Oshkosh staff initially indicated that the institution was exempt from matching requirements because it had an approved waiver from the U.S. Department of Education. However, staff were not able to provide documentation of the waiver

and later determined that they had not applied for the waiver. Staff then indicated that UW-Oshkosh had met the match requirements through the distribution of Wisconsin Higher Education Grant (WHEG) funds, which had been provided to students who received grant aid under the TRIO—Student Support Services program. The WHEG funding is packaged and provided to students at the beginning of the semester, while the TRIO—Student Support Services grant aid is provided later in the semester when grant aid is distributed. We are concerned that UW-Oshkosh is not appropriately considering the use of state match funds since it is identifying, after the fact, the amounts to be used as state match.

Finally, UW-River Falls used WHEG funding to meet the state match requirements under the TRIO—Student Support Services program. As noted above, WHEG funding is packaged and provided to students at the beginning of the semester, while the TRIO—Student Support Services grant aid is provided later in the semester when grant aid is distributed. We are concerned that UW-River Falls is not appropriately considering the use of state match funds since it is identifying, after the fact, the amounts to be used as state match.

Questioned Costs:

None.

Context:

UW System institutions receive funding under the TRIO—Student Support Services program to provide academic support services to low-income students, first-generation students, and students with disabilities to enable them to be retained in and graduate from institutions of higher education. Grant aid is available to assist students who have a need for additional financial support.

Effect:

UW-Madison and UW-Oshkosh are not in compliance with the federal requirements for matching grant aid provided to students under the TRIO—Student Support Services program. UW-River Falls may not be in compliance with the federal requirements for matching grant aid provided to students under the TRIO—Student Support Services program.

Cause:

UW-Madison staff indicated that a lack of staff resources caused an oversight to occur that resulted in the match not being met.

UW-Oshkosh staff erroneously believed the institution had received a waiver from the U.S. Department of Education. However, UW-Oshkosh did not receive a waiver and was therefore required to meet match requirements for the TRIO—Student Support Services grant.

Regarding concerns identified with match for UW-Oshkosh and UW-River Falls, regulations are unclear regarding whether Wisconsin Higher Education Grant funds may be used as state match for the grant.

Recommendation

We recommend UW-Madison ensure that match requirements for the TRIO—Student Support Services grant are appropriately monitored and met.

We recommend UW-Oshkosh:

- *ensure that match requirements for the TRIO—Student Support Services grant are appropriately monitored and met; and*
- *work with the U.S. Department of Education to obtain approval for using Wisconsin Higher Education Grant funding as state match for the TRIO—Student Support Services grant.*

We recommend UW-River Falls work with the U.S. Department of Education to obtain approval for using Wisconsin Higher Education Grant funding as state match for the TRIO—Student Support Services grant.

Finding 2016-006: Matching, TRIO—Student Support Services

TRIO—Student Support Services (CFDA #84.042)

<u>Award Numbers</u>	<u>Award Years</u>	<u>Institutions</u>
P042A151271	2015	UW-Madison
P042A151280	2015	UW-Madison
P042A150083	2015	UW-Oshkosh
P042A150244	2015	UW-Oshkosh
P042A151067	2015	UW-River Falls

Questioned Costs: None

Response from UW-Madison: UW-Madison agrees with the recommendation.

Response from UW-Oshkosh: UW-Oshkosh (UWO) agrees with this recommendation. UWO acknowledges that the institution is not Title III eligible, as incorrectly stated within recent reports filed with the Department of Education. Further, regulations are unclear regarding whether Wisconsin Grant funds can be used as state (and federal) match for the grant.

Response from UW-River Falls: UW-River Falls agrees with the recommendation.

Finding 2016-007: Eligibility, TRIO—McNair Post-Baccalaureate Achievement

Criteria:

34 CFR s. 647.3 states that a student is eligible to participate in the TRIO—McNair Post-Baccalaureate Achievement (CFDA #84.217) program if a student meets the following requirements:

- is a citizen, national, or permanent resident of the United States;
- is currently enrolled in a degree program at an institution of higher education that participates in the student financial assistance programs;
- is a low-income, first-generation college student or an individual who is a member of a group that is underrepresented in graduate education or, under certain circumstances, underrepresented in certain academic disciplines; and
- has not enrolled in doctoral-level study.

To determine a student's eligibility for the TRIO—McNair Post-Baccalaureate Achievement program, an institution must obtain evidence to support that a student meets these eligibility requirements.

Condition:

We audited compliance with eligibility requirements for the nine UW institutions that expended funding under the McNair Post-Baccalaureate Achievement program, and identified concerns with students not meeting eligibility requirements at two of the institutions.

We reviewed student applications and other documentation for six UW-Eau Claire students admitted into the TRIO—McNair Post-Baccalaureate Achievement program, and we found that UW-Eau Claire did not maintain documentation to support eligibility for two of the students. UW-Eau Claire staff could not provide documentation to support the students' statuses as low-income and first-generation, or as underrepresented in graduate education. Further, these two students received stipends and other reimbursement for which they were not eligible and, therefore, we question \$4,742.

We reviewed applications for three UW-River Falls students admitted into the TRIO—McNair Post-Baccalaureate Achievement program, and we found that UW-River Falls did not maintain documentation to support eligibility for one of the students. UW-River Falls staff could not provide documentation to support the student's status as low-income and first-generation, or as underrepresented in graduate education. UW-River Falls staff indicated that, prior to leaving employment at UW-River Falls, the program director had identified that this student, as well as others, were not eligible for the program. Staff indicated that

the U.S. Department of Education was informed of this student’s status, as well as the others in November 2016.

Questioned Costs:

\$4,742

Context:

UW System institutions receive funding under the TRIO—McNair Post-Baccalaureate Achievement program to help low-income, first-generation college students or students who are members of groups underrepresented in graduate education with preparation for doctoral study through research and other activities. UW-Eau Claire served 28 students and expended \$251,762 under this program in FY 2015-16. UW-River Falls served 31 students and expended \$261,934 under this program in FY 2015-16.

Effect:

UW-Eau Claire and UW-River Falls are in noncompliance with TRIO—McNair Post-Baccalaureate Achievement program eligibility requirements. Students may have been admitted to the program who are not eligible for the program.

Cause:

Staff at both UW-Eau Claire and UW-River Falls indicated that turnover in staff working on the TRIO—McNair Post-Baccalaureate Achievement program contributed to the concerns noted with lack of documentation.

Recommendation

We recommend UW-Eau Claire and UW-River Falls review their procedures for making eligibility determinations under the TRIO—McNair Post-Baccalaureate Achievement program and ensure appropriate documentation is obtained and maintained to support eligibility determinations.

Finding 2016-007: Eligibility, TRIO—McNair Post-Baccalaureate Achievement

TRIO—McNair Post-Baccalaureate Achievement (CFDA #84.217)

<u>Award Numbers</u>	<u>Award Year</u>	<u>Institutions</u>
P217A120152	2015	UW-Eau Claire
P217A120217	2015	UW-River Falls

Questioned Costs: \$4,742

Response from UW-Eau Claire: UW-Eau Claire agrees with the recommendation to review procedures for making eligibility determinations and to maintain appropriate documentation of those decisions regarding the TRIO—McNair Post Baccalaureate Achievement program.

Response from UW-River Falls: UW-River Falls has reviewed the interim audit memo and agrees with the finding and recommendation.

Finding 2016-008: Time and Effort Reporting—TRIO Cluster

Criteria:

2 CFR Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Subpart E—Cost Principles*, s. 200.430 (h) (8) (i) (1) states, “Standards for Documentation of Personnel Expenses (1) Charges to Federal awards for salaries and wages must be based on records that accurately reflect the work performed. These records must: (i) Be supported by a system of internal control which provides reasonable assurance that the charges are accurate, allowable and properly allocated.”

To comply with this requirement, UW System institutions prepare a time and effort report that documents the work effort of the employee for the reporting period. Institutional requirements vary regarding which individuals, such as the employee only or the employee and his or her supervisor, certify the time either through an electronic approval or a signature on the report. To provide assurance over allowable payroll charges, it would be reasonable to expect that the time and effort reports would be certified in a timely manner.

Condition:

We identified that time and effort reports were not consistently certified in a timely manner at 10 of the 14 UW institutions that administer TRIO Cluster programs. For example, one report for the period ended May 31, 2016, was not certified until December 8, 2016. Further, four institutions provided reports certifying time during FY 2015-16 that were signed in February 2017, after we made our requests for the reports. The following table summarizes the results of our testing by UW institution.

**Results of Time and Effort Report Testing
FY 2015-16**

UW Institution	TRIO—Student Support Services			TRIO—Upward Bound			TRIO—McNair Post-Baccalaureate Achievement		
	Reports Tested	Number Not Certified in a Timely Manner	Percent	Reports Tested	Number Not Certified in a Timely Manner	Percent	Reports Tested	Number Not Certified in a Timely Manner	Percent
Colleges	6	5	83.3%	–	–	–	–	–	–
Eau Claire	6	2	33.3	4	1	25.0%	4	0	0.0%
Green Bay	–	–	–	6	3	50.0	–	–	–
La Crosse	4	3	75.0	4	2	50.0	4	4	100.0
Madison	4	0	0.0	–	–	–	4	0	0.0
Milwaukee	4	3	75.0	10	5	50.0	7	4	57.1
Oshkosh	4	0	0.0	–	–	–	2	0	0.0
Parkside	4	4	100.0	–	–	–	–	–	–
Platteville	4	4	100.0	–	–	–	–	–	–
River Falls	4	3	75.0	4	0	0.0	4	0	0.0
Stevens Point	–	–	–	4	0	0.0	–	–	–
Stout	6	0	0.0	–	–	–	4	0	0.0
Superior	4	4	100.0	4	4	100.0	6	6	100.0
Whitewater	–	–	–	4	4	100.0	2	2	100.0
Total	50	28	56.0	40	19	47.5	37	16	43.2

Questioned Costs:

None.

Context:

UW System institutions receive funding under the TRIO Cluster programs to help first-generation college and economically disadvantaged students achieve success at the postsecondary level by facilitating high school completion and postsecondary education entry and retention. Salary and fringe benefit expenditures constitute 68.8 percent of the total expenditures for the TRIO—Student Support Services, TRIO—Upward Bound, and TRIO—McNair Post-Baccalaureate Achievement programs.

Effect:

Untimely supervisory reviews of time and effort reports that were not certified in a timely manner increased the risk that inappropriate charges may have been made to the TRIO—Student Support Services, TRIO—Upward Bound, or TRIO—McNair Post-Baccalaureate Achievement programs.

Cause:

UW Colleges staff indicated that time and effort reports are generated by a central office, and the reports may not be provided to staff in a timely manner for certification.

UW-Eau Claire staff indicated the time and effort reports were not certified in a timely manner for various reasons, including the institution lacking a policy on timelines for these reports to be generated and provided to staff, as well as staff turnover.

UW-Green Bay staff indicated that there was an issue that caused delays in the Controller's Office reporting process, resulting in certification of time and effort to be missed from January through June 2016.

UW-La Crosse staff indicated that time and effort reports are generated by a central office, and the reports may not be provided to staff in a timely manner for certification.

UW-Milwaukee uses an automated system to complete time and effort certifications. Staff did not prioritize certifying the time and effort reports.

Because UW-Parkside staff did not properly prioritize the review and certification of the time and effort reports, the reports were not certified in a timely manner.

UW-Platteville staff indicated that turnover in the grant accountant position contributed to the time and effort report certifications not being performed in a timely manner.

UW-River Falls staff indicated that turnover in the program director position may have contributed to the time and effort report certifications not being performed in a timely manner.

UW-Superior staff indicated that the accounting department was delayed in creating the time and effort reports because of other priorities. Therefore, the reports could not be certified in a timely manner.

UW-Whitewater staff indicated the time and effort reports were not certified in a timely manner for various reasons, including that the central office generating reports did not provide them to staff for certification in a timely manner, as well as staff turnover.

☑ Recommendation

We recommend the UW institutions evaluate procedures for reviewing and certifying time and effort reports to ensure timely certification of the reports.

Finding 2016-008: Time and Effort Reporting—TRIO Cluster**TRIO—Student Support Services (CFDA #84.042)**

<u>Award Numbers</u>	<u>Award Years</u>	<u>Institutions</u>
P042A120448	2015	UW Colleges
P042A150403	2015	UW-Eau Claire
P042A150072	2015	UW-La Crosse
P042A150370	2015	UW-Milwaukee
P042A100723	2014	UW-Milwaukee
P042A150143	2015	UW-Parkside
P042A100985	2014	UW-Parkside
P042A150551	2015	UW-Platteville
P042A150561	2015	UW-Platteville
P042A151067	2015	UW-River-Falls
P042A151473	2015	UW-Superior

Questioned Costs: None

TRIO—Upward Bound (CFDA #84.047)

<u>Award Numbers</u>	<u>Award Year</u>	<u>Institutions</u>
P047A120375	2015	UW-Eau Claire
P047M130237	2015	UW-Green Bay
P047A120357	2015	UW-Green Bay
P047A120573	2015	UW-La Crosse
P047A120080	2015	UW-Milwaukee
P047V120038	2015	UW-Milwaukee
P047M120481	2015	UW-Milwaukee
P047A120239	2015	UW-Superior
P047A121105	2015	UW-Whitewater

Questioned Costs: None

TRIO—McNair Post-Baccalaureate Achievement (CFDA #84.217)

<u>Award Numbers</u>	<u>Award Year</u>	<u>Institutions</u>
P217A130015	2015	UW-La Crosse
P217A120112	2015	UW-Milwaukee
P217A120080	2015	UW-Superior
P217A120290	2015	UW-Whitewater

Questioned Costs: None

Response from UW Colleges: UW Colleges agrees with the recommendation to evaluate our procedures for reviewing and certifying time and effort reports to ensure timely certification of the reports.

Response from UW-Eau Claire: UW-Eau Claire agrees with the findings in the memo and the recommendation.

Response from UW-Green Bay: UW-Green Bay agrees with the recommendation. Please note that only the January–June 2016 time and effort certifications were not completed timely, and that all other time and effort certifications for the audit period were completed timely.

Response from UW-La Crosse: UW-La Crosse agrees with the findings in the memo and the recommendation. We have evaluated our current procedures and will make adjustments to ensure time and effort reports are certified within 90 days.

Response from UW-Milwaukee: While UWM has continuously made improvements to the effort certification program and utilizes a campus-wide network of effort coordinators, there continues to be a need for additional improvement in timeliness. UWM agrees with the finding.

Response from UW-Parkside: UW-Parkside agrees with the audit finding concerning certifying time and effort reports on the TRIO—Student Support Services federal grant.

Response from UW-Platteville: UW-Platteville agrees with the finding and the recommendations.

Response from UW-River Falls: UW-River Falls agrees with the finding and recommendation.

Response from UW-Superior: UW-Superior agrees time and effort reports identified in the audit were not consistently certified in a timely manner.

Response from UW-Whitewater: UW-Whitewater agrees with the recommendation that time and effort certifications need to be completed in a timely manner and will modify its internal procedures accordingly.

Finding 2016-009: Annual Performance Reports and Earmarking—TRIO Cluster

Criteria:

34 CFR s. 75.118 (a) requires institutions that participate in the TRIO—Student Support Services, TRIO—Upward Bound, and TRIO—McNair Post-Baccalaureate Achievement programs to prepare and certify an Annual Performance Report for each program. The Annual Performance Report data elements vary by program. The Office of Management and Budget (OMB) Compliance Supplement identifies key data elements that contain critical information. In addition, earmarking requirements are reported in the Annual Performance Report.

Each TRIO program has specific earmarking requirements, including:

- for the TRIO—Student Support Services program, at least two-thirds of students served must be low-income individuals who are first-generation college students or individuals with

disabilities; not less than one-third of the individuals with disabilities must also be low-income individuals, and the remaining students served must be low-income individuals, first-generation college students, or individuals with disabilities (34 CFR ss. 646.7 and 646.11);

- for the TRIO—Upward Bound program at least two-thirds of the participants must be low-income individuals who are potential first-generation college students, and the remaining participants must be either low-income individuals or potential first-generation college students or individuals who have a high-risk of academic failure (34 CFR ss. 645.21 and 645.6); and
- for the TRIO—McNair Post-Baccalaureate Achievement program at least two-thirds of the students served must be low-income individuals who are first-generation college students, and the remaining students must be members of groups underrepresented in graduate education (34 CFR ss. 647.10 and 647.7).

We audited the Annual Performance Reports for these three programs and focused our testing on the key data elements. As part of our testing of the Annual Performance Reports, we verified whether the institutions met the earmarking requirements.

Condition:

UW institutions either erroneously reported information or were unable to provide documentation to support key data elements in the Annual Performance Reports for the TRIO—Student Support Services, TRIO—Upward Bound, and TRIO—McNair Post-Baccalaureate Achievement programs. We identified exceptions for 9 of the 14 UW institutions, as shown in the following table.

**Results of Annual Performance Report Testing
For the Program Year Ended in 2016**

UW Institution	TRIO—Student Support Services			TRIO—Upward Bound			TRIO—McNair Post-Baccalaureate Achievement		
	Data Elements Tested	Number of Exceptions	Percent	Data Elements Tested	Number of Exceptions	Percent	Data Elements Tested	Number of Exceptions	Percent
Colleges	135	0	0.0%	–	–	–	–	–	–
Eau Claire	117	0	0.0	72	0	0.0%	48	3	6.3%
Green Bay	–	–	–	132	0	0.0	–	–	–
La Crosse	72	3	4.2	72	2	2.8	24	1	4.2
Madison	81	2	2.5	–	–	–	24	0	0.0
Milwaukee	63	1	1.6	72	0	0.0	40	7	17.5
Milwaukee/Math and Science	–	–	–	60	3	5.0	–	–	–
Milwaukee/Veterans	–	–	–	48	10	20.8	–	–	–
Oshkosh	81	1	1.2	–	–	–	24	1	4.2
Parkside	54	1	1.9	–	–	–	–	–	–
Platteville	126	1	0.8	–	–	–	–	–	–
River Falls	45	0	0.0	60	4	6.7	24	2	8.3
Stevens Point	–	–	–	84	0	0.0	–	–	–
Stout	117	0	0.0	–	–	–	32	0	0.0
Superior	45	0	0.0	60	0	0.0	24	0	0.0
Whitewater	–	–	–	72	14	19.4	32	1	3.1
Total	936	9	1.0	732	33	4.5	272	15	5.5

We did not project the results of our testing to the full population of data elements in the Annual Performance Reports. However, additional errors are likely in the Annual Performance Reports. Further, some of the errors in the data elements resulted in inaccurate student eligibility statuses that would affect the calculation of the program-specific earmarking requirements for some institutions. We found that 9 of the 57 exceptions identified related to an inaccurate classification of eligibility that would affect earmarking calculations at UW-Eau Claire, UW-La Crosse, UW-Madison, UW-Milwaukee, UW-River Falls, and UW-Whitewater.

The specific details of the errors in reporting or missing documentation were provided to each institution individually.

Questioned Costs:

None.

Context:

UW System institutions receive funding under the TRIO Cluster to help first-generation college and economically disadvantaged students achieve success at the postsecondary level by facilitating high school completion and postsecondary education entry, retention, and completion.

Effect:

Because the TRIO Cluster Annual Performance Reports are used by the U.S. Department of Education in considering funding levels for future award years, errors in the Annual Performance Reports could affect future funding levels. Further, errors related to eligibility information in the Annual Performance Report indicate that institutions may not have met the program-specific earmarking requirements.

Cause:

In general, staff noted that data entry errors likely caused the majority of the exceptions we noted. Further, regarding the lack of documentation, staff noted that the information is, in some cases, obtained verbally from the student and then keyed into underlying reports or systems to prepare the Annual Performance Reports. As a result, documentation was not always available.

Recommendation

We recommend UW institutions evaluate their procedures for preparing and certifying the Annual Performance Reports for the TRIO—Student Support Services, TRIO—Upward Bound, and TRIO—McNair Post-Baccalaureate Achievement programs to ensure adequate supporting documentation is maintained to support the information in the reports and to ensure the accuracy of the information being reported, including whether earmarking requirements were met.

Finding 2016-009: Annual Performance Reports and Earmarking—TRIO Cluster

TRIO—Student Support Services (CFDA #84.042)

<u>Award Numbers</u>	<u>Award Year</u>	<u>Institutions</u>
P042A150072	2015	UW-La Crosse
P042A151280	2015	UW-Madison
P042A150370	2015	UW-Milwaukee
P042A150244	2015	UW-Oshkosh
P042A150143	2015	UW-Parkside
P042A150551	2015	UW-Platteville

Questioned Costs: None

TRIO—Upward Bound (CFDA #84.047)

<u>Award Numbers</u>	<u>Award Year</u>	<u>Institutions</u>
P042A120573	2015	UW-La Crosse
P047V120038	2015	UW-Milwaukee
P047M120481	2015	UW-Milwaukee
P047A120655	2015	UW-River Falls
P047A121105	2015	UW-Whitewater

Questioned Costs: None

TRIO—McNair Post-Baccalaureate Achievement (CFDA #84.217)

<u>Award Numbers</u>	<u>Award Year</u>	<u>Institutions</u>
P217A120152	2015	UW-Eau Claire
P217A130015	2015	UW-La Crosse
P217A120112	2015	UW-Milwaukee
P217A120210	2015	UW-Oshkosh
P217A120217	2015	UW-River Falls
P217A120290	2015	UW-Whitewater

Questioned Costs: None

Response from UW-Eau Claire: UW-Eau Claire agrees with the recommendation to evaluate its procedures for preparing and certifying the Annual Performance Reports for TRIO programs.

Response from UW-La Crosse: UW-La Crosse (Student Support Services) agrees with this recommendation. The three students in question on the 2015-16 Annual Performance Report should have been coded as continuing students in the Annual Performance Report. Unfortunately, it was the director's first Annual Performance Report for UW-La Crosse and as the new UW-La Crosse Student Support Services Director.

UW-La Crosse (Upward Bound program) agrees with the recommendation. This is in response to the exceptions found in the elements tested by the audit of the FFY 15-16 Upward Bound CFDA #84.047. These exceptions were the result of an operator error in coding on the Annual Performance Report; however, verification of eligibility was submitted to confirm eligibility from our internal database. These mistakes are regrettable; however, given the volume of data entry required by our program's reporting obligation, it is not surprising. UW-La Crosse appreciates the auditor's identification of this coding error and will continue, as we move forward, to be extremely diligent in our data entry process.

UW-La Crosse (McNair Program) agrees with the recommendation. This is in response to the single exception found in the elements tested by the audit of the FFY 15-16 McNair Post-Baccalaureate Achievement Program. This exception was the result of an incorrect date being entered from a participant's academic transcript. This mistake is regrettable; however, given the volume of data entry required by our program's reporting obligation, it is not surprising. UW-La Crosse appreciates the auditor's identification of this coding error and will continue, as we move forward, to be extremely diligent in our data entry process.

Response from UW-Madison: UW-Madison agrees with the recommendation.

Response from UW-Milwaukee: While UWM has attempted to document the eligibility of each student entering and receiving services under the TRIO programs, the campus does agree with auditor’s findings related to the missing or erroneous information related to each TRIO program.

Response from UW-Oshkosh: UW-Oshkosh (McNair Program) agrees with this finding. The director has reviewed the one exception found and agrees the student was not enrolled at the UW-Oshkosh in the May 2011 as reported on the Annual Performance Report.

UW-Oshkosh (Student Support Services program) agrees with this finding.

Response from UW-Parkside: UW-Parkside agrees that there was one exception in the 54 data elements tested. A student was mistakenly listed as in “good standing” when the student should have been listed as “not in good standing” on the Student Support Services Annual Performance Report for 2015-16. As explained, this was a data entry error.

Response from UW-Platteville: UW-Platteville agrees with the error finding that was provided as part of the Annual Performance Report section of the TRIO audit of Student Support Services.

UW-Platteville was provided with the specific error being incorrectly coded in the 2015-2016 Annual Performance Report. In field #29 of the Annual Performance Report, we should have coded this student as an 8—still enrolled. Instead, we coded the student as a 1—academic dismissal. Indeed, this student was dismissed after the end of the spring 2016 term. However, field 29 is asking whether the student was still enrolled at the end of the term, and this student was still enrolled. This field also has the potential to impact further fields.

Response from UW-River Falls: UW-River Falls agrees with the finding and recommendation.

Response from UW-Whitewater: UW-Whitewater (Upward Bound) agrees with the recommendation to evaluate its procedures for preparing and certifying the Annual Performance Report to ensure adequate supporting documentation is maintained, and will modify its internal procedures accordingly.

Eligibility of At-Risk Students: When first semester freshmen apply to the Upward Bound program, they do not have a GPA which is then coded as below a 2.5 in the database used by Upward Bound. Therefore, these students were listed with their first-generation status, low-income status, and an at-risk status. Despite the lack of supporting documentation for the listed students, at this time the Upward Bound program remains in compliance with student eligibility requirements.

While partnerships are in place prior to the submission of a grant, obtaining information from school districts can still be a protracted process. Districts store information differently and give school staff access at different levels and time frames. This can create delays in the timeliness of response. The UW-Whitewater Upward

Bound program is vigilant in its efforts to obtain documentation as required and support potential students in accessing services when appropriate.

Enter Grade Level: The two students listed were erroneously listed as entering the program in the 10th grade and they should have been listed as entering the program in the 9th grade.

UW-Whitewater (McNair Program) agrees with the recommendation to evaluate its procedures for preparing and certifying the Annual Performance Report to ensure adequate supporting documentation is maintained, and will modify its internal procedures accordingly.

■ ■ ■ ■

Other Agencies ■

In addition to DHS, DNR, and UW System, we also audited federal grant programs or followed up on the status of prior audit findings at six other state agencies. The following is a summary of the work we performed at the departments of Administration, Children and Families, Military Affairs, Public Instruction, Veterans Affairs, and Workforce Development.

Department of Administration

DOA provides support services to other state agencies, manages certain housing and economic development activities, and performs other functions prescribed by law. DOA is also responsible for providing the Governor with fiscal management information and the policy alternatives required for preparing Wisconsin's biennial budget. Federal grants funded \$142.0 million of DOA's FY 2015-16 expenditures.

We reviewed and tested DOA's internal controls and tested compliance with grant requirements for the Low-Income Home Energy Assistance (CFDA #93.568) program, which is a type A grant. Our audit of this program identified no issues that required reporting.

We also followed up on DOA's progress in addressing concerns from Findings 2015-001 through 2015-009 of the FY 2014-15 audit (report 16-5). These concerns related to the Community Development Block Grants/State's Program and Non-Entitlement Grants in Hawaii (CDBG) (CFDA #14.228) and the HOME Investment Partnerships Program (HOME) (CFDA #14.239). DOA implemented corrective actions to address our concerns related to two of the nine findings (Findings 2015-002 and 2015-006). In addition, DOA took corrective actions to

partially address two additional findings (Findings 2015-005 and 2015-009) but, as of the end of our audit period, had not taken corrective action to address five findings (Findings 2015-001, 2015-003, 2015-004, 2015-007, and 2015-008). It will be important for DOA to continue to work to resolve these findings. The Summary Schedule of Prior Audit Findings on page 75, which is prepared by management, describes the status of each finding as of the end of our audit period. For findings that were not fully corrected, the schedule describes DOA's ongoing steps to address these findings.

Department of Children and Families

DCF administers programs such as adoption assistance, foster care, and child support enforcement. DCF also administers the Wisconsin Shares child care subsidy program and Wisconsin's work-based public assistance program, Wisconsin Works (W-2). Federal grants funded \$590.5 million of DCF's FY 2015-16 expenditures.

For the FY 2015-16 audit, no grants administered by DCF could be selected for audit based on risk factors established by Uniform Guidance. However, we followed up on DCF's progress in addressing concerns from Findings 2015-011 through 2015-022 of the FY 2014-15 audit (report 16-5), and Finding 2014-014 of the FY 2013-14 audit (report 15-2). DCF believes that corrective actions are no longer warranted for Finding 2014-014. DCF implemented corrective actions to address our concerns related to Findings 2015-012, 2015-015, 2015-016, 2015-017, 2015-020, and 2015-021. In addition, DCF took corrective actions to partially address the remaining findings (Findings 2015-013, 2015-014, 2015-018, 2015-019, and 2015-020). It will be important for DCF to continue to work to resolve these findings. The Summary Schedule of Prior Audit Findings on page 75, which is prepared by management, describes the status of these findings as of the end of our audit period. For findings that were not fully corrected, the schedule describes DCF's ongoing steps to address these findings.

Department of Military Affairs

The Department of Military Affairs (DMA) provides a military force through the Wisconsin National Guard, which is available for use in state and national emergencies. Through the Division of Emergency Management, DMA also implements statewide emergency preparedness plans and administers federal disaster and emergency relief funds. Federal grants funded \$55.6 million of DMA's FY 2015-16 expenditures.

We reviewed and tested DMA's internal controls and tested compliance with grant requirements for the National Guard Military Operations and Maintenance (O&M) Projects (CFDA #12.401) program, which is a type A grant. Our audit of this program identified no issues that required reporting.

Department of Public Instruction

DPI is responsible for providing direction for public elementary and secondary education in Wisconsin and for ensuring access to public library services to all Wisconsin citizens. Federal grants funded \$789.6 million of DPI's FY 2015-16 expenditures.

We reviewed and tested DPI's internal controls and tested compliance with grant requirements for the Child Nutrition Cluster (CFDA #10.553/10.555/10.556/10.559) and the Child and Adult Care Food Program (CFDA #10.558), which are both type A grants. Our audit of this program identified no issues that required reporting.

Department of Veterans Affairs

The Department of Veterans Affairs (DVA) provides benefits, programs, and services for veterans living in Wisconsin. DVA also operates three veterans homes that provide care for veterans. Federal grants funded \$47.6 million of DVA's FY 2015-16 expenditures.

We reviewed and tested DVA's internal controls and tested compliance with grant requirements for the Veterans State Nursing Home Care (CFDA #64.015) program, which is a type A grant. Our audit, which focused on reports prepared by DVA, allowable costs, and eligibility testing, of this program identified no issues that required reporting.

Department of Workforce Development

DWD administers programs for unemployment insurance, workers' compensation, equal rights in employment and housing, apprenticeship job training, employment services and training, vocational rehabilitation, and other related programs. Excluding unemployment insurance benefits, federal grants funded \$214.0 million of DWD's FY 2015-16 expenditures. In addition, the Wisconsin Unemployment Reserve Fund paid \$511.4 million in regular unemployment insurance benefits and \$2.3 million in federally funded benefits.

We reviewed and tested DWD's internal controls and tested compliance with grant requirements for the Rehabilitation Services—Vocational Rehabilitation Grants to States (CFDA #84.126) program, which is a type A grant. Our audit of this program identified no issues that required reporting.

■ ■ ■ ■

State of Wisconsin Schedule of Findings and Questioned Costs for the Year Ended June 30, 2016 ■

Uniform Guidance requires the auditor to prepare a schedule of findings and questioned costs that includes the following three sections:

- 1) a summary of the auditor's results;
- 2) findings relating to the financial statements, which are required to be reported in accordance with *Government Auditing Standards*; and
- 3) findings and questioned costs for federal awards.

Section I

Summary of Auditor's Results

As required by Uniform Guidance, the Wisconsin Legislative Audit Bureau is providing the following summary information related to the State of Wisconsin's single audit for FY 2015-16:

Financial Statements

Type of auditor's report issued:	Unmodified
Internal control over financial reporting:	
Material weaknesses identified?	Yes
Significant deficiencies identified?	Yes
Noncompliance material to financial statements noted?	No

Federal Awards

Internal control over major programs:	
Material weaknesses identified?	No
Significant deficiencies identified?	Yes
Type of auditor’s report issued on compliance for major programs:	Unmodified
Any audit findings disclosed that are required to be reported in accordance with s. 200.516 (a) of Uniform Guidance?	Yes
Dollar threshold used to distinguish between type A and type B programs:	\$30,000,000
Auditee qualified as a low-risk auditee?	No

The following were major federal programs, determined in accordance with Section 200.518(b) of Uniform Guidance:

Applicable CFDA Number	Federal Program
10.500	Cooperative Extension Service
10.553/10.555/ 10.556/10.559	Child Nutrition Cluster
10.557	Special Supplemental Nutrition Program from Women, Infants, and Children (WIC)
10.558	Child and Adult Care Food Program (CACFP)
12.401	National Guard Military Operations and Maintenance (O&M) Projects
15.601/15.611	Fish and Wildlife Cluster
64.015	Veterans State Nursing Home Care
66.605	Performance Partnership Grants
84.042/84.044/ 84.047/84.066/ 84.217	TRIO Cluster
84.126	Rehabilitation Services—Vocational Rehabilitation Grants to States
93.268	Immunization Cooperative Agreements
93.568	Low-Income Home Energy Assistance (LIHEAP)
93.775/93.777/ 93.778	Medicaid Cluster
93.791	Money Follows the Person Rebalancing Demonstration

Section II

Financial Statement Findings

This schedule includes one material weakness and six significant deficiencies related to internal control over financial reporting that are required to be reported by auditing standards generally accepted in the United States of America and *Government Auditing Standards*. One additional matter related to financial reporting follows these findings. Findings 2015-029, 2015-031 and 2015-032 from report 16-5 have been resolved. Repeat findings from report 16-5 are indicated with an asterisk (*).

Finding 2016-010: STAR Security Concerns

Criteria:

Section 16.97, Wis. Stats., specifies the Department of Administration's (DOA) responsibilities for the State's information technology (IT) services. One important IT service provided by DOA is the development and maintenance of the accounting and payroll computer systems for the State of Wisconsin. To modernize, consolidate, and improve accounting and payroll processes, DOA implemented a new enterprise resource planning (ERP) system called STAR. The implementation included three releases between October 1, 2015, and July 1, 2016.

Executive Order 99, which was issued on April 26, 2013, created the Information Technology Executive Steering Committee (ITESC). ITESC consists of the State of Wisconsin Chief Information Officer and the deputy secretaries of the departments of Administration, Children and Families, Corrections, Health Services, Natural Resources, Revenue, Transportation, Workforce Development, and Agriculture, Trade and Consumer Protection. One of ITESC's goals is to "create and maintain" statewide IT policies. ITESC's responsibility for major decisions with STAR included:

- policy decisions, such as the decision to consolidate vendor payments; and
- implementation decisions, such as the decision to approve or deny each requested customization of STAR.

To provide proper internal control, IT security policies and procedures are necessary to ensure data stored and processed in STAR are protected from accidental or intentional misuse or destruction. IT controls should be established to prevent inappropriate or inadvertent access to STAR and its related databases, and to provide staff with a consistent methodology for performing their job functions. Finally, the National Institute of Standards and Technology's *Special Publication 800-53r4* discusses the importance of creating policies and procedures, ensuring proper separation of duties, and maintaining a standard for access that seeks to

provide users least privilege, which requires that only the minimum necessary rights are assigned to complete a task.

Condition:

As part of our audit of STAR for the State of Wisconsin's financial statement audit for FY 2015-16, we identified weaknesses in policies, standards, and procedures related to security that resulted in weaknesses in the administration of STAR. We determined the detailed results of our review were too sensitive to communicate publicly. Therefore, we communicated the results in confidential interim memoranda to the DOA STAR Program Office.

Questioned Costs:

None.

Context:

STAR functions include processing vendor payments, accounting for cash receipts, tracking and maintaining employee information, tracking employee time, and processing payroll. STAR is used by the DOA State Controller's Office and most state agencies to report financial information, monitor budgets, administer federal grants, process payroll, process transactions, and manage assets.

Effect:

Although it can be difficult to determine how IT concerns such as those we identified affect the financial statements and material federal compliance areas, ineffective general IT controls in areas such as these may permit controls over individual systems to operate improperly and may allow financial statement misstatements and noncompliance to occur and not be detected.

Weaknesses in IT security policies, procedures, and controls increase the risk that unauthorized or erroneous transactions could be processed or changes could be made to accounting, payroll, and other data. In addition, failure to provide an appropriate level of protection for systems and data increases the risk that personally identifiable information could be accidentally or maliciously exposed.

Cause:

The implementation of STAR was a large and complex project, and it could have been expected that some procedures would not have been fully developed at the time of implementation. However, it would have been expected that the State would have already established policies and standards upon which procedures would have been developed for STAR. Further, during the implementation, Gartner Consulting, who was hired by DOA to provide risk assessments throughout implementation, recommended the development of "enterprise policies and procedures as soon as possible."

☑ Recommendation

We recommend the Department of Administration develop a timeline and plans, as described in our interim memoranda communications, to:

- *establish policies, standards, and procedures for the administration of STAR security that follow best practices;*
- *ensure controls over security conform to the policies, standards, and procedures;*
- *provide for regular review and updates to the policies, standards, and procedures to ensure a well-controlled environment; and*
- *address specific concerns identified in the interim memoranda.*

In addition, we recommend the Department of Administration:

- *implement the plans according to the developed timelines; and*
- *report at least quarterly to the Information Technology Executive Steering Committee on the status of its timelines and plans, and progress in implementing the detailed recommendations included in our confidential interim memoranda.*

Response from the Department of Administration: The Department of Administration agrees with the recommendations.

Finding 2016-011: Information Technology Controls at the Department of Administration

Criteria:

Because the mainframe computer and servers may contain both financial data and confidential information, it is important that the Division of Enterprise Technology (DET) within DOA manage and maintain a secure environment. A secure environment begins by developing, approving, and following good policies, standards, and procedures. It is also important that DET establish settings that enforce its policies, standards, and procedures. Section 16.97, Wis. Stats., specifies DOA's responsibilities for the State's IT services, including DOA's responsibility to ensure that all state data processing facilities develop proper privacy and security procedures and safeguards.

Condition:

As part of our limited security review for the State of Wisconsin's financial statement audit for FY 2015-16, we identified weaknesses in security standards and procedures, as well as in DET's current IT practices and settings. We determined the

detailed results of our review were too sensitive to communicate publicly. Therefore, we communicated the results in a confidential interim audit memorandum to DET.

Questioned Costs:

None.

Context:

DET provides a variety of services to state agencies, including managing the mainframe computer for all agencies and managing servers for DOA and other agencies, including the departments of Corrections, Children and Families, Health Services, Natural Resources, and Revenue. DET is in the process of taking over responsibility for managing the servers for additional agencies, including the Department of Workforce Development.

DET also maintains DOA-related systems and performs programming and security functions, including maintaining the infrastructure for STAR, which includes statewide accounting and payroll functions.

Effect:

Although it can be difficult to determine how IT concerns such as those we identified affect the financial statements and material federal compliance areas, ineffective general IT controls in areas such as these may permit controls over individual systems to operate improperly and may allow financial statement misstatements and noncompliance to occur and not be detected.

Weaknesses in IT security procedures and controls increase the risk that unauthorized or erroneous transactions could be processed or changes could be made to accounting, payroll, and other data. In addition, failure to provide an appropriate level of protection for systems and data increases the risk that personally identifiable information could be accidentally or maliciously exposed.

Cause:

The development of security policies, standards, and procedures is complex and time consuming and must consider the needs of all agencies. During FY 2015-16, DET's Bureau of Security started a project to review DET's high-level policies and standards and is currently working to improve the controls within DET operations. At the time of our review, policies had been established and approved. However, the project to establish and approve standards and procedures was not yet completed.

Recommendation

We recommend the Department of Administration, Division of Enterprise Technology:

- *review and update by June 30, 2017, its plans and timelines for development and implementation of standards and procedures;*

- *implement the plan to establish Division of Enterprise Technology standards and procedures according to the developed timeline;*
- *review practices and settings used at the Division of Enterprise Technology to ensure controls conform to the approved policies, standards, and procedures; and*
- *address the concerns identified in this security review.*

**Response from the Department of Administration,
Division of Enterprise Technology:** DET is in agreement with the recommendations.

Finding 2016-012: Information Technology Controls at the University of Wisconsin System*

Criteria:

The University of Wisconsin (UW) System consists of 13 four-year universities, 13 two-year colleges, UW-Extension, and UW System Administration. UW System Administration maintains the Shared Financial System (SFS), which is UW System's accounting system, and the Human Resource System (HRS), which is UW System's payroll and personnel system. These systems are used by all UW institutions. In addition, each institution maintains its own student information system (SIS) to administer federal student financial aid programs, as well as other computer applications. To provide proper internal control, IT security policies and procedures are necessary to ensure software and data stored and processed by the institutions are protected from accidental or intentional misuse or destruction. In addition, IT controls should be established to prevent inappropriate or inadvertent access to systems and data.

Condition:

During the FY 2014-15 audit (report 16-5), we identified weaknesses in IT security policies, procedures, and controls for several computer applications at several UW institutions. We recommended UW System Administration work with the chief information officers, chief business officers, and others as appropriate to assist UW institutions in implementing timely corrective actions related to our institution-specific concerns. In addition, we recommended UW System Administration develop systemwide IT security policies and procedures and provide guidance and training on them to all UW institutions (Finding 2015-030).

In December 2015, the UW System Board of Regents approved a high-level policy on information security that required the UW System to develop and maintain a comprehensive information security program. Further, subsequent to the end of our audit period, systemwide IT policies were established in September 2016 through the UW Information Assurance Council. The Council, which is made

up of IT, legal, and audit staff representing different institutions, including UW System Administration, was created to identify and analyze risks related to IT security, develop policies to address these risks, and review the performance of the UW System IT security program. Chancellors and chief information officers at each institution are responsible for ensuring compliance with the new policies.

During the FY 2015-16 audit, we continued to identify weaknesses in IT security policies, procedures, and controls at several institutions. We determined the detailed results of our review were too sensitive to communicate publicly. Therefore, we communicated these results in confidential interim memoranda to the institutions involved. Further, we did not audit the IT security policies and procedures at all UW institutions or the IT controls over all computer applications used by the institutions. However, we believe there is a potential that similar weaknesses may exist at those institutions we did not review.

Questioned Costs:

None.

Context:

UW institutions operate in a highly computerized environment and are responsible for maintaining confidential and sensitive information, such as student data.

Effect:

Although it can be difficult to determine how IT concerns such as those we identified affect the financial statements and material federal compliance areas, ineffective general IT controls in areas such as these may permit controls over individual systems to operate improperly and may allow financial statement misstatements and noncompliance to occur and not be detected.

Weaknesses in IT security policies, procedures, and controls increase the risk that unauthorized or erroneous transactions could be processed or changes could be made to accounting, payroll, and student data. In addition, failure to provide an appropriate level of protection for UW systems and data increases the risk that personally identifiable information could be accidentally or maliciously exposed.

Cause:

IT staff at each UW institution are responsible for ensuring that IT security policies, procedures, and controls are properly developed and maintained. Those institutions that have smaller IT staff may find challenges in meeting these responsibilities, maintaining proper separation of duties, and monitoring sufficiently all security policies and procedures. In addition, with changing technologies, monitoring and assessment of current processes are necessary to evaluate changing data security risks. Some of the institutions indicated that corrective action on prior-year findings was delayed in some areas as the institutions awaited the development of systemwide IT policies by the UW Information Assurance Council.

☑ Recommendation

In addition to recommendations we made to individual UW institutions, we recommend UW System Administration continue to work with the UW Information Assurance Council and individual institutions to:

- *plan for and implement the new information technology policies and procedures, including providing guidance and training regarding information technology security policies and settings, as needed;*
- *assist the institutions in implementing timely corrective actions related to our institution-specific recommendations; and*
- *develop procedures for assessing the level of protection provided for UW systems and data.*

Response from the University of Wisconsin System: UW System agrees with this finding.

Finding 2016-013: Bank Account Reconciliations at the Department of Administration

Criteria:

Proper reconciliation of a bank account is a standard internal control procedure used by entities to ensure the accuracy of cash balances in the accounting records and with the bank, to prevent fraud or errors, and for financial reporting purposes. A bank reconciliation identifies the difference between the cash balance reported by the bank and the cash balance in an entity's own accounting records at a particular point of time.

To minimize the amount of work involved, it is good practice to carry out such reconciliations at reasonably frequent intervals. Further, to ensure consistency in preparation of bank account reconciliations and to aid in the event of staff turnover, it is important that an entity have written policies and procedures that document the process of preparing the bank reconciliation.

Condition:

At the time of our audit fieldwork in spring 2016, the State Controller's Office (SCO) within DOA had not performed or documented complete monthly reconciliations that included all components and reconciling items of the cash balance on the accounting records to the bank records, nor had it prepared a monthly bank reconciliation statement since implementation of STAR in October 2015. Further, SCO staff had not developed written policies and procedures for preparing complete monthly bank reconciliations of cash balances.

Questioned Costs:

None.

Context:

SCO is the custodian of the State's cash assets and is responsible for a complex and broad set of responsibilities that include implementing proper internal controls to ensure cash assets are properly managed.

Effect:

Without preparation of a complete and timely monthly bank account reconciliation and preparation of a bank reconciliation statement, the State is not assured that cash balances are accurate and free from error or fraud. In addition, without this control in place, SCO does not have assurances over the accuracy of cash reported in the financial statements for the various funds of the State.

