

Battelle Memorial Institute

Report on Federal Awards in Accordance with
OMB Circular A-133 for the Year Ended September 30, 2011,
and Independent Auditors' Report on Internal Control over
Financial Reporting and on Compliance and Other Matters
Based on an Audit of the Financial Statements Performed in
Accordance with *Government Auditing Standards* and
Independent Auditors' Report on Compliance with Requirements
Applicable to Each Major Federal Award Program and on
Internal Control over Compliance in Accordance
with OMB Circular A-133

BATTELLE MEMORIAL INSTITUTE

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BATTELLE MEMORIAL INSTITUTE

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED SEPTEMBER 30, 2011**

Agency Code	CFDA	R&D	Federal Agency	Major Sub Agency/Program Title	Total Expenditures	Subcontracted Dollars	Contract Ref.
1. DIRECT FUNDING							
11	417	Yes	Department of Commerce	Sea Grant Support	\$ 47,992	\$ -	
11	431	Yes	Department of Commerce	Climate and Atmospheric Research	171,136		
11	RD	Yes	Department of Commerce	National Oceanic & Atmospheric Administration	<u>228,520</u>		
					<u>447,648</u>	<u>-</u>	
12	300	Yes	Department of Defense	Basic and Applied Scientific Research	34,016		
12	420	Yes	Department of Defense	Military Medical Research and Development	55,890		
12	RD	Yes	Department of Defense	ARRA-Air Force	19,181		
12	RD	Yes	Department of Defense	ARRA-Army	361,169	206,487	
12	RD	Yes	Department of Defense	Advanced Research Projects Agency	1,039,447	170,444	
12	RD	Yes	Department of Defense	Air Force	21,972,500	3,931,973	
12	RD	Yes	Department of Defense	Army	155,511,619	90,722,934	
12	RD	Yes	Department of Defense	Classified	72,498,282	12,667,854	
12	RD	Yes	Department of Defense	Defense Information Systems Agency	64,934		
12	RD	Yes	Department of Defense	Joint IED Defeat Organization	963,887		
12	RD	Yes	Department of Defense	Joint Nonlethal Weapons Program Director	2,002,869		
12	RD	Yes	Department of Defense	Joint Program Manager Information Systems	4,405,026	1,764,364	
12	RD	Yes	Department of Defense	Joint Program Manager NBC	2,104,842		
12	RD	Yes	Department of Defense	Joint Program Office	8,096,667	2,131,575	
12	RD	Yes	Department of Defense	Joint Requirements Office	14,136,136	2,248,490	
12	RD	Yes	Department of Defense	Logistics Information Services	39,823		
12	RD	Yes	Department of Defense	Missile Defense Agency	254,766	2,091	
12	RD	Yes	Department of Defense	National Guard Bureau	5,255,923		
12	RD	Yes	Department of Defense	Navy	62,828,058	14,365,752	
12	RD	Yes	Department of Defense	Office of the Deputy Assistant Secretary	2,666,309	122,649	
12	RD	Yes	Department of Defense	Office of the Secretary	188,826		
12	RD	Yes	Department of Defense	Office of the Under Secretary	1,230,900	10,043	
12	RD	Yes	Department of Defense	Pentagon Force Protection Agency	3,239,683	407,780	
12	RD	Yes	Department of Defense	Special Operations Command	3,577,363	1,230,535	
12	RD	Yes	Department of Defense	Technical Information Center	1,564,177		
12	RD	Yes	Department of Defense	Threat Reduction Agency	7,444,672	80,642	
12	RD	Yes	Department of Defense	US Northern Command	919,084		
12	RD	Yes	Department of Defense	US STRATCOM	445,067	236,053	
12	RD	Yes	Department of Defense	Washington Headquarters Services	<u>1,914,176</u>		
					<u>374,835,292</u>	<u>130,299,666</u>	
14	RD	Yes	Department of Housing and Urban Development	Office of Healthy Homes and Lead Hazard Control	<u>60,624</u>		
15	RD	Yes	Department of Interior	Minerals Management Service	<u>28,767</u>		
16	RD	Yes	Department of Justice	Federal Bureau of Investigation	<u>1,209,970</u>	<u>705,756</u>	
20	RD	Yes	Department of Transportation	ARRA-Federal Highway Administration	296,513	9,416	
20	RD	Yes	Department of Transportation	COSTS OF ALTERNATIVE REVENUE-GENERATION SYSTEMS	23,559	18,840	
20	RD	Yes	Department of Transportation	EVALUATION OF THE USE OF ELECTRONIC SHIPPING PAPERS FOR HAZARDOUS MATERIALS SHIPMENTS	40,710	1,635	
20	RD	Yes	Department of Transportation	Federal Aviation Administration	484,189		
20	RD	Yes	Department of Transportation	Federal Highway Administration	6,486,238	2,912,171	
20	RD	Yes	Department of Transportation	Federal Motor Carrier Safety Administration	45,676		

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**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED SEPTEMBER 30, 2011**

Agency Code	CFDA	R&D	Federal Agency	Major Sub Agency/Program Title	Total Expenditures	Subcontracted Dollars	Contract Ref.
20	RD	Yes	Department of Transportation	GUIDEBOOK FOR ESTIMATING THE ECONOMIC IMPACT OF AIR CARGO AT AIRPORTS	\$ 63,799	\$ 22,565	
20	RD	Yes	Department of Transportation	IN-VEHICLE DRIVING BEHAVIOR FIELD STUDY	1,131,740	424,083	
20	RD	Yes	Department of Transportation	JA Volpe Transit Systems Center	97,236		
20	RD	Yes	Department of Transportation	National Cooperative Highway Research Program	38,022		
20	RD	Yes	Department of Transportation	National Highway Traffic & Safety Administration	1,083,042	357,372	
20	RD	Yes	Department of Transportation	Pipeline & Hazardous Material Safety Administration	141,155	3,405	
20	RD	Yes	Department of Transportation	Research & Innovative Technology Administration	305		
					<u>9,932,184</u>	<u>3,749,487</u>	
42	RD	Yes	Library of Congress	Open World Library of Congress	1		
43	RD	Yes	National Aeronautics & Space Administration	Ames Research Center	6,615		
43	RD	Yes	National Aeronautics & Space Administration	Earth-Sun System Division	213,902		
43	RD	Yes	National Aeronautics & Space Administration	Glenn Research Center	17,867	6,000	
43	RD	Yes	National Aeronautics & Space Administration	Jet Propulsion Lab	4,131,458	171,116	
43	RD	Yes	National Aeronautics & Space Administration	Marshall Space Flight Center	4		
43	RD	Yes	National Aeronautics & Space Administration	Multiscale Modeling of Aerosol Impact on Clouds and Precipit	380,955	26,879	
43	RD	Yes	National Aeronautics & Space Administration	Office of Earth Science	162,200	6,746	
43	RD	Yes	National Aeronautics & Space Administration	Quantifying Impacts of Cloud Inhomogeneity on Satellite	99,262		
43	RD	Yes	National Aeronautics & Space Administration	THERMAL WADIS IN SUPPORT OF LUNAR EXPLORATION	1,071		
					<u>5,013,334</u>	<u>210,741</u>	
47	050	Yes	National Science Foundation	Geosciences	(259)		
47	070	Yes	National Science Foundation	Computer and Information Science and Engineering	(297)		
47	RD	Yes	National Science Foundation	Development of New Statistical Learning Theory and Technique	3,862		
47	RD	Yes	National Science Foundation	Automated Proteogenomic Annotation for Prokaryotic Genomes	148,170	30,558	
47	RD	Yes	National Science Foundation	CyberCARD 2011	57,865		
47	RD	Yes	National Science Foundation	OPP MEDICAL REVIEW PANEL	3,996		
					<u>213,337</u>	<u>30,558</u>	
66	509	Yes	Environmental Protection Agency	Science To Achieve Results (STAR) Research Program	(2,873)		
66	511	Yes	Environmental Protection Agency	Office of Research and Development Consolidated Research/Training/Fellowships	599,740		
66	931	Yes	Environmental Protection Agency	International Financial Assistance Projects	61,530		
66	RD	Yes	Environmental Protection Agency	Air Quality Planning & Standards Office	5,998		
66	RD	Yes	Environmental Protection Agency	EDSP - TO 38	11,765		
66	RD	Yes	Environmental Protection Agency	EPA Region 4	99,338		
66	RD	Yes	Environmental Protection Agency	Gulf of Mexico Program Office	97,990	55,000	
66	RD	Yes	Environmental Protection Agency	Homeland Security Research Center	2,704,072	270,504	
66	RD	Yes	Environmental Protection Agency	National Center for Environmental Assessment	429,231	63,084	
66	RD	Yes	Environmental Protection Agency	National Exposure Research Lab	5		
66	RD	Yes	Environmental Protection Agency	National Risk Management Research Lab	3,835,110	1,342,934	
66	RD	Yes	Environmental Protection Agency	NUTRIENT ASSESSMENT AND MANAGEMENT IN SHALLOW COASTAL EMBAYMENTS IN NY & N	209,523	162,505	
66	RD	Yes	Environmental Protection Agency	Office of Air & Radiation	53		
66	RD	Yes	Environmental Protection Agency	Office of Enforcement and Compliance Assurance	(29)		
66	RD	Yes	Environmental Protection Agency	Office of Pollution Prevention	3,082,391		
66	RD	Yes	Environmental Protection Agency	Office of R&D	1,478,465	302,256	
66	RD	Yes	Environmental Protection Agency	Office of Science Coordination & Policy	568,234		
66	RD	Yes	Environmental Protection Agency	Office of Science & Technology	7,675	30	
66	RD	Yes	Environmental Protection Agency	Office of Water	261,945	155,702	
					<u>13,450,163</u>	<u>2,352,015</u>	

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**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
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Agency Code	CFDA	R&D	Federal Agency	Major Sub Agency/Program Title	Total Expenditures	Subcontracted Dollars	Contract Ref.
77	RD	Yes	Nuclear Regulatory Commission	DISSIMILAR METAL WELD PIPE TESTING	\$ 666,745	\$ -	
77	RD	Yes	Nuclear Regulatory Commission	NATIONAL LEVEL EXERCISE 2011 DEVELOPMENT SUPPORT	210,600		
77	RD	Yes	Nuclear Regulatory Commission	NRC Portion of the PARTRIDGE P	74,170	25,574	
77	RD	Yes	Nuclear Regulatory Commission	Piping Integrity Analyses	392,168	116,302	
77	RD	Yes	Nuclear Regulatory Commission	REACTOR COOLANT PRESSURE BOUNDARY ANALYSES - TASK 1	2,753		
					<u>1,346,436</u>	<u>141,876</u>	
81	086	Yes	Department of Energy	Conservation Research and Development	6,637		
81	089	Yes	Department of Energy	Fossil Energy Research and Development	10,390,259	1,846,517	
81	089	Yes	Department of Energy	ARRA-Fossil Energy Research and Development	(14,967)	(152)	
81	122	Yes	Department of Energy	ARRA-Electricity Delivery and Energy Reliability, Research, Development and Analysis	27,205,200	22,489,332	
81	135	Yes	Department of Energy	ARRA-E Innovative Thermodevice	429,702		
81	RD	Yes	Department of Energy	Golden Field Office	60,817		
81	RD	Yes	Department of Energy	National Energy Technology Laboratory (NETL)	3,639		
81	RD	Yes	Department of Energy	National Nuclear Security Administration	470,331	141,577	
81	RD	Yes	Department of Energy	Sandia National Laboratory	437,840		
					<u>38,989,458</u>	<u>24,477,274</u>	
93	242	Yes	Department of Health and Human Services	Mental Health Research Grants	563,107	315,244	
93	262	Yes	Department of Health and Human Services	Occupational Safety and Health Program	407,098		
93	273	Yes	Department of Health and Human Services	Alcohol Research Programs	106,404	358	
93	279	Yes	Department of Health and Human Services	Drug Abuse and Addiction Research Programs	188,651	50,174	
93	361	Yes	Department of Health and Human Services	Nursing Research	368,573	191,103	
93	393	Yes	Department of Health and Human Services	Cancer Cause and Prevention Research	832,253	79,462	
93	837	Yes	Department of Health and Human Services	Cardiovascular Diseases Research	(1,628)		
93	855	Yes	Department of Health and Human Services	Allergy, Immunology and Transplantation Research	1,477		
93	864	Yes	Department of Health and Human Services	Population Research	1,462	1,800	
93	RD	Yes	Department of Health and Human Services	ARRA-Indian Health Service	4,075		
93	RD	Yes	Department of Health and Human Services	ARRA-National Cancer Institute	804,796	50,793	
93	RD	Yes	Department of Health and Human Services	Agency for Health Care Res. & Quality	4,602,484	1,191,236	
93	RD	Yes	Department of Health and Human Services	Biomedical Advanced Research and Development Authority	5,286		
93	RD	Yes	Department of Health and Human Services	Centers for Disease Control	20,902,696	1,558,250	
93	RD	Yes	Department of Health and Human Services	Food & Drug Administration	1,615,087	228,060	
93	RD	Yes	Department of Health and Human Services	Indian Health Service	228,703		
93	RD	Yes	Department of Health and Human Services	National Cancer Institute	1,728,050		
93	RD	Yes	Department of Health and Human Services	National Heart Lung & Blood Institute	1,811,851	456,383	
93	RD	Yes	Department of Health and Human Services	National Institute Allergy & Infectious Disease	19,134,576	7,992,161	
93	RD	Yes	Department of Health and Human Services	National Institute Environmental Health Science	26,667,216	854,522	
93	RD	Yes	Department of Health and Human Services	National Institute Occupational Safety/Health	704		
93	RD	Yes	Department of Health and Human Services	National Institutes of Health	114,615		
93	RD	Yes	Department of Health and Human Services	Office of the Assistant Secretary for Preparedness and Response	1,331,621		
93	RD	Yes	Department of Health and Human Services	STATISTICAL META-ANALYSIS OF ANTHRAX THERAPEUTIC STUDIES	401,441		
					<u>81,820,598</u>	<u>12,969,546</u>	
97	RD	Yes	Department of Homeland Security	ARRA-Transportation Security Administration	204,932	330,855	
97	RD	Yes	Department of Homeland Security	Advanced Research Projects Agency	288,591	5,912	
97	RD	Yes	Department of Homeland Security	Chemical Security Analysis Center	5,031,904	220,883	
97	RD	Yes	Department of Homeland Security	Coast Guard	5,109,084	642,472	
97	RD	Yes	Department of Homeland Security	Directorate for Science & Technology	7,377,771	514,685	
97	RD	Yes	Department of Homeland Security	Federal Emergency Management Agency	4,829		

