

**STATE OF ILLINOIS
SOUTHERN ILLINOIS UNIVERSITY
COMPLIANCE EXAMINATION**

(In accordance with the Single Audit Act
and OMB Circular A133)

Year Ended June 30, 2011

Performed as Special Assistant
Auditors for the Auditor General,
State of Illinois

STATE OF ILLINOIS
SOUTHERN ILLINOIS UNIVERSITY
COMPLIANCE EXAMINATION
(In Accordance with the Single Audit Act and OMB Circular A-133)
Year Ended June 30, 2011

TABLE OF CONTENTS

	<u>Page</u>
Board of Trustees and Officers of Administration	1
Management Assertion Letter	2
Compliance Report	
Summary	3
Auditors' Reports	
Independent Accountants' Report on State Compliance and on Internal Control Over Compliance for State Compliance Purposes	5
Independent Auditors' Report on Compliance With Requirements That Could Have a Direct and Material Effect on Each Major Program, on Internal Control Over Compliance, and on the Schedule of Expenditures of Federal Awards in Accordance with OMB Circular A-133.....	7
Schedule of Findings and Questioned Costs.....	10
Schedule of Expenditures of Federal Awards	
Summary	19
Carbondale.....	20
Edwardsville	43
Notes to Schedule of Expenditures of Federal Awards.....	51
Related Reports Published Under Separate Cover	

The Financial Statements for the Year Ended June 30, 2011 for
Southern Illinois University
Housing and Auxiliary Facilities System
Medical Facilities System

Supplementary Financial Information of Southern Illinois
University for the Year Ended June 30, 2011, Including
Compliance with Legislative Audit Commission University
Guidelines 1982 as Amended 1997, and Special Data
Required for University Audits

Southern Illinois University

Board of Trustees and

Officers of Administration

Fiscal Year 2011

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Patrick Hundley, Vice Chancellor for University Relations
Kenneth Neher, Vice Chancellor for Administration



April 2, 2012

Crowe Horwath LLP
3201 West White Oaks Dr, Suite 202
Springfield, IL 62704

Ladies and Gentlemen:

We are responsible for the identification of, and compliance with, all aspects of laws, regulations, contracts, or grant agreements that could have a material effect on the operations of Southern Illinois University ("University"). We are responsible for and we have established and maintained an effective system of internal controls over compliance requirements. We have performed an evaluation of the University's compliance with the following assertions during the year ended June 30, 2011. Based on this evaluation, we assert that during the year ended June 30, 2011, the University has materially complied with the assertions below.

- A. The University has obligated, expended, received and used public funds of the State in accordance with the purpose for which such funds have been appropriated or otherwise authorized by law.
- B. The University has obligated, expended, received and used public funds of the State in accordance with any limitations, restrictions, conditions or mandatory directions imposed by law upon such obligation, expenditure, receipt or use.
- C. The University has complied, in all material respects, with applicable laws and regulations, including the State uniform accounting system, in its financial and fiscal operations.
- D. State revenues and receipts collected by the University are in accordance with applicable laws and regulations and the accounting and recordkeeping of such revenues and receipts is fair, accurate and in accordance with law.
- E. Money or negotiable securities or similar assets handled by the University on behalf of the State or held in trust by the University have been properly and legally administered, and the accounting and recordkeeping relating thereto is proper, accurate and in accordance with law.

Glenn Poshard
President

Duane Stucky
Senior Vice President for Financial and
Administrative Affairs

Office of the President, Stone Center - Mail Code 6801, 1400 Douglas Drive, Carbondale, Illinois 62901

STATE OF ILLINOIS
SOUTHERN ILLINOIS UNIVERSITY

COMPLIANCE REPORT

SUMMARY

The compliance testing performed during this examination was conducted in accordance with *Government Auditing Standards* and in accordance with the Illinois State Auditing Act.

AUDITORS' REPORTS

The Independent Auditors' Report on State Compliance and on Internal Control Over Compliance does not contain scope limitations, disclaimers, or other significant non-standard language.

SUMMARY OF FINDINGS

<u>Number of</u>	<u>Current Report</u>	<u>Prior Report</u>
Findings	6	6
Repeated findings	2	1
Prior recommendations implemented or not repeated	4	3

SCHEDULE OF FINDINGS AND QUESTIONED COSTS

<u>Item No.</u>	<u>Page</u>	<u>Description</u>	<u>Finding Type</u>
FINDINGS AND QUESTIONED COSTS (FEDERAL COMPLIANCE)			
11-01	11	Head Start Eligibility	Material Weakness and Noncompliance
11-02	12	Head Start Cash Management Controls	Significant Deficiency
11-03	13	Inadequate Controls Over Loan Reporting – Edwardsville	Significant Deficiency and Noncompliance
11-04	14	Failure to Meet Head Start Earmarking Requirements	Material Weakness and Noncompliance
FINDINGS (STATE COMPLIANCE)			
11-05	15	Time Sheets are Not Required	Material Weakness and Noncompliance

11-06	16	Controls Surrounding the Markdown of Inventory	Material Weakness
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PRIOR FINDINGS NOT REPEATED (FEDERAL COMPLIANCE)

<u>Item No.</u>	<u>Page</u>	<u>Description</u>
a.	17	Documented Controls Over Return of Title IV Funds Calculations
b.	17	Inadequate Controls Over Loan Reporting - Edwardsville

PRIOR FINDINGS NOT REPEATED (STATE COMPLIANCE)

c.	18	Inadequate Segregation of Duties within the P-Card Approval Process
d.	18	Inadequate Control over Access to and Disposal of Confidential Information

EXIT CONFERENCE

The University waived the right to a formal exit conference at the conclusion of the audit. Written responses to the findings were provided by Kim Labonte, Director of Internal Audit, on March 26, 2012.

INDEPENDENT ACCOUNTANTS' REPORT ON STATE COMPLIANCE AND
ON INTERNAL CONTROL OVER COMPLIANCE FOR STATE COMPLIANCE PURPOSES

Honorable William G. Holland
Auditor General, State of Illinois
and Board of Trustees
Southern Illinois University

Compliance

As Special Assistant Auditors for the Auditor General, we have examined Southern Illinois University's ("University") compliance with the requirements listed below, as more fully described in the Audit Guide for Financial Audits and Compliance Attestation Engagements of Illinois State Agencies ("Audit Guide") as adopted by the Auditor General, during the year ended June 30, 2011. The management of the University is responsible for compliance with these requirements. Our responsibility is to express an opinion on the University's compliance based on our examination.

- A. The University has obligated, expended, received, and used public funds of the State in accordance with the purpose for which such funds have been appropriated or otherwise authorized by law.
- B. The University has obligated, expended, received, and used public funds of the State in accordance with any limitations, restrictions, conditions or mandatory directions imposed by law upon such obligation, expenditure, receipt or use.
- C. The University has complied, in all material respects, with applicable laws and regulations, including the State uniform accounting system, in its financial and fiscal operations.
- D. State revenues and receipts collected by the University are in accordance with applicable laws and regulations and the accounting and recordkeeping of such revenues and receipts is fair, accurate and in accordance with law.
- E. Money or negotiable securities or similar assets handled by the University on behalf of the State or held in trust by the University have been properly and legally administered and the accounting and recordkeeping relating thereto is proper, accurate, and in accordance with law.

We conducted our examination in accordance with attestation standards established by the American Institute of Certified Public Accountants; the standards applicable to attestation engagements contained in *Government Auditing Standards* issued by the Comptroller General of the United States; the Illinois State Auditing Act ("Act"); and the Audit Guide as adopted by the Auditor General pursuant to the Act; and, accordingly, included examining, on a test basis, evidence about the University's compliance with those requirements listed in the first paragraph of this report and performing such other procedures as we considered necessary in the circumstances. We believe that our examination provides a reasonable basis for our opinion. Our examination does not provide a legal determination on the University's compliance with specified requirements.

As described in the finding (Finding 11-05) in the accompanying schedule of findings and questioned costs, the University did not comply with requirements regarding employee time sheet submissions. Compliance with such requirements is necessary, in our opinion, for the University to comply with the requirements listed in the first paragraph of this report.

In our opinion, except for the noncompliance described in the preceding paragraph, the University complied, in all material respects, with the requirements listed in the first paragraph of this report during the year ended June 30, 2011.

Internal Control

The management of the University is responsible for establishing and maintaining effective internal control over compliance with the requirements listed in the first paragraph of this report. In planning and performing our examination, we considered the University's internal control over compliance with the requirements listed in the first paragraph of this report as a basis for designing our examination procedures for the purpose of expressing our opinion on compliance and to test and report on internal control over compliance in accordance with the Audit Guide issued by the Illinois Office of the Auditor General, but not for the purpose of expressing an opinion on the effectiveness of the University's internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the University's internal control over compliance.

Our consideration of internal control over compliance was for the limited purpose described in the preceding paragraph and was not designed to identify all deficiencies in internal control over compliance that might be deficiencies, significant deficiencies, or material weaknesses and therefore, there can be no assurance that all deficiencies, significant deficiencies, or material weaknesses have been identified. However, as described in the accompanying Schedule of Findings and Questioned Costs we identified certain deficiencies in internal control over compliance that we consider to be material weaknesses.

A *deficiency* in an entity's internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct noncompliance with the requirements listed in the first paragraph of this report on a timely basis. A *material weakness in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that material noncompliance with a requirement listed in the first paragraph of this report will not be prevented, or detected and corrected on a timely basis. We consider the deficiencies in internal control over compliance as described in the accompanying schedule of findings and questioned costs as findings 11-05 and 11-06 to be material weaknesses.

As required by the Audit Guide, immaterial findings excluded from this report have been reported in a separate letter to your office.

The University's responses to the findings identified in our examination are described in the accompanying schedule of findings and questioned costs. We did not examine the University's responses and, accordingly, we express no opinion on the responses.

This report is intended solely for the information and use of the Auditor General, the General Assembly, the Legislative Audit Commission, the Governor, the University Board of Trustees, management, and federal awarding agencies and pass-through entities and is not intended to be and should not be used by anyone other than these specified parties.


Crowe Horwath LLP

Springfield, Illinois
April 2, 2012

INDEPENDENT AUDITORS' REPORT ON COMPLIANCE WITH REQUIREMENTS THAT COULD HAVE A
DIRECT AND MATERIAL EFFECT ON EACH MAJOR PROGRAM, ON INTERNAL CONTROL OVER
COMPLIANCE, AND ON THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
IN ACCORDANCE WITH OMB CIRCULAR A-133

Honorable William G. Holland
Auditor General, State of Illinois
and Board of Trustees
Southern Illinois University

Compliance

We have audited Southern Illinois University's (the "University") compliance with the types of compliance requirements described in the *U.S. Office of Management and Budget (OMB) Circular A-133 Compliance Supplement* that could have a direct and material effect on each of the University's major federal programs for the year ended June 30, 2011. The University's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs. Compliance with the requirements of laws, regulations, contracts, and grants applicable to each of its major federal programs is the responsibility of the University's management. Our responsibility is to express an opinion on the University's compliance based on our audit.

The schedule of expenditures of federal awards and our audit described below does not include expenditures of federal awards for those agencies determined to be component units of the University for financial statement purposes.

We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*. Those standards and OMB Circular A-133 require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the University's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances. We believe that our audit provides a reasonable basis for our opinion. Our audit does not provide a legal determination of the University's compliance with those requirements.

As described in items 11-01 and 11-04 in the accompanying schedule of findings and questioned costs, the University did not comply with eligibility and earmarking requirements applicable to its Head Start program. Compliance with such requirements is necessary, in our opinion, for the University to comply with the requirements applicable to that program.

In our opinion, except for the noncompliance described in the preceding paragraph, the University complied, in all material respects, with the requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2011. However, the results of our auditing procedures disclosed an instance of noncompliance with those requirements, which is required to be reported in accordance with OMB Circular A-133 and which is described in the accompanying schedule of findings and questioned costs as item 11-03.

Internal Control Over Compliance

The management of the University is responsible for establishing and maintaining effective internal control over compliance with the requirements of laws, regulations, contracts, and grants applicable to federal programs. In planning and performing our audit, we considered the University's internal control over compliance with requirements that could have a direct and material effect on a major federal program in order to determine our auditing procedures for the purpose of expressing our opinion on compliance and to test and report on internal control over compliance in accordance with OMB Circular A-133, but not for the purpose of expressing an opinion on the effectiveness of the University's internal control over compliance. Accordingly, we do not express an opinion on the effectiveness on the University's internal control over compliance.

Our consideration of internal control over compliance was for the limited purpose described in the preceding paragraph and was not designed to identify all deficiencies in internal control over compliance that might be significant deficiencies or material weaknesses and therefore, there can be no assurance that all deficiencies, significant deficiencies, or material weaknesses have been identified. However, as discussed below, we identified certain deficiencies in internal control over compliance that we consider to be material weaknesses and other deficiencies that we consider to be significant deficiencies.

A deficiency in internal control over compliance exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. *A material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. We consider the deficiencies in internal control over compliance described in the accompanying schedule of findings and questioned costs as items 11-01 and 11-04 to be material weaknesses.

