



**EMORY UNIVERSITY**

Consolidated Financial Statements and OMB Circular A-133 Reports

August 31, 2012

(With Independent Auditors' Reports Thereon)

# EMORY UNIVERSITY

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## Independent Auditors' Report

The Board of Trustees  
Emory University:

We have audited the accompanying consolidated statements of financial position of Emory University (the University) as of August 31, 2012 and 2011, and the related consolidated statements of activities, changes in net assets and cash flows for the years then ended. These consolidated financial statements are the responsibility of the University's management. Our responsibility is to express an opinion on these consolidated financial statements based on our audits.

We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to *Government Auditing Standards* issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes consideration of internal control over financial reporting as a basis for designing audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the University's internal control over financial reporting. Accordingly, we express no such opinion. An audit also includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements, assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, the consolidated financial statements referred to above present fairly, in all material respects, the financial position of Emory University as of August 31, 2012 and 2011, and the changes in its net assets and its cash flows for the years then ended in conformity with U.S. generally accepted accounting principles.

In accordance with *Government Auditing Standards*, we have also issued our report dated January 15, 2013 on our consideration of the University's internal control over financial reporting and our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be considered in assessing the results of our audits.



Our audits were conducted for the purpose of forming an opinion on the consolidated financial statements as a whole. The supplementary information included in Schedules 1 through 4 is presented for purposes of additional analysis and is not a required part of the consolidated financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audits of the consolidated financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the supplementary information is fairly stated in all material respects in relation to the financial statements as a whole.

*KPMG LLP*

January 15, 2013

**EMORY UNIVERSITY**  
**CONSOLIDATED STATEMENTS OF FINANCIAL POSITION**  
*August 31, 2012 and August 31, 2011*  
*(Dollars in thousands)*

	<b>2012</b>	<b>2011</b>
<b>ASSETS:</b>		
Cash and cash equivalents	\$ 509,994	\$ 371,130
Patient accounts receivable, net	295,061	252,047
Student accounts receivable, net	44,207	36,778
Loans receivable, net	26,777	27,724
Contributions receivable, net	156,647	175,169
Accrued investment income receivable	6,651	8,713
Other receivables, net	244,908	245,297
Prepaid expenses, deferred charges and other assets	190,775	151,723
Investments	5,679,329	5,399,414
Interests in perpetual funds held by others	1,025,848	965,613
Property and equipment, net	2,663,442	2,428,226
<b>Total assets</b>	<b>\$ 10,843,639</b>	<b>\$ 10,061,834</b>
<b>LIABILITIES AND NET ASSETS:</b>		
Accounts payable and accrued liabilities	\$ 413,338	\$ 358,207
Liability for derivative instruments	217,595	140,173
Interest payable	27,617	22,750
Annuities payable	18,052	19,047
Bonds, notes and mortgages payable	1,890,733	1,788,431
Accrued liabilities for benefit obligations and professional liabilities	391,036	243,886
Deferred tuition and other revenue	388,913	345,362
Deposits held in custody for others	476,915	465,776
Government advances for federal loan programs	17,820	17,499
<b>Total liabilities</b>	<b>3,842,019</b>	<b>3,401,131</b>
Unrestricted net assets:		
Net assets controlled by Emory	2,842,668	2,787,217
Net assets related to noncontrolling interests	61,797	(6,698)
<b>Total unrestricted net assets</b>	<b>2,904,465</b>	<b>2,780,519</b>
Temporarily restricted net assets	2,524,915	2,383,388
Permanently restricted net assets	1,572,240	1,496,796
<b>Total net assets</b>	<b>7,001,620</b>	<b>6,660,703</b>
<b>Total liabilities and net assets</b>	<b>\$ 10,843,639</b>	<b>\$ 10,061,834</b>

See accompanying notes to consolidated financial statements.

# EMORY UNIVERSITY

## CONSOLIDATED STATEMENT OF ACTIVITIES

Year ended August 31, 2012 (with summarized financial information for the year ended 2011)

(Dollars in thousands)

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total August 31, 2012	Total August 31, 2011
<b>OPERATING REVENUES:</b>					
Tuition and fees	\$ 512,680	-	-	\$ 512,680	\$ 483,251
Less: Scholarship allowances	(183,783)	-	-	(183,783)	(167,285)
Net tuition and fees	328,897	-	-	328,897	315,966
Endowment spending distribution	176,541	-	-	176,541	169,533
Other investment income designated for current operations	56,437	-	-	56,437	35,639
Gifts and contributions	42,639	-	-	42,639	38,169
Indirect cost recoveries	122,728	-	-	122,728	122,378
Grants and contracts	382,391	-	-	382,391	374,630
Net patient service revenue	2,418,359	-	-	2,418,359	1,999,823
Medical services	147,430	-	-	147,430	138,364
Sales and services of auxiliary operating activities	63,087	-	-	63,087	57,743
Independent operations	22,138	-	-	22,138	21,119
Patent and royalty revenue	5,760	-	-	5,760	6,819
Other revenue	87,254	-	-	87,254	81,612
Net assets released from restrictions	3,681	(3,681)	-	-	-
<b>Total operating revenues</b>	<b>3,857,342</b>	<b>(3,681)</b>	<b>-</b>	<b>3,853,661</b>	<b>3,361,796</b>
<b>OPERATING EXPENSES:</b>					
Salaries and fringe benefits	2,304,097	-	-	2,304,097	2,039,975
Student financial aid	9,297	-	-	9,297	10,649
Other operating expenses	1,258,270	-	-	1,258,270	1,063,333
Interest on indebtedness	74,822	-	-	74,822	75,451
Depreciation	203,110	-	-	203,110	170,727
<b>Total operating expenses</b>	<b>3,849,596</b>	<b>-</b>	<b>-</b>	<b>3,849,596</b>	<b>3,360,135</b>
<b>NET OPERATING REVENUES/(EXPENSES):</b>	<b>7,746</b>	<b>(3,681)</b>	<b>-</b>	<b>4,065</b>	<b>1,661</b>
<b>NONOPERATING ACTIVITIES:</b>					
Net unrealized gains on investments	23,945	30,445	54,385	108,775	270,769
Investment income and gains (losses) in excess of spending distribution for current operations	154,114	37,354	3,032	194,500	338,221
Investment management fees	(18,778)	(176)	(124)	(19,078)	(23,886)
Gifts and contributions	12,241	72,268	18,561	103,070	55,960
(Loss) gain on disposal of property and equipment	(11,564)	-	-	(11,564)	222
(Loss) gain on defeasance of debt	(15,058)	-	-	(15,058)	2,255
Change in fair value of derivative instruments	(77,422)	-	-	(77,422)	13,370
Other nonoperating items	48,722	5,317	(410)	53,629	(3,079)
<b>Total nonoperating activities</b>	<b>116,200</b>	<b>145,208</b>	<b>75,444</b>	<b>336,852</b>	<b>653,832</b>
<b>CHANGE IN NET ASSETS</b>	<b>123,946</b>	<b>141,527</b>	<b>75,444</b>	<b>340,917</b>	<b>655,493</b>
Less change in net assets related to noncontrolling interests	68,495	-	-	68,495	(4,872)
<b>CHANGE IN NET ASSETS CONTROLLED BY EMORY</b>	<b>55,451</b>	<b>141,527</b>	<b>75,444</b>	<b>272,422</b>	<b>660,365</b>

See accompanying notes to consolidated financial statements.

**EMORY UNIVERSITY**  
**CONSOLIDATED STATEMENT OF ACTIVITIES**

Year Ended August 31, 2011

(Dollars in thousands)

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total August 31, 2011
<b>OPERATING REVENUES:</b>				
Tuition and fees	\$ 483,251	-	-	\$ 483,251
Less: Scholarship allowances	(167,285)	-	-	(167,285)
Net tuition and fees	315,966	-	-	315,966
Endowment spending distribution	169,533	-	-	169,533
Other investment income designated for current operations	35,639	-	-	35,639
Gifts and contributions	38,169	-	-	38,169
Indirect cost recoveries	122,378	-	-	122,378
Grants and contracts	374,630	-	-	374,630
Net patient service revenue	1,999,823	-	-	1,999,823
Medical services	138,364	-	-	138,364
Sales and services of auxiliary operating activities	57,743	-	-	57,743
Independent operations	21,119	-	-	21,119
Patent and royalty revenue	6,819	-	-	6,819
Other revenue	81,613	-	-	81,613
Net assets released from restrictions	5,935	(5,935)	-	-
<b>Total operating revenues</b>	<b>3,367,731</b>	<b>(5,935)</b>	<b>-</b>	<b>3,361,796</b>
<b>OPERATING EXPENSES:</b>				
Salaries and fringe benefits	2,039,975	-	-	2,039,975
Student financial aid	10,649	-	-	10,649
Other operating expenses	1,063,333	-	-	1,063,333
Interest on indebtedness	75,451	-	-	75,451
Depreciation	170,727	-	-	170,727
<b>Total operating expenses</b>	<b>3,360,135</b>	<b>-</b>	<b>-</b>	<b>3,360,135</b>
<b>NET OPERATING REVENUES/(EXPENSES):</b>	<b>7,596</b>	<b>(5,935)</b>	<b>-</b>	<b>1,661</b>
<b>NONOPERATING ACTIVITIES:</b>				
Net unrealized gains on investments	30,666	57,781	182,322	270,769
Investment income and gains (losses) in excess of spending distribution for current operations	208,674	128,559	988	338,221
Investment management fees	(23,557)	(168)	(161)	(23,886)
Gifts and contributions	28,675	13,492	13,793	55,960
Gain on disposal of property and equipment	222	-	-	222
Gain on defeasance of debt	2,255	-	-	2,255
Change in fair value of derivative instruments	13,370	-	-	13,370
Other nonoperating items	658	(951)	(2,786)	(3,079)
<b>Total nonoperating activities</b>	<b>260,963</b>	<b>198,713</b>	<b>194,156</b>	<b>653,832</b>
<b>CHANGE IN NET ASSETS</b>	<b>268,559</b>	<b>192,778</b>	<b>194,156</b>	<b>655,493</b>
Less change in net assets related to noncontrolling interests	(4,872)	-	-	(4,872)
<b>CHANGE IN NET ASSETS CONTROLLED BY EMORY</b>	<b>273,431</b>	<b>192,778</b>	<b>194,156</b>	<b>660,365</b>

See accompanying notes to consolidated financial statements.

**EMORY UNIVERSITY**  
**CONSOLIDATED STATEMENTS OF CASH FLOWS**

*Years Ended August 31, 2012 and 2011*

*(Dollars in thousands)*

	<u>2012</u>	<u>2011</u>
<b>CASH FLOWS FROM OPERATING ACTIVITIES:</b>		
Change in net assets	\$ 340,917	\$ 655,493
Adjustments to reconcile change in net assets to net cash (used in) provided by operating activities:		
Nonoperating items:		
Net assets acquired in formation of Joint Operating Company	(99,769)	-
Gain on formation of the Joint Operating Company	(18,664)	-
Gain on acquisition of joint venture	-	(35,524)
Gifts restricted for long-term investment and capital projects	(109,351)	(17,681)
Net realized gains on sale of investments	(292,706)	(408,317)
Loss (gain) on disposal of property and equipment	11,564	(222)
Interests in perpetual funds held by others	(60,235)	(184,421)
Loss (gain) on defeasance of debt	15,058	(2,255)
Noncash items:		
Depreciation	203,110	170,727
Provision for uncollectible patients accounts receivable	98,533	88,201
Accretion/amortization of bond discounts/premiums	(3,705)	(15,802)
Net unrealized gains on investments	(37,057)	(87,228)
Actuarial adjustments for retiree pension and benefit plans	52,065	(39,438)
Change in fair value of derivative instruments	77,422	(13,370)
Gifts of securities and other assets	(62,642)	(34,884)
(Increase) decrease in operating assets, net of effects from formation of Joint Operating Company:		
Accounts and other receivables, net	(113,233)	(186,947)
Contributions receivable	18,522	(9,604)
Accrued investment income receivable	2,062	3,790
Prepaid expenses, deferred charges and other assets	67,979	(16,915)
Increase (decrease) in operating liabilities, net of effects from formation of Joint Operating Company:		
Accounts payable, accrued liabilities and interest payable	(6,249)	55,520
Accrued liabilities for benefit obligations and professional liabilities	47,705	5,655
Deferred tuition and other revenue	34,923	(8,850)
<b>Net cash provided by (used in) operating activities</b>	<b><u>166,249</u></b>	<b><u>(82,072)</u></b>
<b>CASH FLOWS FROM INVESTING ACTIVITIES:</b>		
Disbursements for loans to students	(3,879)	(3,204)
Repayment of loans from students	4,825	4,990
Proceeds from sales and maturities of investments	9,317,310	6,700,952
Purchases of investments	(9,204,820)	(6,320,094)
Cash received in formation of Joint Operating Company	71,953	-
Cash paid in formation of joint venture	-	(77,637)
Purchases of property, plant and equipment	(250,579)	(225,671)
Increase in deposits held in custody for others	11,139	47,703
<b>Net cash (used in) provided by investing activities</b>	<b><u>(54,050)</u></b>	<b><u>127,039</u></b>

(Continued)

**EMORY UNIVERSITY**  
**CONSOLIDATED STATEMENTS OF CASH FLOWS**

*Years Ended August 31, 2012 and 2011*

*(Dollars in thousands)*

	<u>2012</u>	<u>2011</u>
<b>CASH FLOWS FROM FINANCING ACTIVITIES:</b>		
Gifts restricted for long-term investment and capital projects	109,351	17,681
Proceeds from bonds and mortgages payable	130,979	229,203
Principal repayments of bonds and mortgages payable	(172,972)	(261,907)
Required posting of collateral	(40,691)	-
Decrease in annuities payable	(995)	(213)
Increase (decrease) in government advances for federal loan programs	321	(285)
Bond issuance costs	672	(270)
	<hr/>	<hr/>
<b>Net cash provided by (used in) financing activities</b>	<b>26,665</b>	<b>(15,791)</b>
	<hr/>	<hr/>
<b>Net increase in cash and cash equivalents</b>	<b>138,864</b>	<b>29,176</b>
<b>Cash and cash equivalents at beginning of year</b>	<b>371,130</b>	<b>341,954</b>
	<hr/>	<hr/>
<b>Cash and cash equivalents at end of year</b>	<b><u>\$ 509,994</u></b>	<b><u>\$ 371,130</u></b>
 Supplemental disclosure:		
Cash paid for interest	\$ 71,497	\$ 87,558
Property, plant and equipment acquisitions that were reflected in accounts payable	19,399	6,064

See accompanying notes to consolidated financial statements.

## EMORY UNIVERSITY

### Notes to Consolidated Financial Statements

August 31, 2012 and 2011

#### (1) Organization

Emory University (the University or Emory) is a not-for-profit corporation, located in Atlanta, Georgia, which owns and operates educational and research facilities, a healthcare system, Clifton Casualty Insurance Company Ltd. (CCIC) and Emory Medical Care Foundation (EMCF). The Emory Healthcare system (the System or Emory Healthcare) consists of (i) four general and acute care hospitals (Emory University Hospital, Emory University Hospital Midtown, EHCA Johns Creek Hospital, LLC (EJCH), and Saint Joseph's Hospital of Atlanta (SJHA)), (ii) a geriatric hospital and a long term care hospital (Wesley Woods Geriatric Hospital and Wesley Woods Long Term Care Hospital), (iii) an intermediate care nursing home (Budd Terrace), and an independent and assisted living facility for seniors (Wesley Woods Towers), (iv) three physician groups (The Emory Clinic, Inc., Emory Specialty Associates, LLC and the Medical Group at Saint Joseph's (SJMG) and one physician-group joint venture (Emory Children's Center, Inc.), (v) Emory Healthcare Corporate (EHC), and (vi) Saint Joseph's Translational Research Institute (SJTRI). The consolidated financial statements include Emory University and the aforementioned entities. All material intercompany accounts and transactions have been eliminated in consolidation.

Emory University Hospital, Emory University Hospital Midtown, EHCA Johns Creek Hospital, LLC, Saint Joseph's Hospital of Atlanta, Wesley Woods Geriatric Hospital and Wesley Woods Long Term Care Hospital are sometimes referred to herein as "the Hospitals."

Effective January 1, 2012, the System contributed EJCH to a joint operating company (JOC) under the name of Emory/Saint Joseph's, Inc. (ESJ) formed together with Saint Joseph's Health System (SJHS), in exchange for a 51% membership interest in the JOC. SJHS contributed SJHA, SJMG, SJTRI and certain other assets in exchange for its 49% membership interest in the JOC.

Included in the accounts of SJHA are Saint Joseph's Service Corporation (SJSC) and Saint Joseph's Real Estate Management, Inc. (SJRE). These for-profit subsidiaries own and operate certain assets on the Saint Joseph's Hospital campus.

#### (2) Summary of Significant Accounting and Reporting Policies

The following accounting policies are used in the preparation of the accompanying consolidated financial statements:

The consolidated financial statements have been prepared in conformity with U.S. generally accepted accounting principles (U.S. GAAP).

Net assets and revenues, gains and losses are classified based on the existence or absence of externally imposed restrictions. Accordingly, net assets of the University are classified and reported as follows:

*Unrestricted Net Assets* – Net assets that are not subject to externally imposed stipulations. Certain net assets classified as unrestricted are designated for specific purposes or uses under various internal operating and administrative arrangements of the University.

*Temporarily Restricted Net Assets* – Net assets that are subject to externally imposed stipulations that will be met either by actions of the University and/or the passage of time.

## EMORY UNIVERSITY

### Notes to Consolidated Financial Statements

August 31, 2012 and 2011

*Permanently Restricted Net Assets* – Net assets that are subject to externally imposed restrictions that the University maintains permanently. Generally, the donors of these assets permit the University to use all or part of the income earned and net appreciation on related investments for general or specific purposes.

Revenues are reported as increases in unrestricted net assets unless their use is limited by donor-imposed restrictions. Expenses are reported as decreases in unrestricted net assets. Gains and losses on investments and other assets or liabilities are reported as increases or decreases in unrestricted net assets unless their use is restricted by explicit donor stipulation or by law. Expirations of restrictions on net assets (i.e., the donor-stipulated purpose has been fulfilled and/or the stipulated time period has elapsed) are reported as net assets released from restrictions and shown as reclassifications between the applicable classes of net assets.

Income and realized and unrealized gains on investments of permanently restricted net assets are reported as follows:

- As increases in permanently restricted net assets if the terms of the gift require that they be added to the principal of a permanent endowment fund.
- As increases in temporarily restricted net assets until appropriated for expenditure by the University and/or donor restrictions are met.

**(a) *Cash Equivalents***

Cash equivalents consist primarily of short-term money market mutual funds and treasury bills with original maturities of 90 days or less. These amounts are carried at cost, which approximates fair value. Cash and cash equivalents that are part of the long-term pool are shown within investments as those funds generally are not used for daily operating purposes.

**(b) *Contributions Receivable***

Contributions of assets other than cash are recorded at their estimated fair value at the date of the gift. Contributions to be received after one year, net of an allowance for uncollectible amounts, are discounted to their present value at a risk-adjusted rate. Amortization of discounts is recorded as additional contribution revenue in accordance with donor-imposed restrictions, if any, on contributions. An allowance for uncollectible contributions receivable is provided based upon management's judgment, considering such factors as prior collection history, type of contribution, relationship with donor, and other relevant factors.

**(c) *Loans Receivable, Net***

Emory funded loans to students are carried at estimated net realizable value. Loans receivable from students under certain governmental loan programs, carried at cost, can only be assigned to the federal government or its designees. In addition to Federal Direct Loans which do not flow through the financial statements, loans to qualified students are funded principally with government advances to Emory under the Perkins, Nursing and Health Professions Student Loan Programs.

## EMORY UNIVERSITY

### Notes to Consolidated Financial Statements

August 31, 2012 and 2011

**(d) Other Receivables, Net**

Other receivables are recorded at net realizable value and include receivables under grants and contracts, medical services provided to other organizations and losses recoverable from reinsurers.

**(e) Investments**

Investments are reported at fair value, with the difference between fair value and cost (or fair value at date of gift) being recorded as unrealized gains (losses). The fair value of publicly traded fixed income and equity securities is based upon quoted market prices and published exchange rates, if applicable. Fair values for private partnership interests, real estate, and oil and gas properties held through limited partnerships or commingled funds, and marketable alternative investments (primarily hedge funds which are typically in the form of limited partnerships) are not as readily ascertainable and may require the use of estimates. Fair value for these investments is established based on either external events that substantiate a change in fair value or a reasonable methodology that exists to capture and quantify changes in fair value. General partners typically value privately held companies at cost or an adjusted value based on a recent arm's length transaction. Real estate partnerships and funds are valued based on appraisals of properties held and conducted by third-party appraisers retained by the general partner or investment manager. General partners of alternative investments that invest in marketable securities provide values based on quoted market prices and exchange rates for publicly traded securities and valuation estimates of derivative instruments. General partners of oil and gas partnerships also use third-party appraisers to value properties. Valuations provided by the general partners and investment managers are evaluated by the Emory Investment Management Office and are believed to present reasonable estimates of fair value at August 31, 2012 and 2011.

**(f) Life Income, Gift Annuities, and Interest in Perpetual Funds Held by Others**

The University's split-interest agreements with donors consist primarily of gift annuity agreements and irrevocable charitable remainder trusts for which the University serves as trustee. Assets held in the trusts are included in investments. Contribution revenues are recognized when trusts (or annuity agreements) are established, after recording liabilities for the present value of the estimated future payments to be made to beneficiaries. The liabilities are adjusted annually for changes in the value of assets, accretion of the discount, and other changes in the estimates of future benefits.

The University is also the beneficiary of certain perpetual trusts held and administered by others. The present value of the estimated future cash receipts from the trusts is recognized in beneficial interest in perpetual funds and as contribution revenue at the date such trusts are established. The carrying value of the investments is adjusted annually for changes in fair value. The fair value of these perpetual funds is recorded in the consolidated statements of financial position on August 31, 2012 and 2011 at \$1,025.8 million and \$965.6 million, respectively.

Included in these perpetual funds are the assets of the Robert W. Woodruff Health Sciences Center Fund, Inc. The Robert W. Woodruff Health Sciences Center Fund, Inc. is a tax-exempt entity established in 1996 to make grants and carry on other activities to support and benefit the Robert W. Woodruff Health Sciences Center, a division of the University which includes its medical and nursing schools, medical research laboratories and hospitals. At August 31, 2012 and 2011, the

## EMORY UNIVERSITY

### Notes to Consolidated Financial Statements

August 31, 2012 and 2011

assets of the Robert W. Woodruff Health Sciences Center Fund, Inc. were \$935 million and \$882 million, respectively. The majority of these assets are investments in the common stock of the Coca-Cola Company.

**(g) *Property and Equipment***

Land, buildings, and equipment are recorded at cost at the date of acquisition or fair value at the date of gift to the University. Interest expense, net of interest earnings, on borrowings is capitalized during project construction periods as part of property cost. Depreciation expense is based on the straight-line method over the estimated useful lives of the assets. Useful lives are as follows: buildings – 10 to 60 years; land improvements and infrastructure – 5 to 40 years; moveable equipment – 3 to 20 years; fixed equipment – 3 to 30 years; leasehold improvements – term of the lease; and library books – 10 years.

**(h) *Bond Issuance Costs***

Costs related to the registration and issuances of bonds are being amortized over the life of the bonds on a method that approximates the effective-interest method. The costs, net of accumulated amortization, are included in prepaid expenses, deferred charges and other assets in the consolidated statements of financial position.

**(i) *Tuition and Fees***

Tuition and fee revenues are recognized in the fiscal year during which the academic services are rendered. The accompanying consolidated statements of financial position as of August 31, 2012 and 2011 reflect deferred fall semester revenues and expenses, which will be recognized as revenues and expenditures in fiscal 2013 and 2012, respectively.

**(j) *Contributions Revenue***

Contributions, including unconditional promises to give, are recognized as revenues in the period received. Contributions restricted for capital projects, endowment funds and contributions under split-interest agreements or perpetual trusts are reported as nonoperating revenue. All other contributions are recorded as operating revenues. Unconditional promises to give, with payments due in future periods, are recorded as increases in temporarily or permanently restricted assets at the estimated present value of future cash flows, net of an allowance for uncollectible pledges.

Donor-restricted contributions are reported as temporarily restricted or permanently restricted revenue that increases those net asset classes. Expirations of temporary restrictions on net assets, such as the donor stipulation being met or the passage of time, are reported as net assets released from restrictions and reflect reclassifications from temporarily restricted net assets to unrestricted net assets. If the donor stipulation is met in the year of the gift, the contribution is reflected in the unrestricted net asset class. Temporary restrictions on gifts to acquire long-lived assets are considered met in the period when the asset is placed in service. Conditional promises to give are not recognized until they become unconditional, that is, when the conditions on which they depend are met.

## EMORY UNIVERSITY

### Notes to Consolidated Financial Statements

August 31, 2012 and 2011

**(k) Net Patient Service Revenue**

Net patient service revenue is reported at the estimated net realizable amounts from patients, third-party payors, and others for services rendered, including estimated retroactive adjustments due to future audits, reviews, and investigations. Retroactive adjustments are considered in the recognition of revenues on an estimated basis in the period the related services are rendered, and such amounts are adjusted in future periods as adjustments become known or as years are no longer subject to such audits, reviews, and investigations.

With respect to reserves for third-party payor cost report audits and anticipated settlements, the Hospitals routinely reserve 3.0 - 3.5% of relevant Medicare revenues through initial audit and settlement of related cost reports, which is then reduced to 1.0 - 1.5% of revenues until the related statutory reopening periods have expired (generally, three years from the date of initial settlement). The Hospitals have historically provided such reserves in recognition of the complexity of relevant reimbursement regulations, the volatility of related settlement processes, and an increasingly provocative overall healthcare regulatory environment, and believe that such policy properly provides for the Hospitals' routine exposures in this area consistent with industry-specific accounting principles and practices. In any event, the Hospitals' estimates in this area will differ from actual experience, and those differences may be material.

**(l) Income Taxes**

The University is recognized as a tax-exempt organization as defined in Section 501(c)(3) of the U.S. Internal Revenue Code (the Code) and is generally exempt from the federal income taxes on related income pursuant to Section 501(a) of the Code. Accordingly, no provision for income taxes is made in the consolidated financial statements. Unrelated business income of the University is reported on Form 990-T. As of August 31, 2012 and 2011, there were no material uncertain tax positions.

**(m) Asset Retirement Obligations**

The University recognizes the fair value of a liability for legal obligations associated with asset retirements in the period in which it is incurred, if a reasonable estimate of the fair value of the obligation can be made. When the liability is initially recorded, the University capitalizes the cost of the asset retirement obligation by increasing the carrying amount of the related long-lived asset. Over time, the liability is accreted to its present value each period, and the capitalized cost associated with the retirement obligation is depreciated over the useful life of the related asset. Upon settlement of the obligation, any difference between the cost to settle the asset retirement obligation and the recorded liability is recognized as a gain or loss in the consolidated statement of activities.

**(n) Derivative Instruments**

The University will from time to time utilize interest rate exchanges to hedge interest rate market exposure of variable rate debt. The University uses the accrual method to account for the interest rate exchanges in connection with the underlying bonds. The difference between amounts paid and received under such agreements is reported in interest expense in the consolidated statements of activities. Changes in the fair value of these exchanges are recognized as nonoperating changes in net assets in the consolidated statements of activities.

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Certain investment strategies used by the University and its investment managers incorporate various derivative financial instruments.

**(o) Pension and Postretirement Benefits**

The University recognizes the funded status of its defined benefit pension and postretirement benefit plans as an asset or liability and recognizes changes in funded status during the year in which the changes occur as changes in unrestricted net assets.

**(p) New Accounting Pronouncements**

During fiscal 2012, the University adopted the provisions of the Financial Accounting Standards Board (FASB) issued Accounting Standards Update (ASU) 2010-23 (Topic 954): *Measuring Charity Care for Disclosure*. ASU 2010-23 amends Accounting Standards Codification (ASC) Subtopic 954-605, *Health Care Entities – Revenue Recognition*, to require that cost be used as the measurement basis for charity care disclosure purposes. The method used to estimate such costs as well as any funds received to offset or subsidize charity services provided should also be disclosed.

During fiscal 2012, the University adopted the provisions of FASB ASU 2010-24 (Topic 954): *Presentation of Insurance Claims and Related Insurance Recoveries*. ASU 2010-24 amends ASC Subtopic 954-450, *Health Care Entities – Contingencies*, to clarify that a health care entity should not net insurance recoveries against a related liability and that the claim liability should be determined without consideration of insurance recoveries. The adoption of ASU 2010-24 did not have a material impact on the University's consolidated financial statements.

In July 2011, FASB issued ASU 2011-07 (Topic 954): *Presentation and Disclosure of Patient Service Revenue, Provision for Bad Debts, and the Allowance for Doubtful Accounts for Certain Health Care Entities*. This ASU will change the University's presentation of the provision for uncollectible accounts by moving this item from operating expenses to deductions from gross patient service revenue. It also expands disclosure requirements related to policies for recognizing revenue, assessing contra revenue line items, and activity in the allowance for uncollectible accounts. The University expects to adopt this ASU in fiscal year 2013 and is currently evaluating what impact this ASU will have on the University's consolidated financial statements.

**(q) Use of Estimates**

The preparation of the consolidated financial statements in conformity with U.S. GAAP requires that management make estimates and assumptions affecting the reported amounts of assets, liabilities, revenues, and expenses, as well as disclosure of contingent assets and liabilities. Actual results could differ from those estimates.

Significant items in the University's consolidated financial statements subject to such estimates and assumptions include valuations for certain investments without readily determinable fair values, the determination of the allowances for uncollectible accounts and contractual adjustments, reserves for employee healthcare and workers' compensation claims, accruals for asset retirement obligations, accrued professional and general liability costs, estimated third-party settlements, and actuarially determined benefit liabilities related to the University's pension and other postretirement benefit plans. Depreciation expense is based on the estimated useful lives of the related assets. The carrying

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value of contributions to be received after one year are estimated by discounting the expected future cash flows at a risk-free rate which could have been obtained at the date of the gift.

**(r) Conflict of Interest**

University trustees, directors, principal officers and key employees may periodically be directly or indirectly associated with companies doing business with the University. The University requires annual disclosure of significant financial interests in, or employment or consulting relationships with, entities doing business with the University. The annual disclosures cover these key officials and their immediate family members. When such relationships exist, measures are taken to appropriately manage the actual or perceived conflict. Written conflict of interest policies for the University require, among other things, that no member of a governing board may participate in any decision in which he or she (or an immediate family member) has a material financial interest. Each board member is required to certify compliance with the conflict of interest policy on an annual basis and indicate whether the University does business with an entity in which that member (or an immediate family member) has a material financial interest. When such relationships exist, measures are taken to mitigate any actual or perceived conflict, including requiring that such transactions be conducted at arm's length, for good and sufficient consideration, based on terms that are fair and reasonable to the University, and in accordance with applicable conflict of interest laws.

**(s) Reclassifications**

Certain amounts previously reported have been reclassified to be consistent with the current year presentation.

**(3) Contributions Receivable**

Contributions receivable as of August 31 consist of the following (in thousands):

	<u>2012</u>	<u>2011</u>
Unconditional promises expected to be collected in:		
Less than one year	\$ 59,848	18,844
One year to five years	117,744	191,222
Over five years	<u>5,582</u>	<u>10</u>
Gross contributions receivable	183,174	210,076
Less:		
Discount to present value	(16,005)	(23,482)
Allowance for uncollectible amounts	<u>(10,522)</u>	<u>(11,425)</u>
Contributions receivable, net	<u>\$ 156,647</u>	<u>175,169</u>

At August 31, 2012, approximately 50% of the total unconditional promises to Emory are committed by two foundations with a long-standing history of support for Emory. Contributions receivable generally are discounted at rates ranging from 2.37% to 8.75%.

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The methodology for calculating an allowance for uncollectible contributions receivable is based upon management's analysis of the aging of payment schedules for all outstanding pledges over \$1 million and other factors, including donor history and quality. This review resulted in allowances for uncollectible amounts totaling 5.74% and 5.44% respectively of gross contribution receivables as of August 31, 2012 and 2011.

In November 2006, the University received a gift from the Robert W. Woodruff Foundation, Inc. for \$240 million to support the University's future Healthcare facility projects. As of August 31, 2012, \$160 million had been received with the remaining \$80 million reported in contributions receivable and temporarily restricted net assets.

As of August 31, 2012, the University had received bequest intentions of approximately \$128 million. These intentions to give are not recognized as assets or revenues and, if received, will generally be restricted for purposes stipulated by the donor.

#### (4) Business and Credit Concentrations

The System grants credit to patients, substantially all of whom reside in the southeastern United States. The System generally does not require collateral or other security in extending credit to patients; however, it routinely obtains assignment of (or is otherwise entitled to receive) patients' benefits payable under their health programs, plans, or policies (e.g. Medicare, Medicaid, Blue Cross, and other preferred provider arrangements and commercial insurance policies). The mix of net receivables from patients and third-party payors follows:

	<u>2012</u>	<u>2011</u>
Managed care and other third-party payors	61%	53%
Medicare	29	34
Patients	5	8
Medicaid	5	5
	<u>100%</u>	<u>100%</u>

#### (5) Net Patient Service Revenue

The System has agreements with governmental and other third-party payors that provide for reimbursement to the System at amounts different from established rates. Contractual adjustments under third-party reimbursement programs represent the difference between the System's billings at established rates for services and amounts reimbursed by third-party payors. A summary of the basis of reimbursement with major third-party payors follows:

- Medicare – Substantially all acute care and professional services rendered to Medicare program beneficiaries are paid at prospectively determined rates. These rates vary according to patient classification systems that are based on clinical, diagnostic, and other factors. Certain types of exempt services and other defined payments related to Medicare beneficiaries are paid based upon cost reimbursement or other retroactive-determination methodologies. The System is paid for

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retroactively determined items at tentative rates, with final settlement determined after submission of annual cost reports by the System and audits by the Medicare fiscal intermediary. The System's cost reports have been audited and substantially settled for all fiscal years through August 31, 2006. Revenues from the Medicare program accounted for approximately 36% and 31% of the System's net patient service revenue for the years ended August 31, 2012 and 2011, respectively.