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97	RD	Yes	Department of Homeland Security	National Protection and Programs Directorate	\$ 893,692	\$ 129,741	
97	RD	Yes	Department of Homeland Security	Office of Health Affairs	1,176,501		
97	RD	Yes	Department of Homeland Security	Transportation Security Administration	31,076,298	10,139,660	
97	RD	Yes	Department of Homeland Security	US Secret Service	72,363		
					<u>51,235,965</u>	<u>11,984,208</u>	
99	RD	Yes	Miscellaneous	US House of Representatives	323,390		
Total Direct Funding					<u>578,907,167</u>	<u>186,921,127</u>	
2. INDIRECT FUNDING (BATTELLE IS SUB RECIPIENT/SUBCONTRACTOR)							
10	RD	Yes	Department of Agriculture	JDC Phosphate	(626)	(10,385)	56657
10	RD	Yes	Department of Agriculture	RTI International	2		1-312-0211911
10	RD	Yes	Department of Agriculture	National Center for Atmospheric Research (NCAR)	212		S07-58281
					<u>(412)</u>	<u>(10,385)</u>	
11	428	Yes	Department of Commerce	UNIVERSITY OF MD BALTIMORE COUNTY	32,306		Subaward No. 000009100
11	431	Yes	Department of Commerce	TUFTS UNIVERSITY	94,662	6,170	NA07OAR43110373
11	RD	Yes	Department of Commerce	Cooperative Institute for Coastal & Estuarine Env. Tech.	(1,055)		08042
11	RD	Yes	Department of Commerce	Lower Columbia River Estuary Partnership	7,696		25-2010
11	RD	Yes	Department of Commerce	Kitsap County	734		48392
11	RD	Yes	Department of Commerce	Skagit River System Cooperative	984		AC213.00
11	RD	Yes	Department of Commerce	Skagit River Watershed Council	(2,014)		58154
11	RD	Yes	Department of Commerce	UNIVERSITY OF MASSACHUSETTS	3,534		GRANT #S2009000007227
					<u>136,847</u>	<u>6,170</u>	
12	300	Yes	Department of Defense	Cal Poly Corporation	4,857		08-014-48920
12	300	Yes	Department of Defense	Oregon State University	379		No. K9643E-A,K9583A-A, K9474R-A, W909MY-09-C-0067
12	431	Yes	Department of Defense	LEONARD WOOD INSTITUTE	(33,766)		SUBAWARD AGREEMENT LWI-191-040
12	431	Yes	Department of Defense	LEONARD WOOD INSTITUTE	9,966		SUBAWARD AGREEMENT LWI-191-039
12	431	Yes	Department of Defense	LEONARD WOOD INSTITUTE	78,640		SUBAWARD AGREEMENT LWI-191-085
12	800	Yes	Department of Defense	UNIVERSITY OF DAYTON RESEARCH INSTITUTE	(74,829)		AGREEMENT NO. RSC07022/CLINS 001, 002, 003 & 004
12	800	Yes	Department of Defense	UNIVERSITY OF DAYTON RESEARCH INSTITUTE	907,172		SUBKTR #RSC10037
12	RD	Yes	Department of Defense	Genova Foundation	105,554		Sub Cont # S-1195-01
12	RD	Yes	Department of Defense	Institute for Systems Biology	61,703		60306
12	RD	Yes	Department of Defense	Johns Hopkins School of Medicine	101,053		2001214649
12	RD	Yes	Department of Defense	JOHNS HOPKINS UNIV	82,981		#962254 / W31P4Q-09-C-0566
12	RD	Yes	Department of Defense	Oregon Nanoscience & Microtechnologies Institute	40,727		235271C-Task No. 1.5
12	RD	Yes	Department of Defense	Oregon Nanoscience & Microtechnologies Institute	21,228		K9584A-A
12	RD	Yes	Department of Defense	Oregon Nanoscience & Microtechnologies Institute	132,954		280710C - 1.5
12	RD	Yes	Department of Defense	Oregon State University	(535)		K9583A-A
12	RD	Yes	Department of Defense	Oregon State University	97,709	3,070	RM091B-A
12	RD	Yes	Department of Defense	SRI International	256		Subcontract No. 26-001177
12	RD	Yes	Department of Defense	SRI International	139,913		SUBCONTRACT NO. 61-000765
12	RD	Yes	Department of Defense	Suquamish Tribe	4,990		61301
12	RD	Yes	Department of Defense	University of California - Davis	(69)		W912EF-08-D-0007
12	RD	Yes	Department of Defense	University of California, San Diego	203,635		N00014-07-G-0342/001
12	RD	Yes	Department of Defense	UNIVERSITY OF DAYTON RESEARCH INSTITUTE	21		SUBCONTRACT RSC06023
12	RD	Yes	Department of Defense	UNIVERSITY OF DAYTON RESEARCH INSTITUTE	8,705		R1101050

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Agency Code	CFDA	R&D	Federal Agency	Major Sub Agency/Program Title	Total Expenditures	Subcontracted Dollars	Contract Ref.
12	RD	Yes	Department of Defense	UNIVERSITY OF GUAM	\$ 44,961	\$ -	JOB ORDER/ACCOUNT NO. 53 R 200471R53233
12	RD	Yes	Department of Defense	University of Oregon	207,935		235271C
12	RD	Yes	Department of Defense	University of Oregon	(303)		280710C - 2.3
12	RD	Yes	Department of Defense	University of Oregon	11		K9585AA
12	RD	Yes	Department of Defense	UNIVERSITY OF RHODE ISLAND	14,355		Subaward No: 102210_0002740
12	RD	Yes	Department of Defense	West Virginia High Technology Consortium Foundation	378		VVHTC-F-NSP-07-1389
12	RD	Yes	Department of Defense	Windber Research Institute	7,551		169479
12	RD	Yes	Department of Defense	Achaogen Inc.	197,172		Agreement No. OPP102945 / Achaogen PO #7464
12	RD	Yes	Department of Defense	ADMA Products, Inc	7,236		60853
12	RD	Yes	Department of Defense	AEGIS Technologies	7,328		60298
12	RD	Yes	Department of Defense	ADVANCED LIFE SCIENCES	3,455		SUBK OP51395
12	RD	Yes	Department of Defense	ANALYTICAL SERVICES INC	97,331		SUBCONTRACT ASI-2007-C-0007/BPO 07-007-021 MOD 35
12	RD	Yes	Department of Defense	ANALYTICAL SERVICES INC	119		SUBCONTRACT ASI-2007-C-0007/BPO 07-007-021 T.O. 3
12	RD	Yes	Department of Defense	ANALYTICAL SERVICES INC	341,018		SUBCONTRACT ASI-2007-C-0007/BPO 07-007-021 T.O. 5
12	RD	Yes	Department of Defense	Aptima, Inc.	2,889		0461-1479
12	RD	Yes	Department of Defense	APPLIED RESEARCH ASSOCIATES INC	118,702		SUBKTR NO S-000500.00001
12	RD	Yes	Department of Defense	APPLIED RESEARCH ASSOCIATES INC	54,393		Subcontract #: S-000500.00000.03600.BMI
12	RD	Yes	Department of Defense	ASHWIN-USHAS CORPORATION INC	31		PO 5023
12	RD	Yes	Department of Defense	AVI BIOPHARMA	33,292		SUBCONTRACT OP58978
12	RD	Yes	Department of Defense	AVI BIOPHARMA	169,144		SUBCONTRACT NO. OP61258
12	RD	Yes	Department of Defense	BAE SYSTEMS ARMAMENT SYSTEMS	6,337		SUBCONTRACT 329486
12	RD	Yes	Department of Defense	BAE SYSTEMS TECHN SOLUTIONS + SERV INC	974,798		RADIAC W15P7T-06-P-0005/GS-23F-0041K 871-6 BAE Systems NO 31-5077599
12	RD	Yes	Department of Defense	BECHTEL GROUP INC	4,771,455	66,953	SUBCONTRACT NO. 24852-FC7-T000-00002/Change order #00004
12	RD	Yes	Department of Defense	BECHTEL GROUP INC	2,372,372		24915-300-FC4-HXYT-0002 Modification CO 00009 (Job No. 24915 dated 8/4/2011)
12	RD	Yes	Department of Defense	BECHTEL GROUP INC	53,411		BNI-BMI-003
12	RD	Yes	Department of Defense	BECHTEL GROUP INC	141,282		SUBCONTRACT 24852-TO-002 TO 003TS - TRADE STUDIES
12	RD	Yes	Department of Defense	BECHTEL GROUP INC	92,516		SUBCONTRACT 24852-TO-002 TO 006
12	RD	Yes	Department of Defense	BECHTEL GROUP INC	2,414,782	140,600	SUBCONTRACT NO 24852-TO-002
12	RD	Yes	Department of Defense	BECHTEL GROUP INC	415,127		SUBK 24915-300/TO 001
12	RD	Yes	Department of Defense	BECHTEL GROUP INC	68		SUBK 24915-300/TO 004 LNTF
12	RD	Yes	Department of Defense	BECHTEL GROUP INC	340,941		BNI_BMI-034 Subcontract #24915-300-FC4-HXYT-00002 Change Notice 00003
12	RD	Yes	Department of Defense	Bennet Aerospace, LLC	14		56594
12	RD	Yes	Department of Defense	BK Systems	380		51849
12	RD	Yes	Department of Defense	BLUEFIN ROBOTICS CORP	8,004		PO 07-242 / PO 09-681
12	RD	Yes	Department of Defense	BOOZ-ALLEN + HAMILTON INC	489,238		SUBCONTRACT NO. 97544XSB21/TASK ORDER 001
12	RD	Yes	Department of Defense	BOOZ-ALLEN + HAMILTON INC	42,318		SUBCONTRACT P.O. #97442CBS0G
12	RD	Yes	Department of Defense	Booz-Allen-HAMILTON	620,332		Subcontract Number 97544XSB21
12	RD	Yes	Department of Defense	Booz-Allen-HAMILTON	12,094		Subcontract number 97544XSB21 Task Order # 004
12	RD	Yes	Department of Defense	Booz-Allen-HAMILTON	53,718		Subcontract No. 100174SB28
12	RD	Yes	Department of Defense	BridgePort Instruments	42		51611
12	RD	Yes	Department of Defense	Burns & MacDonnell Engineering Company	7,596		Subcontract Agreement No. 56022 / Task No. 61503-3.20.05
12	RD	Yes	Department of Defense	BUSINESS TECHNOLOGY & SOLUTIONS	581,720		SUBCONTRACT PASS 0011-02/TO 1011-BATTELLE
12	RD	Yes	Department of Defense	CACI INTERNATIONAL INC	578,175		S11-113640 Mod 03
12	RD	Yes	Department of Defense	CACI Inc Federal	1,185,958	178,406	UNDEFINITEZED SUBCONTRACT NO. S11-117078
12	RD	Yes	Department of Defense	CACI INTERNATIONAL INC	19,504		W15P7T-0-D-P013/ TESS Task Order 0018/S12-119386
12	RD	Yes	Department of Defense	CACI TECHNOLOGIES INC	902,881		Subcontract #S11-117224 / Prime Contract #W15P7T-06-D-E402/DO 0107
12	RD	Yes	Department of Defense	Cellular Materials International, Inc.	500,843		DARPA Contract #HR0011-10-C-0054 / Proposal #OPP100320
12	RD	Yes	Department of Defense	CH2M Hill	5,122,821	298,970	Purchase Order No. 1308031-1306010
12	RD	Yes	Department of Defense	Charles River Analytics, Inc.	174		SC0818701
12	RD	Yes	Department of Defense	Chemring Detection Systems, Inc.	154,997		PO 144445
12	RD	Yes	Department of Defense	Chemring Detection Systems, Inc.	613,226	156,200	PO 137359
12	RD	Yes	Department of Defense	CHENEGA MANAGEMENT SERVICES	135,519		PRIME CONTRACT NO. GST0407DB0305, CFS-160043 WO 50
12	RD	Yes	Department of Defense	Classified	1,914,936		CONT NO PO TY 7210-6