A significant deficiency in internal control over compliance is a deficiency, or a combination of deficiencies in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance. We consider the deficiencies in internal control over compliance described in the accompanying schedule of findings and questioned costs as items 11-02 and 11-03 to be significant deficiencies.

The University's responses to the findings identified in our audit are described in the accompanying schedule of findings and questioned costs. We did not audit the University's responses and, accordingly, we express no opinion on the responses.

Schedule of Expenditures of Federal Awards

We have audited the basic financial statements of the University as of and for the year ended June 30, 2011, and have issued our report thereon dated April 2, 2012. Our audit was performed for the purpose of forming an opinion on the University's basic financial statements taken as a whole. The accompanying schedule of expenditures of federal awards is presented for purposes of additional analysis as required by OMB Circular A-133 and is not a required part of the basic financial statements. Such information has been subjected to the auditing procedures applied in the audit of the basic financial statements and, in our opinion, is fairly stated in all material respects, in relation to the basic financial statements taken as a whole.

This report is intended solely for the information and use of the Auditor General, the General Assembly, the Legislative Audit Commission, the Governor, University Board of Trustees, management, and federal awarding agencies and pass-through entities and is not intended to be and should not be used by anyone other than these specified parties.



Crowe Horwath LLP

Springfield, Illinois
April 2, 2012

STATE OF ILLINOIS
SOUTHERN ILLINOIS UNIVERSITY
SCHEDULE OF FINDINGS AND QUESTIONED COSTS
Year ended June 30, 2011

a. Summary of Auditor's Results

Financial Statements

Type of auditors' report issued: *unqualified*

Internal control over financial reporting:

- | | | |
|---|-----------|------------------------|
| • Material weakness(es) identified? | _____ Yes | <u>✓</u> No |
| • Significant deficiencies(s) identified that are not considered to be material weakness(es)? | _____ Yes | <u>✓</u> None reported |
| • Noncompliance material to financial statements noted? | _____ Yes | <u>✓</u> No |

Federal Awards

Internal control over major programs:

- | | | |
|---|--------------|---------------------|
| • Material weakness(es) identified? | <u>✓</u> Yes | _____ No |
| • Significant deficiency(ies) identified that are not considered to be material weakness(es)? | <u>✓</u> Yes | _____ None reported |

Type of auditors' report issued on compliance for major programs: Unqualified for all major programs except for Head Start, which was qualified.

Any audit findings disclosed that are required to be reported in accordance with section 510(a) of Circular A-133?

✓ Yes _____ No

Identification of major programs:

CFDA Number(s)

Name of Federal Program or Cluster

Various

(1) Student Financial Aid Cluster, Student Financial Aid Cluster - ARRA

93.600 / 93.708

(2) Head Start, Head Start - ARRA

Various

(3) Workforce Cluster, Workforce Cluster - ARRA

84.126 / 84.390

(4) Vocational Rehabilitation Cluster, Vocational Rehabilitation Cluster - ARRA

Note: Tickmark "(5)" on the following Schedule of Expenditures of Federal Awards indicates expenditures from the American Reinvestment and Recovery Act.

Dollar threshold used to distinguish between type A and type B programs:

\$1,953,392

Auditee qualified as low-risk auditee?

_____ Yes ✓ No

b. Findings Related to the Financial Statements that are Required to be Reported in Accordance with *Government Auditing Standards* - None

c. Findings and Questioned Costs for Federal Awards – Findings 11-01, 11-02, 11-03, and 11-04, pages 11 through 14

d. Status of Prior Year Findings Not Repeated – See page 17

STATE OF ILLINOIS
SOUTHERN ILLINOIS UNIVERSITY
FINDINGS, RECOMMENDATIONS AND UNIVERSITY RESPONSES – FEDERAL
Year Ended June 30, 2011

11-01 Head Start Eligibility

Federal Agency: U.S. Department of Health and Human Services
CFDA Number: 93.600
Program Name: Head Start
Questioned Costs: None Noted

During our eligibility testing of the Head Start program the East St. Louis campus failed to produce evidence that an eligibility determination was performed on 3 of the 60 students selected for testing.

Of a sample of 60 students selected for compliance testing with eligibility requirements, the University was unable to provide student files for 3 (5.0%) students. The Head Start program student files contain the eligibility determination worksheet, the students' program application form, and documented evidence of a formalized review of these documents by a Head Start administrator at the University. The 3 student record files were unable to be located by Head Start administrators. The University stated the records were most likely shredded accidentally.

OMB Circular A-133 regulations require the University to maintain supporting documentation to demonstrate program eligibility.

The University stated the records were shredded accidentally by the Edwardsville Campus' Record Management Department instead of scanning them into electronic archives.

By not keeping complete records the University is unable to prove compliance with Head Start eligibility requirements set forth by OMB Circular A-133. (Finding Code 11-01)

Recommendation:

We recommend the Edwardsville campus reevaluate its policies and procedures surrounding records management to ensure supporting documentation is properly maintained until electronically archived.

University Response:

Accepted

STATE OF ILLINOIS
SOUTHERN ILLINOIS UNIVERSITY
FINDINGS, RECOMMENDATIONS AND UNIVERSITY RESPONSES – FEDERAL
Year Ended June 30, 2011

11-02 Head Start Cash Management Controls

Federal Agency: U.S. Department of Health and Human Services
CFDA Number: 93.600
Program Name: Head Start
Questioned Costs: None Noted

The East St. Louis campus did not perform a formalized review of budget to actual reports for their Head Start program during fiscal year 2011.

The University had informal policies and procedures in place to review monthly budget to actual reports for the Head Start program. The University used the monthly budget to actual reports as a control to monitor revenues and expenditures related to the Head Start program during the grant period. The reviews were not formally documented, and as such, no audit evidence exists to prove that the reviews occurred.

The University is responsible for establishing and maintaining effective internal control over compliance with the requirements and regulations applicable to their Head Start program. These controls should be formalized to include documentation that these control activities are being performed.

University officials stated that turnover during the fiscal year at the East St. Louis campus was the reason for the informal reviews.

By not having a formalized process to review the program's monthly budget to actual reports, the University is at a greater risk for noncompliance with Federal regulations. (Finding Code 11-02)

Recommendation:

We recommend the Edwardsville campus create formalized policies and procedures related to internal control documentation and retention for the Head Start program.

University Response:

Accepted

STATE OF ILLINOIS
SOUTHERN ILLINOIS UNIVERSITY
FINDINGS, RECOMMENDATIONS AND UNIVERSITY RESPONSES – FEDERAL
Year Ended June 30, 2011

11-03 Inadequate Controls Over Loan Reporting

Federal Agency: U.S. Department of Education
CFDA Number: 84.268
Program Name: Federal Direct Loan Program
Questioned Costs: None Noted

The Edwardsville Campus does not have effective controls in place to ensure updates of student enrollment status are reported to the National Student Clearinghouse (“NSC”) for Federal student loan programs.

Out of 60 enrollment status changes tested, 1 (2%) was not reported to the NSC. The NSC is Edwardsville's enrollment reporting service.

The National Student Loan Data System (“NSLDS”) Enrollment Reporting Guide requires schools to confirm and report the enrollment status of students who receive Federal student loans. As with any school/servicer arrangement for the administration of Title IV programs, the school remains responsible for submitting timely, accurate, and complete enrollment reporting roster files and for maintaining proper documentation in accordance with Federal Regulation 34 CFR 682.610(c).

According to the Edwardsville campus officials the student did not have enough credit hours to graduate at the conclusion of the Fall 2010 semester. A subsequent grade change related to the Fall 2010 semester posted in January 2011 resulted in the student having enough credits to graduate. The Registrar's Office subsequently changed the student's status to “graduated”. The update was not reported to NSC because the student's record was updated after the Edwardsville Campus' final term degree submission had taken place.

A student's enrollment status determines eligibility for deferment, grace periods, and repayments, as well as the Federal Government's payment of interest subsidies. Enrollment reporting is critical for effective administration of the Title IV student loan programs. (Finding Code 11-03)

Recommendation:

We recommend the University implement policies and procedures to prevent incomplete data submissions to the NSC. This will help ensure timely and accurate reporting of information to the NSC.

University Response:

Accepted

STATE OF ILLINOIS
SOUTHERN ILLINOIS UNIVERSITY
FINDINGS, RECOMMENDATIONS AND UNIVERSITY RESPONSES – FEDERAL
Year Ended June 30, 2011

11-04 Failure to Meet Head Start Earmarking Requirements

Federal Agency: U.S. Department of Health and Human Services
CFDA Number: 93.600
Program Name: Head Start
Questioned Costs: None Noted

The East St. Louis campus failed to meet the Head Start program's required 100% funded enrollment status.

The East St. Louis campus has a funded enrollment requirement of 1,569 individuals. Only 1,561 are enrolled leaving the program 8 individuals (1%) short of meeting the earmarking requirement.

University management is responsible for establishing and maintaining funded enrollment levels that are at least 100% of the funded enrollment levels agreed to in the grant agreement between the University and the Department of Health and Human Services.

According to University management, SIUE East St. Louis Head Start relied heavily on school districts and community partners who experienced unforeseen funding reductions that negatively impacted the number of those eligible to enroll in the program.

By not meeting funded enrollment requirements the University risks future funding allotments. (Finding Code 11-04, 10-03)

Recommendation:

We recommend that a documented supervisory review of projected enrollment levels occurs before the grant agreements are signed. The University should also formally monitor the enrollment status quarterly throughout the grant period.

University Response:

Accepted

STATE OF ILLINOIS
SOUTHERN ILLINOIS UNIVERSITY
FINDINGS, RECOMMENDATIONS AND UNIVERSITY RESPONSES – STATE
Year Ended June 30, 2011

11-05 Time Sheets are Not Required

The University does not have a policy that requires all employees to periodically submit time sheets documenting the time spent each day on official University business to the nearest quarter hour as required by the State Officials and Employees Ethics Act (Act).

The Act required the Illinois Board of Higher Education (IBHE), with respect to State employees of public universities, to adopt and implement personnel policies. The IBHE adopted personnel policies for public universities on February 1, 2004, in accordance with the Act. However, the University has not incorporated IBHE policies into the University's policies.

We noted that the University's faculty did not submit timesheets in compliance with the Act. The process is effectively a "negative" timekeeping system whereby the employee is assumed to be working unless noted otherwise. No time sheets documenting the time spent each day on official State business to the nearest quarter hour are required for faculty. During fiscal year 2007 the University adopted a policy to require time sheets from all employees except faculty.

The Act (5 ILCS 430/5-5(c)) states, "The policies shall require State employees to periodically submit time sheets documenting the time spent each day on official State business to the nearest quarter hour."

University officials' explained that there is currently no formal policy in place for faculty to submit timesheets in accordance with the Act.

Failure to require appropriate time sheets from its employees constitutes noncompliance with State law. (Finding Code 11-05, 10-04, 09-03, 08-05, 07-10, 06-4, 05-1)

Recommendation:

We recommend the University amend its policies to require all employees to submit time sheets in compliance with the Act.

University Response:

Accepted

STATE OF ILLINOIS
SOUTHERN ILLINOIS UNIVERSITY
FINDINGS, RECOMMENDATIONS AND UNIVERSITY RESPONSES – STATE
Year Ended June 30, 2011

11-06 Controls Surrounding the Markdown of Inventory

The Edwardsville campus does not have sufficient controls in place surrounding the markdown of inventory at the Bookstore and Textbook Services departments.

The Bookstore and Textbook Services departments on the Edwardsville campus do not have sufficient controls or an appropriate approval process in place surrounding the markdown of inventory. The store-level managers are given the sole authority to markdown inventory items. The markdowns are not formally documented and there are no established approval or review processes in place.

The Fiscal Control and Internal Auditing Act ("FCIAA") indicates that all agencies must be responsible for "establishing and maintaining an effective system of internal control". An effective system of internal controls requires proper segregation of duties. Segregation of duties is critical to effective internal control because it reduces the risk of mistakes and inappropriate actions.

University management stated the Edwardsville Campus did not have formal inventory markdown procedures in place during fiscal year 2011.

Failure to establish sufficient controls surrounding inventory increases the likelihood of fraud and/or misuse of University funds. (Finding Code 11-06)

Recommendation:

We recommend the University establish and maintain an effective system of internal control surrounding the markdown of inventory.

University Response:

Accepted

STATE OF ILLINOIS
SOUTHERN ILLINOIS UNIVERSITY
PRIOR FINDINGS NOT REPEATED (FEDERAL)
Year Ended June 30, 2011

- a. During the prior period, the Edwardsville campus did not have proper controls in place to calculate Return of Title IV Funds to the Department of Education. The University mistakenly calculated all fall 2009 semester returns using 117 days instead of the proper 110 days. This resulted in the University improperly returning \$5,275 to the Department of Education in excess of the proper amount. The University mistakenly calculated all spring 2010 semester returns using 109 days instead of the proper 110 days. This resulted in the University improperly returning \$378 less to the Department of Education than the proper amount. (Finding Code 10-2)

During the current examination period, the Edwardsville campus formalized supervisory review of the Return of Title IV Funds calculation for each semester to reduce the potential for errors in the calculation of return of funds. This finding will not be repeated.