- Medicaid – Inpatient and professional services rendered to Medicaid program beneficiaries are paid at prospectively determined rates. Outpatient services are generally paid based upon cost reimbursement methodologies. The System's cost reports have been audited and substantially settled for all fiscal years through August 31, 2006. Revenues from the Medicaid program accounted for approximately 3% of the System's net patient service revenue for both the years ended August 31, 2012 and 2011. The System contracts with certain managed care organizations in providing services to Medicaid beneficiaries. Payment arrangements with these managed care organizations consist primarily of prospectively determined rates per discharge, discounts from established charges, or prospectively determined per diem rates.

The System has also entered into other reimbursement arrangements providing for payment methodologies which include prospectively determined rates per discharge, discounts from established charges, and prospectively determined per diem rates.

The composition of net patient service revenue follows (in thousands):

	<u>2012</u>	<u>2011</u>
Gross patient service revenue	\$ 6,043,651	4,667,156
Less provisions for contractual and other adjustments	<u>(3,625,292)</u>	<u>(2,667,333)</u>
Net patient service revenue	<u>\$ 2,418,359</u>	<u>1,999,823</u>

In the spring of 2010, the Patient Protection and Affordable Care Act and the Health Care and Education Reconciliation Act (collectively, the Health Care Acts) were signed into law. The impact of the Health Care Acts is complicated and difficult to predict, but the System anticipates its reimbursement in the future will be affected by major elements of the Health Care Acts designed to (1) increase insurance coverage, (2) change provider and payor behavior, and (3) encourage alternative delivery models. Many healthcare reform variables remain unknown and are, among other things, dependent on implementation by federal and state governments and reactions by providers, payors, employers, and individuals. The System continues to monitor developments in healthcare reform and participates actively in contemplating and designing new programs that are encouraged and/or required by the Health Care Acts.

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#### (6) Investments

The following table summarizes the fair value of investments as of August 31 (in thousands):

	2012	2011
Short term investments and cash equivalents <sup>(a)</sup>	\$ 348,299	228,763
Fixed income securities:		
U.S. government securities <sup>(b)</sup>	392,853	423,138
Domestic bonds and long-term notes <sup>(c)</sup>	717,119	622,857
International bonds and long-term notes <sup>(d)</sup>	214,389	221,724
U.S. equity securities <sup>(e)</sup>	434,245	663,929
Non-U.S. equity securities <sup>(f)</sup>	597,424	633,548
Natural resources <sup>(g)</sup>	398,618	317,874
Private markets <sup>(h)</sup>	1,204,749	1,127,163
Hedged strategies <sup>(i,j,k)</sup>	1,078,474	891,345
Real estate investments <sup>(l)</sup>	286,633	266,451
Miscellaneous investments <sup>(m)</sup>	3,216	3,026
Total investments at fair value	5,676,019	5,399,818
Joint ventures (equity method)	3,310	(404)
Total investments	\$ 5,679,329	5,399,414

- (a) Includes short-term U.S. Treasury securities with maturities of less than one year and other short-term, highly liquid debt securities, as well as funds that invest in these types of investments. At August 31, 2012 and 2011, \$27.4 million was posted as collateral and thus not readily available for use.
- (b) Includes investments in U.S. Treasury and agency debt securities with maturities of more than one year and funds that invest in these types of investments.
- (c) Includes investments in non-government debt securities with maturities of more than one year. Investments consist primarily of credit-oriented securities including U.S. investment-grade and below investment-grade debt securities. Other investments include mortgage-backed securities, asset-backed securities, repurchase agreements, senior loans, and bank loans.
- (d) Includes investments in funds that invest in non-U.S. government debt securities with maturities of more than one year and funds that invest in these types of investments. Fund managers have the ability to shift investments from non-U.S. developed to emerging markets. The fair values of some of the fund investments in this category have been estimated using the net asset value per share of the investments.
- (e) Includes investments in U.S. common stocks and funds that invest primarily in U.S. common stocks and S&P 500 futures. Fund managers have the ability to shift investments from value to growth strategies and from small capitalization to large capitalization stocks. The fair values of some of the fund investments in this category have been estimated using the net asset value per share of the investments.

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- (f) Includes investments in non-U.S. common stocks and funds that invest primarily in non-U.S. common stocks. Fund managers have the ability to shift investments from value to growth strategies, from small capitalization to large capitalization stocks, and from developed non-U.S. markets to emerging markets. The fair values of some of the investments in this category have been estimated using the net asset value per share of the investments.
- (g) Includes illiquid investments in timber, mining, energy, commodities and related services businesses held in commingled limited partnership funds. The nature of the investments in this category is such that distributions are received through liquidation of the underlying assets of the funds. It is estimated that the underlying assets of the funds will be liquidated over the next 6 to 12 years. Also includes marketable inflation hedging assets.
- (h) Includes illiquid investments in venture capital, growth equity, buyout, mezzanine, and distressed debt held in commingled limited partnership funds. The nature of the investments in this category is such that distributions are received through liquidation of the underlying assets of the funds. It is estimated that the underlying assets of the funds will be liquidated over the next 4 to 8 years.
- (i) Includes investments in hedge funds that pursue multiple strategies to diversify risks and reduce volatility. The hedge fund composite portfolio includes common stocks, credit-oriented securities and arbitrage investments. Fund managers have the ability to shift investments across strategies and from a net long position to a net short position. These funds generally have a low net long position. The fair values of the fund investments in this category have been estimated using the net asset value per share of the investments.
- (j) Includes long and short investments in U.S. and non-U.S. hedge funds that invest both long and short primarily in U.S. and non-U.S. common stocks. Fund managers have the ability to shift investments from value to growth strategies, from small capitalization stocks to large capitalization stocks, from U.S. to non-U.S. stocks, and from a net long position to a net short position. These funds generally have a low net long position. The fair values of the fund investments in this category have been estimated using the net asset value per share of the investments.
- (k) Includes various single or multi strategy hedge fund investments that invest both long and short primarily in U.S. equities, non-U.S. equities, commodities, and fixed income and can include the use of derivatives. The fair values of the fund investments in this category have been estimated using the net asset value per share of the investments.
- (l) Includes illiquid investments in real estate assets, projects, or land held in commingled limited partnership funds. The fair value of these investments is calculated from the net asset value of Emory's ownership interests in these funds. The nature of the investments in this category is such that distributions are received through liquidation of the underlying assets of the funds. It is estimated that the underlying assets of the funds will be liquidated over the next 5 to 10 years.
- (m) Includes other investments in mutual funds not included in the endowment and other similar funds.

At August 31, 2012 and 2011, cash equivalents of \$327.0 million and \$199.3 million, respectively, are included in investments and restricted for use by endowments and special projects.

The University's investment policies allow certain fund managers to use forward exchange contracts, currency hedges, and exchange agreements in order to reduce the volatility and manage market risk

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involved in its investment portfolio. These financial instruments are included in investments at fair value in the accompanying consolidated statements of financial position with the related gain or loss recognized as investment income and gains (losses) in excess of spending distributions for current operations in the accompanying consolidated statements of activities.

Investment securities are exposed to several risks, such as interest rate, currency, market, and credit risks. Management continues to monitor the composition of its portfolio to assess the potential impact of market conditions on the valuation of its investments.

Liquidity risk represents the possibility that the University may not be able to rapidly adjust the size of its portfolio holdings in times of high volatility and financial stress at a reasonable price. If the University was forced to dispose of an illiquid investment at an inopportune time, it might be forced to do so at a substantial discount to fair value. The University invests in alternative investments, some of which can be highly illiquid. Under adverse market or economic conditions, the secondary market for certain of these alternative investments could contract further. As a result, the University could find it more difficult to sell these securities or may only be able to sell the securities at prices lower than if such securities were widely traded.

The University may hold investments denominated in currencies other than the U.S. dollar. Thus, there is exposure to currency risk because the value of the investments denominated in other currencies may fluctuate due to changes in currency exchange rates, and this can have an effect on the reported value of these investments.

The value of securities held by the University may decline in response to certain economic events, including those events impacting entities whose securities are owned and included in the investment portfolio. Those events impacting valuation may include (but are not limited to) economic changes, market fluctuations, regulatory changes, global and political instability, and currency, interest rate, and commodity price fluctuations. The University attempts to manage this risk through diversification, ongoing due diligence of fund managers, and monitoring of economic conditions.

Management is required to make certain estimates in the preparation of the consolidated financial statements. Among those potentially significant estimates are the valuation of private market investments, real estate, oil and gas properties, and certain alternative investments that invest in marketable securities. Because these investments are not readily marketable, the estimated value is subject to uncertainty and, therefore, may differ from the value that would have been used had a ready market for the investments existed and such differences could be material. Management's estimates are subjective and require judgment regarding significant matters such as the amount and timing of future cash flows and the selection of discount rates that appropriately reflect market and credit risks. The University believes that the carrying amounts of these investments are a reasonable estimate of fair value. Estimates, by their nature, are based on judgment and available information. Changes in assumptions could have a material impact on the consolidated financial statements.

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As of August 31, 2012, the estimated fair value of the University's alternative investments, the related unfunded commitments and limitations and restrictions on the University's ability to redeem or sell are summarized as follows (in thousands):

	<u>2012</u>	<u>Unfunded commitments</u>	<u>Redemption frequency (if currently eligible)</u>	<u>Redemption notice period</u>
Hedged strategies	\$ 1,078,474	124,064	30 – over 365 days	5 – 180 days
Natural resources	398,618	61,183	N/A	N/A
Real estate investments	286,633	19,836	N/A	N/A
Private market investments	<u>1,204,749</u>	<u>242,667</u>	N/A	N/A
	<u>\$ 2,968,474</u>	<u>447,750</u>		

Over the next five years, approximately 95% of the unfunded commitments are expected to be called by the general partners. Although the University is obligated to fund these commitments, many of these agreements allow resale. Funds to meet these commitments will be required over future years and are expected to be generated from existing endowment assets.

#### (7) **Endowment Net Assets**

The University's Endowment (Endowment) consists of approximately 1,600 individual funds established for a variety of purposes including both donor-restricted endowment funds and funds designated by the Board of Trustees to function as endowments. The Endowment provides stable financial support to a wide variety of programs and activities in perpetuity, playing a critical role in enabling the university to achieve its mission. Net assets associated with these endowment funds are classified and reported based on the existence or absence of donor-imposed restrictions.

##### (a) ***Interpretation of Relevant Law***

The Board of Trustees of the University has approved the University's adoption of the State of Georgia Uniform Prudent Management of Institutional Funds Act (UPMIFA) which provides standards for managing investments of institutional funds and spending from endowments. The University classifies as permanently restricted net assets (a) the original value of gifts donated to the permanent endowment, (b) the original value of subsequent gifts to the permanent endowment, and (c) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added to the fund.

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The remaining portion of the donor-restricted endowment fund that is not classified in permanently restricted net assets is classified as temporarily restricted net assets until those amounts are appropriated for expenditures by the University in a manner consistent with the standard of prudence prescribed by the Act. In accordance with the Act, the University considers the following factors in making a determination to appropriate or accumulate donor-restricted endowment funds:

1. The duration and preservation of the fund
2. The purposes of the University and the donor-restricted endowment fund
3. General economic conditions
4. The possible effect of inflation and deflation
5. The expected total return from income and the appreciation of investments
6. Other resources of the University
7. The investment policies of the University

The endowment funds subject to UPMIFA are true endowments and do not include perpetual trusts and endowments held by others, long-term investments, annuity funds, and deposits held in custody and miscellaneous investments. Endowment funds are categorized in the following net asset classes as of August 31 (in thousands):

	2012		2011	
	Donor- Restricted	Board- Designated	Donor- Restricted	Board- Designated
Unrestricted	\$ (30,265)	1,316,780	\$ (31,426)	1,316,233
Temporarily restricted	2,180,307	—	2,114,142	—
Permanently restricted	586,627	—	568,335	—
Total endowment funds	\$ 2,736,669	1,316,780	\$ 2,651,051	1,316,233

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Changes in endowment funds by net asset classification for the years ended August 31 are summarized as follows (in thousands):

	<b>2012</b>			
	<b>Unrestricted</b>	<b>Temporarily Restricted</b>	<b>Permanently Restricted</b>	<b>Total</b>
Endowment net assets, beginning of year	\$ 1,284,807	2,114,142	568,335	3,967,284
Investment return:				
Investment income	179,203	96,940	—	276,143
Net appreciation (depreciation)	(9,627)	29,654	—	20,027
Total investment return	169,576	126,594	—	296,170
Contributions	595	44	18,292	18,931
Appropriation for expenditure <sup>(1)</sup>	(131,929)	(60,473)	—	(192,402)
Transfers from board-designated funds for strategic initiatives	(36,534)	—	—	(36,534)
Endowment net assets, end of year	<u>\$ 1,286,515</u>	<u>2,180,307</u>	<u>586,627</u>	<u>4,053,449</u>

(1) Appropriations for current operations are reflected in operating return and the remainder is included in nonoperating activities.

	<b>2011</b>			
	<b>Unrestricted</b>	<b>Temporarily Restricted</b>	<b>Permanently Restricted</b>	<b>Total</b>
Endowment net assets, beginning of year	\$ 1,151,198	1,928,802	555,800	3,635,800
Investment return:				
Investment income	190,026	191,405	—	381,431
Net appreciation	55,211	56,041	—	111,252
Total investment return	245,237	247,446	—	492,683
Contributions	17,736	15	12,535	30,286
Appropriation for expenditure <sup>(1)</sup>	(128,189)	(62,121)	—	(190,310)
Transfers from board-designated funds for strategic initiatives	(1,175)	—	—	(1,175)
Endowment net assets, end of year	<u>\$ 1,284,807</u>	<u>2,114,142</u>	<u>568,335</u>	<u>3,967,284</u>

(1) Appropriations for current operations are reflected in operating return and the remainder is included in nonoperating activities.

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**(b) *Funds with Deficiencies***

From time to time, the fair value of assets associated with individual donor-restricted endowment funds may fall below the level of the donor's original contribution. Deficiencies of this nature that are reported in unrestricted net assets were \$30.3 million and \$31.4 million as of August 31, 2012 and 2011, respectively. Subsequent gains that restore the fair value of the assets of the endowment fund to book value will be classified as an increase in unrestricted net assets.

**(c) *Return Objectives and Risk Parameters***

The University has adopted investment and spending policies for endowment assets that attempt to provide a predictable stream of funding to programs supported by its endowment while seeking to maintain the purchasing power of the endowment assets. Under this policy, as approved by the Board of Trustees, the endowment assets are invested in a manner to attain a total return of at least 8% (including inflation) over the long term. Over shorter time periods, the endowment assets performance will be measured versus a policy benchmark. The policy benchmark represents the weighted average of benchmark returns to each asset class in the policy asset allocation. The performance objective is to outperform the policy benchmark by at least 50 basis points net of fees, on average. It is not expected that the performance target will be met for every three-year period.

**(d) *Strategies Employed for Achieving Objectives***

To satisfy its long-term rate-of-return objectives, the University relies on a total return strategy in which investment returns are achieved through both capital appreciation (realized and unrealized) and current yield (interest and dividends). The University employs a diversified asset allocation strategy across global equities, fixed income, marketable alternatives, and private investment to achieve its long-term return objectives within prudent risk constraints. The Endowment's long-term target asset allocation is approved by the Investment Committee of the Board of Trustees. The portfolio is periodically rebalanced to the target weightings for each asset class.

**(e) *Relationship between Investment Objectives and Spending Policy***

The University's Board of Trustees has established a spending policy that determines how endowment distributions are made. The University employs a total return endowment spending policy that establishes the amount of endowment investment return available to support current operating and capital needs. The distribution of endowment income in 2012 and 2011 was based on 4.75% of the average fair value of the endowment over the previous 12 months ending on December 31. The University considers the expected return on its endowment, including the effect of inflation in setting the annual appropriation amount. Accordingly, the University expects the current spending policy to allow its endowment to maintain its purchasing power if projected growth rates are achieved. Additional real growth will be provided through new gifts and any excess investment return. The payout rate is approved annually by the Board of Trustees as part of the budget process.

**(8) *Derivative Instruments and Hedging Activities***

The University has executed derivative financial instruments in the normal course of its business.

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As a component of the debt portfolio, the University entered into interest rate swap agreements that effectively convert certain variable rate debt to fixed rates.

The following table summarizes the general terms for each of the University's exchange agreements as of August 31, 2012 (dollars in thousands):

Type	Effective date	Notional amount	University pays	University receives
Basis <sup>(1)</sup>	08/04/2005	\$ 250,000	68% of 3-month LIBOR plus 0.36%	SIFMA Muni Swap Index less 0.05%
Interest	08/04/2005	250,000	3.238%	68% of 3-month LIBOR
Interest	08/23/2005	80,000	3.255%	68% of 3-month LIBOR
Interest	04/19/2007	9,910	4.388%	68% of 3-month LIBOR
Interest	12/01/2007	75,000	3.549%	68% of 3-month LIBOR
Interest	05/01/2008	75,000	3.607%	68% of 3-month LIBOR
Interest	12/01/2008	100,000	3.286%	68% of 3-month LIBOR
Interest	12/01/2009	75,000	3.583%	68% of 3-month LIBOR

*(1) Expired on September 1, 2011.*

Net settlement transactions related to the exchange agreements described above resulted in interest expense totaling \$20.1 million and \$21.6 million during 2012 and 2011, respectively. The fair value of each exchange agreement is the estimated amount the University would receive or pay to terminate the exchange agreement at the reporting date, taking into account current interest rates and the current credit worthiness of the exchange counterparties. The University's exchange agreements are categorized as Level 2 in the fair value hierarchy. The University's exchange arrangements are exposed to credit loss in the event of nonperformance by the counterparty and to interest rate risk driven by factors influencing the spread between the taxable and tax-exempt market interest rates on its basis exchange. The University monitors the credit standing of its counterparties.

Certain University derivative instruments contain provisions requiring long-term, unsecured debt to be maintained at specified credit ratings from Moody's Investor Service and Standard and Poor's Rating Service. If the ratings of the University's debt were to fall below certain benchmarks, the counterparty could request immediate payment on derivatives in net liability positions. At August 31, 2012, the University's long-term debt ratings exceeded these benchmarks.

The aggregate fair value of all derivative instruments with credit-risk related contingent features that are in a liability position is \$217.6 million and \$140.2 million on August 31, 2012 and 2011, respectively, for which Emory University had a requirement to post collateral in the amount of \$40.7 million for 2012. There was no requirement to post collateral on August 31, 2011.

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The following table summarizes the derivatives not designated as hedging instruments as of August 31 (in thousands):

	<b>2012</b>		<b>2011</b>	
	<u>Fair value<sup>(1)</sup></u>	<u>Gain (loss)<sup>(2)</sup></u>	<u>Fair value<sup>(1)</sup></u>	<u>Gain (loss)<sup>(2)</sup></u>
August 4, 2005 Interest Rate Swap	\$ (72,492)	(26,569)	(45,923)	4,240
August 4, 2005 Basis Swap <sup>(3)</sup>	—	92	(92)	659
August 23, 2005 Interest Rate Swap	(23,808)	(8,825)	(14,983)	1,720
April 19, 2007 Interest Rate Swap	(2,554)	(2,554)	—	—
December 1, 2007 Interest Rate Swap	(26,479)	(8,445)	(18,034)	1,505
May 1, 2008 Interest Rate Swap	(29,489)	(9,357)	(20,132)	1,698
December 1, 2008 Interest Rate Swap	(35,498)	(13,562)	(21,936)	2,595
December 1, 2009 Interest Rate Swap	(27,275)	(8,202)	(19,073)	953
	<u>\$ (217,595)</u>	<u>(77,422)</u>	<u>(140,173)</u>	<u>13,370</u>

<sup>(1)</sup> Reported as liability for derivative instruments on the consolidated Statement of Financial Position.

<sup>(2)</sup> Reported in nonoperating activities as change in fair value of derivative instruments.

<sup>(3)</sup> Expired on 9/1/2011.

Emory is exposed to interest rate risk driven by factors influencing the spread between the taxable and tax-exempt market interest rates on its basis swap.

Emory is exposed to financial loss in the event of nonperformance by counterparty to any of the financial instruments described above. General market conditions could impact the credit standing of the counterparties and, therefore, potentially impact the value of the instruments on Emory's consolidated statement of financial position. Emory controls this counterparty credit risk by considering the credit rating, business risk, and reputation of any counterparty before entering into a transaction, monitoring for any change in the credit standing of its counterparty during the life of the transaction, and requiring collateral be posted when predetermined thresholds are crossed.

Investment strategies employed by Emory and investment managers retained by Emory may incorporate the use of various derivative financial instruments with off balance sheet risk. Emory uses these instruments for a number of investment purposes, including hedging or altering exposure to certain asset classes and cost-effectively adding exposures to portions of the portfolio.

The fair value of derivative instruments included in investments is a net \$39.7 million asset and a net \$21.5 million liability as of August 31, 2012 and 2011, respectively, with the value primarily comprised of

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futures. The net gain of \$84 million and \$12.6 million associated with the derivatives is reflected in nonoperating activities in fiscal 2012 and 2011, respectively. The definition of these and other derivative instruments entered into by Emory or its external investment managers on its behalf are as follows:

- (a) **Forward contracts** with various counterparties to obtain exposure to foreign currency exchange rate movements, and in other cases, to hedge against certain foreign currency exchange rate risks resulting from non-U.S. dollar denominated investment securities. Forward contracts are contracts in which the seller agrees to exchange specified currencies on a specified date at a specified rate or to make cash settlement for the value of the agreement at expiration. Risks associated with forward currency contracts are the inability of counterparties to meet the terms of their contracts and movements in exchange rates. Gains and losses on forward transactions are recorded based on changes in fair value. Emory has established procedures to actively monitor and manage market and credit risks.
- (b) **Futures contracts** to hedge exposure to equity price and interest rate movements and to obtain exposure to movements in the exchange rates of certain currencies, prices of certain commodities, and equities prices. Futures contracts are agreements in which the seller agrees to either make delivery of specified assets on a specified future date at a specified price or make cash settlement for the value of the agreement at expiration. Emory's maximum loss exposure for purchased contracts is the notional value of the contracts. Emory has unlimited liability on contracts sold. Emory has established procedures to actively monitor and manage market and credit risks.

The purchase and sale of futures contracts requires margin deposits with a Futures Commission Merchant (FCM). The Commodity Exchange Act requires an FCM to segregate all customer transactions and assets from the FCM's proprietary activities. A customer's cash and other equity deposited with an FCM are considered commingled with all other customer funds subject to the FCM's segregation requirements. In the event of an FCM's insolvency, recovery may be limited to Emory's pro rata share of segregated customer funds available. It is possible that the recovery amount could be less than the total of cash and other equity deposited.

- (c) **Swap agreements**, including equity, index, interest rate, credit default, option, and variance swaps as part of its investment strategies to gain exposure to and, in some cases, hedge against changes in stock prices, interest rate levels, credit strength of specified companies, and market volatility. Generally, a swap contract is an agreement that obligates two parties to exchange a series of cash flows at specified intervals based upon, or calculated by, reference to changes in specified prices or rates for a specified notional amount of the underlying assets. The payment flows are usually netted against each other, with the difference, subject to a predetermined threshold limit, being paid by one party to the other. During the term of the swap contracts, changes in value are recognized as unrealized gains or losses by marking the contracts to market. Emory records a realized gain or loss when periodic payments are received or made. A loss may result from the failure of the counterparty to the swap contract failing to comply with the terms of the swap contract. Such loss is generally limited to the aggregate of the unrealized gain on the swap contract less collateral held or plus any collateral posted with the counterparty. Emory considers the creditworthiness of its swap contract counterparties in evaluating potential credit risk. Additionally, risks may arise from unanticipated movements in the fair value of the underlying securities and the lack of market liquidity to unwind the positions at current fair values.

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- (d) **Option contracts** (including swaptions, which are options on swaps) to obtain exposure to price movements of certain financial instruments and as economic hedges against certain equity positions held in its portfolio. Purchased option contracts give Emory the right, but not the obligation, to buy or sell within a limited time, a financial instrument, commodity, or currency at a contracted price. Option contracts may also be settled in cash, based on the difference between the contracted price and market price at the exercise date. The value of an option has two components: time value and intrinsic value. An option expires on a certain date and as the expiration date approaches, the time value of an option will decline. In addition, if the stock underlying the option declines in price, the intrinsic value of an “in the money” option will decline. Further, if the price of the stock underlying the option does not exceed the strike price of the option on the expiration date, the option will expire worthless. As a result, there is the potential for Emory to lose its entire investment in an option.

Options written (sold) by Emory obligate Emory to buy or sell within a limited time, a financial instrument, commodity, or currency at a contracted price. Alternatively, Emory can settle in cash, based on the difference between the contracted price and market price at the exercise date. All options expose Emory to market risk for changes in the financial instrument underlying the written option.

Emory is exposed to counterparty risk in that the seller of an option contract might not sell or purchase the underlying asset as agreed under the terms of the option contract. The maximum exposure to loss from counterparty risk for Emory is the fair value of the contracts and the premiums paid to purchase its open option contracts. Emory considers the creditworthiness of the intermediary counterparty to its option transactions in evaluating potential credit risk.

- (e) **Transactions where Emory received rights from its portfolio companies** upon an investment in a debt or equity of a company. The rights provide Emory with exposure, and potential gains from, depreciation or appreciation of the portfolio company’s share price. Rights entitle the holder to buy stock of the issuing company at a specified price. Changes in the value of the rights are recognized as unrealized gains or losses by at the end of each day’s trading. If the right is exercised, the new stock is assigned a cost basis at the strike price and the right is marked to zero. If the right is sold, Emory records a realized gain or loss.
- (f) **Transactions where Emory received warrants from its portfolio companies** upon an investment in the debt or equity of a company. The warrants provide Emory with exposure and potential gains upon appreciation of the portfolio company’s share price.

The value of a warrant has two components: time value and intrinsic value. A warrant expires on a certain date and as that date approaches, the time value of a warrant will decline. In addition, if the stock underlying the warrant declines in price, the intrinsic value of an “in the money” warrant will decline. Further, if the price of the stock underlying the warrant does not exceed the strike price of the warrant on the expiration date, the warrant will expire worthless. As a result, there is the potential for Emory to lose its entire investment in a warrant.

Emory is exposed to counterparty risk in that the issuer of warrants may fail to settle its exercised warrants. The maximum loss from counterparty risk for Emory is the fair value of the contracts and

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the purchase price of the warrants. Emory considers the effects of counterparty risk when determining the fair value of its investments in warrants.

#### (9) Fair Values of Assets and Liabilities

The carrying values for cash and cash equivalents, patient receivables, short-term receivables, and short-term payables approximate fair value because of the terms and relative short maturity of these financial instruments. Contributions receivable and annuity and other split-interest obligations carrying amounts approximate fair value because these instruments are recorded at estimated net present value. Long-term investments and deposits held in custody for others are reflected in the accompanying consolidated financial statements at fair value. It is not practicable to determine the fair value of loans receivables, comprised primarily of federally sponsored student loans, and government advances for federal loan programs due to significant government restrictions as to marketability, interest rates, and repayment terms of these loans. The estimated fair value of the University's long-term debt, based on the quoted market prices for issues with similar terms and maturities, is approximately \$1.8 billion at August 31, 2012 and 2011. The fair value of fixed and variable rate debt maturities is determined by each bond's par amount outstanding multiplied by its price on an actively traded market. The carrying value of long-term debt reflected in the accompanying consolidated statements of financial position is approximately \$1.9 billion and \$1.8 billion at August 31, 2012 and 2011, respectively.

Assets and liabilities measured and reported at fair value are classified and disclosed within one of the following categories:

**Level 1** – Valuations for assets and liabilities traded in active exchange markets as of the reporting date. Valuations are obtained from readily available pricing sources for market transactions involving identical assets or liabilities. The type of investments in Level 1 includes listed equities held in the name of the University, and excludes listed equities and other securities held indirectly through commingled funds.

**Level 2** – Valuations are determined through direct or indirect observations other than quoted market prices. The type of investments in Level 2 includes those in which the University is a unit of account holder within a fund that holds underlying assets that are traded in active exchange markets with readily available pricing, except those which, as a practical expedient, are carried at NAV as reported by investment managers.

**Level 3** – Valuations for assets and liabilities that are derived from other valuation methodologies including discounted cash flow models and similar techniques, and not based on market exchange, dealer, or broker-traded transactions. Level 3 valuations incorporate certain assumptions and projections in determining the fair value assigned to such assets or liabilities and, as a practical expedient, are carried at NAV as reported by investment managers.

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The following table summarizes the valuation of the University's assets and liabilities according to the fair value hierarchy levels as of August 31, 2012 (in thousands):

	<u>Total fair value</u>	<u>Fair value hierarchy</u>		
		<u>Level 1</u>	<u>Level 2</u>	<u>Level 3</u>
Financial assets:				
Investments:				
Short-term investments and cash equivalents	\$ 348,299	102,318	245,981	—
Fixed income securities:				
U.S. government securities	392,853	68,447	324,406	—
Domestic bonds and long term notes	717,119	343,903	373,181	35
International bonds and long term notes	214,389	(11)	214,400	—
U.S. equity securities	434,245	203,528	230,714	3
Non-U.S. equity securities	597,424	330,426	266,998	—
Natural resources	398,618	—	—	398,618
Private market investments	1,204,749	—	—	1,204,749
Hedged strategies	1,078,474	—	304,198	774,276
Real estate investments	286,633	78,341	5,025	203,267
Miscellaneous investments	3,216	3,216	—	—
Total investments <sup>(1)</sup>	<u>5,676,019</u>	<u>1,130,168</u>	<u>1,964,903</u>	<u>2,580,948</u>
Interest in perpetual funds held by others	<u>1,025,848</u>	<u>—</u>	<u>—</u>	<u>1,025,848</u>
Total assets <sup>(1)</sup>	<u>\$ 6,701,867</u>	<u>1,130,168</u>	<u>1,964,903</u>	<u>3,606,796</u>
Financial liabilities:				
Derivative instruments - interest rate swaps	(217,595)	—	(217,595)	—
Deposits held in custody for others	<u>(476,915)</u>	<u>—</u>	<u>(476,915)</u>	<u>—</u>
Total liabilities	<u>\$ (694,510)</u>	<u>—</u>	<u>(694,510)</u>	<u>—</u>

(1) Certain investments in joint ventures carried under the equity method of accounting are not reported at fair value and thus not included in the table above.

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The following table summarizes the valuation of the University's assets and liabilities according to the fair value hierarchy levels as of August 31, 2011 (in thousands):

	<b>Total fair value</b>	<b>Fair value hierarchy</b>		
		<b>Level 1</b>	<b>Level 2</b>	<b>Level 3</b>
Financial assets:				
Investments:				
Short-term investments and cash equivalents	\$ 228,763	228,357	406	—
Fixed income securities:				
U.S. government securities	423,138	—	423,138	—
Domestic bonds and long term notes	622,857	194,229	428,605	23
International bonds and long term notes	221,724	—	221,724	—
U.S. equity securities	663,929	382,041	281,885	3
Non-U.S. equity securities	633,548	274,633	358,915	—
Natural resources	317,874	—	—	317,874
Private market investments	1,127,163	—	—	1,127,163
Hedged strategies	891,345	—	219,328	672,017
Real estate investments	266,451	59,240	4,233	202,978
Miscellaneous investments	3,026	3,026	—	—
Total investments <sup>(1)</sup>	<u>5,399,818</u>	<u>1,141,526</u>	<u>1,938,234</u>	<u>2,320,058</u>
Interest in perpetual funds held by others	965,613	—	—	965,613
Total assets <sup>(1)</sup>	<u>\$ 6,365,431</u>	<u>1,141,526</u>	<u>1,938,234</u>	<u>3,285,671</u>
Financial liabilities:				
Derivative instruments - interest rate swaps	(140,173)	—	(140,173)	—
Derivative instruments - futures contracts	(1,079)	—	(1,079)	—
Deposits held in custody for others	(465,776)	—	(465,776)	—
Total liabilities	<u>\$ (607,028)</u>	<u>—</u>	<u>(607,028)</u>	<u>—</u>

(1) Certain investments in joint ventures carried under the equity method of accounting are not reported at fair value and thus not included in the table above.

The University has \$5.57 billion and \$5.22 billion of investments and investments in perpetual funds held by others that fall into Levels 2 and 3 and are reported at estimated fair value at August 31, 2012 and 2011, respectively. Unless it is probable that all or a portion of the investment will be sold for an amount

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different from net asset value, the University has applied a practical expedient and concluded that the net asset value reported by the underlying fund approximates the fair value of these investments.

While the University's investment in these funds is classified as Level 2 or 3, the underlying investments of the fund may be classified Level 1 by the fund itself. The categorization of an investment within the hierarchy does not necessarily correspond to the perceived risk of that investment. The funds and the University use inputs in applying various valuation techniques that are assumptions which market participants use to make valuation decisions, including assumptions about risk. Inputs may include price information, volatility statistics, operating statistics, specific and broad credit data, liquidity statistics, recent transactions, earnings forecasts, future cash flows, market multiples, discount rates and other factors.

Investments made directly by the University whose values are based on quoted market prices in active markets, and are therefore classified within Level 1, include actively traded common and preferred stock, U.S. government fixed income instruments and non-U.S. government fixed income instruments. Level 1 investments may also include futures contracts, listed mutual funds, exchange traded funds (ETFs) and money market funds.