Without written policies and procedures for preparing complete and timely bank reconciliations, inconsistencies may occur in preparing the monthly bank reconciliation statement. Further, turnover in staff may result in new staff having difficulty in completing the required processes if written procedures are not available to guide their work.

Cause:

SCO management believed that other processes implemented within STAR were sufficient. At the time of our audit, SCO had not anticipated the need to prepare a complete monthly bank reconciliation statement to demonstrate that the cash balances reported by the bank reconciled to the cash balances reported in STAR, and to provide needed assurances for financial reporting.

Recommendation

We recommend the Department of Administration:

- *prepare a monthly bank reconciliation statement, beginning with October 2015, to ensure accurate financial reporting and security of cash;*
- *process adjustments needed to accounting records, as identified in the reconciling process, in a timely manner; and*
- *develop written policies and procedures for preparation of the monthly reconciliation of cash balances between the bank records and the State's accounting records.*

Response from Department of Administration, State Controller's Office:

The State Controller's Office agrees with the recommendations.

Finding 2016-014: Financial Reporting Concerns for the Capital Improvement Fund

Criteria:

The Capital Accounting Section (Capital Accounting) within DOA's SCO is responsible for preparing financial statements for the Capital Improvement Fund (CIF) that are in accordance with generally accepted accounting principles (GAAP). In addition, Capital Accounting is responsible for preparing the government-wide entries related to capital assets. The CIF financial statements and the government-wide entries are provided to SCO's Financial Reporting Section for use in compiling the State of Wisconsin's financial statements.

To assist state agencies in preparing the necessary information, SCO has developed the *Uniform GAAP Conversion Policies and Procedures Manual*, which outlines the State's financial reporting policies and procedures. Capital Accounting has also established procedures that require state agencies to review project classifications on a quarterly basis and to report any changes in a project classification to Capital Accounting. In addition, Capital Accounting should have sufficient procedures and controls in place, including a secondary review of the financial statement preparation process, to ensure that all appropriate adjustments are included in the financial statements and that the statements are materially correct.

Condition:

We identified errors in the project classifications for four projects. One project was inappropriately classified as a non-capital project, and three non-capital projects were inappropriately classified as capital projects.

Questioned Costs:

None

Context:

The CIF accounts for revenues from general obligation bond proceeds, which are primarily used for the acquisition or construction of major capital facilities and for repair and maintenance projects.

Effect:

As a result of the misclassification of the four projects, we identified the following errors in the financial statements:

- Capital Outlay was overstated by \$6.4 million and Other General Expenditures was understated by \$6.4 million in the Capital Improvement Fund financial statements;
- Nondepreciable Capital Assets—Other was overstated by \$20.2 million in the government-wide Statement of Net Position; and

- Net Investment in Capital Assets was overstated by \$24.4 million in the government-wide Statement of Net Position, and Unrestricted Net Assets was understated by \$24.4 million.

After we brought these concerns to its attention, Capital Accounting agreed to correct the financial statements for these errors.

Cause:

State agencies misclassified projects and Capital Accounting did not have procedures in place to identify the misclassifications to ensure accurate financial reporting. The complexity of the classification of outstanding debt, the number of projects involved, and the availability of Capital Accounting staff to perform secondary reviews of adjusting entries further contributed to the errors identified.

Recommendation

We recommend the Department of Administration, Capital Accounting Section:

- *perform a reasonableness review of the classifications of capital projects used in preparation of the Capital Improvement Fund financial statements and government-wide adjusting entries;*
- *develop and document procedures for a secondary review of the process for preparation of the Capital Improvement Fund financial statements and government-wide adjusting entries; and*
- *for those projects that were misclassified, determine whether state agencies need additional guidance in determining the project classifications.*

Response from the Department of Administration State Controller's Office, Capital Accounting Section: The Department of Administration, State Controller's Office, Capital Accounting Section agrees with the recommendations.

Finding 2016-015: Allocating Expenditures to the Correct Fiscal Year in the Transportation Fund

Criteria:

The Department of Transportation (DOT) is responsible for maintaining effective internal controls to ensure that expenditures are recorded in the correct fiscal year. DOT accounts payable staff are responsible for reviewing information to determine in which fiscal year the goods or services were received and charge the payment to the correct fiscal year. The information that must be reviewed could include information from construction project managers and details of the approved invoice.

Condition:

During the audit, we reviewed 22 construction transactions DOT paid in July 2016. We found that 6 of the 22 payments, totaling \$17.9 million, that were recorded in FY 2015-16 were for goods or services received in FY 2016-17. For example, we identified a payment for services performed from July 5, 2016, through July 8, 2016, that was recorded in FY 2015-16 instead of FY 2016-17.

Questioned Costs:

None

Context:

The Transportation Fund is a major fund for the State's Comprehensive Annual Financial Report (CAFR). DOT records construction activities in the Transportation Fund and is responsible for ensuring the information entered is accurately recorded in the correct fiscal year.

Effect:

Payments we identified that were recorded in the incorrect fiscal year resulted in a \$17.9 million overstatement in transportation expenditures reported in the Transportation Fund financial statements for FY 2015-16. After we identified the transactions that resulted in this error, DOT revised the expenditures recorded in the Transportation Fund financial statements for FY 2015-16.

Cause:

Due to the large volume of transactions and the limited number of DOT staff involved in the payment and review process, these errors appear to have been caused by human error. In addition, the timing of these payments coincided with DOT's implementation of STAR on July 1, 2016.

 Recommendation

We recommend the Department of Transportation improve its review of transactions near the end of the fiscal year to determine the correct fiscal year to which the payments should be recorded.

Response from the Department of Transportation: The Department of Transportation agrees with the audit finding and recommendation.

Finding 2016-16: Financial Reporting Process for the Injured Patients and Families Compensation Fund

Criteria:

The Injured Patients and Families Compensation Fund (IPFCF), which is administered by the Office of the Commissioner of Insurance, is responsible for

maintaining effective internal controls to ensure the financial information submitted to DOA's SCO for inclusion in the State's basic financial statements is fairly presented and that misstatements are prevented, or detected and corrected in a timely manner. As a proprietary fund, IPFCF is responsible for preparing the Statement of Cash Flows. Generally accepted accounting principles require that, in general, the Statement of Cash Flows present the amounts of cash receipts and disbursements at gross and that the amounts of cash receipts and disbursements are not netted together.

Condition:

Inaccurate information was used to prepare the Statement of Cash Flows. Although IPFCF staff indicated that they had identified discrepancies in the investment activity information and were working to resolve them, IPFCF did not properly report cash receipts and disbursements in the investing activities section of the Statement of Cash Flows.

Questioned Costs:

None

Context:

IPFCF insures participating physicians and other health care providers in Wisconsin against medical malpractice claims that exceed the primary malpractice insurance thresholds established by statutes. IPFCF's investments are managed by the State of Wisconsin Investment Board (SWIB). IPFCF uses investment activity information it receives from SWIB for financial reporting purposes.

Effect:

Although there was no effect on the total of the Cash Flows from Investing Activities section of the Statement of Cash Flows, the amounts reported for Proceeds from Sale and Maturities of Investment Securities was understated by approximately \$744 million, Purchase of Investment Securities was understated by approximately \$721 million, and Investment and Interest Receipts was understated by approximately \$23 million. Staff subsequently adjusted IPFCF's Statement of Cash Flows to correct the error and submitted a final version to SCO.

Cause:

IPFCF staff indicated that the investment activity information they received from SWIB did not provide the level of detail necessary to enable them to report the gross amounts of investing activities. IPFCF staff also indicated that SWIB did not provide the necessary information to enable them to properly account for a transfer of IPFCF's investments.

Recommendation

We recommend the Injured Patients and Families Compensation Fund take steps to ensure that investment activity is properly reported in its Statement of Cash Flows.

Response from the Office of the Commissioner of Insurance: OCI agrees the *Condition* finding is accurate due to insufficient reporting from SWIB and the substantial portfolio transfers performed by SWIB and their third party managers. OCI was aware that the transfer of the management of the portfolio was occurring in December 2015 and January 2016, however was not made aware that the transfers were actual sales and purchases of the entire investment portfolio. Work product received by OCI from SWIB did not indicate any sales or purchase activity within the entire month of December 2015.

As noted under the *Condition, Context, Effect, and Cause* sections of the finding, OCI staff discovered and alerted the auditors the investment disbursements and receipts were not properly reconciling for the Statement of Cash Flows, which is forwarded to SCO for the State of Wisconsin CAFR. It was discovered the inaccuracies were due to a lack of proper documentation being forwarded to IPFCF from SWIB. OCI initiated corrective action during the audit in 2016 and corrected the investment reporting errors created by lack of information from SWIB. OCI staff was able to obtain the appropriate documentation directly from the Custodian to perform these duties accurately. The procedure for future reporting of investments is being documented and was immediately implemented by OCI.

The finalized financial Statement of Cash Flows was forwarded to the auditors and SCO January 26, 2017.

Additional Matter

DOT is responsible for maintaining effective internal controls to ensure the financial information it prepares for inclusion in the State's CAFR is accurate. For the FY 2015-16 CAFR, we again found that DOT did not have sufficient procedures and controls in place to ensure that all appropriate financial information was prepared for transportation activities. For example, DOT did not prevent, or detect and correct in a timely manner, misstatements in classifying transportation activities reported in the Capital Improvement Fund. We further communicated our concerns and recommendation to DOT management.

Section III

Federal Award Findings and Questioned Costs

Uniform Guidance requires that audit findings be presented in sufficient detail for the auditee to prepare a corrective action plan and take corrective action, and for federal agencies and pass-through entities to make a management decision. The specific information that Uniform Guidance requires in audit findings can be found in the agency narratives on the page numbers referenced in this section. The agency narratives also include the agencies' responses. Agencies' corrective action plans for audit findings are included in the Corrective Action Plan, which starts on page 159.

Repeat findings from report 16-5 are marked with an asterisk (*).

U.S. DEPARTMENT OF THE INTERIOR

Wisconsin Department of Natural Resources

<u>Finding Number</u>	<u>CFDA Number</u>	<u>Federal Program</u>	<u>Finding</u>	<u>Amount Questioned</u>
2016-005 p. 29	15.605/ 15.611	Fish and Wildlife Cluster	Paid Hunting and Fishing License Certification—Fish and Wildlife Cluster	\$ 0
TOTAL U.S. DEPARTMENT OF THE INTERIOR				\$ 0

U.S. DEPARTMENT OF EDUCATION

University of Wisconsin System

<u>Finding Number</u>	<u>CFDA Number</u>	<u>Federal Program</u>	<u>Finding</u>	<u>Amount Questioned</u>
2016-006 p. 34	84.042	TRIO—Student Support Services	Matching, TRIO—Student Support Services	\$ 0
2016-008 p. 39	84.042	TRIO—Student Support Services	Time and Effort Reporting—TRIO Cluster	0
2016-009 p. 43	84.042	TRIO—Student Support Services	Annual Performance Reports and Earmarking—TRIO Cluster	0
2016-008 p. 39	84.047	TRIO—Upward Bound	Time and Effort Reporting—TRIO Cluster	0
2016-009 p. 43	84.047	TRIO—Upward Bound	Annual Performance Reports and Earmarking—TRIO Cluster	0
2016-007 p. 37	84.217	TRIO—McNair Post-Baccalaureate Achievement	Eligibility, TRIO—McNair Post-Baccalaureate Achievement	4,742

U.S. DEPARTMENT OF EDUCATION (continued)

University of Wisconsin System (continued)

<u>Finding Number</u>	<u>CFDA Number</u>	<u>Federal Program</u>	<u>Finding</u>	<u>Amount Questioned</u>
2016-008 p. 39	84.217	TRIO—McNair Post-Baccalaureate Achievement	Time and Effort Reporting—TRIO Cluster	\$ 0
2016-009 p. 43	84.217	TRIO—McNair Post-Baccalaureate Achievement	Annual Performance Reports and Earmarking—TRIO Cluster	0
TOTAL U.S. DEPARTMENT OF EDUCATION				<u>\$ 4,742</u>

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES

Wisconsin Department of Health Services

<u>Finding Number</u>	<u>CFDA Number</u>	<u>Federal Program</u>	<u>Finding</u>	<u>Amount Questioned</u>
2016-004 p. 26	93.268	Immunization Cooperative Agreements	Federal Financial Report—Immunization Program	\$ 0
2016-001 p. 20	93.778	Medical Assistance Program	Computer Data Matches*	Undetermined
2016-002 p. 22	93.778	Medical Assistance Program	Incorrect Federal Financial Participation Rate	\$ 26,224 Plus an Undetermined Amount
2016-003 p. 24	93.791	Money Follows the Person Rebalancing Demonstration	Federal Financial Report—Money Follows the Person*	0
TOTAL U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES				<u>\$ 26,224</u> Plus an Undetermined Amount

TOTAL QUESTIONED COSTS FOR THE STATE OF WISCONSIN

\$ 30,966
Plus an Undetermined Amount

AUDITEE SECTION ■

State of Wisconsin Summary Schedule of Prior Audit Findings ■

Federal Compliance Findings

Department of Administration

Finding: Monitoring Activities (2015-001, 2014-001, WI-13-1, WI-12-2)

Federal Program: Community Development Block Grants/State's Program and Non-Entitlement Grants in Hawaii (CFDA #14.228)

Status of Finding: Not Corrected

The Department of Administration (DOA) drafted a comprehensive monitoring plan. The draft comprehensive monitoring plan was determined to be more complicated than necessary and, based on discussions with and verbal suggestions from the U.S. Department of Housing and Urban Development (HUD) on June 13, 2016, the comprehensive monitoring plan was revised and simplified. Further review will take place during fiscal year (FY) 2016-17. DOA plans to fully complete its comprehensive monitoring plan by the end of FY 2016-17.

Finding: Information Communicated to Subrecipients (2015-002)

Federal Program: Community Development Block Grants/State's Program and Non-Entitlement Grants in Hawaii (CFDA #14.228)

Status of Finding: Corrective Action Taken

Finding: State Grant Performance/Evaluation Report (2015-003, 2014-003)

Federal Program: Community Development Block Grants/State's Program and Non-Entitlement Grants in Hawaii (CFDA #14.228)

Status of Finding: Not Corrected

HUD's Integrated Disbursement Information System (IDIS) limitations prevented DOA from completing and submitting the State Grant Performance/Evaluation Reports (PER) prior to June 30, 2016, while, first, 2015-2019 Substantial Amendment 1 and then, 2015-2019 Substantial Amendment 2, were pending HUD approval. Subsequent to June 30, 2016, DOA completed and submitted the PER in IDIS for the program years ended March 31, 2014, March 31, 2015, and March 31, 2016, and HUD considers the prior audit findings closed.

Finding: Monitoring Activities (2015-004, 2014-006)

Federal Program: HOME Investment Partnerships Program (CFDA #14.239)

Status of Finding: Not Corrected

DOA drafted a comprehensive monitoring plan. The draft comprehensive monitoring plan was determined to be more complicated than necessary and, based on discussions and verbal suggestions from HUD on June 13, 2016, the

Department of Administration *(continued)*

comprehensive monitoring plan was revised and simplified. Further review will take place during FY 2016-17. DOA plans to fully complete its comprehensive monitoring plan by the end of FY 2016-17.

Finding: Payments to Subrecipients (2015-005, 2014-006)

Federal Program: HOME Investment Partnerships Program (CFDA #14.239)

Status of Finding: Partially Corrected

During FY 2015-16, DOA took steps to verify all required information was received prior to processing reimbursement requests and make payments on final reimbursement requests in accordance with contract requirements. During FY 2016-17, DOA will continue to verify all required information is received prior to processing reimbursement requests and make payments on final reimbursement requests in accordance with contract requirements. During FY 2016-17, DOA will ensure consistency between the contracts, program manuals, and staff procedures regarding what is required from subrecipients prior to processing reimbursements. Due to changes in the federal HUD HOME Rule, staff turnover, a high workload volume and concentrating staff resources on eliminating the backload of monitoring this was not fully completed during FY 2015-16.

Finding: Information Communicated to Subrecipients (2015-006)

Federal Program: HOME Investment Partnerships Program (CFDA #14.239)

Status of Finding: Corrective Action Taken

Finding: Program Income Remitted to DOA (2015-007, 2014-007)

Federal Program: HOME Investment Partnerships Program (CFDA #14.239)

Status of Finding: Not Corrected

DOA developed and implemented policies and procedures to reconcile loan repayments recorded in its subsidiary records to the State's accounting system. An employee was hired prior to June 30, 2016 to complete this task. However, due to the volume of work, the corrective action was not completed prior to June 30, 2016. DOA expects to have fully completed this corrective action in FY 2016-17.

Finding: Program Income Retained by Subrecipients (2015-008, 2014-008)

Federal Program: HOME Investment Partnerships Program (CFDA #14.239)

Status of Finding: Not Corrected

During FY 2015-16, DOA undertook efforts to implement the policy guidance in HOME FACTS Vol. 7 No. 1 issued in January 2016 by HUD. Those efforts included engaging a consultant to provide training and develop procedural manuals for DOA

Department of Administration *(continued)*

to assist in the entry of information into IDIS. The process of engaging a consultant took longer than anticipated and, although started before June 30, 2016, was not complete by that date. Further, having determined that some of the system entries identified in its January 2016 policy guidance did not work as intended, HUD issued new guidance on the use of program income in Federal Register/Vol. 81, No. 232, on December 2, 2016. DOA is working with the consultant to incorporate this new information into its procedural manuals. It is DOA's intent to fully complete this corrective action in FY 2016-17.

Finding: Inspection of Rental Housing Units (2015-009, 2014-009)

Federal Program: HOME Investment Partnerships Program (CFDA #14.239)

Status of Finding: Partially Corrected

DOA continued to take steps to ensure that on-site inspections were performed in a timely manner, HUD inspection forms were utilized consistently, and documentation was collected and maintained in the project file as indicated in its corrective action plan. DOA also developed an inspection schedule and assigned staff to eliminate past due inspections. This work was started before June 30, 2016; however, due to the volume of work, DOA was not able to fully eliminate the backlog of past due inspections prior to June 30, 2016. It is DOA's intent to fully complete this corrective action in FY 2016-17.

Department of Children and Families
Finding: Criminal Records Checks under Adoption Assistance (2014-014)

Federal Program: Adoption Assistance (CFDA #93.659)

Status of Finding: Corrective Action No Longer Warranted

Since the original finding DCF gathered more information about the history of the provider in question. In regards to the audit finding and the additional records that DCF received, the licensing agency did properly review the criminal records check prior to adoption. According to Wis. Stats § 948.62 (1) (a) the offense was a misdemeanor, not a felony. The issue was a lack of sufficient documentation of the extenuating circumstances of this particular background check. DCF is clarifying documentation standards to cover unusual circumstances like this in the future. The questioned costs presented by the auditors related to the federal portion of the maintenance payments are appropriately eligible for federal reimbursement given the close review of the eligibility of the provider and therefore there is no monetary payment due to ACF.

This issue no longer warrants monitoring as it has been resolved.

Department of Children and Families *(continued)***Finding: Unallowable Costs under Foster Care—Title IV-E and Adoption Assistance (2015-011, 2014-012, WI-13-4, WI-12-12, WI-11-43, WI-10-21)**

Federal Program: Foster Care—Title IV-E (CFDA #93.658),
Adoption Assistance (CFDA #93.659)

Status of Finding: Partially Corrected

On September 13, 2016, the ACF issued its finding and disallowance to DCF. On October 12, 2016, the DCF returned the funds determined by the ACF to be disallowable.

Finding: Adoption Assistance Exceptional Rate Documentation (2015-012, 2014-013)

Federal Program: Foster Care—Title IV-E (CFDA #93.658),
Adoption Assistance (CFDA #93.659)

Status of Finding: Corrective Action Taken

DCF hosted uniform foster care rate setting policy trainings across the state in January of 2016, updated its current policy documents, and is in the process of conducting a lean initiative on adoption assistance to determine any necessary improvements. DCF continues to monitor rates upon approval of adoption assistance, and utilizes the new protocols regarding the specific limit for personal incidentals to ensure compliance with policy.

Finding: Foster Care Rate Setting for Milwaukee County Cases (2015-013, 2014-016, WI-13-5, WI-12-14, WI-11-47, WI-10-22)

Federal Program: Foster Care—Title IV-E (CFDA #93.658)

Status of Finding: Partially Corrected

The Division of Milwaukee Child Protective Services (DMCPS) continues to monitor foster care rate setting timeliness of its ongoing agency partners, via MAXIMUS, DMCPS, & Program Evaluation Manager staff.

DMCPS participates with the DCF quarterly rate setters meetings with DMCPS fiscal staff and DMCPS rate monitoring/setting staff from the ongoing contracted agencies; monthly monitors the timeliness of rate setting; and monitors the timeliness reports received by MAXIMUS and follows-up with any concerns with the staff assigned to the particular case. DMCPS fiscal staff conduct follow-up contact with the ongoing rate setters monthly to answer questions and review changes.

DCF will be implementing additional analysis of timeliness in the next quarter. DMCPS, in coordination with DCF, has set the goal of 80% compliance by July 1, 2017 with the goal, also in line with DCF, of 90% by December 31, 2017. DMCPS will continue to work with the ongoing agency contractor rate setters statewide to meet these goals. DMCPS continues to monitor and adjust its internal processes to review timeliness reports and follow-up with the ongoing agency contractors.

Department of Children and Families *(continued)***Finding: Foster Care Rate Setting for the Balance of the State Cases (2015-014, 2014-017)**

Federal Program: Foster Care—Title IV-E (CFDA #93.658)

Status of Finding: Partially Corrected

DCF continues to hold quarterly rate setters meetings and monthly monitors the timeliness of rate setting. DCF will be implementing additional analysis of timeliness in the next quarter and will continue to work with rate setters statewide to address specific agencies timeliness concerns. The new analysis will include a review of elements in ewisacwis and reports available to assist with timeliness rate setting to see if additional statewide resources are needed.

Finding: Separation of Duties for Foster Care Maintenance Rate Setting (2015-015)

Federal Program: Foster Care—Title IV-E (CFDA #93.658)

Status of Finding: Corrective Action Taken

The Uniform Foster Care Rate is a sum of three parts, the basic, supplemental, and exceptional components. Each component is determined in a specific manner. The Basic maintenance rate is established by the Legislature. The Supplemental Rate is established based on an algorithm output of the child's Child and Adolescent Needs and Strengths (CANS) tool which is completed by the child's assigned caseworker. The assigned caseworker is not able to see what the computed Supplemental Rate is for the child prior to the CANS tool being approved by their supervisor. The Exceptional Rate is completed/approved by the Rate Setter. When completing and approving a Uniform Foster Care Rate Setting, the Rate Setter, cannot modify the basic or supplemental portion of the rate. The basic and supplemental portions of the rate prefill into the rate setting document when a Rate Setter begins the rate setting process. The Rate Setters in each county are responsible for establishing the Uniform Foster Care Rate for each placement of a child in out-of-home care as established in the Uniform Foster Care Rate Setting Policy (<https://dcf.wisconsin.gov/files/cwportal/policy/pdf/memos/2012-11.pdf>). Under the Uniform Foster Care Rate Setting Policy the Rate Setter may not have an active foster care caseload, therefore they should not be completing or approving CANS for a child. The Exceptional Rate, the portion the Rate Setter establishes, is monitored by Maximus monthly as a compensating control. When a cost contained in the Exceptional Rate is questioned, Maximus sends a request to the placing county/agency with the unallowable costs requesting the placing agency to remedy the situation. Central office staff also are notified when remediation is not occurring.

Department of Children and Families *(continued)***Finding: Federal Reporting and Claiming of Expenditures for Foster Care—Title IV-E (2015-016)**

Federal Program: Foster Care—Title IV-E (CFDA #93.658)

Status of Finding: Corrective Action Taken

Finding: Child Care Case File Documentation (2015-017, 2014-018, WI-13-7, WI-12-19, WI-11-50, WI-10-26)

Federal Program: Temporary Assistance for Needy Families (CFDA #93.558), Child Care and Development Fund Cluster (CFDA #93.575/93.596)

Status of Finding: Corrective Action Taken

Finding: W-2 Case File Documentation (2015-018, 2014-019, WI-13-8, WI-12-20, WI-11-51)

Federal Program: Temporary Assistance for Needy Families (CFDA #93.558)

Status of Finding: Partially Corrected

Effective January 1, 2016, the DCF altered its quarterly monitoring of supporting documentation for W-2 eligibility determinations by expanding the monitoring of cases to include eligibility documentation for W-2 applications as well as appropriate eligibility documentation required to be submitted during the 6-month W-2 eligibility reviews. This monitoring is ongoing and includes follow up between the monitors and the W-2 agencies on findings and any necessary corrective actions.

With regard to requiring a Social Security Number (SSN), or SSN application date for W-2 eligibility determinations, DCF updated the W-2 Policy Manual sections 2.2.1 and 2.7.1 in April 2016. This policy supports the March 2015 CARES Worker Web (CWW) automation changes made to ensure that W-2 workers enter an SSN or an SSN application date for all members of a W-2 assistance group.

DCF convened an Legislative Audit Bureau (LAB) Planning workgroup in May 2016. In addition to the increased monitoring efforts and updated policy references, with regard to SSN requirements, this workgroup created an SSN ad-hoc report that identifies open W-2 cases with SSNs out of compliance with W-2 eligibility requirements. In January 2017, an Operations Memo was issued in conjunction with this ad-hoc report. The memo will include a Policy Desk Aid to ensure that W-2 workers understand the need to enter SSNs or SSN Application Dates for all W-2 applicants and participants and the timeframes in which these entries must occur per W-2 eligibility requirements.

Department of Children and Families *(continued)***Finding: Noncooperation with Child Support (2015-019, 2014-020, WI-13-9)**

Federal Program: Temporary Assistance for Needy Families (CFDA #93.558)

Status of Finding: Partially Corrected

DCF identified and implemented automated system upgrades to CWW in June 2015. It will continue to seek out additional upgrades to ensure timely processing of cases. DCF also analyzed what data is available through the new Child Support data warehouse and CARES to determine the feasibility of creating comprehensive monitoring reports and other reports that will assist agencies in maintaining compliance with Child Support noncooperation policy. At this time, due to the nonconforming data structures, it is not feasible. Despite the absence of comprehensive monitoring reports, the Bureau of Working Families is piloting a desk review monitoring tool in March 2017 using information from CARES mainframe to identify FEPs with non-cooperation alerts as well as information from the KIDS system. The process is cumbersome due to the lack of feasibility at this time of creating the KIDS/CARES monitoring reports, however, DCF will continue to explore the feasibility of the more comprehensive monitoring reports. Also, DCF convened a workgroup in October 2016 comprised of staff from the Bureau of Working Families and the Bureau of Child Support to focus on ensuring cases are processed accurately and timely. The workgroup is exploring ideas that will assist agency staff ensure that cases are being processed according to the W-2 policy, which was updated in March 2015.

Finding: Computer Data Matches (2015-020, 2014-021, WI-13-10, WI-12-18, WI-11-49, WI-10-24, WI-09-29, WI-08-10, WI-07-7, WI-06-10, WI-05-11, WI-04-12)

Federal Program: Temporary Assistance for Needy Families (CFDA #93.558)

Status of Finding: Corrective Action Taken

W-2 agencies are in complete compliance with timeliness of the resolution of discrepancies as of March 2016.

The Discrepancies data warehouse project built a data warehouse to store discrepancy information including resolution status and timeliness of W-2 agency actions. This warehouse is scheduled to launch in October 2016.

DCF received confirmation from the IRS that the certified status of the Safeguard and Security Report to receive Federal Tax information for FY 2013-14 is valid on May 12, 2016. The certification was granted with the contingency that the Security Assessment Report (SAR) be completed by July 29, 2016.

DCF obtained information from the IRS on what it specifically needed from DCF to complete the SAR. DCF completed and submitted the SAR on July 29, 2016.

Department of Children and Families *(continued)*

DCF successfully performed the IRS data exchange portion of the data match for 2014 in June 2016. The data is currently being processed by DCF staff to identify overpayment and fraud determinations for agencies to administer. This work is on track to be completed by December 2016.

Finding: TANF Period of Performance (2015-021)

Federal Program: Temporary Assistance for Needy Families (CFDA #93.558)

Status of Finding: Corrective Action Taken

Finding: Subrecipient Monitoring (2015-022)

Federal Program: Temporary Assistance for Needy Families (CFDA #93.558), Child Support Enforcement (CFDA #93.563), Child Care and Development Fund Cluster (CFDA #93.575/93.596), Foster Care—Title IV-E (CFDA #93.658), Adoption Assistance (CFDA #93.659)

Status of Finding: Partially Corrected

DCF has improved the subaward identification. Contracts and/or solicitation documents communicate CFDA, subaward contract start and end dates, and subaward funding amount. As of May 1, 2016, we have updated the contracting process to now to include all additional required information on subawards. DCF also implemented additional risk assessment efforts in new audit tracking system deployed on July 1, 2016.

DCF implemented a subrecipient performance monitoring project whose objective is to ensure documentation of policies and processes to sustain ongoing compliance and identifying areas for improvement, focusing on education of subrecipient performance monitoring requirements and assessment of current practices.

Department of Health Services
Finding: Eligibility Documentation (2015-023, 2014-024, WI-13-11, WI-12-21, WI-11-2, WI-10-3)

Federal Program: Children's Health Insurance Program (CFDA #93.767), Medical Assistance Program (CFDA #93.778), Money Follows the Person Rebalancing Demonstration (CFDA #93.791)

Status of Finding: Partially Corrected

LAB's finding recommends that the Department of Health Services (DHS) take action to ensure caseworkers verify, obtain, and maintain adequate documentation of eligibility for participants. DHS agreed with LAB's recommendation to continue efforts to ensure that caseworkers appropriately verify, obtain, and maintain

Department of Health Services *(continued)*

documentation. DHS continues to partner with income maintenance organizations in order to improve the quality and documentation of eligibility decisions made. DHS uses a number of venues to communicate common and repeated errors, communicate reminders on how to avoid errors, and create a forum of discussion between income maintenance and DHS about how to reduce errors. Examples of these forums include IMAC Subcommittees—Performance Monitoring, QC Tips, and the development of ongoing training materials. QC Tip 16-03 focuses specifically on the verification checklist. DHS will continue to use these venues as a means to improve quality of case determinations.

Wisconsin implemented several data exchanges which will improve verification and maintenance of verification including real-time verification of immigration status and the State's Children's Health Insurance Program-Internet for real-time verification of citizenship. We expect that the systematic incorporation of the data exchange into eligibility determination will improve the FY 2015-16 results.

In 2017, there are two initiatives scheduled which are anticipated to improve the documentation of eligibility—Income Maintenance Quality Assurance (IMQA) system enhancements and the implementation of Renewal and Redetermination (RRV) Service (batch service). The IMQA enhancements will implement in April 2017. IMQA enhancements are a general change which will improve quality monitoring. The RRV will provide batch verification of healthcare eligibility renewals using data exchanges provided through the hub. The RRV service will be piloted in January 2017 and launched statewide within 3 months.

Finding: Computer Data Matches (2015-024, 2014-025, WI-13-12, WI-12-22, WI-11-3, WI-10-5, WI-09-4, WI-08-02, WI-07-6, WI-06-6, WI-05-6, WI-04-5)

Federal Program: Medical Assistance Program (CFDA #93.778)

Status of Finding: Partially Corrected

LAB recommended that DHS ensure that caseworkers follow up in a timely manner and document the resolution of data match discrepancies between CARES and other databases. DHS agreed with the finding and noted several actions planned and in process which are anticipated to improve performance. Actions have resulted in the reduction of unresolved discrepancies and more timely resolution of discrepancies. Consortia and MiES significantly reduced a backlog of unresolved discrepancies in FY 2014-15. Metrics collected in the first 3 quarters of FY 2015-16 demonstrate that 74% of discrepancies are processed timely. The ratio of discrepancies received to discrepancies resolved is 99%.

Finding: Medicaid Fraud Control Unit Referrals (2015-025)

Federal Program: Medical Assistance Program (CFDA #93.778)

Status of Finding: Corrective Action Taken

Department of Health Services *(continued)***Finding: Reporting (2015-026, 2014-027)**

Federal Program: Money Follows the Person Rebalancing Demonstration (CFDA #93.791)

Status of Finding: Partially Corrected

DHS created a written procedure for completing the Money Follows the Person FFR utilizing the existing federal FFR instructions supplemented with DHS specific information.

Finding: Unallowable Costs (2015-027)

Federal Program: Money Follows the Person Rebalancing Demonstration (CFDA #93.791)

Status of Finding: Partially Corrected

The Division of Long Term Care (DLTC) is using a peer review process as we prepare the data for quarterly financial reporting and review the data before it is submitted to the Bureau of Fiscal Services (BFS). DLTC receives a copy of the quarterly financial reports from BFS when they are submitted and review them for consistency with our information.

BFS implemented procedure for quarterly costs and completes review of cost reports

DLTC will be developing an annual reconciliation process for Calendar Year 2015 expenditures and will conduct that reconciliation process in the next few months.

University of Wisconsin-Madison
Finding: Purchasing Card Rebates (2015-028)

Federal Program: Research and Development Cluster

Status of Finding: Corrective Action Taken

Financial Statement Findings

Department of Administration

Finding: Information Technology Controls at the Department of Administration (2015-029)

Federal Program: N/A

Status of Finding: Corrective Action Taken

Finding: Financial Reporting for the Capital Improvement Fund (2015-032)

Federal Program: N/A

Status of Finding: Corrective Action Taken

Department of Health Services

Finding: Financial Reporting for the Department of Health Services (2015-031)

Federal Program: N/A

Status of Finding: Corrective Action Taken

A secondary review is performed by the supervisor and brought forward to the deputy and director to assure reasonableness.

University of Wisconsin System Administration

Finding: Information Technology Controls at the University of Wisconsin System (2015-030)

Federal Program: Student Financial Assistance Cluster

Status of Finding: Partially Corrected

UW System Administration and UW System institutional staff drafted Regent Policy Document 25-5, Information Technology: Information Security. The Board of Regents approved this policy on February 5, 2016.

As of June 30, 2016, the systemwide Data Privacy and Security Council—later renamed the UW Information and Assurance Council (UWIAC)—was in the process of drafting five systemwide information security policies and associated procedures that were deemed to be the highest priority needs for the UW System.

University of Wisconsin System Administration *(continued)*

- UW System Administrative Policy 1030, Information Security: Authentication
UW System Administrative Procedure 1030.A, Information Security: Authentication
- UW System Administrative Policy 1031, Information Security: Data Classification
UW System Administration Procedure 1031.A, Information Security: Data Classification
- UW System Administrative Policy 1032, Information Security: Awareness
UW System Administration Procedure 1032.A, Information Security: Awareness
- UW System Administrative Policy 1033, Incident Response
- UW System Administrative Policy 1034, Acceptable Use

Subsequent to FY 2015-16, these policies and procedures were completed, with President Cross signing the policies in September 2016 and Vice President David Miller approving the procedures at the same time.

As indicated above, three of the five draft policies have associated procedure documents that provide guidance for “settings”. Policy 1032, Information Security: Awareness and its associated procedure specify training requirements for all members of the UW System community.

As of June 30, 2016, the UWIAC was also drafting IT Security Program and IT Security Framework documents that specify information security assessment procedures for the UW System institutions and the common information systems run by UW System Administration.

Further corrective actions that will be taken in FY 2016-17 include:

- Developing an implementation plan for the policies and procedures
- Combining the IT Security Framework and the IT Security Program into a single document and reaching consensus among the UWIAC members
- Evaluating the progress to date and determining the next steps for enhancing the information security posture of the UW System.

■ ■ ■ ■

**State of Wisconsin Schedule of
Expenditures of Federal Awards for
the Year Ended June 30, 2016 ■**

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
<i>INDIVIDUAL PROGRAMS AND OTHER CLUSTERS</i>					
U.S. DEPARTMENT OF AGRICULTURE:					
10.025		Plant and Animal Disease, Pest Control, and Animal Care	DATCP	679,212	0
10.072		Wetlands Reserve Program	DNR	19,882	0
10.156		Federal-State Marketing Improvement Program	DATCP	56,657	0
10.162		Inspection Grading and Standardization	DATCP	20,920	0
10.163		Market Protection and Promotion	DATCP	59,728	0
10.168		Farmers' Market and Local Food Promotion Program	UW-Extension	51,120	5,000
10.170		Specialty Crop Block Grant Program - Farm Bill	DATCP	927,970	697,440
10.171		Organic Certification Cost Share Programs	DATCP	770,200	728,414
10.210		Higher Education Graduate Fellowships Grant Program	UW-Madison	103,551	0
10.215		Sustainable Agriculture Research and Education (from UW-Extension)	UW-Madison	7,489	0
10.303		Integrated Programs	UW-Extension	11,999	2,178
10.303		Integrated Programs (from UW-Madison)	UW-Extension	1,056	0
		Total Federal Program 10.303		13,055	2,178
10.304		Homeland Security-Agricultural	UW-Madison	172,516	0
10.309		Specialty Crop Research Initiative (from UW-Madison)	UW-Extension	17,306	0
10.310		Agriculture and Food Research Initiative (AFRI)	UW-Extension	982,100	552,501
10.310		Agriculture and Food Research Initiative (AFRI) (from UW-Madison)	UW-Extension	150,676	0
10.310		Agriculture and Food Research Initiative (AFRI)	UW-Madison	33,944	0
		Total Federal Program 10.310		1,166,720	552,501
10.311		Beginning Farmer and Rancher Development Program	DATCP	17,352	0
10.312		Biomass R Initiative Competitive Grants Program (BRDI) (from UW-Madison)	UW-Extension	48,047	0
10.326		Capacity Building for Non-Land Grant Colleges of Agriculture (NLGCA)	UW-River Falls	198,294	0
10.326		Capacity Building for Non-Land Grant Colleges of Agriculture (NLGCA)	UW-Platteville	67,961	0
10.326		Capacity Building for Non-Land Grant Colleges of Agriculture (NLGCA) (from UW-Platteville)	UW-Extension	38,477	0
		Total Federal Program 10.326		304,732	0
10.329		Crop Protection and Pest Management Competitive Grants Program	UW-Madison	269,284	0
10.435		State Mediation Grants	DATCP	179,027	0
10.460		Risk Management Education Partnerships	UW-Madison	18,791	0
10.475		Cooperative Agreements with States for Intrastate Meat and Poultry Inspection	DATCP	4,431,304	0
10.500		Cooperative Extension Service	UW-Extension	11,137,518	208,608
10.500		Cooperative Extension Service	UW-Madison	2,182,984	24,390
10.500		Cooperative Extension Service (from UW-Extension)	UW-Madison	50,677	0
10.500		Cooperative Extension Service	UW-Stout	11,407	0
10.500		Cooperative Extension Service	UW-Stevens Point	10,742	0
		Total Federal Program 10.500		13,393,328	232,998
10.547		Healthy Hunger Free Kids Act Order Section 306 of the Hunger Free Kids Act of 2010	DPI	18,859	
SNAP Cluster:					
10.551		Supplemental Nutrition Assistance Program	DHS	947,770,411	0
10.561		State Administrative Matching Grants for the Supplemental Nutrition Assistance Program	DHS	83,167,698	56,810,411
10.561		State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (from UW-Extension)	UW-Madison	114,400	0
		Total SNAP Cluster		1,031,052,509	56,810,411
Child Nutrition Cluster:					
10.553		School Breakfast Program	DPI	49,091,030	49,091,030
10.555		National School Lunch Program	DPI	191,302,448	191,302,448
10.556		Special Milk Program for Children	DPI	1,055,589	1,055,589
10.559		Summer Food Service Program for Children	DPI	8,482,826	8,258,598