- b. During the prior period, The Edwardsville Campus did not have effective controls in place to ensure updates of student enrollment status to the National Student Clearinghouse ("NSC") for Federal student loan programs. The University did not employ procedures that facilitate the collection of social security numbers from Student Financial Aid files when students elected to withhold reporting social security numbers within their student academic records. (Finding Code 10-1)

During the current examination period, The Edwardsville campus implemented policies and procedures to prevent incomplete data submissions to the NSC. This finding will not be repeated.

STATE OF ILLINOIS
SOUTHERN ILLINOIS UNIVERSITY
PRIOR FINDINGS NOT REPEATED (STATE)
Year Ended June 30, 2011

- c. During the prior period, the Carbondale campus had no segregation of duties in the P-Card approval process. Certain P-Card holders had the ability to approve their own purchases through the on-line P-Card approval process. (Finding Code 10-5)

During the current examination, the Carbondale campus implemented control procedures to the P-Card system that will not allow employees to approve their own purchases. This finding will not be repeated.

- d. During the prior period, Southern Illinois University had not assured adequate security and control over access to or the proper disposal of confidential information. (Finding Code 10-6)

During the current examination, Southern Illinois University implemented University-wide procedures to ensure confidential and personal information is adequately secured (i.e. encrypted) and properly disposed. This finding will not be repeated.

STATE OF ILLINOIS
SOUTHERN ILLINOIS UNIVERSITY

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS SUMMARY
Year ended June 30, 2011

	Federal Expenditures		
	<u>Carbondale</u>	<u>Edwardsville</u>	<u>Total</u>
U.S. Department of Education	\$ 38,678,866	\$ 20,424,523	\$ 59,103,389
U.S. Department of Health and Human Services	19,770,872	13,384,670	33,155,542
National Science Foundation	4,689,611	1,622,038	6,311,649
U.S. Department of Agriculture	1,591,840	775,264	2,367,104
U.S. Department of Labor	2,697,341	209,981	2,907,322
U.S. Department of Defense	1,975,528	98,032	2,073,560
U.S. Department of Transportation	1,400,916	160,705	1,561,621
U.S. Department of Energy	1,642,471	-	1,642,471
U.S. Department of Commerce	1,087,417	171,610	1,259,027
U.S. Department of the Interior	1,857,334	416,813	2,274,147
U.S. Department of Homeland Security	1,142,922	-	1,142,922
Library of Congress	203,841	201,264	405,105
U.S. Small Business Administration	358,759	114,013	472,772
U.S. Agency for International Development	408,874	-	408,874
National Foundation on the Arts and the Humanities	20,233	-	20,233
National Aeronautics and Space Administration	13,795	159,964	173,759
U.S. Department of Justice	127,339	-	127,339
U.S. Environmental Protection Agency	115,718	-	115,718
U.S. Department of State	112,536	-	112,536
U.S. Department of Housing and Urban Development	43,181	24,159	67,340
National Endowment for the Humanities	-	154,212	154,212
U.S. Postal Service	-	2,864	2,864
TOTAL FEDERAL GRANTS AND CONTRACTS	<u>\$ 77,939,394</u>	<u>\$ 37,920,112</u>	<u>\$ 115,859,506</u>

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
U.S. DEPARTMENT OF EDUCATION			
Direct Grants and Contracts:			
Student Support Service Program	(6)	84.042	\$ 64,628
Student Support Service Program	(6)	84.042	234,156
Upward Bound	(6)	84.047	429,502
International Human Rights Certificate		84.116	22,520
WSIU Digital TV Production Equipment Grant		84.116	238,328
Rehabilitation Long Term Training		84.129	75,605
Rehabilitation Counselor Supervision		84.129	142,714
Rehabilitation Long Term RSA Training		84.129	118,297
Rehabilitation Long Term RSA Training		84.129	4,228
SIUC McNair Program - USDE	(6)	84.217	268,545
Service and Training Program for Veterans		84.235	23,346
Service and Training Program for Veterans		84.235	21,816
Service and Training Program for Veterans		84.235	44,397
Rehab Continuing Education Program		84.264	656,958
Playground Renovation		84.335	112,569
			2,457,609
Financial Assistance:			
Supplemental Educational Opportunity Grant-FY11	(1)	84.007	977,758
Cooperative Work Study Program	(1)	84.033	1,901,897
Pell Grant Program-FY08	(1)	84.063	(327)
Pell Grant Program-FY09	(1)	84.063	(5,322)
Pell Grant Program-FY10	(1)	84.063	83,964
Pell Grant Program-FY11	(1)	84.063	28,791,418
ACG Grant-FY10	(1)	84.375	1,875
ACG Grant-FY11	(1)	84.375	466,622
SMART Grant-FY10	(1)	84.376	6,000
SMART Grant-FY11	(1)	84.376	766,100
TEACH Grant-FY11	(1)	84.379	25,500
			33,015,485

Flow-Thru Grants and Contracts:

Monroe-Randolph ROE #45:

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
Monroe Randolph Intel Math Connections	84. Unknown	NA	9,837
<i>Corporation for Public Broadcasting:</i> Ready to Learn Outreach Station Grant	84.U395A050003	10939	40,983
<i>Illinois State University:</i> Incorporating Learning Objects Preparing Pre-Service Career and Technical Education On-Line Professional Development Modules	(8) 84.048 84.048 84.048	10D282.03 09D250.01 09D250.02	6,575 1,848 1,259 9,682
<i>Illinois Community College Board:</i> Adult Basic Education Adult Basic Education	84.002 84.002	NA NA	297 56,697 56,994
<i>Southern Illinois University-Edwardsville:</i> Southern Regional Professional Development Center	84. Unknown	6-23772	35,671
<i>Illinois State Board of Education:</i> Career and Technical Education Curriculum Statewide Non-Traditional Training Career and Technical Education Curriculum State Leadership-Illinois Nontrad Training State Leadership-Illinois Nontrad Training Illinois Student Information System Illinois Student Information System Partnership for Improved Science Instruction Science Math and Action Research Science Math and Action Research Partnership for Improved Science Instruction	84.048 84.048 84.048 84.048 84.048 84.048 84.366 84.366 84.366	4720-02 4720-04 4720-02 4720-04 4720-04 4720-00 4720-00 4936-10 4936-80 4936-80 4936-11	459,722 (2,975) 5,331 313 82,424 1,116 184,595 179,490 171,282 82,171 112,143 1,275,612
<i>Illinois Department of Human Services:</i> EDC Third Party Agreement EDC Third Party Agreement Purchase of Service Placement of Adults with Disabilities Transition Services to Youth with Disabilities Subaward for Employment of Individuals	(4) (4) (4) (4) (4) (4) (4)	84.126 84.126 84.390 84.390 84.390 84.390 84.390	10C6001651 10C6001651 40C6001651 40CMARA042 40CMARA080 40CMARA097 1,306,875
<i>Carbondale Elementary School District No. 95:</i> Fresh Fit and Fly Physical Education Program	84.215	NA	14,037

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
<i>Public Broadcasting Service:</i> PBS Teacherline	84.286	NA	4,188
<i>Illinois Board of Higher Education:</i> Project RAMPD: Rural Access	84.367	09NCLB7	82,209
RAMPD Up Rural Access	84.367	10NCLB7	203,560
Southern Illinois Partnership for Achievement	84.367	NA	152,417
Statewide P-20 Longitudinal Data System	84.372	NA	13,707
			<u>451,893</u>
			3,205,772
Total U.S. Department of Education			38,678,866
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES			
Direct Grants and Contracts:			
Improving Underground Safety	(8)	93.200-2009-32518	478,919
Aging Gracefully Through Behavioral and Oral Health	(8)	93.Unknown	87
Coating Effects on MR Relaxivities	(8)	93.113	(104)
Circadian Clock Disruption	(8)	93.113	290,025
Developing D-Methionine	(8)	93.173	291,442
Synaptic Processing in the Gustatory Brainstem	(8)	93.173	49,292
Glycine Receptor in Rat Tinnitus	(8)	93.173	182,198
Endogenous Modulation	(8)	93.173	219,588
Features of Chronic Tinnitus	(8)	93.173	388,485
Amelioration of Cisplatin Ototoxicity	(8)	93.173	58,509
Coding in Auditory Neurons	(8)	93.173	2,497
Coding in Auditory Neurons	(8)	93.173	126,605
Sources and Wetting Characteristics	(8)	93.262	110,290
NRT and Bupropion Mechanisms	(8)	93.279	263,388
Waiting for a Better Future	(8)	93.279	59,982
Nicotine for Marijuana Withdrawal	(8)	93.279	20,282
A Novel Approach to Chronic Pain Treatment	(8)	93.279	292,275
Surface functionalized Spions for PH	(8)	93.286	37,414
Surface functionalized Spions for PH	(8)	93.286	31,172
Leica TCS SP5 Spectral LSCM for Research	(8)	93.389	499,973
Aldose Reductase	(8)	93.393	112,510
Alox15B as Tumor Suppressor	(8)	93.393	275,056
Dietary Intervention in the Gallus Domesticus	(8)	93.393	78,141
NF-KB Mediated Induction	(8)	93.393	336,218
Physical Activity After Breast Cancer	(8)	93.393	184,546

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
Enhancing Physical Activity After Breast Cancer	93.394		523,475
Research Supplement to Promote Diversity	93.394		57,876
Biosynthesis of Taxol Precursors	93.395		53,255
Aldose Reductase	93.395		(1,187)
Pregnane X Receptor in Prostate	93.395		(3,623)
Role of Adenosine A3	93.395		18,539
Tumor Metastases Suppression	93.396		164,953
KAI1 in Tumor Progression	93.396		156,539
Equipment to Enhance Training	93.411		155,445
Head Start	93.600		50,279
Head Start	93.600		2,337
Head Start	93.600		9,751
Head Start	93.600		3,162,084
Head Start	93.600		37,261
A Transitional Model of Autism Services	93.647		(1,199)
Effects of Vitamin B3 on Traumatic Brain Injury	93.701		44,066
Frontal Lobe Size and Executive Dysfunction	93.701		114,465
Ginseng and Its Constituents	93.701		210,819
Suppi -Glycine Receptor in a Rat	93.701		(1,406)
Mechanisms of Fatigue	93.701		5,817
RHOX5 Cofactors	93.701		3,871
Developing D-Methionine	93.701		118,765
Supp II-Glycine Receptor	93.701		(17)
Modifications in Prostate Cells	93.701		88,968
Genital Herpes Vaccine	93.701		146,747
Structural Organization and Enzymology	93.701		5,146
Chronic Tinnitus	93.701		113,512
Deaf-1 in Development	93.701		50,081
RNA Splicing in Archaea	93.701		55,610
EBV Protein II	93.701		(96)
Neighboring Ryanodine Receptor	93.701		(21)
Bile and Obesity Surgery	93.701		247,715
Chromatin Remodeling and Transcription	93.701		136,044
Circadian Clock Disruption	93.701		2,930
Biotherapeutic for Triple-Negative Breast Cancer	93.701		105,962
Forkhead Transcription Factor	93.701		117,291
Regulation and Function of RHOX8	93.701		29,026
Functional Role of WNT11 in Uterine Development	93.701		29,701
Microbrightfield Bioscience Imaging System	93.701		189,843
One Time Quality Funds	93.708		91,535
Combating Restenosis with Surface Texturing	93.390		(6,038)
Understanding the Role of Class II Activator	93.846		15,547
Vanilloid Receptors	93.847		1,250

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
Responsiveness to Nicotine of Nucleus	(8)	93.847	313,252
Differential Effects of Tarps on AMPA	(8)	93.853	45,712
Kar and Seizures	(8)	93.853	51,521
LS-1:Neuroprotection in PD	(8)	93.853	73,904
FS-Zone: Neuroprotection in Parkinson	(8)	93.853	6,104
Small RNAs and HFQ	(8)	93.855	75,628
Mechanisms of Fatigue	(8)	93.855	351,215
EBV Protein	(8)	93.855	83,158
Investigating Fluorescence Resonance Energy	(8)	93.859	94,399
Design and Evaluation of Response	(8)	93.859	23,379
Protein Separation with Polymer Brush	(8)	93.859	7,105
Gryanodine Receptor Channels	(8)	93.859	240,510
Transcriptional Activation	(8)	93.859	259,874
Chromatin Remodeling and Transcription	(8)	93.859	251,891
RNA Splicing in Archea	(8)	93.859	38,523
Proteasome Regulation of Transcriptional Activation	(8)	93.859	81,189
RHOX5 Cofactors	(8)	93.864	20,579
Uterine Development	(8)	93.864	83,218
Prolactin Feedback	(8)	93.865	84,765
Conceptus-Dependent Effects on the Endometrium	(8)	93.865	52,784
Opioid-Dopamine Interactions	(8)	93.865	121,752
Molecular Regulation and Role of Placenta	(8)	93.865	181,317
Interaction of Caloric Restriction	(8)	93.866	261,145
Interaction of Caloric Restriction	(8)	93.866	17,724
Interaction of Caloric Restriction	(8)	93.866	5,791
Mitonergetic Failure in Brain	(8)	93.866	290,847
Core A: Somatotropic Axis	(8)	93.866	1,506,081
Project 1: Somatotropic Axis	(8)	93.866	220,542
Age-Related Response	(8)	93.866	91,298
Hill Supplement: Somatotropic Axis	(8)	93.866	25,331
Dietary Fat, Visceral Fat and Aging	(8)	93.866	130,367
Developmental Origins of Phenotypic	(8)	93.866	582
Enhancing Residency Training	(8)	93.884	885
Enhancing Residency Training	(8)	93.884	147,715
Illinois Catch on to Health Consortium	(8)	93.912	27,506
Illinois Catch on to Health Consortium	(8)	93.912	420,030
			16,379,331
Financial Assistance:			
Scholarships for Disadvantaged Students	(1) (5)	93.407	53,228
Scholarships for Disadvantaged Students	(1)	93.925	80,584