Investments that trade in markets that are considered to be active, but are based on dealer quotations or alternative pricing sources supported by observable inputs or investments that trade in markets that are not considered to be active, but are valued based on quoted market prices, dealer quotations or alternative pricing sources supported by observable inputs are classified within Level 2. Alternative pricing sources include quotations from market participants and pricing models which are based on accepted industry modeling techniques. These investments include U.S. investment-grade and below investment-grade debt securities, international corporate bonds, mortgage-backed securities, asset-backed securities, senior loans and bank loans, most derivative contracts other than futures, and commingled fund investments that would otherwise be classified Level 3 but for which the University had the ability to redeem at net asset value on or within 120 days after August 31, 2012 and 2011.

Investments classified within Level 3 have significant unobservable inputs, as they trade infrequently or not at all. Level 3 investments include limited partnerships, private placement investments, and commingled fund investments. Inputs used may include the original transaction price, recent transactions in the same or similar market, completed or pending third-party transactions in the underlying investment or comparable issuers, and subsequent rounds of financing. When observable prices are not available these investments are valued using one or more valuation techniques described below.

- **Market Approach:** This approach uses prices and other relevant information generated by market transactions involving identical or comparable assets or liabilities.
- **Income Approach:** This approach determines a valuation by discounting future cash flows.
- **Cost Approach:** This approach is based on the principle of substitution and the concept that a market participant would not pay more than the amount that would currently be required to replace the asset. Although a secondary market exists for these investments, it is not active and individual transactions are typically not observable. When transactions do occur in this limited secondary market, they may occur at discounts to the reported net asset value.

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The following tables summarize the University's Level 3 reconciliation as of August 31, 2012 and 2011 (in thousands):

	Balance as of August 31, 2011	Net realized and unrealized gains (losses)	Purchases	Sales	Transfer in (out) Level 3	Balance as of August 31, 2012
Investments:						
Fixed income securities	\$ 23	24	—	(12)	—	35
U.S. equity securities	3	—	—	—	—	3
Natural resources	317,874	54,917	44,656	(18,829)	—	398,618
Private market investments	1,127,163	14,038	316,846	(253,298)	—	1,204,749
Hedged strategies	672,017	41,789	307,973	(193,556)	(53,947)	774,276
Real estate investments	202,978	(3,495)	31,246	(27,462)	—	203,267
Total investments	2,320,058	107,273	700,721	(493,157)	(53,947)	2,580,948
Interest in perpetual funds held by others	965,613	54,433	—	—	5,802	1,025,848
Total assets	\$ 3,285,671	161,706	700,721	(493,157)	(48,145)	3,606,796

Of the \$107.3 million in Level 3 Net Realized and Unrealized Gains for investments for the year ended August 31, 2012, approximately \$95.3 million is the unrealized gain associated with investments held by the University for the entire year. The transfers from Level 3 into Level 2 are comprised of \$53.9 million in liquidity restriction changes.

	Balance as of August 31, 2010	Net realized and unrealized gains (losses)	Purchases	Sales	Transfer into Level 3	Balance as of August 31, 2011
Investments:						
Fixed income securities	\$ 1,723	307	—	(2,007)	—	23
U.S. equity securities	3	—	—	—	—	3
Natural resources	277,695	21,066	39,928	(20,815)	—	317,874
Private market investments	1,009,759	54,695	188,811	(126,102)	—	1,127,163
Hedged strategies	625,952	54,072	127,491	(135,864)	366	672,017
Real estate investments	195,554	(3,331)	24,672	(13,917)	—	202,978
Total investments	2,110,686	126,809	380,902	(298,705)	366	2,320,058
Interest in perpetual funds held by others	781,192	184,421	—	—	—	965,613
Total assets	\$ 2,891,878	311,230	380,902	(298,705)	366	3,285,671

Of the \$126.8 million in Level 3 Net Realized and Unrealized Gains for investments for the year ended August 31, 2011, approximately \$130.0 million is the unrealized gain associated with investments held by the University for the entire year. The transfers from Level 2 into Level 3 are comprised of \$0.4 million in liquidity restriction changes.

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### Notes to Consolidated Financial Statements

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#### (10) Property and Equipment

Property and equipment at August 31 are summarized as follows (in thousands):

	<u>2012</u>	<u>2011</u>
Land and land improvements	\$ 173,460	154,736
Buildings and improvements	2,666,455	2,413,857
Equipment	1,760,920	1,457,823
Library and museum assets	313,858	296,568
Construction in progress	<u>162,413</u>	<u>68,762</u>
	5,077,106	4,391,746
Less accumulated depreciation	<u>(2,413,664)</u>	<u>(1,963,520)</u>
	<u>\$ 2,663,442</u>	<u>2,428,226</u>

Property and equipment is reviewed for recoverability whenever events or changes in circumstances indicate that the carrying amount may not be recoverable. An impairment loss shall be recognized only if the carrying amount of a long-lived asset is not recoverable and exceeds its fair value. The carrying amount of a long-lived asset is not recoverable if it exceeds the sum of the undiscounted cash flows expected to result from the use and eventual disposition of the asset. During 2012, plans to demolish buildings located on property owned by Emory were finalized, resulting in an impairment loss of \$8.2 million.

The University has identified asset retirement obligations primarily from commitments to remove asbestos and lead paint in University facilities at the time of major renovation or demolition. The liability was estimated using an inflation rate of 5.00% and discount rate of 4.74%. The liability for asset retirement obligations at August 31, 2012 and 2011 is \$50.7 million and \$49.7 million, respectively, and is included in accounts payable and accrued liabilities in the accompanying consolidated financial statements.

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### Notes to Consolidated Financial Statements

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#### (11) Long-Term Debt

Bonds, notes and mortgages payable, including unamortized premiums and discounts, consisted of the following at August 31 (dollars in thousands):

	<u>Interest rate average</u>	<u>Final maturity</u>	<u>Outstanding principal</u>	
			<u>2012</u>	<u>2011</u>
Tax-exempt fixed-rate revenue bonds:				
2011 Series A <sup>(1)</sup>	4.95%	September 1, 2041	\$ 236,980	238,278
2009 Series B <sup>(2)</sup>	4.73	September 1, 2035	231,308	238,329
2009 Series C	4.90	September 1, 2039	99,558	99,633
2008 Series C	4.96	September 1, 2038	124,231	124,299
2005 Series A	4.84	September 1, 2025	117,536	130,482
2002 Series A	4.67	September 1, 2033	49,068	55,305
2001 Series A	—	September 1, 2025	—	4,220
1998 Series B	5.00	November 1, 2033	7,767	7,757
Total tax-exempt fixed-rate revenue bonds			<u>866,448</u>	<u>898,303</u>
Tax-exempt variable-rate revenue bonds:				
2007 Series A <sup>(3)</sup>	1.13	November 15, 2028	11,090	—
2005 Series B	0.11	September 1, 2035	250,000	250,000
2005 Series C	0.11	September 1, 2036	281,575	281,575
Total tax-exempt variable-rate revenue bonds			<u>542,665</u>	<u>531,575</u>
Taxable fixed-rate revenue bonds:				
2009 Series A	5.63	September 1, 2019	249,016	248,875
1994 Series C	8.00	October 1, 2024	6,945	7,240
Series 1991	8.90	April 1, 2022	2,231	2,616
Total taxable fixed-rate revenue bonds			<u>258,192</u>	<u>258,731</u>
Taxable variable-rate revenue bonds:				
1999 Series B	0.22	November 1, 2029	11,085	11,415
1995 Series B	0.22	November 1, 2025	8,875	10,455
1994 Series B	0.16	October 1, 2024	11,100	11,605
Total taxable variable-rate revenue bonds			<u>31,060</u>	<u>33,475</u>
Commercial paper:				
2010 Program 1 - Tax-exempt	0.13	August 1, 2050	19,930	25,950
2008 Program 1 - Taxable	0.19	April 1, 2047	100,000	38,000
Total commercial paper			<u>119,930</u>	<u>63,950</u>
Other variable rate notes and mortgages	Various		2,288	2,397
Line of credit			70,150	—
Total bonds, notes and mortgages payable			<u>\$ 1,890,733</u>	<u>1,788,431</u>

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- (1) Included in the 2011 Series Bonds is a 5 year maturity of \$92.2 million due on September 1, 2016 at an average interest rate of 4.88%.
- (2) Included in the 2009 Series Bonds is a medium-term maturity of \$43.0 million due on September 1, 2019 at an average interest rate of 4.68%.
- (3) Interest rate reflected in the chart is calculated for the period that the University owned SJHA during fiscal 2012.

The University incurred interest expense of \$74.8 million and \$75.5 million in 2012 and 2011, respectively, net of capitalized interest of \$2.0 million and \$1.0 million in 2012 and 2011, respectively. During 2012, the average interest rate on University tax-exempt variable rate demand bonds (VRDB) and taxable debt was 0.11% and 0.19%, respectively. Related indices for this period were 0.15% for tax-exempt debt (The Securities Industry and Financial Markets Association Index – SIFMA) and 0.25% for taxable debt (London Interbank Offered Rate – LIBOR).

At August 31, 2012 the aggregate annual maturities of bonds, notes and mortgages payable for the next five years and thereafter are as follows (in thousands):

Payable in fiscal year:	
2013	\$ 48,675
2014	28,795
2015	33,305
2016	30,675
2017	113,698
Thereafter	<u>1,596,656</u>
	1,851,804
Unamortized net premium	<u>38,929</u>
	<u>\$ 1,890,733</u>

On August 18, 2010, the University established a \$400 million tax-exempt Commercial Paper program. The primary purpose of the program is to meet interim financing needs related to capital projects. As of August 31, 2012 and 2011, the University had outstanding balances of \$19.9 million and \$26.0 million, respectively, under this program. On September 4, 2012 the University issued an additional \$28 million to refund \$28.0 million of the Series 2002A Bonds.

In 2008, the University established a \$100 million taxable Commercial Paper program. As of August 31, 2011, the University had an outstanding balance of \$38 million. On June 28, 2012, the University issued an additional \$62 million of the taxable Commercial Paper to refund 2009 Series debt, which resulted in an outstanding balance of \$100 million in taxable Commercial Paper as of August 31, 2012.

The University has standby credit facilities to enable the University to purchase tendered variable rate debt in the event of a failed remarketing. Currently, it has two diversified facilities totaling \$290 million that are committed for this sole purpose and cannot be used for operating needs of the University. As of August 31, 2012, there were no draws against these lines of credit.

## EMORY UNIVERSITY

### Notes to Consolidated Financial Statements

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The University also has a \$100 million line of credit and Emory Clinic has a \$15 million line of credit at August 31, 2012. During fiscal 2012, \$70 million was drawn against the University line of credit to refund portions of the outstanding 2009 and 2010 debt series. There have been no draws on the Clinic line of credit.

Emory University has two letters of credit with a commercial bank totaling \$2.1 million. There were no draws against these letters of credit as of August 31, 2012 and 2011.

In conjunction with Emory Healthcare's 35% joint venture interest in Emory-Adventist, Inc. the University has guaranteed \$7.3 million of a \$20.8 million outstanding loan payable to Adventist Health System.

The terms of the University's long-term debt provide for certain financial and nonfinancial covenants, including provisions as to the use of the proceeds, limits as to arbitrage and bond issue costs, and various other administrative requirements. At August 31, 2012, management believes that the University was in compliance with these covenants.

With regard to debt funding and in response to significant and recent economic changes altering the credit risk environment, the primary objectives of Emory's debt policy are to optimize its current and expected future debt structure and to maintain a diversified portfolio of debt within acceptable risk tolerances while decreasing the cost of capital. The policy is designed to manage the acquisition and allocation of debt as an important component of Emory's overall capital structure.

#### (12) Temporarily and Permanently Restricted Net Assets

Temporarily restricted net assets consist of the following as of August 31 (in thousands):

	<u>2012</u>	<u>2011</u>
Appreciation on endowments restricted until appropriated	\$ 2,060,189	1,994,079
Term endowments	120,118	120,063
Contributions receivable, time and purpose restricted	133,874	152,870
Capital projects and other donor designations	202,162	108,777
Annuity and life income agreements	8,572	7,599
	<u>\$ 2,524,915</u>	<u>2,383,388</u>

## EMORY UNIVERSITY

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Permanently restricted net assets include endowment funds subject to UPMIFA (note 7) as well as perpetual trusts and endowments held by others. Investments to be held in perpetuity reflect a reduction for contributions not yet received. Permanently restricted net assets as of August 31 are comprised of (in thousands):

	<b>2012</b>	<b>2011</b>
Investments to be held in perpetuity, the income from which is expendable for operating activities	\$ 1,534,074	1,459,830
Contributions receivable, restricted for endowment	22,773	22,299
Endowments requiring income to be added to the original gift until funds reach a stipulated balance	13,372	12,761
Annuity and life income agreements	2,021	1,906
	\$ 1,572,240	1,496,796

Generally, the donors of these restricted gifts permit the University to use all or part of the income earned and net appreciation on related investments for general or specific purposes, such as scholarships, faculty salaries or other operational and administrative support.

### (13) Investment Return

Investment returns, as reflected in the accompanying consolidated statements of activities, for August 31 are as follows (in thousands):

	<b>2012</b>	<b>2011</b>
Endowment spending distribution	\$ 176,541	169,533
Other investment income designated for current operations	56,437	35,639
Total operating return	232,978	205,172
Unrealized gains on investments, net	108,775	270,769
Investment income and net realized gains less spending distribution for current operations	194,500	338,221
Total nonoperating gain	303,275	608,990
Total investment return	\$ 536,253	814,162

The components of investment return for August 31 are reflected below (in thousands):

	<b>2012</b>	<b>2011</b>
Investment income	\$ 133,811	134,361
Realized gains on investments	293,667	409,032
Unrealized gains on investments, net	108,775	270,769
Total investment return	\$ 536,253	814,162

## EMORY UNIVERSITY

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In addition to a core group of investment professionals dedicated to the management of Emory's endowment, the University also employs external investment managers. External management fees paid directly (i.e., segregated investment account fees, custody fees, and consulting reviews) totaled \$12.5 million and \$18.0 million, and internal management fees (including staff expenses) totaled \$6.6 million and \$5.9 million in fiscal 2012 and 2011, respectively.

#### **(14) Contributory Retirement Plans**

The University has a contributory retirement plan covering certain employees and teaching staff. The University contributes an amount equal to 6% of each eligible employee's compensation to the plan as well as a supplemental contribution of 3% based on a 1.5-to-1 match of employee contributions of up to 2% of compensation. Emory Healthcare sponsors a retirement plan, covering most full-time employees, under which annuities are purchased with contributions by Emory Healthcare and its employees. The benefits are vested only to the extent of the annuities purchased. In fiscal 2012, Emory Healthcare increased the benefits provided to employees in connection with the curtailment of the pension plan. The Emory Clinic (TEC) sponsors The Emory Clinic, Inc. Retirement Savings Plan (the Plan), covering all its employees, except those considered leased employees or those covered under collective bargaining agreements, as defined. The Plan provides for employees to make salary reduction contributions and for TEC to make discretionary contributions to employees who have attained the age of 21 and are employees at the date the contribution is made. The Plan provides for contributions at an annual determined percentage of compensation and employees cliff vest in employer contributions after five years of service. Retirement expense totaled \$99.8 million and \$79.2 million during 2012 and 2011, respectively, and is included in operating expense in the accompanying consolidated statements of activities.

#### **(15) Pension Plan**

Emory Healthcare sponsors a defined benefit pension plan (the Plan) covering all employees who have attained the age of 21 and completed one year of service as defined in the Plan. Emory Healthcare contributes an amount sufficient to fund the Plan as determined by consulting actuaries. Plan assets generally consist of equity and fixed income securities. Emory Healthcare measures its participation in the Plan at August 31.

On May 25, 2011, the System's board approved the curtailment of the Plan, effective December 31, 2011. The terms of the curtailment generally provide that no further benefit accrual under the Plan is provided for service after the effective date nor will new entrants into the Plan be permitted after the effective date. The financial impact of the curtailment was recognized in the System's fiscal 2011 combined financial statements in net periodic pension cost. A discount rate of 5.84% was used to measure obligations at the curtailment date.

## EMORY UNIVERSITY

### Notes to Consolidated Financial Statements

August 31, 2012 and 2011

The changes in the projected benefit obligation as of August 31 follow (in thousands):

	<b>2012</b>	<b>2011</b>
Projected benefit obligation, beginning of year	\$ 189,120	186,054
Service cost - curtailed	8,255	24,274
Interest cost	10,596	10,077
Actuarial loss (gain)	48,353	(29,069)
Benefits paid	(2,811)	(2,216)
Projected benefit obligation, end of year	\$ 253,513	189,120

Given the fiscal 2011 decision to curtail the plan, the accumulated benefit obligation is the same as the projected benefit obligation, for both years.

The changes in the fair value of plan assets, funded status of the plan, and the status of amounts recognized in the accompanying consolidated statements of financial position as of August 31 follow (in thousands):

	<b>2012</b>	<b>2011</b>
Fair value of plan assets, beginning of year	\$ 146,346	106,458
Actual return on plan assets	18,754	13,819
Employer contributions	8,900	28,285
Benefits paid	(2,811)	(2,216)
Fair value of plan assets, end of year	\$ 171,189	146,346
Funded status (deficit)	\$ (82,324)	(42,774)
Accrued pension cost recognized in the consolidated statements of financial position	\$ (82,324)	(42,774)

The components of net periodic pension cost for 2012 and 2011 follow (in thousands):

	<b>2012</b>	<b>2011</b>
Service cost	\$ 8,255	24,274
Interest cost	10,596	10,077
Expected return on plan assets	(12,846)	(11,012)
Amortization of prior service cost	—	404
Recognized actuarial loss	1,508	3,536
Curtailed loss	—	1,008
	\$ 7,513	28,287

The amounts accumulated in unrestricted net assets for net unrecognized actuarial loss totaled \$81.4 million and \$40.4 million in fiscal 2012 and 2011, respectively.

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A net loss of \$6.7 million is expected to be amortized from unrestricted net assets into net periodic pension cost in fiscal 2013.

Weighted average assumptions used to determine benefit obligations in the accompanying consolidated statements of financial position for 2012 and 2011 follow:

	<b>2012</b>	<b>2011</b>
Discount rate	4.41%	5.64%
Expected long-term rate of return on plan assets	8.00	8.00
Rate of compensation increase	n/a	3.50

Weighted average assumptions used to determine net periodic pension cost for 2012 and 2011 follow:

	<b>2012</b>	<b>2011</b>
Discount rate	5.64%	5.42%
Expected return on plan assets	8.00	8.00
Rate of compensation increase	n/a	3.50

#### *Plan Assets*

The Plan's investment objectives are to protect long-term asset value by applying prudent, low-risk, high-quality investment disciplines and to enhance the values by maximizing investment returns through active security management within the framework of the Plan's investment policy. Asset allocation strategies and investment management structure are designed to meet the Plan's investment objectives.

The Plan's expected long-term rate of return on assets is determined by reviewing the historical return of each asset category comprising the Plan's target asset allocation. This review produces an annual return assumption for each asset category. The product of the annual return assumption and the Plan's target asset allocation percentage for each asset category equals the annual return attribution by asset category.

The following table summarizes the Plan's assets which are recorded at fair value as of August 31 (in thousands):

	<b>2012</b>				<b>Target allocation</b>	<b>Total asset allocation</b>
	<b>Total fair value</b>	<b>Fair value hierarchy</b>				
	<b>Level 1</b>	<b>Level 2</b>	<b>Level 3</b>			
Financial assets:						
Investments:						
Short-term investments and cash equivalents	\$ 61	61	—	—	—%	—%
U.S. equity securities	60,550	—	60,550	—	55	35
Debt securities	55,952	—	55,952	—	30	33
International equities	54,626	—	54,626	—	15	32
Total assets	\$ 171,189	61	171,128	—	100%	100%

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### Notes to Consolidated Financial Statements

August 31, 2012 and 2011

	2011					
	Total	Fair value hierarchy			Target	Total asset
	fair value	Level 1	Level 2	Level 3	allocation	allocation
Financial assets:						
Investments:						
Short-term investments and cash equivalents	\$ 41	41	—	—	—%	—%
U.S. equity securities	77,458	—	77,458	—	55	53
Debt securities	47,886	—	47,886	—	30	33
International equities	20,961	—	20,961	—	15	14
Total assets	\$ 146,346	41	146,305	—	100%	100%

#### ***Cash Flows***

Emory Healthcare does not expect to contribute to the Plan in fiscal 2013.

#### ***Expected Future Benefit Payments***

Annual future benefit payments, excluding lump sum settlements, are expected to range from \$3.0 million to \$10.0 million, for the next five years.

#### ***Other Items***

Emory Healthcare uses the straight-line method to amortize prior service cost.

#### **(16) Pension Plan – JOC**

In connection with the formation of the JOC, the JOC assumed certain defined benefit pension liabilities covering certain employees of the contributed entities. Prior to formation of the JOC, the Plan was curtailed so that generally no further benefit accrual is provided for service after December 31, 2011. In addition, the JOC has agreed to provide for funding of the plan generally over the next 10 years, beginning in fiscal 2015, subject to certain terms and conditions.

At the time of the formation of the JOC and assumption of control over the JOC by the System, the System recognized as part of the business combination a liability representing the unfunded status of the SJHS Pension Plan, in accordance with FASB ASC 805-20, *Business Combinations – Identifiable Assets, Liabilities, and Any Noncontrolling Interest*. The SJHS Pension Plan is accounted for by the System as a multiple-employer plan in accordance with FASB ASC 715-30, *Defined Benefit Plans – Pension*.

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### Notes to Consolidated Financial Statements

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The changes in the projected benefit obligation as of August 31 follow (in thousands):

	<u>2012</u>
Projected benefit obligation, December 31	\$ 121,654
Service cost	—
Interest cost	3,480
Actuarial loss	10,902
Benefits paid	<u>(1,895)</u>
Projected benefit obligation, end of year	<u>\$ 134,141</u>

Given the curtailment of the plan prior to the formation of the JOC, the accumulated benefit obligation at August 31, 2012 is the same as the projected benefit obligation.

The changes in fair value of plan assets, funded status of the plan, and the status of amounts recognized in Emory's accompanying consolidated statement of financial position as of August 31 follow (in thousands):

	<u>2012</u>
Fair value of plan assets, December 31	\$ 74,274
Actual return on plan assets	5,951
Benefits paid	<u>(1,895)</u>
Fair value of plan assets, end of year	<u>\$ 78,330</u>
Funded status (deficit)	<u>(55,811)</u>
Accrued pension cost	<u>\$ (55,811)</u>

The components of net periodic pension cost follow (in thousands):

	<u>2012</u>
Service cost	\$ —
Interest cost	3,480
Expected return on plan assets	(3,633)
Amortization of prior service cost	(292)
Recognized actuarial loss	<u>863</u>
Net periodic pension cost	<u>\$ 418</u>

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The amounts accumulated in unrestricted net assets follow (in thousands):

	<u>2012</u>
Prior service cost	\$ (15,312)
Net loss	<u>72,011</u>
	<u>\$ 56,699</u>

A net loss of \$940 is expected to be amortized from unrestricted net assets into net periodic pension cost in fiscal 2013.

Weighted average assumptions used to determine benefit obligations in the accompanying consolidated statement of financial position for 2012 follow:

	<u>2012</u>
Discount rate	3.55%
Expected long-term rate of return on plan assets	7.50
Rate of compensation increase	n/a

Weighted average assumptions used to determine net periodic pension cost for 2012 follow:

	<u>2012</u>
Discount rate	4.35%
Expected return on plan assets	7.50
Rate of compensation increase	n/a

#### *Plan Assets*

Under the terms of the agreement forming the JOC, the assets of the SJHS Pension Plan formally remain assets of SJHS and the plan assets remain invested in the CHE Pension Investment Program. Accordingly, neither the JOC nor the System has discretion over the management of the plan assets. However, the plan assets related to the entities contributed to the JOC (and certain other employees leased to the JOC) are contractually required to be clearly separated from the plan assets of the other entities participating in the Catholic Health East Employee Pension Program. The SJHS Pension Plan's investment objectives are to protect long-term asset value by applying prudent, low-risk, high-quality investment disciplines and to enhance the values by maximizing investment returns through active security management within the framework of the plan's investment policy. Asset allocation strategies and investment management structure are designed to meet the plan's investment objectives.

The SJHS Pension Plan's expected long-term rate of return on assets is determined by reviewing the historical return of each asset category comprising the plan's target asset allocation. This review produces an annual return assumption for each asset category. The product of the annual return assumption and the SJHS Pension Plan's target asset allocation percentage for each asset category equals the annual return attribution by asset category.

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### Notes to Consolidated Financial Statements

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The following table summarizes the Plan's assets which are recorded at fair value as of August 31, 2012 (in thousands):

	2012					Target allocation	Total asset allocation
	Total fair value	Fair value hierarchy					
		Level 1	Level 2	Level 3			
Financial assets:							
Investments:							
Short-term investments and cash equivalents	\$ 4,219	4,219	—	—		5%	5%
U.S. equity securities	48,429	22,055	26,374	—		58	62
Debt securities	10,138	10,138	—	—		14	13
International equities	7,499	3,707	3,792	—		11	10
Managed funds	8,045	—	—	8,045		12	10
Total assets	\$ 78,330	40,119	30,166	8,045		100%	100%

### ***Cash Flows***

The System does not expect to contribute to the SJHS Pension Plan in fiscal 2013.

### ***Expected Future Benefit Payments***

Annual future benefit payments, excluding lump sum settlements, are expected to range from \$3.0 million to \$6.0 million, for the next five years.

### ***Other Items***

The System uses the straight-line method to amortize prior service cost.

### **(17) Postretirement Healthcare and Life Insurance Benefits**

Effective January 1, 2003, the University discontinued subsidizing retiree healthcare and life insurance benefits for new employees. All University employees hired prior to January 1, 2003 and certain employees of Emory Healthcare who meet age and service requirements continue to be eligible for the retiree benefits. The cost of providing these benefits is shared with retirees. Emory University has reserved the right to make further changes or terminate these benefit plans.

The University and Emory Healthcare each fund a separate trust (VEBA Trust) for these retiree health and life benefits. The assets of the VEBA Trust are invested primarily in equity and fixed income securities. The University funds these benefits only to the extent of current retiree claims. The University measures its participation in the VEBA Trust at August 31.

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### Notes to Consolidated Financial Statements

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The changes in the accumulated postretirement benefit obligation (APBO) as of August 31 are as follows (in thousands):

	2012			2011
	Emory University	Emory Healthcare	Total	Total
APBO, beginning of year	\$ 66,886	37,289	104,175	102,322
Service cost	1,447	743	2,190	2,401
Interest cost	3,721	2,079	5,800	5,473
Actuarial loss	9,058	5,001	14,059	(1,857)
Benefits paid	(3,608)	(1,433)	(5,041)	(4,813)
Retiree drug subsidy paid	510	219	729	649
APBO, end of year	\$ 78,014	43,898	121,912	104,175

The changes in the fair value of plan assets, funded status of the plan and the status of the accrued postretirement benefit obligation recognized in the accompanying consolidated statements of financial position as of August 31 are as follows (in thousands):

	2012			2011
	Emory University	Emory Healthcare	Total	Total
Fair value of plan assets, beginning of year	\$ 42,513	17,825	60,338	58,853
Actual return on plan assets	3,376	1,556	4,932	6,272
Benefits paid by Emory	(2,920)	(1,433)	(4,353)	(5,436)
Retiree drug subsidy	510	219	729	649
Fair value of plan assets, end of year	\$ 43,479	18,167	61,646	60,338
Funded status (deficit)	\$ (34,535)	(25,731)	(60,266)	(43,837)
Accrued postretirement benefit cost recognized in the consolidated statements of financial position	\$ (34,535)	(25,731)	(60,266)	(43,837)

Actuarial assumptions used to determine the values of the APBO at August 31, 2012 and 2011 and the benefit costs for years ended August 31, 2012 and 2011 included a discount rate of 4.41% and 5.64%, respectively. Since the plan was amended on April 11, 2002 to limit the University's liability for future medical care cost increases to 4.00%, the per capita cost increase of healthcare benefits is capped at 4.00%

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beginning with fiscal 2002. The estimated long-term rate of return on plan assets was 8.00% for the University and Emory Healthcare for both years ended August 31, 2012 and 2011. A graded plan participation for election of medical coverage upon retirement has been assumed. This payment schedule reflects the new plan design which will accelerate the increase in retiree contributions, which is expected to result in more retirees electing not to continue coverage under the University's plan. All University retirees are assumed to elect life insurance benefits, regardless of their medical plan election.

The components of net periodic postretirement benefit cost for years ended August 31 were as follows (in thousands):

	<b>2012</b>			<b>2011</b>
	<b>Emory University</b>	<b>Emory Healthcare</b>	<b>Total</b>	<b>Total</b>
Service cost of benefits earned	\$ 1,447	743	2,190	2,401
Interest cost on APBO	3,721	2,079	5,800	5,473
Expected return on plan assets	(3,257)	(1,364)	(4,621)	(4,516)
Amortization of prior service cost	—	—	—	(1,537)
Recognized net actuarial loss	2,387	1,696	4,083	4,660
Net periodic postretirement benefit cost	<u>\$ 4,298</u>	<u>3,154</u>	<u>7,452</u>	<u>6,481</u>

The amounts accumulated in unrestricted net assets follow (in thousands):

	<b>2012</b>			<b>2011</b>
	<b>Emory University</b>	<b>Emory Healthcare</b>	<b>Total</b>	<b>Total</b>
Net unrecognized actuarial loss	<u>\$ 44,083</u>	<u>24,625</u>	<u>68,708</u>	<u>58,916</u>

In fiscal 2013, net unrecognized actuarial losses of \$2.8 million for Emory University and \$2.0 million for Emory Healthcare are expected to be amortized from unrestricted net assets into net periodic postretirement benefit credit.

#### ***Plan Assets***

The Investment Committee of the Emory University Board of Trustees approves the investment guidelines and asset allocation targets for the pension benefits and postretirement benefits plans. The primary objective of the investments is to ensure the solvency of the plans over time to meet plan obligations. The secondary objective is to meet or exceed the plans' actuarial assumed rate of return over time, without taking excess risk. The funds are diversified by asset class in accordance with established allocation targets and rebalanced as needed. Specific investments are apportioned to a combination of institutional pooled funds and mutual funds.

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### Notes to Consolidated Financial Statements

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The following tables summarize the University's VEBA Trust assets as of August 31 (in thousands):

		<b>2012</b>					
		<b>Total</b>	<b>Fair value hierarchy</b>			<b>Target</b>	<b>Total asset</b>
		<b>fair value</b>	<b>Level 1</b>	<b>Level 2</b>	<b>Level 3</b>	<b>allocation</b>	<b>allocation</b>
Financial assets:							
Investments:							
Short-term investments and							
cash equivalents	\$	12	12	—	—	—%	—%
U.S. equity securities		17,482	12,250	5,232	—	40	40
Debt securities		10,668	7,872	2,796	—	25	25
International equities		15,317	—	15,317	—	35	35
Total assets	\$	<u>43,479</u>	<u>20,134</u>	<u>23,345</u>	<u>—</u>	<u>100%</u>	<u>100%</u>
		<b>2011</b>					
		<b>Total</b>	<b>Fair value hierarchy</b>			<b>Target</b>	<b>Total asset</b>
		<b>fair value</b>	<b>Level 1</b>	<b>Level 2</b>	<b>Level 3</b>	<b>allocation</b>	<b>allocation</b>
Financial assets:							
Investments:							
Short-term investments and							
cash equivalents	\$	1	1	—	—	—%	—%
U.S. equity securities		16,473	10,781	5,692	—	40	39
Debt securities		11,531	7,850	3,681	—	35	27
International equities		14,508	—	14,508	—	25	34
Total assets	\$	<u>42,513</u>	<u>18,632</u>	<u>23,881</u>	<u>—</u>	<u>100%</u>	<u>100%</u>

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The following tables summarize Emory Healthcare's VEBA Trust assets as of August 31 (in thousands):

		<b>2012</b>					
		<b>Total</b>	<b>Fair value hierarchy</b>			<b>Target</b>	<b>Total asset</b>
		<b>fair value</b>	<b>Level 1</b>	<b>Level 2</b>	<b>Level 3</b>	<b>allocation</b>	<b>allocation</b>
Financial assets:							
Investments:							
Short-term investments and							
cash equivalents	\$	12	12	—	—	—%	—%
U.S. equity securities		7,308	5,785	1,523	—	40	40
Debt securities		4,471	3,447	1,024	—	25	25
International equities		6,376	—	6,376	—	35	35
		<u>18,167</u>	<u>9,244</u>	<u>8,923</u>	<u>—</u>	<u>100%</u>	<u>100%</u>
Total assets		\$					
		<u>18,167</u>	<u>9,244</u>	<u>8,923</u>	<u>—</u>	<u>100%</u>	<u>100%</u>
		<b>2011</b>					
		<b>Total</b>	<b>Fair value hierarchy</b>			<b>Target</b>	<b>Total asset</b>
		<b>fair value</b>	<b>Level 1</b>	<b>Level 2</b>	<b>Level 3</b>	<b>allocation</b>	<b>allocation</b>
Financial assets:							
Investments:							
Short-term investments and							
cash equivalents	\$	(8)	(8)	—	—	—%	—%
U.S. equity securities		6,914	5,102	1,812	—	40	39
Debt securities		4,842	3,433	1,409	—	25	27
International equities		6,077	—	6,077	—	35	34
		<u>17,825</u>	<u>8,527</u>	<u>9,298</u>	<u>—</u>	<u>100%</u>	<u>100%</u>
Total assets		\$					
		<u>17,825</u>	<u>8,527</u>	<u>9,298</u>	<u>—</u>	<u>100%</u>	<u>100%</u>

### ***Cash Flows***

Emory University and Emory Healthcare do not expect to contribute to their postretirement healthcare and life insurance benefit plans in 2013. Emory Healthcare plans to fund future retiree claims from VEBA Trust assets.

### ***Expected Future Benefit Payments***

Annual future benefit payments are expected to range from \$3.0 million to \$5.0 million for Emory University and from \$1.5 million to \$3.0 million for Emory Healthcare, for the next five years.