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
Total Child Nutrition Cluster:				<u>249,931,893</u>	<u>249,707,665</u>
10.557		Special Supplemental Nutrition Program for Women, Infants, and Children	DHS	86,122,556	24,083,032
10.558		Child and Adult Care Food Program	DPI	41,807,191	41,239,015
10.560		State Administrative Expenses for Child Nutrition	DPI	3,796,346	0
Food Distribution Cluster:					
10.565		Commodity Supplemental Food Program	DHS	852,067	798,105
10.568		Emergency Food Assistance Program (Administrative Costs)	DHS	1,514,991	1,454,717
10.569		Emergency Food Assistance Program (Food Commodities)	DHS	9,100,820	9,100,820
Total Food Distribution Cluster:				<u>11,467,878</u>	<u>11,353,642</u>
10.572		WIC Farmers' Market Nutrition Program (FMNP)	DHS	787,876	0
10.574		Team Nutrition Grants	DPI	274,585	29,275
10.575		Farm to School Grant Program	DPI	5,741	0
10.576		Senior Farmers Market Nutrition Program	DHS	519,754	504,430
10.578		WIC Grants To States (WGS)	DHS	1,533,917	336,980
10.579		Child Nutrition Discretionary Grants Limited Availability	DPI	1,173,750	464,041
10.582		Fresh Fruit and Vegetable Program	DPI	2,994,661	2,911,589
10.652		Forestry Research	DNR	81,268	0
10.664		Cooperative Forestry Assistance	DATCP	641,290	0
10.664		Cooperative Forestry Assistance	DNR	1,746,322	170,346
Total Federal Program 10.664				<u>2,387,612</u>	<u>170,346</u>
Forest Service Schools and Roads Cluster:					
10.665		Schools and Roads-Grants to States	DNR	1,590,620	1,590,620
Total Forest Service Schools and Roads Cluster				<u>1,590,620</u>	<u>1,590,620</u>
10.675		Urban and Community Forestry Program	DNR	274,709	139,993
10.676		Forest Legacy Program	DNR	3,784,666	0
10.678		Forest Stewardship Program	DNR	193,712	0
10.680		Forest Health Protection	DNR	229,033	0
10.771		Rural Cooperative Development Grants	UW-Madison	93,888	0
10.771		Rural Cooperative Development Grants (from UW-Madison)	UW-Extension	6,802	0
Total Federal Program 10.771				<u>100,690</u>	<u>0</u>
10.868	58-013-396028867	Renewable Energy Development Assistance	PSC	63,383	0
10.902		Soil and Water Conservation	DNR	5,914	0
10.902		Soil and Water Conservation	DATCP	53,435	0
10.902		Soil and Water Conservation	UW-Madison	34,349	14,401
10.902		Soil and Water Conservation	UW-Extension	30,499	0
Total Federal Program 10.902				<u>124,197</u>	<u>14,401</u>
10.912		Environmental Quality Incentives Program	UW-Extension	152,575	0
10.912		Environmental Quality Incentives Program (from UW-Madison)	UW-Extension	12,663	0
10.912		Environmental Quality Incentives Program (from UW-Extension)	UW-Madison	31	0
Total Federal Program 10.912				<u>165,269</u>	<u>0</u>
10.914		Wildlife Habitat Incentive Program	DNR	168,176	0
10.950		Agricultural Statistics Reports	DATCP	25,017	0
Other Federal Financial Assistance:					
N/A	10.16-SA-1109130-039	Reduce Hazardous Fuels	DNR	6,875	0
N/A	14-CA-1142004	Statewide Wood Energy Teams	PSC	36,721	0
N/A	10.Fund 199	Veterinary Diagnostic Laboratory	UW-Madison	193,252	0
N/A	10.15-9100-1453-CA	Critical Links to Human Thriving Workshop	UW-Madison	11,522	0
N/A	10.15-PA-11091300-106	Lake Superior Landscape Restoration Partnership	UW-Extension	9,834	0
N/A	10.R934b / 57-3655-14-0177	Remodeling & Boiler Upgrade	UW-Madison	9,435	0
N/A	10.15-11	Producer Education (from UW-Extension)	UW-Madison	2,276	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
N/A	10.10-CS-11242312-139	LEAF-Replication of	UW-Stevens Point	1,050	0
N/A	10.58-0510-4-068 N	Producer Education	UW-Extension	715	0
N/A	10.75-9473	Summer Food Service Program	UW-Milwaukee	216	0
		Subtotal Direct Programs		<u>1,463,675,955</u>	<u>391,573,969</u>
		Sub Grants:			
10.215		Sustainable Agriculture Research and Education (from University of Minnesota)	UW-Extension	88,715	2,747
10.303		Integrated Programs (from Michigan State University)	UW-Extension	4,478	0
10.303		Integrated Programs (from Iowa State University)	UW-Extension	2,530	0
10.304		Homeland Security-Agricultural (from Michigan State University)	UW-Madison	52,767	0
10.310		Agriculture and Food Research Initiative (AFRI) (from Purdue University)	UW-Extension	173,773	0
10.310		Agriculture and Food Research Initiative (AFRI) (from Kansas State University)	UW-Extension	133,605	0
10.310		Agriculture and Food Research Initiative (AFRI) (from Washington State University)	UW-Extension	48,273	0
10.311		Beginning Farmer and Rancher Development Program (from Dairy Grazing Apprenticeship)	UW-Madison	21,586	0
10.311		Beginning Farmer and Rancher Development Program (from Easter Seals Wisconsin)	UW-Madison	5,109	0
10.500	25-6324-0150-008	Cooperative Extension Service (from University of Nebraska)	DATCP	28,820	0
10.500		Cooperative Extension Service (from Kansas State University)	UW-Extension	82,227	0
10.500		Cooperative Extension Service (from University of Nebraska-Lincoln)	UW-Extension	4,659	0
10.500		Cooperative Extension Service (from Pennsylvania State University)	UW-Extension	(35)	0
10.652		Forestry Research (from Southeast Wisconsin Invasive Species Consortium Inc)	UW-Milwaukee	1,328	0
10.771		Rural Cooperative Development Grants (from Cooperative Network)	UW-Madison	24,678	0
10.871		Socially-Disadvantaged Groups Grant (from Cooperative Development Foundation)	UW-Madison	23,440	0
10.912		Environmental Quality Incentives Program (from University of Arkansas)	UW-Extension	12,579	0
10.912		Environmental Quality Incentives Program (from University of Arkansas)	UW-Platteville	8,455	0
		Subtotal Subgrants		<u>716,987</u>	<u>2,747</u>
		TOTAL U.S. DEPARTMENT OF AGRICULTURE		<u>1,464,392,942</u>	<u>391,576,716</u>
U.S. DEPARTMENT OF COMMERCE:					
11.303		Economic Development-Technical Assistance	UW-Milwaukee	41,457	12,152
11.303		Economic Development-Technical Assistance	UW-Parkside	49,000	49,000
11.303		Economic Development-Technical Assistance	UW-Stout	5,141	0
		Total Federal Program 11.303		<u>95,598</u>	<u>61,152</u>
11.407		Interjurisdictional Fisheries Act of 1986	DNR	12,520	0
11.417		Sea Grant Support (from UW-Madison)	UW-Milwaukee	25,119	0
11.417		Sea Grant Support	UW-Madison	103,960	0
11.417		Sea Grant Support (from UW-Madison)	UW-Stevens Point	47,449	0
11.417		Sea Grant Support (from UW-Madison)	UW-Extension	34,901	0
11.417		Sea Grant Support (from UW-Stevens Point)	UW-Extension	11,127	0
11.417		Sea Grant Support (from UW-Madison)	UW-Superior	5,038	0
		Total Federal Program 11.417		<u>227,594</u>	<u>0</u>
11.419		Coastal Zone Management Administration Awards	DOA	1,944,275	1,385,038
11.420		Coastal Zone Management Estuarine Research Reserves	UW-Extension	474,657	0
11.420		Coastal Zone Management Estuarine Research Reserves (from UW-Extension)	UW-Superior	183,226	0
		Total Federal Program 11.420		<u>657,883</u>	<u>0</u>
11.429		Marine Sanctuary Program	UW-Superior	136	0
11.432		National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes	DNR	7,255	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
11.463		Habitat Conservation	UW-Madison	2,665	0
11.549		State and Local Implementation Grant Program	DOJ	264,877	193,256
11.611		Manufacturing Extension Partnership	UW-Stout	870,624	105,318
N/A	11.IPA	Other Federal Financial Assistance: Interagency Personnel Agreements	UW-Madison	118,807	0
		Subtotal Direct Programs		<u>4,202,234</u>	<u>1,744,763</u>
		Subgrants:			
11.008		NOAA Mission-Related Education Awards (from Consortium for Ocean Leadership)	UW-Milwaukee	9,000	0
11.302		Economic Development-Support for Planning Organizations (from Mississippi River Regional Planning Commission)	UW-Extension	12,845	0
11.303		Economic Development-Technical Assistance (from Purdue University)	UW-Milwaukee	22,773	0
11.417		Sea Grant Support (from University of Michigan)	UW-Madison	1,170	0
11.419		Coastal Zone Management Administration Awards (from University of New Hampshire)	UW-Superior	2,200	0
11.419		Coastal Zone Management Administration Awards (from Minnesota Department of Natural Resources)	UW-Superior	1,000	0
11.611		Manufacturing Extension Partnership (from Wisconsin Center for Manufacturing & Productivity Inc)	UW-Stout	304,334	0
N/A	11.SA #15-26	National Ocean Sciences Bowl (from Consortium for Ocean Leadership)	UW-Milwaukee	(3,423)	0
		Subtotal Subgrants		<u>349,899</u>	<u>0</u>
		TOTAL U.S. DEPARTMENT OF COMMERCE		<u>4,552,133</u>	<u>1,744,763</u>
U.S. DEPARTMENT OF DEFENSE					
12.106		Flood Control Projects	BCPL	44,586	44,586
12.113		State Memorandum of Agreement Program for the Reimbursement of Technical Services	DNR	68,018	0
12.217	FVAP	Electronic Absentee Systems for Elections	GAB	424,321	0
12.400		Military Construction, National Guard	DMA	552,795	501,932
12.401		National Guard Military Operations and Maintenance (O&M) Projects	DMA	37,600,237	0
12.404		National Guard ChalleNGe Program	DMA	3,939,064	0
12.431		Basic Scientific Research	UW-Madison	10,000	0
12.611		Community Economic Adjustment Assistance for Reductions in Defense Industry Employment	UW-Oshkosh	251,121	0
12.630		Basic, Applied, and Advanced Research in Science and Engineering	UW-Milwaukee	100,314	0
N/A	12.IPA	Interagency Personnel Agreements	UW-Milwaukee	64,314	0
		Subtotal Direct Programs		<u>43,054,769</u>	<u>546,518</u>
		Subgrants:			
12.357		ROTC Language and Culture Training Grants (from Institute of International Education)	UW-Madison	343,727	0
12.550		The Language Flagship Grants to Institutions of Higher Education (from Institute of International Education)	UW-Madison	574,531	26,494
12.630		Basic, Applied, and Advanced Research in Science and Engineering (from Academy of Applied Science)	UW-La Crosse	18,863	0
12.900		Language Grant Program (from National Foreign Language Center)	UW-Madison	3,516	0
		Subtotal Subgrants		<u>940,637</u>	<u>26,494</u>
		TOTAL U.S. DEPARTMENT OF DEFENSE		<u>43,995,406</u>	<u>573,012</u>
U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT:					
14.171		Manufactured Home Dispute Resolution	DSPS	10,191	0
14.228		CDBG-State-Administered CDBG Cluster: Community Development Block Grants/State's Program and Non-Entitlement Grants in Hawaii	DOA	27,631,308	26,541,312
14.255		ARRA-Community Development Block Grants/State's Program and Non-Entitlement Grants in Hawaii-(Recovery Act Funded)	DOA	2,125	0
		Total CDBG-State-Administered CDBG Cluster:		<u>27,633,432</u>	<u>26,541,312</u>
14.231		Emergency Solutions Grant Program	DOA	3,136,942	2,997,992

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
14.238		Shelter Plus Care	DOA	266,962	266,962
14.239		HOME Investment Partnerships Program	DOA	7,705,830	6,933,491
14.241		Housing Opportunities for Persons with Aids	DOA	407,691	390,242
		Subtotal Direct Programs		<u>39,161,048</u>	<u>37,130,000</u>
14.218		Subgrants: Community Development Block Grants/Entitlement Grants (from Waukesha County)	UW-Extension	15,540	0
		Subtotal Subgrants		<u>15,540</u>	<u>0</u>
		TOTAL U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT		<u>39,176,588</u>	<u>37,130,000</u>
DEPARTMENT OF THE INTERIOR:					
15.035		Forestry on Indian Lands	DNR	64,689	0
15.226		Payments in Lieu of Taxes	DNR	3,376,760	3,376,760
15.605		Fish and Wildlife Cluster: Sport Fish Restoration Program	DNR	11,140,505	173,397
15.611		Wildlife Restoration and Basic Hunter Education	DNR	15,657,606	148,518
		Total Fish and Wildlife Cluster		<u>26,798,111</u>	<u>321,915</u>
15.608		Fish and Wildlife Management Assistance	DNR	5,588	3,274
15.608		Fish and Wildlife Management Assistance	UW-Madison	1,763	0
		Total Federal Program 15.608		<u>7,351</u>	<u>3,274</u>
15.614		Coastal Wetlands Planning, Protection and Restoration Program	DNR	134,070	46,000
15.615		Cooperative Endangered Species Conservation Fund	DNR	302,084	237,046
15.622		Sportfishing and Boating Safety Act	DNR	100,000	100,000
15.623		North American Wetlands Conservation Fund	DNR	225,027	0
15.630		Coastal Program	DNR	8,587	0
15.634		State Wildlife Grants	DNR	1,180,983	44,551
15.657		Endangered Species Conservation Recovery Implementation Funds	DNR	39,000	0
15.662		Great Lakes Restoration	DNR	779,419	0
15.663		National Fish and Wildlife Foundation	DNR	9,976	0
15.666		Endangered Species Conservation-Wolf Livestock Loss Compensation and Prevention	DNR	152,197	141,555
15.669		Cooperative Landscape Conservation	DNR	70,267	0
15.670		Adaptive Science	UW-Oshkosh	24,783	0
15.808		U.S. Geological Survey_ Research and Data Collection	DNR	18,761	0
15.808		U.S. Geological Survey- Research and Data Collection	UW-Extension	45,622	0
		Total Federal Program 15.808		<u>64,383</u>	<u>0</u>
15.810		National Cooperative Geologic Mapping Program	UW-Extension	185,014	0
15.814		National Geological and Geophysical Data Preservation Program	UW-Extension	21,243	0
15.904		Historic Preservation Fund Grants-In-Aid	WHS	790,767	0
15.916		Outdoor Recreation-Acquisition, Development and Planning	DNR	867,932	777,719
15.922		North American Graves Protection and Repatriation Act	WHS	30,628	0
15.944		Natural Resource Stewardship	DNR	740,000	0
15.946		Cultural Resources Management	UW-Superior	26,095	0
15.954		National Park Service Conservation, Protection, Outreach, and Education	UW-Extension	42,434	0
15.978		Upper Mississippi River System Long Term Resource Monitoring Program	DNR	498,556	0
N/A	15.PAA 05 7046	Other Federal Financial Assistance: Holding onto the Green Zone Toolkit Development: Publication & Distribution Activities	UW-Madison	(14,492)	0
		Subtotal Direct Programs		<u>36,525,864</u>	<u>5,048,821</u>
15.020		Subgrants: Aid to Tribal Governments (from Red Cliff Band of Lake Superior Chippewa)	UW-Madison	6,983	0
15.662		Great Lakes Restoration (from National Fish & Wildlife Foundation)	UW-Milwaukee	47,198	0
15.805		Assistance to State Water Resources Research Institutes (from University of Illinois-Urbana-Champaign)	UW-Madison	2,613	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
		Subtotal Subgrants		56,794	0
		TOTAL U.S. DEPARTMENT OF INTERIOR		36,582,658	5,048,821
DEPARTMENT OF JUSTICE:					
16.000		State Forfeiture Sharing	DOJ	1,799,112	0
16.017		Sexual Assault Services Formula Program	DOJ	352,667	337,099
16.523		Juvenile Accountability Block Grants	DOJ	239,473	219,102
16.540		Juvenile Justice and Delinquency Prevention-Allocation to States	DOJ	136,763	0
16.543		Missing Children's Assistance	DOJ	472,942	88,821
16.550		State Justice Statistics Program for Statistical Analysis Centers	DOJ	52,335	0
16.554		National Criminal History Improvement Program (NCHIP)	DOJ	34,688	18,100
16.560		National Institute of Justice Research, Evaluation, and Development Project Grants	DPI	42,925	2,500
16.571		Public Safety Officers' Benefits Program	DOJ	6,785	0
16.575		Crime Victim Assistance	DOJ	9,152,318	8,710,086
16.576		Crime Victim Compensation	DOJ	381,396	290,285
16.585		Drug Court Discretionary Grant	DOJ	102,183	0
16.588		Violence Against Women Formula Grant	DOJ	2,004,439	1,450,164
16.590		Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program	DOJ	90,021	0
16.593		Residential Substance Abuse Treatment for State Prisoners	DOJ	284,841	265,184
16.606		State Criminal Alien Assistance Program	DOC	895,190	0
16.607		Bulletproof Vest Partnership Program	DOT	561	0
16.609		Project Safe Neighborhoods	DOJ	157,455	146,694
16.710		Public Safety Partnership and Community Policing	DOJ	199,810	76,352
16.710		Public Safety Partnership and Community Policing Grants	UW-Madison	40,462	0
		Total Federal Program 16.710		240,272	76,352
16.734		National Crime Statistics Exchange	DOJ	12,194	0
16.735		PREA Program: Demonstration Projects to Establish "Zero Tolerance" Cultures for Sexual Assault in Correctional Facilities	DOC	118,727	0
16.738		Edward Byrne Memorial Justice Assistance Grant Program	DOJ	3,486,305	2,475,941
16.741		DNA Backlog Reduction Program	DOJ	178,189	0
16.742		Paul Coverdell Forensic Sciences Improvement Grant Program	DOJ	99,532	22,829
16.750		Support for Adam Walsh Act Implementation Grant Program	DOC	271,775	0
16.751		Edward Byrne Memorial Competitive Grant Program	DOJ	152,723	152,723
16.754		Harold Rogers Prescription Drug Monitoring Program FFY 14	DSPS	38,360	0
16.754		Harold Rogers Prescription Drug Monitoring Program FFY 15	DSPS	71,768	0
		Total Federal Program 16.754		110,128	0
16.812		Second Chance Act Reentry Initiative	DOC	345,019	0
16.813		NICS Act Record Improvement Program	DOJ	247	0
16.817	BJA-2015-4080	BJA FY 15 Smart Defense Initiative Answering Gideon's Call: Improving Public Defense Delivery Systems	SPDB	80,736	0
16.820		Post Conviction Testing of DNA Evidence to Exonerate the Innocent	UW-Madison	221,333	0
16.833		National Sexual Assault Kit Initiative	DOJ	29,642	0
16.922		Equitable Sharing Program	DOT	33,796	0
Other Federal Financial Assistance:					
N/A	16.2015-128	Domestic Cannabis Eradication/Suppression Program 2015	DOJ	70,799	28,847
N/A	16.2016-129	Domestic Cannabis Eradication/Suppression Program 2016	DOJ	25,221	8,611
N/A	16.GL-WIE-0109	Drug Enforcement Administration-State and Local Task Force Agreement	DOJ	33,727	0
N/A	16.GL-WIE-051	Organized Crime Drug Enforcement Task Force	DOJ	23,589	0
N/A		US Marshals Fugitive Task Force	DOJ	4,808	0
N/A	16.2012-UMWX-0178	COPS Hiring Program	UW-Madison	37,268	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
		Subtotal Direct Programs		21,782,126	14,293,338
		Subgrants:			
16.585		Drug Court Discretionary Grant Program (from Milwaukee County)	UW-Milwaukee	265	0
16.726		Juvenile Mentoring Program (from National 4-H Council)	UW-Extension	87,309	0
		Subtotal Subgrants		87,574	0
		TOTAL U.S. DEPARTMENT OF JUSTICE		21,869,700	14,293,338
					0
U.S. DEPARTMENT OF LABOR:					
17.002		Labor Force Statistics	DWD	1,597,392	0
17.005		Compensation and Working Conditions	UW-Madison	123,540	0
		Employment Services Cluster:			
17.207		Employment Service/Wagner-Peyser Funded Activities	DWD	14,047,015	0
17.801		Disabled Veterans' Outreach Program (DVOP)	DWD	2,149,889	0
17.804		Local Veterans' Employment Representative Program	DWD	1,437,496	0
		Total Employment Services Cluster		17,634,400	0
17.225		Unemployment Insurance	DWD	583,763,201	0
17.235		Senior Community Service Employment Program	DHS	2,203,652	2,070,085
17.245		Trade Adjustment Assistance	DWD	5,043,502	0
		WIA/WIOA Cluster:			
17.258		WIA/WIOA Adult Program	DWD	12,404,952	11,811,254
17.259		WIA/WIOA Youth Activities	DWD	13,407,056	12,582,902
17.278		WIA/WIOA Dislocated Worker Formula Grants	DWD	15,273,494	13,107,269
		Total WIA Cluster		41,085,502	37,501,426
17.268		H-1B Job Training Grants	DWD	69,158	0
17.271		Work Opportunity Tax Credit Program (WOTC)	DWD	451,387	0
17.273		Temporary Labor Certification for Foreign Workers	DWD	54,986	0
17.277		Workforce Investment Act (WIA) National Emergency Grants	DWD	1,621,908	1,573,566
17.281		WIA/WIOA Dislocated Worker National Reserve Technical Assistance and Training	DWD	140	0
17.282		Trade Adjustment Assistance Community College and Career Training (TAACCCT) Grants	WTCS	221,694	0
17.502		Occupational Safety and Health-Susan Harwood Training Grants	UW-Milwaukee	3,255	0
17.502		Occupational Safety and Health-Susan Harwood Training Grants	UW-River Falls	20,944	0
		Total Federal Program 17.502		24,199	0
17.504		Consultation Agreements	UW-Madison	2,430,115	0
17.600		Mine Health and Safety Grants (FFY15) Includes Projs. 16500P1MISP and 16500P1MISPFY15	DSPS	146,970	0
17.600		Mine Health and Safety Grants (FFY16)	DSPS	143,602	0
		Total Federal Program 17.600		290,572	0
N/A	17-CS-26110-CS5	Other Federal Financial Assistance: OSHA 21(d) Consultation Program	UW-Madison	937,400	0
		Subtotal Direct Programs		657,552,748	41,145,076
		Subgrants:			
17.282		Trade Adjustment Assistance Community College and Career Training (TAACCCT) Grants (from University of Florida)	UW-Stout	130,343	0
		Subtotal Subgrants		130,343	0
		TOTAL U.S. DEPARTMENT OF LABOR		657,683,091	41,145,076
U.S. DEPARTMENT OF STATE:					
19.703		Criminal Justice Systems	DOC	60,575	0
		Subtotal Direct Programs		60,575	0
		Subgrants:			

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
19.009		Academic Exchange Programs - Undergraduate Programs (from International Research & Exchanges Board Inc)	UW-Stout	135,908	0
19.009		Academic Exchange Programs - Undergraduate Programs (from International Research & Exchanges Board Inc)	UW-Madison	66,297	0
19.009		Academic Exchange Programs - Undergraduate Programs (from International Research & Exchanges Board Inc)	UW-La Crosse	37,874	0
19.009		Academic Exchange Programs - Undergraduate Programs (from World Learning)	UW-Stout	17,033	0
19.011		Academic Exchange Programs - Special Academic Exchange Programs (from International Research & Exchanges Board Inc)	UW Colleges	49,338	0
19.022		Educational and Cultural Exchange Programs Appropriation Overseas Grants (from International Research & Exchanges Board Inc)	UW-Stout	82,991	0
19.415		Professional and Cultural Exchange Programs - Citizen Exchanges (from American Council for International Education)	UW-Madison	95,965	0
		Subtotal Subgrants		<u>485,406</u>	<u>0</u>
		TOTAL U.S. DEPARTMENT OF STATE		<u>545,981</u>	<u>0</u>
U.S. DEPARTMENT OF TRANSPORTATION:					
20.106		Airport Improvement Program	DOT	55,231,786	13,868,972
		Highway Planning and Construction Cluster:			
20.205		Highway Planning and Construction	DOT	755,092,277	10,424,158
20.205		Highway Planning and Construction Revolving Loan Balance	DOT	2,262,998	0
20.219		Recreational Trails Program	DNR	<u>1,780,951</u>	<u>1,539,359</u>
		Total Highway Planning and Construction Cluster		<u>759,136,226</u>	<u>11,963,517</u>
20.218		National Motor Carrier Safety	DOT	5,391,380	0
20.232		Commercial Driver's License Program Improvement Grant	DOT	414,010	0
20.234		Safety Data Improvement Program	DOT	231,842	0
20.505		Metropolitan Transportation Planning	DOT	164,635	66,242
20.509		Formula Grants for Rural Areas	DOT	16,238,421	15,697,169
		Transit Services Programs Cluster:			
20.513		Enhanced Mobility for Seniors and Individuals with Disabilities	DOT	1,786,927	1,595,240
20.516		Job Access and Reverse Commute Program	DOT	394,992	394,992
20.521		New Freedom Program	DOT	<u>830</u>	<u>830</u>
		Total Transit Services Programs Cluster		<u>2,182,749</u>	<u>1,991,062</u>
20.514		Public Transportation Research	DOT	442	442
		Highway Safety Cluster:			
20.600		State and Community Highway Safety	DOT	5,647,844	3,061,955
20.601		Alcohol Impaired Driving Countermeasures Incentive Grants I	DOJ	131,372	0
20.613		Child Safety and Child Booster Seats Incentive Grants	DOT	5,205	5,205
20.616		National Priority Safety Programs	DOT	<u>5,937,144</u>	<u>4,321,461</u>
		Total Highway Safety Cluster		<u>11,721,565</u>	<u>7,388,621</u>
20.608		Minimum Penalties for Repeat Offenders for Driving While Intoxicated	DOT	495,154	0
20.614		National Highway Traffic Safety Administration (NHTSA) Discretionary Safety Grants	DOT	58,900	0
20.700		Pipeline Safety Program Base Grants	PSC	350,565	
20.703		Interagency Hazardous Materials Public Sector Training and Planning Grants	DMA	357,768	214,642
		Other Federal Financial Assistance:			
N/A	20.AGMT 02/24/16	Pedestrian Safety (from Green Bay Police Department)	UW-Green Bay	<u>954</u>	<u>0</u>
		TOTAL U.S. DEPARTMENT OF TRANSPORTATION		<u>851,976,397</u>	<u>51,190,667</u>
OFFICE OF PERSONNEL MANAGEMENT:					
27.011		Intergovernmental Personnel Act (IPA) Mobility Program	UW-Stout	11,583	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
N/A	27.OPM1515PO141	Other Federal Financial Assistance: WI Birth Certs	DHS	7,920	0
		TOTAL OFFICE OF PERSONNEL MANAGEMENT		19,503	0
U.S. EQUAL EMPLOYMENT OPPORTUNITY COMMISSION:					
30.002		Employment Discrimination-State and Local Fair Employment Practices Agency Contracts	DWD	1,429,453	0
		TOTAL U.S.EQUAL EMPLOYMENT OPPORTUNITY COMMISSION		1,429,453	0
FEDERAL COMMUNICATIONS COMMISSION:					
n/a	32.DA 12-1050	National Deaf-Blind Equipment Distribution Program	PSC	136,412	136,412
		TOTAL FEDERAL COMMUNICATIONS COMMISSION		136,412	136,412
U.S. GENERAL SERVICES ADMINISTRATION:					
39.003		Donation of Federal Surplus Personal Property	DOA	1,644,795	0
39.011	H101	Election Reform Payments	GAB	315,642	0
		TOTAL U.S.GENERAL SERVICES ADMINISTRATION		1,960,437	0
NATIONAL AERONAUTICS AND SPACE ADMINISTRATION					
43.001		Science (from UW-Green Bay)	UW-Milwaukee	455	0
43.002		Aeronautics	UW-Milwaukee	5,095	0
N/A	43.NNX10AE21G	Other Federal Financial Assistance: Venus Express EPO Subtotal Direct Programs	UW-Madison	6,060 11,610	0 0
		Subgrants:			
43.008		Education (from Wisconsin Space Grant Consortium)	UW-Milwaukee	660	0
43.008		Education (from Carthage College)	UW-Stout	2,105	0
N/A	43.XHab 2014-01	Badger COMET (from National Space Grant Foundation)	UW-Madison	20,000	0
N/A	43.NNX14AP22H	Wisconsin Space Grant Consortium (from Carthage College)	UW-La Crosse	2,000	0
		Subtotal Subgrants		24,765	0
		TOTAL NATIONAL AERONAUTICS AND SPACE ADMINISTRATION		36,375	0
NATIONAL FOUNDATION ON THE ARTS AND HUMANITIES:					
45.024		Promotion of the Arts-Grants to Organizations and Individuals	UW-Madison	13,396	0
45.024		Promotion of the Arts-Grants to Organizations and Individuals	UW-Whitewater	10,000	0
		Total Federal Program 45.024		23,396	0
45.025		Promotion of the Arts-Partnership Agreements	Tourism	787,881	647,668
45.129		Promotion of the Humanities-Federal/State Partnership	Wisconsin Humanities Council	759,789	81,016
45.129		Promotion of the Humanities-Federal/State Partnership (from Wisconsin Humanities Council)	UW-Madison	10,000	0
45.129		Promotion of the Humanities-Federal/State Partnership (from Wisconsin Humanities Council)	UW-Green Bay	9,457	0
45.129		Promotion of the Humanities-Federal/State Partnership (from Wisconsin Humanities Council)	UW-Eau Claire	7,486	0
45.129		Promotion of the Humanities-Federal/State Partnership (from Wisconsin Humanities Council)	UW Colleges	6,383	0
45.129		Promotion of the Humanities-Federal/State Partnership (from Wisconsin Humanities Council)	UW-La Crosse	2,881	0
45.129		Promotion of the Humanities-Federal/State Partnership (from Wisconsin Humanities Council)	UW-Whitewater	190	0
		Total Federal Program 45.129		796,186	81,016
45.149		Promotion of the Humanities-Division of Preservation and Access	WHS	41,028	0
45.149		Promotion of the Humanities-Division of Preservation and Access	UW-Milwaukee	69,790	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
45.149		Promotion of the Humanities-Division of Preservation and Access	UW-Extension	10,830	0
45.149		Promotion of the Humanities-Division of Preservation and Access	UW-Madison	1,322	0
Total Federal Program 45.149				<u>122,970</u>	<u>0</u>
45.161		Promotion of the Humanities-Research	UW-Milwaukee	48,650	0
45.163		Promotion of the Humanities-Professional Development	UW-Eau Claire	5,898	0
45.301		Museums for America	DVA	14,408	
45.310		Grants to States	DPI	2,783,001	751,446
45.313		Laura Bush 21st Century Librarian Program	UW-Madison	122,422	0
45.313		Laura Bush 21st Century Librarian Program	UW-Milwaukee	178,034	0
Total Federal Program 45.313				<u>300,456</u>	<u>0</u>
Subtotal Direct Programs				<u>4,882,846</u>	<u>1,480,130</u>
Subgrants:					
45.024		Promotion of the Arts-Grants to Organizations and Individuals (from Arts Midwest)	UW-Whitewater	15,000	0
45.025		Promotion of the Arts-Partnership Agreements (from Arts Midwest)	UW-Whitewater	4,000	0
45.161		Promotion of the Humanities-Research (from University of Virginia)	UW-Milwaukee	64,353	0
45.164		Promotion of the Humanities-Public Programs (from American Library Association)	UW-Green Bay	9,098	0
45.164		Promotion of the Humanities-Public Programs (from American Library Association)	UW-Stevens Point	3,000	0
45.313	45.From State of IL Agreement Illinois	Laura Bush 21st Century Librarian Program (from State of Illinois)	DPI	38,765	0
Subtotal Subgrants				<u>134,216</u>	<u>0</u>
TOTAL NATIONAL FOUNDATION ON THE ARTS AND HUMANITIES:				<u>5,017,062</u>	<u>1,480,130</u>
SECURITIES AND EXCHANGE COMMISSION:					
N/A	58.IPA	Interagency Personnel Agreements	UW-Madison	102,425	0
TOTAL SECURITIES AND EXCHANGE COMMISSION:				<u>102,425</u>	<u>0</u>
U.S. SMALL BUSINESS ADMINISTRATION:					
59.037		Small Business Development Centers	UW-Extension	649,791	0
59.037		Small Business Development Centers (from UW-Extension)	UW-Madison	176,228	0
59.037		Small Business Development Centers (from UW-Extension)	UW-Whitewater	136,081	0
59.037		Small Business Development Centers (from UW-Extension)	UW-La Crosse	129,424	0
59.037		Small Business Development Centers (from UW-Extension)	UW-Green Bay	111,004	0
59.037		Small Business Development Centers (from UW-Extension)	UW-Eau Claire	103,141	0
59.037		Small Business Development Centers (from UW-Extension)	UW-Oshkosh	97,736	0
59.037		Small Business Development Centers (from UW-Extension)	UW-Parkside	91,866	0
59.037		Small Business Development Centers (from UW-Extension)	UW-Superior	61,964	0
59.037		Small Business Development Centers (from UW-Extension)	UW-Stevens Point	61,770	0
59.037		Small Business Development Centers (from UW-Extension)	UW-Platteville	39,056	0
59.037		Small Business Development Centers (from UW-Extension)	UW-River Falls	36,106	0
59.037		Small Business Development Centers (from UW-Extension)	UW-Stout	24,192	0
59.037		Small Business Development Centers	UW-Stevens Point	2,565	0
59.037		Small Business Development Centers	UW-Stout	444	0
59.037		Small Business Development Centers (from UW-Extension)	UW-Milwaukee	246,397	0
Total Federal Program 59.037				<u>1,967,765</u>	<u>0</u>

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
59.058		Federal and State Technology Partnership Program	UW-Extension	51,066	0
59.061		State Trade Expansion	DATCP	52,574	0
TOTAL U.S. SMALL BUSINESS ADMINISTRATION				2,071,405	0
U.S. DEPARTMENT OF VETERANS AFFAIRS:					
64.005		Grants to States for Construction of State Home Facilities	DVA	367,202	0
64.014		Veterans State Domiciliary Care	DVA	556,646	0
64.015		Veterans State Nursing Home Care	DVA	44,402,883	0
64.024		VA Homeless Providers Grant and Per Diem Program	DVA	1,120,082	0
64.101		Burial Expenses Allowance for Veterans	DVA	838,574	0
64.124		All-Volunteer Force Educational Assistance	DWD	99,987	0
64.203		State Cemetery Grants	DVA	117,113	0
N/A	64.IPA	Other Federal Financial Assistance: Interagency Personnel Agreements	UW-Madison	1,881,286	0
N/A	64.V101 223B	Reimbursement Contract - State Approving Agency	DVA	195,330	0
TOTAL U.S. DEPARTMENT OF VETERANS AFFAIRS				49,579,104	0
U.S. ENVIRONMENTAL PROTECTION AGENCY:					
66.001		Air Pollution Control Program Support	DNR	3,744,521	0
66.032		State Indoor Radon Grants	DHS	267,470	206,374
66.034		Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act	DNR	797,192	0
66.040		State Clean Diesel Grant Program	DNR	233,579	203,173
66.419		Water Pollution Control State, Interstate, and Tribal Program Support	DNR	183,257	0
66.432		State Public Water System Supervision	DNR	3,474,000	0
66.433		State Underground Water Source Protection	DNR	84,007	0
66.454		Water Quality Management Planning	DNR	421,778	324,765
66.458		Clean Water State Revolving Fund Cluster: Capitalization Grants for Clean Water State Revolving Funds	DNR	30,555,659	27,326,214
Total Clean Water State Revolving Fund Cluster				30,555,659	27,326,214
66.460		Nonpoint Source Implementation Grants	DNR	1,529,916	876,696
66.461		Regional Wetland Program Development Grants	DNR	256,061	29,947
66.461		Regional Wetland Program Development Grants	UW-Stevens Point	61,375	26,366
66.461		Regional Wetland Program Development Grants	UW-Extension	21,956	9,271
66.461		Regional Wetland Program Development Grants (from UW-Stevens Point)	UW-Extension	9,630	0
Total Federal Program 66.461				349,022	65,584
66.468		Drinking Water State Revolving Fund Cluster: Capitalization Grants for Drinking Water State Revolving Funds	DNR	9,011,639	7,915,975
Total Drinking Water State Revolving Fund Cluster				9,011,639	7,915,975
66.469		Great Lakes Program	DNR	3,961,739	992,809
66.469		Great Lakes Program	DHS	606,962	0
66.469		Great Lakes Program	UW-Extension	21,456	0
66.469		Great Lakes Program (from UW-Madison)	UW-Extension	1,127	0
Total Federal Program 66.469				4,591,285	992,809
66.472		Beach Monitoring and Notification Program Implementation Grants	DNR	218,846	0
66.475		Gulf of Mexico Program	DNR	18,629	18,629
66.514		Science To Achieve Results (STAR) Fellowship Program	UW-Madison	6,917	0
66.516		P3 Award: National Student Design Competition for Sustainability	UW-Madison	33,565	0
66.605		Performance Partnership Grants	DNR	8,812,090	0
66.605		Performance Partnership Grants	DATCP	593,580	0
Total Federal Program 66.605				9,405,670	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
66.608		Environmental Information Exchange Network Grant Program and Related Assistance	DNR	134,717	0
66.707		TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals	DHS	312,219	0
66.708		Pollution Prevention Grants Program (from UW-Madison)	UW-Milwaukee	72,743	0
66.708	00E01511	Pollution Prevention Grants Program (M-Power)	PSC	15,859	0
Total Federal Program 66.708				<u>88,602</u>	<u>0</u>
66.801		Hazardous Waste Management State Program Support	DNR	2,300,648	0
66.802		Superfund State, Political Subdivision, and Indian Tribe Site-Specific Cooperative Agreements	DNR	2,052,498	0
66.804		Underground Storage Tank Prevention, Detection and Compliance Program	DATCP	402,998	0
66.805		Leaking Underground Storage Tank Trust Fund Corrective Action Program	DNR	1,287,296	0
66.809		Superfund State and Indian Tribe Core Program Cooperative Agreements	DNR	166,952	0
66.817		State and Tribal Response Program Grants	DNR	911,642	0
66.818		Brownfields Assessment and Cleanup Cooperative Agreements	DNR	1,261,162	1,098,357
66.951		Environmental Education Grants	UW-Madison	33,548	0
66.953		Building Capacity to Implement EPA National Guidelines for School Environmental Health Programs	DPI	24,702	0
66.999	KENOSHA ENV	Kenosha Environmental Settlement	DNR	4,433	
Subtotal Direct Programs				<u>73,908,370</u>	<u>39,028,576</u>
Subgrants:					
66.468		Capitalization Grants for Drinking Water State Revolving Funds (from Oak Creek Water & Sewer Utility)	UW-Milwaukee	1,486	0
66.951		Environmental Education Grants (from Harrisburg University of Science & Technology)	UW-Milwaukee	(2,186)	0
N/A	66.AGMT 10/08/15	Engaging Urban Youth to Control Invasive Species (from Alliance for the Great Lakes)	UW-Madison	4,000	0
Subtotal Subgrants				<u>3,300</u>	<u>0</u>
TOTAL U.S. ENVIRONMENTAL PROTECTION AGENCY				<u>73,911,670</u>	<u>39,028,576</u>
U.S. DEPARTMENT OF ENERGY:					
81.041	DE-EE0006222	SEP Formula - PY15	PSC	1,164,376	681,356
81.041		ARRA-State Energy Program Revolving Loan Balance	PSC	16,612,090	0
Total Federal Program 81.041				<u>17,776,466</u>	<u>681,356</u>
81.042		Weatherization Assistance for Low Income Persons	DOA	7,289,020	5,783,424
81.049		Office of Science Financial Assistance Program	UW-Madison	53,480	0
81.086	DE-EE0006084	Clean Cities - Alternative Fuels	PSC	36,963	0
81.117		Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance	UW-Milwaukee	325,732	0
81.119	DE-EE0006500	State Energy Program Special Projects	PSC	67,512	0
81.119	DE-EE0005856	State Energy Program Special Projects	PSC	44,663	0
81.119	DE-EE0006486	State Energy Program Special Projects	PSC	26,691	0
Total Federal Program 81.119				<u>138,866</u>	<u>0</u>
81.138	DE-EI0001327	State Heating & Oil Survey	PSC	14,229	
TOATAL U.S. DEPARTMENT OF ENERGY				<u>25,634,756</u>	<u>6,464,780</u>
U.S. DEPARTMENT OF EDUCATION:					
84.002		Adult Education-Basic Grants to States	WTCS	5,877,659	5,156,939
84.004		Civil Rights Training and Advisory Services	UW Colleges	169,648	0
84.010		Title I Grants to Local Educational Agencies	DPI	185,839,246	179,784,299
84.011		Migrant Education-State Grant Program	DPI	518,835	363,013
84.013		Title I State Agency Program for Neglected and Delinquent Children and Youth	DPI	670,520	661,400

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
84.015		National Resource Centers Program for Foreign Language & Area Studies or Foreign Language & International Studies Program & Foreign Language & Area Studies Fellowship Program	UW-Madison	3,082,421	0
84.015		National Resource Centers Program for Foreign Language & Area Studies or Foreign Language & International Studies Program & Foreign Language & Area Studies Fellowship Program	UW-Milwaukee	374,401	0
84.015		National Resource Centers Program for Foreign Language & Area Studies or Foreign Language & International Studies Program & Foreign Language & Area Studies Fellowship Program (from UW-Madison)	UW-Milwaukee	127,573	0
Total Federal Program 84.015				3,584,395	0
84.022		Overseas Programs - Doctoral Dissertation Research Abroad	UW-Madison	115,830	0
Special Education Cluster:					
84.027		Special Education-Grants to States	DPI	196,695,033	183,138,634
84.173		Special Education-Preschool Grants	DPI	8,543,233	7,653,589
Total Special Education Cluster				205,238,266	190,792,223
84.031		Higher Education-Institutional Aid	UW-Stevens Point	452,701	0
84.031		Higher Education-Institutional Aid	UW-Eau Claire	346	0
Total Federal Program 84.031				453,047	0
TRIO Cluster:					
84.042		TRIO-Student Support Services	UW-Eau Claire	572,710	0
84.042		TRIO-Student Support Services	UW Colleges	528,205	0
84.042		TRIO-Student Support Services	UW-Platteville	520,855	0
84.042		TRIO-Student Support Services	UW-Oshkosh	519,912	0
84.042		TRIO-Student Support Services	UW-Stout	511,265	0
84.042		TRIO-Student Support Services	UW-Madison	391,741	0
84.042		TRIO-Student Support Services	UW-La Crosse	378,411	0
84.042		TRIO-Student Support Services	UW-Superior	296,232	0
84.042		TRIO-Student Support Services	UW-Parkside	283,675	0
84.042		TRIO-Student Support Services	UW-River Falls	267,605	0
84.042		TRIO-Student Support Services	UW-Milwaukee	318,364	0
84.044		TRIO-Talent Search	DPI	215,280	0
84.044		TRIO-Talent Search	UW-Stout	279,196	0
84.044		TRIO-Talent Search	UW Colleges	35,014	0
84.044		TRIO-Talent Search	UW-Milwaukee	334,878	0
84.047		TRIO-Upward Bound	DPI	199,416	0
84.047		TRIO-Upward Bound	UW-Green Bay	648,776	0
84.047		TRIO-Upward Bound	UW-La Crosse	398,002	0
84.047		TRIO-Upward Bound	UW-Stevens Point	363,265	0
84.047		TRIO-Upward Bound	UW-River Falls	331,669	0
84.047		TRIO-Upward Bound	UW-Eau Claire	289,098	0
84.047		TRIO-Upward Bound	UW-Superior	273,638	0
84.047		TRIO-Upward Bound	UW-Whitewater	269,165	0
84.047		TRIO-Upward Bound	UW-Milwaukee	966,014	0
84.066		TRIO-Educational Opportunity Centers	UW-Milwaukee	222,878	0
84.217		TRIO-McNair Post-Baccalaureate Achievement	UW-River Falls	261,934	0
84.217		TRIO-McNair Post-Baccalaureate Achievement	UW-Whitewater	261,326	0
84.217		TRIO-McNair Post-Baccalaureate Achievement	UW-Superior	244,662	0
84.217		TRIO-McNair Post-Baccalaureate Achievement	UW-La Crosse	240,978	0
84.217		TRIO-McNair Post-Baccalaureate Achievement	UW-Stout	214,620	0
84.217		TRIO-McNair Post-Baccalaureate Achievement	UW-Madison	210,528	0
84.217		TRIO-McNair Post-Baccalaureate Achievement	UW-Eau Claire	251,762	0
84.217		TRIO-McNair Post-Baccalaureate Achievement	UW-Oshkosh	234,161	0
84.217		TRIO-McNair Post-Baccalaureate Achievement	UW-Milwaukee	232,744	0
Total TRIO Cluster				11,567,979	0
84.048		Career and Technical Education-Basic Grants to States	WTCS	17,793,369	15,843,480
84.116		Fund for the Improvement of Postsecondary Education	UW-Milwaukee	238,227	37,588
84.126		Rehabilitation Services-Vocational Rehabilitation Grants to States	DWD	64,091,831	0
84.129		Rehabilitation Long-Term Training	UW-Stout	188,433	0
84.129		Rehabilitation Long-Term Training	UW-Madison	181,081	0
84.129		Rehabilitation Long-Term Training	UW-Milwaukee	57,577	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
Total Federal Program 84.129				427,091	0
84.133		National Institute on Disability and Rehabilitation Research (from UW-Madison)	UW-Stout	211,165	0
84.133		National Institute on Disability and Rehabilitation Research	UW-Milwaukee	(50,662)	(23,319)
Total Federal Program 84.133				160,503	(23,319)
84.144		Migrant Education-Coordination Program	DPI	128,471	102,992
84.161		Rehabilitation Services-Client Assistance Program	DATCP	195,150	0
84.170		Javits Fellowships	UW-Madison	5,376	0
84.177		Rehabilitation Services-Independent Living Services for Older Individuals Who are Blind	DWD	406,339	405,294
84.181		Special Education-Grants for Infants and Families	DHS	9,568,794	8,737,507
84.184		Safe and Drug-Free Schools and Communities-National Programs	DPI	1,077,283	577,313
84.187		Supported Employment Services for Individuals with the Most Significant Disabilities	DWD	410,906	0
84.195		Bilingual Education-Professional Development	UW-Oshkosh	1	0
84.196		Education for Homeless Children and Youth	DPI	887,280	693,711
84.200		Graduate Assistance in Areas of National Need	UW-Milwaukee	130,917	0
84.206		Javits Gifted and Talented Students Education	DPI	56,099	0
84.263		Rehabilitation Training_Experimental and Innovative Training	UW-Stout	58,241	38,569
84.282		Charter Schools	DPI	4,609,565	4,458,534
84.287		Twenty-First Century Community Learning Centers	DPI	16,338,679	15,747,040
84.299		Indian Education -- Special Programs for Indian Childrer	UW-Milwaukee	151,993	0
84.305		Education Research, Development and Dissemination	UW-Madison	362,451	0
84.323		Special Education-State Personnel Development	DPI	1,080,369	362,712
84.325		Special Education - Personnel Development to Improve Services and Results for Children with Disabilities	UW-Madison	169,600	0
84.325		Special Education - Personnel Development to Improve Services and Results for Children with Disabilities	UW-La Crosse	148,302	0
84.325		Special Education - Personnel Development to Improve Services and Results for Children with Disabilities	UW-Milwaukee	876,115	0
Total Federal Program 84.325				1,194,017	0
84.326		Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities	DPI	119,251	0
84.334		Gaining Early Awareness and Readiness for Undergraduate Programs	DPI	4,701,140	2,569,100
84.334		Gaining Early Awareness and Readiness for Undergraduate Programs	UW-Oshkosh	114,629	0
84.334		Gaining Early Awareness and Readiness for Undergraduate Programs	UW-La Crosse	3,700	0
84.334		Gaining Early Awareness and Readiness for Undergraduate Programs (from UW-Madison)	UW-Milwaukee	(23,406)	0
Total Federal Program 84.334				4,796,063	2,569,100
84.335		Child Care Access Means Parents in School	UW-Milwaukee	443,030	0
84.350		Transition to Teaching	DPI	200,220	0
84.358		Rural Education	DPI	367,786	347,651
84.365		English Language Acquisition State Grants	DPI	6,133,244	5,848,022
84.365		English Language Acquisition State Grants	UW-Oshkosh	375,744	0
84.365		English Language Acquisition State Grants	UW-Milwaukee	444,561	0
Total Federal Program 84.365				6,953,549	5,848,022
84.366		Mathematics and Science Partnerships	DPI	2,078,961	1,916,646
84.366		Mathematics and Science Partnerships (from UW-River Falls)	UW-La Crosse	16,356	0
Total Federal Program 84.366				2,095,317	1,916,646
84.367		Improving Teacher Quality State Grants	DPI	34,188,704	32,922,526
84.367		Improving Teacher Quality State Grants (from UW-System Administration)	UW-Stout	188,099	23,817
84.367		Improving Teacher Quality State Grants (from UW-System Administration)	UW-Oshkosh	122,408	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
84.367		Improving Teacher Quality State Grants (from UW-System Administration)	UW-Platteville	101,404	0
84.367		Improving Teacher Quality State Grants (from UW-System Administration)	UW-Whitewater	77,177	0
84.367		Improving Teacher Quality State Grants	UW-System Administration	76,787	32,987
84.367		Improving Teacher Quality State Grants (from UW-System Administration)	UW-Madison	72,129	0
84.367		Improving Teacher Quality State Grants (from UW-System Administration)	UW-River Falls	46,343	0
84.367		Improving Teacher Quality State Grants	UW-Oshkosh	20,347	0
84.367		Improving Teacher Quality State Grants (from UW-River Falls)	UW-Eau Claire	17,107	0
84.367		Improving Teacher Quality State Grants	UW-Eau Claire	4,571	0
84.367		Improving Teacher Quality State Grants (from UW-Stout)	UW Colleges	(144)	0
84.367		Improving Teacher Quality State Grants (from UW-System Administration)	UW-Milwaukee	184,052	0
84.367		Improving Teacher Quality State Grants	UW-Milwaukee	2,967	0
Total Federal Program 84.367				<u>35,101,951</u>	<u>32,979,330</u>
84.368		Grants for Enhanced Assessment Instruments	DPI	2,169,191	0
84.369		Grants for State Assessments and Related Activities	DPI	6,148,261	0
84.372		Statewide Longitudinal Data Systems	DPI	35,548	0
84.377		School Improvement Grants	DPI	6,966,858	6,324,063
84.412		Race to the Top - Early Learning Challenge	DCF	6,480,170	6,480,170
84.418		Promoting Readiness of Minors in Supplemental Security Income	DWD	5,099,094	1,665,686
Other Federal Financial Assistance:					
N/A	84.11-WI05-SEED 2014-2016	National Writing Project	UW-Madison	17,010	0
N/A	84.08-WI04-SEED2012 Am. 2A/Am. 3	National Writing Project	UW-Milwaukee	12,487	0
Subtotal Direct Programs				<u>610,414,164</u>	<u>481,869,962</u>
Subgrants:					
84.015		National Resource Centers Program for Foreign Language & Area Studies or Foreign Language & International Studies Program & Foreign Language & Area Studies Fellowship Program (from University of California-Berkeley)	UW-Madison	36,860	0
84.015		National Resource Centers Program for Foreign Language & Area Studies or Foreign Language & International Studies Program & Foreign Language & Area Studies Fellowship Program (from Cornell University)	UW-Madison	22,340	0
84.015		National Resource Centers Program for Foreign Language & Area Studies or Foreign Language & International Studies Program & Foreign Language & Area Studies Fellowship Program (from University of California-Los Angeles)	UW-Madison	19,818	0
84.015		National Resource Centers Program for Foreign Language & Area Studies or Foreign Language & International Studies Program & Foreign Language & Area Studies Fellowship Program (from University of Washington)	UW-Madison	7,500	0
84.015		National Resource Centers Program for Foreign Language & Area Studies or Foreign Language & International Studies Program & Foreign Language & Area Studies Fellowship Program (from Syracuse University)	UW-Madison	2,500	0
84.015		National Resource Centers Program for Foreign Language & Area Studies or Foreign Language & International Studies Program & Foreign Language & Area Studies Fellowship Program (from University of Pennsylvania)	UW-Madison	2,500	0
84.015		National Resource Centers Program for Foreign Language & Area Studies or Foreign Language & International Studies Program & Foreign Language & Area Studies Fellowship Program (from University of Texas-Austin)	UW-Madison	2,500	0
84.027		Special Education-Grants to States (from Minnesota Department of Education)	UW-River Falls	6,748	0
84.113		Adult Education Program for Adult Immigrants (from Cincinnati Children's Hospital Medical Center)	UW-Madison	600	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
84.181		Special Education-Grants for Infants and Families (from Cooperative Educational Service Agency 5)	UW-Madison	169	0
84.206		Javits Gifted and Talented Students Education (from Purdue University)	UW-Whitewater	7,193	
84.264		Rehabilitation Training-Continuing Education (from Southern University and A&M College)	UW-Stout	2,879	0
84.326		Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (from California State University-Northridge)	UW-Milwaukee	93,544	0
84.334		Gaining Early Awareness and Readiness for Undergraduate Programs (from Milwaukee Public Schools)	UW-Milwaukee	530,221	0
84.351		Arts in Education (from United Community Center)	UW-Milwaukee	(2,213)	0
84.411		Investing in Innovation (i3) Fund (from Boys & Girls Clubs of Greater Milwaukee)	UW-Milwaukee	74,664	0
84.418		Promoting Readiness of Minors in Supplemental Security Income (from Employment Resources Inc)	UW-Stout	6,275	0
		Subtotal Subgrants		<u>814,098</u>	<u>0</u>
		TOTAL U.S. DEPARTMENT OF EDUCATION		<u>611,228,262</u>	<u>481,869,962</u>
SMITHSONIAN INSTITUTION:					
85.601		Smithsonian Institution Fellowship Program	UW-Madison	15,163	0
		TOTAL SMITHSONIAN INSTITUTION		<u>15,163</u>	<u>0</u>
U.S. CONSUMER PRODUCT SAFETY COMMISSION:					
N/A	87.SO147441	State and Local Cooperative Contracts Program	DATCP	8,164	0
		TOTAL U.S.CONSUMMER PRODUCT SAFETY COMMISSION		<u>8,164</u>	<u>0</u>
NATIONAL ARCHIVES AND RECORDS ADMINISTRATION:					
89.003		National Historical Publications and Records Grants	WHS	34,002	0
		TOTAL NATIONAL ARCHIVES AND RECORDS ADMINISTRATION		<u>34,002</u>	<u>0</u>
U.S.ELECTIONS ASSISTANCE COMMISSION:					
90.401	251	Help America Vote Act Requirements Payments	GAB	2,146,265	0
		TOTAL U.S.ELECTIONS ASSISTANCE COMMISSION		<u>2,146,265</u>	<u>0</u>
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES					
93.041		Special Programs for the Aging-Title VII, Chapter 3-Programs for Prevention of Elder Abuse, Neglect, and Exploitation	DHS	82,588	0
93.042		Special Programs for the Aging-Title VII, Chapter 2-Long Term Care Ombudsman Services for Older Individuals	DHS	299,339	295,284
93.043		Special Programs for the Aging-Title III, Part D-Disease Prevention and Health Promotion Services	DHS	353,420	353,292
		Aging Cluster:			
93.044		Special Programs for the Aging-Title III, Part B-Grants for Supportive Services and Senior Centers	DHS	6,613,696	6,336,209
93.045		Special Programs for the Aging-Title III, Part C-Nutrition Services	DHS	11,922,098	11,194,658
93.053		Nutrition Services Incentive Program	DHS	3,015,262	3,015,262
		Total Aging Cluster		<u>21,551,056</u>	<u>20,546,130</u>
93.051		Alzheimer's Disease Demonstration Grants To States	DHS	49,919	49,849
93.052		National Family Caregiver Support, Title III, Part E	DHS	2,551,042	2,461,601
93.069		Public Health Emergency Preparedness	DHS	2,238,387	0
93.070		Environmental Public Health and Emergency Response	DHS	1,693,393	365,187
93.071		Medicare Enrollment Assistance Program	DHS	420,113	428,072
93.073		Birth Defects and Developmental Disabilities - Prevention and Surveillance	UW-Madison	828,221	71,245
93.074		Hospital Preparedness Program (HPP) and Public Health Emergency Preparedness (PHEP) Aligned Cooperative Agreements	DHS	10,690,073	6,196,706
93.079		Cooperative Agreements to Promote Adolescent Health through School-Based HIV/STD Prevention and School-Based Surveillance	DPI	437,640	148,582