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
Flow-Thru Grants and Contracts:			
<i>Fluid Measurement Technologies:</i>			
Fluid Measurement Technologies	93. Unknown	NA	719
<i>St. Louis University:</i>			
National Children's Study	(8) 93.847	N27520080003C	46,892
<i>Shawnee Health Service and Development Corporation:</i>			
Caring Connections Evaluation	93. Unknown	NA	11,797
<i>Egyptian Area Agency on Aging:</i>			
Legal Services to Older Persons	93.044	9505-9408	(339)
Legal Services to Older Persons	93.044	10508-10408	16,786
Legal Services to Older Persons	93.044	11408 AND 11508	30,422
			<u>46,869</u>
<i>Illinois Department of Public Health:</i>			
Education and Training	93.069	77001001	68,848
Southern Illinois Asthma Action Team	93.070	13283002	285
Building a Coalition to Address Asthma	93.070	3283012	793
Illinois Breast and Cervical	93.283	06100013	2,307
Illinois Breast and Cervical	93.283	16100007	15,000
Illinois Cancer Prevention	93.283	13282005	4,976
Central IL HIV Care Connect	93.917	95780770	1,279
Central Illinois Care Connect	93.917	05780437	722,283
Central Illinois Care Connect	93.917	15780151	146,563
Dental Sealant Program	93.994	3480173	555
Dental Sealant Program	93.994	13480176	4,234
			<u>967,123</u>
<i>University of Illinois:</i>			
IL Lend Training Program	93.110	T73MC11047	4,472
Rural Methamphetamine	(8) 93.279	2006-07187-01	1
Characteristics of Multidrug Resistance	(8) 93.395	494235E6561	18,482
Provider and Consumer Knowledge	93.879	ID.00498944	16,770
			<u>39,725</u>
<i>University of Michigan:</i>			
Micronutrient Intervention	(8) 93.173	3000910943	50,454
<i>Colorado State University:</i>			
Glutamate Receptor Desensitization	(8) 93.242	G-4499-2	21,729

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
<i>The H Group:</i> ACRA/ACC Model	93.243	NA	7,127
<i>Illinois Department of Children and Family Services:</i> Southern Illinois Methamphetamine Project CMRN-Swofford CMRN-Swofford Project 12-Ways Enhancement Project 12-Ways Enhancement	(8) 93.243 93.643 93.643 93.667 93.667	 558609019 0457439020 0457439021 597348028 597348029	 4,079 (9,986) 271,028 438 24,660 290,219
<i>Association of American Medical Colleges:</i> Integrated Curriculum in Population Health	93.283	RMPHEC2006U36CCU319276	6,044
<i>University of North Carolina:</i> Next Generation Digital Breast Tomosynthesis	(8) 93.394	5-30013	90,351
<i>Duke University Medical Center:</i> American College of Surgeons Oncology Group	(8) 93.395	7U10CA7600147U10CA860040	919
<i>National Childhood Cancer Foundation:</i> NCCF Clinical Trial Children's Oncology Group	(8) 93.395 (8) 93.395	98543-1022 98543-1022	48,235 7,376 55,611
<i>Administrative Office of the Illinois Courts:</i> Juvenile Justice Clinic	93.586	G-10041	5,034
<i>Illinois Department of Human Services:</i> Project 12-Ways Project 12-Ways Employability Development Project 12-Ways Employability Development Mobile School Health Center Mobile School Health Center	93.667 93.667 93.667 93.667 93.667 93.994 93.994	10C6001651 10C60016951 10C6001651 10C6001651 10C6001651 10C6001651 10CM001651	1,489 (9,561) (1,651) 595,615 46,430 184 102,998 735,504
<i>University of Memphis:</i> ARRA Language Characteristics	(8) 93.701	P0054420	211,522
<i>Illinois Department of Commerce and Economic Opportunity:</i> Youth Employment for the Summer	(5) 93.714	10-071027	45,760
<i>Brigham and Women's Hospital:</i> Ancillary 129XE Studies for Copdgene	(8) 93.837	NA	82,771

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title		Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
<i>Washington University:</i> Attract Trial-Pharmacomechanical Catheter	(8)	93.839	2905378N WU-09-100	1,702
<i>St. Jude's Children Hospital:</i> Gene Transfer into Hematopoietic Stem Cells	(8)	93.839	110697150-7306779	(2,128)
Gene Therapy of Sickle Cell Disease	(8)	93.839	110446160-7401626	16,624
				<u>14,496</u>
<i>Tufts University:</i> Fact-Ancillary Study	(8)	93.849	R01DK65114-01	(499)
<i>University of Florida:</i> Form and Function in Neuronal Networks	(8)	93.853	UF-EIES-0934002-MOD 1	226,004
<i>University of Rochester:</i> Progeni: Parkinson's Disease	(8)	93.853	9703-09-0416-08	(254)
<i>University of California-San Francisco:</i> Bacterial Sit and Innate Immunity	(8)	93.856	NCIRE2005-927-A	18,313
<i>University of Washington:</i> Multi-Drug Combinations	(8)	93.865	666581	263,679
<i>University of California-San Diego:</i> Trial of Valproate to Attenuate		93.866	U01AG10483	(2)
<i>Research Foundation for Mental Hygiene, Inc.:</i> Vitamin E in Aging Persons	(8)	93.866	002458	495
<i>Stanford University:</i> Raloxifene in Women	(8)	93.866	SPO 34955-C	3,771
<i>Southern Illinois Healthcare:</i> Delta Innovative Project		93.912	NA	<u>13,854</u>
				3,257,729
Total U.S. Department of Health and Human Services				19,770,872

NATIONAL SCIENCE FOUNDATION

Direct Grants and Contracts:

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
Combinatorial Process Dev for Synthesis	(8) 47.041		98,763
Career: Kinetics of Adsorption	(8) 47.041		892
Static and Dynamic Response	(8) 47.041		81,677
Collaborative Research: Consortium	(8) 47.041		9,091
Analyzing Working Nanosensors	(8) 47.041		55,649
Collaborative Proposal: Ultra-High Performance	(8) 47.041		23,791
Development Plan for Optical/Nuclear Resonance	(8) 47.049		(259)
Study of Observability	(8) 47.049		215
Stochastic Dynamical Systems	(8) 47.049		40,314
Statistics and Information Theory	(8) 47.049		5,319
Polyatomic Adsorbates on Carbon Bundles	(8) 47.049		90,085
RF Plasma Polymer Modified Maldi Targets	(8) 47.049		101,356
Investigations in Enantioselective Interactions	(8) 47.049		108,183
Collaborative Research: Modeling Dynamics	(8) 47.049		5,030
Career: Programmable Active Lithography	(8) 47.049		22,722
REU Site for Interdisciplinary Materials	(8) 47.049		40,380
REU Site for Interdisciplinary Materials	(8) 47.049		48,360
Career: Programmable Active Lithography	(8) 47.049		(3,370)
Integral Representation of Langlands	(8) 47.049		26,625
Constrained Statistical Inference	(8) 47.049		28,164
Collaborative Research: Carbon Nanohorns	(8) 47.049		27,939
RCN: Peatnet Globalization of Northern Peatland	(8) 47.050		21,198
Collaborative Research: Magma Dynamics	(8) 47.050		2,851
Testing Hypotheses of Latest Pleistocene	(8) 47.050		37,561
Collaborative Research: Assessment of T-Wave	(8) 47.050		34,027
Acquisition of an Isotope Ratio Mass Spectrometer	(8) 47.050		1,500
Tree Ring Studies of Hydroclimatic Variability	(8) 47.050		38,619
Tree Ring Studies of Hydroclimatic Variability	(8) 47.050		3,660
Collaborative Research Synthesis Verification	(8) 47.070		8,132
Practical Quantum Error Prevention	(8) 47.070		73,075
CSR-EHS: A VLIW Architecture	(8) 47.070		2,492
Collaborative Research: Synthesis Verification	(8) 47.070		78,116
A Time Predictable Multicore Architecture	(8) 47.070		10,135
Providing Predictable Timing for Task Migration	(8) 47.070		69,473
Nets Small Collaborative Research	(8) 47.070		37,930
Hierarchical Consequences of Intraspecific Variation	(8) 47.074		34,411
Assembling the Livenwort Tree	(8) 47.074		65,128
Assembling the Livenwort Tree	(8) 47.074		45,371
Collaborative Research: LTREB	(8) 47.074		8,422
Collaborative Research in IPY	(8) 47.074		44,937
Collaborative Research: Using Amphibian Declines	(8) 47.074		52,297
Collaborative Research: Variable Persistence	(8) 47.074		62,779
Development of a New Instrument	(8) 47.074		156,130

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
RIG: Mechanisms of Molecular Recognition	47.074		71,009
Workshop Use of 15N Tracer	47.074		48,843
Scents and Scent-Ability	47.074		11,180
Wormnet II Assembling the Annelid Tree of Life	47.074		2,161
Vulnerable Host Stages Development	47.074		5,337
REU Collaborative Research LTREB	47.074		2,827
Rapid: A Massive Floodplain Reconnects	47.074		68
Higher Order Chromatin Structure	47.074		154,141
Lower Mississippi River	47.075		(339)
Historical Trends in Flow Dynamics	47.075		(376)
Choosing Among Causal Agents	47.075		75
The Great Ballcourt at Nixtun-Ch'ich'	47.075		7,031
The Changing Face of Andean Peatlands	47.075		(638)
Collaborative Research: NSCC/SA: Terror Conflict	47.075		23,375
Doctoral Dissertation Research in Political Science	47.075		5,000
CNH: Climate Change Hydrology	47.075		62,461
Climate Change Impacts on Regional Wind Climates	47.075		6,696
Doctoral Dissertation Improvement	47.075		10,000
Engineering and Technology Expansion Program	47.076		316,499
Heartland Partnerships; Inquiry-Based Education	47.076		369,531
Green Scholarships	47.076		168,870
IGERT: Multidisciplinary Team-Based Training	47.076		319,999
IGERT: Multidisciplinary Team-Based Training	47.076		165,593
Leadership Development Program	47.076		5,504
Leadership Development Program	47.076		(4,500)
Southern Illinois Fellowships for teachers	47.076		59,071
C2P2 Oriented Laboratory Instruction	47.076		26,423
Large Carnivores-Graduate Research Fellowship	47.076		40,499
Collaborative Research: Testing the Impacts	47.078		(1,330)
Collaborative Research: Microbially Mediated Anaerobic	47.078		90,262
Collaborative Research The Permian Triassic Transition	47.078		29,999
Career: Simulation Studies of Time Evolution	47.082	(5) (8)	1,855
Collaborative Research: Rapid-Investigating	47.082	(5) (8)	1,496
Southern IL Undergrad Recruitment and Retention	47.082	(5) (8)	67,963
Southern IL Undergrad Recruitment and Retention	47.082	(5) (8)	1,037
MRI-Acquisition of Field Emission	47.082	(5) (8)	461,050
			4,227,842
Flow-Thru Grants and Contracts:			
<i>The Algebra Project:</i>			
Developing Student Cohorts	47.DRL-0822175	NA	130,849
Bridging Math and Media	47.1031633	NA	16,142

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
<i>Chicago State University:</i> Illinois Louis Stokes Alliance ILSAMP:Year 2	47.076 47.076	53725 53725	146,991 15,378 14,985 <u>30,363</u>
<i>University of Iowa:</i> Understanding Water-Human Dynamics	(8) 47.041	W000108455	46,750
<i>Research Foundation of the State University of New York:</i> Nanostructured Fuel Cell Catalysts	(8) 47.041	44356/1066058	61,923
<i>Washington University:</i> Collaborative Research	(8) 47.050	2905710N	24,425
<i>University of Minnesota:</i> Predictive Stream Restoration Studies	(8) 47.050	A536621614	48,996
<i>Consortium for Ocean Leadership:</i> IODP Superfast Spreading Rate	(8) 47.050	BA-87	24,164
<i>Kansas State University:</i> Konza Prairie: Community and Ecosystem Riparian Influences	(8) 47.074 (8) 47.074	S09060 S09062	17,836 19,199 <u>37,035</u>
<i>Arizona State University:</i> Evolutionary Diversification	(8) 47.074	10-036	3,605
<i>University of Oklahoma:</i> Joara and Fort San Juan	(8) 47.075	2007-29	3,321
<i>University of Nebraska:</i> Using Foraminefera Reconstructing Miocene Glaciomarine	(8) 47.078 (8) 47.078	25-055 25-0550-0001-145	2,787 16,820 <u>19,607</u>
<i>Rice University:</i> United States Japan Cooperative Research	(8) 47.079	R3C756	14,589
Total National Science Foundation			461,769 4,689,611