### ***Expected Medicare Retiree Drug Subsidies***

Medicare retiree drug subsidies for the next five years are expected to be less than \$1.0 million and \$500 thousand annually, for Emory University and Emory Healthcare plans, respectively.

### **(18) Charity Care and Community Benefits**

Emory Healthcare, Inc. and its operating companies provide care to patients who meet certain criteria under their charity care policies without charge or at amounts less than their established rates. Because such operating companies do not pursue collection of amounts determined to qualify as charity care, such amounts are not reported as revenues.

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August 31, 2012 and 2011

Records are maintained to identify and monitor the level of charity care provided. These records include the amount of charges foregone and actual costs for services furnished under its charity and indigent care policies. The cost of charity care provided totaled approximately \$72.1 million and \$67.9 million for the years ended August 31, 2012 and 2011, respectively. The System estimated these costs by applying a ratio of cost to gross charges to the gross uncompensated charges associated with providing care to the charity patients.

As a corporate and community citizen, the System has a community responsibility to increase awareness of health issues affecting community citizens. Part of the commitment to its mission of excellence is in responding to the healthcare needs of residents in its service area. The System offers many wellness and educational services to the community at low and, in some cases, no cost. Health fairs are held throughout the year at convenient locations, providing various health screenings, such as blood pressure and cholesterol checks. A large number of educational programs are offered for all ages. The System operates 24-hour emergency rooms that provide care to all patients regardless of ability to pay. The costs for these services are included in operating expenses in the accompanying consolidated statements of activities.

#### **(19) Grants and Contracts**

Grants and contracts from governmental units provide a major portion of funds for research, public service, and other university activities. These grant and contract awards generally specify the purpose for which the funds are to be used.

Federal government grants and contract revenues are generally recognized to the extent that the University incurs actual expenditures under program agreements with federal agencies. These revenues are recorded as unrestricted support. Amounts recorded in federal grants and contracts receivable are for grant expenses incurred in advance of the receipt of funds. Recovery of indirect costs has been recorded based on negotiated rates. Federal funds, together with the indirect costs, are subject to audit by the applicable agencies. In the opinion of management, any adjustment resulting from such audits would not be material to the consolidated financial statements.

## EMORY UNIVERSITY

### Notes to Consolidated Financial Statements

August 31, 2012 and 2011

#### (20) Functional Expenses

The Consolidated Statements of Activities include the following functional expenses for the years ended August 31 (in thousands):

	<b>2012</b>	<b>2011</b>
Instruction	\$ 365,901	346,008
Research	405,681	410,395
Public service	69,308	61,568
Academic support	119,329	112,854
Student services	72,706	67,349
Institutional support	152,041	154,951
Scholarships and fellowships	12,704	14,085
Medical services	166,500	166,188
Healthcare services	2,427,950	1,971,080
Auxiliary enterprises	38,982	35,271
Independent operations	18,494	20,386
	\$ 3,849,596	3,360,135
Total operating expenses		

Costs related to the University's operation and maintenance of property, including depreciation of property and equipment and interest on related debt, are allocated to program and supporting activities based upon information reported in the latest space study and debt financing records. Total amounts allocated in 2012 and 2011 were \$152.9 million and \$138.2 million, respectively. Fundraising costs were approximately \$18.2 million and \$16.0 million in 2012 and 2011, respectively.

#### (21) Medical Professional and General Liability Insurance Coverage

CCIC, Emory Healthcare's wholly owned off-shore captive insurer, provides claims-made primary medical professional and general liability coverage for the University, the Hospitals, Emory Clinic, Emory Specialty Associates, and Wesley Woods Center. Tail coverage is provided for ECC; effective September 1, 2006, the Emory Children's Center Joint Venture is insured on a stand-alone basis. The CCIC primary program provides limits as follows (in thousands):

	Per claim limits		Aggregate (general only)
	Professional	General	
September 1, 2011 through August 31, 2012	\$ 3,000	1,000	3,000
September 1, 2010 through August 31, 2011	\$ 3,000	1,000	3,000

## EMORY UNIVERSITY

### Notes to Consolidated Financial Statements

August 31, 2012 and 2011

In excess of the primary professional liability limit of \$3 million per claim, CCIC provides a buffer layer of \$3 million per claim and in the aggregate. Certain Emory Specialty Associate physicians are insured for primary professional liability insurance through MAG Mutual Insurance Company or The Doctor's Company, for limits ranging from \$1 million to \$2 million per claim and \$3 million to \$4 million in the aggregate. These individual policies provide underlying coverage to the CCIC primary limit of \$3 million per claim.

Above the buffer layer, CCIC provides an excess layer of professional liability coverage which is 100% reinsured as follows:

- (1) Berkley Insurance Company (Berkley) reinsures CCIC 100% for a limit of \$15 million per claim and in the aggregate, excess of the buffer layer, excess of the primary layer.
- (2) Continental Casualty Company (CNA) reinsures CCIC 100% for a limit of \$10 million per claim and in the aggregate, excess of the Berkley layer described above.
- (3) Zurich American Insurance Company reinsures CCIC 100% for a limit of \$10 million per claim and in the aggregate, excess of the CAN layer described above.

Emory is insured for excess general liability, employers' liability, international liability, and automobile liability through United Educators which provides a limit of \$35 million per claim excess of an underlying limit of \$1 million per claim and \$3 million in the aggregate for general liability, and \$1 million per claim and in the aggregate for each of employers' liability, international liability and automobile liability.

Emory purchases umbrella coverage, 100% reinsurance of CCIC, in the amount of \$90 million per claim and in the aggregate above the United Educators and Zurich layers described above. The umbrella also provides excess coverage for helipad liability and non-owned aircraft liability, which is purchased commercially, each for a limit of \$25 million per claim in the aggregate.

As of August 31, 2012 and 2011, the University has recorded an accrual for estimated losses associated with all retained CCIC risks of approximately \$102.0 million (discounted at 2%) and \$84.8 million (discounted at 2%), respectively.

The estimated liability for professional and general liability claims will be significantly affected if current and future claims differ from historical trends. While the University monitors reported claims closely and considers potential outcomes as estimated by its actuaries when determining its professional and general liability accruals, the complexity of the claims, the extended period of time to settle the claims and the wide range of potential outcomes complicate the estimation. The University management believes adequate provision has been made for the related risk.

#### **(22) Related-Party Transactions**

The Carter Center, Inc. (CCI) is a nonprofit organization founded by former United States President Jimmy Carter which sponsors various domestic and international programs. The board of trustees of CCI is comprised of 22 members, including the University President and 9 other members appointed by the University's board of trustees. The University's board of trustees has the authority to approve amendments to CCI's articles of incorporation and bylaws and to approve the annual and capital budgets of CCI. The

## EMORY UNIVERSITY

### Notes to Consolidated Financial Statements

August 31, 2012 and 2011

University provides minor administrative support to CCI and has an economic interest in CCI but does not exercise control over the organization.

Deposits held in custody for others include \$445.0 million and \$412.9 million representing CCI's investment in the University's long term investment pool as of August 31, 2012 and 2011, respectively.

#### **(23) Acquisition of Joint Venture Interest**

On February 28, 2011, the System acquired the 50% interest in EJCH held by its then joint venture partner HCA Holdings, Inc. (HCA). HCA and the System were previously joint venture partners in EHCA, LLC (EHCA), whereby EHCA leased one of HCA's Atlanta-area hospitals, Eastside Medical Center (Eastside), HCA provided operational management of EHCA facilities, and EHC provided medical management and other clinical oversight for EHCA activities.

Consideration for the System's acquisition of HCA's 50% interest in EJCH was comprised of a cash payment of \$60.0 million and the System's ownership interest in the Eastside venture described above. Additionally, the EHCA agreement was dissolved and the unamortized deferred revenue from a related payment made by HCA to the System at inception of the original EHCA agreement, totaling approximately \$5.3 million, was recognized as nonoperating joint venture income in fiscal 2011.

The System recorded a gain on the acquisition totaling approximately \$35.5 million, generally representing the amount by which the fair value of the former HCA interest in EJCH exceeded the acquisition consideration. The gain is included in nonoperating joint venture income in the combined statement of operations in fiscal 2011.

As part of the acquisition transaction, the System also acquired a related medical office building for a cash payment of \$25.0 million, which amount approximated the fair value of the acquired real estate assets.

## EMORY UNIVERSITY

### Notes to Consolidated Financial Statements

August 31, 2012 and 2011

With its acquisition of HCA's 50% interest in EJCH, the System has included the assets, liabilities and operations of EJCH in its combined financial statements, and eliminated its former equity interest in EHCA, from the acquisition date. The following table summarizes the opening balance sheet of EJCH, including the acquired medical office building, at the acquisition date (in thousands):

Cash	\$	6
Due from HCA - working capital settlement		1,357
Intercompany receivable		6,000
Net patient accounts receivable		11,560
Inventories		3,809
Property and equipment		154,639
Other assets		5,810
		<hr/>
Total assets acquired	\$	183,181
		<hr/>
Accounts payable and accrued expenses		6,849
Due to third party payors		1,008
Long term debt		85,000
Other long term liabilities		28
Deferred revenue		57
		<hr/>
Total liabilities assumed	\$	92,942
		<hr/>
Net assets acquired	\$	90,239
		<hr/> <hr/>

#### (24) Formation of Emory/Saint Joseph's, Inc.

Effective December 31, 2011, the System entered into an agreement (the Contribution Agreement) with Saint Joseph's Health System to form a joint operating company under the name of Emory/Saint Joseph's, Inc. The JOC was formed to further the respective missions of the System and Catholic Health East, the sole corporate member of SJHS, to deliver high-quality healthcare services to patients in the North Metro Atlanta area. Under the Contribution Agreement, the System transferred to the JOC the assets and liabilities of EJCH in exchange for a 51% controlling ownership interest in the JOC. SJHS transferred to the JOC the assets and liabilities of SJHA, SJTRI, and SJMG. In addition, on the eighteen month anniversary of the closing date of the transaction, SJHS shall contribute and deliver to the JOC an additional amount in cash of \$5.0 million which amount should be deemed a deferred payment of the SJHS contribution in consideration of the membership interest in the JOC. The Contribution Agreement attributed to SJHS a noncontrolling membership interest in the JOC of 49%.

## EMORY UNIVERSITY

### Notes to Consolidated Financial Statements

August 31, 2012 and 2011

The following table summarizes the estimated fair values of the assets acquired and liabilities assumed by the System from SJHS at the date of the transaction (in thousands):

Cash	\$	71,953
Net patient accounts receivable		40,354
Property, plant and equipment		179,912
Intangible assets		29,200
Other assets		37,812
		<hr/>
Total assets acquired	\$	359,231
		<hr/>
Accounts payable and accrued expenses		42,171
Due to third party payors		4,677
Long term debt		132,942
Accrued pension cost		47,380
Other liabilities		8,628
		<hr/>
Total liabilities assumed	\$	235,798
		<hr/>
Temporarily restricted net assets	\$	4,768
		<hr/>
Unrestricted net assets contributed	\$	118,665
		<hr/> <hr/>

A summary of EJCH assets and liabilities contributed by the System to the JOC as of December 31, 2011 follows (in thousands):

Cash	\$	8,359
Net patient accounts receivable		14,070
Property, plant and equipment		147,115
Intangible assets		5,290
Other assets		4,095
		<hr/>
Total assets acquired	\$	178,929
		<hr/>
Accounts payable and accrued expenses		3,964
Due to third party payors		1,011
Long term debt		83,954
Other liabilities		4,582
		<hr/>
Total liabilities assumed	\$	93,511
		<hr/>
Net assets contributed	\$	85,418
		<hr/> <hr/>

Because the System retains control of the EJCH assets and liabilities transferred to the JOC, the System did not recognize any gain or loss and measured those assets and liabilities at the carrying amounts immediately before the formation of the JOC.

## EMORY UNIVERSITY

### Notes to Consolidated Financial Statements

August 31, 2012 and 2011

As a result of the formation of the JOC, the System recorded a gain of \$18.7 million representing the difference between the System's 51% interest in the unrestricted net assets of the JOC immediately upon its formation and the net assets of EJCH contributed by the System to the JOC. The gain is included in nonoperating joint venture income in the accompanying combined statement of operations in fiscal 2012.

The fair value of the noncontrolling interest as of December 31, 2011 was \$95.0 million, which is net of the \$5.0 million due from SJHS upon the eighteen month anniversary of the closing of the transaction.

#### (25) Emory Healthcare – Investment in Partnerships

##### (a) *Emory University Hospital Midtown – CPI, LLC*

Emory University Hospital Midtown (EUHM) entered into an equal partnership with Cousins Properties, Inc. (Cousins) to construct and operate a medical office tower (MOT). The MOT was completed and occupied by tenants in 2003, and the property is managed by Cousins.

EUHM has recorded a net liability of \$10.2 million and \$10.7 million as of August 31, 2012 and 2011, respectively, for its portion of partners' deficit, which is included in other long-term liabilities in the accompanying consolidated statements of financial position. The investment in this partnership is accounted for using the equity method of accounting.

##### (b) *Emory-Adventist, Inc.*

The University has a 35% joint venture interest in Emory-Adventist, Inc. (Emory-Adventist), which owns and operates Emory-Adventist Hospital in Cobb County, Georgia. EHC has recorded a net liability of \$0.6 million and \$0.4 million as of August 31, 2012 and 2011, respectively, for its portion of the Emory-Adventist unrestricted net deficit, which is included in other long-term liabilities in the accompanying consolidated statements of financial position. The investment in Emory-Adventist is accounted for using the equity method of accounting.

##### (c) *Emory Children's Center, Inc.*

The University entered into a joint venture effective November 15, 2006 between Emory Children's Center, Inc. (ECC) and Children's Healthcare of Atlanta (CHOA) to coordinate various aspects of their mutual significant pediatric care operations. The agreement provides the University, through ECC, a 51% financial interest in the venture known as ECC and provides that CHOA will fund 50% of the total losses of the joint venture. The financial position of the venture and the results of its operations are consolidated with ECC's financial position and results of operations in the accompanying consolidated financial statements.

Effective July 1, 2013, the joint venture agreement with CHOA will be terminated, and all pediatric care operations will become the responsibility of CHOA.

#### (26) Commitments and Contingencies

The University is in the process of constructing, renovating and equipping certain facilities for which the outstanding commitments at August 31, 2012 totaled \$70.1 million. At August 31, 2011, commitments totaled \$82.3 million.

## EMORY UNIVERSITY

### Notes to Consolidated Financial Statements

August 31, 2012 and 2011

Lawsuits and claims have been filed against the University in the ordinary course of business. As one of the nation's largest research universities and academic medical centers, the University has active litigation that takes several forms. The University's policy is to accrue for litigation and claims when such amounts are probable and can be reasonably estimated based on consultation with external legal counsel and Emory General Counsel review. In addition, the University is subject to many federal and state regulations and, as a result, there may be one or more pending government investigations ongoing at any time. While the outcome of many of these actions is not presently determinable, it is the opinion of management that any resulting liability from these actions will not have a material adverse effect on the consolidated financial position or operating results of the University. The University also has a comprehensive program of primary and excess insurance, if a final judgment were entered in any action in excess of its insurance coverage; the University would be liable for the excess. Management of the University believes that no currently pending lawsuit subjecting the University to liability would have a materially adverse effect on the University's consolidated financial position.

#### **(27) Subsequent Events**

On October 1, 2012, the System entered into an agreement with Southern Regional Health System (SRHS) to provide management services for a five year period. The System will be responsible for the day to day operations of SRHS, as further defined in the agreement, and will be paid a fee equal to the cost of services provided plus 2% in the first 2 years, escalating to 3% in the fifth year. The Board of SRHS retains control of SRHS, including approval of budgets, certain capital expenditures, and issuance of debt.

The University has evaluated its subsequent events (events occurring after August 31, 2012) through January 15, 2013, which represents the date the consolidated financial statements were issued and determined that all significant events and disclosures are included in the consolidated financial statements.

**SUPPLEMENTARY INFORMATION**

**EMORY UNIVERSITY (excluding Emory Healthcare)**  
**STATEMENTS OF FINANCIAL POSITION - INFORMATION**  
*August 31, 2012 and 2011*  
*(Dollars in thousands)*

Schedule 1

	<u>2012</u>	<u>2011</u>
<b>ASSETS:</b>		
Cash and cash equivalents	\$ 381,908	\$ 300,983
Student accounts receivable, net	43,776	35,969
Loans receivable, net	26,777	27,724
Contributions receivable, net	156,647	175,169
Accrued investment income receivable	4,978	7,030
Other receivables, net	155,689	204,020
Prepaid expenses, deferred charges and other assets	159,478	117,806
Investments	5,454,156	5,194,900
Interests in perpetual funds held by others	1,025,848	965,613
Property and equipment, net	1,804,919	1,769,826
Due from affiliates	731,590	456,163
<b>Total assets</b>	<b><u>\$ 9,945,766</u></b>	<b><u>\$ 9,255,203</u></b>
<b>LIABILITIES AND NET ASSETS:</b>		
Accounts payable and accrued liabilities	\$ 157,498	\$ 156,204
Liability for derivative instruments	215,041	140,173
Interest payable	27,489	22,750
Annuities payable	18,052	19,047
Bonds, notes and mortgages payable	1,877,355	1,786,034
Accrued liabilities for benefit obligations and professional liabilities	68,031	55,358
Deferred tuition and other revenue	385,985	343,306
Deposits held in custody for others	476,915	465,776
Government advances for federal loan programs	17,820	17,499
Due to affiliates	373,278	220,457
<b>Total liabilities</b>	<b><u>3,617,464</u></b>	<b><u>3,226,604</u></b>
Unrestricted net assets	2,240,943	2,152,293
Temporarily restricted net assets	2,518,037	2,382,428
Permanently restricted net assets	1,569,322	1,493,878
<b>Total net assets</b>	<b><u>6,328,302</u></b>	<b><u>6,028,599</u></b>
<b>Total liabilities and net assets</b>	<b><u>\$ 9,945,766</u></b>	<b><u>\$ 9,255,203</u></b>

See accompanying independent auditors' report.

**EMORY UNIVERSITY (excluding Emory Healthcare)**
**Schedule 2**
**STATEMENT OF ACTIVITIES - INFORMATION**
*Year ended August 31, 2012 (with summarized financial information for the year ended 2011)*
*(Dollars in thousands)*

	<u>Unrestricted</u>	<u>Temporarily Restricted</u>	<u>Permanently Restricted</u>	<u>Total August 31, 2012</u>	<u>Total August 31, 2011</u>
<b>OPERATING REVENUES:</b>					
Tuition and fees	\$ 512,680	-	-	\$ 512,680	\$ 483,251
Less: Scholarship allowances	(183,783)	-	-	(183,783)	(167,285)
Net tuition and fees	328,897	-	-	328,897	315,966
Endowment spending distribution	176,541	-	-	176,541	169,533
Other investment income designated for current operations	49,741	-	-	49,741	30,583
Gifts and contributions	42,639	-	-	42,639	38,169
Indirect cost recoveries	122,728	-	-	122,728	122,378
Grants and contracts	382,391	-	-	382,391	374,630
Medical services	147,430	-	-	147,430	138,364
Sales and services of auxiliary operating activities	63,087	-	-	63,087	57,743
Independent operations	22,138	-	-	22,138	21,119
Patent and royalty revenue	5,760	-	-	5,760	6,819
Other revenue	33,884	-	-	33,884	42,935
Net assets released from restrictions	3,681	(3,681)	-	-	-
<b>Total operating revenues</b>	<b>1,378,917</b>	<b>(3,681)</b>	<b>-</b>	<b>1,375,236</b>	<b>1,318,239</b>
<b>OPERATING EXPENSES:</b>					
Salaries and fringe benefits	1,004,775	-	-	1,004,775	964,023
Student financial aid	9,297	-	-	9,297	10,649
Other operating expenses	251,333	-	-	251,333	255,414
Interest on indebtedness	49,073	-	-	49,073	56,223
Depreciation	107,168	-	-	107,168	102,746
<b>Total operating expenses</b>	<b>1,421,646</b>	<b>-</b>	<b>-</b>	<b>1,421,646</b>	<b>1,389,055</b>
<b>NET OPERATING REVENUES/(EXPENSES):</b>	<b>(42,729)</b>	<b>(3,681)</b>	<b>-</b>	<b>(46,410)</b>	<b>(70,816)</b>
<b>NONOPERATING ACTIVITIES:</b>					
Net unrealized gains on investments	20,057	30,445	54,385	104,887	266,500
Investment income and gains (losses) in excess of spending distribution for current operations	127,585	37,354	3,032	167,971	285,106
Investment management fees	(18,778)	(176)	(124)	(19,078)	(23,886)
Gifts and contributions	9,939	72,368	18,561	100,868	54,469
Loss (gain) on disposal of property and equipment	(11,517)	-	-	(11,517)	232
Gain on defeasance of debt	-	-	-	-	2,255
Change in fair value of derivative instruments	(74,868)	-	-	(74,868)	13,370
Other nonoperating items	(4,265)	(701)	(410)	(5,376)	(43,525)
<b>Total nonoperating activities</b>	<b>48,153</b>	<b>139,290</b>	<b>75,444</b>	<b>262,887</b>	<b>554,521</b>
Net transfers from affiliates	83,226	-	-	83,226	80,849
<b>CHANGE IN NET ASSETS</b>	<b>88,650</b>	<b>135,609</b>	<b>75,444</b>	<b>299,703</b>	<b>564,554</b>
<b>BEGINNING NET ASSETS</b>	<b>2,152,293</b>	<b>2,382,428</b>	<b>1,493,878</b>	<b>6,028,599</b>	<b>5,464,045</b>
<b>ENDING NET ASSETS</b>	<b>\$ 2,240,943</b>	<b>\$ 2,518,037</b>	<b>\$ 1,569,322</b>	<b>\$ 6,328,302</b>	<b>\$ 6,028,599</b>

See accompanying independent auditors' report.

**EMORY UNIVERSITY (excluding Emory Healthcare)**

Schedule 3

**STATEMENT OF ACTIVITIES - INFORMATION**

Year Ended August 31, 2011

(Dollars in thousands)

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total August 31, 2011
<b>OPERATING REVENUES:</b>				
Tuition and fees	\$ 483,251	-	-	\$ 483,251
Less: Scholarship allowances	(167,285)	-	-	(167,285)
Net tuition and fees	315,966	-	-	315,966
Endowment spending distribution	169,533	-	-	169,533
Other investment income designated for current operations	30,583	-	-	30,583
Gifts and contributions	38,169	-	-	38,169
Indirect cost recoveries	122,378	-	-	122,378
Grants and contracts	374,630	-	-	374,630
Medical services	138,364	-	-	138,364
Sales and services of auxiliary operating activities	57,743	-	-	57,743
Independent operations	21,119	-	-	21,119
Patent and royalty revenue	6,819	-	-	6,819
Other revenue	42,935	-	-	42,935
Net assets released from restrictions	5,935	(5,935)	-	-
<b>Total operating revenues</b>	<b>1,324,174</b>	<b>(5,935)</b>	<b>-</b>	<b>1,318,239</b>
<b>OPERATING EXPENSES:</b>				
Salaries and fringe benefits	964,023	-	-	964,023
Student financial aid	10,649	-	-	10,649
Other operating expenses	255,414	-	-	255,414
Interest on indebtedness	56,223	-	-	56,223
Depreciation	102,746	-	-	102,746
<b>Total operating expenses</b>	<b>1,389,055</b>	<b>-</b>	<b>-</b>	<b>1,389,055</b>
<b>NET OPERATING REVENUES/(EXPENSES):</b>	<b>(64,881)</b>	<b>(5,935)</b>	<b>-</b>	<b>(70,816)</b>
<b>NONOPERATING ACTIVITIES:</b>				
Net unrealized gains on investments	26,397	57,781	182,322	266,500
Investment income and gains (losses) in excess of spending distribution for current operations	155,559	128,559	988	285,106
Investment management fees	(23,557)	(168)	(161)	(23,886)
Gifts and contributions	26,722	13,954	13,793	54,469
Gain on disposal of property and equipment	232	-	-	232
Gain on defeasance of debt	2,255	-	-	2,255
Change in fair value of derivative instruments	13,370	-	-	13,370
Other nonoperating items	(38,676)	(2,053)	(2,796)	(43,525)
<b>Total nonoperating activities</b>	<b>162,302</b>	<b>198,073</b>	<b>194,146</b>	<b>554,521</b>
Net transfers from affiliates	80,849	-	-	80,849
<b>CHANGE IN NET ASSETS</b>	<b>178,270</b>	<b>192,138</b>	<b>194,146</b>	<b>564,554</b>
<b>BEGINNING NET ASSETS</b>	<b>1,974,023</b>	<b>2,190,290</b>	<b>1,299,732</b>	<b>5,464,045</b>
<b>ENDING NET ASSETS</b>	<b>\$ 2,152,293</b>	<b>\$ 2,382,428</b>	<b>\$ 1,493,878</b>	<b>\$ 6,028,599</b>

See accompanying independent auditors' report.

**EMORY UNIVERSITY (excluding Emory Healthcare)**  
**STATEMENTS OF CASH FLOWS - INFORMATION**

Schedule 4

Years Ended August 31, 2012 and 2011

(Dollars in thousands)

	<u>2012</u>	<u>2011</u>
<b>CASH FLOWS FROM OPERATING ACTIVITIES:</b>		
Change in net assets	\$ 299,703	\$ 564,554
Adjustments to reconcile change in net assets to net cash used in operating activities:		
Nonoperating items:		
Gifts restricted for long-term investment and capital projects	(109,351)	(17,681)
Net realized gain on sale of investments	(288,734)	(404,680)
Loss (gain) on disposal of property and equipment	11,517	(232)
Interests in perpetual funds held by others	(60,235)	(184,421)
Gain on defeasance of debt	-	(2,255)
Noncash items:		
Depreciation	107,168	102,746
Accretion/amortization of bond discounts/premiums	(3,324)	(15,802)
Net unrealized gains on investments	(91,033)	(82,959)
Change in fair value of derivative instruments	74,868	(13,370)
Gifts of securities and other assets	(62,642)	(34,884)
(Increase) decrease in:		
Accounts receivable, net	40,524	(78,583)
Contributions receivable	18,522	(9,604)
Accrued investment income receivable	2,052	(520)
Prepaid expenses, deferred charges and other assets	(1,653)	(10,167)
Due to/from affiliates	(122,606)	(74,927)
Increase (decrease) in:		
Accounts payable and interest payable	(13,366)	37,721
Accrued liabilities for benefit obligations and professional liabilities	12,673	(10,924)
Deferred tuition and other revenue	42,679	(5,188)
<b>Net cash used in operating activities</b>	<u><b>(143,238)</b></u>	<u><b>(241,176)</b></u>
<b>CASH FLOWS FROM INVESTING ACTIVITIES:</b>		
Disbursements of loans to students	(3,879)	(3,203)
Repayment of loans from students	4,825	4,990
Proceeds from sales and maturities of investments	9,058,186	6,662,170
Purchases of investments	(8,875,033)	(6,320,094)
Purchases of property, plant and equipment	(134,379)	(101,146)
Increase in deposits held in custody for others	11,139	47,702
<b>Net cash provided by investing activities</b>	<u><b>60,860</b></u>	<u><b>290,419</b></u>
<b>CASH FLOWS FROM FINANCING ACTIVITIES:</b>		
Gifts restricted for long-term investment and capital projects	109,351	17,681
Proceeds from bonds and mortgages payable	132,150	229,185
Principal repayments of bonds and mortgages payable	(37,505)	(261,791)
Required posting of collateral	(40,691)	
Decrease in annuities payable	(995)	(213)
Increase (decrease) in government advances for federal loan programs	321	(285)
Bond issuance costs	672	(270)
<b>Net cash provided by (used in) financing activities</b>	<u><b>163,303</b></u>	<u><b>(15,693)</b></u>
<b>Net increase in cash and cash equivalents</b>	<b>80,925</b>	<b>33,550</b>
<b>Cash and cash equivalents at beginning of year</b>	<u><b>300,983</b></u>	<u><b>267,433</b></u>
<b>Cash and cash equivalents at end of year</b>	<u><u><b>\$ 381,908</b></u></u>	<u><u><b>\$ 300,983</b></u></u>

See accompanying independent auditors' report.

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**

**EMORY UNIVERSITY**  
Schedule of Expenditures of Federal Awards  
Year ended August 31, 2012

Program title/federal grantor/pass-through entity	Award number	Federal CFDA number or other I.D. number	Federal expenditures
<b>Student Financial Assistance Cluster:</b>			
U.S. Department of Education:			
Federal Work-Study	—	84.033	\$ 2,361,925
Federal Supplemental Educational Opportunity Grant Program	—	84.007	1,229,007
Federal Pell Grant Program	—	84.063	7,159,004
Federal Direct Student Loan Program	—	84.268	117,417,894
Federal Perkins Loan Program	—	84.038	1,949,307
Total U.S. Department of Education			<u>130,117,137</u>
U.S. Department of Health and Human Services:			
Health Professionals Student Loan Program	4301707/5R01MH062666	93.342	3,305
Total student financial assistance cluster			<u>130,120,442</u>
<b>Research and Development Cluster:</b>			
U. S. Department of Agriculture:			
Grants for Agricultural Research Competitive			
Research Grants – Direct	20075521517924	10.206	68,061
Research Innovation and Development Grant in Economics	317K785	10.255	22,103
Passed-through University of Wisconsin			
Integrated Programs:			
Passed-through Virginia Tech	CR19554428240MOD3	10.303	(2,883)
Agriculture and Food Research Initiative (AFRI) – Direct			
	2010-85212-20608;2011-6701330131;		
	2011-67013-30090;2011-67012-30762	10.310	727,834
Agriculture and Food Research Initiative (AFRI):			
Passed-through Childrens Hospital and Research Center Oak	12.7814.C	10.310	142,622
Passed-through North Carolina A&T State University	2011-0494-12	10.310	340,502
Total U.S. Department of Agriculture			<u>1,210,958</u>
			<u>1,298,239</u>
U.S. Department of Defense:			
Basic and Applied Scientific Research – Direct			
Basic Scientific Research – Combating Weapons of Mass Destruction	N00014-09-1-0912;N00014-08-1-0106/P00 HDTRA10910002	12.300 12.351	306,023 329,268
Military Medical Research and Development – Direct			
	W81XWH0810494; W81XWH0910278; W81XWH0610286; W81XWH0610452; W81XWH-10-1-0090; W81XWH-0610788T; W81XWH-10-1-0605; W81XWH-10-10971; W81XWH0910125T; W81XWH-11-1-0816; W81XWH-11-1-0710; W81XWH-12-10138; W81XWH-10-1-0832;	12.420	2,155,275
Military Medical Research and Development:			
Passed-through Atlanta Research and Education Foundation	08BMR105-4BREMNER	12.420	106,366
Passed-through General Electric Company	PO700155040/LINE ITE	12.420	21,936
Passed-through Grady Memorial Hospital Corporation	S1002/W81XWH-09-2-01	12.420	45,095
Passed-through MD Anderson Cancer Center	PO#17884-2000 23063; PO# 29315-2000 Chen	12.420	123,589
Passed-through Palo Alto Institute for Research and Education	ZAB0002-01	12.420	15,450
Total U.S. Department of Defense			<u>2,467,711</u>
Basic Scientific Research – Direct	W81XWH0820170.P2&P3; W911NF0510200/P00011; W911NF-11-1-0395; W911NF-11-1-0477; W911NF-12-1-0136	12.431	259,048
Air Force Defense Research Sciences Program – Direct			
	FA95500910487; FA9550-07-1-0575; FA9550-07-1-0572; FA 9550-10-1-0359; FA-9550-10-1-0304; FA9550-12-10233; FA9550-12-1-0084; FA9550-12-1-0240;	12.800	1,227,267
Air Force Defense Research Sciences Program:			
Passed-through Georgia Institute of Technology	R0668-G1-Amd5	12.800	61,236
Total U.S. Department of Defense			<u>1,288,503</u>
Mathematical Sciences Grants Program	H98230-10-1-0251; H98230-11-1-0178; H98230-11-1-0220; H98230-12-1-0259;	12.901	57,409
Research and Technology Development:			
Passed-through Defense Advanced Research Project Agency	D11AP00269	12.910	173,710
Passed-through Georgia Institute Of Technology	RB220-G4/AMND2	12.910	94,546
Passed-through Princeton University	00001772	12.910	13,088
Passed-through U.S. Department Of Interior	N11AP20032	12.910	98,405
Total U.S. Department of Defense			<u>379,749</u>
Contract – Direct:			
Contract:			
Passed-through Georgia Institute of Technology	W81XWH-11-P-0759; W81XWH07P0656	12.RD	41,489
Passed-through MD Anderson Cancer Center	W912HQ-08-C-0034; D5809-S1	12.RD	15,313
Passed-through Truven Health Analytics	PO#20628-2000, 28321	12.RD	195,091
Passed-through Weill Cornell Medical College	SAMUELI-2012-EM 09040431	12.RD 12.RD	18,704 333,989
Total U.S. Department of Defense			<u>604,586</u>
			<u>5,692,297</u>
U. S. Department of State:			
Academic Exchange Programs – Hubert H. Humphrey Fellowship Program			
Passed-through Institute Of International Education	S-ECAAS-11-CA-033(DT)	19.010	30,705
Program for Study of Eastern Europe and the Independent States of the Former Soviet Union:			
Passed-through National Council For Eurasian/East European	825-6	19.300	20,801
Total U.S. Department of State			<u>51,506</u>
National Aeronautics and Space Administration:			
Science – Direct			
Science:	NNX11AI53G-S02; NNX11AI07G; NNX08BA08G	43.001	308,339
Passed-through University of Georgia	RR185-437/4941956	43.001	31,071
Total U.S. Department of State			<u>339,410</u>
Aeronautics – Direct	NNX08BA08G; NNX09AF24G; NNX09AT52G	43.002	649,874
Aeronautics:			
Passed-through California Institute of Technology	NM0710860	43.002	50,701
Total U.S. Department of State			<u>700,575</u>