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
93.090		Guardianship Assistance	DCF	1,508,485	0
93.092		Affordable Care Act (ACA) Personal Responsibility Education Program	DHS	796,695	761,203
93.094		Well-Integrated Screening and Evaluation for Women Across the Nation	DHS	464,816	406,509
93.103		Food and Drug Administration-Research	UW-Madison	9,095	0
93.103		Food and Drug Administration-Research	DATCP	792,291	0
		Total Federal Program 93.103		801,386	0
93.107		Area Health Education Centers Point of Service Maintenance and Enhancement Awards	UW-Madison	746,720	746,720
93.110		Maternal and Child Health Federal Consolidated Programs	DHS	568,675	392,149
93.110		Maternal and Child Health Federal Consolidated Programs	UW-Madison	1,142,762	7,868
93.110		Maternal and Child Health Federal Consolidated Programs	UW-Milwaukee	159,123	0
93.110		Maternal and Child Health Federal Consolidated Programs (from UW-Madison)	UW-Milwaukee	24,736	0
		Total Federal Program 93.110		1,895,296	400,017
93.113		Environmental Health	UW-Madison	564,143	0
93.116		Project Grants and Cooperative Agreements for Tuberculosis Control Programs	DHS	554,172	207,799
93.127		Emergency Medical Services for Children	DHS	65,432	64,687
93.130		Cooperative Agreements to States/Territories for the Coordination and Development of Primary Care Offices	DHS	216,472	69,958
93.136		Injury Prevention and Control Research and State and Community Based Programs	DHS	741,349	462,531
93.150		Projects for Assistance in Transition from Homelessness (PATH)	DOA	537,015	493,303
93.165		Grants to States for Loan Repayment Program	UW-Madison	290,654	0
93.172		Human Genome Research	UW-Madison	669,107	0
93.173		Research Related to Deafness and Communication Disorders	UW-Madison	588,112	0
93.186		National Research Service Award in Primary Care Medicine	UW-Madison	384,136	0
93.213		Research and Training in Complementary and Alternative Medicine	UW-Madison	318,630	0
93.226		Research on Healthcare Costs, Quality and Outcomes	UW-Madison	1,367,219	0
93.235		Affordable Care Act (ACA) Abstinence Education Program	DCF	452,042	435,065
93.236		Grants to States to Support Oral Health Workforce Activities	DHS	386,491	288,923
93.239		Policy Research and Evaluation Grants	UW-Madison	37,251	0
93.240		State Capacity Building	DHS	468,990	0
93.241		State Rural Hospital Flexibility Program	UW-Madison	636,932	103,943
93.242		Mental Health Research Grants	UW-Madison	689,250	0
93.243		Substance Abuse and Mental Health Services - Projects of Regional and National Significance	DSPS	126,306	0
93.243		Substance Abuse and Mental Health Services-Projects of Regional and National Significance	DPI	3,927,659	0
93.243		Substance Abuse and Mental Health Services-Projects of Regional and National Significance	DHS	2,685,523	1,949,867
93.243		Substance Abuse and Mental Health Services-Projects of Regional and National Significance	UW-Madison	749,262	306,791
93.243		Substance Abuse and Mental Health Services-Projects of Regional and National Significance	UW-Milwaukee	848,520	0
		Total Federal Program 93.243		8,337,270	2,256,658
93.251		Universal Newborn Hearing Screening	DHS	296,667	271,948
93.262		Occupational Safety and Health Program	DHS	94,979	0
93.262		Occupational Safety and Health Program	UW-Stout	1,347	0
		Total Federal Program 93.262		96,326	0
93.268		Immunization Cooperative Agreements	DHS	54,955,606	1,782,118
93.270		Adult Viral Hepatitis Prevention and Control	DHS	125,395	0
93.282		Mental Health National Research Service Awards for Research Training	UW-Madison	(20,300)	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
93.283		Centers for Disease Control and Prevention-Investigations and Technical Assistance	DHS	3,551,679	1,605,005
93.283		Centers for Disease Control and Prevention-Investigations and Technical Assistance	UW-Madison	(135)	0
93.283		Centers for Disease Control and Prevention-Investigations and Technical Assistance (from UW-Madison)	UW-Milwaukee	17,947	0
Total Federal Program 93.283				3,569,491	1,605,005
93.286		Discovery and Applied Research for Technological Innovations to Improve Human Health	UW-Madison	131,229	0
93.296		State Partnership Grant Program to Improve Minority Health	DHS	132,098	23,651
93.301		Small Rural Hospital Improvement Grant Program	UW-Madison	872,734	838,990
93.305		National State Based Tobacco Control Program	DHS	1,060,869	263,903
93.314		Early Hearing Detection and Intervention Information Systems (EHDI-IS) Surveillance Program	DHS	84,640	
93.323		Epidemiology and Laboratory Capacity for Infectious Diseases (ELC)	DHS	2,270,412	672,956
93.324		State Health Insurance Assistance Program	DHS	1,066,329	862,915
93.332		Cooperative Agreement to Support Navigators in Federally-facilitated and State Partnership Marketplaces	UW-Madison	779,212	312,109
93.336		Behavioral Risk Factor Surveillance System	DHS	253,417	
93.350		National Center for Advancing Translational Sciences	UW-Madison	286,961	0
93.351		Research Infrastructure Programs	UW-Madison	837,652	0
93.351		Research Infrastructure Programs	UW-Milwaukee	9,143	0
Total Federal Program 93.351				846,795	0
93.358		Advanced Education Nursing Traineeships	UW-Eau Claire	351,360	0
93.358		Advanced Education Nursing Traineeships	UW-Oshkosh	128,795	0
Total Federal Program 93.358				480,155	0
93.359		Nurse Education, Practice Quality and Retention Grants	UW-Milwaukee	393,976	82,578
93.361		Nursing Research	UW-Madison	43,038	0
93.369		ACL Independent Living State Grants	DWD	167,274	167,274
93.369		ACL Independent Living State Grants	DHS	235,297	235,272
Total Federal Program 93.369				402,571	402,546
93.389		National Center for Research Resources	UW-Milwaukee	8,021	0
93.394		Cancer Detection and Diagnosis Research	UW-Madison	26,037	0
93.398		Cancer Research Manpower	UW-Madison	1,845,239	0
93.433		ACL National Institute on Disability, Independent Living, and Rehabilitation Research	UW-Milwaukee	222,398	143,013
93.448		Food Safety and Security Monitoring Project	UW-Madison	153,320	0
93.448		Food Safety and Security Monitoring Project	DATCP	246,703	0
Total Federal Program 93.448				400,023	0
93.464		ACL Assistive Technology	DHS	598,554	0
93.500		Pregnancy Assistance Fund Program	DPI	2,161,563	1,954,756
93.505		Affordable Care Act (ACA) Maternal, Infant, and Early Childhood Home Visiting Program	DCF	5,304,284	4,957,717
93.507		PPHF National Public Health Improvement Initiative	DHS	41,582	75,543
93.511	93.1 IPRPR120016-	Affordable Care Act (ACA) Grants to States for Health	OCI	1,035,426	0
93.517	01-02	Insurance Premium Review			
		Affordable Care Act – Aging and Disability Resource Center	DHS	489,314	86,950
93.521		The Affordable Care Act: Building Epidemiology, Laboratory, and Health Information Systems Capacity in the Epidemiology and Laboratory Capacity for Infectious Disease (ELC) and Emerging Infections Program (EIP) Cooperative Agreements; PPHF	DHS	1,074,273	378,373
93.531		PPHF - Community Transformation Grants and National Dissemination and Support for Community	UW-Madison	(729)	0
93.531		PPHF - Community Transformation Grants and National Dissemination and Support for Community (from UW-Madison)	UW-Milwaukee	(24)	0
Total Federal Program 93.531				(753)	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
93.536		The Affordable Care Act Medicaid Incentives for Prevention of Chronic Disease Demonstration Project	DHS	1,154,237	0
93.539		PPHF Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance financed in part by Prevention and Public Health Funds	DHS	756,142	185,861
93.556		Promoting Safe and Stable Families	DCF	2,741,678	2,405,443
93.558		Temporary Assistance for Needy Families	DCF	221,148,207	84,145,481
93.558		Temporary Assistance for Needy Families	UW-Oshkosh	85,239	0
		Total Federal Program 93.558		221,233,446	84,145,481
93.563		Child Support Enforcement	DCF	69,166,986	58,799,291
93.564		Child Support Enforcement Research	DCF	1,037,522	265,076
93.566		Refugee and Entrant Assistance-State Administered Programs	DCF	3,463,604	2,800,909
93.568		Low-Income Home Energy Assistance	DOA	85,833,177	13,787,161
93.569		Community Services Block Grant	DCF	8,814,660	8,685,250
		CCDF Cluster:			
93.575		Child Care and Development Block Grant	DCF	97,197,811	22,049,423
93.596		Child Care Mandatory and Matching Funds of the Child Care and Development Fund	DCF	56,319,316	0
		Total CCDF Cluster		153,517,127	22,049,423
93.576		Refugee and Entrant Assistance-Discretionary Grants	DPI	85,820	79,318
93.576		Refugee and Entrant Assistance-Discretionary Grants	DCF	399,465	399,465
		Total Federal Program 93.576		485,285	478,783
93.584		Refugee and Entrant Assistance-Targeted Assistance Grants	DCF	340,973	340,973
93.590		Community-Based Child Abuse Prevention Grants	CANPB	532,881	357,804
93.597		Grants to States for Access and Visitation Programs	CANPB	92,946	91,731
93.599		Chafee Education and Training Vouchers Program (EVT)	DCF	546,542	546,542
93.600		Head Start	DPI	165,898	17,167
93.600		Head Start	UW-Oshkosh	4,425,081	0
		Total Federal Program 93.600		4,590,979	17,167
93.603		Adoption and Legal Guardianship Incentive Payments	DCF	113,661	113,661
93.610		Health Care Innovation Awards (HCIA)	DHS	4,479,285	1,386,367
93.617	261	Voting Access for Individuals with Disabilities-Grants to States	GAB	121,696	0
93.624		ACA - State Innovation Models: Funding for Model Design and Model Testing Assistance	DHS	1,868,914	0
93.630		Developmental Disabilities Basic Support and Advocacy Grants	BPDD	1,259,021	303,488
93.631		Developmental Disabilities Projects of National Significance	BPDD	234,169	153,272
93.632		University Centers for Excellence in Developmental Disabilities Education, Research, and Service	UW-Madison	508,590	0
93.643		Children's Justice Grants to States	DOJ	205,256	55,608
93.645		Stephanie Tubbs Jones Child Welfare Services Program	DCF	3,768,240	3,462,281
93.652		Adoption Opportunities	DCF	0	0
93.658		Foster Care-Title IV-E	DCF	58,703,278	35,288,999
93.658		Foster Care-Title IV-E (from UW-Green Bay)	UW-Oshkosh	44,245	0
93.658		Foster Care-Title IV-E	UW-Green Bay	24	0
93.658		Foster Care-Title IV-E (from UW-Madison)	UW-Milwaukee	2,104,472	0
		Total Federal Program 93.658		60,852,019	35,288,999
93.659		Adoption Assistance	DCF	48,157,134	1,786,356
93.667		Social Services Block Grant	DHS	43,897,166	43,897,166
93.669		Child Abuse and Neglect State Grants	DCF	476,472	58,858
93.670		Child Abuse and Neglect Discretionary Activities	DCF	380,483	379,483
93.671		Family Violence Prevention and Services/Domestic Violence Shelter and Supportive Services	DCF	1,804,360	1,656,685
93.674		Chafee Foster Care Independence Program	DCF	2,135,969	1,769,186
93.674		Chafee Foster Care Independence Program (from UW-Madison)	UW-Oshkosh	3,484	0
		Total Federal Program 93.674		2,139,453	1,769,186

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
93.733		Capacity Building Assistance to Strengthen Public Health Immunization Infrastructure and Performance – financed in part by the Prevention and Public Health Fund (PPHF)	DHS	797,493	0
93.734		Empowering Older Adults and Adults with Disabilities through Chronic Disease Self-Management Education Programs – financed by Prevention and Public Health Funds (PPHF)	DHS	96,643	91,841
93.735		State Public Health Approaches for Ensuring Quitline Capacity – Funded in part by Prevention and Public Health Funds (PPHF)	DHS	215,661	215,623
93.752		Cancer Prevention and Control Programs for State, Territorial and Tribal Organizations financed in part by Prevention and Public Health Funds	DHS	316,317	474,186
93.753		Childhood Lead Poisoning Prevention Surveillance financed in part by Prevention and Public Health (PPHF) Program	DHS	366,375	0
93.757		State and Local Public Health Actions to Prevent Obesity, Diabetes, Heart Disease and Stroke (PPHF)	DHS	943,726	456,668
93.758		Preventive Health and Health Services Block Grant funded solely with Prevention and Public Health Funds (PPHF)	DHS	3,650,621	836,348
93.763		Alzheimer's Disease Initiative: Specialized Supportive Services Project (ADI-SSS) thru Prevention and Public Health Funds (PPHF)	DHS	270,592	198,503
93.763		Alzheimer's Disease Initiative: Specialized Supportive Services Project (ADI-SSS) thru Prevention and Public Health Funds (PPHF)	UW-Oshkosh	690	0
Total Federal program 93.763				271,282	198,503
93.767		Children's Health Insurance Program	DHS	200,502,490	2,111,565
Medicaid Cluster:					
93.775		State Medicaid Fraud Control Units	DOJ	1,043,564	0
93.777		State Survey and Certification of Health Care Providers and Suppliers (Title XVIII) Medicare	DHS	11,290,570	0
93.777		State Survey and Certification of Health Care Providers and Suppliers (Title XVIII) Medicare	UW-Oshkosh	16,210	0
93.778		Medical Assistance Program	DHS	4,831,985,728	180,094,577
93.778		ARRA-Medical Assistance Program	DHS	12,429,270	0
93.778		Medical Assistance Program	UW-Oshkosh	164,980	0
Total Medicaid Cluster				4,856,930,323	180,094,577
93.791		Money Follows the Person Rebalancing Demonstrator	DHS	8,219,465	4,213,817
93.800		Organized Approaches to Increase Colorectal Cancer Screening	UW-Madison	187,036	0
93.810		Paul Coverdell Stroke FY16	DHS	512,405	384,280
93.815		Domestic Ebola Supplement to the Epidemiology and Laboratory Capacity for Infectious Diseases (ELC)	DHS	600,524	68,747
93.817		Hospital Preparedness Program (HPP) Ebola Preparedness and Response Activities	DHS	1,564,445	1,564,321
93.837		Cardiovascular Diseases Research	UW-Madison	1,044,259	0
93.838		Lung Diseases Research	UW-Madison	9	0
93.839		Blood Diseases and Resources Research	UW-Madison	295,299	0
93.846		Arthritis, Musculoskeletal and Skin Diseases Research	UW-Madison	61,989	0
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research	UW-Madison	622,180	0
93.855		Allergy and Infectious Disease Research	UW-Madison	1,001,440	0
93.859		Biomedical Research and Research Training	UW-Madison	4,732,410	0
93.865		Child Health and Human Development Extramural Research	UW-Madison	954,535	0
93.866		Aging Research	UW-Madison	693,402	0
93.879		Medical Library Assistance	UW-Madison	1,009,258	0
93.884		Grants for Primary Care Training and Enhancement	UW-Madison	538,942	0
93.884		Grants for Primary Care Training and Enhancement (from UW-Madison)	UW-Colleges	88,409	0
Total Federal Program 93.884				627,351	0
93.889		National Bioterrorism Hospital Preparedness Program	DHS	3,968,144	2,154,762
93.913		Grants to States for Operation of Offices of Rural Health	UW-Madison	170,050	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
93.917		HIV Care Formula Grants	DHS	4,879,699	3,935,170
93.918		Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease	UW-Madison	230,277	0
93.928		Special Projects of National Significance	DHS	425,740	305,282
93.940		HIV Prevention Activities-Health Department Based	DHS	1,465,176	844,309
93.944		Human Immunodeficiency Virus (HIV)/Acquired Immunodeficiency Virus Syndrome (AIDS) Surveillance	DHS	294,457	7,500
93.945		Assistance Programs for Chronic Disease Prevention and Control	DHS	1,359,379	527,629
93.946		Cooperative Agreements to Support State-Based Safe Motherhood and Infant Health Initiative Programs	DHS	125,830	0
93.958		Block Grants for Community Mental Health Services	DHS	7,242,778	5,260,967
93.959		Block Grants for Prevention and Treatment of Substance Abuse	DHS	25,243,346	21,327,448
93.970		Health Professions Recruitment Program for Indians	UW-Madison	208,757	0
93.977		Preventive Health Services-Sexually Transmitted Diseases Control Grants	DHS	1,119,367	794,135
93.991		Preventive Health and Health Services Block Grant	DHS	18,216	0
93.994		Maternal and Child Health Services Block Grant to the States	DHS	11,863,553	6,694,735
93.998		Autism and Other Developmental Disabilities, Surveillance, Research, and Prevention	UW-Madison	295,149	0
Other Federal Financial Assistance:					
N/A	HHSF223201510145	Medicated Feed Inspections	DATCP	100,841	0
N/A	93.UNKNOWN	Federal Data Sharing	DWD	16,246	0
N/A	93.200-2007-M-19964	DHS Vital Statistics	DHS	165,312	0
N/A	93.223-2011-10068C	FDA-Tobacco Retail Inspections	DHS	651,910	617,207
N/A	93.F223201210081C	Mammography Quality Standards Act	DHS	151,546	0
N/A	93.200-2013-M-54963	National Death Index	DHS	48,016	0
N/A	93.IPA	Interagency Personnel Agreements	UW-Madison	21,809	0
N/A	93.HHSN275201400010C	Newborn Screening for Pompe Disease	UW-Madison	7,809	5,851
Subtotal Direct Programs				6,016,911,286	570,782,110
Subgrants:					
93.008	MRC 13-0251	Medical Reserve Corps Small Grant Program (from National Association of County and City Health Officials)	DATCP	1,657	0
93.070		Environmental Public Health and Emergency Response (from Children's Health Alliance of Wisconsin)	UW-Madison	7,701	0
93.073		Birth Defects and Developmental Disabilities - Prevention and Surveillance (from Association of University Centers on Disabilities)	UW-Madison	1,811	0
93.092		Affordable Care Act (from Silver Spring Neighborhood Center)	UW-Milwaukee	17,040	0
93.093		Affordable Care Act (ACA) Health Profession Opportunity Grants (from Milwaukee Area Workforce Investment Board)	UW-Milwaukee	5,783	0
93.145		AIDS Education and Training Centers (from University of Illinois-Chicago)	UW-Madison	201,221	0
93.145		AIDS Education and Training Centers (from Addis Ababa University)	UW-Madison	4,155	0
93.231		Epidemiology Cooperative Agreements (from Great Lakes Inter-Tribal Council)	UW-Milwaukee	1,492	0
93.243		Substance Abuse and Mental Health Services-Projects of Regional and National Significance (from Boston University)	UW-Madison	7,410	0
93.243		Substance Abuse and Mental Health Services-Projects of Regional and National Significance (from Westfield School District)	UW-Extension	4,845	0
93.243		Substance Abuse and Mental Health Services-Projects of Regional and National Significance (from Adams-Friendship Area School District)	UW-Madison	4,340	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
93.243		Substance Abuse and Mental Health Services-Projects of Regional and National Significance (from Ashland School District)	UW-Madison	3,919	0
93.243		Substance Abuse and Mental Health Services-Projects of Regional and National Significance (from City of Milwaukee)	UW-Milwaukee	54,965	0
93.262		Occupational Safety and Health Program (from Marshfield Clinic)	UW-Madison	69,675	0
93.262		Occupational Safety and Health Program (from Marshfield Clinic Research Foundation)	UW-Madison	17,567	0
93.266		Health Systems Strengthening and HIV/AIDS Prevention, Care and Treatment under the President's Emergency Plan for AIDS Relief (from Addis Ababa University)	UW-Madison	35,998	0
93.273		Alcohol Research Programs (from Milwaukee County)	UW-Milwaukee	26,441	0
93.292		National Public Health Improvement Initiative (from Association of Maternal & Child Health Physicians)	UW-Madison	7,008	0
93.397		Cancer Centers Support Grants (from Mayo Clinic)	UW-Madison	51,885	0
93.527		Affordable Care Act (ACA) Grants for New and Expanded Services under the Health Center Program (from Lac Courte Oreilles Band of Lake Superior Chippewa Indians)	UW-Madison	24,136	0
93.778		Medical Assistance Program (from Luxvida)	UW-Madison	154,770	0
93.778		Medical Assistance Program (from Pierce County Department of Health & Human Services)	UW-Stout	4,104	0
93.778		Medical Assistance Program (from Barron County Department of Health & Human Services)	UW-Stout	3,578	0
93.778		Medical Assistance Program (from Dunn County Department of Health & Human Services)	UW-Stout	2,619	0
93.910		Family and Community Violence Prevention Program (from College of Menominee Nation)	UW-Extension	7,665	0
93.959		Block Grants for Prevention and Treatment of Substance Abuse (from Set Ministry Inc)	UW-Milwaukee	6,940	0
93.969		PPHF Geriatric Education Centers (from University of Minnesota)	UW-Eau Claire	123	0
N/A	93.D111851166; 93-283-07-4803	Drug and Alcohol Services Information System (from Synectics for Management Decisions, Inc.)	DHS	25,728	0
N/A	93.283-2-9026	State Outcome Measurement and Management System (from Synectics for Management Decisions, Inc.)	DHS	19,551	0
N/A	93.SC-1026-WI-02	Transformation Transfer Initiative (TTI) NASMHPD 13 (from National Association of State Mental Health Program Directors)	DHS	7,775	0
N/A	93.AGMT 06/18/15	Provider Business Operations Learning Networks (from National Council for Behavioral Health)	UW-Madison	994,684	0
N/A	93.3002-085	Healthcare Systems Change (from Carter Consulting Inc)	UW-Madison	36,330	0
N/A	93.H-FB-ETH-16-P-PTR-AAMP-00	Twinning Partnership (from American International Health Alliance)	UW-Madison	26,988	0
N/A	93.H-F7-ETH-11-P-PTR-AAMP-00	AIHA Twinning Center (from American International Health Alliance)	UW-Madison	19,299	0
N/A	93.AGMT 06/24/15	Long-Term LEND Trainee Outcomes (from Association of University Centers on Disabilities)	UW-Madison	2,575	0
N/A	93.F-14-8537	Summer Externship (from Northern Wisconsin Area Health Education)	UW-Madison	2,500	0
N/A	93.H-F5-ETH-09-P-PTR-AASM-00	Ethiopian Emergency Medical Services Training and Development Initiative (from American International Health Alliance)	UW-Madison	(23)	0
N/A	93.AGMT 05/27/14	Genetics Education Impact Award (from Genetic Alliance)	UW-Madison	(415)	0
N/A	93.HHSS283200700003IHHSS28300002	Clinical Technical Assistance (from JBS International)	UW-Madison	(8,163)	0
N/A	93.AGMT 05/17/14; AGMT 04/20/15	American Indian Science Scholars Program (from Great Lakes Inter-Tribal Council)	UW-Milwaukee	30,740	0
				1,886,417	0
TOTAL U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES				6,018,797,703	570,782,110
CORPORATION FOR NATIONAL AND COMMUNITY SERVICES:					
94.003		State Commissions	DOA	320,470	0
94.006		AmeriCorps	DOA	5,287,127	5,287,127
94.006		AmeriCorps	UW-Oshkosh	54,302	0
94.006		AmeriCorps	UW-Eau Claire	21,448	0
Total Federal Program 94.006				5,362,877	5,287,127

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
94.007		Program Development and Innovation Grants	UW-Extension	(342)	0
94.011		Foster Grandparent/Senior Companion Cluster: Foster Grandparent Program	DHS	1,204,956	1,051,400
		Total Foster Grandparent/Senior Companion Cluster		<u>1,204,956</u>	<u>1,051,400</u>
94.013		Volunteers in Service to America	DPI	9,729	0
94.013		Volunteers in Service to America	UW-Extension	27,713	0
		Total Federal program 94.013		<u>37,442</u>	<u>0</u>
94.021		Volunteer Generation Fund	DOA	13,737	
		Subtotal Direct Programs		<u>6,939,139</u>	<u>6,338,527</u>
		Subgrants:			
94.006		AmeriCorps (from Wisconsin National & Community Service Board)	UW-Madison	(9)	0
94.006		AmeriCorps (from Wisconsin National & Community Service Board)	UW-Extension	(4,107)	0
94.007		Program Development and Innovation Grants (from Iowa Western Community College)	UW-Extension	3,000	0
		Subtotal Subgrants		<u>(1,116)</u>	<u>0</u>
		TOTAL CORPORATION FOR NATIONAL AND COMMUNITY SERVICE		<u>6,938,023</u>	<u>6,338,527</u>
EXECUTIVE OFFICE OF THE PRESIDENT:					
95.001		High Intensity Drug Trafficking Areas Program	DOT	46,633	0
95.001		High Intensity Drug Trafficking Areas Program	UW-Milwaukee	1,375,222	0
95.001		High Intensity Drug Trafficking Areas Program	DOJ	274,496	62,466
		TOTAL EXECUTIVE OFFICE OF THE PRESIDENT:		<u>1,696,351</u>	<u>62,466</u>
U.S.SOCIAL SECURITY ADMINISTRATION:					
		Disability Insurance/SSI Cluster:			
96.001		Social Security-Disability Insurance	DHS	33,093,048	0
		Total Disability Insurance/SSI Cluster		<u>33,093,048</u>	<u>0</u>
		Other Federal Financial Assistance:			
N/A	96.0NA	Social Security Administration Reimbursements	DWD	4,666,994	786,612
N/A	96.SS00-12-60059;	Social Security Administration Death Records	DHS	134,209	0
	SS00-12-60059/001				
N/A	96.SS00-08-60068	Social Security Enumeration	DHS	292,177	0
		Subtotal Direct Programs		<u>38,186,429</u>	<u>786,612</u>
		Subgrants:			
96.008		Social Security - Work Incentives Planning and Assistance Program (from Employment Resources Inc)	UW-Stout	69,308	0
96.009		Social Security State Grants for Work Incentives Assistance to Disabled Beneficiaries (from Employment Resources Inc)	UW-Stout	16,695	0
		Subtotal Subgrants		<u>86,003</u>	<u>0</u>
		TOTAL U.S.SOCIAL SECURITY ADMINISTRATION:		<u>38,272,432</u>	<u>786,612</u>
U.S. DEPARTMENT OF HOMELAND SECURITY:					
97.012		Boating Safety Financial Assistance	DNR	2,860,610	1,786,000
97.023		Community Assistance Program State Support Services Element (CAP-SSSE)	DNR	169,053	0
97.029		Flood Mitigation Assistance	DMA	243,761	233,457
97.036		Disaster Grants-Public Assistance (Presidentially Declared Disasters)	DMA	1,178,047	1,045,750
97.039		Hazard Mitigation Grant	DMA	2,688,859	2,536,272
97.041		National Dam Safety Program	DNR	97,333	0
97.042		Emergency Management Performance Grants	DMA	4,693,995	2,476,095
97.043		State Fire Training Systems Grants	WTCS	7,245	7,245
97.044		Assistance to Fire Fighters Grant	WTCS	323,891	323,891
97.045		Cooperating Technical Partners	DNR	453,539	4,897
97.047		Pre-Disaster Mitigation	DMA	201,543	183,506
97.052		Emergency Operations Center	DMA	522,815	0
97.055		Interoperable Emergency Communications	DMA	996,922	996,922

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
97.056		Port Security Grant Program	DNR	50,238	0
97.056		Port Security Grant Program	DOJ	50,096	0
		Total Federal Program 97.056		<u>100,334</u>	<u>0</u>
97.065		Homeland Security Advanced Research Projects	DNR	33,439	0
97.067		Homeland Security Grant Program	DOJ	624,182	0
97.067		Homeland Security Grant Program	DMA	2,618,792	1,232,628
		Total Federal Program 97.067		<u>3,242,974</u>	<u>1,232,628</u>
97.089		Driver's License Security Grant Program	DOT	348,367	0
97.091		Homeland Security Biowatch Program	DNR	311,149	0
NA	97. UNKNOWN	Other Federal Financial Assistance: Immigration & Customs Enforcement	DOJ	476	0
		TOTAL U.S. DEPARTMENT OF HOMELAND SECURITY:		<u>18,474,353</u>	<u>10,826,663</u>
U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT:					
98.009		John Ogonowski Farmer-to-Farmer Program (from Partners of UW-Extension the Americas)		102,914	0
		TOTAL U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT		<u>102,914</u>	<u>0</u>
		TOTAL INDIVIDUAL PROGRAMS AND OTHER CLUSTERS		<u>9,978,387,128</u>	<u>1,660,478,631</u>

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
<i>RESEARCH AND DEVELOPMENT (R&D) CLUSTER</i>					
10.001		Agricultural Research-Basic and Applied Research	UW-Milwaukee	343,018	0
10.001		Agricultural Research-Basic and Applied Research	UW-Madison	1,901,707	0
10.001		Agricultural Research-Basic and Applied Research	UW-Platteville	77,367	0
10.001		Agricultural Research-Basic and Applied Research	UW-Green Bay	7,027	0
10.001		Agricultural Research-Basic and Applied Research	UW-Extension	2,351	0
10.001		Agricultural Research-Basic and Applied Research (from UW-Milwaukee)	UW-Madison	186	0
Total Federal program 10.001				2,331,656	0
10.025		Plant and Animal Disease, Pest Control, and Animal Care	UW-Madison	58,743	0
10.167		Transportation Services	UW-Madison	23,700	0
10.200		Grants for Agricultural Research, Special Research Grants	UW-Madison	137,940	98,505
10.200		Grants for Agricultural Research, Special Research Grants	UW-Stevens Point	698	0
Total Federal Program 10.200				138,638	98,505
10.202		Cooperative Forestry Research	UW-Madison	1,165,448	0
10.202		Cooperative Forestry Research (from UW-Madison)	UW-Stevens Point	134,329	0
Total Federal Program 10.202				1,299,777	0
10.203		Payments to Agricultural Experiment Stations Under the Hatch Act	UW-Madison	7,717,998	0
10.207		Animal Health and Disease Research	UW-Madison	101,750	0
10.217		Higher Education-Institution Challenge Grants Program	UW-Madison	37,357	0
10.219		Biotechnology Risk Assessment Research	UW-Madison	1,997	0
10.250		Agricultural and Rural Economic Research, Cooperative Agreements and Collaborations	UW-Madison	59,908	0
10.253		Consumer Data and Nutrition Research	UW-Madison	135,506	0
10.255		Research Innovation and Development Grants in Economic (RIDGE)	UW-Madison	240,662	151,525
10.303		Integrated Programs	UW-Madison	46,959	2,608
10.307		Organic Agriculture Research and Extension Initiative	UW-Madison	(1)	0
10.309		Specialty Crop Research Initiative	UW-Madison	2,693,663	1,236,548
10.310		Agriculture and Food Research Initiative (AFRI)	UW-Madison	7,787,649	2,149,941
10.310		Agriculture and Food Research Initiative (AFRI)	UW-Platteville	91,565	0
10.310		Agriculture and Food Research Initiative (AFRI) (from UW-Madison)	UW-Platteville	67,249	0
Total Federal Program 10.310				7,946,463	2,149,941
10.311		Beginning Farmer and Rancher Development Program	UW-Madison	20,291	9,680
10.312		Biomass R Initiative Competitive Grants Program (BRDI)	UW-Madison	1,375,762	344,365
10.326		Capacity Building for Non-Land Grant Colleges of Agriculture (NLGCA)	UW-Platteville	84,965	42,092
10.326		Capacity Building for Non-Land Grant Colleges of Agriculture (NLGCA) (from UW-River Falls)	UW-Madison	70,369	0
Total Federal Program 10.326				155,334	42,092
10.330		Alfalfa and Forage Research Program	UW-Madison	139,713	74,774
10.600		Foreign Market Development Cooperator Program	UW-Madison	5,617	0
10.680		Forest Health Protection	UW-Stevens Point	74	0
10.762		Solid Waste Management Grants	UW-Oshkosh	81,732	0
10.903		Soil Survey	UW-Madison	(282)	0
10.912		Environmental Quality Incentives Program	UW-Platteville	122,641	0
10.912		Environmental Quality Incentives Program	UW-Madison	55,335	0
10.912		Environmental Quality Incentives Program (from UW-Madison)	UW-Platteville	5,476	0
Total Federal Program 10.912				183,452	0
N/A		10.RD R&D from Forest Service	UW-Madison	1,266,908	20,104
N/A		10.RD R&D from Animal & Plant Health Inspection	UW-Madison	62,011	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
N/A	10.RD	R&D from Agricultural Marketing Service	UW-Madison	52,464	0
N/A	10.RD	R&D from Forest Service	UW-Stevens Point	22,477	0
N/A	10.RD	R&D from Agricultural Research Service	UW-Madison	20,665	0
N/A	10.RD	R&D from National Institute of Food & Agriculture	UW-Platteville	4,114	0
N/A	10.RD	R&D from Forest Service	UW-Green Bay	2,762	0
N/A	10.RD	R&D from Forest Service	UW-Milwaukee	6,568	0
		Subtotal Direct R&D Grants		26,234,438	4,130,142
		R&D Subgrants:			
10.168		Farmers' Market and Local Food Promotion Program (from Wisconsin Food Hub Cooperative)	UW-Madison	20,721	0
10.170		Specialty Crop Block Grant Program - Farm Bill (from Wisconsin Potato Industry Board)	UW-Madison	206,643	0
10.170		Specialty Crop Block Grant Program - Farm Bill (from Wisconsin Grape Growers Association)	UW-Madison	96,781	0
10.170		Specialty Crop Block Grant Program - Farm Bill (from Wisconsin Apple Growers Association)	UW-Madison	37,338	0
10.170		Specialty Crop Block Grant Program - Farm Bill (from Midwest Food Processors Association)	UW-Madison	28,180	0
10.170		Specialty Crop Block Grant Program - Farm Bill (from Fairshare CSA Coalition)	UW-Madison	22,126	0
10.170		Specialty Crop Block Grant Program - Farm Bill (from Cooperative Educational Service Agency 2)	UW-Madison	12,451	0
10.200		Grants for Agricultural Research, Special Research Grants (from Michigan State University)	UW-Madison	80,013	0
10.200		Grants for Agricultural Research, Special Research Grants (from Iowa State University)	UW-Stevens Point	38,143	0
10.200		Grants for Agricultural Research, Special Research Grants (from Iowa State University)	UW-Madison	12,645	0
10.212		Small Business Innovation Research (from Pan Genome Systems Inc)	UW-Madison	90,613	0
10.212		Small Business Innovation Research (from Nutrient Recovery and Upcycling LLC)	UW-Madison	50,704	0
10.212		Small Business Innovation Research (from Northside Enterprises)	UW-Stevens Point	4,197	0
10.215		Sustainable Agriculture Research and Education (from University of Minnesota)	UW-Madison	173,951	0
10.215		Sustainable Agriculture Research and Education (from Northern Plains Sustainable Agriculture)	UW-Madison	18,339	0
10.217		Higher Education-Institution Challenge Grants Program (from University of Kentucky)	UW-Madison	2,925	0
10.227		1994 Institutions Research Program (from College of Menominee Nation)	UW-Madison	(32)	0
10.255		Research Innovation and Development Grants in Economic (RIDGE) (from Purdue University)	UW-Madison	1,170	0
10.303		Integrated Programs (from University of Minnesota)	UW-Madison	23,378	0
10.303		Integrated Programs (from University of Georgia)	UW-Madison	21,432	0
10.303		Integrated Programs (from Michigan State University)	UW-Madison	9,325	0
10.307		Organic Agriculture Research and Extension Initiative (from West Virginia University)	UW-Madison	97,109	0
10.307		Organic Agriculture Research and Extension Initiative (from Oregon State University)	UW-Madison	89,578	0
10.307		Organic Agriculture Research and Extension Initiative (from University of Georgia)	UW-Madison	15,884	0
10.307		Organic Agriculture Research and Extension Initiative (from Purdue University)	UW-Madison	8,242	0
10.309		Specialty Crop Research Initiative (from Cornell University)	UW-Madison	284,734	0
10.309		Specialty Crop Research Initiative (from University of Minnesota)	UW-Madison	57,872	0
10.309		Specialty Crop Research Initiative (from University of California-Davis)	UW-Madison	6,624	0
10.309		Specialty Crop Research Initiative (from Morningside College)	UW-Stevens Point	1,923	0
10.309		Specialty Crop Research Initiative (from University of Minnesota)	UW-Stevens Point	538	0
10.310		Agriculture and Food Research Initiative (AFRI) (from Iowa State University)	UW-Madison	488,049	0
10.310		Agriculture and Food Research Initiative (AFRI) (from Michigan State University)	UW-Madison	484,057	0
10.310		Agriculture and Food Research Initiative (AFRI) (from University of Florida)	UW-Madison	136,196	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
10.310		Agriculture and Food Research Initiative (AFRI) (from University of Minnesota)	UW-Madison	95,177	0
10.310		Agriculture and Food Research Initiative (AFRI) (from Pennsylvania State University)	UW-Madison	83,498	0
10.310		Agriculture and Food Research Initiative (AFRI) (from Louisiana State University)	UW-Madison	51,810	0
10.310		Agriculture and Food Research Initiative (AFRI) (from University of California-Riverside)	UW-Madison	50,108	0
10.310		Agriculture and Food Research Initiative (AFRI) (from Utah State University)	UW-Madison	39,637	0
10.310		Agriculture and Food Research Initiative (AFRI) (from Texas A&M University Research Foundation)	UW-Madison	23,066	0
10.310		Agriculture and Food Research Initiative (AFRI) (from University of Delaware)	UW-Madison	16,063	0
10.310		Agriculture and Food Research Initiative (AFRI) (from University of Michigan)	UW-Madison	13,957	4,391
10.310		Agriculture and Food Research Initiative (AFRI) (from Virginia Polytechnic Institute & State University)	UW-Madison	11,266	0
10.310		Agriculture and Food Research Initiative (AFRI) (from University of Vermont)	UW-Madison	4,760	0
10.310		Agriculture and Food Research Initiative (AFRI) (from University of Connecticut)	UW-Madison	3,871	0
10.310		Agriculture and Food Research Initiative (AFRI) (from Purdue University)	UW-Madison	(342)	0
10.312		Biomass R Initiative Competitive Grants Program (BRDI) (from University of Kentucky Research Foundation)	UW-Madison	69,548	0
10.320		Sun Grant Program (from South Dakota State University)	UW-Madison	(25)	0
10.329		Crop Protection and Pest Management Competitive Grants Program (from University of Illinois-Urbana-Champaign)	UW-Madison	15,881	0
10.330		Alfalfa and Forage Research Program (from Mississippi State University)	UW-River Falls	17,161	0
10.330		Alfalfa and Forage Research Program (from University of California-Davis)	UW-Madison	12,907	0
10.330		Alfalfa and Forage Research Program (from University of Maryland)	UW-Madison	9,517	0
10.460		Risk Management Education Partnerships (from Familyfarmed)	UW-Madison	639	0
10.500		Cooperative Extension Service (from University of Minnesota)	UW-Madison	30,322	0
10.561		State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (from Family Planning Health Services Inc)	UW-Madison	44,418	0
10.902		Soil and Water Conservation (from Brown County)	UW-Green Bay	13,710	0
10.912		Environmental Quality Incentives Program (from Pheasants Forever)	UW-Madison	52,154	0
N/A	10.64094-9790	Northern Grapes: Integrating Viticulture, Winemaking, and Marketing of New Cold-Hardy Cultivars Supporting New and Growing Rural Wineries (from Cornell University)	UW-Madison	142,432	0
N/A	10.2014-06507-05	Web-Based Decision Aids & Education Tools (from University of Illinois-Urbana-Champaign)	UW-Madison	112,603	62,527
N/A	10.00007397	Effects of Splat Distribution on Spotted Owl Populations in the Sierra Nevada (from University of California-Berkeley)	UW-Madison	13,304	0
Subtotal R&D Subgrants				3,549,291	66,918
TOTAL R&D FROM U.S. DEPARTMENT OF AGRICULTURE				29,783,729	4,197,060
U.S. DEPARTMENT OF COMMERCE:					
11.008		NOAA Mission-Related Education Awards	UW-Madison	158,366	538
11.020		Cluster Grants	UW-Stevens Point	32,732	0
11.303		Economic Development-Technical Assistance (from UW-Milwaukee)	UW-Parkside	14,889	0
11.303		Economic Development-Technical Assistance (from UW-Extension)	UW-Madison	4,551	0
Total Federal Program 11.303				19,440	0
11.307		Economic Adjustment Assistance	UW-Madison	176,061	0
11.417		Sea Grant Support (from UW-Madison)	UW-Milwaukee	763,206	13,810
11.417		Sea Grant Support	UW-Madison	926,675	217,555