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BATTELLE MEMORIAL INSTITUTE

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED SEPTEMBER 30, 2011**

Agency Code	CFDA	R&D	Federal Agency	Major Sub Agency/Program Title	Total Expenditures	Subcontracted Dollars	Contract Ref.
12	RD	Yes	Department of Defense	Classified	\$ 1,241,124	\$ -	PO NO CMOMOO4
12	RD	Yes	Department of Defense	Classified	544,803		Phoenix 6
12	RD	Yes	Department of Defense	Classified	625,653		Letter Contract 31106
12	RD	Yes	Department of Defense	Classified	10,867		Opportunity ID OPP102668
12	RD	Yes	Department of Defense	Classified	177,603		39011
12	RD	Yes	Department of Defense	COMPUTER SCIENCES CORP	554,767		SUBKTR NO S9000296
12	RD	Yes	Department of Defense	COMPUTER SCIENCES CORP			SUBCONTRACT NO. S1015372/TO 001
12	RD	Yes	Department of Defense	CONCURRENT TECHNOLOGIES CORP	1,919,329		SUBKTR NO 090900059
12	RD	Yes	Department of Defense	CONCURRENT TECHNOLOGIES CORP	21,193		Munitions Metals & Residues Tr
12	RD	Yes	Department of Defense	CONCURRENT TECHNOLOGIES CORP	227,574		Subcontract BOA-BATTELLE-001/110500121
12	RD	Yes	Department of Defense	CONCURRENT TECHNOLOGIES CORP	57,955		Purchase Order No. 100900182/Line 1
12	RD	Yes	Department of Defense	CUBIC APPLICATIONS INC	51,706		DTRA01-03-D-0015 Mod 14
12	RD	Yes	Department of Defense	DELTA RESOURCES INC			SUBC NO. N00178-04-D-304-BAT/TT BAT-1/ DO #EH01
12	RD	Yes	Department of Defense	Dynamics Res Corp	113,149		LMSS-Battelle-021 / T.O. 17364
12	RD	Yes	Department of Defense	DYNPORT VACCINE CO LLC	23,999		S100821801 MANAGEMENT
12	RD	Yes	Department of Defense	DYNPORT VACCINE CO LLC	1,325		SubK S1008218/TO 0010
12	RD	Yes	Department of Defense	DYNPORT VACCINE CO LLC	27,935		S100821812 CWBS: C.12.1.2.1.4.5
12	RD	Yes	Department of Defense	DYNPORT VACCINE CO LLC	100		SubK S1008218/TO 014
12	RD	Yes	Department of Defense	DYNPORT VACCINE CO LLC	215,097		S100821813 C.12.1.4.1.3.4
12	RD	Yes	Department of Defense	DYNPORT VACCINE CO LLC	48,438		S100821815
12	RD	Yes	Department of Defense	DYNPORT VACCINE CO LLC	157,541		S1008218016 CWBS C.12.1.4.3.3.15
12	RD	Yes	Department of Defense	DYNPORT VACCINE CO LLC	1,145,548		S100821819 CWBS C.13.1.1.1.11
12	RD	Yes	Department of Defense	DYNPORT VACCINE CO LLC	268,299		S100821817 CWBS C.12.1.4.1.3.11.3
12	RD	Yes	Department of Defense	DYNPORT VACCINE CO LLC	1,512,008		S100821820 CWBS C.13.1.4.1.6.10
12	RD	Yes	Department of Defense	DYNPORT VACCINE CO LLC	160,479		S100821818 CWBS C.12.1.2.9.19.2 CWBS C.12.1.2.10.19.2
12	RD	Yes	Department of Defense	DYNPORT VACCINE CO LLC	673,822		S100821822 CWBS C.12.1.4.3.3.16
12	RD	Yes	Department of Defense	DYNPORT VACCINE CO LLC			SUBCONTRACT NO. S1008218/TASK ORDER 21
12	RD	Yes	Department of Defense	DYNPORT VACCINE CO LLC	108,557		S100821823 CWBS C.12.1.4.1.3.11.2
12	RD	Yes	Department of Defense	DYNPORT VACCINE CO LLC	182,400		S100821824 CWBS C.12.1.2.11.1.3
12	RD	Yes	Department of Defense	DYNPORT VACCINE CO LLC	1,670		S100821826/C.12.1.2.12.2.3.12/C.12.1.2.12.2.4.12
12	RD	Yes	Department of Defense	DYNPORT VACCINE CO LLC	79,769		S100821825 C.12.1.2.9.19.8.3 - Antigen A/C.12.1.2.10.19.8.3 - Antigen B
12	RD	Yes	Department of Defense	EG&G	42,786,396	4,067,518	DACA87-89-C-0076
12	RD	Yes	Department of Defense	EG&G	387,627	121,763	SUBKTR NO EG&G0031053/REL 001
12	RD	Yes	Department of Defense	ELUSYS THERAPEUTICS INC	567,308		STUDY NO. OP54952 TO LSA OP45836
12	RD	Yes	Department of Defense	EMC ENGINEERS INC	126,404	37,456	Agreement to Provide Consultant Services - 1C3060070012-A
12	RD	Yes	Department of Defense	Engineering & Environment, Inc.	(1,451)		TEC-002SUB03
12	RD	Yes	Department of Defense	European Security Center STDA, INSCOM Futures-IDC			52322
12	RD	Yes	Department of Defense	EVOLVA	3,291		SUBCONTRACT NO. OP58238
12	RD	Yes	Department of Defense	Front Edge Technology	(3,422)		51661
12	RD	Yes	Department of Defense	GCI INC	759		GCI-07-1237-03
12	RD	Yes	Department of Defense	GENERAL DYNAMICS CORP	856		VARIOUS PURCHASE ORDERS - SEE SPEC COND
12	RD	Yes	Department of Defense	GENERAL DYNAMICS CORP	140,551		Purchase Order 137231
12	RD	Yes	Department of Defense	GENERAL DYNAMICS CORP	101,443		JCA Obsolescence
12	RD	Yes	Department of Defense	GENERAL DYNAMICS CORP	450,925		P.O. 135160
12	RD	Yes	Department of Defense	GENERAL DYNAMICS CORP	396,379		Optical Density Paper Obsolesc
12	RD	Yes	Department of Defense	GENERAL DYNAMICS CORP	905,854		LSC-G10W5710
12	RD	Yes	Department of Defense	GENERAL DYNAMICS CORP	671,059		10-SC-026-14126
12	RD	Yes	Department of Defense	General Dynamics Land Systems	17,251	635	OPPI00260
12	RD	Yes	Department of Defense	GENERAL ELECTRIC CO	143,943		200-18-14G32206
12	RD	Yes	Department of Defense	GKN AEROSPACE	1,857		PO 84258 SUBCONTRACT GKN-09-014
12	RD	Yes	Department of Defense	GOODRICH CORP	430,584		SUBTK NO 401039
12	RD	Yes	Department of Defense	Guide Star Engineering, LLC	226,380		Contract #: G-020711-BMI/Subcontract No. GSE-B020711-1
12	RD	Yes	Department of Defense	Gupton & Associates Inc	136,830		PO BMI-11-090110

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12	RD	Yes	Department of Defense	HARRIS CORP	\$ 776,979	\$ -	SUBCONTRACT NO. S06-009-007
12	RD	Yes	Department of Defense	HJ FORD	(12,433)		SUBCONTRACT NO. BAT-PREDATOR-09-001
12	RD	Yes	Department of Defense	INTECON LLC	146		PO 30-0010-03
12	RD	Yes	Department of Defense	INTECON LLC	(323)		PO 30-0014-03
12	RD	Yes	Department of Defense	INTECON LLC	481,946		PO 30-0010-04
12	RD	Yes	Department of Defense	INTECON LLC	250,050		PO 30-0014-04
12	RD	Yes	Department of Defense	INTECON LLC	153,597		FA2517-06-D-9002-0010
12	RD	Yes	Department of Defense	INTECON LLC	45,089		NC J72 Nat'l Gaurd Tng OY4
12	RD	Yes	Department of Defense	ITT CORP	46,247		SUB #709NSS-01 TASK ORDER 06-342954
12	RD	Yes	Department of Defense	ITT CORP	37,475		SUBK NSTA2222.1235.01. T.O. #05
12	RD	Yes	Department of Defense	JOINT RESEARCH + DEVELOPMENT INC	166,622		PRIME CO# W911QY-10-F0170 - SUB CO# 0093-BMI - TO# 0093 BMI 002
12	RD	Yes	Department of Defense	L-3 COMMUNICATIONS	57,080		HDTRA1-09-D0009/PO 10DP0179
12	RD	Yes	Department of Defense	L3 COMMUNICATIONS	218,217		HDTRA1-09-D-0009/PO 10SH0260
12	RD	Yes	Department of Defense	L-3 SERVICES INC	175,750		W91QUZ-09-D0039/DO 0001 PO SVA-000166
12	RD	Yes	Department of Defense	LJA ENGINEERING & SURVEY INC	83,228	68,125	White Oak Bayou Federal Flood
12	RD	Yes	Department of Defense	LOCKHEED MARTIN	2,770,077		7200007875 / TO-0049
12	RD	Yes	Department of Defense	LOCKHEED MARTIN CORP	83,902		DEFINITIVE CONTRACT NO. 8100001361
12	RD	Yes	Department of Defense	LOCKHEED MARTIN CORP	127,966		PURCHASE ORDER 4100059285
12	RD	Yes	Department of Defense	LOCKHEED MARTIN INFORMATION SYSTEMS CO	1,367,395		SUBCONTRACT NO. BBMLS2314
12	RD	Yes	Department of Defense	Lockheed Martin Maritime Systems & Sensors	102		297564
12	RD	Yes	Department of Defense	Management Sciences, Inc.	1,111		58864
12	RD	Yes	Department of Defense	MANTECH ENVIRON TECH INC	2,337,315		N41756-07-C-4049 Opt Period III Opt Period IV
12	RD	Yes	Department of Defense	MANTECH NEXOLVE CORP	500,737		Prime # HR0011-10-C-0155/Sub # NXOLV-SUB-11-0002
12	RD	Yes	Department of Defense	METSS CORP	51,410		METSS-Battelle-6739-10.10
12	RD	Yes	Department of Defense	METSS CORP	234,079		METSS-BATTELLE-6739-0007-FY2011
12	RD	Yes	Department of Defense	NANOSCALE CORP	3,676		PO 5910, POS91B
12	RD	Yes	Department of Defense	NANOSCALE CORP	137,229		PO 6254
12	RD	Yes	Department of Defense	ORBITAL SCIENCES CORP	256,440		Subcontract No. 1020900171/ Task 2
12	RD	Yes	Department of Defense	PATRICIO ENTERPRISES INC	3,136		SUBKTR NO 09-BATT-001/TO 002
12	RD	Yes	Department of Defense	Phase Sensitive Innovations, Inc.	152,780		Subcontract agreement no.S-875-110-009
12	RD	Yes	Department of Defense	Physical Optics Corporation	3,999		55897
12	RD	Yes	Department of Defense	POLU KAI SERVICES LLC	83,179		USACE New York District (NAN)
12	RD	Yes	Department of Defense	QUICK-MED TECHNOLOGIES INC	356		SUBCONTRACT NO. OP54384
12	RD	Yes	Department of Defense	Raytheon Intelligence & Information Systems	103,225		112933
12	RD	Yes	Department of Defense	Real-Time Innovations, Inc.	3,546		60028
12	RD	Yes	Department of Defense	Renewable Alternatives, LLC	256		53152
12	RD	Yes	Department of Defense	Science Applications International Corporation - SAIC	2,890		4400160963
12	RD	Yes	Department of Defense	SCI APPLICATIONS INTL CORP	340		Subcontract No.: P010075671
12	RD	Yes	Department of Defense	SCI APPLICATIONS INTL CORP	305,481		SubCtr. P010076843
12	RD	Yes	Department of Defense	SCI APPLICATIONS INTL CORP	140,069		P010058389-1
12	RD	Yes	Department of Defense	SCI APPLICATIONS INTL CORP	85,225		SUBCONTRACT NO. P010077680
12	RD	Yes	Department of Defense	SCI APPLICATIONS INTL CORP	15,655		SUBCONTRACT NO. 440019050
12	RD	Yes	Department of Defense	SCIENCE & ENGINEERING SERVICES INC	671,858		Subcontract No: DAH001-10-S-0255
12	RD	Yes	Department of Defense	SCIENTIA GLOBAL INC	850		SUB CONTR NO MNAS-09-C-0001
12	RD	Yes	Department of Defense	SCITOR CORP	65,642		SUBCONTRACT G1008-001/TASK ORDER 001-G1008
12	RD	Yes	Department of Defense	SCITOR CORP	490,792		SUBCONTRACT G1008-001/TO 013-G1008
12	RD	Yes	Department of Defense	SCITOR CORP	146,217		SUBCONTRACT G1008-001/TASK ORDER 017-G1008
12	RD	Yes	Department of Defense	SCITOR CORP	111,976		SUBCONTRACT G1008-001/TASK ORDER 016-G1008
12	RD	Yes	Department of Defense	SCITOR CORP	522,940		SUBCONTRACT NO G1099-BMI
12	RD	Yes	Department of Defense	SCITOR CORP	362,043		G1098-BMI
12	RD	Yes	Department of Defense	SCITOR CORP	566,462		SUBCONTRACT NO. G1091-BMI