**EMORY UNIVERSITY**  
Schedule of Expenditures of Federal Awards  
Year ended August 31, 2012

Program title/federal grantor/pass-through entity	Award number	Federal CFDA number or other I.D. number	Federal expenditures
Exploration	10NNX11AC30G; NNX12AC30G	43.003	\$ 1,836,911
Contract – Direct:	1428755	43.RD	74,241
Contract:			
Passed-through Georgia Institute of Technology	R9867-G2	43.RD	104,481
			<u>178,722</u>
Total National Aeronautics and Space Administration			<u>3,055,618</u>
National Endowments for the Humanities:			
Promotion of the Humanities Division of Preservation and Access	PW-51254-11	45.149	14,477
Promotion of the Humanities Fellowships and Stipends	FA-55691-11	45.160	56,215
Promotion of the Humanities Research	RQ-50332-08; RQ-50566-11	45.161	52,590
Promotion of the Humanities Professional Development	AQ-50300-10; AQ-50761-12	45.163	396
			<u>123,679</u>
National Science Foundation:			
Engineering Grants – Direct	CBET0730312; CBET-0853837; EFRI-1137229; ECCS-1218419	47.041	406,654
Engineering Grants:			
Passed-through Georgia Institute of Technology	E67A01G1/TASK 013; ECC-0824199/R9749-G1; RB392-G2;	47.041	162,346
			<u>569,000</u>
Mathematical and Physical Sciences – Direct	CHE0404677;DMS0800070;DMR0804174; DMS0811031;DMS0810862;CHE0847258; CHE0848233;CHE0911285;CHE0911610; CHE-0742663;DMS0706985;AMEND1; CHF0675737;DMR0812704-PHY0748647/AMD004; DMS-0901937;DMR-0907435;CHE-0910707; CHE-0943980/AMD002;CHE – 0956442; DMS-1001872;DMS-1007660;CHE-1012620; DMS-1001906;CHE-1057350/AMD001; DMS-1001906;CHE-1057350/AMD001; DMS-1000617;DMS-1068423;DMS-1101623; DMA-112086;DMS-1115692;DMS-1115627; CHE-1124862;CHE-1145227;CHE-1150492; CHE-1151304;DMR-1151646;DMS 1157289; 1208347;CHE-1213904;1218414;CHE-1205646; CHE 1212371;DMS-1208874	47.049	2,853,868
Mathematical and Physical Sciences:			
Passed-through Civilian Research And Development Foundation	AZC13117BA08	47.049	(168)
Passed-through Georgia Institute of Technology	RB011-G7; RB011-G8, AMND3	47.049	647,730
			<u>3,501,430</u>
Geosciences – Passed-through University of California-Berkeley	00006232/OCE0622743	47.050	148,469
Computer and Information Science and Engineering – Direct	IIS-1018321; CNS-1117763	47.070	206,064
Computer and Information Science and Engineering:			
Passed-through Georgia Institute of Technology	RB154-G1	47.070	184
			<u>206,248</u>
Biological Sciences – Direct	IOS0718010;ISO0745164-MCB0817966;MCB0806343; IOS0616097/AMEND; 2;MCB081717705; MCB0749620;IOS-0723805;MCB-0951076; MCB-0953714;DBI-0906041;DEB-1011556; DEB-1019746;DEB-1120572; IOS-1025853/AMD003;IOS-1032735;IOS-1035975; EF-1104988;IOS-1146316;MCB-1228284; DBI-1061798;	47.074	1,458,803
Biological Sciences:			
Passed-through Pennsylvania State University	DBI0543285; 3965-EU-NSF-0103	47.074	106,966
Passed-through University of Michigan	3001382166	47.074	(10,185)
Passed-through University of Pennsylvania	IOS0818613;550816; 557585	47.074	97,070
			<u>1,652,653</u>
Social, Behavioral, and Economic Sciences – Direct	BCS-0745573;SES0848235;SES0921023;SES-0961058; BCD-962435;BSC-1023791;SES-1023952; SES-1067899;SES-1125539;SES-1127665; BCS-1125756Amendment	47.075	437,626
Social, Behavioral, and Economic Sciences:			
Passed-through Columbia University	5-24929	47.075	33,325
Passed-through Georgia Institute of Technology	R9799G2;SES0832912	47.075	2,902
Passed-through University of Michigan	BCS0827313/300107122	47.075	67,998
			<u>541,852</u>
Education and Human Resources – Direct	DUE0815135; DGE0536941; DGE-0940903; DUE-1068238	47.076	882,807
Education and Human Resources:			
Passed-through Clark Atlanta University	OSP-06-11-215026-002	47.076	16,871
Passed-through Georgia Institute of Technology	R5702G3 Amend 8	47.076	111,757
			<u>1,011,435</u>
International Science and Engineering (OISE):			
Passed-through Civilian Research And Development Foundation	GEB22955TB08; GEB12939TB08	47.079	1,820
Office of Cyberinfrastructure	OCl-1124418	47.080	70,522
ARRA – Trans-NSF Recovery Act Research Support – Direct	CHE0848556; SES0919536; CHE-0958205;	47.082	369,088
ARRA – Trans-NSF Recovery Act Research Support			
Passed-through Rush University	0943362	47.082	506
Passed-through University of Tennessee – Knoxville	A10-0064-S006	47.082	16,774
			<u>386,368</u>
Contract	—	47.RD	(128)
Total National Science Foundation			8,089,670
U.S. Department of Veteran Affairs:			
Contract – Direct	V247P1918; V247P1470	64.RD	(126,969)
Contract –			
Passed-through Atlanta Research and Education Foundation	2011 EIP AND 2012 EIP	64.RD	295,060
Total U.S. Department of Veterans Affairs			<u>168,091</u>

**EMORY UNIVERSITY**  
Schedule of Expenditures of Federal Awards  
Year ended August 31, 2012

Program title/federal grantor/pass-through entity	Award number	Federal CFDA number or other I.D. number	Federal expenditures	
U.S. Environmental Protection Agency: Science To Achieve Results (STAR) Research Program – Direct	RD-83425001; RD-83479901-2	66.509	\$ 1,496,211	
Science To Achieve Results (STAR) Research Program: Passed-through Georgia Institute of Technology	R9979-G1	66.509	65,715	
			1,561,926	
Office of Research and Development Consolidated Research/ Training/Fellowships	CR834073010	66.511	(3,159)	
Contract	EP10D000737, EP-12-H-000093	66.RD	27,277	
Total U.S. Environmental Protection Agency			1,586,044	
U.S. Department of Energy: Office of Science Financial Assistance Program	DF-FG02-03ER15461 DFFG0201ER15153A007 DFFG020ER15377A007 DE-FG02-97ER14782 DE-FG02-01ER15153 DE-FG02-07ER15906 DE-FG02-02ER15377	81.049	1,190,923	
Contract	4000111299	81.RD	54,127	
Passed-through Battelle	PO B599028	81.RD	6,616	
Passed-through Lawrence Livermore National Laboratory				
Total U.S. Department of Energy			1,251,666	
U.S. Department of Education: Overseas Programs – Doctoral Dissertation Research Abroad	P022A100030	84.022	18,017	
Javits Fellowships	P170B080018	84.170	14,400	
Graduate Assistance in Areas of National Need	P200A06025308; P200A100165-11	84.200	131,884	
Improving Teacher Quality State Grants				
Passed-through University of Georgia	RH216269/4688558	84.367	(2,331)	
Total U.S. Department of Education			161,970	
U.S. Department of Health and Human Services: Improving, Enhancing, and Evaluating Outcomes of Comprehensive Heart Health Care Programs for High-Risk Women:	Passed-through Paraguay Higher Education for Development	AEG-A-00-05-00007-00	93.012	4,724
Special Programs for the Aging Title IV and Title II Discretionary Projects	Passed-through Atlanta Regional Commission	AG1230	93.048	40,671
Alzheimer's Disease Demonstration Grants to States	Passed-through State Of Maine	OES-12-836	93.051	6,813
Innovations in Applied Public Health Research – Direct	1R36CK00010401; P01TP000300; 5R18IP00016603; 5R18PS00115702	93.061	1,303,855	
Innovations in Applied Public Health Research: Passed-through National Association of Chronic Disease Directors	PAMELA REDMOND	93.061	(32,659)	
Passed-through Partnership For Prevention	—	93.061	(1,085)	
			1,270,111	
Global AIDS Passed-through Cardno Emerging Markets USA, Ltd	4669-10-CR-04	93.067	21,900	
Chronic Diseases: Research, Control, and Prevention: Passed-through Haemophilia Foundation	CDC#5U01DD00020104	93.068	20,574	
Passed-through Kaiser Family Foundation	200-2002-00732 AMD1	93.068	301,035	
			321,609	
Environmental Public Health and Emergency Response Health Disparities in Minority Health – Direct	5U01EH000405-03	93.070	255,923	
	5R01GM080337-05; 5R01AI02115024	93.100	(28,043)	
Food and Drug Administration-Research – Direct	5R01FD003527-02; 5R01FD003539-04	93.103	426,598	
Food and Drug Administration-Research Passed-through Muscular Dystrophy Association	MDA 10068	93.103	73,830	
			500,428	
Maternal and Child Health Federal Consolidated Programs – Direct	5T03MC076510201; 5R40MC11280-03-00; T03MC07651-06; 1 R40 MC17180-01-00	93.110	283,520	
Maternal and Child Health Federal Consolidated Programs Passed-through Genetic Alliance	—	93.110	2,252	
Passed-through Georgia Department of Public Health	40500-043-12120474	93.110	20,535	
Passed-through University Of Texas Health Sciences Center	127899/126675	93.110	(250)	
			306,057	
Environmental Health – Direct	5T32ES012160-07; 5P01ES016731-05; 5R01ES009047-13; 5R21ES015465-02; 5T32ES012870-09; 5R01ES016175-04; 5R01ES015813-05; 5R01ES011195-10 REV; 5R01ES015525-04 REV; 5P01ES011163-10; 5R01ES015777-05; 5R01ES015777-05; 5R01ES012458-08; 5R01ES015317-05; 5K01ES019877-03; 5R03ES018963-02; 3R01ES012014-08S1; 5R03ES019265-02; 5R03ES019290-02; 5R21ES019697-02 REV IS; 5F32ES019821-02; 5R00ES017477-05; 5R21ES020225-02; 1K25ES020355-01A1	93.113	6,559,714	
Environmental Health: Passed-through Boston University	9500300247	93.113	12,168	
Passed-through Harvard University	112396.0002/AMD3	93.113	15,249	
Passed-through University of New Mexico	1R01ES019285/3RB03	93.113	30,615	
			6,617,745	
Project Grants and Cooperative Agreements for Tuberculosis Control Programs: Passed-through Georgia Department of Human Resources	41900-046-11100210	93.116	89,239	
Oral Diseases and Disorders Research – Direct	5R01DE00712023	93.121	(1,127)	
Oral Diseases and Disorders Research: Passed-through University Of Maryland Baltimore	SR00001689, AMD1	93.121	8,820	
			7,693	
Grants to Increase Organ Donations Disease Prevention	R390T20066-03-00	93.134	299,947	
	5U48DP001909-03REV	93.135	2,298,915	
Injury Prevention and Control Research and State and Community Based Programs – Direct	5R49CE001494-04	93.136	909,411	
Injury Prevention and Control Research and State and Community Based Programs: Passed-through University of Georgia	RR376-010/4693568	93.136	14,206	
Passed-through University of Pittsburgh	9001335/1146471	93.136	(1,546)	
			922,071	

**EMORY UNIVERSITY**  
Schedule of Expenditures of Federal Awards  
Year ended August 31, 2012

Program title/federal grantor/pass-through entity	Award number	Federal CFDA number or other I.D. number	Federal expenditures
AIDS Education and Training Center	5H4AHA00067-09-00; 5 H4AH00067-11-00	93.145	\$ 2,252,166
Health Program for Toxic Substances and Disease Registry Passed-through Association of Occupational And Environmental Clinics	U61TS000118	93.161	38,207
Human Genome Research – Direct	5R01HG0035618-05; 5R01HG003461-05; 5R01HG00289805; 5R21HG005133-02; 5R21HG004751-02; 5R01HG005119-04	93.172	643,666
Human Genome Research Passed-through Pennsylvania State University	3968-EU-NIH-4909; 4624-EU-DHHS-6620	93.172	349,034
			<u>992,700</u>
Research Related to Deafness and Communication Disorders – Direct	5R21DC00835302;5R21DC00867202; 3R01DC010204-02S1REV;5R01DC007423-05REVIS; 5R01DC00648302;5R03DC00869302; 5R01DC00810805 – REV;5R01DC008343-05; 5R01DC008648-05;5R01DC00470108; 5R01DC005017-10;5R01DC005017-10; 5R33DC010476-04;5R01DC005213-09; 5R01DC006483-07REVIS;1F31DC011987-01; 5R01DC008343-07;5F31DC012225-02; 7R21DC009247-03	93.173	2,801,134
Research Related to Deafness and Communication Disorders: Passed-through Vanderbilt University	VUMC33635	93.173	61,129
			<u>2,862,263</u>
Immunization Research, Demonstration, Public Information and Education Training and Clinical Skills	5U01IP000413-03; 5U01IP000411-02REV	93.185	690,223
Research and Training in Complementary and Alternative Medicine – Direct	3R21AT004220-03S1; 5R01AT004698-03REVIS; 5R21AT004509-03; 5R21AT005231-02; 1F31AT007130-01; 1R01AT007052-01A1	93.213	707,190
Research and Training in Complementary and Alternative Medicine Passed-through University of Arizona	54783; 69020	93.213	103,372
			<u>810,562</u>
Consolidated Health Centers Passed-through Meridian Educational Resource Group	2H80CS008840700	93.224	(9,901)
Research on Healthcare Costs, Quality, and Outcomes – Direct	5R18HS01783103; 1R36HS01776701A1; 5R21HS01764902; 5R21HS018236-02; 7R03HS019743-03;	93.226	222,207
Research on Healthcare Costs, Quality and Outcomes: Passed-through Agency for Healthcare and Research Quality	5R18HS017829-03	93.226	140,504
Passed-through Northwestern University	0600370HD68/60020838; 026275 EU	93.226	44,838
			<u>407,549</u>
Consolidated Knowledge Development and Application (KD&A) Program: Passed-through DeKalb County	CONTRACT NO 09901571	93.230	(879)
Mental Health Research Grants – Direct	5R01MH070437-05 REV;5P50MH05892209; 5U01MH06680704;7R01MH06676703; 5U01MH06348107;5P50MH077928-05; 5R01MH06798104;5R21MH08020802; 5R01MH07153104;5R01MH04208821; 5R01MH070880-05;3R01MH081816-04S1; 5R01MH06985204;1R03MH08559901A1; 5R01MH084068-04;5R01MH078100-05; 5R01MH071580-05;5R01MH07723303; 5R01MH085600-04;5R01MH079448-03; 5R01MH079100-05;5R01MH080129-05REVIS; 5R01MH075102-05	93.242	25,661,393
Mental Health Research Grants: Passed-through Agnes Scott College	1402533-YER-1	93.242	84,364
Passed-through Albert Einstein College of Medicine	5R01MH083579-04	93.242	129,071
Passed-through Bowdoin College	2011 003	93.242	65,784
Passed-through Children’s Hospital of Philadelphia	951219RSUB	93.242	90,418
Passed-through Duke University	NIH/5R21HM083964-02	93.242	70,627
Passed-through Geisinger Health System	NIH 7 R01 MH074090	93.242	436,951
Passed-through George Washington University	11-M96	93.242	18,127
Passed-through Kaiser Permanente	KFRI COSTCTR 9818B; 11RDavi-03-EU/MOD1	93.242	93,831
Passed-through Molecular Neuroimaging	1R43MH07956801A1	93.242	(2,154)
Passed-through Morehouse School of Medicine	1R25MH071735-04	93.242	(3,732)
Passed-through Mount Sinai School Of Medicine	0255-4713-4609	93.242	(450)
Passed-through Research Foundation For Mental Hygiene	NIH/5R01MH094774-02	93.242	18,513
Passed-through Rhode Island Hospital	701-1963/AMND 1	93.242	173,434
Passed-through University of Arizona	Y560291	93.242	16,730
Passed-through University of California-Los Angeles	2000 G KH995	93.242	184,436
Passed-through University of Colorado	PO #0000067637	93.242	68,631
Passed-through University of Georgia	RR376-333/4688658	93.242	13,311
Passed-through University of Iowa	1000714220/AMND03	93.242	35,611
Passed-through University of Miami	M160785	93.242	83,611
Passed-through University of Michigan	3001042619	93.242	2,907
Passed-through University of Minnesota	A000285201	93.242	666,676
Passed-through University of New Mexico	3R55D/ 5R01MH078972	93.242	(25,903)
Passed-through University of Pittsburgh	0001103/112730-1	93.242	(2,408)
Passed-through University of Rochester	414767-004-G	93.242	187,710
Passed-through University of South Carolina	10-1737AMEND4	93.242	59,630
Passed-through University of Southern California	H50884/AMND1	93.242	47,345
Passed-through University of Wisconsin	337K481; 353K920; 409K065;	93.242	141,327
Passed-through Yale University	M12A11119 (A08329)	93.242	337,673
			<u>28,653,465</u>

**EMORY UNIVERSITY**  
Schedule of Expenditures of Federal Awards  
Year ended August 31, 2012

Program title/federal grantor/pass-through entity	Award number	Federal CFDA number or other I.D. number	Federal expenditures
Substance Abuse and Mental Health Services Projects of Regional and National Significance	SU79SM057701-05;SU79SM058941-03	93.243	\$ 103,080
Public Health Training Centers	UB6HP20199-03-00	93.249	703,386
Geriatric Academic Career Award	SK01HP20509-03-00	93.250	76,914
Occupational Safety and Health Program – Direct	5T01OH008609-07 REV;5R01OH008989-03; 5R21OH009830-04	93.262	554,518
Occupational Safety and Health Program: Passed-through Scimetrika	200200931909	93.262	4,631
Passed-through University of Illinois	2007045280100	93.262	34,890
			<u>594,039</u>
Alcohol National Research Service Awards for Research Training	5T32AA013528-10;5F31AA017812-03;1F32AA019880-01	93.272	307,540
Alcohol Research Programs – Direct	5R21AA01608002;1K99AA01787001; 5R01AA011660-09;5R01AA016348-05; 5K01AA017190-05;5R01AA00786122; 5R01AA012197-09;5R00AA017870-04; 5R01AA019582-02;5R01AA017627-03;10313752-001	93.273	2,370,912
Alcohol Research Programs: Passed-through San Diego State University Foundation	53311GP16507802211-5	93.273	1,727
Passed-through University of California-Los Angeles	2000 G KG925	93.273	32,615
Passed-through University of Colorado	FY13.580.001	93.273	6,732
			<u>2,411,987</u>
Drug Abuse and Addiction Research Programs – Direct	1R03DA02621501;5R01DA025607-04REV; 5R01DA018294-04;5R03DA01817303; 5R01DA016434-09;1R21DA02707201; 5R21DA026327-02;5R01DA01999903; 5R03DA027979-02;5R21DA02524302; 5F31DA025040-03	93.279	5,504,768
Drug Abuse and Addiction Research Programs: Passed-through Dartmouth University	663 AMD4	93.279	14,752
Passed-through Duke University	205-1273	93.279	(9,387)
Passed-through National Development & Research Institute	R01DA013336; P0000056;	93.279	35,187
Passed-through University of California – San Francisco	67396	93.279	9,958
Passed-through University of Georgia	RR2743083504108/DA02; RR274-351/4688698; RR376-021/4693598; RR376-006/4785656; RR540-160/4941946;	93.279	284,145
Passed-through University of Miami	0049; M167078	93.279	558,442
Passed-through University of Pittsburgh	5R01DA01891005/00052	93.279	(95)
Passed-through University of Rochester	PO414339-G/UR 5-2516; 415200-G/5-26751	93.279	156,744
Passed-through Vanderbilt University	VUMC 36512	93.279	36,230
			<u>6,590,745</u>
Mental Health Research Career/Scientist Development Awards	5K01MH085506-04;5K23MH086690-03; 5K23MH077869-04;5K24MH076955-05; 5K01MH073698-05REVIS;5K02MH064692-10; 5K01MH090278-03;5K23MH091254-03; 1K23MH096042-01REVIS;1K99MH096746-01	93.281	960,439
Mental Health National Research Service Awards for Research Training	5F30MH07021804;5F31MH08544502;5F31MH082647-03; 5T32MH073525-05;5T32MH087977-04REVIS; 5F32MH085443-03;5F31MH086179-03; 5F31MH086186-02;5F32MH090700-03; 5F32MH090785-03;5F32MH093054-02; 5F32MH093023-02REVI;1F31MH090729-02; 5F30MH095491-02;1F31MH096630-01; 1F31MH095266-01A1;	93.282	795,252
Centers for Disease Control and Prevention-Investigations and Technical Assistance – Direct	3U38TP42309504W1-5U50DD00002902; 5U38HK00001503;7U01DD00003904; 200-2008-27816;200-2009-M32385; 1U58CD001368-01REV	93.283	2,350,612
Centers for Disease Control and Prevention Investigations and Technical Assistance: Passed-through Association of American Medical Colleges	U36CCU319276;MM-1148-10/10	93.283	541,829
Passed-through Association of Schools of Public Health	S3887-28/28; S3798-26/28; J5002; S3800-26/28	93.283	2,561,674
Passed-through Educational Service District 112	7002200036	93.283	12,920
Passed-through Georgia Department of Community Health	40500-036-13110270; 41900-036-10100072	93.283	1,012,433
Passed-through Morehouse School of Medicine	5U58DP000984-05; 2408022-06A	93.283	77,233
Passed-through National Association of Chronic Diseases Directors	—	93.283	(9,556)
Passed-through National Fragile X Foundation	—	93.283	18,086
Passed-through North Dakota Department of Health	PF11.091	93.283	11,464
Passed-through University of California-Los Angeles	07178/5U01C100035303	93.283	10,328
			<u>6,587,023</u>
Discovery and Applied Research for Technological Innovations to Improve Human Health – Direct	5R01EB008838-08 REV; 5K23EB013221-02; 5R01EB014266-02; 1R13EB015311-01	93.286	805,627
Discovery and Applied Research for Technological Innovations to Improve Human Health: Passed-through Georgia Institute of Technology	R9074G1/1R01EB006369; R8078G1AMEND2; RA215-G1; RB224-G1; R6776-G1; GA TECH R8908-G1	93.286	1,302,681
Passed-through University of Texas Southwestern	120705	93.286	46,846
			<u>2,155,154</u>

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Minority Health and Health Disparities Research – Direct	5R01MD004117-04	93.307	\$ 492,027
Minority Health and Health Disparities Research: Passed-through Oregon Law Center	5R24MD002798	93.307	140,262
Passed-through University of South Alabama	11-110229-01	93.307	206,238
			<u>838,527</u>
Trans-NIH Research Support – Direct:	5R01CA163256-02	93.310	371,824
Trans-NIH Research Support: Passed-through Georgia Institute of Technology	RA325G1/AMND 2; NIH 1DP20D007433-01; ;	93.310	46,738
Passed-through Northeastern University	500177/P1104287 MOD1	93.310	81,572
Passed-through University of Michigan	3000691492-RPT	93.310	24,483
Passed-through University of New Mexico	986049-8718	93.310	43,296
			<u>567,913</u>
National Center for Advancing Translational Sciences Research Infrastructure Programs	2TL1TR000456-06; 2KL2TR000455-06	93.350	34,904
Advanced Education Nursing Traineeships	5R24OD010930-09; 8R24OD010947-11	93.351	642,168
Nursing Research	1A10HP22117-01-00	93.358	52,000
	5R01NR00880004;5F32NR01045102;5K01NR01058403; 5F31NR011414-03;5P01NR011587-04; 5R01NR011137-03;5R01NR011888-03; 5R01NR012021-03;5F31NR011383-02REVIS; 5R01NR012419-03;1F31NR012605-01	93.361	2,870,230
Minority Biomedical Research Support	5P60MD00052502	93.375	(35,370)
National Center for Research Resources – Direct	3UL1RR02500802S1;5TL1RR025010-05; 5R24RR01882704;5K01CA10407905; 5K23RR02317103;3R24RR018827-07S1; 5P51RR000165-50;5UL1RR025008-05REVIS; 5K12RR025009-05REVIS;5R25RR024504-04; 5K24RR023356-05	93.389	27,031,924
National Center for Research Resources: Passed-through Opencell Technologies	1R43RR028178-01A1	93.389	(753)
Passed-through University of California-San Francisco	09000114-01	93.389	(1,457)
Passed-through University of Wisconsin	P399140	93.389	32,171
			<u>27,061,886</u>
Cancer Cause and Prevention Research – Direct	5R01CA09074707;5R01CA07733710;2R56CA10511606; 2R01CA09423306A2;2R56CA09086005A1; 2R56CA09423306A1;5R01CA106826-08; 5R01CA131294-02 REV;5R01CA132065-04; 5R01CA05852415;5R01CA11787204	93.393	6,472,455
Cancer Cause and Prevention Research: Passed-through Dartmouth College	2R01CA09828606/530; 533/2R01CA098286-06; ;	93.393	(5,149)
Passed-through Georgia Institute Of Technology	RB026-G1	93.393	80,276
Passed-through H. Lee Moffitt Cancer Center & Research Institution	10150049901G1 AMEND5	93.393	11,015
Passed-through Kaiser Permanente	09-DR001-20-02	93.393	38,125
Passed-through Northwestern University	60014234EMORY03	93.393	(1,251)
Passed-through University of North Carolina Chapel Hill	5-30890; 5-30889; ;	93.393	403,581
Passed-through University of Southern California	H377885R01CA11452402; H47347	93.393	137,838
Passed-through Vanderbilt University	VUMC 38945	93.393	8,372
			<u>7,145,262</u>
Cancer Detection and Diagnosis Research – Direct	5R01CA121320-06;5R01CA133722-05; 5R01CA129356-05;5R21CA12506202; 5R21CA150166-02;5R21CA141836-02 REV; 5U01CA151810-03;5U01CA151802-03; 5R01CA156775-02REVIS;5R01CA154846-02; 5R33CA161873-02;1R01CA163746-01; 1U01CA168449-01;1U01CA168930-01	93.394	3,360,137
Cancer Detection and Diagnosis Research Passed-through Johns Hopkins University	2001355031/1R01CA150	93.394	18,580
Passed-through Ocean Nanotech	1R43CA13008601	93.394	1,016
Passed-through Vision Optimization Llc	2R44EY15057-2A	93.394	35,243
			<u>3,414,976</u>
Cancer Treatment Research – Direct	3P01CA116676-05S2;5R01CA138993-04; 5R01CA129424-04 REV;5R01CA09531705; 5R01CA123490-05REV;5R01CA11845005; 5R01CA126447-08;5R01CA112643-05; 5R01CA129687-04;5R01CA116804-05; 5R01CA143107-03REV;5R01CA129968-04REV; 1R21CA139035-02;5R21CA155511-02; 5R01CA154129-02;1R01CA157754-01A1REV; 1R01CA165306-01;3R01CA160522-01A1S1; 5R01CA118450-07;R21CA140766-03; 1R21CA164612-01A1	93.395	4,556,222
Cancer Treatment Research: Passed-through American College of Radiology	2U10CA037422-24; 2012 RTOG Group Chai; ;	93.395	253,898
Passed-through Frontier Science & Technology Research Foundation	emy036cs-04	93.395	80,757
Passed-through Johns Hopkins University	5U01CA06247514	93.395	2,302
Passed-through Mount Sinai School Of Medicine	—	93.395	(1,078)
Passed-through National Childhood Cancer Foundation	020813AMND1; 021025; 19802; 020968	93.395	408,051
Passed-through Ocean Nanotech	1R43141870-02	93.395	53,396
Passed-through Ohio State University	60032891/AMND1	93.395	45,379
Passed-through St. Jude Childrens Research Hospital	SU24CA05572714/11128; 111287170-7415418; 111287180-7466322;	93.395	24,538
			<u>5,423,465</u>
Cancer Biology Research – Direct	5R01CA10846805;5R01CA139220-03; 5R01CA071971-15REV;5R01CA109366-05; 5R01CA121459-05;5R01CA087921-10; 5R01CA127119-05;5R01CA085560-10;		

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Cancer Biology Research:	5R01CA123368-05REV;5R01CA084138-10; 5R01CA127910-06REV;7R01CA111835-05; 5R01CA142858-02;1R01CA140571-02; 5R01CA123368-07	93.396	\$ 1,919,552
Passed-through Cedars Sinai Medical Center	5P01CA098912-08	93.396	341,001
Passed-through Health Research Inc.	55093305/5R01CA1210	93.396	33,749
Passed-through John Hopkins University	2001318925; 2001355019	93.396	55,949
Passed-through University of Medicine And Dentistry Of New Jersey	NIH9R01CA156386-07	93.396	24,579
			<u>2,374,830</u>
Cancer Centers Support Grants – Direct	3P30CA138292-04; 3P30CA138292-04; 5P50CA128613-05REVIS;	93.397	3,291,406
Cancer Centers Support Grants	11111204/80041282	93.397	17,973
Passed-through MD Anderson Cancer Center			<u>3,309,379</u>
Cancer Research Manpower	5K01CA133106-05;5K01CA114130-5; 5K01CA118174-06;5F32CA130308-03; 5K22CA127136-03;5K08CA128925-06; 5K07CA139114-03;5K99CA153914-02; 1K99CA153916-01;5K08CA143902-04; 5K23CA164015-02;5F31CA165897-02; 1F32CA168112-01;1F31CA168321-01; 1F31CA168272-01A1;1F31CA165632-01	93.398	1,167,335
Cancer Control – Direct	5U54CA119338-05;5U54CA119338-05; 5R01CA09250506;1 P20 CA134223 01; 5P50CA128301-04REVIS;5R03CA136113-02	93.399	2,737,419
Cancer Control:	5020325000L00378/MAN	93.399	(329)
Passed-through Dartmouth College	EMYC22FK06	93.399	26,389
Passed-through Frontier Science & Technology Research Foundation	2000362349/AMDD	93.399	13,647
Passed-through Johns Hopkins University	06-DROBL-03-01; 09-DRobl-11EU; ;	93.399	47,702
Passed-through Kaiser Permanente			<u>2,824,828</u>
ARRA – Grants for Training in Primary Care Medicine and Dentistry Training and Enhancement	1D5FHP20667-01-00	93.403	260,642
ARRA – Preventive Medicine Residency Program	1D5HHP18958-01-00	93.412	181,049
Temporary Assistance for Needy Families:	42700-040-0000007487	93.558	53,832
Passed-through Georgia Department of Human Resources	5T32NS007480-12	93.583	230,787
Refugee and Entrant Assistance – Direct	SP00010891	93.583	27,258
Refugee and Entrant Assistance:			<u>258,045</u>
Passed-through Georgia State University			13,925
Health Care Innovation Awards	1C1CMS331041-01-00	93.610	119,488
Children’s Justice Grants to States	42700-040-0000009916	93.643	
Passed-through Georgia Department of Human Resources	5P01AI044644-11 REV;5R01DA025045-02; 5R01HL083271-02;2R01A0207232-4A2; 5R21MH083138-02;5R21AG032104-02; 5R21NS066155-02;5R21DA027080-02; 5R01CA090860-06;5R01DK081699-02; 5R03HD059993-02;5R21MH085210-02; 5R01AI058057-07REVIS;5R03CA136059-02; 5R34MH086331-02;5R01HL040921-19; 5R01DA023224-02;5R03NS066378-02; 5R03HD058777-02;5R01HD061344-02; 3R01DK04170716S1;3R01DK06208105S1; 3R01DK07674203S1;3R01DC008343-03S1; 3U01AI07782102S1;3R01HL090851-02S1; 3R01HL088488-02S2;3P01DK061521-05S1; 3R24DK06439907S1;3R21HL09126802S1; 3R21HL09366501A1S1;3R56DK082678-01S1; 3R01DK069681-04S1;3R01DC00648304S2; 3R01NS05638003S1;3R01NR00880004S1; 3R24RR01882705A1S1;;3P51RR000165-49S2; 3R56AI07623701A1S1;3R01AG028278-03S1; 3T32GM008490-17S1;3T32GM00860514S1; 1RC1AI081273-01;5R21RR025822-02REV; 5R01HL096924-02;5R21A083554-02; 5R01AI084834-02;5R01MH082813-02REVIS; 3R01DK078513-02S1;3R01GM084363-02S1; 3R01AI034000-15S1;3U01DK069322-05S2; 3R01DK06141707S1;3R01DK052935-11S1; 3K08DK068226-06S1;3R01DK079713-03S1; 3U01MH066807-05S2;3R03AI0796502S1; 3R37AI039816-15S1;3R01NS058710-01A1S1; 3R01AT004698-01A1S1;;3R01DK072564-15S1; 3R01GM085448-02S1;5RCNS069541-02; 5RC1MD004370-02;5RC1MH088467-02; 5RC1DK086939-02;5RC1ES018299-02; 5RC1NS069234-02;5RC1MH088985-02REV; 5RC1HL100915-02;5RC1MD004563-02; 1 RC1 GM092035-01;5RC1MH088609-02; 1RC1HL100951-02;3R01GM49245-17A1S1; 3K01CA118174-05S1;3K12GM000680-10S1; 1R01MH089606-02;3R21AT004509-01A2S1; 3R01GM082828-02S1;3R01HD055835-03S1; 3UL1RR02500805S1;3U12RR018109-07S1; 3UL1RR025008-03S2;;5RC21HG05542-02; 5P30NS069250-02REVIS;3R25TW007733-03S1; 5RC2CA148265-02;5RC2CA149086-02; 5P30GM092423-02;3D43TW00712406S1; 5RC2HL101515-02;5RC2HD064525-02 REV;		