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
11.417		Sea Grant Support (from UW-Madison)	UW-Green Bay	222,943	0
11.417		Sea Grant Support (from UW-Madison)	UW-Stevens Point	85,832	25,000
11.417		Sea Grant Support (from UW-Madison)	UW-Superior	13,811	0
11.417		Sea Grant Support (from UW-Madison)	UW Colleges	13,230	0
11.417		Sea Grant Support (from UW-Madison)	UW-La Crosse	1,773	0
11.417		Sea Grant Support (from UW-Madison)	UW-Oshkosh	(3,052)	0
Total Federal Program 11.417				2,024,418	256,365
11.419		Coastal Zone Management Administration Awards (from UW-Superior)	UW-Madison	3,977	0
11.429		Marine Sanctuary Program	UW-Superior	6,477	0
11.431		Climate and Atmospheric Research	UW-Madison	298,867	0
11.432		National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes	UW-Madison	8,052,944	0
11.440		Environmental Sciences, Applications, Data, and Education	UW-Madison	4,146,693	0
11.459		Weather and Air Quality Research	UW-Madison	197,893	0
11.468		Applied Meteorological Research	UW-Madison	421,526	176,803
11.478		Center for Sponsored Coastal Ocean Research-Coastal Ocean Program	UW-Milwaukee	50,407	0
11.478		Center for Sponsored Coastal Ocean Research-Coastal Ocean Program (from UW-Milwaukee)	UW-Madison	4,604	0
11.478		Center for Sponsored Coastal Ocean Research-Coastal Ocean Program (from UW-Milwaukee)	UW-Green Bay	1,027	0
Total Federal Program 11.478				56,038	0
11.483		NOAA Programs for Disaster Relief Appropriations Act - Non-construction and Construction	UW-Madison	240,871	0
11.609		Measurement and Engineering Research and Standards	UW-Madison	349,411	0
Subtotal Direct R&D Grants				16,185,714	433,706
R&D Subgrants:					
11.012		Integrated Ocean Observing System (IOOS) (from Fox Wolf Watershed Alliance)	UW-Green Bay	18,519	0
11.113		ITA Special Projects (from Applied Ecological Services)	UW-Milwaukee	(15,343)	0
11.417		Sea Grant Support (from Ohio State University)	UW-Madison	79,508	24,566
11.419		Coastal Zone Management Administration Awards (from Georgia Department of Natural Resources)	UW-Madison	13,354	0
11.432		National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes (from University of Michigan)	UW-Milwaukee	93,344	0
11.432		National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes (from University of Michigan)	UW-Madison	108,948	0
11.482		Coral Reef Conservation Program (from University of Alaska)	UW-Madison	30,041	0
11.611		Manufacturing Extension Partnership (from Wisconsin Center for Manufacturing & Productivity Inc)	UW-Madison	149,754	0
N/A	11.26-0521-0129-005	Center for Nanoferric Devices (from University of Nebraska)	UW-Madison	171,180	0
N/A	11.MIL112043	Cyanobacterial Harmful Algae Bloom Ecology & Cyanotoxin Production in Green Bay (from University of Michigan)	UW-Milwaukee	2,813	0
Subtotal R&D Subgrants				652,118	24,566
TOTAL R&D FROM U.S. DEPARTMENT OF COMMERCE				16,837,832	458,272
U.S. DEPARTMENT OF DEFENSE:					
12.100		Aquatic Plant Control	UW-Madison	153,466	0
12.114		Collaborative R	UW-Milwaukee	41,542	0
12.300		Basic and Applied Scientific Research	UW-Madison	3,671,364	218,482
12.351		Basic Scientific Research - Combating Weapons of Mass Destruction	UW-Madison	225,387	0
12.420		Military Medical R	UW-Madison	3,313,114	77,066
12.431		Basic Scientific Research	UW-Milwaukee	45,136	0
12.431		Basic Scientific Research	UW-Madison	7,032,521	2,512,101
Total Federal Program 12.431				7,077,657	2,512,101

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
12.630		Basic, Applied, and Advanced Research in Science and Engineering	UW-Madison	259,858	0
12.800		Air Force Defense Research Sciences Program	UW-Madison	2,430,864	234,757
12.900		Language Grant Program	UW-Madison	67,517	0
12.901		Mathematical Sciences Grants Program	UW-Milwaukee	4,532	0
12.901		Mathematical Sciences Grants Program	UW-Madison	22,327	0
		Total Federal Program 12.901		26,859	0
12.910		Research and Technology Development	UW-Madison	1,254,290	383,038
N/A	12.RD	R&D from Army	UW-Madison	1,160,093	146,124
N/A	12.RD	R&D from Advanced Research Projects Agency	UW-Madison	257,564	207,858
N/A	12.RD	R&D from Air Force	UW-Madison	79,380	0
N/A	12.RD	R&D from Defense Advanced Research Projects	UW-Madison	56,100	0
N/A	12.2012- 12062700009	A Two-Dimensional Quantum Computer in Highly Doped Germanium	UW-Madison	48,176	0
		Subtotal Direct R&D Grants		20,123,231	3,779,426
		R&D Subgrants:			
12.001		Industrial Equipment Loans to Educational Institutions (from Charles River Analytics)	UW-Madison	109,427	0
12.300		Basic and Applied Scientific Research (from Morgridge Institute for Research)	UW-Madison	862,451	0
12.300		Basic and Applied Scientific Research (from New York University)	UW-Madison	305,338	0
12.300		Basic and Applied Scientific Research (from Rice University)	UW-Madison	220,917	0
12.300		Basic and Applied Scientific Research (from Northwestern University)	UW-Madison	174,962	0
12.300		Basic and Applied Scientific Research (from University of Pittsburgh)	UW-Madison	117,091	0
12.300		Basic and Applied Scientific Research (from Colorado State University)	UW-Madison	82,296	0
12.300		Basic and Applied Scientific Research (from Intraband)	UW-Madison	68,179	0
12.300		Basic and Applied Scientific Research (from Dartmouth College)	UW-Whitewater	40,325	0
12.300		Basic and Applied Scientific Research (from University of Illinois-Chicago)	UW-Madison	24,687	0
12.300		Basic and Applied Scientific Research (from University of Rochester)	UW-Madison	763	0
12.360		Research on Chemical and Biological Defense (from University of Michigan)	UW-Madison	219,444	0
12.420		Military Medical R (from University of Michigan)	UW-Madison	123,042	0
12.420		Military Medical R (from University of Miami)	UW-Madison	57,886	0
12.420		Military Medical R (from Texas A&M University Health Science Center)	UW-Madison	46,450	0
12.420		Military Medical R (from Cedars-Sinai Medical Center)	UW-Madison	28,487	0
12.420		Military Medical R (from Johns Hopkins University)	UW-Madison	15,204	0
12.420		Military Medical R (from National Trauma Institute)	UW-Madison	2,319	0
12.420		Military Medical R (from University of California-San Diego)	UW-Madison	(1,160)	0
12.431		Basic Scientific Research (from Syracuse University)	UW-Madison	483,785	0
12.431		Basic Scientific Research (from University of Massachusetts-Amherst)	UW-Madison	184,766	0
12.431		Basic Scientific Research (from University of Illinois-Urbana-Champaign)	UW-Madison	19,185	0
12.431		Basic Scientific Research (from University of California-Santa Barbara)	UW-Madison	(287)	0
12.630		Basic, Applied, and Advanced Research in Science and Engineering (from Duke University)	UW-Madison	7,533	0
12.800		Air Force Defense Research Sciences Program (from University of Pittsburgh)	UW-Madison	524,205	0
12.800		Air Force Defense Research Sciences Program (from University of Utah)	UW-Madison	290,385	0
12.800		Air Force Defense Research Sciences Program (from Georgia Institute of Technology)	UW-Madison	237,657	0
12.800		Air Force Defense Research Sciences Program (from Boston University)	UW-Madison	192,941	0
12.800		Air Force Defense Research Sciences Program (from SRI International)	UW-Madison	163,862	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
12.800		Air Force Defense Research Sciences Program (from Carbonics Inc)	UW-Madison	56,375	0
12.800		Air Force Defense Research Sciences Program (from Computherm)	UW-Madison	46,056	0
12.800		Air Force Defense Research Sciences Program (from University of Vermont)	UW-Madison	17,147	0
12.800		Air Force Defense Research Sciences Program (from Spectral Energies)	UW-Madison	9,433	0
12.800		Air Force Defense Research Sciences Program (from Agiltron)	UW-Madison	(36)	0
12.800		Air Force Defense Research Sciences Program (from Duke University)	UW-Madison	(120)	0
12.910		Research and Technology Development (from Michigan State University)	UW-Madison	456,395	0
12.910		Research and Technology Development (from Emory University)	UW-Madison	290,018	0
12.910		Research and Technology Development (from University of Illinois-Urbana-Champaign)	UW-Madison	150,639	130,000
12.910		Research and Technology Development (from Wisconsin Engine Research Consultants)	UW-Madison	102,795	0
12.910		Research and Technology Development (from HRL Laboratories)	UW-Madison	187	0
12.910		Research and Technology Development (from International Business Machines)	UW-Madison	(561)	0
N/A	12.GT S15-02	Calculating & Understanding Resource Bounds to Detect Space/Time Vulnerabilities (from Grammatech Inc)	UW-Madison	217,708	0
N/A	12.15026-503665-DS	Coupling Si/SiGe Gated Quantum Dots to Superconducting Waveguide Cavities (from HRL Laboratories)	UW-Madison	123,860	0
N/A	12.27-001438	DARPA-Big Mechanism (from SRI International)	UW-Madison	112,168	0
N/A	12.AGMT 04/15/13	Monolithic Surface-Emitting Lasers (from Intraband)	UW-Madison	99,949	0
N/A	12.060803-360635-01	Development of a Parallel Computing Software Solution for Multibody Dynamics-Enabled Analysis of Tracked Ground Vehicle Mobility (from Mississippi State University)	UW-Madison	88,817	0
N/A	12.MSN163385	Control & Mitigation of Aquatic Invasive Species in Pacific Island Streams (from Tulane University)	UW-Madison	81,492	0
N/A	12.AGMT 01/13/14	Liquid Crystal-based Sensors for Detection of Airborne Toxic Chemicals for Integration with Unmanned Robotic Systems (from Platypus Technologies LLC)	UW-Madison	67,308	0
N/A	12.4910017946.0	Multi-Qubit Coherent Operations (from International Business Machines)	UW-Madison	50,657	0
N/A	12.AGMT 07/28/15	High-Power Monolithic THz Sources (from Intraband)	UW-Madison	42,638	0
N/A	12.127-DOD-ADNI-ADC-044	Effects of TBI and PTSD on AD in Veterans (from University of California-San Diego)	UW-Madison	18,651	0
N/A	12.WDPTPR-92300001	Fort McCoy Curation (from Colorado State University)	UW-La Crosse	10,087	0
N/A	12.US316	A Phase 3, Randomized, Double-Blind, Placebo-Controlled, Multicenter Study (from PPD Development & MediVector Inc)	UW-La Crosse	8,725	0
N/A	12.StrataGraft	Open-Label, Controlled, Randomized, Multicenter, Dose Escalation Study Evaluating the Safety and Efficacy of Stratagraft Skin Tissue in Promoting the Healing of the Deep Partial-Thickness Component of Complex Skin Defects as an Alternative to Autografting (from Stratatech)	UW-Madison	594	0
N/A	12.060803-360579-01	Development of a High Performance Computing Software (from Mississippi State University)	UW-Madison	352	0
N/A	12.BC99-702083-BS	Development, Growth and Measurement of Silicon Quantum Dots and Si/SiGe Heterostructures (from HRL Laboratories)	UW-Madison	1	0
N/A	12.GT S11-04	Mathematically Rigorous Analysis of Software (from Grammatech Inc)	UW-Madison	(2)	0
N/A	12.MSN 143876	On-chip Passive Phase-Locking for High Coherent Power, Mid IR Quantum Cascade Lasers (from Intraband)	UW-Madison	(43)	0
N/A	12.AGMT 03/16/13	Multi-Color Nanomembrane Imaging Sensor Arrays (from Semerane)	UW-Madison	(385)	0
N/A	12.N0001412C0016	Next Generation MVDC Architecture Study (from DRS Power & Control Technologies Inc)	UW-Milwaukee	4,666	0
Subtotal R&D Subgrants				6,657,711	130,000
TOTAL R&D FROM DEPARTMENT OF DEFENSE				26,780,942	3,909,426

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT:					
14.267		Continuum of Care Program (from Institute for Community Alliances)	UW-Madison	28,599	0
		TOTAL R&D FROM U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT		28,599	0
U.S. DEPARTMENT OF THE INTERIOR:					
15.231		Fish, Wildlife and Plant Conservation Resource Management	UW-Stevens Point	22	0
15.232		Wildland Fire Research and Studies Program	UW-Madison	208,777	7,468
15.608		Fish and Wildlife Management Assistance	UW-Milwaukee	(16)	0
15.608		Fish and Wildlife Management Assistance	UW-Stevens Point	75,992	0
		Total Federal Program 15.608		75,976	0
15.640		Wildlife Without Borders-Latin America and the Caribbean	UW-Madison	17,408	0
15.650		Research Grants (Generic)	UW-Madison	438,928	0
15.657		Endangered Species Conservation Recovery Implementation Funds	UW-Madison	237,981	18,067
15.657		Endangered Species Conservation Recovery Implementation Funds	UW-Stevens Point	73,429	0
		Total Federal Program 15.657		311,410	18,067
15.662		Great Lakes Restoration	UW-Green Bay	30,788	0
15.669		Cooperative Landscape Conservation	UW-Madison	41,162	0
15.805		Assistance to State Water Resources Research Institutes (from UW-Madison)	UW-Milwaukee	1,466	0
15.805		Assistance to State Water Resources Research Institutes	UW-Madison	518,976	2,071
15.805		Assistance to State Water Resources Research Institutes (from UW-Madison)	UW-Platteville	18,193	0
		Total Federal Program 15.805		538,635	2,071
15.807		Earthquake Hazards Research Grants	UW-Madison	14,887	0
15.808		U.S. Geological Survey- Research and Data Collection	UW-Madison	264,709	0
15.808		U.S. Geological Survey- Research and Data Collection	UW-Stevens Point	16,423	0
15.808		U.S. Geological Survey- Research and Data Collection	UW-Platteville	12,031	0
15.808		U.S. Geological Survey- Research and Data Collection	UW-Green Bay	8,234	0
15.808		U.S. Geological Survey- Research and Data Collection	UW-Stout	6,344	0
		Total Federal Program 15.808		307,741	0
15.812		Cooperative Research Units Program	UW-Madison	408,151	0
15.812		Cooperative Research Units Program	UW-Stevens Point	35,570	0
		Total Federal Program 15.812		443,721	0
15.814		National Geological and Geophysical Data Preservation (from UW-Extension)	UW-Eau Claire	5,485	0
15.922		Native American Graves Protection and Repatriation Act	UW-Madison	5,822	0
15.944		Natural Resource Stewardship	UW-Milwaukee	151,945	0
15.944		Natural Resource Stewardship	UW-Stevens Point	10,732	0
		Total Federal Program 15.944		162,677	0
15.945		Cooperative Research and Training Programs Resources of the National Park System	UW-Madison	12,085	(89)
15.945		Cooperative Research and Training Programs Resources of the National Park System	UW-La Crosse	2,086	0
		Total Federal Program 15.945		14,171	(89)
15.978		Upper Mississippi River System Long Term Resource Monitoring Program	UW-La Crosse	319,376	0
N/A	15.RD	R&D from National Park Service	UW-La Crosse	24,294	0
N/A	15.RD	R&D from Fish & Wildlife Service	UW-Madison	15,761	0
N/A	15.RD	R&D from US Geological Survey	UW-Madison	13,127	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
N/A	15.G14PX00171	FY14-17 USGS Sandheinrich	UW-La Crosse	13,068	0
N/A	15.RD	R&D from Fish and Wildlife Service	UW-La Crosse	12,295	0
N/A	15.RD	R&D from US Geological Survey	UW-Milwaukee	65,335	0
		Subtotal Direct R&D Grants		<u>3,080,866</u>	<u>27,517</u>
		R&D Subgrants:			
15.232		Wildland Fire Research and Studies Program (from Ohio State University)	UW-Madison	3,894	0
15.608		Fish and Wildlife Management Assistance (from University of Illinois-Urbana-Champaign)	UW-Milwaukee	11,300	0
15.611		Wildlife Restoration and Basic Hunter Education (from Village of East Troy)	UW-Milwaukee	108	0
15.630		Coastal Program (from Ducks Unlimited)	UW-Green Bay	61,164	0
15.662		Great Lakes Restoration (from National Fish & Wildlife Foundation)	UW-Green Bay	113,670	0
15.662		Great Lakes Restoration (from Michigan Department of Environmental Quality)	UW-Madison	72,482	0
15.815		National Land Remote Sensing-Education Outreach and Research (from Americaview Inc)	UW-Madison	33,500	0
15.820		National Climate Change and Wildlife Science Center (from University of Massachusetts-Amherst)	UW-Madison	146,514	6,562
N/A	15.D005047001	Identifying Causes of High Mercury in Fish (from University of Minnesota)	UW-La Crosse	150,222	0
		Subtotal R&D Subgrants		<u>592,854</u>	<u>6,562</u>
		TOTAL U.S. DEPARTMENT OF THE INTERIOR		<u>3,673,720</u>	<u>34,079</u>
U.S. DEPARTMENT OF JUSTICE:					
N/A	16.5W-CIV02-0558;	Oxford Analysis	UW-Madison	39,421	0
N/A	16.16L-CRD01-0032	DOJ Civil Rights Consultation Services	UW-Madison	6,499	0
		Subtotal Direct R&D Grants		<u>45,920</u>	<u>0</u>
		R&D Subgrants:			
16.585		Drug Court Discretionary Grant Program (from Ashland County)	UW-Madison	26,191	0
N/A	16.MEGA4-CHSRA-	Automated Litigation Support (from Labat-Anderson Inc)	UW-Madison	218,549	0
N/A	16.AGMT 11/05/15	Integrating Emergency Department Data with Law Enforcement & Community Data to Reduce Violence (from Medical College of Wisconsin)	UW-Milwaukee	2,281	0
		Subtotal R&D Subgrants		<u>247,021</u>	<u>0</u>
		TOTAL R&D FROM U.S. DEPARTMENT OF JUSTICE		<u>292,941</u>	<u>0</u>
U.S. DEPARTMENT OF STATE:					
19.017		Environmental and Scientific Partnerships and Programs	UW-Stevens Point	4,833	0
		Subtotal Direct R&D Grants		<u>4,833</u>	<u>0</u>
		R&D Subgrants:			
19.017		Environmental and Scientific Partnerships and Programs (from Great Lakes Fishery Commission)	UW-Milwaukee	86,141	16,281
		Subtotal R&D Subgrants		<u>86,141</u>	<u>16,281</u>
		TOTAL R&D FROM U.S. DEPARTMENT OF STATE		<u>90,974</u>	<u>16,281</u>
U.S. DEPARTMENT OF TRANSPORTATION:					
20.200		Highway R Program	UW-Madison	617,766	83,649
20.205		Highway Planning and Construction (from UW-Milwaukee)	UW-Madison	1,422	0
20.514		Public Transportation Research	UW-Madison	1,210	0
20.701		University Transportation Centers Program (from UW-Madison)	UW-Milwaukee	20,894	0
20.701		University Transportation Centers Program	UW-Madison	2,038,709	1,159,568
20.701		University Transportation Centers Program (from UW-Madison)	UW-Superior	115,879	0
		Total Federal Program 20.701		<u>2,175,482</u>	<u>1,159,568</u>
N/A	20.RD	R&D from Federal Highway Administration	UW-Madison	257,680	0
N/A	20.RD	R&D from Maritime Administration	UW-Superior	139,774	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
N/A	20.615K646	Statewide Crash Mapping & Analysis (from UW-Madison)	UW-Milwaukee	50,586	0
		Subtotal Direct R&D Grants		3,243,920	1,243,217
		R&D Subgrants:			
20.200		Highway R Program (from Iowa Department of Transportation)	UW-Madison	4,431	0
20.200		Highway R Program (from National Academy of Sciences)	UW-Madison	177	0
20.200		Highway R Program (from Western Research Institute)	UW-Madison	(1,131)	0
20.600		State and Community Highway Safety (from Westat)	UW-Madison	35,634	0
20.614		National Highway Traffic Safety Administration (NHTSA) Discretionary Safety Grants (from Medical College of Wisconsin)	UW-Madison	23,094	0
20.701		University Transportation Centers Program (from University of Maryland)	UW-Milwaukee	59,000	0
20.701		University Transportation Centers Program (from South Dakota State University)	UW-Milwaukee	6,816	0
20.701		University Transportation Centers Program (from University of Iowa)	UW-Madison	310,292	0
20.701		University Transportation Centers Program (from Purdue University)	UW-Madison	185,016	0
20.701		University Transportation Centers Program (from Ohio State University)	UW-Madison	111,639	0
20.819		Ballast Water Treatment Technologies (from Northeast Midwest Institute)	UW-Superior	909,820	0
N/A	20.8928-S-009	Interface Evaluations (from Westat)	UW-Madison	102,680	0
N/A	20.17710; 17711	Alternate Work Zone Signing (from Iowa Department of Transportation)	UW-Madison	40,328	1,160
N/A	20.8928-S-009	In-Vehicle Voice Control Interface Performance Evaluation (from Westat)	UW-Madison	39,668	0
N/A	20.12521-Q2570001	National Transportation System Management & Operations (TSM&O) Research Plan (from University of Maryland)	UW-Madison	21,151	0
N/A	20.W000447776	Driver Monitoring of Inattention and Impairment Using Vehicle Equipment (from University of Iowa)	UW-Madison	17,227	0
N/A	20.GS-10F-02-42L	Great Lakes Maritime Research Institute (from ABSG Consulting)	UW-Superior	710	0
N/A	20.AGMT 05/12/15	Pedestrian/Bike Data Collection (from Kittelson & Associates, Inc.)	UW-Milwaukee	1,749	0
		Subtotal R&D Subgrants		1,868,301	1,160
		TOTAL R&D FROM U.S. DEPARTMENT OF TRANSPORTATION		5,112,221	1,244,377
NATIONAL AERONAUTICS AND SPACE ADMINISTRATION:					
43.001		Science	UW-Milwaukee	69,347	0
43.001		Science (from UW-Green Bay)	UW-Milwaukee	1,174	0
43.001		Science	UW-Madison	8,376,639	552,262
43.001		Science	UW-Green Bay	72	0
		Total Federal Program 43.001		8,447,232	552,262
43.007		Space Operations	UW-Madison	240,976	0
43.008		Education	UW-Madison	348,304	141,997
43.008		Education (from UW-Green Bay)	UW-Whitewater	1,285	0
43.008		Education (from UW-Madison)	UW-Whitewater	352	0
		Total Federal Program 43.008		349,941	141,997
43.009		Cross Agency Support	UW-Madison	343,106	0
43.012		Space Technology	UW-Madison	85,695	0
N/A	43.RD	R&D from Jet Propulsion Laboratory	UW-Madison	344,381	0
N/A	43.RD	R&D from Goddard Space Flight Center	UW-Madison	315,256	30,904
N/A	43.09-ATP09-0198	Disk Halo (from UW-Whitewater)	UW-Madison	72,023	0
N/A	43.RD	R&D from Langley Research Center	UW-Madison	33,445	0
N/A	43.367634	Mechanics of Microtubules with Lattice Defects (from UW-Green Bay)	UW-La Crosse	7,181	0
N/A	43.09-ATP09-0198	Disk-Halo	UW-Whitewater	2,175	0
N/A	43.RD	R&D from Jet Propulsion Laboratory	UW-Whitewater	1,063	0
		Subtotal Direct R&D Grants		10,242,474	725,163
		R&D Subgrants:			

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
43.001		Science (from Space Telescope Science Institute)	UW-Milwaukee	25,102	0
43.001		Science (from Wisconsin Space Grant Consortium)	UW-Milwaukee	7,962	0
43.001		Science (from California Institute of Technology)	UW-Milwaukee	3,527	0
43.001		Science (from University of Maryland-Baltimore)	UW-Madison	480,919	0
43.001		Science (from Science Systems & Applications Inc)	UW-Madison	372,080	0
43.001		Science (from Space Telescope Science Institute)	UW-Madison	336,289	0
43.001		Science (from University of Colorado-Boulder)	UW-Madison	85,891	0
43.001		Science (from University of Nebraska)	UW-Madison	60,146	0
43.001		Science (from East-West Center)	UW-Madison	58,025	0
43.001		Science (from Search for Extraterrestrial Intelligence)	UW-Madison	57,097	0
43.001		Science (from Duke University)	UW-Madison	51,113	0
43.001		Science (from University Corporation for Atmospheric Research)	UW-Madison	49,142	0
43.001		Science (from Columbia University)	UW-Madison	38,431	0
43.001		Science (from Madison Cryogroup LLC)	UW-Madison	35,057	0
43.001		Science (from State University of New York-Stony Brook)	UW-Madison	34,415	0
43.001		Science (from George Mason University)	UW-Madison	27,717	0
43.001		Science (from University of Oklahoma)	UW-Madison	13,501	0
43.002		Aeronautics (from University of Colorado-Boulder)	UW-Madison	(29)	0
43.003		Exploration (from Colorado State University)	UW-Madison	27,175	0
43.007		Space Operations (from Nosanov Consulting LLC)	UW-Madison	38,914	0
43.007		Space Operations (from Washington University)	UW-Madison	13,388	0
43.008		Education (from Wisconsin Space Grant Consortium)	UW-Milwaukee	5,195	0
43.008		Education (from Hampton University)	UW-Madison	23,955	0
43.008		Oceanic Anoxic Event (from Wisconsin Space Grant Consortium)	UW-Whitewater	4,962	0
43.008		Direct from NASA (from Carthage College)	UW-Whitewater	1,463	0
43.008		Education (from University of Kentucky Research Foundation)	UW-Stevens Point	100	0
43.009		Cross Agency Support (from Georgia Institute of Technology)	UW-Madison	6,104	0
N/A	43.G-3969-1	CloudSat Science (from Colorado State University)	UW-Madison	182,915	0
N/A	43.1521707	A-Train Ice Cloud Retrievals (from California Institute of Technology)	UW-Madison	57,739	0
N/A	43.15-010	Multi-Sensor Analysis Global Day/Night Urban Heat (from University of New Hampshire)	UW-Madison	34,726	0
N/A	43.MTS-UWI-09242015	Planetary Mission Program Office Venera-D Science Definition Team Support (from MTS Systems)	UW-Madison	30,921	0
N/A	43.HST-GO-13840-005-A	The Smith Cloud: Galactic or Extragalactic? (from Space Telescope Science Institute)	UW-Madison	26,049	0
N/A	43.HST-GO-12976-07-A	The Most Complete Template for r-process Nucleosynthesis beyond the Solar System (from Space Telescope Science Institute)	UW-Madison	13,553	0
N/A	43.HST-GO-13821-002	H-Alpha Filaments & Feedback in NGC4696 (from Space Telescope Science Institute)	UW-Madison	8,961	0
N/A	43.NNX15AJ12H	Wisconsin Space Grant Consortium (from Carthage College)	UW Colleges	2,715	0
N/A	43.HST-GO-14044-006-A	Longitude-Resolved Maps of Neptune's Radio Emission (from Space Telescope Science Institute)	UW-Madison	2,178	0
N/A	43.HST-GO-14045-008-A	Longitude-Resolved Maps of Uranus' Radio Emission (from Space Telescope Science Institute)	UW-Madison	1,307	0
N/A	43.HST-GO-12894-01-A	Methane Migration (from Space Telescope Science Institute)	UW-Madison	52	0
N/A	43.HST-AR-13244-01-A	Galactic Outflows and the Growth of Disks (from Space Telescope Science Institute)	UW-Milwaukee	20,986	0
N/A	43.2221003005	Sounding Rocket Operations (from Orbital Sciences Corporation)	UW-Madison	(18,828)	0
N/A	43.HST-GO-12928-03-A	Gaseous Outflows from Low Mass Galaxies (from Space Telescope Science Institute)	UW-Milwaukee	5,869	0
				2,226,784	0
TOTAL R&D FROM NATIONAL AERONAUTICS & SPACE ADMINISTRATION				12,469,258	725,163
NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES:					
45.149		Promotion of the Humanities-Division of Preservation and Access	UW-Madison	102,959	0
45.161		Promotion of the Humanities-Research	UW-Madison	172,644	0
45.163		Promotion of the Humanities-Professional Development	UW-Green Bay	1,250	0
45.312		National Leadership Grants	UW-Milwaukee	636	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
45.312		National Leadership Grants	UW-Madison	227,396	40,353
		Total Federal Program 45.312		228,032	40,353
		TOTAL R&D FROM NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES:		504,885	40,353
NATIONAL SCIENCE FOUNDATION:					
47.041		Engineering Grants	UW-Milwaukee	1,427,565	28,148
47.041		Engineering Grants	UW-Madison	7,070,754	128,734
47.041		Engineering Grants	UW-La Crosse	46,260	0
47.041		Engineering Grants	UW-Stout	43,209	0
		Total Federal Program 47.041		8,587,788	156,882
47.049		Mathematical and Physical Sciences	UW-Milwaukee	5,600,506	2,146,204
47.049		Mathematical and Physical Sciences (from UW-Madison)	UW-Milwaukee	140,711	0
47.049		Mathematical and Physical Sciences	UW-Madison	25,378,857	5,533,033
47.049		Mathematical and Physical Sciences	UW-Eau Claire	236,381	0
47.049		Mathematical and Physical Sciences	UW-La Crosse	119,365	0
47.049		Mathematical and Physical Sciences	UW-Stevens Point	69,915	16,654
47.049		Mathematical and Physical Sciences	UW-River Falls	51,047	0
47.049		Mathematical and Physical Sciences	UW-Stout	2,396	0
		Total Federal Program 47.049		31,599,178	7,695,891
47.050		Geosciences	UW-Milwaukee	1,235,050	0
47.050		Geosciences	UW-Madison	7,000,384	136,404
47.050		Geosciences	UW-River Falls	98,636	0
47.050		Geosciences	UW-Oshkosh	96,542	0
47.050		Geosciences (from UW-Milwaukee)	UW-Madison	84,804	0
47.050		Geosciences	UW-Eau Claire	82,232	0
47.050		Geosciences	UW-La Crosse	66,993	0
47.050		Geosciences	UW-Whitewater	29,091	0
		Total Federal Program 47.050		8,693,732	136,404
47.070		Computer and Information Science and Engineering	UW-Milwaukee	107,205	0
47.070		Computer and Information Science and Engineering	UW-Madison	8,528,863	340,707
47.070		Computer and Information Science and Engineering	UW-La Crosse	60,090	0
47.070		Computer and Information Science and Engineering	UW-Stout	49,710	0
47.070		Computer and Information Science and Engineering	UW-Whitewater	47,922	0
		Total Federal Program 47.070		8,793,790	340,707
47.074		Biological Sciences	UW-Milwaukee	1,133,351	0
47.074		Biological Sciences (from UW-Madison)	UW-Milwaukee	(129)	0
47.074		Biological Sciences	UW-Madison	13,765,033	1,106,522
47.074		Biological Sciences	UW-La Crosse	144,764	0
47.074		Biological Sciences	UW-Stout	104,584	0
47.074		Biological Sciences	UW-Eau Claire	44,124	0
47.074		Biological Sciences	UW-Oshkosh	8,036	0
47.074		Biological Sciences (from UW-Madison)	UW-La Crosse	1,928	0
47.074		Biological Sciences (from UW-Madison)	UW-Stevens Point	218	0
		Total Federal Program 47.074		15,201,909	1,106,522
47.075		Social, Behavioral, and Economic Sciences	UW-Milwaukee	126,789	0
47.075		Social, Behavioral, and Economic Sciences	UW-Madison	2,696,092	141,827
47.075		Social, Behavioral, and Economic Sciences	UW-Stout	93,600	0
47.075		Social, Behavioral, and Economic Sciences	UW-Platteville	89,386	0
		Total Federal Program 47.075		3,005,867	141,827
47.076		Education and Human Resources	UW-Milwaukee	300,004	0
47.076		Education and Human Resources (from UW-Madison)	UW-Milwaukee	69,228	0
47.076		Education and Human Resources (from UW-River Falls)	UW-Milwaukee	3,441	0
47.076		Education and Human Resources	UW-Madison	16,617,186	2,334,335
47.076		Education and Human Resources	UW-Platteville	533,261	5,421
47.076		Education and Human Resources	UW-Oshkosh	513,804	0
47.076		Education and Human Resources	UW-River Falls	419,162	62,018
47.076		Education and Human Resources	UW Colleges	50,566	0
47.076		Education and Human Resources	UW-La Crosse	50,434	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
47.076		Education and Human Resources (from UW-Madison)	UW-La Crosse	24,500	0
47.076		Education and Human Resources (from UW-Madison)	UW-Platteville	21,851	285
47.076		Education and Human Resources (from UW-Green Bay)	UW-Oshkosh	12,060	0
47.076		Education and Human Resources (from UW-Milwaukee)	UW-Stout	10,208	0
47.076		Education and Human Resources (from UW-Madison)	UW-Eau Claire	10,039	0
47.076		Education and Human Resources (from UW-Colleges)	UW-Stout	2,595	0
47.076		Education and Human Resources (from UW-Madison)	UW-Whitewater	973	0
47.076		Education and Human Resources (from UW-Madison)	UW-Oshkosh	(1,462)	0
47.076		Education and Human Resources	UW-Stout	(9,757)	0
Total Federal Program 47.076				18,628,093	2,402,059
47.078		Polar Programs	UW-Milwaukee	14,009	0
47.078		Polar Programs	UW-Madison	6,845,787	995,121
47.078		Polar Programs (from UW-Madison)	UW-River Falls	131,829	0
Total Federal Program 47.078				6,991,625	995,121
47.079		Office of International and Integrative Activities	UW-Milwaukee	81,074	0
47.079		Office of International and Integrative Activities	UW-River Falls	54,391	0
47.079		Office of International and Integrative Activities	UW-Madison	20,821	0
Total Federal Program 47.079				156,286	0
47.080		Office of Cyberinfrastructure	UW-Madison	535,688	39,157
47.082		ARRA-Trans-NSF Recovery Act Research Support	UW-Madison	(5,299)	0
N/A	47.1PA	Interagency Personnel Agreements	UW-Madison	1,043,142	0
N/A	47.1400815	STEM Bootcamp (from UW-Madison)	UW-Whitewater	25,160	0
N/A	47.1PA	Interagency Personnel Agreements	UW-Milwaukee	162,517	0
Total Direct R&D Grants				103,419,476	13,014,570
R&D Subgrants:					
47.041		Engineering Grants (from University of Maryland)	UW-Milwaukee	50,889	0
47.041		Engineering Grants (from University of Cincinnati)	UW-Milwaukee	38,315	0
47.041		Engineering Grants (from University of Illinois-Urbana-Champaign)	UW-Milwaukee	10,000	0
47.041		Engineering Grants (from Iowa State University)	UW-Madison	252,432	0
47.041		Engineering Grants (from University of Utah)	UW-Madison	141,867	0
47.041		Engineering Grants (from Quantlogic)	UW-Madison	94,510	0
47.041		Engineering Grants (from University of Texas-Arlington)	UW-Madison	57,562	0
47.041		Engineering Grants (from Northwestern University)	UW-Madison	54,043	0
47.041		Engineering Grants (from Shine Medical Technologies Inc)	UW-Madison	40,449	0
47.041		Engineering Grants (from Flexcompute Inc)	UW-Madison	32,095	0
47.041		Engineering Grants (from Algoma Algal Biotechnology)	UW-Madison	25,301	0
47.041		Engineering Grants (from University of Minnesota)	UW-Madison	16,450	0
47.041		Engineering Grants (from C-Motive Technologies Inc)	UW-Madison	14,677	0
47.041		Engineering Grants (from University of Oklahoma)	UW-Madison	5,667	0
47.041		Engineering Grants (from Auburn University)	UW-Madison	4,987	0
47.041		Engineering Grants (from df)	UW-Madison	277	0
47.049		Mathematical and Physical Sciences (from Santa Clara University)	UW-Milwaukee	12,534	0
47.049		Mathematical and Physical Sciences (from Princeton University)	UW-Madison	671,065	0
47.049		Mathematical and Physical Sciences (from California Institute of Technology)	UW-Madison	313,469	0
47.049		Mathematical and Physical Sciences (from University of Pittsburgh)	UW-Madison	241,600	0
47.049		Mathematical and Physical Sciences (from University of Nebraska)	UW-Madison	183,830	0
47.049		Mathematical and Physical Sciences (from University of California-San Diego)	UW-Madison	180,573	0
47.049		Mathematical and Physical Sciences (from California Institute of Technology)	UW-Oshkosh	109,085	0
47.049		Mathematical and Physical Sciences (from Emory University)	UW-Madison	101,905	0
47.049		Mathematical and Physical Sciences (from University of Washington)	UW-Madison	44,627	0
47.049		Mathematical and Physical Sciences (from Macalester College)	UW-River Falls	38,684	0
47.049		Mathematical and Physical Sciences (from Georgia Institute of Technology)	UW-Madison	28,478	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
47.049		Mathematical and Physical Sciences (from Rice University)	UW-Madison	10,479	0
47.049		Mathematical and Physical Sciences (from University of Notre Dame)	UW-Madison	8,604	0
47.049		Mathematical and Physical Sciences (from Brigham Young University)	UW-La Crosse	6,123	0
47.049		Mathematical and Physical Sciences (from Union College)	UW-Madison	3,523	0
47.049		Mathematical and Physical Sciences (from American Physical Society)	UW-La Crosse	2,510	0
47.049		Mathematical and Physical Sciences (from Central Washington University)	UW-La Crosse	1,754	0
47.049		Mathematical and Physical Sciences (from University of Maryland)	UW-Madison	1,409	0
47.049		Mathematical and Physical Sciences (from University of California-Los Angeles)	UW-Madison	(4,002)	(4,002)
47.050		Geosciences (from Columbia University)	UW-Milwaukee	27,159	0
47.050		Geosciences (from University Corporation for Atmospheric Research)	UW-Milwaukee	11,908	0
47.050		Geosciences (from Dartmouth College)	UW-Madison	3,124,937	0
47.050		Geosciences (from Johns Hopkins University)	UW-Madison	406,728	0
47.050		Geosciences (from University Corporation for Atmospheric Research)	UW-Madison	175,009	0
47.050		Geosciences (from Oregon State University)	UW-Madison	71,914	0
47.050		Geosciences (from University of Miami)	UW-Madison	55,749	0
47.050		Geosciences (from University of Washington)	UW-Madison	29,522	0
47.050		Geosciences (from Virginia Polytechnic Institute & State University)	UW-Madison	28,606	0
47.050		Geosciences (from University of California-San Diego)	UW-Madison	17,077	0
47.050		Geosciences (from University of Maryland-Baltimore)	UW-Madison	14,522	0
47.050		Geosciences (from University of Iowa)	UW-Madison	6,425	0
47.070		Computer and Information Science and Engineering (from University of Utah)	UW-Madison	1,023,671	0
47.070		Computer and Information Science and Engineering (from Clemson University)	UW-Madison	372,922	0
47.070		Computer and Information Science and Engineering (from University of Chicago)	UW-Madison	184,726	0
47.070		Computer and Information Science and Engineering (from University of Florida)	UW-Madison	169,070	0
47.070		Computer and Information Science and Engineering (from Pennsylvania State University)	UW-Madison	102,516	0
47.070		Computer and Information Science and Engineering (from Raytheon Company)	UW-Madison	99,728	0
47.070		Computer and Information Science and Engineering (from University of Maryland)	UW-Madison	78,808	0
47.070		Computer and Information Science and Engineering (from University of California-San Diego)	UW-Madison	74,741	0
47.070		Computer and Information Science and Engineering (from University of Rochester)	UW-Madison	67,025	0
47.070		Computer and Information Science and Engineering (from BBN Technologies)	UW-Madison	39,932	0
47.070		Computer and Information Science and Engineering (from University of Virginia)	UW-Madison	1,382	0
47.070		Computer and Information Science and Engineering (from Indiana University)	UW-Madison	130	0
47.074		Biological Sciences (from State University of New York-Buffalo)	UW-Milwaukee	797,227	0
47.074		Biological Sciences (from Ohio State University)	UW-Milwaukee	7,770	0
47.074		Biological Sciences (from Cornell University)	UW-Madison	366,935	0
47.074		Biological Sciences (from Dartmouth College)	UW-Madison	247,528	0
47.074		Biological Sciences (from University of Georgia)	UW-Madison	166,666	0
47.074		Biological Sciences (from Michigan State University)	UW-Madison	131,370	0
47.074		Biological Sciences (from Montana State University)	UW-Madison	120,233	0
47.074		Biological Sciences (from City University of New York)	UW-Madison	34,447	0
47.074		Biological Sciences (from University of Minnesota)	UW-Madison	33,857	0
47.074		Biological Sciences (from Bird Conservancy of the Rockies)	UW-Stevens Point	10,351	0
47.074		Biological Sciences (from Wisconsin Alliance for Minority Participation)	UW-Parkside	7,903	0
47.074		Biological Sciences (from University of Cincinnati)	UW-Madison	1,696	0
47.074		Biological Sciences (from University of Kansas)	UW-Madison	1,474	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
47.075		Social, Behavioral, and Economic Sciences (from American Statistical Association)	UW-Madison	47,406	0
47.075		Social, Behavioral, and Economic Sciences (from University of Chicago)	UW-Madison	44,289	0
47.075		Social, Behavioral, and Economic Sciences (from Embry-Riddle Aeronautical University)	UW-Madison	35,890	0
47.075		Social, Behavioral, and Economic Sciences (from Association for Institutional Research)	UW-Madison	25,956	0
47.075		Social, Behavioral, and Economic Sciences (from Indiana University)	UW-Madison	19,514	0
47.075		Social, Behavioral, and Economic Sciences (from Arizona State University)	UW-Madison	15,823	0
47.076		Education and Human Resources (from Business-Higher Education Forum)	UW-Milwaukee	90,967	0
47.076		Education and Human Resources (from University of Arkansas)	UW-Milwaukee	17,247	0
47.076		Education and Human Resources (from Metropolitan State University of Denver)	UW-Milwaukee	8,065	0
47.076		Education and Human Resources (from Michigan State University)	UW-Milwaukee	3,683	0
47.076		Education and Human Resources (from Michigan State University)	UW-Madison	60,670	0
47.076		Education and Human Resources (from Northwestern University)	UW-Madison	55,606	0
47.076		Education and Human Resources (from Museum of Science-Boston)	UW-Madison	42,557	0
47.076		Education and Human Resources (from Milwaukee School of Engineering)	UW-Madison	33,585	0
47.076		Education and Human Resources (from TERC)	UW-Madison	31,235	0
47.076		Education and Human Resources (from Anoka-Ramsey Community College)	UW-Stout	8,237	0
47.076		Education and Human Resources (from Tuskegee University)	UW-Madison	1,792	0
47.076		Education and Human Resources (from UW-Rock County Foundation)	UW-Superior	1,264	0
47.076		Education and Human Resources (from Boston Museum of Science)	UW-Madison	748	0
47.076		Education and Human Resources (from Council of Chief State School Officers)	UW-Madison	(74,964)	0
47.079		Office of International and Integrative Activities (from West Virginia University)	UW-Milwaukee	(2,947)	0
47.080		Office of Cyberinfrastructure (from Indiana University)	UW-Milwaukee	41,135	0
47.080		Office of Cyberinfrastructure (from Indiana University)	UW-Madison	155,977	0
47.080		Office of Cyberinfrastructure (from University of Southern California)	UW-Madison	120,499	0
47.080		Office of Cyberinfrastructure (from University of California-San Diego)	UW-Madison	27,037	0
47.080		Office of Cyberinfrastructure (from University of Illinois-Urbana Champaign)	UW-Madison	7,172	0
47.080		Office of Cyberinfrastructure (from University of Nebraska)	UW-Madison	3,520	0
47.083		Office of Integrative Activities (from California Institute of Technology)	UW-Milwaukee	20,582	0
N/A	47.2011-2012-004	Wisconsin Puerto Rico Partnership for Research and Education in Materials (from University of Puerto Rico-Mayaquez)	UW-Madison	55,739	0
N/A	47.AGMT 05/07/15; DRL-0941014	Dissertation Grants (from American Educational Research Association)	UW-Madison	45,914	0
N/A	47.Y81713	Investigating Tectonic Tremor beneath the San Andreas Fault (from University of Southern California)	UW-Madison	40,143	0
N/A	47.MSN157856	New Techniques for Interpreting Physical Structure and Turbulence in the Solar Wind (from Space Science Institute)	UW-Madison	14,479	0
N/A	47.400-72-04-32-12F3	High Throughput Facility - Capital Equipment (from Iowa State University)	UW-Madison	6,600	0
N/A	47.2381415	Utilizing the Paleobiology Database to Provide Hands-On Research Opportunities for Undergraduates (from George Mason University)	UW-Madison	4,186	0
N/A	47.AGMT 09/05/13	Changing Curriculum Changing Practice (from Education Development Center)	UW-Milwaukee	33,098	0
Subtotal R&D Subgrants				11,950,139	(4,002)