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**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
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Agency Code	CFDA	R&D	Federal Agency	Major Sub Agency/Program Title	Total Expenditures	Subcontracted Dollars	Contract Ref.
12	RD	Yes	Department of Defense	SCITOR CORP	\$ 232,806	\$ -	SUBCONTRACT NO G1092-BMI
12	RD	Yes	Department of Defense	SHAW ENVIRONMENTAL	656,676	5,723	PO 569560 / CO #501
12	RD	Yes	Department of Defense	SHAW ENVIRONMENTAL	1,113,558		PO# 667257OP/CO #501
12	RD	Yes	Department of Defense	Sierra Nevada Corporation	395,306		S10CNH057-58362, S11CNH029
12	RD	Yes	Department of Defense	SIMULATION GROUP SERVICES INC	58,861		Subcontract # FMS_RSAF_011
12	RD	Yes	Department of Defense	SYSTEMS PLANNING + ANALYSIS INC	248		SUBCONTRACT NO. SPA-SC-3754-07-0011/TO 003
12	RD	Yes	Department of Defense	SYSTEMS PLANNING + ANALYSIS INC	256,109		SPA-SC-3754-07-0011/TO 004 Mod 02
12	RD	Yes	Department of Defense	TECHNICAL SYSTEMS INTEGRATION INC	245,279		SUB #0199-034
12	RD	Yes	Department of Defense	TIAX LLC	52,184		SUBCONTRACT NO 527840-00S
12	RD	Yes	Department of Defense	Trace Photonics, Inc.	67		51002
12	RD	Yes	Department of Defense	UNITED INDUSTRIAL CORP	30,449		W15QKN-08-C-0475
12	RD	Yes	Department of Defense	UNITED TECHNOLOGIES CORP	70,268		PO 4400110398
12	RD	Yes	Department of Defense	Universal Technical Resource Services, I	2,033		Purchase Order #11-321
12	RD	Yes	Department of Defense	Universal Technical Resource Services, I	5,089		BAH-BS98-013
12	RD	Yes	Department of Defense	VISIONARY INTEGRATION PROFESSIONALS LLC	327,715		Severn River - Subcontract Agreement 061410
12	RD	Yes	Department of Defense	WESTINGHOUSE ELECTRIC CORP	16,883,244	905	BMI-96-0018-009
					<u>119,891,283</u>	<u>5,146,324</u>	
15	RD	Yes	Department of Interior	Ducks Unlimited, Inc. - Pacific NW Field office	10,705		WA-0039-001
17	RD	Yes	Department of Labor	IMPAQ INTERNATIONAL LLC	632,819		SUBCONTRACT TO DOLJ061A20349
17	RD	Yes	Department of Labor	IMPAQ INTERNATIONAL LLC	115,931		MASTER AGREEMENT NO S-11 TO DOL-6000/SIN 874-1
					<u>748,750</u>	<u>-</u>	
20	200	Yes	Department of Transportation	UNIVERSITY OF IOWA	39,146		PO 1000704101
20	200	Yes	Department of Transportation	VIRGINIA POLYTECHNIC INSTITUTE	15,096		SA 425919-19615
20	RD	Yes	Department of Transportation	COMMERCIAL VEHICLE SAFETY ALLIANCE	11,119		AGREEMENT NO. OP55388/OAB2009
20	RD	Yes	Department of Transportation	COMMERCIAL VEHICLE SAFETY ALLIANCE	29		AGREEMENT NO. OP55339/PBBT2009
20	RD	Yes	Department of Transportation	COMMERCIAL VEHICLE SAFETY ALLIANCE	138,871		OPS8724
20	RD	Yes	Department of Transportation	HARVARD UNIVERSITY	41,678		SUBAGREEMENT #07-C-RITE-HU-HSPH-112386
20	RD	Yes	Department of Transportation	Metropolitan Washington Airport Authority	167,324		Purchase Order 8-10-B017
20	RD	Yes	Department of Transportation	MN Department of Transportation	2,240,570	553,900	Mn/DOT CONTRACT NO. 95757
20	RD	Yes	Department of Transportation	NATIONAL ACADEMY OF SCIENCES	7,769		NAS 132, T.O.N. 01, SUBCONTRACT HR 19-08 TO DOT 6508-001
20	RD	Yes	Department of Transportation	NATL TRANSPORTATION RESEARCH CTR INC	49,254		SUBCONTRACT DTRT-06-G-0043-01-U11-01-01 T.O. 005
20	RD	Yes	Department of Transportation	NATL TRANSPORTATION RESEARCH CTR INC	74,143		SUBCONTRACT DTRT-06-G-0043-01-U11-01-01 T.O. 006
20	RD	Yes	Department of Transportation	NATL TRANSPORTATION RESEARCH CTR INC	664		SUBCONTRACT DTRT-06-G-0043-03-U26-01-01 TASK 009
20	RD	Yes	Department of Transportation	NATL TRANSPORTATION RESEARCH CTR INC	(409)		SUBCONTRACT DTRT-06-G-0043-03-U24-01-01 TASK 010
20	RD	Yes	Department of Transportation	NATL TRANSPORTATION RESEARCH CTR INC	50,306		DTRT-06-G-0043-04-U31-01-011 T.O. 011
20	RD	Yes	Department of Transportation	NATL TRANSPORTATION RESEARCH CTR INC	103,539		DTRT-06-G-0043-04-U32-01-012 T.O. 012
20	RD	Yes	Department of Transportation	TRANSPORTATION RESEARCH BOARD	152,202	16,196	NAS 132/T.O. 02/ACRP 03-16, SHRP R-03
20	RD	Yes	Department of Transportation	VA TECH TRANSPORTATION INSTITUTE	20,634		Subaward Agreement 451067-19615
20	RD	Yes	Department of Transportation	VII CONSORTIUM	2,886		10-1127: Item w14941
20	RD	Yes	Department of Transportation	VIRGINIA TECH TRANSPORTATION INSTITUTE	56,844	11,970	SA 451034-19615
20	RD	Yes	Department of Transportation	COMPUTER SCIENCES CORP	1,280,356		AGREEMENT NO. S5000304
20	RD	Yes	Department of Transportation	COMPUTER SCIENCES CORP	364,842		DTRT57-10-R-30023 / subk S5000232 / Task Order 002
20	RD	Yes	Department of Transportation	COMPUTER SCIENCES CORP	125,056		DTRT57-10-R-30023/Subcontract No. S5000232 / TO 004 Mod 001
20	RD	Yes	Department of Transportation	SGT, Inc.	261,478		Subcontract # 11-43 / TO # 1
					<u>5,203,397</u>	<u>582,066</u>	
21	RD	Yes	Department of the Treasury	UNISYS Corporation	971,376	230141, 51733	

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FOR THE YEAR ENDED SEPTEMBER 30, 2011**

Agency Code	CFDA	R&D	Federal Agency	Major Sub Agency/Program Title	Total Expenditures	Subcontracted Dollars	Contract Ref.
43	001	Yes	National Aeronautics & Space Administration	COLUMBIA UNIVERSITY	\$ 28,089	\$ -	SUBAWARD NO. 1(Acct #5-26107)
43	RD	Yes	National Aeronautics & Space Administration	ARRA-NANOSCALE CORP	16,661		PO # 5983
43	RD	Yes	National Aeronautics & Space Administration	American Geophysical Union	19,031		53527
43	RD	Yes	National Aeronautics & Space Administration	Oregon State University	28,111		#ENG1102-931543476, NS195A-B
43	RD	Yes	National Aeronautics & Space Administration	Fisheries Research Institute - University of Washington	29,519		577524
43	RD	Yes	National Aeronautics & Space Administration	National Center of Atmospheric Research	45,300		S10-76500
43	RD	Yes	National Aeronautics & Space Administration	North Olympic Peninsula Resource Conservation & Dev	71,924		50216
43	RD	Yes	National Aeronautics & Space Administration	University of Michigan	(314)		F015599 \ 3000763586
43	RD	Yes	National Aeronautics & Space Administration	Universities Space Research Association	28,201		03460-01
43	RD	Yes	National Aeronautics & Space Administration	University of Utah	(315)		122189
43	RD	Yes	National Aeronautics & Space Administration	University of New Hampshire	60,500		NNX10AP03G, 2658002
43	RD	Yes	National Aeronautics & Space Administration	Yale University	3,603		61371
					<u>330,310</u>	<u>-</u>	
47	049	Yes	National Science Foundation	Ohio State University	35,919		60005440
47	074	Yes	National Science Foundation	Washington State University	20,896		115430 G002887
47	075	Yes	National Science Foundation	University of Maryland at College Park	23,800		Z321102
47	075	Yes	National Science Foundation	UNIVERSITY OF MISSOURI	817		SUBAWARD NO. C00021985-1
47	082	Yes	National Science Foundation	Duke University, Office of Sponsored Programs	10,993		SES-0922154
47	RD	Yes	National Science Foundation	Oregon State University	9,900		2011-1896
47	RD	Yes	National Science Foundation	University of Washington	7,971		PO 706378
47	RD	Yes	National Science Foundation	University of Illinois at Urbana - Champaign	352,661		A4179
47	RD	Yes	National Science Foundation	University of North Carolina	224,273		20090328-01-BMI
47	RD	Yes	National Science Foundation	Washington University at St. Louis	34,012		WU-HT-09-02
47	RD	Yes	National Science Foundation	Washington State University (Tri Cities)	65,905	1,833	58693, 115305 G002922
47	RD	Yes	National Science Foundation	University Corporation for Atmospheric Research	11,059		P1191736
47	RD	Yes	National Science Foundation	University of Missouri	14,932		C00029407-1
					<u>813,138</u>	<u>1,833</u>	
66	439	Yes	Environmental Protection Agency	Jamestown S' Klallam Tribe			NA
66	511	Yes	Environmental Protection Agency	WATER ENVIRONMENT RESEARCH FOUNDATION	20,488	15,165	Project #INFR4R11 / Innovation and Research for Water Infrastructure
66	RD	Yes	Environmental Protection Agency	CASCO BAY ESTUARY PARTNERSHIP	2,895		SUBC TO OP56438
66	RD	Yes	Environmental Protection Agency	Fish & Wildlife Department - Colville Confederated Tribes	291,257		C10-293
66	RD	Yes	Environmental Protection Agency	Kitsap County	17,073		56575
66	RD	Yes	Environmental Protection Agency	MICKEY LELAND NATL AIR TOXICS RES CTR	180		RESEARCH AGREEMENT NO. OP49998
66	RD	Yes	Environmental Protection Agency	University of Illinois	1,999		sa # 2009-01988-01
66	RD	Yes	Environmental Protection Agency	Western Washington University	33,033		RD83301401
66	RD	Yes	Environmental Protection Agency	COMPUTER SCIENCES CORP	163		EP-C-10-060/WA1-13, Subcontract No. S5000824
66	RD	Yes	Environmental Protection Agency	COMPUTER SCIENCES CORP	1,066		SUB CONTRACT number S5000824
66	RD	Yes	Environmental Protection Agency	DYNAMAC CORP	28,131		SUBCONTRACT NO. 093408 / TO1-07-04-0007
66	RD	Yes	Environmental Protection Agency	DYNAMAC CORP	(20)		DATS SUBCONTRACT NO. 093408/WA NO. TO-02-07-09-0011
66	RD	Yes	Environmental Protection Agency	DYNAMAC CORP	22,335		DATS SUBCONTRACT NO. 093408 / TO-01-09-02-0031
66	RD	Yes	Environmental Protection Agency	DYNAMAC CORP	20		DATS SUBCONTRACT NO. 093408/WA NO. TO-02-07-09-0013
66	RD	Yes	Environmental Protection Agency	DYNAMAC CORP	6,916		SUBCONTRACT NO. 093408 / TO-01-07-04-0010
66	RD	Yes	Environmental Protection Agency	DYNAMAC CORP	9,287		SUBCONTRACT NO. 093408 / TO-02-10-03-0033
66	RD	Yes	Environmental Protection Agency	Information International Associates Inc	259		SUBCONTRACT NO. Ila-2900-455/TO NO. 455-01
66	RD	Yes	Environmental Protection Agency	PEGASUS TECHNICAL SERVICES INC	1,001		SUBCONTRACT: PEGSUB00003, WA NO. 4-54
66	RD	Yes	Environmental Protection Agency	PEGASUS TECHNICAL SERVICES INC	1,027		SUBCONTRACT: PEGSUB00003, WA 4-48-BAT
66	RD	Yes	Environmental Protection Agency	SONOMA TECHNOLOGY INC	863		STI REFERENCE NO. 910114/WA NO. 1-14
66	RD	Yes	Environmental Protection Agency	SONOMA TECHNOLOGY INC	17,716		Work Assignment 2-07
					<u>455,689</u>	<u>15,165</u>	