U.S. DEPARTMENT OF AGRICULTURE

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
Direct Grants and Contracts:			
Quantifying Erosion	(8) 10.06-PA-11092100-045		13,036
Shawnee National Forest Vegetation Plot Analysis	(8) 10.09-CS-11090804-028		467
VHS Surveillance outreach and Biosecurity	(8) 10.09-9617-0877CA		38,573
Trail Surveys in the Kinkaid and Hutchins Creek	(8) 10.10-CS-11090800-01		21,271
Study of Forest Wetland and Grassland	(8) 10.10-CS-110		23,455
Viral Hemorrhagic Septicemia	(8) 10.10-9617-0877CA		271,385
Effect of Storm Damage on Densities	(8) 10.10-CA-11330129-098		12,027
Early Season Pod Weight Prediction	(8) 10.58-3AEU-0058		10,000
Identification of Novel Sources of Resistance	(8) 10.58-6435-5-032		(2,736)
Building Better Buffers	(8) 10.69-5A12-10-309		2,497
Touch the Trail of Tears	10.09-PA-11090800-017		506
Midwest Regional Canola Research Program	10.200		67,893
Midwest Regional Canola Research Program	10.200		54,681
Midwest Regional Canola Research Program	10.200		759
Effects of Storm Damage on Densities	(8) 10.202		11,137
McIntire-Stennis	(8) 10.202		47,730
McIntire-Stennis	(8) 10.202		141,874
Tilling: A Community Tool	(8) 10.206		(128)
Estimating the Costs of Continuous Conservation Tillage	(8) 10.250		2,350
Evaluating Watershed Health Risks	(8) 10.303		98,149
Institutional Mechanisms of Recreation	(8) 10.652		6,986
Analysis of FY10 Illinois Forest Stewardship Plans	(8) 10.652		5,792
Jackson County Hazardous Fuels Reduction	(8) 10.664		31,650
Forest Stewardship Program	(8) 10.678		19,380
Characterization of the Nematode Fauna	(8) 10.680		9,833
Operation Bootstrap	(8) 10.773		63,925
			952,492
Flow-Thru Grants and Contracts:			
<i>University of Arkansas:</i>			
Charcoal Rot Cultivar Evaluation	(8) 10. Unknown	82116-04	62,023
Charcoal Rot Cultivar Evaluation	(8) 10. Unknown	82116-04	23,616
			85,639
<i>Johnson County 2000, Inc.:</i>			
WSIU Public TV Expanded Coverage	10. Unknown	NA	200
<i>University of Illinois:</i>			
Head Scab Management in Wheat	(8) 10.001	2009-03803-1	7,287
<i>Illinois Department of Agriculture:</i>			
Developing Vine Balance Strategies	(8) 10.170	NA	25,347

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title		Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
<i>Kansas State University:</i> Ecotypic Variation and Functional Response	(8)	10.206	S09009	53,808
<i>Iowa State University:</i> An Analysis of the Impact of Biofuel	(8)	10.310	416-40-39A	2,613
<i>Connecticut Agricultural Experiment Station:</i> Nanoparticle Contamination	(8)	10.310	CAES-AC-2011-05	17,655
<i>Illinois State Board of Education:</i> School Meals Initiative		10.560	NA	85,970
School Meals Initiative		10.560	NA	73,885
School Meals Initiative		10.560	MY03841	9,627
Child and Adult Care Food Program		10.558	11-4226	239,246
				<u>408,728</u>
<i>Southern Illinois Coal Belt Champion Community:</i> Southern Illinois Microentrepreneur Planning		10.870	NA	<u>38,071</u>
				639,348
Total U.S. Department of Agriculture				1,591,840
U.S. DEPARTMENT OF LABOR				
Flow-Thru Grants and Contracts: <i>Illinois Department of Employment Security:</i> IDES Web Site Development	(5)	17.207	11C30	769,485
<i>Illinois Department of Commerce and Economic Opportunity:</i> Illinois Worknet Transition	(3)	17.258	NA	11,398
Illinois Worknet Integration and Training	(3)	17.258	08-676001	1,774
Illinois Worknet Technical Support	(3)	17.258	08-676002	4,585
Illinois Worknet Integration and Training	(3)	17.258	09-676001	10,204
Illinois Worknet Integration and Training	(3)	17.259	09-676001	11,162
Illinois Worknet Integration and Training	(3)	17.260	09-676001	14,067
Illinois Worknet Technical Support	(3)	17.258	09-676002	51
Illinois Worknet Technical Support	(3)	17.259	09-676002	56
Illinois Worknet Technical Support	(3)	17.260	09-676002	69
Illinois Worknet Technical Support	(3)	17.258	10-676002	295,948
Illinois Worknet Technical Support	(3)	17.259	10-676002	319,339
Illinois Worknet Technical Support	(3)	17.278	10-676002	401,716

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title		Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
Illinois Worknet Integration and Training	(3)	17.258	10-676001	247,466
Illinois Worknet Integration and Training	(3)	17.259	10-676001	266,111
Illinois Worknet Integration and Training	(3)	17.278	10-676001	333,910
Disability Resources Web Site		17.267	10-114002	10,000
				<u>1,927,856</u>
Total U.S. Department of Labor				2,697,341
U.S. DEPARTMENT OF DEFENSE				
Direct Grants and Contracts:				
XI International Workshop	(8)	12.DAAL03-87-G0110		495
Monitoring Population Status	(8)	12.W912HZ-07-2-0009		11,947
Spatial Assessment of Cumulative Vehicle Use	(8)	12.W9132T-08-2-0019		26,255
Assisted Migration as a Management Tool	(8)	12.SI-1692		182,190
Genetic Purity of 2010 Pallid Sturgeon	(8)	12.W9128F-10-M-G014		2,778
Evaluating Linkages Between Habitat and Pallid Sturgeon	(8)	12.W912HZ-10-2-0		206,849
2011 Missouri River Pallid Sturgeon Recruitment	(8)	12.W9128F-11M-G007		7,403
Evaluation of Native and Non Native Fishes	(8)	12.W912HZ-05-C-0031		13,526
Dynamic Loading on Composite	(8)	12.300		46,725
Vagus Nerve Stimulation	(8)	12.420		(21,759)
Solidago Vigaurea for Prostate	(8)	12.420		200,391
NF-KB Pathway in Lymphangiogenesis	(8)	12.420		2,621
Thromboxane A2	(8)	12.420		237,746
Genetic Selection for Microna Targets	(8)	12.420		(1,185)
Pregnane X Receptor	(8)	12.420		17,560
ID of Micronas that Regulate Estrogen	(8)	12.420		59,899
Exosome Mediated Microna	(8)	12.420		105,836
Bone Marrow Derived Endothelial	(8)	12.420		(5,173)
Aldo-Keto Reductase	(8)	12.420		112,375
Identification of Metastatic Tumor	(8)	12.420		5,148
DCIS-Specific Microna in Cancer	(8)	12.420		54,709
Venom of Tropical Predatory Ant	(8)	12.420		15,800
Nanog, Cancer Stem Cells	(8)	12.420		21,412
BMP7 Dormancy	(8)	12.420		46,707
Triple Negative Breast Cancer	(8)	12.420		13,739
Role of Microna Editing in Breast Cancer	(8)	12.420		73,221
A Novel Therapy for Metastatic Melanoma	(8)	12.420		23,260
Tumor-Associated Macrophage	(8)	12.420		17,458
Identification of Dormant Stem Cell in Prostate Cancer	(8)	12.420		589
Adenosine A3 Receptor	(8)	12.420		47,100
Phase II Clinical Trials	(8)	12.420		45,558
Investigation to Understand Adaptation Mechanisms	(8)	12.431		(9,139)

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
St Johns New Madrid Floodway Fishery	(8) 12.630		69,378
Maintenance of a Telemetry Fish Passage	(8) 12.630		255,382
Monitoring Responses of the Texas Horned Lizard	(8) 12.630		34,207
Rankin-Selberg Integrals	(8) 12.901		1,939
			<u>1,922,947</u>
Flow-Thru Grants and Contracts:			
<i>University of California at Berkeley:</i>			
An Enzymatic Bioassay	(8) 12. Unknown	SA5362	26,810
<i>ERC, Inc.:</i>			
Crack Growth Analysis	(8) 12. Unknown	RP020298	372
<i>Academy of Applied Sciences:</i>			
Illinois Junior Science Symposium	12. Unknown	NA	15,955
Illinois Junior Science Symposium	12.630	NA	1,633
			<u>17,588</u>
<i>Wright State University:</i>			
A Molecular Modeling Approach	(8) 12.800	FA9550	7,811
			<u>52,581</u>
Total U.S. Department of Defense			<u>1,975,528</u>
U.S. DEPARTMENT OF TRANSPORTATION:			
Flow-Thru Grants and Contracts:			
<i>Aviation Management Consulting Group:</i>			
Business Planning for General Aviation Airports	(8) 20. Unknown	NA	25,737
<i>GCR & Associates, Inc.:</i>			
Airport Safety Data Collection	20. Unknown	NA	46,876
National Airport Safety Data Collection	20. Unknown	NA	14,252
Airport Safety Data Collection Program	20. Unknown	NA	97,979
			<u>159,107</u>
<i>Illinois Department of Transportation:</i>			
Entry Road to SIUC Research Park	20. Unknown	HPP2658(102)	25
Building a Bridge for Young Minds	20.205	NA	39,792
Building a Bridge for Young Minds	20.205	NA	45,163
Summer Transportation Institute	20.205	NA	(105)

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
ET2 for Construction Industry	20.205	NA	134,680
Building a Bridge for Young Minds	20.205	NA	51
Rural Medical Transportation Network	20.205	SIU-RMTN SPR-07	253,031
Building a Bridge for Young Minds	20.205	NA	(226)
Rural Medical Transportation Network	20.205	SPR-PL-3000(47)	2
Institute of Intelligent Systems	20.205	ITS-0517(109)	196,343
Southwestern Illinois Regional Occupant Protection	20.613	OP1-0865-0	88,027
Southwestern Illinois Regional Occupant Protection	20.613	OP0-0865-258	22,524
Think First	20.600	OP9-5480-224	303
Think First	20.600	OP0-5480-245	119,188
Think First	20.600	AL1-5480-253	234,297
Boost IL, Child Passenger Safety Program	20.613	BI0-5480-233	5,792
Boost IL, Child Passenger Safety Program	20.613	OP1-5480-067	5,917
			<u>1,144,804</u>
<i>Southern Illinois Airport Authority:</i>			
Safety Management System Implementation	20.106	NA	71,268

Total U.S. Department of Transportation

1,400,916

U.S. DEPARTMENT OF ENERGY

Direct Grants and Contracts:

Pilot Scale Facility	(8)	81.DE-AP26-98FT01504	410
Understanding Compound Phase Transitions	(8)	81.FG02-06ER46291	(2,804)
Equipment Request for the Belleville Center	(8)	81.DE-FG36-08GO88040	352,618
First Principles Based Simulation	(8)	81.041	126,668
High-Performance Networks	(8)	81.049	99,624
Professional Science Masters in Advanced Energy	(8)	81.049	158,232
Understanding Compound Phase Transitions	(8)	81.049	102,811
Risk Assessment and Monitoring	(5) (8)	81.133	57,093
			<u>894,652</u>

Flow-Thru Grants and Contracts:

West Kentucky Community and Technical College:

New Energy Workforce System

12,507

Gitech, LLC:

Phase I: Intelligent Mobile Agents

31,383

Argonne National Lab:

Metal Borides for Developing Superior Plates

53,296

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title		Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
<i>Advanced Resources International:</i> Changes in Coal Properties	(8)	81.DE-FE0001560	09FE007998	110,332
<i>UT-Battelle, LLC:</i> Probing Phase Transitions	(8)	81.DE-AC058-000R22725	400091160	42,585
<i>University of California at Berkeley:</i> Molecular Determinants of Community Activity	(8)	81. Unknown	683	78,601
Anaerobic Bio-Oxidation of Uraninite	(8)	81.049	5642-11568	75,300
				153,901
<i>Illinois Department of Commerce and Economic Opportunity:</i> Stone Center Geothermal Grant	(5)	81.041	09-468004	30,000
Wind Turbine Grant	(5)	81.041	09-462002	80,000
				110,000
<i>University of Nebraska:</i> Viral Mediation of Subsurface Communities	(8)	81.049	25-0506-0082-002	923
<i>Iowa State University:</i> Expansion of Ethanol Production	(8)	81.087	404-40-89	81,607
<i>Illinois Institute of Technology:</i> A World Class University Industry Consortium	(5)	81.087	SA405-0210-6757	82,362
<i>University of Illinois:</i> Imaging and Modeling of CO2 Flow	(8)	81.089	2005-05060-24	68,445
Contaminant Burdens & Abundance of Turtles	(8)	81.104	P02-129-0800019241	478
				68,923
				747,819
Total U.S. Department of Energy				1,642,471
U.S. DEPARTMENT OF COMMERCE				
Direct Grants and Contracts:				
The Role of Seedbanks in Coastal Vegetation	(8)	11.420		17,222
Use of Alternative Lipid Sources	(8)	11.427		94,976
				112,198
Flow-Thru Grants and Contracts:				