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
TOTAL FROM NATIONAL SCIENCE FOUNDATION:				115,369,615	13,010,568
U.S. DEPARTMENT OF VETERANS AFFAIRS:					
N/A		64.IPA Interagency Personnel Agreements	UW-Madison	26,292	0
N/A	64.Bid 15-07-03	Survey of the Grounds of the Tomah VA Hospital	UW-La Crosse	10,881	0
N/A		64.RD R&D from VA Health Care System	UW-Madison	4,303	0
N/A		64.IPA Interagency Personnel Agreements	UW-Milwaukee	5,328	0
TOTAL R&D FROM U.S. DEPARTMENT OF VETERANS AFFAIRS				46,804	
U.S. ENVIRONMENTAL PROTECTION AGENCY:					
66.440		Urban Waters Small Grants	UW-La Crosse	6,152	0
66.461		Regional Wetland Program Development Grants	UW-Madison	65,617	0
66.468		Capitalization Grants for Drinking Water State Revolving Funds	UW-Milwaukee	28,814	0
66.468		Capitalization Grants for Drinking Water State Revolving Funds (from UW-Madison)	UW-Stevens Point	7,945	0
Total Federal Program 66.468				36,759	0
66.469		Great Lakes Program	UW-Milwaukee	15,443	0
66.469		Great Lakes Program	UW-Madison	67,220	0
Total Federal Program 66.469				82,663	0
66.509		Science To Achieve Results (STAR) Research Program	UW-Madison	1,365,363	152,117
66.514		Science To Achieve Results (STAR) Fellowship Program	UW-Madison	20,605	0
66.708		Pollution Prevention Grants Program	UW-Madison	100,219	0
N/A	66.EP-15-B-000030	Direct-injection Engine Research Consortium	UW-Madison	12,798	0
Subtotal Direct R&D Grants				1,690,176	152,117
R&D Subgrants:					
66.468		Capitalization Grants for Drinking Water State Revolving Funds (from Wisconsin Land & Water Conservation)	UW-Madison	12,916	0
66.469		Great Lakes Program (from Michigan State University)	UW-Milwaukee	(3,450)	0
66.469		Great Lakes Program (from Fox Wolf Watershed Alliance)	UW-Green Bay	209,987	0
66.469		Great Lakes Program (from Bay Lake Regional Planning Commission)	UW-Oshkosh	184,822	0
66.469		Great Lakes Program (from University of Windsor)	UW-River Falls	43,312	0
66.469		Great Lakes Program (from Central Michigan University)	UW-Green Bay	32,914	0
66.469		Great Lakes Program (from Green Bay Metropolitan Sewerage District)	UW-Green Bay	21,849	0
66.469		Great Lakes Program (from University of Minnesota)	UW-Madison	17,781	0
66.469		Great Lakes Program (from University of Minnesota-Duluth)	UW-Superior	13,622	0
66.469		Great Lakes Program (from Northeast Midwest Institute)	UW-Superior	3,461	0
66.469		Great Lakes Program (from Great Lakes Indian Fish & Wildlife Commission)	UW-Superior	919	0
66.472		Beach Monitoring and Notification Program Implementation Grants (from Door County Health Department)	UW-Oshkosh	2,881	0
66.509		Science To Achieve Results (STAR) Research Program (from Michigan State University)	UW-Milwaukee	31,637	0
66.509		Science To Achieve Results (STAR) Research Program (from University of Minnesota)	UW-Madison	41,706	0
N/A	66.5-312-0214149-	Saint Louis River Sediment Mobility Assessment (from RTI 52082L International)	UW-Madison	30,856	0
N/A	66.PRIME	Mercury & Moisture Analysis (from Great Lakes Indian Fish & Wildlife Commission)	UW-Superior	17,831	0
N/A	66.GL00E01452	Managed Grazing - Paired Field Monitoring (from Green Bay Metropolitan Sewerage District)	UW-Green Bay	17,426	0
N/A	66.EPG13500176	Upper Fox-Wolf River Basins TMDL Project (from Cadmus Group Inc)	UW-Green Bay	24	0
Subtotal R&D Subgrants				680,494	0
TOTAL R&D FROM U.S. ENVIRONMENTAL PROTECTION AGENCY				2,370,670	152,117
U.S. NUCLEAR REGULATORY COMMISSION:					
77.008		U.S. Nuclear Regulatory Commission Scholarship and Fellowship Program	UW-Madison	376,117	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
N/A	77.NRC-HQ-60-14-C-0002	Beyond Design Basis and Emerging Severe Accident Issues	UW-Madison	143,219	0
TOTAL R&D FROM U.S. NUCLEAR REGULATORY COMMISSION				519,336	0
U.S. DEPARTMENT OF ENERGY:					
81.049		Office of Science Financial Assistance Program	UW-Madison	47,467,834	11,537,954
81.049		Office of Science Financial Assistance Program	UW-Milwaukee	1,171,219	431,453
81.049		Office of Science Financial Assistance Program	UW-Eau Claire	157,577	8,699
Total Federal program 81.049				48,796,630	11,978,106
81.086		Conservation Research and Development	UW-Madison	285,274	98,701
81.087		Renewable Energy Research and Development	UW-Madison	2,449,116	919,998
81.089		Fossil Energy Research and Development	UW-Madison	33,397	33,397
81.112		Stewardship Science Grant Program	UW-Madison	392,984	0
81.121		Nuclear Energy Research, Development and Demonstration	UW-Madison	2,072,965	517,524
81.135		Advanced Research Projects Agency - Energy	UW-Madison	247,358	0
N/A	81.RD	R&D from Brookhaven National Laboratory	UW-Madison	2,638,320	93,190
N/A	81.RD	R&D from Lawrence Berkeley National Laboratory	UW-Madison	1,206,146	0
N/A	81.RD	R&D from Argonne National Laboratory	UW-Madison	1,155,520	0
N/A	81.RD	R&D from Fermi National Accelerator Laboratory	UW-Madison	684,051	0
N/A	81.RD	R&D from Oak Ridge National Laboratory	UW-Madison	522,356	0
N/A	81.RD	R&D from Sandia National Laboratory	UW-Madison	463,903	0
N/A	81.RD	R&D from Pacific Northwest National Laboratory	UW-Madison	327,852	0
N/A	81.RD	R&D from Chicago Operations Office	UW-Madison	298,182	0
N/A	81.RD	R&D from National Renewable Energy Laboratory	UW-Madison	90,664	0
N/A	81.RD	R&D from SLAC National Accelerator Laboratory	UW-Madison	72,872	0
N/A	81.RD	R&D from Lawrence Livermore National Laboratory	UW-Madison	38,780	0
N/A	81.RD	R&D from Brookhaven National Laboratory	UW-Milwaukee	190,164	0
N/A	81.RD	R&D from Oak Ridge National Laboratory	UW-Milwaukee	41,756	0
N/A	81.RD	R&D from Idaho National Laboratory	UW-Madison	(15,188)	0
Subtotal Direct R&D Grants				61,993,102	13,640,916
R&D Subgrants:					
81.049		Office of Science Financial Assistance Program (from Cadens LLC)	UW-Milwaukee	70,917	0
81.049		Office of Science Financial Assistance Program (from Old Dominion University)	UW-Madison	366,841	0
81.049		Office of Science Financial Assistance Program (from Samuel Roberts Noble Foundation)	UW-Madison	131,309	0
81.049		Office of Science Financial Assistance Program (from University of Nebraska)	UW-Madison	127,467	0
81.049		Office of Science Financial Assistance Program (from University of Michigan)	UW-Madison	118,439	0
81.049		Office of Science Financial Assistance Program (from Georgia Institute of Technology)	UW-Madison	107,698	0
81.049		Office of Science Financial Assistance Program (from Texas A&M University)	UW-Madison	48,435	0
81.049		Office of Science Financial Assistance Program (from New York University)	UW-Madison	19,635	0
81.049		Office of Science Financial Assistance Program (from University of Nevada-Reno)	UW-Madison	12,683	0
81.049		Office of Science Financial Assistance Program (from Northwestern University)	UW-Madison	35	0
81.087		Renewable Energy R (from Missouri University of Science)	UW-Madison	346,819	0
81.087		Renewable Energy R (from Temple University)	UW-Madison	119,067	0
81.087		Renewable Energy R (from Purdue University)	UW-Madison	67,830	0
81.087		Renewable Energy R (from University of Oklahoma)	UW-Madison	20,084	0
81.087		Renewable Energy R (from Oneida Tribe of Indians of Wisconsin)	UW-Green Bay	707	0
81.104		Environmental Remediation and Waste Processing and Disposal (from Battelle Energy Alliance)	UW-Madison	48,735	0
81.112		Stewardship Science Grant Program (from University of Rochester)	UW-Madison	112,460	0
81.113		Defense Nuclear Nonproliferation Research (from University of Michigan)	UW-Madison	198,975	0
81.121		Nuclear Energy Research, Development and Demonstration (from University of Michigan)	UW-Madison	321,421	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
81.121		Nuclear Energy Research, Development and Demonstration (from Massachusetts Institute of Technology)	UW-Madison	261,495	0
81.121		Nuclear Energy Research, Development and Demonstration (from University of Missouri-Columbia)	UW-Madison	232,388	0
81.121		Nuclear Energy Research, Development and Demonstration (from Georgia Institute of Technology Research Corporation)	UW-Madison	144,744	0
81.121		Nuclear Energy Research, Development and Demonstration (from Westinghouse Electric Company)	UW-Madison	130,152	0
81.121		Nuclear Energy Research, Development and Demonstration (from Virginia Polytechnic Institute & State University)	UW-Madison	121,166	0
81.121		Nuclear Energy Research, Development and Demonstration (from University of Tennessee)	UW-Madison	107,992	0
81.121		Nuclear Energy Research, Development and Demonstration (from Ohio State University)	UW-Madison	81,862	0
81.121		Nuclear Energy Research, Development and Demonstration (from Kansas State University)	UW-Madison	46,388	0
81.121		Nuclear Energy Research, Development and Demonstration (from Oregon State University)	UW-Madison	14,210	0
N/A	81.150237	Technical Integration Task for Reactor Safety Technology (from Battelle Energy Alliance)	UW-Madison	223,191	0
N/A	81.128547	Supercritical Carbon Dioxide Brayton Cycle Development (from Battelle Energy Alliance)	UW-Madison	211,307	58,493
N/A	81.00120690	Development of Advanced High Uranium Density Fuels for Light Water Reactors (from Battelle Energy Alliance)	UW-Madison	192,974	64,571
N/A	81.4000102821	Global Neutronics Analysis Support (from UT-Battelle LLC)	UW-Madison	174,033	0
N/A	81.S014249-F	Neutronics Analysis and Assessments (from Princeton Plasma Physics Laboratory)	UW-Madison	117,099	0
N/A	81.00118099	Ag Transport through Non-irradiated and Irradiated SiC (from Battelle Energy Alliance)	UW-Madison	94,647	0
N/A	81.224275	Subsurface Biogeochemistry (from Battelle Memorial Institute)	UW-Madison	92,089	0
N/A	81.4000118987	Research on Radiation Resistance (from UT-Battelle LLC)	UW-Madison	90,162	0
N/A	81.159111	Benchmarking & Development of Constitutive Models (from Battelle Energy Alliance)	UW-Madison	75,097	0
N/A	81.4000138686	Non-Rare Earth Permanent Magnet (from UT-Battelle LLC)	UW-Madison	72,872	0
N/A	81.128497	Role of Defects in Swelling and Creep of Irradiated SiC (from Battelle Energy Alliance)	UW-Madison	70,966	0
N/A	81.NL209A-A	Integral Reactor Containment Condensation Model and Experimental Validation (from Oregon State University)	UW-Madison	69,922	0
N/A	81.400157843;	Develop and Characterize Reliable Long-Life Liquid Cathode	UW-Madison	60,658	0
N/A	401030297	and Plasma (from GE Global Research)	UW-Madison	52,176	0
N/A	81.UTA14-000576	Integrated Fuel Depletion Calculator (from University of Texas-Austin)	UW-Madison	52,176	0
N/A	81.12C3008044	Holistic Approach to an Enhanced Accident Tolerant Fuel System (from Areva Federal Services)	UW-Madison	45,692	0
N/A	81.140948	Advanced 3D Characterization & Reconstruction of Reactor Materials (from Battelle Energy Alliance)	UW-Madison	30,942	0
N/A	81.130700	Societal-Risk Goal for Nuclear Power Plant Safety (from Battelle Energy Alliance)	UW-Madison	29,462	0
N/A	81.120341	Developing the User Experience for a Next Generation Nuclear Fuel Cycle Simulator (from Battelle Energy Alliance)	UW-Madison	29,337	2,414
N/A	81.4000124221	Strategies for Changing Combustion Regimes (from UT-Battelle LLC)	UW-Madison	22,664	0
N/A	81.400126844	Scalable, Low-Cost, High-Performance Non-Rare-Earth PM Motor for Hybrid Vehicles (from GE Global Research)	UW-Madison	20,200	0
N/A	81.19067-S10	Consortium for Risk Evaluation with Stakeholder Participation (from Vanderbilt University)	UW-Madison	19,187	19,188
N/A	81.1021-2	A Self-Powered, Wireless Sensor System for Remote & Long-Term Monitoring of Internal Conditions of Nuclear Waste Casks (from X-Wave Innovations Inc)	UW-Madison	10,000	0
N/A	81.00074713	Ion Beam Analysis (from Battelle Energy Alliance)	UW-Madison	8,942	0
N/A	81.136738	Advanced Test Reactor National (from Battelle Energy Alliance)	UW-Madison	(2)	0
N/A	81.400186518	Robust and Intelligent Bad-Data Detection Technique for PMU Based Oscillation Detection Monitoring & Control (from GE Global Research)	UW-Madison	(1,863)	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
N/A	81.3002318991	Consortium for Advanced Simulation of Light Water Reactors (from University of Michigan)	UW-Madison	(2,454)	0
N/A	81.400223977	Real-time Estimation of Generator Dynamic States and Damping Torque (from GE Global Research)	UW-Madison	(2,531)	0
N/A	81.3001982173	Consortium for Advanced Simulation of Light Water Reactors (from University of Michigan)	UW-Madison	(3,695)	0
N/A	81.00102081	Corrosion in Supercritical Carbon Dioxide (from Battelle Energy Alliance)	UW-Madison	(4,000)	0
N/A	81.4000119154	Research on Austenitic Steels (from UT-Battelle LLC)	UW-Madison	(5,052)	0
N/A	81.AGMT 09/28/11	Advanced Reactivity Controlled Compression Ignition (from Wisconsin Engine Research Consultants)	UW-Madison	(5,831)	0
		Subtotal R&D Subgrants		<u>5,168,145</u>	<u>144,666</u>
		TOTAL R&D FROM U.S. DEPARTMENT OF ENERGY		<u>67,161,247</u>	<u>13,785,582</u>
U.S. DEPARTMENT OF EDUCATION:					
84.022		Overseas Programs - Doctoral Dissertation Research Abroad	UW-Madison	89,179	0
84.027		Special Education-Grants to States (from UW-Extension)	UW-Madison	7,611	0
84.133		National Institute on Disability and Rehabilitation Research	UW-Milwaukee	(66,954)	(24,103)
84.133		National Institute on Disability and Rehabilitation Research	UW-Madison	(103,279)	24,668
		Total Federal Program 84.133		<u>(170,233)</u>	<u>565</u>
84.206		Javits Gifted and Talented Students Education	UW-Madison	355,429	0
84.220		Centers for International Business Education	UW-Madison	1,449	0
84.263		Rehabilitation Training-Experimental and Innovative Training (from UW-Stout)	UW-Madison	31,541	0
84.305		Education Research, Development and Dissemination	UW-Madison	3,442,522	552,423
84.305		Education Research, Development and Dissemination	UW-Milwaukee	293,340	0
		Total Federal Program 84.305		<u>3,735,862</u>	<u>552,423</u>
84.324		Research in Special Education	UW-Madison	221,813	27,441
84.334		Gaining Early Awareness and Readiness for Undergraduate Programs (from UW-Milwaukee)	UW-Madison	57,284	0
84.335		Child Care Access Means Parents in School	UW-Madison	198,539	0
84.366		Mathematics and Science Partnerships (from UW-Eau Claire)	UW-Madison	24,685	0
84.366		Mathematics and Science Partnerships (from UW-River Falls)	UW-La Crosse	12,050	0
		Total Federal Program 84.366		<u>36,735</u>	<u>0</u>
84.367		Improving Teacher Quality State Grants (from UW-System Administration)	UW-Madison	16,600	0
84.411		Investing in Innovation (i3) Fund	UW-Madison	1,642,798	814,747
84.418		Promoting Readiness of Minors in Supplemental Security Income (from UW-Stout)	UW-Madison	203,336	17,149
84.421		Disability Innovation Fund (DIF)	UW-Madison	905,909	602,849
		Subtotal Direct R&D Grants		<u>7,333,852</u>	<u>2,015,174</u>
R&D Subgrants:					
84.133		National Institute on Disability and Rehabilitation Research (from Marquette University)	UW-Milwaukee	85,029	0
84.133		National Institute on Disability and Rehabilitation Research (from Virginia Commonwealth University)	UW-Madison	48,377	0
84.133		National Institute on Disability and Rehabilitation Research (from University of Texas-El Paso)	UW-Madison	3,818	0
84.305		Education Research, Development and Dissemination (from TERC)	UW-Madison	185,227	0
84.305		Education Research, Development and Dissemination (from Vanderbilt University)	UW-Madison	107,611	0
84.305		Education Research, Development and Dissemination (from Tulane University)	UW-Madison	70,009	0
84.305		Education Research, Development and Dissemination (from Wested)	UW-Madison	23,434	0
84.305		Education Research, Development and Dissemination (from University of California-Davis)	UW-Madison	6,392	0
84.324		Research in Special Education (from University of North Carolina)	UW-Madison	548,339	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
84.324		Research in Special Education (from Vanderbilt University)	UW-Madison	(1,498)	0
84.334		Gaining Early Awareness and Readiness for Undergraduate Programs (from Milwaukee Public Schools)	UW-Madison	128,331	0
84.412		Race to the Top Early Learning Challenge (from Maryland State Department of Education)	UW-Madison	55,931	0
N/A	84.8854-S-005	ARRA-Technical Assistance for Teacher Incentive Grants (from Westat)	UW-Madison	227,519	0
N/A	84.6121-S-003	Performance Evaluation Reform Act Research-Based Study (from Westat)	UW-Madison	108,087	0
N/A	84.MSN188967	EDTASS (from Westat)	UW-Madison	89,324	0
N/A	84.MSN190873	Vocational Rehabilitation Technical Assistance Center for Targeted Communities (from Southern University)	UW-Madison	79,230	0
N/A	84.MSN188763	Dynamic Interactive Formative Assessment Tasks & End-of-Unit Tests for Measuring Challenging Concepts & Skills of Diverse Middle School Students (from Michigan Department of Education)	UW-Madison	61,999	0
		Subtotal R&D Subgrants		<u>1,827,159</u>	<u>0</u>
		TOTAL FROM DEPARTMENT OF EDUCATION		<u>9,161,011</u>	<u>2,015,174</u>
NATIONAL ARCHIVES AND RECORDS ADMINISTRATION:					
89.003		National Historical Publications and Records Grants	UW-Madison	148,568	0
		TOTAL R&D FROM NATIONAL ARCHIVES AND RECORDS ADMINISTRATION		<u>148,568</u>	<u>0</u>
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES:					
93.077		Family Smoking Prevention and Tobacco Control Act Regulatory Research	UW-Madison	575,247	3,179
93.103		Food and Drug Administration-Research	UW-Madison	143,214	17,561
93.110		Maternal and Child Health Federal Consolidated Programs	UW-Madison	(4,855)	0
93.113		Environmental Health	UW-Madison	2,067,457	0
93.113		Environmental Health	UW-Milwaukee	894,603	37,452
		Total Federal Program 93.113		<u>2,962,060</u>	<u>37,452</u>
93.121		Oral Diseases and Disorders Research	UW-Madison	711,101	0
93.121		Oral Diseases and Disorders Research	UW-Milwaukee	103,119	0
		Total Federal Program 93.121		<u>814,220</u>	<u>0</u>
93.172		Human Genome Research	UW-Madison	854,840	30,264
93.173		Research Related to Deafness and Communication Disorders	UW-Madison	10,024,273	770,967
93.173		Research Related to Deafness and Communication Disorders	UW-Milwaukee	119,464	0
		Total Federal Program 93.173		<u>10,143,737</u>	<u>770,967</u>
93.213		Research and Training in Complementary and Alternative Medicine	UW-Madison	2,659,423	0
93.225		National Research Service Awards-Health Services Research Training	UW-Madison	65,143	0
93.226		Research on Healthcare Costs, Quality and Outcomes	UW-Madison	2,923,289	188,324
93.226		Research on Healthcare Costs, Quality and Outcomes (from UW-Madison)	UW-Milwaukee	34,577	0
		Total Federal Program 93.226		<u>2,957,866</u>	<u>188,324</u>
93.233		National Center on Sleep Disorders Research	UW-Madison	282,860	0
93.239		Policy Research and Evaluation Grants	UW-Madison	1,276,091	20,374
93.242		Mental Health Research Grants	UW-Madison	12,854,090	526,065
93.242		Mental Health Research Grants	UW-Milwaukee	1,581,924	286,702
		Total Federal Program 93.242		<u>14,436,014</u>	<u>812,767</u>
93.243		Substance Abuse and Mental Health Services-Projects of Regional and National Significance	UW-Eau Claire	104,407	0
93.243		Substance Abuse and Mental Health Services-Projects of Regional and National Significance (from UW-Madison)	UW-Milwaukee	16,568	0
		Total Federal Program 93.243		<u>120,975</u>	<u>0</u>

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
93.262		Occupational Safety and Health Program	UW-Milwaukee	381,073	135,329
93.262		Occupational Safety and Health Program	UW-Madison	(24)	0
		Total Federal Program 93.262		381,049	135,329
93.273		Alcohol Research Programs	UW-Madison	1,536,805	0
93.279		Drug Abuse and Addiction Research Programs	UW-Madison	2,809,308	257,681
93.279		Drug Abuse and Addiction Research Programs	UW-Milwaukee	605,212	0
		Total Federal Program 93.279		3,414,520	257,681
93.281		Mental Health Research Career/Scientist Development Awards	UW-Madison	263,160	0
93.281		Mental Health Research Career/Scientist Development Awards	UW-Milwaukee	10,414	0
		Total Federal Program 93.281		273,574	0
93.283		Centers for Disease Control and Prevention-Investigations and Technical Assistance	UW-Madison	405,933	0
93.286		Discovery and Applied Research for Technological Innovations to Improve Human Health	UW-Madison	1,429,589	0
93.307		Minority Health and Health Disparities Research	UW-Madison	325,751	7,764
93.310		Trans-NIH Research Support	UW-Madison	4,954,224	122,184
93.350		National Center for Advancing Translational Sciences	UW-Madison	8,327,058	737,489
93.351		Research Infrastructure Programs	UW-Madison	13,640,989	66,638
93.361		Nursing Research	UW-Madison	685,617	2,110
93.361		Nursing Research (from UW-Milwaukee)	UW-Madison	31,630	0
93.361		Nursing Research	UW-Milwaukee	1,019,310	377,314
		Total Federal Program 93.361		1,736,557	379,424
93.389		National Center for Research Resources	UW-Madison	294,866	0
93.393		Cancer Cause and Prevention Research	UW-Madison	6,809,381	209,474
93.393		Cancer Cause and Prevention Research	UW-Milwaukee	1,369,230	1,201,790
		Total Federal Program 93.393		8,178,611	1,411,264
93.394		Cancer Detection and Diagnosis Research	UW-Madison	2,996,009	221,306
93.395		Cancer Treatment Research	UW-Madison	3,996,623	951,930
93.396		Cancer Biology Research	UW-Madison	4,296,268	131,399
93.397		Cancer Centers Support Grants	UW-Madison	6,038,800	1,650
93.398		Cancer Research Manpower	UW-Madison	1,039,504	0
93.433		ACL National Institute on Disability, Independent Living, and Rehabilitation Research	UW-Madison	1,199,367	314,167
93.433		ACL National Institute on Disability, Independent Living, and Rehabilitation Research	UW-Milwaukee	211,338	82,854
		Total Federal Program 93.433		1,410,705	397,021
93.583		Refugee and Entrant Assistance-Wilson/Fish Program	UW-Madison	156,146	0
93.701		ARRA-Trans-NIH Recovery Act Research Support	UW-Madison	(3,183)	(3,183)
93.837		Cardiovascular Diseases Research	UW-Madison	12,043,458	220,257
93.837		Cardiovascular Diseases Research	UW-Milwaukee	135,614	98,033
		Total Federal Program 93.837		12,179,072	318,290
93.838		Lung Diseases Research	UW-Madison	9,212,923	923,935
93.838		Lung Diseases Research	UW-Milwaukee	657,183	99,098
		Total Federal Program 93.838		9,870,106	1,023,033
93.839		Blood Diseases and Resources Research	UW-Madison	1,319,276	373,840
93.839		Blood Diseases and Resources Research	UW-La Crosse	33,896	0
		Total Federal Program 93.839		1,353,172	373,840
93.846		Arthritis, Musculoskeletal and Skin Diseases Research	UW-Madison	3,849,818	47,734
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research	UW-Madison	10,568,058	895,027
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research	UW-La Crosse	86,512	0
		Total Federal Program 93.847		10,654,570	895,027