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Agency Code	CFDA	R&D	Federal Agency	Major Sub Agency/Program Title	Total Expenditures	Subcontracted Dollars	Contract Ref.
81	049	Yes	Department of Energy	Burge Environmental	\$ (1,354)	\$ -	56372
81	135	Yes	Department of Energy	ARRA-OHIO STATE UNIVERSITY	489,614		SUBAWRD # 60026346
81	RD	Yes	Department of Energy	ARRA-AMERICAN ELECTRIC POWER CO	58,328		PSA #328805X215
81	RD	Yes	Department of Energy	ARRA-AMERICAN ELECTRIC POWER CO	41,844		DE-OE0000193-BAT 3638550006X103 EEAS CES Monitoring
81	RD	Yes	Department of Energy	ARRA-AMERICAN ELECTRIC POWER CO	11,314,953		AGREEMENT FOR CONTR 345081X215
81	RD	Yes	Department of Energy	ARRA-AMERICAN ELECTRIC POWER CO	163,288		DE-OE0000193-BAT 3638550001X103 R1 Project Management
81	RD	Yes	Department of Energy	ARRA-AMERICAN ELECTRIC POWER CO	2,258,659	5,888	DE-OE0000193-BAT 3638550002X103 R2 RTPda Demand Response
81	RD	Yes	Department of Energy	ARRA-AMERICAN ELECTRIC POWER CO	269,757		DE-OE0000193-BAT 3638550004X103 R4 Modeling & Simulation
81	RD	Yes	Department of Energy	ARRA-AMERICAN ELECTRIC POWER CO	312,133		DE-OE0000193-BAT 3638550003X103 R5 Data Metrics & Benefits
81	RD	Yes	Department of Energy	ARRA-FutureGen Industrial Alliance, Inc.	6,297,243	15,000	DE-FE0001882, 50050
81	RD	Yes	Department of Energy	ARRA-UNIVENTURE	162,904		PO # 020157-00
81	RD	Yes	Department of Energy	AMERICAN ELECTRIC POWER CO	163,288		DE-OE0000193-BAT 3638550001X103 R1 Project Management
81	RD	Yes	Department of Energy	AMERICAN ELECTRIC POWER CO	2,258,659	5,888	DE-OE0000193-BAT 3638550002X103 R2 RTPda Demand Response
81	RD	Yes	Department of Energy	AMERICAN ELECTRIC POWER CO	269,757		DE-OE0000193-BAT 3638550004X103 R4 Modeling & Simulation
81	RD	Yes	Department of Energy	AMERICAN ELECTRIC POWER CO	312,133		DE-OE0000193-BAT 3638550003X103 R5 Data Metrics & Benefits
81	RD	Yes	Department of Energy	Aegis Technology	16,034		52584, 54492
81	RD	Yes	Department of Energy	Air Products and Chemicals, Inc.	27,463	2	DE-FC36-05GO15015
81	RD	Yes	Department of Energy	Burge Environmental	218,256	113	53354, 55288, 57009, 60656
81	RD	Yes	Department of Energy	Commercial Vehicle Safety Alliance	31,085		DE-FC01-94RW00295 / 48108
81	RD	Yes	Department of Energy	Columbia Land Trust	22,316		57393, 59522
81	RD	Yes	Department of Energy	Coville Confederated Tribes-Fish & Wildlife Department	86,119		C11-034
81	RD	Yes	Department of Energy	Delphi	1,220,197	16,345	54159
81	RD	Yes	Department of Energy	Delphi Corporation	(133,772)		49359
81	RD	Yes	Department of Energy	Dynatronix, Inc.	(151)		56385
81	RD	Yes	Department of Energy	EIC Laboratories, Inc.	(1,218)		56398, 59674
81	RD	Yes	Department of Energy	ECHOTA TECHNOLOGIES CORP	(790)		SUBCONTRACT TA BAT-5003-001-01
81	RD	Yes	Department of Energy	FutureGen Industrial Alliance, Inc.	15,175		DE-FE0001882, 50050
81	RD	Yes	Department of Energy	GE Global Research	24,638		400077374
81	RD	Yes	Department of Energy	HARRIS MILLER & HANSON INC	1,006		SUBKTR NO 303910
81	RD	Yes	Department of Energy	IEA Bioenergy	54,219		56852
81	RD	Yes	Department of Energy	Infinia Corporation	(10)		58509
81	RD	Yes	Department of Energy	Lockheed Martin Hanford Corp.	494		7100009107, 54673
81	RD	Yes	Department of Energy	Lower Columbia River Estuary Partnership	2,947	(9,100)	03-2010, 102009, 02-2010, 13-2010, 12-2010, 12-2006, 53685
81	RD	Yes	Department of Energy	Massachusetts Institute of Technology (MIT)	30,636		56711
81	RD	Yes	Department of Energy	Montana State University	451,826	20,047	G141-06-W0831
81	RD	Yes	Department of Energy	Northwest Energy Efficiency Alliance	69,818	7,427	NEEA CONTRACT 40323
81	RD	Yes	Department of Energy	Protection Strategies, Inc.	83		55696
81	RD	Yes	Department of Energy	Radiation Monitoring Devices, Inc.	(797)		53394, 55759
81	RD	Yes	Department of Energy	Sky Research	160		60648
81	RD	Yes	Department of Energy	SM Stoller Corporation	(258)		SMS-100187
81	RD	Yes	Department of Energy	STOLLER CORP	43,078		PO 000003836:REQ NO 0000020880;3110/1-707-1-09-905-1-01/7530
81	RD	Yes	Department of Energy	STOLLER CORP	59		PO NO 000004605
81	RD	Yes	Department of Energy	SYSTEMATIC MANAGEMNT SERVICES INC	964,472		TO NO. DE-AT52-007NA28423 001-016 DOE/NNSA-BPA:0004
81	RD	Yes	Department of Energy	Theseus Professional Services, LLC	6,892		53651
81	RD	Yes	Department of Energy	Vista Clara, Inc.	(8)		52713
81	RD	Yes	Department of Energy	WASHINGTON GROUP INTERNATIONAL	8,122,670	645,046	79065.001-7001SC, 61460
81	RD	Yes	Department of Energy	Yakima Indian Nation	(671)		53227
					<u>35,643,174</u>	<u>706,656</u>	
84	RD	Yes	Department of Education	ARRA-TENNESSEE DEPARTMENT OF EDUCATON	<u>256,216</u>		Grant GR1134299

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**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
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Agency Code	CFDA	R&D	Federal Agency	Major Sub Agency/Program Title	Total Expenditures	Subcontracted Dollars	Contract Ref.
93	000	Yes	Department of Health and Human Services	UNIVERSITY OF FLORIDA	\$ 1,233,582	\$ -	SUBCONTRACT NO. UF JAX 09 215
93	069	Yes	Department of Health and Human Services	Columbus OH Health Dept	57,343		Columbus Public Health EL011570 000000
93	113	Yes	Department of Health and Human Services	Lamont-Doherty Earth Observatory	3,670		1U01ES016110-01, 5-63966
93	113	Yes	Department of Health and Human Services	Trustees of Columbia University	31,961		1PAOES015905-01
93	143	Yes	Department of Health and Human Services	Bowling Green State University	210,960		1R01ES017070
93	143	Yes	Department of Health and Human Services	Oregon State University	545,059	2,550	5P42ES01645-02
93	262	Yes	Department of Health and Human Services	STATE UNIVERSITY OF NEW YORK	80,114		SUBAWARD NO. 240-1074439-48038
93	310	Yes	Department of Health and Human Services	Fred Hutchinson Cancer Research Center	40,483		Sub award 0000680294
93	389	Yes	Department of Health and Human Services	University of Washington	148,734	414	695546
93	389	Yes	Department of Health and Human Services	University of Washington	(349)		657977
93	389	Yes	Department of Health and Human Services	University of California, San Diego	18,128		59989
93	393	Yes	Department of Health and Human Services	HARVARD SCHOOL OF PUBLIC HEALTH	72,483		1 P01 CA134294-01
93	393	Yes	Department of Health and Human Services	UNIVERSITY OF MARYLAND	525,517		SUBAWARD #Z013801
93	393	Yes	Department of Health and Human Services	WASHINGTON UNIVERSITY	10,373		SUBAWARD NO. WU-HT-09-36/PO #2905835N
93	701	Yes	Department of Health and Human Services	ARRA-Oregon Health & Science University	149,213		1U54A1081680, AVGTI0102, GVGT10084A, GMMBIO157A, ABMEN0102-PNNL, 57700, 44690
93	701	Yes	Department of Health and Human Services	ARRA-University of Illinois	133,622		2009-05575-01 A2522
93	837	Yes	Department of Health and Human Services	University of Maine	107,876		UM-S754
93	853	Yes	Department of Health and Human Services	University of California, Los Angeles	(4,369)		1490 G GE528
93	855	Yes	Department of Health and Human Services	Oregon Health & Science University	92,303		1U54A1081680, AVGTI0102, GVGT10084A, GMMBIO157A, ABMEN0102-PNNL, 57700, 44690
93	859	Yes	Department of Health and Human Services	Massachusetts General Hospital	473,882	121,963	44301
93	859	Yes	Department of Health and Human Services	Miami University	(1,979)		G01235
93	859	Yes	Department of Health and Human Services	Michigan State University	155,120		1R01GM090208-01
93	859	Yes	Department of Health and Human Services	Oregon Health & Science University	141,451		1U54A1081680, AVGTI0102, GVGT10084A, GMMBIO157A, ABMEN0102-PNNL, 57700, 44690
93	859	Yes	Department of Health and Human Services	Virginia Polytechnic Institute and State University	89,285		3R01GM076121-0451
93	864	Yes	Department of Health and Human Services	PRINCETON UNIVERSITY	37,401		SUBAWARD NO. 00001544
93	865	Yes	Department of Health and Human Services	Seattle Biomedical Research Institute	132,664	1,149	53677
93	865	Yes	Department of Health and Human Services	UNIVERSITY OF SOUTH FLORIDA	4,866		6403-1052-00-A (Orange Couty) Amendment 005
93	865	Yes	Department of Health and Human Services	VANDERBILT UNIVERSITY DEPT OF CHEM ENGINEERING	60,225		VUMC33795-R
93	866	Yes	Department of Health and Human Services	University of Miami	170,776	1,149	6-6628K-3712
93	867	Yes	Department of Health and Human Services	UNIVERSITY OF SOUTHERN CALIFORNIA	1,505		SUBAWARD NO. H41044
93	867	Yes	Department of Health and Human Services	UNIVERSITY OF SOUTHERN CALIFORNIA	13,485		SUBAWARD NO. H43398
93	867	Yes	Department of Health and Human Services	UNIVERSITY OF SOUTHERN CALIFORNIA	242,492		SUBAWARD NO. H44552
93	867	Yes	Department of Health and Human Services	UNIVERSITY OF SOUTHERN CALIFORNIA	534,332		SUBAWARD NO. H44895
93	867	Yes	Department of Health and Human Services	UNIVERSITY OF SOUTHERN CALIFORNIA	951,834		SUBAWARD NO. H44627
93	867	Yes	Department of Health and Human Services	UNIVERSITY OF SOUTHERN CALIFORNIA	495,096		FG006498 5 U10 EY017337 03
93	867	Yes	Department of Health and Human Services	UNIVERSITY OF SOUTHERN CALIFORNIA	550,431		Prime Award 510EY014472-10/ SUB. H47893
93	RD	Yes	Department of Health and Human Services	ARRA-IMPAQ INTERNATIONAL LLC	161,821		HHS290200710071T/TO #8
93	RD	Yes	Department of Health and Human Services	ARRA-Washington University School of Medicine	49,954		2911709P, 2911351P, 26760510-38205-A
93	RD	Yes	Department of Health and Human Services	AMERICAN TYPE CULTURE COLLECTION	717,512		2010-0516-0003
93	RD	Yes	Department of Health and Human Services	ARKANSAS CHILDRENS HOSPITAL	2,814		SUBC TO HHSN275200800026C
93	RD	Yes	Department of Health and Human Services	ARKANSAS DEPT OF HEALTH + HUMAN SERVICES	187,898		CONTRACT # 4600012020 / VENDOR # 100080230 / YEAR 5
93	RD	Yes	Department of Health and Human Services	BAYLOR COLLEGE OF MEDICINE	9,730		P.O. #5600388772 TO GRANT NO. N01-HD-80020
93	RD	Yes	Department of Health and Human Services	CASE WESTERN RESERVE UNIVERSITY	2,135,503		HHSN275200800099C / N01-HD-80009 Mod 05
93	RD	Yes	Department of Health and Human Services	CNA CORP	806,016	23,825	09-BMI-5-5701 PROJECT #1160.0001.5701
93	RD	Yes	Department of Health and Human Services	DREXEL UNIV SCHOOL OF PUBLIC HEALTH	87,849		HHSN267200700048C
93	RD	Yes	Department of Health and Human Services	DUKE UNIVERSITY	366,681		Contract 1R01-AA-017913-01 Funded by NIH/NIAAA Option Year 2
93	RD	Yes	Department of Health and Human Services	EMORY UNIVERSITY	403		SUBCONTRACT NO. 5-41690-S1 DEKALB CNTY
93	RD	Yes	Department of Health and Human Services	EMORY UNIVERSITY	1,159,819		5-42540-S1 - PO# S457882
93	RD	Yes	Department of Health and Human Services	GEORGETOWN UNIVERSITY MEDICAL CENTER	157,035		Laboratory Services Agreement No. CON00009433
93	RD	Yes	Department of Health and Human Services	HARVARD SCHOOL OF PUBLIC HEALTH	18,805		PO #A26167 / Urinary Metabolite Analyses
93	RD	Yes	Department of Health and Human Services	JOHNS HOPKINS SCHOOL OF PUBLIC HEALTH	149,947		HHSN267200700048C