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title		Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
<i>Illinois Department of Commerce and Economic Opportunity:</i>				
Small Business Development Center		11. Unknown	10-801125	747
<i>Partnership for a Connected Illinois:</i>				
Replacement of Fish Meal	(5) (8)	11.417	2006-02560-07	41,854
<i>Bradley University:</i>				
Manufacturing Extension-NIST		11.611	NA	172,630
Manufacturing Extension-NIST		11.611	NA	747,927
				920,557
<i>University of Illinois:</i>				
Increasing the Availability of Veterinarians	(8)	11.417	2006-02560-07	9,999
Replacement of Fish Meal	(8)	11.417	2006-02560-07	2,062
				12,061
				975,219
Total U.S. Department of Commerce				1,087,417
U.S. DEPARTMENT OF THE INTERIOR				
Direct Grants and Contracts:				
Special Wildlife Studies	(8)	15. Unknown		11,103
Status of Paddlefish	(8)	15.301816J229		15,002
Scaphirhynchus Sturgeon Genetic Analysis	(8)	15.608		47
Habitat and Wildlife Research	(8)	15.608		58
Pre Listing Assessment of Illinois Chorus Frog	(8)	15.650		14,627
Development of Single Markers	(8)	15.808		(2,412)
Pesticide Tolerance in Native Frogs	(8)	15.808		2,681
Visitor Related Impacts	(8)	15.916		75,268
				116,374
Flow-Thru Grants and Contracts:				
<i>Simon Fraser University:</i>				
Refining Marine Contaminant Studies	(8)	15. Unknown	NA	5,000
<i>Illinois Department of Natural Resources:</i>				
Public Service Chemistry Internship Program		15.252	6084004	8,618
Comprehensive Assessment of a Commercial Fishery	(8)	15.608	CAFS-74	725,038

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
Reducing and Controlling Asian Carp Populations	(7)	CAFSW-74	15,320
Bobwhite Quail Life	(7)	R90470190	(17)
Ecology of White Tailed Deer	(7)	W-087-R-32	6,298
Cooperative Upland Wildlife Research and Surveys	(7)	W-106-R-20	4,812
Cooperative Fur-Bearing	(7)	W-135-R-11	1,733
Population Assessment of Golden Mice	(7)	W-135-R-11	-
Cooperative Fur-Bearing	(7)	W135R12	111,242
Cooperative Upland Wildlife Research and Surveys	(7)	W106R21	169,220
Ecology of White Tailed Deer	(7)	W087R33	175,299
Population Assessment of Golden Mice	(7)	W135R12	18,879
Duck Distribution and Habitat	(7)	W-158-R-1	101,222
Illinois Wetlands Campaign Planning	(7)	NA	55,098
Large Carnivores in Illinois	(7)	W163-R1	16,383
Demonstrating the Benefits of In-Stream Restoration	(8)	T-51-D-1	(783)
Survey for the Pathogen Batrachochytrium	(8)	T-56-R-1	52,480
Illinois Conservation Opportunity Areas	(8)	T-55-P-1	125,900
Demonstrating the Benefits of Stream Reconnection	(8)	T-66-R-1	81,422
			<u>1,668,164</u>
<i>University of California at Berkeley:</i>			
Sources of Pyrethroid Insecticides	(8)	7451	11,169
<i>Kentucky Department of Fish and Wildlife Resources:</i>			
Description and Geography of Restricted Range	(8)	266009000235271	853
Description and Geography of Restricted Range	(8)	266010000033671	26,277
			<u>27,130</u>
<i>North Dakota Game and Fish:</i>			
Influence of Habitat Types on Waterfowl	(8)	T2-10-R	9,141
<i>Southeastern Regional Planning and Development Commission:</i>			
Prescribed Burning Effectiveness Monitoring	(8)	NA	20,356
			<u>1,740,960</u>
Total U.S. Department of the Interior			1,857,334
U.S. DEPARTMENT OF HOMELAND SECURITY			
Flow-Thru Grants and Contracts:			
<i>Illinois Emergency Management Agency:</i>			
Disaster Grants-Public Assistance	97.036	NA	789,588
Earthquake Hazard Mitigation	97.039	DR-1633-IL	22,168
Southern Illinois Multi-Hazard Mitigation	97.039	NA	32,064
			<u>843,820</u>

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
<i>Christian County:</i> Illinois Multi-Hazard Mitigation Planning	97.039	NA	18,601
<i>Fulton County:</i> Illinois Multi-Hazard Mitigation Planning	97.039	NA	19,941
<i>Macoupin County:</i> Illinois Multi-Hazard Mitigation Planning	97.047	NA	50,598
<i>Schuyler County:</i> Illinois Multi-Hazard Mitigation Planning	97.047	NA	51,413
<i>Menard County:</i> Illinois Multi-Hazard Mitigation Planning	97.047	NA	46,456
<i>Kendall County:</i> Illinois Multi-Hazard Mitigation Planning	97.047	NA	40,234
<i>Knox County:</i> Illinois Multi-Hazard Mitigation Planning	97.047	NA	20,049
<i>McDonough County:</i> Illinois Multi-Hazard Mitigation Planning	97.047	NA	51,810
			299,102
			1,142,922
Total U.S. Department of Homeland Security			
LIBRARY OF CONGRESS			
Direct Grants and Contracts: Teaching with Primary Sources	42. Unknown	GA07C0058	203,841
Total Library of Congress			203,841
U.S. SMALL BUSINESS ADMINISTRATION			
Direct Grants and Contracts: Southern Illinois Research Park Building #3	59.9200700Z0069A		244,981
Flow-Thru Grants and Contracts: <i>Illinois Department of Commerce and Economic Opportunity:</i>			244,981

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
Small Business Development Center	59.037	10-561125	66,250
Small Business Development Center	59.037	11-181125	47,500
Small Business Development Center	59.037	11-081125	28
			<u>113,778</u>
Total U.S. Small Business Administration			358,759
U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT			
Flow-Thru Grants and Contracts:			
<i>New Mexico State University:</i>			
Afghanistan Water Agriculture	98.306-A-00-08-00506	Q01125	<u>408,874</u>
Total U.S. Agency for International Development			408,874
NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES			
Direct Grants and Contracts:			
Presenting Illinois' Selection of the Vogel Collection	45.024		6,230
Taking the Arts on the Road	45.024		3,959
Southern Illinois Music Festival Classics	45.024		9,091
21st Century Collection Management Initiative	45.301		<u>953</u>
			20,233
Total National Foundation on the Arts and the Humanities			20,233
NATIONAL AERONAUTICS AND SPACE ADMINISTRATION			
Direct Grants and Contracts:			
NASA Wings Summer Camp	43.NNX10AK39G		<u>13,795</u>
Total National Aeronautics and Space Administration			13,795
U.S. DEPARTMENT OF JUSTICE			
Direct Grants and Contracts:			
Homeland Security in Small Law Enforcement	(8) 16.560		<u>47,191</u>
Flow-Thru Grants and Contracts:			
<i>City of Carbondale, Illinois:</i>			47,191

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
Domestic Violence Clinic	16.2009-WE-AX-0044	NA	4,535
<i>Land of Lincoln Legal Assistance Foundation Inc.:</i> Legal Assistance to Victims	16. Unknown	NA	18,962
<i>Eastern Illinois University:</i> Underage Alcohol Prevention Program	16.727	10-06	8,500
Underage Alcohol Prevention Program	16.727	11.07	7,500
			16,000
<i>Illinois Criminal Justice Information Authority:</i> Student Perceptions of Campus Safety	16. Unknown	NA	528
A Systematic Evaluation of Pulling Levers	16. Unknown	NA	37,004
			37,532
<i>Illinois State Police:</i> Bullet Proof Vest Partnership Grant	16.607	NA	3,119
			80,148
			127,339
Total U.S. Department of Justice			71,086
U.S. ENVIRONMENTAL PROTECTION AGENCY			
Direct Grants and Contracts: Assessment of Sealed Off Areas	66.034	(8)	71,086
Flow-Thru Grants and Contracts: <i>University of California at Berkeley:</i> Reducing Unexplained Toxicity	66.114	SA5768-77094	9,681
<i>Iowa State University:</i> Biofuel Feedstock Landscape Coverage	66.511	459-40-12	10,406
<i>Illinois Emergency Management Agency:</i> Radon Risks and Your Patients	66.032	K1-99501818-0	13,584
State Indoor Radon Grant	66.032	11SIUSCI (RADON)	2,773
			16,357
<i>Illinois Environmental Protection Agency:</i> Southern Illinois University Intensive Basin	66.605	FW-9307	8,188
			44,632
			115,718
Total U.S. Environmental Protection Agency			

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
U.S. DEPARTMENT OF STATE			
Flow-Thru Grants and Contracts:			
Study of the US Institute	19.S-ECAAE-08-CA-053	3957-02-02	75
Study of the US Institute	19.S-ECAAE-10-CA-114	4310-02-01	59,341
Study of the US Institute	19.S-ECAAE-10-CA-114	4310-02-01	53,120
Total U.S. Department of State			112,536
U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT			
Flow-Thru Grants and Contracts:			
<i>Illinois Department of Public Health:</i>			
HOPWA/IL Care Connect	14.241	05780437	15,667
HOPWA FY10	14.241	05780418	27,514
Total U.S. Department of Housing and Urban Development			43,181
TOTAL FEDERAL ASSISTANCE			\$ 77,939,394

SOUTHERN ILLINOIS UNIVERSITY EDWARDSVILLE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
U.S. DEPARTMENT OF EDUCATION			
Direct Grants and Contracts:			
Talent Search-CM 06/10-USDE	(6)	PO44A060116/	\$ 216,010
Talent Search 07/11	(6)	PO44A070125	221,461
Upward Bound -BEV FY09	(6)	PO47A080489	276,736
Upward Bound-EC 08/12	(6)	PO47A080484	495,965
Upward Bound Math and Science 08/12	(6)	PO47m080163	278,832
Child Care Access Means Parents in Schools		P335A090238	77,383
SIAM Center Capability Enhancement-USDE	(8)	P116Z090135	23,148
			1,589,535
Financial Assistance:			
Federal Work Study 2011	(1)	P033A101286	440,268
National Smart Grant - FY10/11	(1)	P376S100116	130,500
Academic Competitiveness Grant-FY2011	(1)	P375A100116	311,457
Federal Pell Grant Program FY2010	(1)	P063P100116	16,351,771
Federal SEOG	(1)	P007A101286	287,123
Teach Grant -FY10/11	(1)	P379T110116	64,802
			17,585,921
Flow-Thru Grants and Contracts:			
<i>St. Clair County Regional Office of Education</i>			
People and Places: Our Story of Freedom, Liberty and Equality	(8)	78-499905-6000-314-02	24,317
<i>East St. Louis School District #189</i>			
Back to Basics Transition to Teaching(BTBT3)		I350A090046A/30003143501	62,849
<i>Illinois State Board of Education</i>			
Mathematics and Science Leadership Initiative 2(MASLI12-SM)		4936-70-41-057-029P-00	184,776
Early Intervening Services and Responses-ISBE/USDE	(8)	IDEA4631RC	179,503
			364,279
<i>Illinois Board of Higher Education</i>			
Students Learning Science through a Sustained Network of Teachers		2010 NCLB	243,890
Students Learning Science through a Sustained Network of Teachers		2011 NCLB	25,623
Hands on Science: Improving Science Teacher Quality			4,858
			274,371
<i>Illinois Community College Board</i>			
SIPDC FY10/11		AEL11005	391,071
SIPDC FY 09/10		AEL10005	15,352
Index of Need - FY2011		AEL11001	28,109
Index of Need FY2010		AEL10001	974
SIPDC WIA Adult Education FY2010		WIASCN02	2,244
			437,750