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	3D437W007262-05S1;3K01CA114313-04S1; 3U54CA119338-05S1;3P01HD032571-14S1; 5R01AR050501-07;3R01HD055379-03S1; 5R01HL092120-02;3R01DK081699-01A1S1; 3R01NS055015-03S1;5R01HL082609-06REV; 3U19A1051731-08S1;3R01GM03030828S1; 3R21DK080431-02S1;3R01GM078502-03S1; 3R01A1073707-02S1;3R01GM068680-06S1; 5P30NS069289-02;5R01HL068630-07; 3U19A1057266-06S2;5R01AG028617-02; 3U19A1057266-06S1;3R01DK074731-02S1; 3K08CA128925-03S1;5RC1GM091388-02; 3R01A1068003-04S1;5RC1GM090950-02 REV; 1 U19 AI090023-01;1RC4NR012527-01; 3R01MH050268-14S1;1RC4AG039071-01; 1R24TW008825-01;1S07TW008847-01; 3R01NR01188801S1;3P01NR011587-01S1; 3 R01 AI078773-02S1;3P01ES016731-03S2; 3 U19 AI051731-09S1;1R56DK089763-01-; 3P01ES016731-03S1;3R37A1051231-09S1; 3R01A1064060-06A1S1;3 U01 AI077821-03S1; 3R01HL093196-03S1;3K08DK070668-06S1; 7R21A1079714-03;7R21NS059649-03; 7RC1MH088676-03;7RC1HL100245-03; 7RC1DK086577-03	93.701	\$ 14,984,618
ARRA – Trans-NIH Recovery Act Research Support:			
Passed-through Boston University	GC207623NGC	93.701	74,137
Passed-through Sanford-Burnham Medical Research Institute	5RC1HL101899-02	93.701	32,616
Passed-through Childrens Mercy Hospital	09-0031/3U01DK066143	93.701	6,573
Passed-through Childrens Hospital of Philadelphia	320840-02-02	93.701	(1,452)
Passed-through Clayton State University	0901/1R15DC0111005-01	93.701	36,146
Passed-through Columbia University	5 RC2 HL101663-02	93.701	118,087
Passed-through Dana Farber Cancer Institute	4650202/5P01A1082282	93.701	(4,623)
Passed-through George Washington University	11-M95	93.701	163,252
Passed-through Georgia Institute of Technology	57045-G3/R01AR056694	93.701	121,764
Passed-through Harvard University	149618.0002	93.701	(28,226)
Passed-through Johns Hopkins University	2000699297	93.701	9,623
Passed-through Kaiser Foundation Research	1R21 DK081887-01A2	93.701	7,222
Passed-through Kinetic Muscles	10-102	93.701	209,549
Passed-through Mayo Clinic	1U01A1089859-01; 1U01A1089859-01; ;	93.701	(22,251)
Passed-through Morehouse School of Medicine	325011.300001.80022	93.701	457,795
Passed-through Mount Sinai School Of Medicine	0256-9131-4609	93.701	437,889
Passed-through Network Biosystems	5U01A1082050-02	93.701	(2,426)
Passed-through Oklahoma University Health Sciences	RS20092235-01	93.701	(475)
Passed-through Pennsylvania State University	4562-EU-DHHS-5573	93.701	162,225
Passed-through SAIC Frederick	29X31545T	93.701	126,995
Passed-through Sepulveda Research Corporation	RC2HL10185066469933	93.701	(5,770)
Passed-through Social And Scientific Systems	BRS-ACURE-Q-09-00121	93.701	2,318
Passed-through State University of New York	09-21/1R03HD06097201	93.701	2,414
Passed-through Trinity University	26-1342508-YNPRC	93.701	52,393
Passed-through University of Medicine and Dentistry of New Jersey	3R01LM009239-03S2	93.701	3,053
Passed-through University of Alabama-Birmingham	00348386-001	93.701	10,959
Passed-through University of California-Davis	5R01DK082690-02	93.701	3,732
Passed-through University of California-Los Angeles	2000GMF325	93.701	(2,621)
Passed-through University of California-San Francisco	5782sc-AMEND1	93.701	(15,199)
Passed-through University of Colorado	FY11.046.006	93.701	81,447
Passed-through University of Florida	UF10178/RC1NS068897	93.701	20,666
Passed-through University of Illinois-Urbana Champaign	3U54HD055787	93.701	9,216
Passed-through University of Oregon	236401A	93.701	27,316
Passed-through University of Pittsburgh	9004344/115922-2; 9005957	93.701	77,568
Passed-through University of Tennessee-Memphis	5R21A1084710-02	93.701	13,895
Passed-through University of Washington	71884IZ	93.701	2,913
Passed-through Washington University	3813; 3 U01 AI077810-02S1	93.701	(408)
Passed-through Wistar Institute	24402-04-319; 24302-10-307	93.701	270,505
			<u>17,443,435</u>
ARRA – National Center for Research Resources, Recovery Act Construction Support	1C06RR030135-01	93.702	3,182,640
ARRA – Head Start			
Passed-through Georgia Department Of Early Care And Learning	46906-621-V12EMO031	93.708	15,477
ARRA – Immunization			
Passed-through Atlanta Research and Education Foundation	—	93.712	27,493
ARRA – Emergency Contingency Fund for Temporary Assistance for Needy Families (TANF) State Program			
Passed-through Georgia Department of Human Resources	42700-040-0000005834	93.714	13,961
ARRA – Comparative Effectiveness Research			
Passed-through American College of Radiology	1R01HS019403-01	93.715	101,081
Passed-through Kaiser Research Foundation	PEJoel H Saltz	93.715	192,657
Passed-through Morehouse School Of Medicine	iADAPT PROJECT	93.715	10,597
Passed-through University Of California San Francisco	6377sc amend1	93.715	54,588
Passed-through Vanderbilt University	VUMC 37035	93.715	337,112
			<u>696,036</u>
Medical Assistance Program			
Passed-through University of South Florida	5820-1161-00-C/MOD2	93.778	23,097
Cardiovascular Diseases Research – Direct			
	5U01HL079156-05;5U01HL08054305; 4U01HL08071101;5U01HL088928-05; 5R01HL070531-10;5R01HL06046409; 5R01HL07089205;1K99HL093115-01; 5R01HL07911504;5R01HL07748504; 5P01HL058000-13REVIS;RAD001A2401; 5R01HL07727404;5R37HL038206-24; 5K24HL07750605;5R01HL092981-04; 7R01HL07954605;5R21HL093665-02; 5R21HL092518-02;5T32HL007745-19; 5R01HL07913706;5R01HL094438-04; 2R56HL09506305A1;5R01HL092150-04; R01HL093579-04;5R01HL090851-05; 01/5R01HL092141-05;5T15HL098122-03; 5R21HL08916002;5R01HL07762704; 3R01HL05979810S1;5R01HL084471-06;		

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Program title/federal grantor/pass-through entity	Award number	Federal CFDA number or other I.D. number	Federal expenditures
	5R01HL087012-04;5R01HL088488-05; 5R01HL08386704;7R01HL06084909; 5R21HL08796902;5F31HL09277203; 5R01HL039006-22;7R01HL07904004; 5R01HL079867-05;5R01HL090584-04; 5F31HL094102-03;1R21HL097353-02; 5K24HL077506-09;5R01HL095479-04S1; 5R01HL098481-04;5K23HL098744-03; 5R01HL094527-03;5R01HL09687-02; 3P01HL101398-02S1;5R01HL096970-03; 5R00HL093115-04;5P01HL095070-04; 5R01HL094469-02REV;5F32HL104997-02; 5R00HL092226-05;5K23HL105785-02; 5R37HL038206-26;1F31HL107080-02; 5K99HL107675-02;5R01HL058863-13; 5K23HL105892-02;5R01HL109559-02; 5R21HL110044-02;5U01HL105561-02; 5K23HL103842-02;5U10HL110302-02; 1U54HL112309-01;1P20HL113451-01; 1R21HL109979-01A1;1R01HL109413-01A1; 1R21HL110055-01A1;1F30HL110447-01A1	93.837	\$ 16,986,843
Cardiovascular Diseases Research:			
Passed-through Baylor Research Institute	41010141103, AMD#1	93.837	120,263
Passed-through Beth Israel Deaconess Medical Center	1R01HL082717-03; SUBAWARD 01024442; ;	93.837	20,144
Passed-through City University of New York	41628-A/ AMD3	93.837	63,146
Passed-through Georgia Institute of Technology	E17699G4/1R01HL07026; RA 128-G1	93.837	86,894
Passed-through Indiana University	IN-4686648-EU	93.837	2,899
Passed-through Johns Hopkins University	2000093200, AMEND4; 2001185468	93.837	847,595
Passed-through Mount Sinai School of Medicine		93.837	30,323
Passed-through National Institute For Healthcare Research	7R21HL093637-03	93.837	162,900
Passed-through Nuvvee Life Sciences	1R41HL102891-01A1	93.837	40,683
Passed-through Scripps Research Institute	SU54GM062116-10	93.837	12,233
Passed-through Syntemed	1R42HL106818-01	93.837	300,493
Passed-through Temple University	CC0158313-01	93.837	(86)
Passed-through Thomas Jefferson University	080-24000-PZ2808	93.837	2,255
Passed-through University of Louisville	OGMB080924A1 EU	93.837	458,239
Passed-through University of Maryland- Baltimore County	SR00000289/HL079376	93.837	2,149
Passed-through University of Pittsburgh	0004811/5R01HL077398	93.837	4,233
Passed-through University of Rochester	R01HL09833	93.837	110,108
Passed-through University of Washington	7290001	93.837	36,141
Passed-through Wake Forest University	217000-14142	93.837	157,987
			<u>19,445,441</u>
Lung Diseases Research – Direct	SU01HL079156-05;5U01HL080543-05; 4U01HL080711-01;5U01HL088928-05; 5R01HL070531-10;5R01HL070892-05; 1K99HL093115-01;5R01HL079115-04; N01WWH3211MOD30;5R01HL077485-04; 5P01HL058000-13REV;RAD001A2401; 5R01HL077274-04;5R01HL090601-04; 5K24HL077506-05;5R01HL092981-04; 7R01HL079546-05;5R21HL093665-02; 5R21HL092518-02;5T32HL007745-19; 5T32HL007745-19;5R01HL079137-06; 5R01HL094438-04;2R56095063-05A1; 5R01HL092150-04;R01HL093579-04	93.838	1,482,396
Lung Diseases Research:			
Passed-through Cleveland Clinic Foundation	4561534/ R01HL069170	93.838	(6,029)
Passed-through Johns Hopkins University	2001443924	93.838	10,637
Passed-through University of Virginia	1U10HL109250-01	93.838	10,093
Passed-through University of Washington	667078/R01HL090342; 723385/AMND2	93.838	224,467
Passed-through Wake Forest University	WFUHS 15903	93.838	129,660
			<u>1,851,224</u>
Blood Diseases and Resources Research – Direct	5T32HL069769-05;5P01HL086773-05; 5R01HL092977-04REVIS;5R21HL08413202; 5K07HL088922-05;5U01HL072248-10; 5K08HL092959-04;5R01HL092179-04; 5R01HL08260904;5R01HL05681912 REVIS; 5T32HL069769-09;5K02HL088026-05; 5R01HL095791-03;5R01HL095858-04; 5R01HL105613-02REVIS;5R01HL106192-02; 7K08HL093560-04;7R01HL082808-07REVIS	93.839	5,658,748
Blood Diseases and Resources Research:			
Passed-through Expression Therapeutics	2R42HL08353103; 5R42HL090112-03; ;	93.839	348,782
Passed-through Louisiana State University	1R01HL08048201A2	93.839	(11,177)
Passed-through Medical College of Wisconsin	0600370P76142117	93.839	(155,420)
Passed-through Oklahoma Medical Research Foundation	P01HL085607AMEND6.2; Amendment 6.1; ;	93.839	558,407
Passed-through University of Medicine and Dentistry Of New Jersey	1R01HL07395801	93.839	(1,246)
Passed-through University of North Carolina-Chapel Hill	5-32283	93.839	99,290
Passed-through University of Notre Dame	201453EU/7P01HL07882	93.839	(6,770)
			<u>6,490,613</u>
Arthritis, Musculoskeletal and Skin Diseases Research – Direct	5F32AR05226703;5R01AR047314-09;5R01AR05050105; 5R21AR05360702;5K23AR054334-05; 5R01AR053093-05;5R01AR05273004; 5R01AR05137205;5R01AR049659-10; 1R21AR05682101A1;5R01AR054625-05; 5R01AR056090-03;5R01AR048615-10; 5R01AR048266-10;5R01AR052133-05; 5R01AR059364-03;5R01AR050501-09; 5R01AR061987-02;5R01AR060893-02; 1R01AR060268-01A1;1K01AR061453-01A1; 1R01AR061267-01A1;2R01AR048615-11A1	93.846	3,692,278
Arthritis, Musculoskeletal and Skin Diseases Research:			
Passed-through Cincinnati Childrens Hospital	106355	93.846	4,414
Passed-through Duke University	203-9146	93.846	21,338
Passed-through University Of Alabama Birmingham	000278614-001	93.846	34,628
Passed-through University Of California Los Angeles	1705 G MAS22	93.846	64,472
Passed-through University of North Carolina-Chapel Hill	5-30786/5U01AR052181; 5U01AR05218105/55143	93.846	145,393
			<u>3,962,522</u>
Diabetes, Digestive, and Kidney Diseases Extramural Research – Direct	5R03DK07319002;5T32DK007734-15 REV; 5U01DK05695608;5R01DK054514-10; 5K01DK081481-03;5R01DK046403-18; 5R01DK075397-04;5K01DK082733-05; 5R01DK061418-09;5U01DK062408-10REV; 5R01DK064711-08 REV;5K01DK083275-03REVIS;		

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	2R56DK06194106A2::3U01DK069322-05S3; 5R01DK054514-14;1R34DK08172301A1; 5K01DK07851302;5R01DK041707-18; 5R01DK080684-04;5R01DK075016-04; R37DK038842-24;5K08DK083036-04; 5R01DK07256415;5R01DK062092-09 REV; 5R01DK069681-05;5R01DK076825-04REVIS; 5R01DK061379-10 REV;5R01DK071597-05; 5R01DK074518-05REV;5K23DK06563404; 5R01DK073476-05;5R24DK064399-10; 5R01DK055679-15;5R37DK037963-25; 5R01DK071594-06REVIS;5R01DK080876-05; 5R01DK079392-09;5R01DK061417-09; 5K01DK076742-05;5R01DK059904-10; 5R01DK079713-05;5K01DK077137-04; 5R01DK046493-11;5R01DK05766511; 5R56DK08267802;5K23DK07071505; 5K23DK080953-05;5K08DK079176-04; 5R01DK064730-08;5U01DK084585-03; 1K01DK085222-01;5R01DK072372-07; 5R21DK081847-02 REV;5R01DK083890-02REVIS; 3T32DK007298-33S1-2R01DK069275-10; 5R03DK089131-02REVIS;5R03DK089304-02; 5R01DK056481-09;5R01DK083356-03; 5F31DK089932-03;5R01DK072564-18; 5R01DK087838-02;5R01DK087694-02; 5R21DK091147-02;5T32DK007656-22; 5T32DK007771-12;2R01DK046493-10A1; 5R03DK091501-02;5R01DK091780-02; 5U01DK056956-12;5R21DK089369-02; 5R01DK059380-10;5R01A018096-03; 5R01DK089828-02;5R01DK067110-07; 5R01DK059888-12;5F32DK093255-02; 1R01DK091841-01A1;1DP3DK094346-01 REV; 2T32DK007734-16;1R01DK095750-01; 2R56DK062092-10;1R01DK095610-01A1; 2R01DK061379-11;7R01DK056239-11; 5R01DK089763-02;2R01DK079713-06; 9K24DK096574-06;5U01DK062470-09; 7K01DK087763-02	93.847	\$ 16,741,512
Diabetes, Digestive, and Kidney Diseases Extramural Research: Passed-through Case Western Reserve University	RES503818	93.847	101,693
Passed-through Cincinnati Childrens Hospital	CHMC 105319M3	93.847	21,309
Passed-through Connecticut Childrens Medical Center	12-179296-03	93.847	76,864
Passed-through Georgia Institute of Technology	R8604G2/1R01DK076801	93.847	17,683
Passed-through Georgia State University	SP00010712	93.847	54,584
Passed-through Mayo Clinic	5R01DK079856-02	93.847	146,019
Passed-through Medical College of Georgia	R18DK082401; 24020-4; ;	93.847	30,097
Passed-through Pennsylvania State University	3938-EU-DHHS-5806	93.847	9,870
Passed-through University of California-San Diego	5R24DK082840-04	93.847	428,516
Passed-through University of Texas-San Antonio	124615/124589	93.847	35,023
Passed-through University of Wisconsin	361K620	93.847	4,611
			<u>17,667,781</u>
Digestive Diseases and Nutrition Research – Direct	5T32DK007771-10;5R01DK061941-05S1; 7K08DK062007-06;5R03DK078552-02; 5F32DK076243-03;5R01DK067285-04; 5R01DK071604-05REV;05R01DK074731-03	93.848	210,985
Digestive Diseases and Nutrition Research Passed-through University of Pittsburgh	1108941/5R01DK071817	93.848	(1,504)
			<u>209,481</u>
Kidney Diseases, Urology and Hematology Research – Direct	5P01DK06152105;5T32DK007656-20; 5R21DK074854-02;2R56DK052935-10A1; 5R01DK062081-05;5R01DK038842-20; 5K08DK067045-05;5K08DK068226-06;	93.849	(89,986)
Kidney Diseases, Urology and Hematology Research: Passed-through Indiana University	5R01DK050740-11	93.849	(68)
Passed-through Transfusion And Transplantation Technology	P30DK079312-03 2R42DK07526604A2	93.849	163,725
			<u>73,672</u>
Extramural Research Programs in the Neurosciences and Neurological Disorders – Direct	5U10NS053379-05 REV;5F31NS055881-02; 5U01NS058158-08;5R21NS06018202; 5R01NS04757503;5R21NS05380102;5R01NS03660411; 2R56NS04259905A1;5 F30 NS063501-03; 5R01NS04596205;5R01NS062358-05; 5K08NS04632205;5R01NS056380-03;; 5R01NS064991-04;5R01NS065187-04; 5R01NS04825406;5R01NS060680-04REVIS; 5R01NS045016-09;5U01NS062778-04; 5F32NS065603-03;5R25NS065739-04S1; 5R01NS042599-08;5R01NS058710-04; 5R01NS062073-04;5R01NS05163004; 5R01NS054911-05 REV;5R01NS055015-05; 5R01NS057255-04;7R01NS04047009; 7R21NS05964503;5R01NS024072-27REVIS; 3T32NS007480-10S1;5R01NS056097-05 REV; 5P30NS055077-04 REV;5R01NS03045419; 5R01NS042937-09;5R01NS067201-04;; 5K23NS04910006;5K02NS059416-05; 5K08NS053454-05;5R01NS057190-05REVIS; 5R01NS04286708;5R01NS05372705; 3R01NS033592-15S1;5R01NS053822-05 REV; 5K08NS04885805;5R01NS049195-05; 3R01NS050595-05;5R01NS049556-04; 5R01NS036232-12;5R01NS041669-09; 5R01NS05065005;5R01NS055179-05; 5R37NS036654-15;5R03NS05769302; 5R01NS062876-03 REV;5R21NS06220402;		

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Extramural Research Programs in the Neurosciences and Neurological Disorders: Passed-through Agnes Scott College Passed-through Ames Technology Passed-through Duke University Passed-through Georgia Institute of Technology Passed-through Halimed Pharmaceuticals Passed-through Louisiana State University Passed-through Medical University of South Carolina Passed-through Morehouse College Passed-through Morehouse School of Medicine Passed-through Optima Neurosciences Passed-through University of Akron Passed-through University Of Cincinnati Passed-through University Of Florida Passed-through University Of Michigan Passed-through University Of Rochester Passed-through University of South Carolina Passed-through University Of Southern California Passed-through University of Washington – Seattle Passed-through Vanderbilt University Passed-through Washington University Passed-through Wright State University	SU10NS059032-05;SR21NS06134902; SR21NS05480902;SR21NS05771802;; 5F31NS065663-03;SU54NS065701-04; SR01NS051630-07;SR01NS045627-09; SU01NS062676-03;R01NS037112-12; 5F31N067950-03 REVIS;SR01NS037948-16; SR01NS062097-03;SR21NS066030-02REVIS; SR21NS067345-02 REV.SR01NS065949-03; 5F31NS067844-02;5F31NS066754-03REVIS; SR01NS049433-06;SR01NS071867-02REVIS; SR21NS064331-02;;SR01NS071074-03; 5F31NS065694-03REV;5F31NS063668-02; SR01NS064162-02;SR01NS071518-03; SP50NS071669-03S1;SR21NS067461-02;; 5F31NS071802-03;SR01NS068464-03; SR03NS072737-02;SR01NS065992-03; 5F31NS073237-03;1R21NS074296-02; SR01NS045962-07;SR01NS070526-02; SR01NS072467-03;SR02NS070960-02; SR01NS041669-11;5F31NS074717-02; SU01NS074509-02;SU01NS058158-07; SR21NS075338-02;1R21NS072810-02; SR21NS072422-02;SR01NS072394-02; SR01NS072221-02;SR21NS072712-02; 5F32NS070572-02;5F31NS076215-02; SR01NS073994-02;SR01NS076775-02;; SR21NS077049-02;R01NS047357-09; 1R56NS070879-01;SU10NS077366-02 REV; SR21NS074169-02;SR21NS074975-02; 5F31NS074620-02;5F32NS077612-02; 1R21NS077905-01;SR01NS036232-14; 1F31NS076285-01A1;1R01NS079268-01; 1R01NS079625-01;R01NS057190-06A1; 1F32NS080589-01;4R00NS065974-03	93.853	\$ 29,064,988	
	02530-YER-1	93.853	102,823	
	5R44NS060192-03	93.853	12,031	
	09NIH1078; 203-2298; ;	93.853	27,932	
	RA343-G1, AMD 2	93.853	31,682	
	0	93.853	46,902	
	NS054281	93.853	103,719	
	MUSC080041; MUSC08094/1U01NS0587	93.853	462,460	
	SU54NS060659-03	93.853	(5,575)	
	S11 NS055883-05; PHOTIC AND CIRCADIAN; ;	93.853	86,224	
	OPT-001-EMORY	93.853	38,178	
	R8423	93.853	25,233	
	NH5U01NS069763	93.853	201,540	
	UF07059/2R01NS038455	93.853	29,421	
	3000691492-RPT AM 20	93.853	58,564	
	SR01NS04648705	93.853	(62)	
	040895#5/2R01NS03899	93.853	(2,696)	
	H50438/H49894	93.853	917	
	711608; SR01NS065070-02; 732852	93.853	125,838	
	VUMC38069	93.853	16,242	
	WU-08-202/SU01NS0322; WU-12-82-MOD-1	93.853	79,381	
	3P01NS05722801A1S1; PSL06500/2R01NS04082; AMDT#3/SR01NS0493240; 5P01NS057228-04	93.853	206,917	
			<u>30,712,658</u>	
	Allergy, Immunology, and Transplantation Research – Direct	2 R01 AI034000-15;SU19AI05726602;5T32AI05540405; 5T32AI07470-15;5T32AI070081-05; SU01AI074579-05REVIS;SU19AI051731-10REVIS; 1K99AI07634601;SR21AI06531202;SR01AI05601703; SR21AI06843302;SUMI AI069418-07; 1R03AI07976501;;SR01AI06848402;5P01AI080192-05; SR01AI05882805;SR21AI081217-02;SR01AI05433730; SR01AI078775-04REVIS;SR01AI078773-05; SR01AI071002-05;SR01AI081879-04; SR01AI070829-04;SU01AI079223-04; 2R56AI04863809;1R03AI07664001A2; SR01AI020211-28;SU19AI057266-09; SP30AI050409-13;SR01AI06275505; 5T32AI074492-04REV;SU01AI077821-05REVIS; 1R21AI083420-01;SU01AI084150-04; SR01AI072435-06REVIS;SR01AI06406005; SR01AI068003-04;;SK23AI073119-05; SR37AI048638-13;SR37AI028731-22REVIS; SR01AI069148-03;SR01AI06596104;SR01AI073707-05; SR37AI039816-16;SR01AI04053815;SR01AI077446-04; SR01AI030363-17;SR01AI024710-23; SU01AI074635-05;SR21AI07608002;SR01AI064462-05; SR01AI071852-03;SR01AI067704-05;SR01AI044142-10; SR01AI064766-05;SR01AI06998703;SR01AI072462-05; SR01AI074417-03;SR37AI040519-15REVIS; SR01AI06349105;SR01AI058706-10;; SR01AI049334-09 REV;HHSN266200700006C#14; SR01AI073830-05;SR01AI070101-06REVIS; SR37AI030048-19REVIS;SR01AI06103105; SR01AI078426-05;SR01AI036680-12;1F32AI08017501A1; SR01AI064060-08;5K08AI079166-04;5T32AI055404-09; SR21AI085328-02;SU01AI089317-03REVIS; SR01AI087798-03;1R21AI089093-02;SK01AI087724-02; SR37AI021150-27;SR01AI083409-02REVIS; 1R56AI083402-01A;SR01AI047498-11; SP01AI088575-03REV;5T32 AI007610-13; SR01AI083366-03;;2R56AI034000-16;SR01AI090840-03; SR01AI088025-03;5F32AI091105-02;1F32AI085763-01A1; 1R34AI091437-01;1R56AI091805-01REV; 5K01AI091864-02;1R56AI091827-01A1; 1R56AI087782-01A1REV;1R56AI087673-01A1; SR01AI083402-02;SR01AI093406-02;R01AI066998-07; SR01AI090797-03;SR37AI040519-17;SR01AI058828-08; SR01AI084836-04;SR21AI094449-02;7R21AI079539-03; 1R01AI094575-02;SR01AI053668-12; SR01AI030048-21REVIS;SR21AI087453-02;; SR37AI06698-09;SR01AI070101-07;SR21AI096067-02; SU19AI096187-02REVIS;2R56AI070101-06; 1R01AI093772-01A1REV;		

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	2R56A1074417-04A1;1R01A1093881-01A1; 1R21A1094402-01A1;2R01A1064462-06A1; 1F32A1096709-01A1;5U19A1090023-03; 2R01A1058057-08A1REV;2P30A1050409-14REVIS; 1R21A1098800-01;2R56A1061031-06A1; 5R21A1099847-02;5R01A1086133-04;2R01A1072435-07; 1R21A1098581-01A1;1R21A1097803-01A1; 1R01A1101047-01;2U19A1051731-11REVIS; 1R01A1097423-01A1;1R21A1102197-01; 1K22A108718-01;1R21A1095718-01A1; 1R56A1095712-01A1;1R01A1098628-01A1; 1R21A1098592-01A1;1R01A1096879-01A1; 5R21A1094218-03;7R37A1049660-09 REV; 5R01A1084808-05	93.855	\$ 59,393,691
Allergy, Immunology, and Transplantation Research:			
Passed-through Baylor Research Institute	41000411007; 41000411010; 41000411216;	93.855	294,389
Passed-through Boston University	9500301461	93.855	565,366
Passed-through Case Western Reserve University	RESS02643; RES503443; ;	93.855	1,073,548
Passed-through Childrens Hospital of Boston	75940 / 5R01A1084011	93.855	(8,250)
Passed-through Columbia University	4 (GG006382)	93.855	163,579
Passed-through Dana Farber Cancer Institute	10151075P01A1048240; 1034817; 1015109; 1194803	93.855	861,498
Passed-through George Washington University	11-M61	93.855	95,720
Passed-through Georgia Institute of Technology	RB323-G1/AMD 1; RC049-G1; ;	93.855	168,795
Passed-through Geovax	SU19A1074073-04; A107407302U19; ;	93.855	651,578
Passed-through Harvard University	1495510010/5P01A1562; 1511163.0003; NIH/5R01A1081846-03; 14	93.855	356,540
Passed-through Johns Hopkins University	PO# 2001007978	93.855	132,400
Passed-through Mount Sinai Medical Center	0255-1125-4609	93.855	157,386
Passed-through Mount Sinai School Of Medicine	025513534609/5U01A10	93.855	(3,656)
Passed-through Oregon Health And Science University	GVGT10103; APRC00765EU	93.855	112,056
Passed-through Research Institute At Nationwide Childrens	726611; 763412	93.855	44,550
Passed-through Seattle Biomedical Research Institute	EU-15536	93.855	3,534
Passed-through Scripps Research Institute	PO # 5-24907; po #5-24906; PO# 5-24908;	93.855	24,752
Passed-through Social And Scientific Systems	BRS-ACURE-S11000301	93.855	2,566
Passed-through Temple University	1R01A107653501A1; CC0159700	93.855	122,757
Passed-through University of Medicine and Dentistry Of New Jersey	191621; AMD 4	93.855	50,045
Passed-through University Of Alabama Birmingham	000435901-002; WU11300/PO#2024367N; 000354181-001;	93.855	73,065
Passed-through University Of Alberta	1U01A106519104; 5U01A106519105	93.855	(35,891)
Passed-through University Of California Berkeley	00007955	93.855	3,550
Passed-through University Of California Davis	SUB 016341-02	93.855	16,826
Passed-through University Of California Irvine	2010-2423	93.855	35,553
Passed-through University Of California San Francisco	6235GC/R01 A1089292	93.855	21,669
Passed-through University of Georgia	10-21RR571-202/89224	93.855	(7,252)
Passed-through University of Maryland - College Park	SR00001551/AMD 5	93.855	21,913
Passed-through University of North Carolina-Chapel Hill	SU54A1057157-10	93.855	943,713
Passed-through University of Pennsylvania	550776/U54A1057157; SU19A1031496-22	93.855	(94,330)
Passed-through University of Pittsburgh	110-113842-1	93.855	6,666
Passed-through University Of Texas Southwestern	120718	93.855	4,837
Passed-through University Of Washington	738767	93.855	308,808
Passed-through Vanderbilt University	VUMC34383;AMD5; VUMC38503	93.855	575,308
Passed-through Washington University	WU-11-300	93.855	242,214
Passed-through Wistar Institute	1U19A107407801; 24005-03-307; 24004-19-307;	93.855	405,017
Passed-through Zetra Biologics	1R43A1091230-01	93.855	47
			66,784,556
Microbiology and Infectious Diseases Research - Direct	SU19A106172805; 5R01A105599404; 3R01A104331609S1;	93.856	(36,132)
Microbiology and Infectious Diseases Research:			
Passed-through Brandeis University	Brandeis # 4-01202	93.856	(1,110)
Passed-through University of Alabama	002COMPANS/5U19A1028	93.856	(3,594)
Passed-through Zetra Biologics	1R43A1081385-01A1	93.856	(385)
			(41,221)
Biomedical Research and Research Training - Direct	2T32GM008490-15;5K12GM000680-10REVIS; 5T32GM00860515;5T32GM008490-20REVSD; 5R37GM051173-27;5R01GM06615322S1; 5R01GM04633117;5R01GM06855905; 5R01GM080754-04 REV;5R01GM068680-07; 5R01GM054395-29REVIS;5R01GM015691-43REVIS; 5R01GM084070-04;5R01GM069971-08; 5R01GM091875-13;5T32GM00836719; 5T32GM008602-15;5T32GM008169-25; 5R01GM043107-18;5R01GM080771-04; 5R01GM0294326;5R01GM07395904; 5R01GM082828-04REVIS;5R01GM7760004; 5R01GM07756904;5R01GM053640-17; 5R01GM067226-08;5R01GM06995805; 5R01GM04924516 REVIS;5R01GM07924204; 5R01GM06310209;5R01GM078502-05; 5R01GM035463-25;5R01GM086824-04; 5R01GM047310-15;5R01GM05997509; 3R01GM058728-12S1;5R01GM084363-04; 5R01GM07407004;5F31GM083452-03REVIS; 5R01GM085448-04;5R01GM030308-29; 5R25GM0809615-03;5R01GM093278-03; 5R01GM090158-03;5R01GM046331-20; 5R01GM049245-19;5K12GM000680-13; 5T32GM074909-08;5R01GM072808-08; 5T32GM095442-02;5R01GM029433-29; 5R01GM093294-02;7 R01 GM072808-05; 5R01GM066202-09;5T32GM008605-17;		