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Agency Code	CFDA	R&D	Federal Agency	Major Sub Agency/Program Title	Total Expenditures	Subcontracted Dollars	Contract Ref.
93	RD	Yes	Department of Health and Human Services	JOHNS HOPKINS SCHOOL OF PUBLIC HEALTH	\$ 708,036	\$ -	HHSN2752008000033C
93	RD	Yes	Department of Health and Human Services	JOHNS HOPKINS UNIVERSITY	49,818		GRANT NO. P60MD000214
93	RD	Yes	Department of Health and Human Services	MOUNT SINAI SCHOOL OF MEDICINE	5,194		HHSN275200800031C/0258-3691-4609 (MONROE OPTION)
93	RD	Yes	Department of Health and Human Services	MOUNT SINAI SCHOOL OF MEDICINE	690		HHSN267200700047C
93	RD	Yes	Department of Health and Human Services	MOUNT SINAI SCHOOL OF MEDICINE	91,494		0158-3621/HHSN275201100002C
93	RD	Yes	Department of Health and Human Services	MOUNT SINAI SCHOOL OF MEDICINE	49,865		HHSN275200503411C - QUEENS COUNTY
93	RD	Yes	Department of Health and Human Services	MOUNT SINAI SCHOOL OF MEDICINE	11,868		SC6318092
93	RD	Yes	Department of Health and Human Services	NATIONAL CTR FOR FARMWORKER HEALTH	13,830		OP57807
93	RD	Yes	Department of Health and Human Services	Oak Ridge Associated Universities	518		20739
93	RD	Yes	Department of Health and Human Services	Oregon Health & Science University	633,530	3,455	1U54A1081680, AVGTI0102, GVGT10084A, GMMBIO157A, ABMEN0102-PNNL, 57700, 44690
93	RD	Yes	Department of Health and Human Services	Oregon State University	417,601		5P42ES01645-02
93	RD	Yes	Department of Health and Human Services	Purdue University	85		4201-22901
93	RD	Yes	Department of Health and Human Services	Seattle Biomolecular Research Institute	178,717		HHSN266200700057C
93	RD	Yes	Department of Health and Human Services	St Jude Children's Research Hospital	(1,192)		58757
93	RD	Yes	Department of Health and Human Services	ST LOUIS UNIVERSITY	3,613		HHSN275200800003C - JOHNSON/UNION/ WILLIAMSON, IL
93	RD	Yes	Department of Health and Human Services	ST LOUIS UNIVERSITY	5,879		HHSN275200800023C - JEFFERSON MO
93	RD	Yes	Department of Health and Human Services	ST LOUIS UNIVERSITY	2,072,174		SUBC OP43358 - ST LOUIS (CITY) YR 2
93	RD	Yes	Department of Health and Human Services	ST LOUIS UNIVERSITY	8,202		SUBC OP48780 - MACOUPIN COUNTY YR 2
93	RD	Yes	Department of Health and Human Services	Stanford University	421,371	1,971	1R01DK083447-01A2, 26748110-33465-P
93	RD	Yes	Department of Health and Human Services	TULANE UNIVERSITY	334,796		HHSN275200800010C NO1-HD-8-0010
93	RD	Yes	Department of Health and Human Services	TULANE UNIVERSITY CNT APPLIED ENV PUB HEALTH	197,490		SUBCONTRACT TUL-HSC-239-10/11
93	RD	Yes	Department of Health and Human Services	UNIVERSITY OF MIAMI SCHOOL OF MEDICINE	233,317		NICHHD Prime Contract HHSN275200800002C/ WA #4.
93	RD	Yes	Department of Health and Human Services	University of Alabama at Birmingham	36,906	3,114	5 P01 ES011617-03
93	RD	Yes	Department of Health and Human Services	UNIVERSITY OF ARIZONA	1,332,247		HHSN275200800034C / P.O. #Y502672 - PINAL COUNTY AZ
93	RD	Yes	Department of Health and Human Services	UNIVERSITY OF ARIZONA	7,896		HHSN275200800034C - APACHE COUNTY AZ
93	RD	Yes	Department of Health and Human Services	UNIVERSITY OF CALIFORNIA - DAVIS	20,823		HHSN267200700035C/Research Agreement No. Sub07001731-01
93	RD	Yes	Department of Health and Human Services	UNIVERSITY OF CALIFORNIA - DAVIS	11,231		PROPOSAL OPP102946
93	RD	Yes	Department of Health and Human Services	UNIVERSITY OF CALIFORNIA - IRVINE	196,327		2010-2470
93	RD	Yes	Department of Health and Human Services	UNIVERSITY OF CALIFORNIA - IRVINE	19,515		Subcontract No. 2010-2469
93	RD	Yes	Department of Health and Human Services	University of California, Los Angeles	39,763		1R01DE020102-01
93	RD	Yes	Department of Health and Human Services	UNIVERSITY OF COLORADO	914,186		HHSN275200800018C PRJ #2-5-15313
93	RD	Yes	Department of Health and Human Services	University of Medicine & Dentistry of New Jersey	136,213		59524
93	RD	Yes	Department of Health and Human Services	UNIVERSITY OF NORTH CAROLINA	274,232		UNC-CH #5-53795
93	RD	Yes	Department of Health and Human Services	UNIVERSITY OF NORTH CAROLINA	1,035		UNC-CH 5-35053 ROCKINGHAM COUNTY
93	RD	Yes	Department of Health and Human Services	UNIVERSITY OF NORTH CAROLINA	66,500		UNC-CH 5-35046 STUDY CENTER
93	RD	Yes	Department of Health and Human Services	UNIVERSITY OF NORTH CAROLINA	1,288,308	25,725	UNC-CH 5-35056 DURHAM COUNTY
93	RD	Yes	Department of Health and Human Services	UNIVERSITY OF NORTH CAROLINA	1,103,645		UNC-CH 5-55842
93	RD	Yes	Department of Health and Human Services	UNIVERSITY OF NORTH CAROLINA	155,835		Subaward No. 5-51220 Year 7 - Amendment No. 2
93	RD	Yes	Department of Health and Human Services	UNIVERSITY OF NORTH CAROLINA	53,705		UNC-CH NO. 5-51456
93	RD	Yes	Department of Health and Human Services	UNIVERSITY OF NORTH CAROLINA	565,736		HHSN275201100005C UNC-CH Acct. No. 5-56006
93	RD	Yes	Department of Health and Human Services	UNIVERSITY OF SOUTH FLORIDA	5,488		6403-1053-00-A (Hillsborough County) MOD 05 amendment
93	RD	Yes	Department of Health and Human Services	UNIVERSITY OF TEXAS	1,370,985		ENCUMBRANCE NO. GMO-901014
93	RD	Yes	Department of Health and Human Services	UNIVERSITY OF WASHINGTON	257,489		UW CONTRACT NO. DL 10-002
93	RD	Yes	Department of Health and Human Services	UNIVERSITY OF WASHINGTON	17,438		University of Washington Subcontract #: 717691, dtd 5/25/2011
93	RD	Yes	Department of Health and Human Services	University of Washington	385,443	1,149	661952
93	RD	Yes	Department of Health and Human Services	University of Washington	452,578	1,149	577577
93	RD	Yes	Department of Health and Human Services	University of Washington	812		473183
93	RD	Yes	Department of Health and Human Services	University of Washington	1,291,594	6,515	576666
93	RD	Yes	Department of Health and Human Services	University of Washington	96,461	1,027	705570
93	RD	Yes	Department of Health and Human Services	University of Washington	314		No. 724649
93	RD	Yes	Department of Health and Human Services	Washington University School of Medicine	243,338		2911709P, 2911351P
93	RD	Yes	Department of Health and Human Services	BAVARIAN NORDIC GMBH	302,769		HHSO100201000011C / FDCOA # 06