SOUTHERN ILLINOIS UNIVERSITY EDWARDSVILLE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
<i>National Writing Project Corp./University of California</i> Piassa Bluffs Writing Project	84.000	#08-IL06	63,092
<i>Higher Education Consortium</i> Educational Opportunity Center - 09/10	(6) 84.066		22,409
			1,249,067
			20,424,523
Total U.S. Department Of Education			
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES			
Direct Grants and Contracts:			
Nurse Anesthetist Training 10/11	93.124	2 A22HPO7388-05-00	23,400
Advanced Education Nurse Traineeship 10/11	93.358	2 A10HP008265-04-00	43,303
St. Clair Head Start 09/10	93.600	05CH5228/27	17,930
ARRA-Early Head Start Quality Improvement 09/10	(2) 93.708	05SE5228/01	45,080
ARRA-Head Start Quality Improvement 09/10	(2) 93.708	05SE5228/01	381,435
ARRA-ESL Head Start-COLA 09/10	(2) 93.708	05SE5228/01	26,414
ARRA-Early Head Start COLA FY09/10	(2) 93.708	05SE5228/01	1,398
ARRA-Early Head Start Expansion Start-Up	(2) 93.708	05SH5228/01	395,326
ARRA Early Head Start Expansion T&TA	(2) 93.708	05SH5228/01	13,190
ESL St. Clair Head Start Base Oper. FY10/11	(2) 93.600	05CH5228/28	6,921,233
St. Clair Head Start T/TA FY 10/11	(2) 93.600	05CH5228/28	73,537
St. Clair Early Head Start Oper FY10/11	(2) 93.600	05CH5228/28	1,040,630
St. Clair Early Head Start T/TA FY10/11	(2) 93.600	05CH5228/28	26,220
Project S.N.A.P. Student Nurse Achievement Program	93.178	D19HP19030-01-00	195,250
Establishment of a SIUE Regional Nursing Program	93.888	D1DHP20360-01-00	294,814
2011-2012 Head Start Base Operating Grant	(2) 93.600	05CH5228/29	1,854,064
2011-2012 Head Start T/TA	(2) 93.600	05CH5228/29	13,109
2011-2012 Early Head Start Base Grant	(2) 93.600	05CH5228/29	318,630
2011-2012 Early Head Start T/TA	(2) 93.600	05CH5228/29	2,656
Investigating the Role of ATG1	(8) 93.390	1r15ns063315-01	13,876
Exercise Dose and Nonalcoholic Fatty Liver Disease	(8) 93.848	7K01DK078738-03	110,406
ARRA:Investigating the Role of ATG1 in the Regulation of Glutamate	(5) 93.701	3R15NS063315-01S1	7,823
Somatostatin Agonist Treatment for Cognitive Aging and Dementia	(8) 93.866	1R21AG029318-01A2	182,762
ARRA Targeting the Relief of Chronic Pain with Orally Active Peroxynitrite Decomposition	(5) 93.701	1RC1AR058231-01	447,917
Ruth L. Kirschstein National Research Service Award-NIH	(8) 93.000	1F32NR012389-01	48,444
EB1 Protein: Regulator of Actin Protrusion and Cell Motility	(8) 93.859	1R15GM093288-01A1	5,645
ARRA NIDDKExercise Dose and Non Fatty Liver Disease-Supplement	(5) 93.701	3K01DK078738-04S1	41
Financial Assistance:			
Health Professions Student Loans	(1) 93.342	E11HP14836	12,504,533
			11,227

Flow-Thru Grants & Contracts:
Illinois Department of Children and Family Services

SOUTHERN ILLINOIS UNIVERSITY EDWARDSVILLE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
Project Success 09/10	93.667	Provider#075226	1,575
Project Success 10/11	93.667	Provider#075226	248,504
			<u>250,079</u>
<i>Illinois Department of Health and Human Services</i>			
Child Care and Development Blk Grant	93.575	0100149GL	870
<i>Lewis and Clark Community College</i>			
Evaluation of Lewis and Clark Nursing Program	(8) 93.359		25,716
<i>Southern Illinois University Carbondale</i>			
Live Free-Tobacco Free-SIUC/IDPH	93.283	23086-7603Z	44
<i>Stoecker and Associates</i>			
Automatic Detection of Critical Dermascopy Features	(8) 93.000	SBIR-NIH	11,747
<i>Washington University</i>			
Development Phase 1: Tobacco Use in Pregnancy and Psychiatric Disorder	(8) 93.389	CTSA201/5 UL1 RR024992-03(NIH)	2,366
<i>St. Louis University</i>			
National Children's Study-St. Louis City Site	(8) 93.847	HHSN267200700033C	149,154
National Children's Study-Macoupin County Site	(8) 93.847	HHSN267200700033C	59,833
Jefferson County/Gateway Study Ctr-NCS Grant	(8) 93.847	HHSN275200800023C	1,029
			<u>210,016</u>
<i>Lesslie Bates Davis Neighborhood House</i>			
TANF/Low Income Scholarship FY2010	93.000		329,366
<i>Madison County Probation And Court Services Department</i>			
Madison County Illinois Drug Court Treatment Enhancement	93.243	1H79T1021891-01	38,706
			<u>868,910</u>
Total U.S. Department of Health and Human Services			13,384,670
NATIONAL SCIENCE FOUNDATION			
Direct Grants and Contracts:			
Creating Educational Opportunities Through Partnerships-NSF	47.076	DUE-0806608	157,412
Spectroscopy of Pd and Pt Catalytic Mimetics-NSF	(8) 47.049	CHE-0612931	31,220
Collaborative Project Gemini SPM	(8) 47.076	DUE-0633186	240
RUI Collaborative Research-Analysis of Optimal and Suboptimal Controls	(8) 47.049	DMS-0707404	16,783
Collaborative Research: Phylogeography, Ecology	(8) 47.074	DEB-0716964	53,846
Collaborative Research: Novel 3D Nanocomposites	(8) 47.041	CMMI0757547	13,599
Commonsense Computing: What Students Should Know Before We Teach	(8) 47.076	DUE-0736958	7,246
MRI: Acquisition of an EPR Spectrometer for Teaching & Research	(8) 47.049	CHE-0821082	1,276

SOUTHERN ILLINOIS UNIVERSITY EDWARDSVILLE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
Collaborative Research-A Disciplinary Commons in Computing Education-NSF	(8) 47.076	DUE-0817254	5,786
Regional Collaboration to Improve Science Content-NSF	(8) 47.076	DUE-0837417	35,098
Collaborative Research: Shifting Paradigms	(8) 47.075	SES-0849170	19,776
ARRA-Collaborative Research:Efficient Experimentation for Product and Process Reliability	(5) (8) 47.082	CMMI-0928046	34,990
Isothermal Calorimetry in Physical Chemistry and Biochemistry	(8) 47.076	DUE-0941517	58,253
ARRA-MRI-R2 Acquisition of Raman and Infrared Microscopes	(5) (8) 47.082	DMR0960177	572,533
Giving the Zoo Universe a Face	(8) 47.079	AST-0958508	34,244
Collaborative Research: BPC-DP Using Auditory Programming	(8) 47.070	CNS-0940521	134,681
RUI: Collab Res: Optimal Control of Multi-Input Mathematical Models	(8) 47.049	DMS-1008221	41,515
Laying the Groundwork: Status of Women	(8) 47.076	HRD-1008696	50,534
MRI: Major Components for Constructing Supply Chain Test-Bed	(8) 47.041	CMMI-1039936	184,508
Assay Development for a Biosensor-NSF	(8) 47.041	EEC-0538739/IIP-0538739	93
U.S.-Israel Workshop:Mathematical Methods in System Biology	(8) 47.079	OISE-0929596	1,735
Biosolids on Agricultural Land-NSF	(8) 47.041	CBET/BES-0553322	446
			1,455,814
Flow-Thru Grants and Contracts:			
<i>Chicago State University</i>			
Increasing the Minority Scientist Pool:ILSAMP Phase IV	47.076	HRD-0904024	20,965
<i>Road Narrows , LLC</i>			
SBIR/STTR Phase II:General Robotic Controller	(8) 47.000	IIP-0848762	34,882
<i>Blended Integrated Circuit Systems, LLC</i>			
ARRA Blendics Phase II STTR	(5) (8) 47.082	WU-004457/IIP-0924010	15,565
<i>Adler Planetarium</i>			
Investigating Audience Engagement with Citizen Science	(8) 47.076	DRL-0917608/1941-IAECS-02	20,214
Zoo Universe US-UK Planning Meeting	(8) 47.079	OISE-0937322	461
ARRA CDI-TYPE II: Zoo Universe-Conquering the Data Flood	(5) (8) 47.082	1266-CDIZCDF-02	6,525
			27,200
<i>University Of Oklahoma</i>			
Redox Behavior of Heme-NO Models	(8) 47.049	CHE-0911537/sub#2010-16	67,612
			166,224
			1,622,038
Total National Science Foundation			
U.S. DEPARTMENT OF AGRICULTURE			
Direct Grants and Contracts:			
ARS/Ethanol Research Agreement 58-0200-9-185	(8) 10.001	58-0200-9-185	206,482
Flow-Thru Grants and Contracts:			
<i>Illinois State Board of Education</i>			

SOUTHERN ILLINOIS UNIVERSITY EDWARDSVILLE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
Head Start - Food Service-ISBE	10.558	41-057-029P-00	442,846
Project Success-Food Service - ISBE	10.558		30,083
ECC Food Program - ISBE	10.558		28,523
PALS - Food Service - ISBE	10.558		15,400
Summer Food Prog.	10.558	41-057-029P-00	9,861
School Lunch 99/07	10.558	41-057-029P-00	26,611
TRIO Food Program	10.558	Site # 43557	15,458
			<u>568,782</u>
Total U.S. Department of Agriculture			775,264
U.S. DEPARTMENT OF LABOR			
Flow-Thru Grants and Contracts:			
<i>Illinois Community College Board</i>			
SIPDC Professional Development Center FY2009	(3) 17.259	SG AEManu	46,000
SIPDC WIA Adult Education FY2010	17.267	SG AE	44,920
			<u>90,920</u>
<i>Madison County Employment & Training Department</i>			
ARRA Vocational Training Agreement-Madison County	(3) (5) 17.258/17.260	2009-24-84	119,061
Total U.S. Department of Labor			209,981
U.S. DEPARTMENT OF DEFENSE			
Direct Grants and Contracts:			
Spatially Explicit Assessments-SERDP	(8) 12.300	W912HQ-06-P-0053	18
Flow-Thru Grants and Contracts:			
<i>Washington University</i>			
Development of a Digital Interface for PSD8C Chip	(8) 12.000	W WU-HT-09-40/DE-AC52-0	61,066
<i>Streamline Automation, LLC</i>			
STTR: Fusion of a Real Time Analytical Model with Facility Control System	(8) 12.000	FA9505-10-C-0137/1065-L	36,948
			<u>98,014</u>
Total U.S. Department of Defense			98,032
U.S. DEPARTMENT OF TRANSPORTATION			
Flow-Thru Grants and Contracts:			
<i>University of Illinois</i>			
Development of a Highway Incident Management Operational and Training Guide	(8) 20.000	2008-04435-12	62,176
<i>Clemson University</i>			
Evaluation of Communication Alternatives	(8) 20.000	1421-223-2006586	546

See accompanying Notes to Schedule of Expenditures of Federal Awards

SOUTHERN ILLINOIS UNIVERSITY EDWARDSVILLE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
<i>Illinois Department of Transportation</i> Investigation of Contributing Factors -Wrong Way Driving on Freeways	(8) 20.205	2008-04435-22	74,795
<i>Southern Illinois University Carbondale</i> Summer Transportation Institute	(8) 20.205	SIUC 10-38	23,188
Total U.S. Department of Transportation			160,705
U.S. DEPARTMENT OF COMMERCE			
Direct Grants and Contracts: EDA-Economic Development Administration-DOC	(8) 11.303	06-66-05311	171,610
Total U.S. Department of Commerce			171,610
U.S. DEPARTMENT OF THE INTERIOR			
Direct Grants and Contracts: Examining Hybridization Relationships	(8) 15.608	301818J219	440
Flow-Thru Grants and Contracts: <i>Illinois Department of Natural Resources</i> Mine Subsidence Project Aide Subsidence Monitoring Response Team FY10/13 Mine Map Preservation Implementation Project FY10-13 Subsidence Monitoring Response Team-IDNR FY10 Mine Map Preservation Implementation Project 07-10	(8) 15.252 (8) 15.252 (8) 15.252 (8) 15.252 (8) 15.252	N/A AML-GSWA-2010D AML-GSWA-0010E AML-GSWA-0900D AML-GSWA-0700E	994 113,090 253,268 7,929 41,092 416,373
Total U.S. Department of the Interior			416,813
LIBRARY OF CONGRESS			
Direct Grants and Contracts: Teaching w/ Primary Resources-LOC	42.006	00G-LIB-ND001	201,264
Total Library of Congress			201,264
U.S. SMALL BUSINESS ADMINISTRATION			
Flow-Thru Grants and Contracts: <i>Illinois Department of Commerce and Economic Opportunity</i> SBDC/ITC 10-805126 Small Business Development Centers SBDC 05-FY11	59.037 59.037	10-805126 11-801126	47,250 66,763 114,013

SOUTHERN ILLINOIS UNIVERSITY EDWARDSVILLE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
Total U.S. Small Business Administration			114,013
NATIONAL AERONAUTICS AND SPACE ADMINISTRATION			
Direct Grants and Contracts: The Universal Zoo: Citizen Science - NASA	(8) 43.000	NNX09AD34G	128,469
Flow-Thru Grants and Contracts: <i>Illinois Space Grant Consortium (NASA)</i> ISGC Scholarships and Fellowships 2010/2011	43.000	2010-04000-01 A2154	27,964
<i>University Of Illinois</i> SIUE Automated Observatory	(8) 43.000	2005-03386-10/A5868	2,870
<i>South West Research Institute</i> Ice Hunters for New Horizons	(8) 43.000	D99037LM/NASW-02008	661
Total National Aeronautics and Space Administration			31,495
U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT			159,964
Flow-Thru Grants and Contracts: <i>Community Development Black Grant</i> Youth in Arts FY10/11	14.218	HUD	24,159
Total U.S. Department of Housing and Urban Development			24,159
NATIONAL ENDOWMENT FOR THE HUMANITIES			
Direct Grants and Contracts: Abraham Lincoln and the Forging of Modern America-NEH 2011 Abraham Lincoln and the Forging of Modern America II-NEH Documenting Edo North Languages-NEH	(8) 45.163 45.163 47.075	BH-50308-09 BH-50362-10 PD-50004-06	90,984 59,019 1,215
Flow-Thru Grants and Contracts: <i>Illinois Humanities Council</i> The African American Mixed Media Poetry Project	45.129	4676	1,744
<i>Illinois Arts Council</i> Youth Arts FY10/11	45.000	20101538, SPECIAL	1,250
Total National Endowment for the Humanities			2,994
			154,212

SOUTHERN ILLINOIS UNIVERSITY EDWARDSVILLE
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year Ended June 30, 2011

Federal Grantor/Pass Through Grantor/Program Title	Federal CFDA/Grant/ Contract Number	Flow-Thru Grantor's Number	Disbursements/ Expenditures
U.S. POSTAL SERVICE			
Direct Grants and Contracts:			
S.I.U. Branch Post Office	287140-90-P-0079		2,864
Total U.S. Postal Service			2,864
TOTAL FEDERAL ASSISTANCE		\$	37,920,112
Subtotal of Non Major Clusters:			
(6) TRIO Cluster Total Expenditures of \$2,508,244			
(7) Fish and Wildlife Cluster Total Expenditures of \$675,489			
(8) Research and Development Cluster Total Expenditures of \$26,095,594			
(9) Highway and Safety Cluster Total Expenditures of \$476,048			

STATE OF ILLINOIS
SOUTHERN ILLINOIS UNIVERSITY
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2011

NOTE A – BASIS OF PRESENTATION

The accompanying schedule of expenditures of federal awards includes the federal grant activity of Southern Illinois University (the "University") and is presented on the accrual basis of accounting. The information in this schedule is presented in accordance with the requirements of OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*. Therefore, some amounts presented in this schedule may differ from amounts presented in, or used in the preparation of, the basic financial statements.