**EMORY UNIVERSITY**  
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Program title/federal grantor/pass-through entity	Award number	Federal CFDA number or other I.D. number	Federal expenditures
	5R01GM047310-17;5R01GM060448-10; ST32GM008367-23;5R01GM054787-18; 1R01GM099142-02;;2T32GM008169-26; 1R01GM100151-01;1R01GM097331-01A1; 2R01GM083889-15;2T32GM008602-16; 1R01GM097399-01-A1;5R01GM084175-03	93.859	\$ 14,765,194
Biomedical Research and Research Training:			
Passed-through Albert Einstein College of Medicine	9-526-1747	93.859	421,927
Passed-through Fred Hutchinson Cancer Research Center	NIH/5U01GM070749-10	93.859	155,977
Passed-through Georgia State University	SP00010548-02	93.859	44,771
Passed-through Mayo Clinic	5R01GM75965-06	93.859	63,434
Passed-through New England Biolabs	4R44GM095209-02	93.859	78,916
Passed-through Rice University	R22071	93.859	184,165
Passed-through SUNY-Upstate Medical University	110-1093090-56699	93.859	6,370
Passed-through University of Florida	UF07084/AMEND1U01GM0; UF11191/U01GM074492; ;	93.859	259,747
Passed-through University of Georgia	RR166-732-4693658; RR549-343/4785766; ;	93.859	86,895
Passed-through University of Oregon	R01GM081592	93.859	14,538
Passed-through University of Wisconsin	1R01GM096060-01A1	93.859	9,996
			<u>16,091,929</u>
Population Research – Direct	5F32HD061197-03; 5R03HD05182202; 5R21HD05557002;	93.864	62,036
Population Research:			
Passed-through University of Illinois-Urbana Champaign	2007-06469-02	93.864	139,412
			<u>201,448</u>
Child Health and Human Development Extramural Research – Direct			
	1R01HD04171601A1;2U10HD027851-21; 5R03HD05243102;5R01HD04309904;5R01HD059122-05; 5K23HD058043-04;5R01HD03897909; HHSN275200800024C;5R01HD060679-04; 5R03HD05488602;5R01HD061971-04;5R01HD055379-05; 5P01HD032571-15 REV.;;5R01HD02990914; 5R01HD020521-25;5R01HD057029-03; 5R01HD043099-08;1F32HD064545-02;5R01HD056956-06; 5R21HD065115-02;5R03HD061509-02REVIS; 1F32HD060368-01A2;5R01HD046922-08; 5R21HD066306-02;5R01HD066059-03; 5U01HD066439-03;5R01HD067111-03; 5R01HD038979-12;5R03HD060602-02REVIS; 5R21HD066577-02REV;2U10HD027851-22; 5T32HD052460-07;5R03HD067490-02; 2R21HD067906-02;5F31HD070735-02; 7K01HD060759-03REVIS;5R21HD067834-02;; 1K23HD069199-01A1;2P01HD032571-16; 1K12HD072245-01;1R01HD072659-01; 1R21HD073033-01;1R21HD073162-01; 1R21HD071148-01AREV	93.865	11,205,161
Child Health and Human Development Extramural Research:			
Passed-through Baylor College of Medicine	PO# 5600706240; 5600706241; 5600706242;	93.865	695,749
Passed-through Columbia University	5-32510/5R01HD05561-	93.865	15,061
Passed-through Center for Chronic Disease Control	1D43HD065249-01	93.865	61,606
Passed-through FHI Development 360 LLC	2814	93.865	33,361
Passed-through Georgia State University	SP00010461-3	93.865	75,997
Passed-through Johns Hopkins University	200063605AAmendment3	93.865	140,252
Passed-through Mount Sinai School Of Medicine	70255-4421-4609	93.865	104,086
Passed-through Oregon Health And Science University	GPED10472A	93.865	71,975
Passed-through Raybiotech	STTR/1R41 HD06536-01	93.865	26,804
Passed-through San Francisco State University	S12-0002	93.865	50,796
Passed-through University of Medicine and Dentistry of New Jersey	5P01HD023315-23	93.865	237,239
Passed-through Washington University	WU-12-133	93.865	95,120
			<u>12,813,206</u>
Aging Research – Direct	3P50AG0256880453;5R01AG015043-11; 5R01AG023695-0551;5R01AG028769-03; 5R01AG034126-04;5R01AG019206-10; 5P01AG026423-05REV;5K23AG025963-05; 5R01AG028278-05;5R01AG031153-04; 5P50AG025688-08;5R01AG038746-03; 5F32AG038259-02;5R21AG040589-02; 5R01AG0400013-02;4R00AG032362-03; 2R01AG019206-11A1;7F32AG041543-02	93.866	5,446,230
Aging Research:			
Passed-through Boston College	5P01AG00000134/46775	93.866	127,351
Passed-through Columbia University	2(ACCTS-37166); 1(Acct. #5-34005)	93.866	44,233
Passed-through Healthcare Interactive	AG023451	93.866	23,556
Passed-through Mayo Clinic	5P50AG016574-14	93.866	50,696
Passed-through National Bureau Of Economic Research	32-4130	93.866	35,148
Passed-through Rush University Medical Center	P01AG014449-15_AMD#6	93.866	294,598
Passed-through University Of Alabama Birmingham	000410331-003	93.866	33,660
Passed-through University Of California Los Angeles	2000GGV681AMEND3	93.866	(2,249)
Passed-through University Of Iowa	1000962256	93.866	32,917
Passed-through University Of Pennsylvania	557704; 555786 AMENDT #3	93.866	64,411
Passed-through University of Washington – Seattle	544917UDS/5U01AG0169; 721762; SUBAWARD 741797;	93.866	35,946
			<u>6,186,498</u>
Vision Research – Direct	1U10EY01327201A2;5U1EY013272-09;5T32EY007092-26;5K24I	93.867	4,349,722
Vision Research:			
Passed-through Genesegues, Inc.		93.867	20,379
Passed-through Georgia Institute of Technology	R7747-G6, AMD8; R7747-G14/PN2EY01824	93.867	47,650
Passed-through Morehouse School Of Medicine	2R01EY022216-09A1	93.867	8,893

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Program title/federal grantor/pass-through entity	Award number	Federal CFDA number or other I.D. number	Federal expenditures
Passed-through Powerscope	2R44EY01622903	93.867	\$ 20,256
Passed-through Stanford University	23913450-41077-A	93.867	171,361
Passed-through University of North Carolina-Chapel Hill	5-30479/R01EY018400	93.867	45,760
Passed-through Washington University	10-178 PO2911876A	93.867	102,642
			<u>4,766,662</u>
Medical Library Assistance – Direct	5R01LM011119-02	93.879	518,029
Medical Library Assistance: Passed-through University of Medicine & Dentistry of New Jersey	5R01LM009239-03	93.879	16,518
			<u>534,547</u>
Grants for Residency Training	1D55HP23205;5D57HP23244-02-00	93.884	197,442
Health Care and Other Facilities	7R21HL097226-02	93.887	116,648
Alcohol Research Center Grants – Direct	5P50AA01375703;5P50AA013757-09REV	93.891	1,421,653
Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease	5H76HA07848-05-00;2H76HA07848-06-00	93.918	881,454
Healthy Start Initiative: Passed-through Augusta Richmond County Community Partnership for Children and Families, Inc.	HS-2009-11	93.926	(4,291)
Special Projects of National Significance	U90HA07632	93.928	652,976
National Institutes of Health Acquired Immunodeficiency Syndrome Research Loan Repayment Program Passed-through Family Health International	959/0080.0161	93.936	53,496
HIV Demonstration, Research, Public, and Professional Education Projects – Direct	SUR6PS000679-04; IHS2PS003187-01REVIS; IU01PS003322-01REV	93.941	926,589
HIV Demonstration, Research, Public, and Professional Education Projects: Passed-through Johns Hopkins University	2000526368/R01AI0788	93.941	42,420
			<u>969,009</u>
Epidemiologic Research Studies of Acquired Immunodeficiency Syndrome (AIDS) and Human Immunodeficiency Virus (HIV) Infection in Selected Population Groups	U65/CCU42337203	93.943	(5,513)
Assistance Programs for Chronic Disease Prevention and Control: Passed-through Georgia Department of Human Resources	427930905084504AMEND	93.945	(5,799)
Block Grants for Prevention and Treatment of Substance Abuse: Passed-through Georgia Department of Human Resources	200-2007-19630	93.959	282,883
Public Health Traineeships	5A03HP01160-16-00	93.964	33,600
Grants for Geriatric Education	SUB4HP19215-03-00	93.969	458,266
Family Planning-Service Delivery Improvement Research Grants	1FRPA0060270100	93.974	27,642
Preventive Health Services-Sexually Transmitted Diseases Control Grants	5H25PS001412-04 REV;200-2008-28225;427930808142299	93.977	241,412
International Research and Research Training – Direct	3D43TW007262-05S2;5D43TW007124-05; 5R25TW007733-03;5D43TW001042-13; 5D43TW007124-09;3D43TW005746-10S1; 4R00TW008043-05;1R21TW009032-01; 1D43TW009135-01A1	93.989	1,136,893
International Research and Research Training: Passed-through Aga Khan University	1D43TW00758501	93.989	(216)
Passed-through Case Western Reserve University	RES502866/R01TW08067	93.989	215,213
Passed-through Vanderbilt University	VUMC3552/5R24TW00798; VUMC36841-R; VUMC38414;	93.989	54,746
			<u>1,406,636</u>
Maternal and Child Health Services Block Grant to the States: Passed-through Georgia Department of Community Health	41900-039-11110288	93.994	(24)
Contract – Center for Disease Control	200200100860013	93.200200100860013	50,210
Contract – Center for Disease Control	200-2011-412780002	93.200-2011-412780002	79,287
Contract – Center for Disease Control	200-2011-M-41938	93.200-2011-M-41938	42,584
Contract – National Institutes of Health	HHSN261201000025C	93.HHSN261201000025C	2,304,453
Contract – National Institutes of Health	CIEERS 2010 TRAINING	93.HHSN267200700007C	997,657
Contract – National Institutes of Health	HHSN271201100375P	93.HHSN272200800005C	1,009,172
Contract – National Institutes of Health	HHSN272200800005C	93.N01DK75004/HHSN26720	637,929
Contract – National Institutes of Health	HHSN267200700007C	93.HHSN268200417170C/MC	(2,917)
Contract – National Institutes of Health	N01-AI-25456	93.N01AI25456MOD13	2,700,668
Contract – National Institutes of Health	N01DK75004/HHSN26720	93.N01AI50025MOD3/4	35,452
Contract – National Institutes of Health	N01AI50025MOD3/4	93.HHSN271201100375P	49,435
Contract – U.S. Department of Health and Human Services	HHSP233200900491P	93.HHSP233200900491P	(1,887)
Various:			
Passed-through Association of Occupational and Environmental Clinics	IU61TS000118	93.RD	51
Passed-through Augusta Richmond County	HS-2009-12	93.RD	18,272
Passed-through Booz Allen And Hamilton	94558C8S88TASKORDER1	93.RD	3,696
Passed-through CDC Foundation	200-2010-M-35093	93.RD	104,611
Passed-through City of Hope	DHHS-HHS276200900006	93.RD	9,472
Passed-through Cobb County	20-2012	93.RD	65,488
Passed-through Georgia Department of Community Health	2011056	93.RD	55,235
Passed-through Georgia Department Of Public Health	—	93.RD	34,059
Passed-through Georgia Institute of Technology	—	93.RD	1,320,031
Passed-through Global Evaluation Applied Research Solutions	R9934S1/N0001406D004; RB307-S1;	93.RD	(2,854)
Passed-through Human Resources Research Organization	GRS-09-009/08-AA-120	93.RD	74,695
Passed-through Lockheed Martin Corporation	SUB-10-04	93.RD	(2,993)
Passed-through Manila Consulting Group, Inc.	7200004469	93.RD	282,582
Passed-through Medical College of Georgia	CDC 200-2010-37417; 200-2011-M-41989;	93.RD	(441)
Passed-through Minneapolis Medical Research Foundation	2U01DK06386506/22234	93.RD	14,461
Passed-through National Childhood Cancer Foundation	HHSN250201000018C	93.RD	5,993
Passed-through National Jewish Medical and Research Center	18205; SUB NO 021066; ;	93.RD	5,899
Passed-through Network Biosystems	ATOPIC DERMATITIS	93.RD	92,317
Passed-through New England Biolabs	—	93.RD	11,321
Passed-through NorthShore University Health System	1R44GM06723-01A1	93.RD	10,271
Passed-through Ocean Nanotech	EH06-201-S14	93.RD	807
Passed-through Office of the Child Advocate	HHSN2610201000125C	93.RD	(142)
Passed-through Ohio State University	—	93.RD	172,452
Passed-through Research Triangle Institute	RF01214227; RF01221705, MOD2; ;	93.RD	132,409
Passed-through RTI International	—	93.RD	5,779
Passed-through SAIC Frederick	2-312-0212791	93.RD	1,960,157
Passed-through Scimetrika	29XS193MOD6 & 7; 29XS132 ST 04;	93.RD	77,070
Passed-through Scripps Research Institute	29XS132 TO08 MOD2&3; 29XS132ST10	93.RD	71,502
Passed-through Sloan Kettering Institute	PO # 5-23546	93.RD	101,782
Passed-through University of California-Davis	BD514857	93.RD	5,070
Passed-through University of Florida	201016181	93.RD	230,676
Passed-through University of Miami	UF12154	93.RD	21,038
Passed-through University of Pittsburgh	Amendment #1	93.RD	19,124
Passed-through Wake Forest University	0024031-1	93.RD	29,648
	HHNS268200900048C	93.RD	<u>4,929,538</u>
Total U.S. Department of Health and Human Services			<u>358,209,257</u>

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Program title/federal grantor/pass-through entity	Award number	Federal CFDA number or other I.D. number	Federal expenditures
U.S. Agency for International Development:			
USAID Foreign Assistance for Programs Overseas – Direct	114A00070006400; AID-114-A-09-00009	98.001	\$ 697,057
USAID Foreign Assistance for Programs Overseas:			
Passed-through Colorado State University	G-9650-19; G-9650-3	98.001	138,385
Passed-through International Aids Vaccine Initiative	IAVI ATLANTA 2010; F; EMORYVEAO40113; EMORYVEAO40116; EMORYVEAO40115; EMORYVEAO40114; 2012 ZAMBIA FEDERAL; 2012RWANDA(PSF)FED/S;	98.001	2,013,599
Passed-through Millennium Water Alliance	2013 ATLANTA FED/SOW 012-01 EUH	98.001	39,671
			<u>2,888,712</u>
USAID Development Partnerships for University Cooperation and Development			
Passed-through Higher Education For Development	523-A-00-06-00009-00	98.012	135,280
Total U.S. Agency for International Development			<u>3,023,992</u>
Total Research and Development Cluster			<u>382,712,029</u>

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Program title/federal grantor/pass-through entity	Award number	Federal CFDA number or other I.D. number	Federal expenditures
Other programs:			
U.S. Department of Agriculture: Special Supplemental Nutrition Program for Women, Infants, and Children Passed-through Georgia Department Of Public Health Total U.S. Department of Agriculture	40500-041-12110410	10.557	\$ 70,990 <u>70,990</u>
U.S. Department of Defense: Military Medical Research and Development: Passed-through Institute For Neurodegenerative New Haven Passed-through Weill Medical College	PARS 09010049-11081437	12.420 12.420	10,698 <u>6,231</u> 16,929
Contract Total U.S. Department of Defense	1406-04-09-GT-21447; N62645-11-C-4008	12.RD	<u>847,398</u> <u>864,327</u>
National Endowment for the Humanities: Promotion of the Humanities-Division of Preservation and Access Total National Endowments for the Humanities	PW5012008	45.149	<u>59,345</u> <u>59,345</u>
National Science Foundation: Biological Sciences Social, Behavioral, and Economic Sciences Mathematical and Physical Sciences Passed-through Georgia Institute Of Technology Total National Science Foundation	DBI-1061798 BCS0921585 RB011-G8, AMND3	47.074 47.075 47.049	27,562 <u>2,714</u> <u>104,181</u> <u>134,457</u>
U.S. Department of Veterans Affairs: Veterans Medical Care Benefits Contract – Scarce Medical Total U.S. Department of Veterans Affairs	PO508D97189 V247P1895/SURGERY; V247P1879/SURGERY; V247P-2556	64.009 64.V247P2556	(9,771) <u>(9,791)</u> <u>(19,562)</u>
U.S. Department of Education: Improving Teacher Quality State Grants: Passed-through University of Georgia Total U.S. Department of Education	RH216-293	84.367	<u>(634)</u> <u>(634)</u>
U.S. Institute of Peace: Contract Total U.S. Institute of Peace	IOP-10-150	91.XX1	<u>3,525</u> <u>3,525</u>
U.S. Department of Health and Human Services: Special Programs for the Aging Title IV and Title II Discretionary Projects Passed-through Atlanta Regional Commission Innovations in Applied Public Health Research: Passed-through Public Health Informatics Institute Global AIDS Chronic Diseases: Research, Control, and Prevention Passed-through Hemophilia of Georgia Food and Drug Administration-Research- Direct Food and Drug Administration-Research Passed-through Georgia Institute of Technology Area Health Education Centers Point of Service Maintenance and Enhancement Awards Maternal and Child Health Federal Consolidated Programs – Direct Maternal and Child Health Federal Consolidated Programs: Passed-through Genetic Alliance Passed-through Hemophilia Of Georgia	AG1230 GRANT 1406 5U2GPS001904-04; 3U2GPS001839-03S1 MCHB#6H30MC000112102; CDC#5U01DD00020104 5R01FD003440-03;1R01FD003517-01REV RC223-G1 — 5 U22MC10979-04-00;6 H46MC24090-01-01 — 1 H30MC24046-01-00	93.048 93.061 93.067 93.068 93.103 93.103 93.107 93.110 93.110 93.110	4,177 <u>(31,543)</u> 1,234,347 12,087 9,796 <u>103,052</u> <u>112,848</u> <u>(709)</u> 864,976 14,000 <u>7,826</u> <u>886,802</u>
Centers for Research and Demonstration for Health Promotion and Disease Prevention Disabilities Prevention Passed-through Hemophilia Of Georgia Research and Training in Complementary and Alternative Medicine – Direct Research and Training in Complementary and Alternative Medicine Passed-through Massachusetts General Hospital Passed-through Mount Sinai Medical Center Research on Healthcare Costs, Quality, and Outcomes Mental Health Research Grants: Passed-through Massachusetts General Hospital Passed-through Palo Alto Institute For Research And Education Substance Abuse and Mental Health Services-Projects of Regional and National Significance – Direct Substance Abuse and Mental Health Services-Projects of Regional and National Significance: Passed-through Dekalb County Passed-through Grady Memorial Hospital Passed-through Oklahoma Department Of Mental Health & Substance Complex Humanitarian Emergency and War-Related Injury Public Health Activities Alcohol Research Programs: Passed-through San Diego State University Foundation Drug Abuse and Addiction Research Programs Passed-through Medical University Of South Carolina	727976 1U27DD000862-01 5R21AT004208-03 — — 5U18HS01588202 203773 C1001-04AMENDMENT1 5U79SM057701-05 11-902172 GA BASICS PO4529041613 — 53311GP16507802211-5 MUSC11-020	93.135 93.184 93.213 93.213 93.213 93.226 93.242 93.242 93.243 93.243 93.243 93.269 93.273 93.279	28,949 30,819 159,167 <u>5,811</u> <u>(13)</u> <u>164,965</u> 13,095 <u>15,683</u> <u>165,086</u> <u>180,769</u> 85,819 <u>1,093</u> 65,789 <u>13,123</u> <u>165,824</u> <u>71,232</u> 91,400 <u>255,986</u>

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Program title/federal grantor/pass-through entity	Award number	Federal CFDA number or other I.D. number	Federal expenditures
Centers for Disease Control and Prevention Investigations and Technical Assistance:			
Passed-through Associations of American Medical Colleges	5	93.283	\$ 5,594
Passed-through Georgia Department of Community Health	41900-036-11100293	93.283	154,852
Passed-through UCLA Medical Center	11-03	93.283	8,928
Passed-through State of Maine	CDC-12-1333	93.283	8,694
Passed-through Tennessee Department of Health	34352-85912	93.283	39,057
			217,125
Discovery and Applied Research for Technological Innovations to Improve Human Health			
Passed-through Georgia Institute of Technology	RB224-G2; RB776-G2	93.286	10,329
Minority Health and Health Disparities Research			
Passed-through New England Research Institutes	—	93.307	24,914
National Center for Advancing Translational Sciences	2UL1TR000454-06REVIS	93.350	251,712
Sickle Cell Treatment Demonstration Program:			
Passed-through Frontier Science & Technology Research Foundation	—	93.365	(7,599)
Cancer Cause and Prevention Research			
Passed-through City of Hope	22390-914991-6695	93.393	28,328
Passed-through H Lee Moffitt Cancer Center And Research Institute	—	93.393	2,811
			31,139
Cancer Detection and Diagnosis Research			
Passed-through Alton Bioscience Corporation	2R44CA097550-05A1	93.394	14,960
Passed-through Childrens Hospital of Boston	HHSN268200536179C	93.394	10,436
			25,396
Cancer Treatment Research – Direct	5R01CA120272-05	93.395	(697)
Cancer Treatment Research:			
Passed-through American College of Radiology	2R44CA097550-05A1; HHSN268200536179C; 2012 RTOG Group Chai	93.395	388,235
Passed-through Duke University	CALGB140503/U10CA760	93.395	18,141
Passed-through Eastern Coop Oncology Group	PSAWCIEM00	93.395	2,129
Passed-through Emmes Corporation	AMC-053/2U01CA121947	93.395	5,725
Passed-through Frontier Science And Technology Research Foundation	PSAWCIEM00; ECOG MASTER AGREEMEN; THCO37SR-01	—	43,800
Passed-through Georgia Center For Oncology Research And Education	—	93.395	(4,709)
Passed-through Johns Hopkins University	ABYC9606	93.395	3,261
Passed-through Mount Sinai School of Medicine	SP01CA108671-03; SP01CA108671-04	93.395	1,783
Passed-through National Childhood Cancer Foundation	020991; 021350;	93.395	43,747
Passed-through Northwestern University	60028476 EM	93.395	5,737
Passed-through St Jude's Research Hospital	111335040-7481895	93.395	60,361
			567,513
Cancer Centers Support Grants – Direct	5P50CA128613-05REVIS	93.397	75,391
Cancer Centers Support Grants:			
Passed-through Vanderbilt University	VUMC 37125	93.397	41,289
			116,680
Cancer Control:			
Passed-through American College of Radiology	ACRIN 6654/CA80098	93.399	63,176
Passed-through Fox Chase Cancer Center	15032-01/R01CA127488	93.399	(27,062)
Passed-through SAIC-Frederick	28XS100	93.399	(2,776)
Passed-through University Of Medicine And Dentistry Of New Jersey	1453-2 – AMD 2	93.399	119,345
			152,683
Community Transformation Grants and National Dissemination and Support for Community Transformation Grants			
Passed-through Educational Service District 112	7002200049	93.531	17,379
Refugee and Entrant Assistance-Wilson/Fish Program:			
Passed-through University of Michigan	3000770490-ALIAS	93.583	4,559
Children's Justice Grants to States:			
Passed-through Georgia Department of Human Resources	42700-040-0000010487	93.643	50,000
Adoption Opportunities	—	93.652	24,963
ARRA – Trans-NIH Recovery Act Research Support – Direct	3U01AI069418-03S1	93.701	603,221
ARRA – Trans-NIH Recovery Act Research Support			
Passed-through Duke University	CARRANET_REGISTRY519	93.701	10,253
Passed-through Emmes Corporation	VRC702	93.701	17,900
Passed-through National Bureau of Economic Research	ARRA-33-6706-23	93.701	1,490
Passed-through University of California-Los Angeles	1580 GNC 831	93.701	(736)
Passed-through University of California-San Diego	32-ADNI-GO #R1	93.701	(8,830)
Passed-through University of Pittsburgh	3001413083-PNT	93.701	1,090
Passed-through University of South Carolina	—	93.701	10,580
			634,968
ARRA – Comparative Effectiveness Research			
Passed-through American College of Radiology	—	93.715	12,046
Passed-through University of California – San Francisco	6377se amend1	93.715	73,717
			85,763
ARRA – Preventing Healthcare-Associated Infections			
Passed-through Atlanta Research and Education Foundation	GA EIP ARRA HAI	93.717	38,540
Cardiovascular Diseases Research – Direct	N01WH32111MOD30;5U10HL109781-02	93.837	58,124
Cardiovascular Diseases Research:			
Passed-through Duke University	RED ROSE-AHF; ROSE-AHF;	93.837	49,771
Passed-through Mount Sinai Medical Center	0255-3102-4605	93.837	131,085
Passed-through New England Research Institutes	U01HL68270	93.837	355
Passed-through Northwestern University	620534600060022475EU	93.837	3,780
Passed-through Social And Scientific Systems	CRB-UWAS1-11-00022; CRB-APHRM-S-09-00281	93.837	1,218
Passed-through University of Florida	UF11184; UF12056; UF12001;	93.837	147,633
Passed-through University of Michigan	U01HL094345	93.837	35,673
Passed-through Wake Forest University	217000-14142	93.837	57,463
Passed-through Yale University	5R01HL08022804/A0591	93.837	4,437
			489,539

**EMORY UNIVERSITY**  
Schedule of Expenditures of Federal Awards  
Year ended August 31, 2012

Program title/federal grantor/pass-through entity	Award number	Federal CFDA number or other I.D. number	Federal expenditures
Blood Diseases and Resources Research – Direct	U01HL072248-10	93.839	\$ 192,168
Blood Diseases and Resources Research:			
Passed-through Baylor College of Medicine	5600706239	93.839	22,917
Passed-through National Marrow Donor Program	1U01HL49294	93.839	17,812
Passed-through University of Alabama Birmingham	000308405-003	93.839	8,331
			<u>241,228</u>
Arthritis, Musculoskeletal, and Skin Diseases Research:			
Passed-through Cincinnati Childrens Hospital	105514 M2; 107387; 106355	93.846	47,868
Passed-through University of Michigan	3001506072	93.846	567
Passed-through University of North Carolina	5-30786/SU01AR052181	93.846	(8,809)
			<u>39,626</u>
Diabetes, Digestive, and Kidney Diseases Extramural Research:			
Passed-through Connecticut Childrens Medical Center	11-179264-01; 1U01DK095745	93.847	6,293
Passed-through Emmes Corporation	—	93.847	792
Passed-through George Washington University	U01DK061230-09	93.847	11,369
Passed-through JAEB Center for Health Research	Protocol Q-EY14231; Protocol P; DRCCR; PROTOCOL N/U10	93.847	30,032
Passed-through University of California – San Francisco	105871	93.847	235,526
Passed-through University of Michigan	3001819808	93.847	5,239
Passed-through University of Pittsburgh	0019927 119913-08	93.847	31,277
Passed-through Virginia Commonwealth University	PT103996-SC104345	93.847	53
			<u>320,581</u>
Kidney Diseases, Urology and Hematology Research			
Passed-through Childrens Mercy Hospital	060003/AMENDMENTS5	93.849	17,489
Extramural Research Programs in the Neurosciences and Neurological Disorders – Direct	SR01NS042599-07;SR01NS071867-02	93.853	463,774
Extramural Research Programs in the Neurosciences and Neurological Disorders:			
Passed-through Cornell University	SITE32-1/SU01NS50324	93.853	19,901
Passed-through John Hopkins University	NIHR01 NS060118-01A1	93.853	30,907
Passed-through Massachusetts General Hospital	SU01NS04964005/ALS S; SU01NS05259203;	93.853	42,047
Passed-through Medical College Of Wisconsin	SUBAWARD NO. 1	93.853	16,319
Passed-through Medical University Of South Carolina	MUSC08041; MUSC08094/1U01NS0587;	93.853	149,091
Passed-through University of Medicine And Dentistry Of New Jersey	99705/5R01NS3838408	93.853	(2,861)
Passed-through University of Cincinnati	NIH5U01NS069763	93.853	72,058
Passed-through University of Southern Carolina	H50438/449894	93.853	417,609
Passed-through University of Texas Health Sciences Center	AGREEMENT12615538	93.853	6,303
Passed-through Washington University	—	93.853	(5,538)
			<u>1,209,610</u>
Allergy, Immunology, and Transplantation Research – Direct	SUM1AI069418-06REVIS	93.855	1,318,848
Allergy, Immunology, and Transplantation Research:			
Passed-through Brigham And Womens Hospital	108085	93.855	2,168
Passed-through Duke University	SU19A1056363-09	93.855	6,600
Passed-through Fred Hutchinson Cancer Research Center	0000654415/5U01AI0668;0000694545/AMND1;	93.855	1,179,679
Passed-through Social And Scientific Systems	0000721027;0000716607;0000716622;0000745208;	93.855	12,000
Passed-through University of Alberta	0000747739;SUM1AA1068614-07	93.855	(152,051)
Passed-through University of Alberta	11-000301-001330	93.855	55,761
Passed-through University of Alberta	1U01AI06519101	93.855	27,807
Passed-through University of California – San Francisco	U01AI052748-08 REV	93.855	2,450,812
Passed-through University of Wisconsin	3548 / 173K375	93.855	40,017
			<u>6,456</u>
			<u>46,473</u>
Child Health and Human Development Extramural Research			
Passed-through Case Western Reserve University	RES506273	93.865	40,017
Passed-through University of Utah	2408022-06A	93.865	6,456
			<u>46,473</u>
Aging Research:			
Passed-through National Bureau Of Economic Research	33-4121	93.866	69,356
Passed-through University of California-San Diego	32DHAADC027/U01AG104;32ADNIPBADC029/U10A;	93.866	219,058
Passed-through University of Louisville	TPA32VN;09081001;ADNI-2;PO10323547;	93.866	18,209
Passed-through University of Pennsylvania	051523Z02B	93.866	362
	555786 AMENDT #3	93.866	<u>306,985</u>
Vision Research – Direct	IU10EY01327201A2;SU1EY013272-09	93.867	716,375
Vision Research:			
Passed-through JAEB Center for Health Research	EY12358; CO2;	93.867	30,834
Passed-through Johns Hopkins University	2000594943; 2000011277;	93.867	375,537
Passed-through St Lukes Roosevelt Institute for Health	IIHTT	93.867	26,586
Passed-through University of Pennsylvania	SU10EY01782302	93.867	12,566
			<u>1,161,898</u>
HIV Emergency Relief Project Grants:			
Passed-through Fulton County	PO11811SC79205BTR1-1	93.914	859,238
Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease			
Passed-through Health Resources and Services Administration	5H76HA07848-05-00	93.918	(41,061)
HIV Prevention Activities – Health Department Based			
Passed-through Grady Memorial Hospital Corporation	S1004/PH201151G	93.940	144,358
Epidemiologic Research Studies of Acquired Immunodeficiency Syndrome (AIDS) and Human Immunodeficiency Virus (HIV) Infection in Selected Population Groups			
Passed-through American Association of Blood Banks	U62/CCU324043-04	93.943	3,669
Cooperative Agreements for State-Based Diabetes Control Programs and Evaluation of Surveillance Systems	200200722647	93.988	93,946
International Research and Research Training:			
Passed-through Vanderbilt University	VUMC34891	93.989	(988)

**EMORY UNIVERSITY**  
Schedule of Expenditures of Federal Awards  
Year ended August 31, 2012

Program title/federal grantor/pass-through entity	Award number	Federal CFDA number or other I.D. number	Federal expenditures
Maternal and Child Health Services Block Grant to the States:			
Passed-through Georgia Department of Human Resources	40500-039-12110288; 427930905049204;	93.994	\$ 454,883
Contract – Center for Disease Control	200200302949	93.200200302949	(5,665)
Contract – Center for Disease Control	200200010064/MOD0002	93.200200010064/MOD0002	(4,440)
Contract – Center for Disease Control	0000HCPK-2012-43778	93.0000HCPK-2012-43778	386,086
Contract – Center for Disease Control	200-2008-24753/0002	93.200-2008-24753/0002	924,545
Contract – Center for Disease Control	200-2007-19630/0004	93.200-2007-19630/0004	242,863
Contract – Center for Disease Control	200-2009-M-32296	93.200-2009-M-32296	(250)
Contract – Center for Disease Control	200-2010-M-36704	93.200-2010-M-36704	7,283
Contract – Center for Disease Control	200-2010-M-37574	93.200-2010-M-37574	2,959
Contract – Center for Disease Control	200-2011-M-41329	93.200-2011-M-41329	11,791
Contract – Center for Disease Control	200-2012-51332	93.200-2012-51332	15,324
Contract – Health Resources and Services Administration	HHS258201100010C	93.HHS258201100010C	34,006
Contract – National Institutes of Health	1682879	93.HHSN272200800005C	1,694,383
Contract – National Institutes of Health	HHSN272200800005C	93.1682879	1,428
Various:			
Passed-through ABT Associates	Pof# 26821, MOD 4; 29901;	93.XX1	546,046
Passed-through Altarum Institute	GS-10F-0261K/200-201	93.XX2	234,707
Passed-through Association of Occupational And Environmental Clinics	1U6ITSO00118	93.XX3	51,779
Passed-through Association of State Territorial Health Officials	16012-3	93.XX4	229,853
Passed-through Emmes Corporation	AREDSII MOD#3; HHSN2722010000491;	93.XX5	284,357
Passed-through Feinstein Institute For Medical Research	EMO 01 Amendment III	93.XX6	93,940
Passed-through Friends Congressional Glaucoma Caucus Foundation	SSSPGRANT33/H75CCH22	93.XX7	330
Passed-through Fulton County	PO 118 12SC84546B-TR	93.XX8	106,730
Passed-through Geneva Foundation	V-1218-03	93.XX9	52,061
Passed-through Georgia Department of Community Health	40500-039-13110288	93.XX10	110,741
Passed-through Georgia Department of Public Health	PH2011118G	93.XX11	75,703
Passed-through H Lee Moffitt Cancer Center And Research Institute	101439801EMORY152601; 10143989901EMORY1540 10143989901EMORY1543; HHSN261200622008C/10; HHSN261200622008C; 10-14398-99-01-EMORY; 20-24398-99-01-EMORY	93.XX12	50,503
Passed-through Johns Hopkins University	ABTC0904	93.XX13	53,936
Passed-through Morehouse School Of Medicine	44100-026-0000010746	93.XX14	36,655
Passed-through Oak Ridge Institute for Science and Education	-	93.XX15	(1,983)
Passed-through Ordway Research Institute	BAA-NIAID-DMID-NIHAI	93.XX16	1,488
Passed-through RTI International	10-312-0212305	93.XX17	23,446
Passed-through Scimetrika	200-2008-23703-0003	93.XX18	5,569
Passed-through Sidem	00HCUCLB-2011-00138	93.XX19	30,540
Passed-through St Louis University	MODIFICATION2/N01AI4	93.XX20	(3,325)
Passed-through TKC Global Solutions	-	93.XX21	20,445
Passed-through University of Alabama Birmingham	N01AI30025	93.XX22	383
Passed-through University of California- San Francisco	556XXX-26226; N01-AI-15416;	93.XX23	945,501
Passed-through University of Florida	UF12154	93.XX24	15,984
Passed-through University of Pittsburgh	0024031-1	93.XX25	2,253
Passed-through University of South Florida	-	93.XX26	48,999
Passed-through University of Texas Southwestern	GMO601018/N01HB07159	93.XX27	26,234
Passed-through Washington University	WU-11-159-MOD-3; WU-12-173/2917552T;	93.XX28	187,337
Passed-through Yale New Haven Health System	-	93.XX29	38,537
			3,268,749
Total U.S. Department of Health and Human Services			19,844,462
U.S. Corporation for National and Community Service			
AmeriCorps			
Passed-through to Jumpstart	290200	94.006	101,383
Total U.S. Corporation for National and Community Service			101,383
U.S. Agency for International Development:			
USAID Foreign Assistance for Programs Overseas:			
Passed-through Higher Education for Development	AEG-A-00-05-00007-00	98.001	(274)
Total U.S. Agency for International Development			(274)
Total Other Programs			21,058,019
Total Expenditures of Federal Awards			\$ 533,890,490

See accompanying notes to schedule of expenditures of Federal awards and schedule of cash receipts and expenditures of State of Georgia awards.