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Agency Code	CFDA	R&D	Federal Agency	Major Sub Agency/Program Title	Total Expenditures	Subcontracted Dollars	Contract Ref.
93	RD	Yes	Department of Health and Human Services	BAVARIAN NORDIC GMBH	\$ 516,055	\$ -	HHSN266200400072C / COA # 52
93	RD	Yes	Department of Health and Human Services	BAVARIAN NORDIC GMBH	444,192		HHSN266200400072C / COA # 54
93	RD	Yes	Department of Health and Human Services	BOOZ-ALLEN + HAMILTON INC	620	12,385	#96942NBS23/PRJ #B29470230001900000007
93	RD	Yes	Department of Health and Human Services	CHIMERIX INC	131,429		Work Order No. 1; Study No. OP58356 // HHSO100201100013C
93	RD	Yes	Department of Health and Human Services	CHIMERIX INC	237,919		Work Order No. 2; Study No.OPP102051 // HHSO100201100013C
93	RD	Yes	Department of Health and Human Services	CHIMERIX INC	7,884		HHSO100201100013C / Study No. OPP104264
93	RD	Yes	Department of Health and Human Services	Dade Moeller & Associates, Inc.	3,680		S4-1142
93	RD	Yes	Department of Health and Human Services	DYNCORP	314,007		S1008551 HHSN266200500041C
93	RD	Yes	Department of Health and Human Services	DYNCORP	351,800		S1008570 HHSN266200500041C
93	RD	Yes	Department of Health and Human Services	DYNCORP	264,633		S1008585 HHSN266200400002C
93	RD	Yes	Department of Health and Human Services	ELUSYS THERAPEUTICS INC	1,239,028		LSA OP45836
93	RD	Yes	Department of Health and Human Services	ELUSYS THERAPEUTICS INC	160,856		STUDY NO. OP44005R3 TO LSA OP45836
93	RD	Yes	Department of Health and Human Services	ELUSYS THERAPEUTICS INC	1,624,440		LSA OP45836
93	RD	Yes	Department of Health and Human Services	EMERGENT PRODUCT DEVEL GAITHERSBURG	402,213		Sub Contract Agreement No. EPDG-11-B55-0005
93	RD	Yes	Department of Health and Human Services	EMERGENT PRODUCT DEVEL GAITHERSBURG	338,910		HHSN272200800051C
93	RD	Yes	Department of Health and Human Services	EMERGENT PRODUCT DEVEL GAITHERSBURG INC	13,198		ORDER NO. 0005
93	RD	Yes	Department of Health and Human Services	EMERGENT PRODUCT DEVEL GAITHERSBURG INC	(152)		ORDER NO. 0004
93	RD	Yes	Department of Health and Human Services	EMERGENT PRODUCT DEVEL GAITHERSBURG INC	222,638		ORDER NO. 0003
93	RD	Yes	Department of Health and Human Services	EMERGENT PRODUCT DEVEL GAITHERSBURG INC	464,669		ORDER NO. 0006
93	RD	Yes	Department of Health and Human Services	EMERGENT PRODUCT DEVEL GAITHERSBURG INC	2,253,185		ORDER NO. 0007
93	RD	Yes	Department of Health and Human Services	EMERGENT PRODUCT DEVEL GAITHERSBURG INC	307		ORDER NO. 8
93	RD	Yes	Department of Health and Human Services	EMERGENT PRODUCT DEVEL GAITHERSBURG INC	15,144		HHSN272200800040C
93	RD	Yes	Department of Health and Human Services	EMERGENT PRODUCT DEVEL GAITHERSBURG INC	30,391		ORDER NO 13// U01 AI077910
93	RD	Yes	Department of Health and Human Services	Emergent Product Development	31,959		G/L No.: 650085 Cost Center: 30159 0030 WBS No. 200020-0080
93	RD	Yes	Department of Health and Human Services	HUMAN GENOME SCIENCES INC	465,753		STUDY NO. OP59034
93	RD	Yes	Department of Health and Human Services	IMPAQ INTERNATIONAL LLC	16,227		MASTER AGREEMENT NO. S-10/T.O. NO. AHRQ-3450
93	RD	Yes	Department of Health and Human Services	IMPAQ INTERNATIONAL LLC	118,508		SUBCONTRACT NO. AHRQ-1/AGREEMENT NO. S-10/T.O. NO. DOL-6010
93	RD	Yes	Department of Health and Human Services	JBS INTERNATIONAL	119,626		NAICS NUMBER 541690
93	RD	Yes	Department of Health and Human Services	MACROGENICS	2,888,141		ADB CONTRACT NO. N01-AI-60013
93	RD	Yes	Department of Health and Human Services	MANILA CONSULTING GROUP	562,933		280-05-0122
93	RD	Yes	Department of Health and Human Services	MANILA CONSULTING GROUP	1,969		283-07-4007
93	RD	Yes	Department of Health and Human Services	MANILA CONSULTING GROUP	803,935		283-07-4007 / Option Year 1
93	RD	Yes	Department of Health and Human Services	MENSANA RESEARCH, INC	797,473	7,565	Project 60987
93	RD	Yes	Department of Health and Human Services	PHARMATHENE US CORPORATION	30,304		STUDY NO. OP40763R3
93	RD	Yes	Department of Health and Human Services	SAIC	21,896		AGREEMENT 11XS035
93	RD	Yes	Department of Health and Human Services	SCIMETRIKA LLC	52,714		200-2008-23703/TASK ORDER 0001
93	RD	Yes	Department of Health and Human Services	SOCIAL + SCIENTIFIC SYSTEMS INC	227		SES-SUPS2-S-08-00105
93	RD	Yes	Department of Health and Human Services	TANGLEWOOD RESEARCH INC	5,541		Agreement No. OP61143 / R44DA026219
93	RD	Yes	Department of Health and Human Services	THOMPSON MEDSTAT	9,661		HCLUP5-2007-BATTELLE
93	RD	Yes	Department of Health and Human Services	Valvexchange, Inc.	336		53403
93	RD	Yes	Department of Health and Human Services	VAXIN INC	145		SUBCONTRACT NO. OP51688
93	RD	Yes	Department of Health and Human Services	WESTAT	13,580		WESTAT CONTRACT NO. 8494-S02
93	RD	Yes	Department of Health and Human Services	WESTAT	(1,275)		WESTAT CONTRACT NO. 8494-S02 (MOD 4)
					<u>44,583,763</u>	<u>215,105</u>	
97	RD	Yes	Department of Homeland Security	University of California - Davis	1,552		58692
97	RD	Yes	Department of Homeland Security	Chenega Technical Services Corporation	58,900		Battelle-003-002, 54294, 54298, 54126, 56328, 56329, 59221, 59222, 59224
97	RD	Yes	Department of Homeland Security	CTSC, LLC	2,113,572	3,704	S-0005BMI
97	RD	Yes	Department of Homeland Security	General Electric Global Research	1		700170791
97	RD	Yes	Department of Homeland Security	ICF CONSULTING	1,480,980		HSHQDC-09-D-00060 Mod 001
97	RD	Yes	Department of Homeland Security	NORTHROP GRUMMAN	20,323		SUBCONTRACT #NEPIDQTO2010-001
97	RD	Yes	Department of Homeland Security	NORTHROP GRUMMAN CORP	54,779		NEPIDQTO2010-001, TASK ORDER 0003 Mod 2

(Continued)

BATTELLE MEMORIAL INSTITUTE

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED SEPTEMBER 30, 2011**

Agency Code	CFDA	R&D	Federal Agency	Major Sub Agency/Program Title	Total Expenditures	Subcontracted Dollars	Contract Ref.
97	RD	Yes	Department of Homeland Security	NORTHROP GRUMMAN CORP	\$ 6,426	\$ -	NEPIDQTO2010-001, TASK ORDER 002
97	RD	Yes	Department of Homeland Security	NORTHROP GRUMMAN CORP	4,055		NEPIDQTO2010-001, TASK ORDER 004
97	RD	Yes	Department of Homeland Security	NORTHROP GRUMMAN CORP	31,584		NEPIDQTO2010-001, TASK ORDER 001
97	RD	Yes	Department of Homeland Security	NORTHROP GRUMMAN CORP	42,218		NEPIDQTO2010-001, TASK ORDER 006
97	RD	Yes	Department of Homeland Security	NORTHROP GRUMMAN CORP	1,884		NEPIDQTO2010-001, TASK ORDER 005
97	RD	Yes	Department of Homeland Security	NORTHROP GRUMMAN CORP	18,584		Region VII TEPW
97	RD	Yes	Department of Homeland Security	NORTHROP GRUMMAN SPACE + MISSIONS SYS	10,889		Missouri TEPW/STARRS
97	RD	Yes	Department of Homeland Security	NORTHROP GRUMMAN SPACE + MISSIONS SYS	1,943		Subcontract - NEPIDQTO2010-001
97	RD	Yes	Department of Homeland Security	NORTHROP GRUMMAN TECHNICAL SERVICES	7,978		SUBCONTRACT #NEPIDQTO2010-001
97	RD	Yes	Department of Homeland Security	NORTHROP GRUMMAN TECHNICAL SERVICES	18,464		Subk NEPIDQTO2010-001 / Task Order 010
97	RD	Yes	Department of Homeland Security	NORTHROP GRUMMAN TECHNICAL SERVICES	13,797		Prime #HSHQDC-06-D-00015/Sub #NEPIDQTO2010-001/TO NEPIDQTO2010-001-011
97	RD	Yes	Department of Homeland Security	NORTHROP GRUMMAN TECHNICAL SERVICES	15,345		Subcontract NEPIDQTO2010-001-012
97	RD	Yes	Department of Homeland Security	NORTHROP GRUMMAN TECHNICAL SERVICES	16,385		Region VIII R8-OBE-257 OY
97	RD	Yes	Department of Homeland Security	NORTHROP GRUMMAN TECHNICAL SERVICES	61,344		Region VIII R8-OBE-194 OY TO 2
97	RD	Yes	Department of Homeland Security	NORTHROP GRUMMAN TECHNICAL SERVICES	28,092		NEPIDQTO2010-001-OY1-003/PO 7500091536
97	RD	Yes	Department of Homeland Security	NORTHROP GRUMMAN TECHNICAL SERVICES	8,815		NEPIDQTO2010-001-OY1-004
97	RD	Yes	Department of Homeland Security	RCM SOLUTIONS	13,460		SUB NO. 09-010-DHS-D00056/TO1
97	RD	Yes	Department of Homeland Security	SYSTEMS PLANNING + ANALYSIS INC	1,164,280		GS-23F-8167H/SPA-SC-1774-08-0005
97	RD	Yes	Department of Homeland Security	Western Industrial Contractors, Inc.	15,292		60448
					<u>5,210,942</u>	<u>3,704</u>	
98	RD	Yes	Agency for International Development	CAMP DRESSER + MCKEE INC	10,819		EH-IQC-BMI-09-TOA-02-2
98	RD	Yes	Agency for International Development	INTERNATIONAL RESOURCES GROUP LTD	87,278		Subcontract No: 4000-IQC-BATTELLE
					<u>98,097</u>	<u>-</u>	
99	RD	Yes	Miscellaneous	CRA INC	18,566		CT056100000693
99	RD	Yes	Miscellaneous	CRA INC	23,758		2010 - 014 - NYPD: Task Order No. 002
99	RD	Yes	Miscellaneous	CRA INC	83,564		2010-014-NYPD
					<u>125,888</u>	<u>-</u>	
Total Indirect Funding					<u>214,479,163</u>	<u>6,666,638</u>	
TOTAL EXPENDITURES OF FEDERAL AWARDS					<u>\$793,386,330</u>	<u>\$193,587,765</u>	

(Concluded)

BATTELLE MEMORIAL INSTITUTE

NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS FOR THE YEAR ENDED SEPTEMBER 30, 2011

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of Presentation — The accompanying schedule of expenditures of federal awards (the “Schedule”) summarizes the expenditures of Battelle Memorial Institute and subsidiaries (the “Company”) under programs funded by federal and state governments for the year ended September 30, 2011. The Schedule has been prepared on the accrual basis in accordance with accounting principles generally accepted in the United States of America and includes all grants and contracts entered into directly between the Company and agencies and departments of the federal and state governments, as well as funds passed through to the Company by other recipients. In accordance with Office of Management and Budget (OMB) Circular A-133, *Audits of States, Local Governments*, the Schedule does not include amounts received to operate government-owned, contractor-operated facilities.

Research and Development Cluster — OMB Circular A-133 defines research and development as follows: research is a systematic study directed toward fuller scientific knowledge or understanding of the subject studied; development is the systematic use of knowledge and understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes.

Subrecipient — Certain funds are passed through to subgrantee organizations by the Company. Expenditures incurred by the subgrantees and reimbursed by the Company are presented in the Schedule.

The Company is also the subrecipient of funds, which have been reported as expenditures and listed as pass-through funds.

2. NONCASH AWARDS

During the year ended September 30, 2011, the Company did not receive nonmonetary assistance.

3. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES FOR PROGRAM EXPENDITURES

Expenditures consist of direct and indirect costs. Direct costs are those that can be easily identified with an individual sponsored project. The salary cost of a lead scientist or technical specialist and the materials consumed by the project are examples of direct costs.

The Company uses indirect costs rates to charge indirect costs to individual sponsored projects. Indirect costs are the costs of services and resources that benefit both sponsored and nonsponsored projects. The rates are the result of a number of complex cost allocation procedures that the Company uses to allocate its indirect costs to both sponsored and nonsponsored activities. The indirect costs allocated to sponsored projects are divided by the direct costs of sponsored projects to arrive at a rate. Indirect rates are reviewed by the Defense Contract Audit Agency and approved by the cognizant Administrative Contracting Officer.

4. CLASSIFIED INFORMATION

Due to the nature of research and development that the Company performs on behalf of the federal government, various contracts and project information is considered classified, which includes “Top Secret,” “Secret,” or “Confidential.” As a result, the Schedule reflects summarized data by agency in order to properly safeguard various information as required by the federal government.

5. RELATIONSHIP TO CONSOLIDATED FINANCIAL STATEMENTS

Awards in the amount of \$793,386,330 are reported as a portion of total project revenue in the Company’s consolidated financial statements as revenue from operations.

* * * * *

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

To the Board of Directors of
Battelle Memorial Institute and Subsidiaries
Columbus, Ohio

We have audited the consolidated financial statements of Battelle Memorial Institute and subsidiaries (the "Company") as of and for the year ended September 30, 2011, and have issued our report thereon dated December 16, 2011, which includes an emphasis of a matter paragraph regarding the adoption of a new accounting standard for noncontrolling interests. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States of America.

Internal Control over Financial Reporting

Management of the Company is responsible for establishing and maintaining effective internal control over financial reporting. In planning and performing our audit, we considered the Company's internal control over financial reporting as a basis for designing our audit procedures for the purpose of expressing an opinion on the effectiveness of the Company's internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the Company's internal control over financial reporting.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis. *A material weakness* is a deficiency, or combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis.