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
93.853		Extramural Research Programs in the Neurosciences and Neurological Disorders	UW-Madison	14,162,013	859,882
93.853		Extramural Research Programs in the Neurosciences and Neurological Disorders	UW-Milwaukee	497,762	0
		Total Federal Program 93.853		14,659,775	859,882
93.855		Allergy and Infectious Disease Research	UW-Madison	38,914,753	15,129,505
93.855		Allergy and Infectious Disease Research	UW-Oshkosh	64,553	0
93.855		Allergy and Infectious Disease Research	UW-Milwaukee	97,008	91,259
		Total Federal Program 93.855		39,076,314	15,220,764
93.856		Microbiology and Infectious Diseases Research	UW-Madison	40,744	0
93.859		Biomedical Research and Research Training	UW-Madison	27,977,410	904,694
93.859		Biomedical Research and Research Training	UW-Parkside	44,577	0
93.859		Biomedical Research and Research Training	UW-Eau Claire	25,432	0
93.859		Biomedical Research and Research Training	UW-Milwaukee	91,233	0
		Total Federal Program 93.859		28,138,652	904,694
93.865		Child Health and Human Development Extramural Research	UW-Madison	9,403,708	1,390,697
93.865		Child Health and Human Development Extramural Research	UW-Milwaukee	166,470	35,575
		Total Federal Program 93.865		9,570,178	1,426,272
93.866		Aging Research	UW-Madison	15,830,298	2,385,075
93.866		Aging Research	UW-La Crosse	51,661	0
93.866		Aging Research	UW-Milwaukee	56,835	0
		Total Federal Program 93.866		15,938,794	2,385,075
93.867		Vision Research	UW-Madison	10,072,752	1,042,035
93.867		Vision Research (from UW-Madison)	UW-Whitewater	66,954	0
		Total Federal Program 93.867		10,139,706	1,042,035
93.879		Medical Library Assistance	UW-Madison	586,916	185,610
93.989		International Research and Research Training	UW-Madison	47,762	3,907
N/A	93.RD	R&D from National Institutes of Health	UW-Madison	3,616,014	519,188
N/A	93.IPA	Interagency Personnel Agreements	UW-Madison	44,000	0
		Subtotal Direct R&D Grants		261,882,826	31,904,135
		R&D Subgrants:			
93.068		Chronic Diseases: Research, Control, and Prevention (from National Opinion Research Center)	UW-Madison	8,301	0
93.085		Research on Research Integrity (from University of Maryland)	UW-Milwaukee	20,128	0
93.103		Food and Drug Administration-Research (from Marvel Medtech LLC)	UW-Madison	116,353	0
93.103		Food and Drug Administration-Research (from National Institute for Pharmaceutical Technology & Education)	UW-Madison	78,742	0
93.103		Food and Drug Administration-Research (from Auburn University)	UW-Madison	19,533	0
93.110		Maternal and Child Health Federal Consolidated Programs (from University of California-Los Angeles)	UW-Madison	23,763	0
93.113		Environmental Health (from Baylor College of Medicine)	UW-Madison	47,113	0
93.113		Environmental Health (from Miriam Hospital)	UW-Whitewater	6,130	0
93.172		Human Genome Research (from Lucigen)	UW-Madison	69,217	0
93.172		Human Genome Research (from Texas Biomedical Research Institute)	UW-Madison	48,943	0
93.172		Human Genome Research (from DNA Star Inc)	UW-Madison	(432)	0
93.173		Research Related to Deafness and Communication Disorders (from University of Iowa)	UW-Madison	184,208	0
93.173		Research Related to Deafness and Communication Disorders (from University of Delaware)	UW-Madison	173,123	0
93.173		Research Related to Deafness and Communication Disorders (from Northeastern University)	UW-Milwaukee	19,483	0
93.173		Research Related to Deafness and Communication Disorders (from University of Texas-Dallas)	UW-Madison	44,476	0
93.173		Research Related to Deafness and Communication Disorders (from Georgia State University Research Foundation)	UW-Madison	31,593	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
93.173		Research Related to Deafness and Communication Disorders (from Vanderbilt University)	UW-Madison	2,451	0
93.185		Immunization Research, Demonstration, Public Information and Education-Training and Clinical Skills Improvement Projects (from Marshfield Clinic Research Foundation)	UW-Madison	79,091	0
93.226		Research on Healthcare Costs, Quality and Outcomes (from Geisinger Health Systems)	UW-Madison	91,761	0
93.226		Research on Healthcare Costs, Quality and Outcomes (from Johns Hopkins University)	UW-Madison	69,656	0
93.226		Research on Healthcare Costs, Quality and Outcomes (from University of Michigan)	UW-Madison	50,916	0
93.226		Research on Healthcare Costs, Quality and Outcomes (from Yale University)	UW-Madison	25,197	0
93.226		Research on Healthcare Costs, Quality and Outcomes (from University of Pittsburgh)	UW-Madison	22,656	0
93.226		Research on Healthcare Costs, Quality and Outcomes (from American Academy of Addiction Psychiatry)	UW-Madison	22,108	0
93.226		Research on Healthcare Costs, Quality and Outcomes (from University of Missouri-Columbia)	UW-Madison	12,489	0
93.226		Research on Healthcare Costs, Quality and Outcomes (from Rand Corporation)	UW-Madison	9,071	0
93.226		Research on Healthcare Costs, Quality and Outcomes (from Oregon Health & Science University)	UW-Madison	6,802	0
93.226		Research on Healthcare Costs, Quality and Outcomes (from Society of Hospital Medicine)	UW-Madison	(814)	0
93.233		National Center on Sleep Disorders Research (from University of Iowa)	UW-Madison	(117)	0
93.242		Mental Health Research Grants (from University of Pittsburgh)	UW-Madison	268,307	0
93.242		Mental Health Research Grants (from Temple University)	UW-Madison	138,098	0
93.242		Mental Health Research Grants (from University of Miami)	UW-Madison	105,633	0
93.242		Mental Health Research Grants (from University of Chicago)	UW-Madison	101,096	0
93.242		Mental Health Research Grants (from Marquette University)	UW-Milwaukee	47,079	0
93.242		Mental Health Research Grants (from Medical College of Wisconsin)	UW-Milwaukee	26,240	0
93.242		Mental Health Research Grants (from New York University)	UW-Madison	34,783	0
93.242		Mental Health Research Grants (from Medical University of South Carolina)	UW-Madison	13,517	0
93.242		Mental Health Research Grants (from University of Washington)	UW-Madison	4,543	0
93.242		Mental Health Research Grants (from Prairie Technologies LLC)	UW-Madison	2,692	0
93.243		Substance Abuse and Mental Health Services-Projects of Regional and National Significance (from Lac du Flambeau Tribe)	UW-Madison	36,551	0
93.262		Occupational Safety and Health Program (from University of Minnesota)	UW-Whitewater	11,763	0
93.262		Occupational Safety and Health Program (from University of Michigan)	UW-Madison	(1,892)	0
93.271		Alcohol Research Career Development Awards for Scientists and Clinicians (from Northwestern University)	UW-Madison	13,546	0
93.273		Alcohol Research Programs (from University of Pennsylvania)	UW-Madison	141,424	0
93.273		Alcohol Research Programs (from University of Mississippi Medical Center)	UW-Milwaukee	72,122	0
93.273		Alcohol Research Programs (from University of North Carolina Chapel Hill)	UW-Madison	27,435	0
93.279		Drug Abuse and Addiction Research Programs (from Vanderbilt University)	UW-Madison	127,596	0
93.279		Drug Abuse and Addiction Research Programs (from Chestnut Health Systems)	UW-Madison	115,921	0
93.279		Drug Abuse and Addiction Research Programs (from Oregon Health & Science University)	UW-Madison	72,476	0
93.279		Drug Abuse and Addiction Research Programs (from Dartmouth College)	UW-Madison	44,497	0
93.279		Drug Abuse and Addiction Research Programs (from Ponce School of Medicine)	UW-Milwaukee	81,768	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
93.279		Drug Abuse and Addiction Research Programs (from Washington University)	UW-Madison	33,864	0
93.279		Drug Abuse and Addiction Research Programs (from University of Chicago)	UW-Madison	23,686	0
93.279		Drug Abuse and Addiction Research Programs (from Johns Hopkins University)	UW-Madison	17,554	0
93.279		Drug Abuse and Addiction Research Programs (from Comfort Care for Animals)	UW-Madison	1,544	0
93.283		Centers for Disease Control and Prevention-Investigations and Technical Assistance (from University of South Carolina)	UW-Madison	236,078	13,753
93.286		Discovery and Applied Research for Technological Innovations to Improve Human Health (from Rehabilitation Institute of Chicago)	UW-Madison	263,371	0
93.286		Discovery and Applied Research for Technological Innovations to Improve Human Health (from Duke University)	UW-Madison	56,508	0
93.307		Minority Health and Health Disparities Research (from New York University)	UW-Madison	32,421	0
93.310		Trans-NIH Research Support (from Boston College)	UW-Madison	738,726	169,054
93.310		Trans-NIH Research Support (from Xavier University of Louisiana)	UW-Madison	13,711	0
93.315		Rare Disorders: Research, Surveillance, Health Promotion, and Education (from Children's Hospital of Wisconsin)	UW-Milwaukee	11,547	0
93.350		National Center for Advancing Translational Sciences (from Morgridge Institute for Research)	UW-Madison	431,787	39,958
93.350		National Center for Advancing Translational Sciences (from Dartmouth College)	UW-Madison	421,509	0
93.350		National Center for Advancing Translational Sciences (from Medical College of Wisconsin)	UW-Milwaukee	90,451	0
93.351		Research Infrastructure Programs (from Iowa State University)	UW-Madison	17,756	0
93.351		Research Infrastructure Programs (from Texas Biomedical Research Institute)	UW-Madison	2,305	0
93.361		Nursing Research (from Duke University)	UW-Madison	20,652	0
93.389		National Center for Research Resources (from Medical College of Wisconsin)	UW-Milwaukee	88,400	0
93.389		National Center for Research Resources (from University of Miami)	UW-Madison	3,036	0
93.393		Cancer Cause and Prevention Research (from Rockefeller University)	UW-Madison	157,254	0
93.393		Cancer Cause and Prevention Research (from Fox Chase Cancer Center)	UW-Madison	153,955	0
93.393		Cancer Cause and Prevention Research (from Georgetown University)	UW-Madison	152,722	0
93.393		Cancer Cause and Prevention Research (from Dartmouth College)	UW-Madison	102,132	0
93.393		Cancer Cause and Prevention Research (from Fred Hutchinson Cancer Research Center)	UW-Milwaukee	14,624	0
93.393		Cancer Cause and Prevention Research (from Pennsylvania State University)	UW-Madison	3,859	0
93.393		Cancer Cause and Prevention Research (from Brigham & Women's Hospital)	UW-Madison	1,890	0
93.394		Cancer Detection and Diagnosis Research (from Northwestern University)	UW-Madison	71,215	0
93.394		Cancer Detection and Diagnosis Research (from University of California-San Francisco)	UW-Milwaukee	24,578	0
93.395		Cancer Treatment Research (from Rutgers University)	UW-Madison	279,245	0
93.395		Cancer Treatment Research (from Wistar Institute)	UW-Madison	205,872	0
93.395		Cancer Treatment Research (from Children's Hospital of Philadelphia)	UW-Madison	74,185	0
93.395		Cancer Treatment Research (from Insert MRI)	UW-Madison	70,711	0
93.395		Cancer Treatment Research (from Medical Engineering Innovations)	UW-Madison	56,984	0
93.395		Cancer Treatment Research (from NRG Oncology Foundation Inc)	UW-Madison	41,335	0
93.395		Cancer Treatment Research (from City of Hope National Medical Center)	UW-Madison	27,375	0
93.395		Cancer Treatment Research (from Frontier Science & Technology Research)	UW-Madison	22,821	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
93.395		Cancer Treatment Research (from Montefiore Medical Center)	UW-Madison	20,000	0
93.395		Cancer Treatment Research (from Eastern Cooperative Oncology Group)	UW-Madison	9,998	0
93.395		Cancer Treatment Research (from Fred Hutchinson Cancer Research Center)	UW-Madison	9,901	0
93.395		Cancer Treatment Research (from John Wayne Cancer Institute)	UW-Madison	7,163	0
93.395		Cancer Treatment Research (from Mayo Clinic)	UW-Madison	2,520	0
93.395		Cancer Treatment Research (from Brigham & Women's Hospital)	UW-Madison	2,360	0
93.395		Cancer Treatment Research (from University of Illinois-Chicago)	UW-Madison	2,051	0
93.395		Cancer Treatment Research (from University of Kentucky)	UW-Madison	721	0
93.395		Cancer Treatment Research (from American College of Radiology)	UW-Madison	18	0
93.395		Cancer Treatment Research (from Gynecologic Oncology Group)	UW-Madison	(225)	0
93.396		Cancer Biology Research (from University of Chicago)	UW-Madison	126,232	0
93.396		Cancer Biology Research (from Vanderbilt University)	UW-Madison	83,647	0
93.396		Cancer Biology Research (from University of Kentucky)	UW-Madison	2,101	0
93.397		Cancer Centers Support Grants (from Albert Einstein College of Medicine)	UW-Madison	205,324	49,016
93.397		Cancer Centers Support Grants (from University of Vermont)	UW-Madison	190,097	0
93.397		Cancer Centers Support Grants (from Mayo Clinic)	UW-Milwaukee	43,635	27,100
93.398		Cancer Research Manpower (from University of Massachusetts)	UW-Madison	2,826	0
93.433		ACL National Institute on Disability, Independent Living, and Rehabilitation Research (from Virginia Commonwealth University)	UW-Madison	36,759	0
93.433		ACL National Institute on Disability, Independent Living, and Rehabilitation Research (from Cincinnati Children's Hospital Medical Center)	UW-Madison	15,237	0
93.516		Affordable Care Act (ACA) Public Health Training Centers Program (from University of Illinois-Chicago)	UW-Madison	111,617	0
93.558		Temporary Assistance for Needy Families (from Great Lakes Inter-Tribal Council)	UW-Madison	86,764	0
93.590		Community-Based Child Abuse Prevention Grants (from Children's Trust Fund)	UW-Madison	38,574	0
93.610		Health Care Innovation Awards (HCIA) (from Association of American Medical Colleges)	UW-Madison	297,954	0
93.610		Health Care Innovation Awards (HCIA) (from Pharmacy Society of Wisconsin)	UW-Madison	25,302	0
93.624		ACA - State Innovation Models: Funding for Model Design and Model Testing Assistance (from Wisconsin Health Information Organization)	UW-Madison	68,945	0
93.652		Adoption Opportunities (from Spaulding for Children)	UW-Milwaukee	296,980	63,364
93.652		Adoption Opportunities (from Children's Hospital of Wisconsin)	UW-Milwaukee	69,118	0
93.701		ARRA-Trans-NIH Recovery Act Research Support (from Duke University)	UW-Madison	677	0
93.779		Centers for Medicare and Medicaid Services (CMS) Research, Demonstrations and Evaluations (from Telligen)	UW-Madison	5,337	0
93.823		Ebola Support: Transmission and prevention control, public health preparedness, vaccine development (from University of Iowa)	UW-Madison	5,916	0
93.837		Cardiovascular Diseases Research (from Pennsylvania State University)	UW-Madison	900,137	82,586
93.837		Cardiovascular Diseases Research (from Morgridge Institute for Research)	UW-Madison	615,714	0
93.837		Cardiovascular Diseases Research (from Northwestern University)	UW-Madison	365,034	0
93.837		Cardiovascular Diseases Research (from University of California-San Francisco)	UW-Madison	115,715	0
93.837		Cardiovascular Diseases Research (from University of Iowa)	UW-Madison	102,558	0
93.837		Cardiovascular Diseases Research (from Blood Systems Research Institute)	UW-Madison	48,536	0
93.837		Cardiovascular Diseases Research (from Brigham & Women's Hospital)	UW-Madison	42,977	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
93.837		Cardiovascular Diseases Research (from University of Alabama-Birmingham)	UW-Madison	42,329	0
93.837		Cardiovascular Diseases Research (from University of Minnesota)	UW-Madison	25,325	0
93.837		Cardiovascular Diseases Research (from Medical College of Wisconsin)	UW-Milwaukee	27,499	0
93.837		Cardiovascular Diseases Research (from Mount Sinai School of Medicine)	UW-Madison	11,503	0
93.837		Cardiovascular Diseases Research (from University of Texas-Austin)	UW-Madison	1,691	0
93.837		Cardiovascular Diseases Research (from RTI International)	UW-Madison	(4,500)	0
93.838		Lung Diseases Research (from Duke University)	UW-Madison	332,510	0
93.838		Lung Diseases Research (from Pennsylvania State University)	UW-Madison	98,207	0
93.838		Lung Diseases Research (from Medical College of Wisconsin)	UW-Milwaukee	35,273	0
93.838		Lung Diseases Research (from Emory University)	UW-Madison	11,798	0
93.838		Lung Diseases Research (from Brigham & Women's Hospital)	UW-Madison	11,516	0
93.838		Lung Diseases Research (from Seattle Children's Hospital)	UW-Madison	8,323	0
93.839		Blood Diseases and Resources Research (from University of North Carolina-Chapel Hill)	UW-Madison	8,644	0
93.839		Blood Diseases and Resources Research (from National Marrow Donor Program)	UW-Madison	210	0
93.839		Blood Diseases and Resources Research (from New England Research Institutes)	UW-Madison	(101)	0
93.846		Arthritis, Musculoskeletal and Skin Diseases Research (from Medical College of Wisconsin)	UW-Madison	84,769	0
93.846		Arthritis, Musculoskeletal and Skin Diseases Research (from Washington University)	UW-Madison	25,344	0
93.846		Arthritis, Musculoskeletal and Skin Diseases Research (from Ann & Robert H Lurie Children's Hospital)	UW-Milwaukee	32,389	0
93.846		Arthritis, Musculoskeletal and Skin Diseases Research (from Kensey Nash Corporation)	UW-Madison	10,453	0
93.846		Arthritis, Musculoskeletal and Skin Diseases Research (from Oregon Health & Science University)	UW-Madison	9,787	0
93.846		Arthritis, Musculoskeletal and Skin Diseases Research (from University of Minnesota)	UW-Madison	7,564	0
93.846		Arthritis, Musculoskeletal and Skin Diseases Research (from Cleveland Clinic Foundation)	UW-Madison	1,705	0
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research (from George Washington University)	UW-Madison	213,421	0
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research (from Yale University)	UW-Madison	172,687	0
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research (from University of Michigan)	UW-Madison	146,324	0
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research (from University of Chicago)	UW-Madison	135,228	0
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research (from University of Pittsburgh)	UW-Madison	50,540	0
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research (from University of California-San Diego)	UW-Madison	43,688	0
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research (from Kaiser Permanente)	UW-Madison	39,226	0
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research (from Beth Israel Deaconess Medical Center)	UW-Madison	32,673	0
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research (from Morgridge Institute for Research)	UW-Madison	32,439	0
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research (from Nationwide Children's Hospital)	UW-Madison	13,793	0
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research (from Washington University-Saint Louis)	UW-Milwaukee	26,583	0
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research (from Michigan State University)	UW-Madison	10,850	0
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research (from Medical College of Wisconsin)	UW-Milwaukee	7,471	0
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research (from Ohio State University)	UW-Madison	9,690	0
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research (from University of Georgia Research Foundation)	UW-Madison	5,963	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research (from University of North Carolina-Chapel Hill)	UW-Madison	5,940	0
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research (from Children's Hospital of Pittsburgh)	UW-Madison	2,585	0
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research (from Children's Hospital Los Angeles)	UW-Madison	540	0
93.847		Diabetes, Digestive, and Kidney Diseases Extramural Research (from Emmes Corporation)	UW-Madison	(2,984)	0
93.853		Extramural Research Programs in the Neurosciences and Neurological Disorders (from Medical College of Wisconsin)	UW-Madison	391,503	0
93.853		Extramural Research Programs in the Neurosciences and Neurological Disorders (from Bellbrook Labs LLC)	UW-Madison	60,561	0
93.853		Extramural Research Programs in the Neurosciences and Neurological Disorders (from University of Pittsburgh)	UW-Madison	41,373	0
93.853		Extramural Research Programs in the Neurosciences and Neurological Disorders (from Johns Hopkins University)	UW-Madison	13,083	0
93.853		Extramural Research Programs in the Neurosciences and Neurological Disorders (from Medstar Health Research Institute)	UW-Madison	10,982	0
93.853		Extramural Research Programs in the Neurosciences and Neurological Disorders (from Mount Sinai School of Medicine)	UW-Madison	4,429	0
93.853		Extramural Research Programs in the Neurosciences and Neurological Disorders (from Yale University)	UW-Madison	656	0
93.853		Extramural Research Programs in the Neurosciences and Neurological Disorders (from Prism Clinical Imaging)	UW-Madison	(212)	0
93.855		Allergy, Immunology and Transplantation Research (from University of Miami)	UW-Madison	1,106,233	0
93.855		Allergy, Immunology and Transplantation Research (from Scripps Research Institute)	UW-Madison	691,799	0
93.855		Allergy, Immunology and Transplantation Research (from University of North Carolina-Chapel Hill)	UW-Madison	468,161	0
93.855		Allergy, Immunology and Transplantation Research (from University of Manitoba)	UW-Madison	367,890	0
93.855		Allergy, Immunology and Transplantation Research (from New York University)	UW-Madison	316,542	0
93.855		Allergy, Immunology and Transplantation Research (from Medical College of Wisconsin)	UW-Madison	226,571	0
93.855		Allergy, Immunology and Transplantation Research (from Boston University)	UW-Madison	212,908	0
93.855		Allergy, Immunology and Transplantation Research (from University of Georgia)	UW-Oshkosh	191,481	0
93.855		Allergy, Immunology and Transplantation Research (from University of Pittsburgh)	UW-Madison	185,651	0
93.855		Allergy, Immunology and Transplantation Research (from Intact Genomics)	UW-Madison	169,253	0
93.855		Allergy, Immunology and Transplantation Research (from Benaroya Research Institute at Virginia Mason)	UW-Madison	155,008	0
93.855		Allergy, Immunology and Transplantation Research (from Indiana University)	UW-Madison	147,865	0
93.855		Allergy, Immunology and Transplantation Research (from University of Colorado-Denver)	UW-Madison	136,748	0
93.855		Allergy, Immunology and Transplantation Research (from Emory University)	UW-Madison	127,548	0
93.855		Allergy, Immunology and Transplantation Research (from University of Louisville)	UW-Madison	103,230	0
93.855		Allergy, Immunology and Transplantation Research (from Cornell University)	UW-Madison	78,573	0
93.855		Allergy, Immunology and Transplantation Research (from University of Minnesota)	UW-Madison	64,935	0
93.855		Allergy, Immunology and Transplantation Research (from Columbia University)	UW-Madison	62,322	0
93.855		Allergy, Immunology and Transplantation Research (from Washington University)	UW-Madison	59,334	0
93.855		Allergy, Immunology and Transplantation Research (from University at Buffalo)	UW-Madison	56,717	0
93.855		Allergy, Immunology and Transplantation Research (from University of California-San Francisco)	UW-Madison	51,255	0
93.855		Allergy, Immunology and Transplantation Research (from University of Texas Health Science Center)	UW-Madison	42,884	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
93.855		Allergy, Immunology and Transplantation Research (from Children's Hospital of Boston)	UW-Madison	20,356	0
93.855		Allergy, Immunology and Transplantation Research (from Northwestern University)	UW-Madison	18,860	0
93.855		Allergy, Immunology and Transplantation Research (from Harvard School of Public Health)	UW-Milwaukee	18,211	0
93.855		Allergy, Immunology and Transplantation Research (from Massachusetts General Hospital)	UW-Madison	5,527	0
93.855		Allergy, Immunology and Transplantation Research (from Duke University)	UW-Madison	2,475	0
93.855		Allergy, Immunology and Transplantation Research (from Iowa State University)	UW-Madison	967	0
93.855		Allergy, Immunology and Transplantation Research (from Oregon Health & Science University)	UW-Madison	(10)	0
93.855		Allergy, Immunology and Transplantation Research (from University of Texas Medical Branch)	UW-Madison	(1,530)	0
93.855		Allergy, Immunology and Transplantation Research (from Brigham & Women's Hospital)	UW-Madison	(6,843)	0
93.856		Microbiology and Infectious Diseases Research (from University of Georgia)	UW-Oshkosh	92,563	0
93.856		Microbiology and Infectious Diseases Research (from Colorado State University)	UW-Madison	24,387	0
93.859		Biomedical Research and Research Training (from University of Colorado-Boulder)	UW-Madison	380,868	0
93.859		Biomedical Research and Research Training (from Jackson Laboratory)	UW-Madison	146,877	0
93.859		Biomedical Research and Research Training (from University of Connecticut)	UW-Madison	134,720	0
93.859		Biomedical Research and Research Training (from Texas Biomedical Research Institute)	UW-Madison	122,172	0
93.859		Biomedical Research and Research Training (from University of Utah)	UW-Madison	99,162	0
93.859		Biomedical Research and Research Training (from University of Michigan)	UW-Madison	96,073	0
93.859		Biomedical Research and Research Training (from University of Massachusetts-Amherst)	UW-Madison	93,692	0
93.859		Biomedical Research and Research Training (from Lucigen)	UW-Madison	91,094	0
93.859		Biomedical Research and Research Training (from Rensselaer Polytechnic Institute)	UW-Madison	72,179	0
93.859		Biomedical Research and Research Training (from University of Georgia)	UW-Madison	69,238	0
93.859		Biomedical Research and Research Training (from University of Illinois-Urbana-Champaign)	UW-Madison	53,056	0
93.859		Biomedical Research and Research Training (from Rice University)	UW-Madison	47,362	0
93.859		Biomedical Research and Research Training (from Isomark)	UW-Madison	44,338	0
93.859		Biomedical Research and Research Training (from University of California-San Francisco)	UW-Madison	25,012	0
93.859		Biomedical Research and Research Training (from University of Vermont)	UW-Madison	15,617	0
93.859		Biomedical Research and Research Training (from Morgridge Institute for Research)	UW-Madison	11,441	0
93.859		Biomedical Research and Research Training (from Medical College of Wisconsin)	UW-Madison	8,319	0
93.859		Biomedical Research and Research Training (from Columbia University)	UW-Milwaukee	16,717	0
93.859		Biomedical Research and Research Training (from University of Alabama-Birmingham)	UW-Madison	(13,605)	0
93.865		Child Health and Human Development Extramural Research (from University of Virginia)	UW-Madison	498,076	0
93.865		Child Health and Human Development Extramural Research (from Northwestern University)	UW-Madison	413,462	0
93.865		Child Health and Human Development Extramural Research (from Massachusetts General Hospital)	UW-Madison	239,809	0
93.865		Child Health and Human Development Extramural Research (from Quspin)	UW-Madison	237,468	0
93.865		Child Health and Human Development Extramural Research (from University of Chicago)	UW-Madison	172,319	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
93.865		Child Health and Human Development Extramural Research (from University of California-Davis)	UW-Madison	171,653	0
93.865		Child Health and Human Development Extramural Research (from Johns Hopkins University)	UW-Madison	131,990	0
93.865		Child Health and Human Development Extramural Research (from University of Florida)	UW-Madison	68,036	0
93.865		Child Health and Human Development Extramural Research (from Monell Chemical Senses Center)	UW-Madison	63,988	0
93.865		Child Health and Human Development Extramural Research (from Rutgers University)	UW-Madison	56,635	0
93.865		Child Health and Human Development Extramural Research (from University of Minnesota)	UW-Madison	37,622	0
93.865		Child Health and Human Development Extramural Research (from Washington State University)	UW-Madison	37,013	0
93.865		Child Health and Human Development Extramural Research (from New York University)	UW-Madison	34,741	0
93.865		Child Health and Human Development Extramural Research (from Georgia State University Research Foundation)	UW-Madison	25,727	0
93.865		Child Health and Human Development Extramural Research (from Michigan Public Health Institute)	UW-Madison	23,233	0
93.865		Child Health and Human Development Extramural Research (from Isomark)	UW-Madison	21,907	0
93.865		Child Health and Human Development Extramural Research (from University of Illinois-Chicago)	UW-Madison	20,660	0
93.865		Child Health and Human Development Extramural Research (from Intelliwheels Inc)	UW-Milwaukee	46,441	0
93.865		Child Health and Human Development Extramural Research (from Northwestern University)	UW-Milwaukee	(6,568)	0
93.866		Aging Research (from University of Pittsburgh)	UW-Madison	154,388	0
93.866		Aging Research (from University of California-San Diego)	UW-Madison	126,955	0
93.866		Aging Research (from University of Texas Medical Branch)	UW-Madison	63,354	0
93.866		Aging Research (from Emory University)	UW-Madison	60,882	0
93.866		Aging Research (from University of Southern California)	UW-Madison	32,845	0
93.866		Aging Research (from University of Washington)	UW-Madison	27,910	0
93.866		Aging Research (from Northwestern University)	UW-Madison	16,449	0
93.866		Aging Research (from University of Michigan)	UW-Madison	15,390	0
93.866		Aging Research (from University of Maryland)	UW-Madison	15,073	0
93.866		Aging Research (from University of Mississippi Medical Center)	UW-Milwaukee	43,354	0
93.866		Aging Research (from University of California-Irvine)	UW-Madison	5,604	0
93.866		Aging Research (from Metria Innovation Inc)	UW-Milwaukee	22,158	0
93.866		Aging Research (from University of California-Santa Barbara)	UW-Madison	2,608	0
93.867		Vision Research (from University of Iowa)	UW-Madison	168,974	0
93.867		Vision Research (from University of Rochester)	UW-Madison	116,151	0
93.867		Vision Research (from Pennsylvania State University)	UW-Madison	111,604	0
93.867		Vision Research (from Amebagone Inc)	UW-Madison	97,989	0
93.867		Vision Research (from Massachusetts Eye & Ear Infirmary)	UW-Madison	69,398	0
93.867		Vision Research (from Medical College of Wisconsin)	UW-Madison	38,420	0
93.867		Vision Research (from Smith-Kettlewell Eye Research Institute)	UW-Madison	31,642	0
93.867		Vision Research (from Lumithera Inc)	UW-Milwaukee	56,992	0
93.867		Vision Research (from Mount Sinai School of Medicine)	UW-Madison	2,057	0
93.867		Vision Research (from Jaeb Center for Health Research)	UW-Madison	(208,298)	0
93.912		Rural Health Care Services Outreach, Rural Health Network Development and Small Health Care Provider Quality Improvement Program (from ABC for Health Inc)	UW-Madison	26,510	0
93.926		Healthy Start Initiative (from Great Lakes Inter-Tribal Council)	UW-Madison	43,092	0
93.939		HIV Prevention Activities-Non-Governmental Organization Based (from Georgetown University)	UW-Madison	47,129	21,401
93.959		Block Grants for Prevention and Treatment of Substance Abuse (from Kenosha County Department of Human Services)	UW-Madison	8,434	0
93.959		Block Grants for Prevention and Treatment of Substance Abuse (from Portage County Health & Human Services)	UW-Stevens Point	8,235	0
93.959		Block Grants for Prevention and Treatment of Substance Abuse (from Rock County Human Services Department)	UW-Madison	420	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
93.969		PPHF Geriatric Education Centers (from Marquette University)	UW-Madison	147,748	0
93.989		International Research and Research Training (from Harvard University)	UW-Madison	352,619	0
93.989		International Research and Research Training (from University of Southern California)	UW-Madison	4,897	0
N/A	93.0258-0515/HHSN27220140008C	NIAID Centers of Excellence for Influenza Research & Surveillance (from Mount Sinai School of Medicine)	UW-Madison	882,966	0
N/A	93.HHSN266200700010C; HHSN272201400008C	Centers for Research on Influenza Pathogenesis (from Mount Sinai School of Medicine)	UW-Madison	429,828	0
N/A	93.MSN186787	Advanced Vaccination & Immunity Management Strategies to Protect from Influenza Virus Infection (from University of Cambridge)	UW-Madison	258,979	0
N/A	93.112093010-7583232	Ecology of Influenza Viruses in Colombia (from Saint Jude Children's Research Hospital)	UW-Madison	226,924	115,349
N/A	93.112093010	NIAID Centers of Excellence for Influenza Research & Surveillance (from Saint Jude Children's Research Hospital)	UW-Madison	192,889	124,020
N/A	93.52081L	Substance Abuse Treatment to HIV Care (from RTI International)	UW-Madison	58,420	0
N/A	93.AGMT 09/30/15	I-125-CLR1404 as a (Neo) Adjuvant Treatment Option for Triple-Negative Breast Cancer (from Cellectar LLC)	UW-Madison	44,733	0
N/A	93.47905	Comparative Surveillance of Generic Drugs by Machine Learning (from Marshfield Clinic Research Foundation)	UW-Madison	44,064	0
N/A	93.5-52021; 5-52472	Center for HIV/AIDS Vaccine Immunology & Immunogen Discovery (from Scripps Research Institute)	UW-Madison	43,446	0
N/A	93.AGMT 08/12/04; AGMT 11/29/12; AGMT 04/22/14	Diabetic Retinopathy Clinical Research Network (from Jaeb Center for Health Research)	UW-Madison	36,658	0
N/A	93.NCT01248065; NCT0153713377; U10HL098115	AsthmaNet (from Pennsylvania State University)	UW-Madison	24,875	0
N/A	93.31708	Using Health IT in Practice Redesign (from Abt Associates)	UW-Madison	21,922	0
N/A	93.12XS401	Preclinical Comparison of Three Indenoisoquinolines Candidates in Tumor-Bearing Dogs (from Science Applications International)	UW-Madison	20,522	0
N/A	93.BEST-CLI	Clinical Trial Agreement (from New England Research Institutes)	UW-Madison	20,458	0
N/A	93.BMT CTN 0702; BMT CTN 0801; BMT CTN 1301	Clinical Study Protocol Rider (from National Marrow Donor Program)	UW-Madison	18,602	0
N/A	93.RTOG 0801	Radiation Therapy Oncology Group (from Radiation Therapy Oncology Group)	UW-Madison	18,352	0
N/A	93.AGMT 07/18/12	Sirolimus GA trial (from Emmes Corporation)	UW-Madison	17,654	0
N/A	93.BMT CTN 0702; BMT CTN 0801; BMT CTN 1301	Clinical Rider (from National Marrow Donor Program)	UW-Madison	15,920	0
N/A	93.CE-1304-6656	Comparative Effectiveness of Imaging Modalities in Breast Cancer Survivors (from Group Health Cooperative)	UW-Madison	13,780	0
N/A	93.1210.03029.002	Nursing Home Antibiotic Stewardship (from American Institutes for Research)	UW-Madison	12,544	0
N/A	93.E1804-00	Pharmacogenetic Analysis for Polymorphisms in CYP3A4/5, CYP2C9, & MDR (from Frontier Science & Technology Research)	UW-Madison	12,077	0
N/A	93.HHSN268201300071C-(PH2-3A)	Quantitative Imaging Biomarkers Alliance (from Radiological Society of North America)	UW-Madison	10,556	0
N/A	93.8UL1TR000055	Mental Health Court (from Medical College of Wisconsin)	UW-Whitewater	9,609	
N/A	93.1400000648	Project LAUNCH Special Studies (from National Opinion Research Center)	UW-Madison	9,504	7,543
N/A	93.5-52021; 5-52472	Center for HIV/AIDS Vaccine Immunology and Immunogen Discovery (from Scripps Research Institute)	UW-Madison	7,978	0
N/A	93.AGMT 03/01/14	Clinical Trials (from ECOG-ACRIN Cancer Research Group)	UW-Madison	7,262	0
N/A	93.10039141-03	Assessment of Patient-Stratified Transmission Risks & Development of Innovative Barrier Precaution Strategies (from University of Utah)	UW-Madison	7,038	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
N/A	93.AGMT 06/17/11	Evaluation Services for the Annual Biomedical Research Conference for Minority Students (from American Society for Microbiology)	UW-Madison	5,273	0
N/A	93.AGMT 06/07/16	Building Bridges and Bonds Evaluation (from MDRC)	UW-Madison	4,891	0
N/A	93.G-0253 DMHSAS	Juvenile Justice AODA Program (from Kenosha County 14 Department of Human Services)	UW-Madison	4,275	0
N/A	93.AGMT 05/17/13	Cancer Therapy Evaluation Program (from Science Applications International Corporation)	UW-Madison	2,092	0
N/A	93.1R15AI1975-01	FY14-15 NIH Schwan SUB (from Concordia University)	UW-La Crosse	2,025	0
N/A	93.MCR-0079-P2C	Early Therapeutics Development (from Mayo Clinic)	UW-Madison	1,917	0
N/A	93.565291	Multi-Ethnic Study of Atherosclerosis (from University of Washington)	UW-Madison	1,670	0
N/A	93.AAA1562	Image-Based Numerical Predications of Hemodynamics following Vascular Intervention (from Medical College of Wisconsin)	UW-Milwaukee	164,017	0
N/A	93.020; 024	Characterization of Niks Cell Lines (from Stratatech)	UW-Madison	1,086	0
N/A	93.G-0253 DMHSAS	Juvenile Justice AODA Program (from Portage County Health 14 & Human Services)	UW-Madison	791	0
N/A	93.AGMT 12/15/15	Protocol W Intravitreal Anti-VEGF Treatment for Prevention of Vision Threatening Diabetic Retinopathy in Eyes at High Risk (from Jaeb Center for Health Research)	UW-Madison	755	0
N/A	93.ACOSOG	Surgeons Oncology Group Case Study Services (from Brigham & Women's Hospital)	UW-Madison	743	0
N/A	93.G-0253 DMHSAS	Juvenile Justice AODA Program (from Rock County Human 14 Services Department)	UW-Madison	378	0
N/A	93.0000297529	Targeted Genomic Analysis of Coagulation Pathways in Acute Lung Injury (from University of California-San Francisco)	UW-Madison	322	0
N/A	93.960741-RSUB	Children's Oncology Group Scientific Leadership (from Children's Hospital of Philadelphia)	UW-Madison	264	0
N/A	93.AGMT 01/15/13	Wisconsin Clinical Resource Center (from Wisconsin Health Care Association & Leading Age Wisconsin)	UW-Madison	166	0
N/A	93.10032907-01	Development of National Screening and Site-specific Landscape Regression Models to Identify Areas with High Likelihood of Private Well Contamination (from University of Utah)	UW-Madison	19	0
N/A	93.0502 CALGB	BMTCTN0502 CTA Rider (from National Marrow Donor 100103 Program)	UW-Madison	16	0
N/A	93.AGMT 08/16/11	Creating Healthy Workplaces (from Minneapolis Medical Research Foundation)	UW-Madison	(1,378)	0
N/A	93.HHSN268201300	Phantom Study with Inelastic, SWS-Dispersive Media (from 71C (D) Radiological Society of North America)	UW-Madison	(1,462)	0
N/A	93.AGMT 08/12/04	Pediatric Eye Disease Investigator Group (from Jaeb Center for Health Research)	UW-Madison	(8,544)	0
N/A	93.MIL112186	Measuring Energy Expenditure in Children with Spina Bifida and Down Syndrome (from Medical College of Wisconsin)	UW-Milwaukee	5,989	0
Subtotal R&D Subgrants				26,312,552	713,144
TOTAL R&D FROM U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES				288,195,378	32,617,279
CORPORATION FOR NATIONAL AND COMMUNITY SERVICE:					
94.013		Volunteers in Service to America	UW-Parkside	30,014	1,000
Subtotal Direct R&D Grants				30,014	1,000
N/A	94.AGMT 01/12/16	Center for Community & Nonprofit Studies-Americorps Project (from Second Harvest Foodbank)	UW-Madison	36,027	0
Subtotal R&D Subgrants				36,027	0
TOTAL R&D FROM CORPORATION FOR NATIONAL AND COMMUNITY SERVICE:				66,041	1,000
SOCIAL SECURITY ADMINISTRATION:					
96.007		Social Security-Research and Demonstration	UW-Madison	1,053	0
TOTAL R&D FROM SOCIAL SECURITY ADMINISTRATION				1,053	0
U.S. DEPARTMENT OF HOMELAND SECURITY:					

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
97.077		Homeland Security Research, Development, Testing, Evaluation, and Demonstration of Technologies Related to Nuclear Threat Detection	UW-Madison	312,010	0
		Subtotal Direct R&D Grant		<u>312,010</u>	<u>0</u>
		R&D Subgrants:			
97.036		Disaster Grants-Public Assistance (Presidentially Declared Disasters) (from Indiana University)	UW-Madison	43,001	0
97.039		Hazard Mitigation Grant (from Dane County)	UW-Madison	26,019	0
97.061		Centers for Homeland Security (from University of Southern California)	UW-Madison	150,999	50,685
97.061		Centers for Homeland Security (from Rutgers University)	UW-Madison	81,194	0
N/A	97.JCVI-13-011	Universal Standard Operating Procedure for Generation, Barcoding, and Amplification of cDNA from Genomic RNA of BSL-3/4 Viruses (from J Craiq Venter Institute)	UW-Madison	24,610	0
		Subtotal R&D Subgrants		<u>325,823</u>	<u>50,685</u>
		TOTAL R&D FROM DEPARTMENT OF HOMELAND SECURITY		<u>637,833</u>	<u>50,685</u>
U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT:					
98.001		USAID Foreign Assistance for Programs Overseas	UW-Madison	215,630	190,363
		Subtotal Direct R&D Grants		<u>215,630</u>	<u>190,363</u>
		R&D Subgrants:			
98.001		USAID Foreign Assistance for Programs Overseas (from Michigan State University)	UW-Madison	65,951	13,151
N/A	98.09-002945-101	Grafted Vegetables for Sustainable Agriculture (from University of California-Davis)	UW-Madison	102,992	0
N/A	98.AGMT 03/11/15	Sustainable Conversion of Oil Palm Lignocellulosic Waste into Pentanol using Metabolically Engineered Microbes (from Surya University)	UW-Madison	22,600	0
N/A	99.5249-UWM-USITC-0029	Econometric Modeling (from Pennsylvania State University)	UW-Madison	22,829	0
		Subtotal R&D Subgrants		<u>214,372</u>	<u>13,151</u>
		TOTAL R&D FROM U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT		<u>430,002</u>	<u>203,514</u>
		TOTAL RESEARCH AND DEVELOPMENT CLUSTER		<u>579,682,659</u>	<u>72,460,930</u>

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
<i>STUDENT FINANCIAL ASSISTANCE (SFA) CLUSTER</i>					
DEPARTMENT OF EDUCATION:					
84.007		Federal Supplemental Educational Opportunity Grants	UW-Milwaukee	1,702,241	0
84.007		Federal Supplemental Educational Opportunity Grants	UW-Madison	1,638,507	0
84.007		Federal Supplemental Educational Opportunity Grants	UW-Stevens Point	835,950	0
84.007		Federal Supplemental Educational Opportunity Grants	UW-Eau Claire	754,258	0
84.007		Federal Supplemental Educational Opportunity Grants	UW-Stout	687,148	0
84.007		Federal Supplemental Educational Opportunity Grants	UW-Oshkosh	577,998	0
84.007		Federal Supplemental Educational Opportunity Grants	UW-Whitewater	566,376	0
84.007		Federal Supplemental Educational Opportunity Grants	UW Colleges	530,100	0
84.007		Federal Supplemental Educational Opportunity Grants	UW-Green Bay	467,818	0
84.007		Federal Supplemental Educational Opportunity Grants	UW-Parkside	466,293	0
84.007		Federal Supplemental Educational Opportunity Grants	UW-River Falls	398,972	0
84.007		Federal Supplemental Educational Opportunity Grants	UW-La Crosse	387,709	0
84.007		Federal Supplemental Educational Opportunity Grants	UW-Platteville	364,310	0
84.007		Federal Supplemental Educational Opportunity Grants	UW-Superior	179,975	0
Total Federal Program 84.007				9,557,655	0
84.033		Federal Work-Study Program	UW-Milwaukee	843,557	0
84.033		Federal Work-Study Program	UW-Madison	2,300,285	0
84.033		Federal Work-Study Program	UW-Eau Claire	928,149	0
84.033		Federal Work-Study Program	UW-Stevens Point	827,616	0
84.033		Federal Work-Study Program	UW-Stout	647,002	0
84.033		Federal Work-Study Program	UW-Oshkosh	509,760	0
84.033		Federal Work-Study Program	UW-La Crosse	494,239	0
84.033		Federal Work-Study Program	UW-Whitewater	426,147	0
84.033		Federal Work-Study Program	UW-Platteville	423,236	0
84.033		Federal Work-Study Program	UW-River Falls	411,637	0
84.033		Federal Work-Study Program	UW Colleges	335,412	0
84.033		Federal Work-Study Program	UW-Green Bay	282,658	0
84.033		Federal Work-Study Program	UW-Superior	241,803	0
84.033		Federal Work-Study Program	UW-Parkside	68,700	0
Total Federal Program 84.033				8,740,201	0
84.038		Federal Perkins Loan Program-Federal Capital Contributions*	UW-Milwaukee	17,815,708	0
84.038		Federal Perkins Loan Program-Federal Capital Contributions*	UW-Madison	61,975,122	0
84.038		Federal Perkins Loan Program-Federal Capital Contributions*	UW-Stevens Point	17,229,157	0
84.038		Federal Perkins Loan Program-Federal Capital Contributions*	UW-Eau Claire	14,439,529	0
84.038		Federal Perkins Loan Program-Federal Capital Contributions*	UW-Stout	12,445,904	0
84.038		Federal Perkins Loan Program-Federal Capital Contributions*	UW-Whitewater	10,190,385	0
84.038		Federal Perkins Loan Program-Federal Capital Contributions*	UW-Platteville	7,108,792	0
84.038		Federal Perkins Loan Program-Federal Capital Contributions*	UW-Oshkosh	5,859,671	0
84.038		Federal Perkins Loan Program-Federal Capital Contributions*	UW-La Crosse	5,590,387	0
84.038		Federal Perkins Loan Program-Federal Capital Contributions*	UW-River Falls	5,410,323	0
84.038		Federal Perkins Loan Program-Federal Capital Contributions*	UW-Green Bay	4,674,068	0
84.038		Federal Perkins Loan Program-Federal Capital Contributions*	UW-Superior	1,576,840	0
84.038		Federal Perkins Loan Program-Federal Capital Contributions*	UW-Parkside	2,485,785	0
Total Federal Program 84.038				166,801,671	0
84.063		Federal Pell Grant Program	UW-Milwaukee	33,131,861	0
84.063		Federal Pell Grant Program	UW-Milwaukee	12,890	0
84.063		Federal Pell Grant Program	UW-Madison	17,079,038	0
84.063		Federal Pell Grant Program	UW Colleges	14,331,027	0
84.063		Federal Pell Grant Program	UW-Whitewater	13,058,234	0
84.063		Federal Pell Grant Program	UW-Stevens Point	12,360,817	0
84.063		Federal Pell Grant Program	UW-Oshkosh	12,337,226	0

STATE OF WISCONSIN
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2016

CFDA NUMBER	OTHER IDENTIFYING NUMBER	FEDERAL PROGRAM	STATE AGENCY OR UW INSTITUTION	EXPENDITURES	AMOUNT PROVIDED TO SUBRECIPIENTS
84.063		Federal Pell Grant Program	UW-Eau Claire	9,857,049	0
84.063		Federal Pell Grant Program	UW-Stout	9,000,774	0
84.063		Federal Pell Grant Program	UW-La Crosse	7,975,401	0
84.063		Federal Pell Grant Program	UW-Platteville	7,951,998	0
84.063		Federal Pell Grant Program	UW-Green Bay	7,459,302	0
84.063		Federal Pell Grant Program	UW-River Falls	6,542,611	0
84.063		Federal Pell Grant Program	UW-Superior	3,678,066	0
84.063		Federal Pell Grant Program	UW-Parkside	7,797,798	0
		Total Federal Program 84.063		<u>162,574,092</u>	<u>0</u>
84.268		Federal Direct Student Loans*	UW-Milwaukee	137,913,112	0
84.268		Federal Direct Student Loans*	UW-Madison	156,853,247	0
84.268		Federal Direct Student Loans*	UW-Whitewater	59,641,546	0
84.268		Federal Direct Student Loans*	UW-Oshkosh	49,935,047	0
84.268		Federal Direct Student Loans*	UW-La Crosse	44,484,847	0
84.268		Federal Direct Student Loans*	UW-Stevens Point	40,683,097	0
84.268		Federal Direct Student Loans*	UW-Stout	39,890,504	0
84.268		Federal Direct Student Loans*	UW-Eau Claire	39,590,337	0
84.268		Federal Direct Student Loans*	UW-Platteville	34,636,586	0
84.268		Federal Direct Student Loans*	UW-River Falls	25,629,183	0
84.268		Federal Direct Student Loans*	UW-Green Bay	24,681,219	0
84.268		Federal Direct Student Loans*	UW-Parkside	19,757,692	0
84.268		Federal Direct Student Loans*	UW Colleges	19,660,844	0
84.268		Federal Direct Student Loans*	UW-Superior	12,236,811	0
		Total Federal Program 84.268		<u>705,594,072</u>	<u>0</u>
84.379		Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)	UW-Milwaukee	63,650	0
84.379		Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)	UW-Madison	42,722	0
84.379		Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)	UW-Green Bay	9,310	0
84.379		Teacher Education Assistance for College and Higher Education Grants (TEACH Grants)	UW-Stout	6,959	0
		Total Federal Program 84.379		<u>122,641</u>	<u>0</u>
N/A	84.SFA	Administrative Cost Allowance	UW-Eau Claire	214,319	0
N/A	84.SFA	Administrative Cost Allowance	UW-Whitewater	124,720	0
N/A	84.SFA	Administrative Cost Allowance	UW-Stout	106,903	0
N/A	84.SFA	Administrative Cost Allowance	UW-Stevens Point	105,513	0
N/A	84.SFA	Administrative Cost Allowance	UW-Platteville	101,572	0
N/A	84.SFA	Administrative Cost Allowance	UW-Oshkosh	90,310	0
N/A	84.SFA	Administrative Cost Allowance	UW Colleges	75,656	0
N/A	84.SFA	Administrative Cost Allowance	UW-River Falls	62,557	0
N/A	84.SFA	Administrative Cost Allowance	UW-Superior	47,517	0
N/A	84.SFA	Administrative Cost Allowance	UW-Green Bay	42,749	0
N/A	84.SFA	Administrative Cost Allowance	UW-Parkside	39,635	0
N/A	84.SFA	Administrative Cost Allowance	UW-Milwaukee	509,585	0
		Total Administrative Cost Allowance		<u>1,521,036</u>	<u>0</u>
		TOTAL SFA FROM U.S. DEPARTMENT OF EDUCATION		<u>1,054,911,368</u>	<u>0</u>
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES:					
93.264		Nurse Faculty Loan Program (NFLP)*	UW-Milwaukee	1,840,298	0
93.264		Nurse Faculty Loan Program (NFLP)*	UW-Madison	417,369	0
		Total Federal Program 93.264		<u>2,257,667</u>	<u>0</u>
93.342		Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students*	UW-Madison	6,199,752	0
93.364		Nursing Student Loans*	UW-Milwaukee	2,042,634	0
93.364		Nursing Student Loans*	UW-Oshkosh	2,833,506	0
93.364		Nursing Student Loans*	UW-Madison	1,573,783	0
		Total Federal Program 93.364		<u>6,449,923</u>	<u>0</u>
		TOTAL SFA FROM U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES		<u>14,907,342</u>	<u>0</u>
		TOTAL STUDENT FINANCIAL ASSISTANCE CLUSTER		<u>1,069,818,710</u>	<u>0</u>
TOTAL EXPENDITURES OF FEDERAL AWARDS				<u>11,627,888,497</u>	<u>1,732,939,561</u>

Notes to the State of Wisconsin

Schedule of Expenditures of Federal Awards ■

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

A. Purpose

The Schedule of Expenditures of Federal Awards presents a summary of the State of Wisconsin's expenditures funded by the federal government for the fiscal year ended June 30, 2016. For purposes of the schedule, federal programs have been classified as follows: 1) Individual Programs and Other Clusters, including grants received directly from the federal government and subgrants received from other organizations; 2) the Research and Development (R&D) Cluster, including R&D grants received directly from the federal government and R&D subgrants received from other entities; and 3) the Student Financial Assistance (SFA) Cluster.

Direct federal awards and subgrants are presented for each federal agency by the Catalog of Federal Domestic Assistance (CFDA) number when available in the grant agreements or determinable based on a grant's source and purpose. For grants that did not clearly state a CFDA number, the schedule includes the grant, or a total for several grants, with a CFDA number of N/A for not available. An "other identifying number," when available, is required to be shown if the CFDA number is not available.

Because the schedule presents only a selected portion of the activities of the State, it is not intended to and does not present the financial position or results of operations of the State.

B. Basis of Accounting

The accompanying Schedule of Expenditures of Federal Awards has been prepared from the accounting and inventory records of Wisconsin state agencies, including UW System, and from federal reports submitted by the state agencies to the various federal grantor agencies. The State's accounting records are maintained on a budgetary basis, in accordance with Wisconsin Statutes. State statutes and state accounting policies require that disbursements be recognized in the fiscal year in which they are recorded for payment, except for certain state employee fringe benefits and selected other items that are recognized in the period to which the payments relate, regardless of when paid. The State's centralized accounting records remain open until July 31 to permit the recording of expenditures applicable to the fiscal year ended June 30, in accordance with Wisconsin Statutes.

A timing variance may exist between the recording of federal grant expenditures in the accounting records and the reporting of the expenditures to the federal government or other subgrantor organizations.

Uniform Guidance requires the Schedule of Expenditures of Federal Awards to include the amount provided to subrecipients under each federal program. The amount provided to subrecipients under each federal program was determined by the state agencies, including UW System.

To eliminate double-counting of "subgrants" between state agencies, the schedule includes expenditures reported by the state agency that received the funds directly from the federal government and does not include expenditures recorded by the "subrecipient agency." However, for subgrants between UW institutions, the schedule includes expenditures reported by UW institutions that received the subgranted funds and does not include expenditures reported by the subgranting UW institutions.

C. Use of De Minimis Cost Rate

No state agency has elected to use the 10 percent de minimis cost rate for indirect costs.

D. State Agencies Included

The following state agencies were included in the scope of the federal compliance portion of the audit. State agencies that administered a major federal program audited during the FY 2015-16 single audit are indicated in **bold**.

1. Board for People with Developmental Disabilities (BPDD)
2. Board of Commissioners of Public Lands (BCPL)
3. Child Abuse and Neglect Prevention Board (CANPB)
4. **Department of Administration (DOA)**

5. Department of Agriculture, Trade and Consumer Protection (DATCP)
6. Department of Children and Families (DCF)
7. Department of Corrections (DOC)
8. **Department of Health Services (DHS)**
9. Department of Justice (DOJ)
10. **Department of Military Affairs (DMA)**
11. **Department of Natural Resources (DNR)**
12. **Department of Public Instruction (DPI)**
13. Department of Safety and Professional Services (DSPS)
14. Department of Tourism (Tourism)
15. Department of Transportation (DOT)
16. **Department of Veterans Affairs (DVA)**
17. **Department of Workforce Development (DWD)**
18. Government Accountability Board (GAB)
19. Office of the Commissioner of Insurance (OCI)
20. Public Service Commission (PSC)
21. State Public Defender Board (SPDB)
22. **University of Wisconsin (UW) System**
23. Wisconsin Historical Society (WHS)
24. Wisconsin Technical College System (WTCS)

The Wisconsin Humanities Council is a nonprofit organization associated with UW System. Through a contract with the Wisconsin Humanities Council, UW-Extension is responsible for fiscal and personnel administration of the Council. At the request of the Wisconsin Humanities Council, the Council was included as a unit within UW System.

Federal awards administered by the Wisconsin Housing and Economic Development Authority, the Wisconsin Economic Development Corporation, the University of Wisconsin Hospitals and Clinics Authority, and the Wisconsin Court System were not included in the scope of this audit. These entities indicated that single audits are performed by other auditors if required.

2. FEDERAL SANCTIONS AND DISALLOWANCES

There are actual or potential federal sanctions and disallowances for the Temporary Assistance for Needy Families (TANF) (CFDA #93.558) program, the Title IV-B and IV-E programs, and the Medical Assistance (MA) Program (CFDA #93.778).

A. Penalty for Temporary Assistance for Needy Families (TANF)

In early February 2014, the U.S. Department of Health and Human Services' Administration for Children and Families (ACF) informed DCF of its intention to enforce a \$4,730,282 penalty assessed in a letter dated July 27, 2005, for failure to meet the requirements of the Income

Eligibility and Verification System (IEVS) for the period from July 1, 2003, through June 30, 2004. As a result, DCF's federal fiscal year (FFY) 2014-15 TANF award was reduced by the amount of the penalty. Additionally, the State must expend an additional \$4,730,282 in state funds in FFY 2015-16 that cannot be counted towards the State's maintenance-of-effort requirement.

In early February 2014, ACF also informed DCF of a penalty for failure to meet the requirements of IEVS for the period from July 1, 2007, through June 30, 2008. ACF calculated the penalty to be \$4,763,580. DCF disputed the penalty and subsequently submitted a corrective compliance plan in April 2014. The plan was accepted and requires corrective actions be taken by April 30, 2016, to achieve compliance. In April 2015, DCF submitted a modified corrective compliance plan that stated DCF would take appropriate corrective actions by December 31, 2016, instead of April 30, 2016. Through conversations with ACF, it was indicated that DCF would only receive notification on their modified compliance if it were rejected. As the modified plan was not denied, the Bureau of Working Families went forward with the modified schedule for corrective actions. The Bureau had completed its appropriate corrective actions by the deadline of December 31, 2016, and does not expect to pay the penalty.

B. Penalty for Titles IV-B and IV-E

In April 2010, the U.S. Department of Health and Human Services' Administration for Children and Families conducted a Child and Family Service Review (CFSR) of, among other things, the State's child welfare program. ACF found that DCF was not meeting federal requirements in several areas. In response to the CFSR findings, DCF developed, and ACF approved, a Program Improvement Plan (PIP) with measurement data goals. DCF had until March 31, 2014, to achieve all measurement data goals. In August 2015, ACF informed DCF of a \$1,869,784 penalty for failure to meet all of the measurement data goals required by the approved PIP. In September 2015, DCF repaid to the federal government \$1,505,057 of Title IV-B funds and \$364,727 of Title IV-E funds. However, based on subsequent examination of the penalty assessment documentation, DCF believes that the penalty should have been \$1,757,925, which includes \$1,399,441 of Title IV-B funds and \$358,484 of Title IV-E funds. DCF reclaimed the \$6,243.00 of Title IV-E funds on the March 2016 claim. DCF is still awaiting the \$105,616.00 refund of Title IV-B funds from ACF.

C. Sanction for the Health Check/Other Services—MA Program

In September 2013, DHS received the final report from the U.S. Department of Health and Human Services' Office of Inspector General

recommending a disallowance related to Health Check/Other Services, a program for which DHS claims Medicaid reimbursement for treatment costs for prior-authorized eligible children in Wisconsin residential care centers. The report indicated that DHS used a cost allocation methodology that did not comply with federal requirements. The Office of Inspector General recommended that DHS return \$22,838,628 to the federal government for the time period from October 1, 2004, through September 30, 2006. DHS did not agree with the recommendation and sent a response to the Centers for Medicare and Medicaid Services (CMS) dated October 9, 2013. DHS continues to have discussions with CMS on this issue. DHS provided additional information to CMS on September 16, 2014.

D. Withdrawal of Medicaid Funds under Home and Community Based Service Waiver Programs—MA Program

In May 2015, DHS received a draft report from the U.S. Department of Health and Human Services' Office of Inspector General recommending a disallowance related to the MA Program. The Office of Inspector General's review covered FFY 2009-10 through FFY 2011-12. The Office of Inspector General concluded that DHS inappropriately withdrew \$89,624,201 in federal Medicaid funds for aggregate annual projected costs that should have been paid solely with state funds. DHS does not agree with the recommendation that a disallowance be assessed. DHS sent a formal response to the Office of Inspector General on June 19, 2015. The Office of Inspector General issued the final report on October 15, 2015, incorporating the DHS formal response. DHS is currently awaiting further communication from the federal government.

E. Wisconsin Claimed Unallowable Federal Reimbursement for Some Medicaid Physician-Administered Drugs

In December 2016, DHS received a draft report from the U. S. Department of Health and Human Services Office of Inspector General (OIG) recommending a disallowance related to the Medicaid Program. The OIG review covered the period January 1, 2012, through December 31, 2014. The OIG found that DHS did not always comply with federal Medicaid requirements for invoicing manufacturers for rebates for physician-administered drugs and believes DHS owes the federal government \$1,953,158.00. DHS responded to the OIG findings in a letter dated February 13, 2017. DHS has identified and corrected, where possible, claims processing to allow DHS to complete invoicing of manufacturers by March 1, 2017. DHS will refund the federal share of these invoiced claims once the rebates are collected. For the remainder of the claims, DHS agrees to work with the U. S. Department of Health and Human Services' Centers for Medicare and Medicaid Services to determine any additional federal share amounts that are required to be refunded.