NOTE B – STUDENT LOAN PROGRAMS ADMINISTERED BY THE UNIVERSITY

The University administered the following federal loan programs during the year ended June 30, 2011:

	<u>Carbondale</u>	<u>Edwardsville</u>	<u>Total</u>
Perkins Loan Program CFDA #84.038			
Outstanding balance, July 1, 2010	\$ 14,869,538	\$ 2,325,090	\$ 17,194,628
Additions:			
Interest income	235,478	70,009	305,487
Decrease in provision for notes receivable	<u>-</u>	<u>16,948</u>	<u>16,948</u>
Total additions	235,478	86,957	322,435
Deductions:			
Loans canceled or written-off, net	88,110	15,119	103,229
Administrative charges	131,638	72,500	204,138
Increase in provision for notes receivable	<u>136,518</u>	<u>-</u>	<u>136,518</u>
Total deductions	<u>356,266</u>	<u>87,619</u>	<u>443,885</u>
Outstanding balance, June 30, 2011	<u>\$ 14,748,750</u>	<u>\$ 2,324,428</u>	<u>\$ 17,073,178</u>

STATE OF ILLINOIS
SOUTHERN ILLINOIS UNIVERSITY
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2011

NOTE B – STUDENT LOAN PROGRAMS ADMINISTERED BY THE UNIVERSITY
(Continued)

	<u>Carbondale</u>	<u>Edwardsville</u>	<u>Total</u>
Nursing Student Loan Program CFDA #93.364			
Outstanding balance, July 1, 2010	\$ -	\$ 4,847	\$ 4,847
Additions:			
Interest income	-	115	115
Decrease in provision for notes receivable	<u>-</u>	<u>708</u>	<u>708</u>
Total additions	-	823	823
Deductions:			
Loans canceled or written off, net	<u>-</u>	<u>-</u>	<u>-</u>
Total deductions	<u>-</u>	<u>-</u>	<u>-</u>
Outstanding balance, June 30, 2011	<u>\$ -</u>	<u>\$ 5,670</u>	<u>\$ 5,670</u>
Health Professionals Loan Program CFDA #93.342			
Outstanding balance, July 1, 2010	\$ 1,393,147	\$ 390,541	\$ 1,783,688
Additions:			
Interest income	23,029	9,510	32,539
Other	<u>-</u>	<u>12,474</u>	<u>12,474</u>
Total additions	23,029	21,984	45,013
Deductions:			
Refunds to grantor	302,289	-	302,289
Increase in provision for notes receivable	<u>(2,467)</u>	<u>15,480</u>	<u>13,013</u>
Total deductions	<u>299,822</u>	<u>15,480</u>	<u>315,302</u>
Outstanding balance, June 30, 2011	<u>\$ 1,116,354</u>	<u>\$ 397,045</u>	<u>\$ 1,513,399</u>

STATE OF ILLINOIS
SOUTHERN ILLINOIS UNIVERSITY
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2011

NOTE B – STUDENT LOAN PROGRAMS ADMINISTERED BY THE UNIVERSITY
(Continued)

	<u>Carbondale</u>	<u>Edwardsville</u>	<u>Total</u>
Disadvantaged Student Loan Program CFDA #93.342			
Outstanding balance, July 1, 2010	\$ 168,247	\$ 699	\$ 168,946
Additions:			
Interest income	3,125	-	3,125
Deductions:			
Refund to grantor	-	699	699
Increase in provision for notes receivable	<u>2,772</u>	<u>-</u>	<u>2,772</u>
Total deductions	<u>2,772</u>	<u>699</u>	<u>3,471</u>
Outstanding balance, June 30, 2011	<u>\$ 168,600</u>	<u>\$ -</u>	<u>\$ 168,600</u>

The above deductions include disbursements and expenditures such as loans to students and administrative expenditures.

NOTE C – FEDERAL DIRECT STUDENT LOAN PROGRAM CFDA #84.268:

During the fiscal year ended June 30, 2011, the University processed the following amounts of non-cash federal awards in the form of loans under the Federal Direct Student Loan Program (which includes Stafford Loans, Parents' Loans for Undergraduate Students, and Supplemental Loans for Students):

	<u>Carbondale</u>	<u>Edwardsville</u>	<u>Total</u>
Year ended June 30, 2011	<u>\$ 132,474,480</u>	<u>\$ 93,980,847</u>	<u>\$ 226,455,327</u>

STATE OF ILLINOIS
SOUTHERN ILLINOIS UNIVERSITY
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2011

NOTE D – MAJOR PROGRAMS

The following federal program expenditures comprise major program expenditures under OMB Circular A-133 for the year ended June 30, 2011. (Major programs are indicated in the Schedule of Expenditures of Federal Awards by (1), (2), (3) or (4)).

	<u>Carbondale</u>	<u>Edwardsville</u>	<u>Total</u>
(1) Student Financial Aid Cluster	\$ 33,149,297	\$ 17,597,148	\$ 50,746,445
(2) Head Start Program	3,353,247	11,130,852	14,484,099
(3) Workforce Infrastructure Act	1,917,858	165,060	2,082,918
(4) Vocational Rehabilitation Cluster	<u>1,306,875</u>	<u>-</u>	<u>1,306,875</u>
Total major program expenditures	39,727,277	28,893,060	68,620,337
Other program expenditures	<u>38,212,117</u>	<u>9,027,052</u>	<u>47,239,169</u>
Total federal expenditures	<u>\$ 77,939,394</u>	<u>\$ 37,920,112</u>	<u>\$ 115,859,506</u>

As part of the Student Financial Aid Program, Southern Illinois University administers loan proceeds under the Perkins Loan Program (as described in Note B) and the Federal Direct Student Loan Program (as described in Note C).

NOTE E – SUBRECIPIENTS

Of the federal expenditures presented in the Schedule of Expenditures of Federal Awards, the University provided federal awards to subrecipients as follows:

<u>Program Title</u>	<u>Federal CFDA Number</u>	<u>Amount Provided to Subrecipients</u>
Carbondale:		
Aging Research	93.866	\$ 1,614,485
Rural Health Care Services Outreach and Rural Health Network Development Prog.	93.912	248,930
Allergy, Immunology and Transplantation Research	93.855	10,796
U.S. Department of Defense	12.W912HZ-10-2-0037	80,320
Improving Teacher Quality State Grants	84.367	158,057
Grants for Agricultural Research, Special		

STATE OF ILLINOIS
SOUTHERN ILLINOIS UNIVERSITY
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2011

NOTE E – SUBRECIPIENTS (Continued)

<u>Program Title</u>	<u>Federal CFDA Number</u>	<u>Amount Provided to Subrecipients</u>
Special Research Grants	10.200	\$ 94,646
Cancer Detection and Diagnosis Research	93.394	297,322
Integrated Programs	10.303	41,307
Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act	66.034	(35,000)
U.S. Department of Agriculture	10.09-9617-0877CA	17,357
Housing Opportunities for Persons With AIDS	14.241	15,667
Research Related to Deafness and Communication Disorders	93.173	46,670
Cancer Cause and Prevention Research	93.393	33,188
Fish and Wildlife Management Assistance	15.608	49,891
U.S. Department of Justice	16.Unknown	11,572
Highway Planning and Construction	20.205	23,188
State and Community Highway Safety	20.600	5,608
Fund for The Improvement of Postsecondary Education	84.116	2,324
Biological Sciences	47.074	5,109
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	88,153
Hazard Mitigation Grant	97.039	21,823
Pre-Disaster Mitigation	97.047	<u>65,573</u>
Subrecipients - Carbondale		<u>\$ 2,896,986</u>

<u>Program Title</u>	<u>Federal CFDA Number</u>	<u>Amount Provided to Subrecipients</u>
Edwardsville:		
Special Education – State Grants	84.027	\$ 138,017
Trans-NIH Recovery ACT Research Support	93.701	195,300
Head Start	93.600	66,814
Aging Research	93.866	40,516
National Aeronautics and Space Administration	43.000	3,366
Education and Human Resources	47.076	12,309
Digestive Disease and Nutrition Research	93.848	14,400
Digital Strategy – American Memory Fellows	42.006	3,411
Mathematics and Science Partnership	84.366	5,000
ARRA DHHS Head Start	93.708	<u>179,132</u>
Subrecipients - Edwardsville		<u>\$ 658,265</u>

STATE OF ILLINOIS
SOUTHERN ILLINOIS UNIVERSITY
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
Year ended June 30, 2011

NOTE F – NON-CASH ASSISTANCE AND FEDERAL INSURANCE

During the year ended June 30, 2011, the University received no non-cash assistance, except as disclosed in Note C. Also, there was no federally funded insurance in effect during the year ended June 30, 2011.

NOTE G – SCHEDULE OF FEDERAL EXPENDITURES, NON FEDERAL EXPENSES, AND NEW LOANS

	<u>Carbondale</u> <u>Amount</u>	<u>Edwardsville</u> <u>Amount</u>	<u>Total</u> <u>Amount</u>			
Total Federal expenditures						
Reported on SEFA	\$ 77,939,394	\$ 37,920,112	\$ 115,859,506			
Total New Loans Made not						
Included on SEFA	132,474,480	93,980,847	226,455,327			
Amount of Federal Loan Balances						
At Beginning of the Year	16,430,932	2,721,177	19,152,109			
Other noncash Federal Award						
Expenditures	<u>-</u>	<u>-</u>	<u>-</u>			
Total Federal Financial						
Component	<u>\$ 226,844,806</u>	<u>\$ 134,622,136</u>	<u>\$ 361,466,942</u>			
Total Operating Expenses (From						
Financial Statements)	\$ 712,627,028	\$ 290,977,388	\$1,003,604,416			
Total Nonoperating Expenses						
From Financial Statements)	7,597,108	8,505,215	16,102,323			
Total New Loans Made	132,474,480	93,980,847	226,455,327			
Amount of Federal Loan Balances						
At Beginning of the Year	16,430,932	2,721,177	19,152,109			
Other noncash Federal Award						
Expenditures	<u>-</u>	<u>-</u>	<u>-</u>			
Total Financial Component	<u>\$ 869,129,548</u>	<u>\$ 396,184,627</u>	<u>\$1,265,314,175</u>			
Total Federal Financial	<u>Amount</u>	<u>Percent</u>	<u>Amount</u>	<u>Percent</u>	<u>Amount</u>	<u>Percent</u>
Component	\$ 226,844,806	26.1%	\$ 134,622,136	34.0%	\$ 361,466,942	28.6%
Nonfederal Expenses	<u>642,284,742</u>	<u>73.9%</u>	<u>261,562,491</u>	<u>66.0%</u>	<u>903,847,233</u>	<u>71.4%</u>
Total Financial Component	<u>\$ 869,129,548</u>	<u>100.00%</u>	<u>\$ 396,184,627</u>	<u>100.00%</u>	<u>\$ 1,265,314,175</u>	<u>100.00%</u>

Breakout of Major and Nonmajor Programs

	<u>Carbondale</u>		<u>Edwardsville</u>		<u>Total</u>	
	Amount	Percent	Amount	Percent	Amount	Percent
Major programs	\$ 39,727,277	51.0%	\$ 28,893,060	76.2%	\$ 68,620,337	59.2%
Nonmajor programs	<u>38,212,117</u>	<u>49.0%</u>	<u>9,027,052</u>	<u>23.8%</u>	<u>47,239,169</u>	<u>40.8%</u>
Total federal expenditures	<u>\$ 77,939,394</u>	<u>100.00%</u>	<u>\$ 37,920,112</u>	<u>100.00%</u>	<u>\$ 115,859,506</u>	<u>100.00%</u>