Our consideration of internal control over financial reporting was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over financial reporting that might be deficiencies, significant deficiencies, or material weaknesses. We did not identify any deficiencies in internal control over financial reporting that we consider to be material weaknesses, as defined above. However, we identified certain deficiencies in internal control over financial reporting that we consider to be a significant deficiency in internal control over financial reporting, described in the accompanying schedule of findings and questioned costs that we considered to be a significant deficiency in internal control over financial reporting. *A significant deficiency* is a deficiency, or combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the Company's consolidated financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

We noted certain matters that we reported to management of the Company in a separate letter dated December 16, 2011.

The Company's response to the finding identified in our audit is described in the accompanying schedule of findings and questioned costs as item 11-01. We did not audit the Company's response and, accordingly, we express no opinion on it.

This report is intended solely for the information and use of the Company's management, the Board of Directors, others within the Company, federal awarding agencies, state funding agencies, and pass-through entities and is not intended to be, and should not be, used by anyone other than these specified parties.

Deloitte & Touche LLP

December 16, 2011

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

To the Board of Directors of
Battelle Memorial Institute and Subsidiaries
Columbus, Ohio

Compliance

We have audited Battelle Memorial Institute and subsidiaries (the "Company") compliance requirements described in the *OMB Circular A-133 Compliance Supplement* that could have a direct and material effect on the Company's major federal program for the year ended September 30, 2011. The Company's major federal program is identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs. Compliance with the requirements of laws, regulations, contracts, and grants applicable to its major federal program is the responsibility of the Company's management. Our responsibility is to express an opinion on the Company's compliance based on our audit.

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 Office of Management and Budget (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 program occurred. An audit includes examining, on a test basis, evidence about the Company'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 on the Company's compliance with those requirements.

In our opinion, the Company complied, in all material respects, with the compliance requirements referred to above that could have a direct and material effect on its major federal program for the year ended September 30, 2011. However, the results of our auditing procedures disclosed instances of noncompliance with those requirements, which are required to be reported in accordance with OMB Circular A-133 and which are described in the accompanying schedule of findings and questioned costs as items 11-02, 11-03, 11-04, and 11-05.

Internal Control over Compliance

Management of the Company is responsible for establishing and maintaining effective internal control over compliance with requirements of laws, regulations, contracts, and grants applicable to federal programs. In planning and performing our audit, we considered the Company'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 internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the Company's internal control over compliance.

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

Our consideration on internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be deficiencies, significant deficiencies, or material weaknesses. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses, as defined above.

The Company'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 Company's responses and, accordingly, we express no opinion on the responses.

Schedule of Expenditures of Federal Awards

We have audited the consolidated financial statements of the Company as of and for the year ended September 30, 2011, and have issued our report thereon dated December 16, 2011, which contained an unqualified opinion, with an emphasis of a matter paragraph regarding the adoption of a new accounting standard for noncontrolling interests, on those financial statements. Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The accompanying schedule of expenditures of federal awards is presented for the purposes of additional analysis as required by OMB Circular A-133 and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the schedule of expenditure of federal awards is fairly stated in all material respects in relation to the financial statements as a whole.

This report is intended solely for the information and use of the Board of Directors and management of the Company, federal awarding agencies, state funding agencies, and pass-through entities and is not intended to be, and should not be, used by anyone other than these specified parties.

Deloitte & Touche LLP

June 22, 2012

BATTELLE MEMORIAL INSTITUTE

SCHEDULE OF FINDINGS AND QUESTIONED COSTS FOR THE YEAR ENDED SEPTEMBER 30, 2011

PART I — SUMMARY OF AUDITORS' RESULTS

FINANCIAL STATEMENTS:

- Type of auditors' report issued: Unqualified
- Internal control over financial reporting:
1. Material weakness(es) identified? Yes No
 2. Significant deficiencies identified? Yes None reported
 3. Noncompliance material to the financial statements noted? Yes No

FEDERAL AWARDS:

4. Material weakness(es) identified? Yes No
5. Significant deficiencies identified? Yes None reported

Type of auditors' report issued on compliance for major programs:

Unqualified

6. Any audit findings disclosed that are required to be reported in accordance with OMB Circular A-133, Section 510(a) Yes No
7. The Company's major program was Research and development cluster
8. Dollar threshold used to distinguish between Type A and Type B programs? \$3,000,000
9. Auditee qualify as low risk auditee Yes No

PART II — FINANCIAL STATEMENT FINDINGS SECTION

11-01 INTERNAL CONTROLS SURROUNDING REVENUE RECOGNITION AND BILLING

Criteria — OMB Circular A-133 defines internal control as it relates to the compliance requirement of Federal programs as a "process effected by an entity's management and other personnel designed to provide reasonable assurance regarding the achievement of the following objectives for Federal programs:

(1) Transactions are properly recorded and accounted for to: (i) Permit the preparation of reliable financial statements and Federal reports; (ii) Maintain accountability over assets; and (iii) Demonstrate compliance with laws, regulations, and other compliance requirements."

Finding — Effective October 1, 2010, Battelle Memorial Institute (“Battelle”) implemented a new enterprise resource planning system (“Catalyst”). They had designed their internal control procedures for revenue recognition and billing around various automated controls.

During the first quarter of 2011, it became apparent to Battelle that the automated controls were not operating effectively, as they were unable to systematically generate accurate invoices. In response, Battelle implemented manual controls processes to ensure that bills were accurate before being released to their customers. They are continuing a manual review of all invoices until the applicable system upgrades are implemented and fully tested. As of September 30, 2011, Battelle was preparing and sending invoices on a timely basis.

Additionally, Battelle was also unable to ensure that Catalyst was properly recognizing revenue following the implementation. Battelle implemented a manual project review to ensure that revenue was properly stated as of and for the year ended September 30, 2011.

Following the implementation of Catalyst, the deficiencies in revenue and billing processes aggregated to a significant deficiency. Battelle is continuing efforts to correct the deficiencies in the automated controls and will perform the manual control processes until additional corrective actions are completed and tested for operating effectiveness.

As a result of the manual control activity implemented throughout fiscal year 2011, the significant deficiency was remediated as of September 30, 2011.

Effect — Without the proper control structure revenue could be improperly recognized.

Questioned Cost — N/A

Recommendation — We recommend that Battelle continue with their corrective actions and implementation strategy through fiscal year 2012.

Views of Responsible Officials — We concur with this comment.

PART III — FINDINGS AND QUESTIONED COSTS RELATING TO FEDERAL AND NONFEDERAL AWARDS:

11-02 Disposal of Fixed Assets

Grantor and CFDA Number —

Agency Code	CFDA	Federal Agency	Major Sub Agency/ Program Title
12	RD	Department of Defense	Joint IED Defeat Organization

Criteria — OMB Circular A-133 requires “Equipment records shall be maintained, a physical inventory of equipment shall be taken at least once every two years and reconciled to the equipment records, an appropriate control system shall be used to safeguard equipment, and equipment shall be adequately maintained. OMB Circular A-133 requires that pass-through entities are responsible for “ensuring that subrecipients expending \$500,000 or more in Federal awards during the subrecipient’s fiscal year for fiscal years ending after December 31, 2003, as provided in OMB Circular A-133 have met the audit requirements of OMB Circular A-133.”

Finding — Of the 60 disposals tested, there were two disposals which were not properly removed from the fixed asset listing when they were disposed of in the current year.

Project No.	Inventory Tag Number	Item Description	Amount
CG920827	GI04476	ZEBRA GK420T PRINTER	\$ 395
CG920827	GI04544	INTERMEC SCANNER	671

Effect — Not properly disposing of fixed assets can improperly overstate your fixed asset listing.

Questioned Cost — N/A

Recommendation — The Company should review its disposal procedures to ensure that all fixed assets are being disposed on timely.

Views of Responsible Officials — We concur with this comment. Two pieces of government equipment were in Battelle’s government property records as being in Battelle’s possession when they had been shipped to a contractor in accordance with client instructions. The dates of transfer were not entered on the correct screen in Battelle’s new enterprise resource planning (ERP) system. The information in the ERP system related to these two assets has been corrected.

11-03 Period of Performance

Grantor and CFDA Number —

Agency Code	CFDA	Federal Agency	Major Sub Agency/Program Title
12	RD	Department of Defense	Army
12	RD	Department of Defense	Navy

Criteria — OMB Circular A-133 requires “Federal awards may specify a time period during which the non-Federal entity may use the Federal funds. Where a funding period is specified, a non-Federal entity may charge to the award only costs resulting from obligations incurred during the funding period and any pre-award costs authorized by the Federal awarding agency.”

Finding — There were two contracts where the period of availability was entered improperly into the system. No improper billing was noted as a result of these errors.

Project ID	Client Name	Award Period Per Contract	Award Contract Period per SEFA
TG898269	Army Research Office	June 1, 2010– July 1, 2012	June 11, 2010– July 1, 2012
LG921113	Naval Special Warfare Development GP	April 1, 2010– December 25, 2011	April 1, 2010– June 17, 2011

In addition, there was one contract (100002782 for Marine Corps Logistics Command) where there were charges to the project prior and after the award period per contract. The total of these errors was \$1,133.

Effect — Not properly monitoring the period of performance could lead to improperly billing the agency.

Questioned Cost — \$1,133

Recommendation — The Company should ensure that it is expending funds only during the period of availability.

Views of Responsible Officials — We concur with this comment.

Project ID TG898269 had June 11, 2010, as the start date in Battelle’s ERP system; however, the start date in the contract was June 1, 2010. The start date has been corrected in the system. While the start date in the system was not correct, it was after the start date specified in the contract and the government was not billed for cost incurred outside the contract period of performance dates.

Project ID LG921113 had June 17, 2011, as the end date in the ERP system; however, the delivery date in the contract was December 25, 2011. This contract is a completion type contract. As such, costs incurred after the contract end date may be allowable to complete the end product in accordance with FAR 16.306(d). The end date has been corrected in the system.

Project ID 100002782: Battelle received a “bridge” contract to continue work from one contract (G825049) until the new contract could be finalized. Costs were charged to the bridge contract before that contract began and should have been charged to the original contract (G825049). Costs charged outside the contract period of performance have been moved to the correct contract.

11-04 Unallowed Cost — Sales Tax

Grantor and CFDA Number —

Agency Code	CFDA	Federal Agency	Major Sub Agency/ Program Title
93	RD	Department of Health and Human Services	University of Arizona

Criteria — Federal Acquisition Regulation 31.205-41 denotes that the payment of taxes is unallowable if they are “(t)axes from which exemptions are available to the contractor directly, or available to the contractor based on an exemption afforded the Government, except when the contracting officer determines that the administrative burden incident to obtaining the exemption outweighs the corresponding benefits accruing to the Government.”

Finding — There was one selection where sales tax was incorrectly accrued and paid.

Effect — Improperly paying sales tax results in the overbilling of grantors.

Questioned Cost — \$145

Recommendation — The Company should review its procedures for identifying sales tax.

Views of Responsible Officials — We concur with this comment. A procurement card purchase (PCard) of postage stamps was incorrectly coded as general office supplies, which caused a use tax accrual. The error was not caught by the Corporate Tax department in preparation of the August 2011 tax return and the tax was paid. A journal entry has been completed to remove the incorrect tax and adjust tax payment.

Corporate Tax will continue to review use tax accrual transactions for reasonableness and accuracy to identify use tax accruals errors. The PCard Program Office also randomly selects transactions each month to audit for source documentation and proper recording of sales tax. Errors are identified to the purchase card holder for training purposes. In addition, Corporate Tax will work with the PCard Program Office to develop training to be distributed via email to all PCard holders addressing the importance of recording sales tax separately for all transactions.

11-05 Missing Procurement Documentation

Grantor and CFDA Number —

Agency Code	CFDA	Federal Agency	Major Sub Agency/ Program Title
12	RD	Department of Defense	National Guard Bureau

Criteria — OMB Circular A-133 requires the auditor to make a sample of all procurement items and obtain the appropriate supporting documentation.

Finding — There was one selection where the Company was unable to provide the master procurement agreement. That related to master procurement agreement PO#601092, related to PO 237715.

Effect — The lack of supporting documentation could lead to improper costs.

Questioned Cost — N/A

Recommendation — The Company should ensure it maintains all required documentation.

Views of Responsible Officials — We concur with this comment. One master purchase order file could not be located after extensive searches. Depending on the circumstances, if the file cannot be found, the file is recreated based on information available in working files, existing task orders, or delivery orders or we may request a copy of the documents from the vendor. Strategic Acquisition Services is in the process of recreating the file.

PART IV — SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS

Number	Finding	Status	Contact
10-1	Subrecipient Monitoring	Corrected	Gwendolyn Von Holten, Vice President, Deputy CFO & Corporate Controller

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