3. FOOD COMMODITIES

Food commodities distributed during the fiscal year are reported as expenditures in the Schedule of Expenditures of Federal Awards under the various federal programs that distributed the commodities. The value of food commodities distributed during the fiscal year and the amount of food commodities on hand as of June 30, 2016, are shown in the following table for each program distributing food commodities.

Food Commodity Assistance

CFDA Number	Federal Program	Distributed	Inventory Balance June 30, 2016
10.555	National School Lunch Program	\$25,740,574	\$294,531
10.559	Summer Food Service Program for Children	64,160	0
10.569	Emergency Food Assistance Program	9,100,820	0
Total		\$34,905,554	\$294,531

4. SPECIAL SUPPLEMENTAL NUTRITION PROGRAM FOR WOMEN, INFANTS, AND CHILDREN (WIC) REBATES

During FY 2015-16, DHS received \$20,885,440 in cash rebates from infant formula manufacturers from the sale of formula to participants in WIC (CFDA #10.557). Rebate contracts with infant formula manufacturers are authorized by 7 CFR s. 246.16 (m) as a cost-containment measure. Rebates represent a reduction of expenditures previously incurred for WIC food benefit costs. Applying the rebates received to such costs enabled DHS to extend program benefits to 29,165 more people than could have been served during FY 2015-16 in the absence of the rebate contracts.

5. IMMUNIZATION COOPERATIVE AGREEMENTS

The value of vaccines distributed on behalf of the Wisconsin Immunization program during FY 2015-16 was \$50,052,635. This amount is included as expenditures in the Immunization Cooperative Agreements (CFDA #93.268) program in the Schedule of Expenditures of Federal Awards.

6. COMMUNITY DEVELOPMENT BLOCK GRANTS/STATE'S PROGRAM AND NON-ENTITLEMENT GRANTS IN HAWAII (CDBG)

The Community Development Block Grants/State's Program and Non-Entitlements Grants in Hawaii (CFDA #14.228) provides funds to local units of government to complete infrastructure and facility projects or to grant or loan funds to businesses to assist with job creation and retention, or to homeowners or landlords to assist with housing rehabilitation and homebuyer assistance. Loan repayments received by units of local government in excess of certain limits must be returned to the State. Included in the Schedule of Expenditures of Federal Awards as expenditures of the program is a total of \$375,611 that was supported by funds returned to the State.

7. UNEMPLOYMENT INSURANCE

FY 2015-16 expenditures in the Schedule of Expenditures of Federal Awards for Unemployment Insurance (CFDA #17.225) include \$511,431,841 in benefits funded by the Wisconsin Unemployment Reserve Fund or by cash advances from the U.S. Department of the Treasury; \$2,327,679 in federally funded benefits; and \$70,003,681 in federally funded administrative costs.

8. HIGHWAY PLANNING AND CONSTRUCTION

Expenditures in the Schedule of Expenditures of Federal Awards for Highway Planning and Construction (CFDA #20.205) include \$30,733,679 in project charges that have been incurred in excess of the federally approved project budget amount. DOT will seek federal approval for increases to project budgets, and federal reimbursements are expected in the next fiscal year.

9. LOAN FUNDS FROM THE FEDERAL HIGHWAY ADMINISTRATION

DOT received a total of \$1,500,000 through FY 2004-05 from the Federal Highway Administration under Highway Planning and Construction (CFDA #20.205) to establish a revolving loan fund to assist local government transit and highway projects. This fund consists of federal contributions, agency match, and loan repayments collected from borrowers. Loans outstanding from all funding sources as of June 30, 2016, totaled \$2,262,998 and are included in the federal expenditures reported in the Schedule of Expenditures of Federal Awards.

10. DONATION OF FEDERAL SURPLUS PERSONAL PROPERTY

DOA is responsible for administration of the Donation of Federal Surplus Personal Property (CFDA #39.003) program. DOA has contracted with the Wisconsin Technical College System Foundation, Inc., to receive and distribute the federal surplus property. Reported federal expenditures of \$1,644,795 in the Schedule of Expenditures of Federal Awards for this program represent the fair value of property distributed by the Foundation during FY 2015-16. During FY 2015-16, property with a fair value of \$1,198,060 was received by the Foundation and, as of June 30, 2016, property with a fair value of \$0 was on hand. The fair value of the property is calculated at 22.47 percent of the property's original acquisition cost based on guidance provided by the U.S. General Services Administration.

11. CAPITALIZATION GRANTS FOR CLEAN WATER STATE REVOLVING FUNDS AND CAPITALIZATION GRANTS FOR DRINKING WATER STATE REVOLVING FUNDS

The Environmental Improvement Fund is an enterprise fund of the State of Wisconsin and is jointly administered by DNR and DOA. Included in the Environmental Improvement Fund is the Clean Water Fund Program, funded primarily by the federal government under the Capitalization Grants for Clean Water State Revolving Funds (CFDA #66.458) program, and the Safe Drinking Water Loan Program, funded primarily by the federal government under the Capitalization Grants for Drinking Water State Revolving Funds (CFDA #66.468).

Federal reporting requirements for the Clean Water Fund Program and the Safe Drinking Water Loan Program include financial statements prepared in accordance with generally accepted accounting principles, as well as information regarding loan recipients, loan amounts, loan terms, project categories of eligible costs, and similar details on other forms of assistance. DNR and DOA provided this information to the U.S. Environmental Protection Agency in the following documents and formats:

- the Environmental Improvement Fund's audited financial statements, prepared by DOA in accordance with accounting principles generally accepted in the United States, including supplementary information specific to the Clean Water Fund Program;
- the Clean Water Fund Program and Safe Drinking Water Loan Program intended use plans, prepared by DNR;
- the Clean Water Fund Program and Safe Drinking Water Loan Program annual reports, prepared by DNR;

- Annual National Information Management System online submittals by DNR for the Clean Water Fund Program and Safe Drinking Water Loan Program;
- monthly Federal Funding Accountability and Transparency Act (FFATA) reporting by DNR; and
- quarterly data entry into the Clean Water Benefits Reporting Database and the Drinking Water Project Benefits Reporting Database by DNR.

Copies of these documents are available from:

Wisconsin Department of Natural Resources
 Bureau of Community Financial Assistance
 P.O. Box 7921
 Madison, Wisconsin 53707

12. STATE ENERGY PROGRAM REVOLVING LOAN FUND

The portion of the State Energy Program (CFDA #81.041) funded by the American Recovery and Reinvestment Act (ARRA) established a revolving loan fund to provide loans to business organizations. Because the federal government is at risk for these loans until the loans are repaid, Uniform Guidance requires the value of federal awards expended to include these outstanding loan balances. The following table shows the loan activity and balances related to FY 2015-16.

State Energy Program Revolving Loan Fund

CFDA Number	Federal Program	Loan Balance June 30, 2015	Loans Disbursed	Loan Repayments	Loans Written Off	Loan Balance June 30, 2016
81.041	State Energy Program Revolving Loan Fund	\$24,071,957	\$777,712	\$8,237,579	\$0	\$16,612,090

13. SOCIAL SERVICES BLOCK GRANT

Social Services Block Grant (CFDA #93.667) expenditures claimed for federal reimbursement are not based directly on DHS’s accounting records for the grant. Instead the grant expenditure claims are based on the social services expenditures reported by the county social service agencies throughout the state and summarized by DHS’s Community Aids Reporting System.

Expenditures reported in the Schedule of Expenditures of Federal Awards for the Social Services Block Grant include \$15,443,200 transferred from the federal TANF award.

14. FEE-FOR-SERVICE PROGRAMS AND FIXED-PRICE CONTRACTS

State agencies may receive fees for services or reimbursement under fixed-price contracts with the federal government or other subgrantor organizations. Actual costs to provide the services are not required to be reported to the federal government or other subgrantor organizations. The schedule includes actual amounts charged to the fixed-price contracts. These amounts may be more than, equal to, or less than the contract funds received from the federal grantor agency or other subgrantor organizations.

15. STUDENT LOANS COLLECTED BY THE UNIVERSITY OF WISCONSIN SYSTEM

Federal Perkins Loan Program—Federal Capital Contributions (CFDA #84.038)—The amount in the Schedule of Expenditures of Federal Awards includes the outstanding balance of loans receivable as of June 30, 2016, as well as immaterial amounts of administrative costs incurred during the fiscal year.

Nurse Faculty Loan Program (CFDA #93.264)—The amount in the Schedule of Expenditures of Federal Awards includes the outstanding balance of loans receivable as of June 30, 2016.

Health Professions Student Loans, Including Primary Care Loans/Loans for Disadvantaged Students (CFDA #93.342)—The amount in the Schedule of Expenditures of Federal Awards includes the outstanding balance of loans receivable as of June 30, 2016, as well as immaterial amounts of administrative costs incurred during the fiscal year.

Nursing Student Loans (CFDA #93.364)—The amount in the Schedule of Expenditures of Federal Awards includes the outstanding balance of loans receivable as of June 30, 2016, as well as immaterial amounts of administrative costs incurred during the fiscal year.

16. OTHER STUDENT LOAN PROGRAMS

UW System participates in Federal Direct Student Loans (CFDA #84.268), a program that makes interest-subsidized or unsubsidized Stafford loans available to students, or PLUS loans available to graduate or professional students or to parents of dependent students. Federal Direct Student Loans are reported in the Student Financial Assistance Cluster. Loan funds are provided by the U.S. Department of Education, and UW institutions are responsible for disbursing the loans. The Federal Direct Student Loans

amounts disbursed to students during FY 2015-16 are reported in the Schedule of Expenditures of Federal Awards. However, the total outstanding loan balance for the Federal Direct Student Loans program is maintained by the U.S. Department of Education, which is responsible for loan collection. Therefore, the outstanding loan balance is not included in the Schedule of Expenditures of Federal Awards.

17. STUDENT FINANCIAL ASSISTANCE CLUSTER ADMINISTRATIVE COST ALLOWANCE

Included in the Schedule of Expenditures of Federal Awards are the total expenditures for the administrative cost allowance provided by Federal Supplemental Educational Opportunity Grants (CFDA #84.007), the Federal Work-Study Program (CFDA #84.033), the Federal Perkins Loan Program—Federal Capital Contributions (CFDA #84.038), and the Federal Pell Grant Program (CFDA #84.063). The actual administrative cost allowance amount earned during the award year is not always determined by each UW institution for each program. These amounts are reported as either “Administrative Cost Allowance” or included with the individual program in the Schedule of Expenditures of Federal Awards.

18. PROGRAM INCOME

In some cases, program income related to federal grants is deposited in federal grant accounts and is spent for activities related to the grants. Certain program income accounts were identified by the state agencies, including UW System, and excluded from the Schedule of Expenditures of Federal Awards. However, the Schedule of Expenditures of Federal Awards includes an unknown amount of expenditures funded by program income sources and not funded directly by federal grants.

■ ■ ■ ■

Corrective Action Plan ■

Federal Compliance Findings

Department of Health Services

Finding 2016-001: Computer Data Matches

Corrective Action Plan: In calendar year 2017, DHS will automate discrepancy reports to better monitor performance. Using these reports, DHS will ensure caseworkers follow up in a timely manner and document the resolution of data match discrepancies.

Using random sampling, DHS staff will perform a secondary review of cases with discrepancies to address LAB's finding in which case action was incomplete or undocumented. For the sampled cases, DHS staff will contact the responsible Income Maintenance staff to resolve the discrepancy and DHS staff will follow up to ensure compliance. The secondary review will also identify trends in errors and will be used to develop communications and trainings.

Anticipated Completion Date: December 2017

Person(s) Responsible: Jennifer Mueller, Associate Director,
Bureau of Enrollment Policy and Systems,
Division of Medicaid Services, Department of Health Services
Jenniferm.mueller@dhs.wisconsin.gov
608-267-3371

Finding 2016-002: Incorrect Federal Financial Participation Rate

Corrective Action Plan: The rule with the incorrect percentages is related to the family planning waiver within the Medicaid program. Under this waiver, benefit payments are reimbursed at 90 percent federal financial participation. This percentage was erroneously applied to an administrative rule during the conversion of projects from our legacy accounting system into STAR.

We will modify our process for monitoring of funds distribution rules to include a validation of the percentages entered on new rules during our weekly review. We will also ask staff to review all existing rules set up department-wide to ensure they are utilizing the appropriate percentage splits.

Staff have completed a review of the rules related to the Medicaid program and found no additional setups that are functioning incorrectly.

The questioned costs of \$26,224 will be returned to the federal government in March 2017.

Anticipated Completion Date: March 2017

Person(s) Responsible: Rebecca Mogensen, Financial Management Supervisor
RebeccaJ.Mogensen@dhs.wisconsin.gov
608-267-7846

Department of Health Services *(continued)***Finding 2016-003: Federal Financial Report—Money Follows the Person**

Corrective Action Plan: The Wisconsin Department of Health Services will continue to enforce and refine our policies and procedures for ensuring staff take appropriate steps in preparing the Federal Financial Reports for Money Follows the Person Rebalancing Demonstration, resulting in reports that are complete, accurate, and properly supported. Reports will include more detailed information about which funding sources should be included as federal grants cost and state match.

The Wisconsin Department of Health Services will continue thorough supervisory reviews of Federal Financial Reports to ensure that amounts reported are reasonable and free of material errors.

The December 2016 report will be revised and resubmitted to CMS in March 2017 to correct the items identified.

Anticipated Completion Date: September 2017

Person(s) Responsible: Barry Kasten, Managerial Accounting Section Chief
Barry.Kasten@dhs.wisconsin.gov
 608-266-0314

Finding 2016-004: Federal Financial Report—Immunization Program

Corrective Action Plan: The Wisconsin Department of Health Services has completed our analysis and verification of amounts from the STAR system. The Wisconsin Department of Health Services will complete and submit the Financial Federal Report for the Immunization program award.

Anticipated Completion Date: November 30, 2016

Person(s) Responsible: James Otterson, Financial Management Supervisor
James.Otterson@dhs.wisconsin.gov
 608-267-3904

Department of Natural Resources**Finding 2016-005: Paid Hunting and Fishing License Certification—Fish and Wildlife Cluster**

Corrective Action Plan: The Department is working closely with the new vendor, Wisconsin Interactive Network (WIN), to ensure continued accuracy of the data. We will develop procedures to improve the back-up documentation supporting the Certification to ensure complete transparency in the data.

Anticipated Completion Date: August 1, 2017

Person(s) Responsible: Paul Hammer, Deputy Division Administrator
PaulM.Hammer@wisconsin.gov

University of Wisconsin System**Finding 2016-006: Matching, TRIO—Student Support Services****UW-Madison**

Corrective Action Plan: Due to staff turnover, a cost transfer for one-half of the required match amount was not processed on a timely basis. The transfer was processed in February 2017 to meet the match requirements. In addition, the University has taken steps to establish internal milestones within the Center for Educational Opportunity and Research and Sponsored Programs to verify that the matching transactions are processed on a timely basis.

Anticipated Completion: March 2017

Person(s) Responsible: Robert Andresen, Associate Director,
Research and Sponsored Programs, University of Wisconsin-Madison
randresen@rsp.wisc.edu

UW-Oshkosh

Corrective Action Plan: In attempting to compile the required documentation for the recent TRIO audit, Office of Sponsored Program personnel reached out to the Department of Education to obtain a recent copy of eligibility. In doing so, the Office was made aware that UWO was not currently eligible. It appears that a change in personnel, in multiple offices, and a lack of policy pertaining to which office/person was to be responsible for Title III eligibility, contributed to the lack of proper paperwork being filed with the U.S. Department of Education.

UWO understood that the Institution was required to meet the match requirement and worked with the Office of Financial Aid to determine whether or not cash matches had occurred which would be in-line with the requirements of the TRIO grant. Significant matching was identified, which UWO personnel feel are in-line with the requirements specified within the grant. However, it continues to remain unclear as to whether or not UWO has met the required matching guidelines of the TRIO—Student Support Services grant.

In the meantime, UWO has identified that there is the necessity for a policy pertaining to application for, and maintenance of Title III eligibility. Thus, beginning with the next available application period (January 2018), the Office of Sponsored Programs and Faculty Development will assign the institutional grant writer to file the Title III paperwork. If determined to be eligible, copies of the eligibility letter will be kept by the Financial Aid Office, the Office of Sponsored Programs and Faculty Development, and by the program director for the TRIO grant.

Prior to filing reporting paperwork which requires the PI to acknowledge that the institution is/is not required to meet the match specified within the grant, the PI will confirm eligibility through the Office of Sponsored Programs and Faculty Development, as well as with the U.S. Department of Education.

University of Wisconsin System *(continued)***UW-Oshkosh** *(continued)*

Currently, UWO has ceased providing federal grant aid to students, under the TRIO grant, until such time that it has been determined whether or not the institution has met the matching requirement.

If required to meet the match, separate from the Wisconsin Grant funds already disbursed, then it will require several aid distribution periods before the required match can be made up. This would likely not occur until January 2018 at the earliest. If the Wisconsin Grant funds are counted as meeting the cash match requirement, then the institution has already met the match requirement and simply must file/re-file the appropriate paperwork with the U.S. Department of Education.

Anticipated Completion Date: Begin in April 2017

Person(s) Responsible: Robert Roberts, Director,
Office of Sponsored Programs and Faculty Development,
University of Wisconsin Oshkosh
robertrw@uwosh.edu
920-424-3215

UW-River Falls

Corrective Action Plan: UW-River Falls will work with the U.S. Department of Education to seek approval of using Wisconsin Grant funds as the institutional match for the portion of the TRIO Student Support Services grant that is distributed as Grant-in-Aid by July 1, 2017.

Anticipated Completion Date: July 1, 2017

Person(s) Responsible: Karen Smolarek,
UW-River Falls Director of Student Support Services
Karen.smolarek@uwrf.edu
715-425-3272

Finding 2016-007: Eligibility, TRIO—McNair Post-Baccalaureate Achievement**UW-Eau Claire**

Corrective Action Plan: UW-Eau Claire will develop an e-form application on which the student will affirm her or his status as a member of an underrepresented group or as first generation and low income and attach one of the acceptable forms of documentation laid out in Title 20. These forms will be verified with data provided by Admissions and Financial Aid Offices. These forms will be completed by all students in cohorts beginning with 2017-2018 cohort and will be maintained in .pdf format and copied to the Associate Vice Chancellor.

Anticipated Completion Date: June 15, 2017 form and process developed; implementation with McNair cohort.

University of Wisconsin System *(continued)*

UW-Eau Claire *(continued)*

Person(s) Responsible: Mary Hoffman,
Interim Associate Vice Chancellor for Academic Affairs
hoffmamf@uwec.edu
715-836-4353

UW-River Falls

Corrective Action Plan: UW-River Falls will review its procedures by April 1, 2017 for making eligibility determinations under the TRIO—McNair Post-Baccalaureate Achievement program immediately and will ensure it obtains the appropriate documentation to support that a student meets the eligibility criteria. UW-River Falls will review all students for FY 2016/17 to ensure the appropriate documentation is on file.

Anticipated Completion Date: April 2017

Person(s) Responsible: Evan Matson, Interim Director
McNair Scholars Program UW-River Falls
Evan.matson@uwrf.edu
715-425-3528

Finding 2016-008: Time and Effort Reporting—TRIO Cluster

UW Colleges

Corrective Action Plan: The TRIO Student Support Services Director will meet with the UWC Controller to review the timing for dissemination and certification of these reports in April 2017. A new plan will be in place and documented by May 2017. All TRIO Student Support Services staff members will be informed of this new plan via email immediately and at the staff meeting scheduled August 28, 2017.

Anticipated Completion Date: May 2017

Person(s) Responsible: Julie Janiak, Director,
TRIO Student Support Services
608-758-6565, ext 480

UW-Eau Claire

Corrective Action Plan: To implement the recommendation of the audit, UW-Eau Claire will evaluate its procedures for reviewing and certifying time and effort reports. In fact, the institution has already been taking steps to improve these procedures.

The institution will be converting to an online process of circulating and certifying these reports as soon as possible, but no later than the July 2017 reporting period. As opposed to the current method of circulating hard copies among staff members for review and approval, this online process will streamline the circulation of reports, facilitate the monitoring of their timely completion, and simplify our recordkeeping.

University of Wisconsin System *(continued)***UW-Eau Claire** *(continued)*

In addition, the institution will develop policies regarding firm deadline dates for the timely completion of these reports. The time and effort reports for each month will be disseminated by the Grant Accountant to the TRIO directors no later than the 15th of the following month. The TRIO directors will then be responsible for ensuring that the report is fully completed, certified, and returned to the Grant Accountant by the end of that month. With these time lines in place, all time and effort reports will be certified within one month of the reporting period.

Anticipated Completion Date: April 2017

Person(s) Responsible: Paul Berkesch, Grant Accountant,
University Accounting
berkespj@uwec.edu
715-836-5164

UW-Green Bay

Corrective Action Plan: To ensure the time and effort certifications are completed within the required 90 day time frame, effective immediately, the grant accountant's supervisor will review the time and effort certifications to ensure they are completed timely. Our standard procedure for certifying time and effort on grants is as follows:

A-Basis (12 month position) – every six months (semiannual basis)

C-Basis (9 month position) – at the completion of the Fall, Spring, & Summer semesters

University Staff (biweekly payroll) – each calendar quarter

Anticipated Completion Date: March 2017

Person(s) Responsible: SuAnn Detampel, Controller
detampes@uwgb.edu
920-465-2302

UW-La Crosse

Corrective Action Plan: Effective April 1, 2017, UW-La Crosse will change from sending out quarterly to monthly time and effort reports. UW-La Crosse's Grant Accountant will be sending out reports for certification 60 days after the period end date.

Anticipated Completion Date: April 2017

Person(s) Responsible: Linda Leopold, Grant Accountant
lleopold@uwlax.edu
608-785-8488

University of Wisconsin System *(continued)*

UW-Milwaukee

Corrective Action Plan: To facilitate compliance in timely effort certification, the following actions will be undertaken by April 30, 2017:

- The Office of Sponsored Programs (OSP) will offer campus-wide training to effort coordinators with a focus on timely certification. The training will offer tools and techniques to support effort coordinators in obtaining timely certification from department faculty and staff working on sponsored programs.
- OSP will provide one-on-one training for the TRIO program effort coordinators and TRIO program staff to review this finding and work towards timely certification in the future.

Anticipated Completion Date: April 30, 2017

Person(s) Responsible: Thomas R. Marcussen, Director,
Office of Sponsored Programs, Office of Research,
University of Wisconsin-Milwaukee
Mitchell Hall, Room 273
P.O Box 340
Milwaukee, WI 53201-0340
Phone: 414-229-4537
Fax: 414-229-5000
E-mail: *marcusse@uwm.edu*

UW-Parkside

Corrective Action Plan: We have updated our policies and procedures. All time and effort reports will be current and on file within 10 business days of March 21, 2017. In addition, certifications will be a goal for the 2017 performance evaluation of the responsible individual to ensure complete compliance and supervisory follow up.

Anticipated Completion Date: March 31, 2017

Person(s) Responsible: Tina Radley,
Grant Support Specialist
radley@uwp.edu
262-994-4247

UW-Platteville

Corrective Action Plan: Due to vacancy and turnover in the grants accountant position at UW-Platteville the time and effort certifications were not performed in a timely manner. With the hire of a new grants accountant, time and effort certification was completed in February 2017 for the quarter ending December 2015 and the full calendar year 2016. In the future, the grants accountant will perform time and effort certification on a quarterly basis. Time and effort certification will document the work effort of the employee for the reporting period of specific grants. UW-Platteville requires the Principal Investigator (PI) to review and certify the work conducted during the reporting period. If the PI is listed on the

University of Wisconsin System *(continued)***UW-Platteville** *(continued)*

time and effort certification, their immediate supervisor is to review and certify along with the PI.

Anticipated Completion Date: March 2017

Person(s) Responsible: Kim Govier,
Grants Accountant/Accounts Payable
carlk@uwplatt.edu
608-342-1162

UW-River Falls

Corrective Action Plan: UW-River Falls will evaluate its procedures for reviewing and certifying time and effort reports to ensure timely certification of the reports and implement changes for the March 2017 reporting cycle.

Anticipated Completion Date: March 2017

Person(s) Responsible: Cindy Yunker,
UW-River Falls Grant Accountant
Cindy.L.Yunker@uwrf.edu
715-425-0710

UW-Superior

Corrective Action Plan: UW-Superior will develop procedures to assure time and effort reports are completed bi-annually and certified within 90 days. The Grant Accountant will develop a method for electronic storage and access to time and effort reports. The Grant Accountant and the TRIO Program Director will accept dual responsibility for completing time and effort certification within the timeline established by the University.

Anticipated Completion Date: June 30, 2017

Person(s) Responsible: Shaun Marshall, Grant Accountant,
University of Wisconsin-Superior
Old Main 133
715-394-8350

Angie Hugdahl, Upward Bound Program-Director, TRIO Manager,
GEARS Grant Manager, University of Wisconsin-Superior
P.O. Box 2000 Old Main, Suite #130
Superior, WI 54880
715-394-8219

UW-Whitewater

Corrective Action Plan: Future certifications for the Upward Bound and McNair Projects will be sent out from the Post Award Office in Financial Services by February 15th, for work performed July 1–December 31 and by August 15th, for work performed January 1–June 30th. This timeline will allow faculty/staff an ample amount of time to complete the certification and return it to Financial Services for

University of Wisconsin System *(continued)*

UW-Whitewater *(continued)*

tracking purposes prior to 90 days. This corrective action plan will be followed starting with the certification period of January 1–June 30, 2017.

The certification memos will be distributed to the project directors by the post award grant accountant. The post award grant accountant will work in conjunction with the project directors and their supervisor to insure timely submission and certification.

Anticipated Completion date: June 2017

Person(s) Responsible: Jennifer Gardner
Post Award Grant Accountant
gardnerj@uww.edu
(262) 472-5785

Finding 2016-009: Annual Performance Reports and Earmarking—TRIO Cluster

UW-Eau Claire

Corrective Action Plan: Although the exceptions were found only in the McNair Post Baccalaureate Achievement Program, UW-Eau Claire will institute the following corrective actions where currently absent (McNair) and affirm the processes and documentation where no exceptions were found (Student Support Services and Upward Bound). Eligibility records for all TRIO students will be verified by Admissions and Financial Aid offices. Beginning with the 2017-2018 cohorts, all student records will be maintained in .pdf format and copied to the Associate Vice Chancellor for Academic Affairs. The completion and maintenance of this data will ensure adequate documentation is available to support accurate annual reporting, including earmarking requirements.

Regarding the McNair program specifically, the new, incoming McNair director will be trained in the importance of utilizing accurate data and well-supported documentation, and maintaining complete student records. To assist in this process, the University will develop an e-form application on which the student will affirm his or her status as a member of an underrepresented group, first generation college student, and/or low-income status and attach one of the acceptable forms of documentation laid out in Title 20, which will be verified by the aforementioned offices.

Anticipated Completion Date: June 15, 2017 forms developed, processes affirmed, and documentation verified; implementation with 2017-2018 cohorts

Person(s) Responsible: Mary Hoffman,
Interim Associate Vice Chancellor for Academic Affairs
hoffmamf@uwec.edu
(715) 836-4353

University of Wisconsin System *(continued)***UW-La Crosse**

Corrective Action Plan (Student Support Services): In some cases, students may have been admitted to UW-La Crosse in a prior semester before applying to the Student Support Services program. This can sometimes be confusing and we are working to address this information on the student's Student Support Services application. We are working to make sure the information provided on the Student Support Services application is entered into the ACCESS database and this should prevent future data errors.

Anticipated Completion Date: September 2017

Person(s) Responsible: Sylvia Jimison,
UW-La Crosse Student Support Services Director
University of Wisconsin-La Crosse
2131 Centennial Hall
(608) 785-8535

Corrective Action Plan (McNair): At this time we do not feel there is additional documentation or clarification necessary to provide in addressing the identified error.

Anticipated Completion Date: Immediately

Person(s) Responsible: Roger J. Haro,
Director of the UW-La Crosse McNair Scholars Program
Interim Associate Dean
Phone: (608) 785-6970
Email: rhoro@uwlax.edu
College of Science & Health
University of Wisconsin-La Crosse
1725 State Street
La Crosse, WI 54601

Corrective Action Plan (Upward Bound): At this time we do not feel there is additional documentation or clarification necessary to provide in addressing the identified error.

Anticipated Completion Date: Immediately

Person(s) Responsible: Lisa Yang,
Director of the UW-La Crosse Upward Bound Program
Phone: (608) 785-8539
Email: lyang2@uwlax.edu
Upward Bound
University of Wisconsin-La Crosse
1725 State Street
La Crosse, WI 54601

University of Wisconsin System *(continued)***UW-Madison**

Corrective Action Plan: While the two identified exceptions did not represent errors in determining student eligibility for the program, the University understands the importance of accurate collection and reporting of student data. The Center for Educational Opportunity will implement additional checks and clearer instructions for its process for entering student data on the reports.

Anticipated Completion Date: These changes will be followed during the preparation of the next annual report for the project year ending August 31, 2017.

Person(s) Responsible: Robert Andresen, Associate Director,
Research and Sponsored Programs
University of Wisconsin-Madison
randresen@rsp.wisc.edu

UW-Milwaukee

Corrective Action Plan: In order to better document the eligibility of students for TRIO Programs as well as maintain accurate programmatic records, the following corrective actions will be implemented by May 31, 2017:

- Each TRIO Program will develop and implement a File Checklist for their student records. The File Checklist will include a list of all items necessary to verify student eligibility in accordance with federal program requirements. The File Checklist will also include a certification by UWM TRIO program staff that indicates the student's record, documentation, and eligibility were reviewed in accordance with the federal program requirements, that the student meets the appropriate eligibility requirements, and the student record is complete. A signature and date by the TRIO program staff will be required. Each TRIO director will be responsible for developing and implementing a checklist specific to their program.
- All TRIO programs will update their applications to include question(s) about receiving services/programming from other federal TRIO programs and if so, provide information regarding the name of the institution providing services. Each TRIO program director will be responsible for modifying the student application.
- For the Ronald E. McNair Post-Baccalaureate Achievement Program, the UWM Project Director will provide training to program staff on how to read student transcripts for prior higher education credits/enrollment as well as how properly enter the data into the electronic student record management system.
- The Office of Sponsored Programs (OSP) will develop and implement a recordkeeping training program for all TRIO directors and their staff. This training program will cover the basics of sponsored project recordkeeping, program-specific requirements for the TRIO programs, and best practices for recordkeeping.

University of Wisconsin System *(continued)***UW-Milwaukee** *(continued)*

Anticipated Completion Date: May 31, 2017

Person(s) Responsible: Thomas R. Marcussen,
 Director, Office of Sponsored Programs
 Office of Research
 University of Wisconsin-Milwaukee
 Mitchell Hall, Room 273
 P.O Box 340
 Milwaukee, WI 53201-0340
 Phone: (414) 229-4537
 Fax: (414) 229-5000
 E-mail: *marcusse@uwm.edu*

UW-Oshkosh

Corrective Action Plan (Student Support Services): The Director of the UW-Oshkosh Student Support Services programs, will review the directions for completing the Student Support Services Annual Performance Reports when they are released by the U.S. Department of Education. She will seek clarification from the Student Support Services Program Officer as needed. A second member of the Student Support Services staff will review the data entered prior to the Annual Performance Reports' submission to the U. S. Department of Education.

The corrective action will take place upon the release of the Student Support Services Annual Performance Report information by the U.S. Department of Education. The release of the reporting materials generally takes place in October of each year (dependent upon the U.S. Department of Education's timeline). The Annual Performance Reports are generally due to the U.S. Department of Education by December 1 annually. (Again the date can vary due to the timeline established by the U.S. Department of Education.)

Anticipated Completion Date: December 2017

Person(s) Responsible: Nancy Harrison,
 Director, Student Support Services
 UW-Oshkosh
harrison@uwosh.edu

Corrective Action Plan (McNair): The director will verify all self-reported data by accessing PeopleSoft. This will be done by the McNair director as part of the review process which will occur at the time an application is processed (usually in January). All inconsistencies will be discussed with applicants and notes will be placed in the file. No student shall be admitted to the program if inconsistencies cannot be explained to the satisfaction of the director. When the Annual Performance Report is prepared in December, the program assistant will use PeopleSoft to review all participant data for a second time. Problems, if found, will be addressed before the director enters the data into the Annual Performance Report.

The 2016-17 Annual Performance Report will not be due until the end of 2017; however, the director intends to cross check all scholars admitted into the program in January and February 2017 to ensure that the information provided by them corresponds with that recorded by the Registrar's Office (PeopleSoft). This review

University of Wisconsin System *(continued)*

UW-Oshkosh *(continued)*

will be completed no later than April 30, 2017. The scholar will be asked by the director to explain in writing any inconsistencies, should they be found.

Anticipated Completion Date: April 30, 2017

Person(s) Responsible: Cordelia Bowlus,
UWO McNair Program Director
bowlusc@uwosh.edu

UW-Parkside

Corrective Action Plan: Our plans to address the finding includes putting the following corrective measures in place:

1. The Annual Performance Report data is entered by the Student Support Services Program Director. The director completes data entry to the Annual Performance Report two weeks prior to the Annual Performance Report submission due date.
2. Before final submission is completed, the Annual Performance Report data entered is then reviewed by the program's Student Support Services Advisor.
3. The director and the advisor will meet to discuss and correct any discrepancies in the data entered before submitting the Annual Performance Report.

Anticipated Completion Date: December 2017

Person(s) Responsible: Christopher Zanowski,
Director of the Student Support Services Program
zanowski@uwp.edu
(262) 595-2108

Alfredo Sandoval Flores, Student Support Services Advisor
sandoval@uwp.edu
(262) 595-2049

UW-Platteville

Corrective Action Plan: We will take the corrective action of reviewing our policies and procedures related to the Annual Performance Report. We will review our software program to be sure it is correctly coding field #29 when a student is not in good academic standing and/or withdraws at the end of a term. We will also take the extra measure of individually investigating each student who is not in good academic standing and/or withdraws at the end of spring terms before submitting the Annual Performance Report. This will assure that what we know about a student is properly reflected in the Annual Performance Report. This corrective action will begin immediately in terms of investigating the APR software system. Prior to the submission of each Annual Performance Report, we will do a personal spot check of each student who we know was dismissed or withdrew at the end of the spring term.

University of Wisconsin System *(continued)***UW-Platteville** *(continued)*

Anticipated Completion Date: Immediately

Person(s) Responsible: Laura Franklin, Director
Student Support Services
UW-Platteville
franklinl@uwplatt.edu

UW-River Falls

Corrective Action Plan: UW-River Falls will review its procedures for preparing and certifying the Annual Performance Reports for the TRIO Cluster programs by April 1, 2017 to ensure adequate supporting documents are maintained to support the information in the reports and ensure the accuracy of the information being reported, including whether earmarking requirements were met.

Anticipated Completion Date: April 1, 2017

Person(s) Responsible: Evan Matson, Interim Director
McNair Scholars Program UW-River Falls
Evan.matson@uwrf.edu
(715) 425-3528

Bee Vang, TRIO Upward Bound Director
Bee.vang@uwrf.edu
(715) 425-3526

UW-Whitewater**Corrective Action Plan (Upward Bound):**

Eligibility of At Risk Students: The Upward Bound program will change how the GPA is stored for "no information available" responses.

Enter Grade Level: Corrections have been made in the database for the students listed.

Corrective Action Plan (McNair):

In regards to the 1 exception for the McNair Project, this error of proper documentation of low income status will be corrected on the next Annual Performance Review cycle. Furthermore, all participants will be certified with the proper documentation of eligibility status according to HEA standards prior to being admitted in the McNair program to ensure accurate reporting and eligibility ratios.

Anticipated Completion Date: Corrective action for certifying the Annual Performance Report will be done in accordance with the deadlines provided by the US Department of Education for the next Annual Performance Report.

Person(s) Responsible: Pamela Warren, Interim Director
262-472-6207
nowakp@uww.edu

Financial Statement Findings

Department of Administration

Finding 2016-010: STAR Security Concerns

Corrective Action Plan from the Department of Administration: DOA has begun developing plans and a timeline to update STAR security policies, standards, and procedures to ensure that they follow best practices as defined in the Division of Enterprise Technology's *IT Security Policy Handbook* and National Institute of Standards and Technology's (NIST) *Special Publication 800-53r4*. The plans will include the controls that will be put in place to ensure that STAR security conforms to the updated policies and procedures and will provide for a comprehensive periodic review process to ensure a well-controlled environment. DOA will present the timeline and plan to the Information Technology Executive Steering Committee for approval no later than June 30, 2017, and will report on the same at least quarterly, thereafter. DOA will implement the plans according to the approved timeline.

Also as recommended by the auditors, DOA immediately undertook activities to address the specific concerns raised by the auditors in the interim audit memoranda. DOA will continue to address these concerns until they have been resolved in a manner consistent with the updated policies, standards, and procedures.

Anticipated Completion Date: June 30, 2017

Person(s) Responsible: Dawn McCauley, Executive Director
STAR Program Office
Department of Administration
608-261-6622

Finding 2016-011: Information Technology Controls at the Department of Administration

Corrective Action Plan from the Department of Administration, Division of Enterprise Technology: DET has begun the process of documenting procedures. DET will review and update its plans and timelines for the development and implementation of standards and procedures. DET currently has 18 draft IT Standards with an anticipated completion and effective date on or before June 30, 2017. DET will develop a timeline and plan to implement the standards and procedures including the review of settings to ensure controls conform to DET policies, standards, and procedures. DET will develop a plan and timeline to review the practices that will ensure controls conform to the approved policies, standards, and procedures. DET will develop a plan and timeline to address the concerns identified in this security review.

Anticipated Completion Date: June 30, 2017

Person(s) Responsible: Bill Nash,
Chief Information Security Officer
Division of Enterprise Technology
Department of Administration
Email: bill.nash@wisconsin.gov.

Department of Administration *(continued)***Finding 2016-013: Bank Account Reconciliations at the Department of Administration**

Corrective Action Plan from the Department of Administration, State Controller's Office: As of late March 2017, SCO has completed the monthly bank reconciliations of cash balances through December 2016, and is working on various components of these reconciliations for January and February 2017. It is important to note that SCO has maintained timely controls over the daily cash balances since the implementation of STAR on October 1, 2015:

- daily importing of all bank deposits into STAR and automatic matching with accounting entries;
- daily monitoring of all cash receipts and disbursements within the enterprise bank account;
- redundant daily monitoring and reconciliation of all disbursements by statutory fund;
- daily monitoring of enterprise cash float balances;
- monthly reconciliation of cash by statutory fund between STAR and the State Investment Fund; and
- monthly disbursement reconciliation.

SCO will continue to make adjustments to the accounting records as identified in the reconciliation processes. In addition, SCO will develop an additional monthly analysis to review all bank and book transactions, identify any necessary adjustments, and prepare a document summarizing those adjustments. That process will be implemented no later than June 1, 2017.

In September 2016, SCO provided the Legislative Audit Bureau with an initial set of procedures for the monthly bank to book reconciliation process. On an annual basis, the SCO will review those procedures and make any necessary updates.

Anticipated Completion Date: June 1, 2017

Person(s) Responsible: Jeffery C. Anderson, CPA, State Controller
State Controller's Office
Department of Administration
608-266-8347

Department of Administration *(continued)***Finding 2016-014: Financial Reporting Concerns for the Capital Improvement Fund**

Corrective Action Plan from the Department of Administration State Controller's Office, Capital Accounting Section: Upon receipt of new project classifications from state agencies, the Capital Accounting Section will perform independent reviews of these new projects by referencing the Division of Facilities Development information system, WisBuild, and reviewing chapter 20 of the state statutes and incurred expenditures in STAR. If differences with agency classifications are identified, the Capital Accounting Section will contact the agencies and differences will be resolved. Contacts with the agencies will also serve to ascertain whether the agencies need additional guidance in determining their project classifications. This new process will be instituted in March 2017.

Additionally, a secondary review of the GAAP reporting process resulting in the preparation of fund financial statements for the Capital Improvement Fund will be performed annually. Along with this, a secondary review of the government-wide financial statements adjusting entries will be performed. Both of these secondary reviews will be performed by the Capital Accounting Section chief effective with fiscal year 2017. Corrective actions will be the responsibility of John Martin of the Capital Accounting Section.

Anticipated Completion Date: March 2017 for Capital Accounting Section's review of projects and during the FY 2016-17 financial statement preparation for secondary review of GAAP reporting process.

Person(s) Responsible: John Martin, CPA
Financial Management Supervisor
Section Chief, Capital Accounting
608-266-1233

Department of Transportation**Finding 2016-015: Allocating Expenditures to the Correct Fiscal Year in the Transportation Fund**

Corrective Action Plan from the Department of Transportation: The Department of Transportation will require a second approval on payment transactions throughout the year. Payment processors will be trained and instructed to pay particular attention to the date of service or the date that goods are delivered, and to assign the fiscal year of payment accordingly. As the fiscal year end approaches, a memo outlining the criteria for assigning the fiscal year of payment will be sent to payment processors, and the concept will be discussed and reiterated in section meetings. Payment approvers will be instructed to verify the period of performance and confirm that the fiscal year of the payment corresponds.

It is important to note that the conversion of the Department of Transportation's purchase order system to STAR in July 2016 limited the time frame in which it was possible to assign payment to purchase orders from the prior fiscal year. No such unusual limitation is expected in July 2017.

Department of Transportation *(continued)*

Anticipated Completion Date: Second approval of invoice voucher payments was implemented with conversion to STAR, July 1, 2016. Memo reviewing criteria for assigning fiscal year of payment will be sent prior to July 1, 2017.

Person(s) Responsible: Casey Newman
 Director, Bureau of Business Services
Casey.Newman@dot.wi.gov
 608-267-4479

Office of the Commissioner of Insurance**Finding 2016-016: Financial Reporting Process for the Injured Patients and Families Compensation Fund**

Corrective Action Plan from the Office of the Commissioner of Insurance: There is no corrective action plan necessary going forward. IPFCF staff corrected the years-long practice in which SWIB reported investments to OCI as a “net” purchase and/or sale fees to a “gross” purchase and/or sale fees with the current FY 2015-16 audit and the CAFR this year. IPFCF staff is documenting the current procedure for future Statement of Cash Flows preparation and incorporating the “gross” investment activities versus the previously utilized “net” for investment activities.

Anticipated Completion Date: IPFCF completed the CAFR and Statement of Cash Flows entries and submitted to DOA in January 2017.

Person(s) Responsible: Terri Carlson, Fund Director,
 Injured Patients and Families Compensation Fund
 Wendy Powers, Accountant,
 Injured Patients and Families Compensation Fund
 Kate Ludlum, Insurance Administrator of Fund
 and Program Management
 608-264-6232

University of Wisconsin System Administration**Finding 2016-012: Information Technology Controls at the University of Wisconsin System**

Corrective Action Plan from the University of Wisconsin System:

- UW System institutions are actively implementing information security policies and procedures. The majority of these policies will be implemented by January 2018.
- Systemwide policies and procedures for Data Handling and Asset Inventory are under development and should be approved by June 2017.

University of Wisconsin System Administration *(continued)*

- UW System Administration is providing and funding security awareness training modules to be used by all institutions. This will comply with the systemwide training compliance requirements by June 30, 2017. Some institutions may have previously acquired their own training programs.
- UW System Administration will work with institutions to safeguard information technology settings in student information systems. This may include sharing of practices across institutions, procedural changes, and instituting compensating controls.
- UW System Administration will assist the institutions in addressing institution-specific corrective actions. These efforts will be led by the Chief Information Security Officer (CISO) of UW System.
- UW System Administration will develop procedures for assessing the level of protection provided for UW system and data by December 2017.

UW System will continue to enhance its information security policies, procedures and practices. The specific actions below form the basis of the corrective action plan that will be advanced by UW System Administration.

Anticipated Completion Date and Person(s) Responsible:

Action	Anticipated Completion Date	Responsible Parties
Review of first five foundational Information Security Policies and Procedures related to authentication, security awareness, data classification, incident response, and acceptable use	April 30, 2017	David Stack, Interim CIO, dstack@uwsa.edu Bob Turner, CISO, UW-Madison, Bob.Turner@wisc.edu Nick Davis, CISO, UW System Administration, ndavis@uwsa.edu
Complete Procurement of Multi-factor Authentication Tool	May 30, 2017	Bob Turner, CISO, UW-Madison, Bob.Turner@wisc.edu
Complete UWiac Comprehensive Information Security Plan	May 30, 2017	David Stack, Interim CIO, dstack@uwsa.edu Mohamed Elhindi, CIO, UW-La Crosse, melhindi@uwlax.edu
Approve Data Handling Policy	June 30, 2017	David Stack, Interim CIO, dstack@uwsa.edu Mohamed Elhindi, CIO, UW-La Crosse, melhindi@uwlax.edu
Approve Asset Inventory Policy	June 30, 2017	David Stack, Interim CIO, dstack@uwsa.edu Mohamed Elhindi, CIO, UW-La Crosse, melhindi@uwlax.edu