See accompanying independent auditors' report.

**SCHEDULE OF CASH RECEIPTS AND EXPENDITURES OF  
STATE OF GEORGIA AWARDS**

**EMORY UNIVERSITY**

Schedule of Cash Receipts and Expenditures of State of Georgia Awards

Year ended August 31, 2012

State of Georgia contract number	State of Georgia Agency	Program title	Cash receipts	Expenditures
FY11413087	GCA	GOS Continuation Grant	\$ 25,297	—
41900-036-10100072	GA DCH	The Georgia Lupus Registry	387,183	242,706
41900-025-0000027226	GA DCH	State of Georgia Department of Human Resources Tuberculosis	—	(1,068)
41900-036-10100293	GA DCH	Georgia Coverdell Acute Stroke Registry	122,320	154,852
PH201006G	GA DCH	HIV Reporting Education and Outreach Project	50,474	—
4190004611100211	GA DCH	GA Department of Community Health Tuberculosis Medical Consultation	143,780	85,187
4190003611110270	GA DCH	Operation of Statewide GA Comprehensive Cancer Registry	591,037	780,459
4190004611100210	GA DCH	GA Department of Community Health TB Medical Services	68,921	90,307
4190003911110288	GA DCH	Follow-Up of Newborns with Screen Positive Results for METAB	1,055,714	948,574
4190003911110262	GA DCH	DCH Contract for Emory Cystic Fibrosis Medical Care for Children	43,010	70,392
2011056	GA DCH	Evaluation of the Planning for Healthy Babies	122,683	140,140
427930905049204	GA DHR	Follow-Up of Newborns with Screen Positive Results for METAB	—	(461)
427930905011104	GA DHR	Budget Renewal Georgia Comprehensive Cancer Registry	—	(745)
427930905084504AMEND	GA DHR	Behavioral Surveillance in the Atlanta Metro Area	—	(5,799)
427930808142299	GA DHR	Gonococcal Isolate Surveillance Project	—	(310)
4190004111110410	GA DHR	Medical Foods for WIC Participants with Positive Inborn Erro	30,452	—
427930805143603/AMND	GA DHR	Forensic Psychiatry Resident Rotation	59,288	38,141
200200719630	GA DHR	Fetal Alcohol and Drug Screening Project: Material Substance	301,730	282,883
42700040000005834	GA DHR	CBCT To Enhance Health and Well-Being in Adolescents in Foster Care in Atlanta	140,958	13,961
42700040000007487	GA DHR	CBCT To Enhance Health and Well-Being in Adolescents in Foster Care in Atlanta	175,000	53,832
42700373000006049	GA DHR	Mental Health First Aid Training	—	11,018
42700040000009916	GA DHR	Summer Child Advocacy Program	120,000	119,488
427930909123099	GA DHHS	Training for Community Care Service Providers	—	500
427930909123099AMEND	GA DHHS	Summer Child Advocacy Program	—	50,852
46900621V12EMO031	GA DECAL	Georgia Bright from the Start	7,525	15,477
4050004312120474	GA DPH	Georgia Family Health Evaluation Support	22,530	20,535
PH2011118G	GA DPH	Emory Neonatal Intensive Care Unit Evaluation	35,938	75,703
4050004113110410	GA DPH	Medical Foods for WIC Participants with Positive Inborn Errors for METAB	62,833	70,990
4050003213120764	GA DPH	CRC Program Evaluation	69,999	34,059
			<u>\$ 3,636,671</u>	<u>3,291,671</u>

See accompanying notes to schedule of expenditures of Federal awards and schedule of cash receipts and expenditures of State of Georgia awards.

See accompanying independent auditors' report.

**EMORY UNIVERSITY**

Notes to Schedule of Expenditures of Federal Awards and  
Schedule of Cash Receipts and Expenditures of State of Georgia Awards

August 31, 2012

**(1) Summary of Significant Accounting Policies**

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

The accompanying schedule of cash receipts and expenditures of State of Georgia awards includes expenditures incurred by the University and grant revenues received from State of Georgia agencies under various state contracts. Expenditures in the accompanying schedule of cash receipts and expenditures of State of Georgia Awards are recorded as incurred and cash receipts are recorded as amounts are received by the University.

Negative balances represent programs with unfunded expenditures prior to normal closeout procedures, which were subsequently transferred to unrestricted cost centers.

**(2) Pass-Through Funding**

The University passes through certain federal awards to subrecipient organizations. Such subrecipients are responsible for compliance with the applicable provisions of the grants and contracts governing the underlying federal awards. Federal awards passed through to subrecipients by the University during 2012 are as follows:

<u>Federal program</u>	<u>Number</u>	<u>Amount</u>
Research and Development Cluster	Various	\$ 58,226,523

**(3) Noncash Federal Assistance**

Most federal financial assistance is in the form of cash awards. However, there are a number of federal programs that do not involve cash transactions with the University. These noncash transactions in which the University obtains other assistance are the Federal Direct Student Loan Program (FDSLPL) and revolving loan programs such as the Federal Perkins Loan Program.

**EMORY UNIVERSITY**

Notes to Schedule of Expenditures of Federal Awards and  
Schedule of Cash Receipts and Expenditures of State of Georgia Awards

August 31, 2012

The loans advanced and related expenditures are as follows for the various student loan programs:

	<b>CFDA number</b>	<b>Amount</b>
Federal Direct Student Loan Program:		
Student loans advanced:	84.268	
Subsidized Stafford Loan Program		\$ 35,740,570
Unsubsidized Stafford Loan Program		50,435,720
Federal PLUS Loan Program		31,241,604
		\$ 117,417,894
Federal Perkins Loan Program	84.038	\$ 1,949,307
Health Professionals Student Loan Program	93.342	\$ 3,305

The Federal Perkins Loan Program is administered directly by the University and balances and transactions relating to this program are included in the University's consolidated financial statements. Federal Perkins loans outstanding at August 31, 2012 totaled approximately \$14,190,000.

The University is responsible for the performance of certain administrative duties with respect to the FDSLPL loan program. It is not practicable to determine the balance of loans outstanding to students and former students of the University under this program as of August 31, 2012. These loans are not included in the University's consolidated financial statements.

**(4) Matching**

Under the Federal Supplemental Educational Opportunity Grant (FSEOG) program, the University matched \$308,252 in funds awarded to students for the year ended August 31, 2012 in addition to the federal share of expenditures included in the Schedule.

Under the Federal Work Study (FWS) program, the University matched \$693,366 in total compensation to students for the year ended August 31, 2012 in addition to the federal share of expenditures included in the Schedule.

**OMB CIRCULAR A-133 REPORTS**



**KPMG LLP**  
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Atlanta, GA 30308-3210

**Report on Internal Control over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance with *Government Auditing Standards***

The Board of Trustees  
Emory University:

We have audited the consolidated financial statements of Emory University (the University) as of and for the year ended August 31, 2012, and have issued our report thereon dated January 15, 2013. 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.

**Internal Control over Financial Reporting**

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

A deficiency in internal control over financial reporting 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 over financial reporting, 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.

**Compliance and Other Matters**

As part of obtaining reasonable assurance about whether the University'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 University in a separate letter dated January 15, 2013.

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

KPMG LLP

January 15, 2013



**KPMG LLP**  
Suite 2000  
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**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**

The Board of Trustees  
Emory University:

**Compliance**

We have audited Emory University's (the University) compliance with the types of compliance requirements described in the U.S. Office of Management and Budget (OMB) *Circular A-133 Compliance Supplement* (Compliance Supplement) that could have a direct and material effect on each of the University's major federal programs for the year ended August 31, 2012, except the requirements discussed in the second paragraph of this report. The University's major federal programs are 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 each of its major federal programs is the responsibility of the University's management. Our responsibility is to express an opinion on the University's compliance based on our audit.

We did not audit the University's compliance with the requirements governing maintaining contact with borrowers and billing and collection procedures and processing deferment and cancellation requests and payments in accordance with the requirements of the Student Financial Assistance Cluster: Federal Perkins Loan program as described in the Compliance Supplement. Those requirements govern functions performed by Educational Computer Systems, Inc. (ECSI). Since we did not apply auditing procedures to satisfy ourselves as to compliance with those requirements, the scope of work was not sufficient to enable us to express, and we do not express, an opinion on compliance with those requirements. ECSI's compliance with the requirements governing the functions that it performs for the University for the year ended August 31, 2012 was examined by other accountants in accordance with the U.S. Department of Education's Audit Guide, *Audits of Federal Student Financial Assistance Programs at Participating Institutions and Institution Servicers*. Our report does not include the results of the other accountants' examination of ECSI's compliance with such requirements.

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



In our opinion the University complied, in all material respects, with the compliance requirements referred to in the first paragraph above that could have a direct and material effect on each of its major federal programs for the year ended August 31, 2012. However, the results of our auditing procedures disclosed certain 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 item 2012-1.

### **Internal Control over Compliance**

Management of the University is responsible for establishing and maintaining effective internal control over compliance with the requirements of laws, regulations, contracts, and grants applicable to federal programs. In planning and performing our audit, we considered the University's internal control over compliance with the requirements that could have a direct and material effect on a major federal program 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 University's internal control over compliance.

Requirements governing maintaining contact with borrowers and billing and collection procedures and processing deferment and cancellation requests and payments in the Student Financial Assistance Cluster: Federal Perkins Loan program as described in the Compliance Supplement are performed by ECSI. Internal control over compliance related to such functions for the year ended August 31, 2012 was reported on by other accountants in accordance with the U.S. Department of Education's Audit Guide, *Audits of Federal Student Financial Assistance Programs at Participating Institutions and Institution Servicers*. Our report does not include the results of the other accountant's testing of ECSI's internal control over compliance related to such functions.

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 of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be 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. However, we identified a deficiency in internal control over compliance that we consider to be a significant deficiency as described in the accompanying schedule of findings and questioned costs as item 2012-1. A significant deficiency in internal control over compliance is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.



### **Schedule of Expenditures of Federal and State of Georgia Awards**

We have audited the consolidated financial statements of the University as of and for the year ended June 30, 2012, and have issued our report thereon dated January 15, 2013 which contained an unqualified opinion on those consolidated financial statements. Our audit was conducted for the purpose of forming an opinion on the consolidated financial statements as a whole. We have not performed any procedures with respect to the audited financial statements subsequent to January 15, 2013. The accompanying schedules of expenditures of federal and State of Georgia awards is presented for purposes of additional analysis as required by OMB Circular A-133 and is not a required part of the consolidated financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the consolidated 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 schedules of expenditures of federal and State of Georgia awards are fairly stated in all material respects in relation to the consolidated financial statements as a whole.

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

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

**KPMG LLP**

April 26, 2013

**EMORY UNIVERSITY**

Schedule of Findings and Questioned Costs

August 31, 2012

**(1) Summary of Auditors' Results**

- (a) The type of report issued on the financial statements: **Unqualified opinion**
- (b) Significant deficiencies in internal control were disclosed by the audit of the Financial Statements: None reported Material weaknesses: **No**
- (c) Noncompliance which is material to the financial statements: **No**
- (d) Significant deficiencies in internal control over major programs: See Finding 2012-1 Material weaknesses: **No**
- (e) The type of report issued on compliance for major programs: Unqualified Opinion
- (f) Any audit findings which are required to be reported under Section 0.510(a) of OMB Circular A-133: **See Finding 2012-1**
- (g) Major programs: Student Financial Assistance Cluster (various CFDA numbers); Research and Development Cluster (various CFDA numbers)
- (h) Dollar threshold used to distinguish between Type A and Type B programs: **\$3,000,000**
- (i) Auditee qualified as a low-risk auditee under Section 0.530 of OMB Circular A-133: **Yes**

**(2) Findings Relating to the Financial Statements Reported in Accordance with *Government Auditing Standards***

There were no such findings relating to the consolidated financial statements for the year ended August 31, 2012.

**EMORY UNIVERSITY**

Schedule of Findings and Questioned Costs

August 31, 2012

**(3) Findings and Questioned Costs Relating to Federal Awards**

**Finding 2012-1**

***Reporting – Financial Status Reports***

Federal Agency:	U.S. Department of Health and Human Services U.S. Department of Agriculture U.S. Department of Defense U.S. Department of State National Aeronautics and Space Administration National Endowment for the Humanities National Science Foundation U.S. Department of Veteran Affairs U.S. Environmental Protection Agency U.S. Environmental Energy U.S. Environmental Education U.S. Agency for International Development
Federal Program:	Research and Development Cluster
CFDA No.	See Appendix A
Award Year:	See Appendix A

***Criteria***

Per Circular A-110, Section 52, the Federal awarding agency shall determine the frequency of the Financial Status Report for each project or program, considering the size and complexity of the particular project or program. Each project is assigned a reporting due date for which financial status reports, forms 269s and 272s, must be filed.

***Condition***

During our test work over the Research and Development Cluster, we selected a sample of 40 financial status reports and noted that 20 of the reports had not been submitted within the required time frame as stipulated in the grant agreement.

***Cause***

The University experienced delays and backlogs in its process to ensure that all grant reports are submitted on a timely basis due to a new system implementation. The reporting exception appears to be systemic in nature.

***Questioned Cost***

None.

## EMORY UNIVERSITY

### Schedule of Findings and Questioned Costs

August 31, 2012

#### *Effect*

Noncompliance could result in a lack of timely reporting in accordance with the terms of the grant agreements.

#### *Recommendation*

We recommend that the University strengthen its processes and controls in place to help ensure that all financial status reports are submitted in a timely manner in accordance with the grant agreement.

#### *Views of Responsible Officials*

Emory implemented the PeopleSoft Financial Management System (including the grants module) in September 2009. Following the implementation, there was a period of time where staff needed to learn the new, more complex system. In addition, staffing levels were not adequate due to the increased time required for handling tasks in the new system. During this period, new management reports were developed to assist staff in managing sponsored projects. Since implementation, a large number of reports have been developed and the system has been enhanced to assist us in managing our awards. While all of this was occurring, there were delays with some financial reporting.

Over the past year, we have made significant progress in our ability to track reports by due date and completion, as well as addressing delinquent reports. We have developed metric reports that provide tracking of all financial reports. Additional resources have been obtained to ensure that all of our financial reports are up to date. An additional Associate Director was added in the post award area to assist in the management of this area. We are also developing electronic templates that will be generated after an award ends to standardize and simplify the process of finalizing expenditures and closing the award. These metric reports will allow Emory to actively track and measure different activities regarding sponsored awards in an automated way. Financial reporting on our sponsored projects is a critical area to Emory. We are fully committed to ensuring that this area is managed without delinquencies.

## EMORY UNIVERSITY

## Schedule of Award Periods for Programs

Related to Finding 2012-1

Year ended August 31, 2012

<u>CFDA Number</u>	<u>Award Number</u>	<u>Award beginning date</u>	<u>Award ending date</u>	<u>CFDA Number</u>	<u>Award Number</u>	<u>Award beginning date</u>	<u>Award ending date</u>
10.206	20075521517924	May 1, 2007	October 31, 2011	12.800	FA-9550-10-1-0304	July 1, 2010	June 30, 2013
10.255	317K785	July 1, 2011	December 31, 2012	12.800	FA9550-12-1-0233	May 1, 2012	April 30, 2015
10.303	CR19554428240MOD3	September 15, 2005	December 14, 2009	12.800	FA9550-12-1-0084	March 15, 2012	March 14, 2015
10.310	2010-85212-20608	July 1, 2010	June 30, 2014	12.800	FA9550-12-1-0240	May 1, 2012	April 30, 2015
10.310	2011-6701330131	March 1, 2011	February 28, 2014	12.800	R0668-G1-Amd6	March 1, 2009	November 30, 2013
10.310	2011-67013-30090	February 1, 2011	January 31, 2014	12.901	H98230-10-1-0251	July 27, 2010	July 27, 2013
10.310	2011-67012-30762	August 15, 2011	August 14, 2013	12.901	H98230-11-1-0178	April 11, 2011	April 20, 2013
10.310	12.7814.C	September 1, 2009	August 31, 2013	12.901	H98230-11-1-0220	April 29, 2011	April 28, 2012
10.310	2011-0494-12	June 1, 2011	May 31, 2013	12.901	H98230-12-1-0259	April 5, 2012	April 4, 2013
12.000	PO#20628-2000, 28321	April 1, 2006	March 31, 2012	12.910	D11AP00269/AMND 0004	April 11, 2011	April 10, 2014
12.000	SAMUELI-2012-EM	February 23, 2012	September 30, 2012	12.910	00001772	September 11, 2009	September 10, 2011
12.300	N00014-08-1-0106/P00	May 1, 1989	September 30, 2011	12.910	D11AP00289	July 11, 2011	May 10, 2013
12.300	N000140510460MODP000	March 1, 2005	January 31, 2011	12.910	RB220-G4/AMND2	September 8, 2010	July 31, 2013
12.300	N00014-09-1-0912	May 1, 2009	September 30, 2013	12.RD	W81XWH07P0656	July 26, 2007	May 20, 2008
12.300	W81XWH-12-1-0564	September 30, 2012	September 29, 2015	12.RD	W81XWH-11-P-0759	September 1, 2011	August 31, 2013
12.351	HDTRA10910002	October 22, 2008	July 21, 2012	12.RD	W912HQ-08-C-0034	September 1, 2010	December 31, 2011
12.420	W81XWH0810494	August 1, 2008	August 31, 2013	12.RD	09040431	September 27, 2010	September 26, 2014
12.420	W81XWH0910278	June 1, 2009	May 31, 2012	12.RD	D5809-S1	June 20, 2011	October 30, 2011
12.420	W81XWH0610286	February 1, 2006	January 31, 2011	19.010	S-ECAAS-11-CA-033(DT	January 1, 2012	June 30, 2012
12.420	W81XWH0610452	December 1, 2007	April 19, 2011	19.300	825-6	October 1, 2009	September 30, 2011
12.420	W81XWH-10-1-0090	March 15, 2010	March 14, 2013	43.000	1428755	March 9, 2011	December 31, 2013
12.420	W81XWH-0610788T	July 1, 2010	August 31, 2011	43.000	R9867-G2	February 1, 2009	January 31, 2013
12.420	W81XWH-10-1-0605	September 1, 2010	September 14, 2013	43.001	NNX08BA08G	October 1, 2008	September 30, 2013
12.420	W81XWH-10-1-0832	September 30, 2010	October 29, 2013	43.001	NNX11AI53G-S02	May 12, 2011	May 11, 2016
12.420	W81XWH-10-10971	September 27, 2010	October 26, 2013	43.001	NNX11AI07G	May 3, 2011	May 2, 2014
12.420	W81XWH0910125T	October 18, 2010	April 30, 2012	43.001	RR185-437/4941956	February 7, 2012	February 6, 2014
12.420	W81XWH-11-1-0816	September 30, 2011	October 29, 2014	43.002	NNX09AF24G	September 1, 2008	March 18, 2011
12.420	W81XWH-11-1-0710	September 1, 2011	September 30, 2014	43.002	NNX09AT52G	October 1, 2009	September 30, 2013
12.420	W81XWH-12-10138	May 15, 2012	May 14, 2015	43.002	NM0710860/1363692	January 19, 2009	April 30, 2013
12.420	PO700155040/LINE ITE	July 1, 2008	September 30, 2011	43.003	NNX11AC30G	January 1, 2011	December 31, 2015
12.420	PO#17884-2000; 23063	December 15, 2003	December 31, 2010	43.003	NNX12AC30G	December 12, 2011	December 11, 2014
12.420	08BMR105-4BREMNER	September 2, 2008	September 1, 2012	45.149	PW-51254-11	October 1, 2011	March 31, 2013
12.420	PO# 29315-2000 Chen	June 1, 2009	May 31, 2012	45.160	FA-55691-11	August 1, 2011	July 31, 2012
12.420	S1002/W81XWH-09-2-01	September 1, 2009	June 30, 2012	45.161	RQ-50332-08	September 1, 2008	October 31, 2012
12.420	ZAB0002-01	February 1, 2012	August 28, 2013	45.161	RQ-50566-11	September 1, 2011	August 31, 2014
12.431	W81XWH0820170,P2&P3	August 1, 2008	July 31, 2013	45.163	AQ-50300-10	July 1, 2010	January 31, 2013
12.431	W911NF0510200/P00011	May 1, 2005	June 30, 2013	45.163	AQ-50761-12	May 1, 2012	April 30, 2015
12.431	W911NF-11-1-0395	September 29, 2011	June 29, 2012	47.000	-	February 1, 2009	January 31, 2010
12.431	W911NF-11-1-0477	October 1, 2011	March 31, 2014	47.041	CBET0730312	September 1, 2007	August 31, 2011
12.431	W911NF-12-1-0136	April 1, 2012	October 31, 2013	47.041	CBET-0853837	September 1, 2009	August 31, 2013
12.800	FA95500910487	July 15, 2009	November 30, 2011	47.041	EFRI-1137229	September 1, 2011	August 31, 2015
12.800	FA9550-07-1-0575	August 15, 2007	February 14, 2013	47.041	ECCS-1218419	August 15, 2011	June 30, 2013
12.800	FA9550-07-1-0572	August 15, 2007	February 14, 2013	47.041	E67A01G1/TASK 013	September 1, 1998	August 31, 2009
12.800	FA 9550-10-1-0359	July 15, 2010	July 14, 2013	47.041	ECC-0824199/R9749-G1	September 1, 2008	August 31, 2012

## EMORY UNIVERSITY

## Schedule of Award Periods for Programs

Related to Finding 2012-1

Year ended August 31, 2012

<u>CFDA Number</u>	<u>Award Number</u>	<u>Award beginning date</u>	<u>Award ending date</u>	<u>CFDA Number</u>	<u>Award Number</u>	<u>Award beginning date</u>	<u>Award ending date</u>
47.041	RB392-G2	September 15, 2010	February 28, 2014	47.049	RB011-G8, AMND 3	October 1, 2010	September 30, 2013
47.049	CHE0404677	June 1, 2004	March 30, 2012	47.050	00006232/OCE0622743	August 1, 2008	September 30, 2013
47.049	DMS0800070	June 1, 2008	May 31, 2013	47.070	IIS-1018321	September 1, 2010	August 31, 2013
47.049	DMR0804174	August 1, 2008	July 31, 2012	47.070	CNS-1117763	September 1, 2011	August 31, 2014
47.049	DMS0811031	July 1, 2008	June 30, 2012	47.070	RB154-G1	February 1, 2012	January 31, 2013
47.049	DMS0810862	August 1, 2008	July 31, 2011	47.074	ISO0745164	August 1, 2008	July 31, 2012
47.049	CHE0847258	March 1, 2009	February 28, 2014	47.074	MCB0817966	July 15, 2008	June 30, 2012
47.049	CHE0848233	April 1, 1992	March 31, 2013	47.074	MCB0806343	September 1, 2007	August 31, 2011
47.049	CHE0911285	July 1, 2009	January 31, 2013	47.074	IOS0616097/AMEND.2	July 1, 2006	July 31, 2009
47.049	CHE0911610	July 1, 2009	June 30, 2013	47.074	MCB0817177/05	August 1, 2008	July 31, 2012
47.049	CHE-0742663	January 1, 2008	December 31, 2010	47.074	MCB0749620	March 1, 2008	February 28, 2011
47.049	CHE0625237	September 1, 2006	August 31, 2011	47.074	IOS-0723805	June 27, 2007	August 31, 2012
47.049	DMR0812204	September 15, 2008	August 31, 2012	47.074	MCB-0951076	March 1, 2010	February 28, 2014
47.049	PHY0748642/AMD004	June 15, 2008	May 31, 2013	47.074	MCB-0953714	January 1, 2010	December 31, 2014
47.049	DMS-0901937	September 1, 2009	August 31, 2012	47.074	DBI-0906041	January 1, 2010	December 31, 2011
47.049	DMR-0907435	January 1, 2010	December 31, 2013	47.074	DEB-1011556	June 1, 2010	May 31, 2012
47.049	CHE-0910707	September 1, 2009	August 31, 2013	47.074	DEB-1019746	September 1, 2010	August 31, 2013
47.049	CHE-0943980/AMD002	September 1, 2009	August 31, 2013	47.074	DEB-1120572	August 1, 2011	July 31, 2014
47.049	CHE - 0956442	August 15, 2010	July 31, 2013	47.074	IOS-1025853/AMD003	August 15, 2010	July 31, 2013
47.049	DMS-1001872	June 1, 2010	May 31, 2013	47.074	IOS-1032735	August 1, 2010	July 31, 2011
47.049	DMS-1007660	August 1, 2010	July 31, 2013	47.074	IOS-1035975	September 1, 2010	August 31, 2013
47.049	CHE-1012620	September 15, 2010	August 31, 2013	47.074	DBI-1061798	July 15, 2011	June 30, 2013
47.049	DMS-1001906	March 15, 2010	April 30, 2012	47.074	EF-1104988	March 1, 2011	February 28, 2014
47.049	CHE-1057350	February 1, 2011	January 31, 2014	47.074	IOS-1146316	March 15, 2012	February 29, 2016
47.049	DMS-1000617	October 1, 2010	September 30, 2013	47.074	MCB-1228284	February 15, 2012	January 31, 2013
47.049	DMS-1068423	March 15, 2011	February 29, 2012	47.074	IOS0818613/550816	August 15, 2008	July 31, 2011
47.049	DMS-1101623	January 15, 2011	December 31, 2011	47.074	DBI0543285	January 1, 2009	June 30, 2010
47.049	DMA-112086	September 1, 2011	August 31, 2014	47.074	3965-EU-NSF-0103	August 1, 2009	July 31, 2012
47.049	DMS-1115692	August 1, 2011	July 31, 2014	47.074	3001382166	January 1, 2010	August 31, 2013
47.049	DMS-1115627	September 15, 2011	August 31, 2014	47.074	557585	August 1, 2011	July 31, 2013
47.049	CHE-1124862	October 1, 2011	September 30, 2014	47.075	BCS-0745573	May 15, 2008	April 30, 2013
47.049	CHE-1145227	February 1, 2012	January 31, 2015	47.075	SES0848235	May 1, 2009	April 30, 2014
47.049	CHE-1150492	May 1, 2012	April 30, 2017	47.075	SES0921023	September 1, 2009	February 28, 2011
47.049	CHE-1151304	July 1, 2012	December 31, 2013	47.075	SES-0961058	June 1, 2010	November 30, 2011
47.049	DMR-1151646	April 1, 2012	March 31, 2017	47.075	BCD-962435	May 1, 2010	April 30, 2012
47.049	DMS 1157289	September 1, 2011	August 31, 2013	47.075	BSC-1023791	September 1, 2010	August 31, 2012
47.049	1208347	September 1, 2011	May 31, 2013	47.075	SES-1023952	August 1, 2010	July 31, 2012
47.049	CHE-1213904	July 15, 2012	June 30, 2015	47.075	SES-1067899	September 15, 2011	August 31, 2013
47.049	DMR-1218414	August 15, 2011	January 31, 2014	47.075	SES-1125539	August 15, 2011	July 31, 2013
47.049	CHE-1205646	September 15, 2012	August 31, 2013	47.075	SES-1127665	August 1, 2011	July 31, 2014
47.049	CHE 1212371	April 1, 2012	March 31, 2014	47.075	BCS-1125756Amendment	September 1, 2011	August 31, 2014
47.049	DMS-1208874	June 1, 2012	May 31, 2015	47.075	BCS0827313/300107122	August 1, 2008	September 30, 2012
47.049	AZC13117BA08	May 1, 2008	April 30, 2010	47.075	R9799G2/SES0832912	January 1, 2009	December 31, 2011
47.049	RB011-G7	October 1, 2010	September 30, 2013	47.075	SES-0951516	September 1, 2011	August 31, 2013
47.076	DUE0815135	March 1, 2009	February 28, 2014	93.061	PAMELA REDMOND	October 1, 2008	September 30, 2009
47.076	DGE0536941	January 1, 2003	February 28, 2013	93.061	-	February 1, 2009	September 30, 2009
47.076	DGE-0940903	August 1, 2002	May 31, 2014	93.067	4669-10-CR-04	April 1, 2010	September 30, 2011

## EMORY UNIVERSITY

## Schedule of Award Periods for Programs

Related to Finding 2012-1

Year ended August 31, 2012

CFDA Number	Award Number	Award beginning date	Award ending date	CFDA Number	Award Number	Award beginning date	Award ending date
47.076	DUE-1068238	August 15, 2011	July 31, 2016	93.068	CDC#5U01DD00020104	September 30, 2008	September 29, 2011
47.076	R5702G3 Amend 10	October 1, 2004	September 30, 2013	93.068	200-2002-00732 AMD1	October 1, 2010	September 30, 2012
47.076	OSP-06-11-215026-002	November 1, 2006	October 31, 2011	93.070	5U01EH000405-03	September 30, 2009	September 29, 2013
47.079	GEB22935TB08	September 1, 2008	November 30, 2011	93.100	5R01GM080337-05	September 1, 2008	April 30, 2012
47.079	GEB12939TB08	June 1, 2009	November 30, 2011	93.100	5R01AI02115024	April 1, 1984	March 31, 2010
47.080	OCI-1124418	September 1, 2011	August 31, 2014	93.103	5R01FD003527-02	April 15, 2009	March 31, 2015
47.082	CHE0848556	May 1, 2005	July 31, 2012	93.103	5R01FD003539-04	September 20, 2008	July 31, 2013
47.082	SES0919536	July 15, 2009	June 30, 2012	93.103	MDA 10068	September 2, 2009	September 1, 2012
47.082	CHE-0958205	January 15, 2010	December 31, 2012	93.110	5T03MC076510201	September 1, 2006	August 31, 2009
47.082	0943362	September 1, 2009	August 31, 2011	93.110	5R40MC11280-03-00	February 1, 2009	January 31, 2013
47.082	A10-0064-S006	April 1, 2012	September 30, 2013	93.110	T03MC07651-06	September 1, 2009	August 31, 2012
64.000	2012 EIP	January 1, 2012	December 31, 2012	93.110	1 R40 MC17180-01-00	February 1, 2010	January 31, 2012
64.RD	V247P1918	May 1, 2003	August 31, 2009	93.110	127899/126675	January 1, 2009	May 31, 2009
64.RD	V247P1470	September 4, 2001	September 30, 2012	93.110	-	May 20, 2009	December 31, 2010
64.RD	2011 EIP - Farley	January 1, 2011	December 31, 2011	93.110	40500-043-12120474	July 22, 2011	March 27, 2012
66.000	EP-12-H-000093	December 15, 2011	March 31, 2013	93.113	5T32ES012160-07	July 1, 2006	June 30, 2013
66.509	RD-83425001	July 1, 2009	June 30, 2013	93.113	5P01ES016731-05	September 15, 2008	June 30, 2013
66.509	RD-83479901-2	January 1, 2011	December 31, 2015	93.113	5R01ES009047-14	January 1, 2009	November 30, 2013
66.509	R9979-G1	November 1, 2009	November 30, 2013	93.113	5R21ES015465-02	May 13, 2009	April 30, 2012
66.511	CR834073010	October 15, 2008	August 31, 2011	93.113	5T32ES012870-09	July 1, 2009	June 30, 2014
66.RD	EP10D000737	November 1, 2010	June 30, 2013	93.113	5R01ES016175-04	September 1, 2007	August 31, 2012
81.000	4000111299	January 13, 2012	December 23, 2012	93.113	5R01ES015813-05	May 1, 2008	March 31, 2014
81.000	PO B599028	February 23, 2012	August 31, 2012	93.113	5R01ES011195-10 REV	August 30, 2007	March 31, 2012
81.049	DE-FG02-03ER15461	September 15, 2006	September 14, 2013	93.113	5R01ES015525-04 REV	January 15, 2008	November 30, 2012
81.049	DEFG0201ER15153A007	August 15, 2001	August 14, 2010	93.113	5P01ES011163-10	August 15, 2002	June 30, 2013
81.049	DEFG0202ER15377A007	September 15, 2002	June 14, 2011	93.113	5R01ES015777-05	August 1, 2007	July 31, 2013
81.049	DE-FG02-97ER14782	November 1, 2009	October 31, 2013	93.113	5R01ES012458-08	September 12, 2008	June 30, 2013
81.049	DE-FG02-01ER15153	August 15, 2010	August 14, 2013	93.113	5R01ES015317-05	August 1, 2007	July 31, 2013
81.049	DE-FG02-07ER15906	September 1, 2010	August 31, 2013	93.113	5K01ES019877-03	September 10, 2010	April 30, 2015
81.049	DE-FG02-02ER15377	June 15, 2011	June 14, 2014	93.113	5R03ES018963-02	April 15, 2010	March 31, 2014
84.022	P022A100030	July 1, 2010	December 31, 2011	93.113	3R01ES012014-08S1	June 15, 2010	March 31, 2015
84.170	P170B080018-11	September 1, 2008	August 31, 2012	93.113	5R03ES019265-02	August 1, 2010	January 31, 2013
84.200	P200A06025308	August 14, 2006	August 13, 2010	93.113	5R03ES019290-02	August 1, 2010	July 31, 2013
84.200	P200A100165-11	August 16, 2010	August 15, 2013	93.113	5R21ES019697-02REVIS	December 15, 2010	November 30, 2013
84.367	RH216269/4688558	March 15, 2009	December 31, 2009	93.113	5F32ES019821-02 REV	February 15, 2011	September 25, 2012
93.012	AEG-A-00-05-00007-00	January 15, 2009	September 30, 2011	93.113	5R00ES017477-05	September 3, 2010	May 31, 2013
93.048	AG1230	July 1, 2010	September 30, 2012	93.113	5R21ES020225-02	August 1, 2011	July 31, 2013
93.051	OES-12-836	September 1, 2011	August 31, 2012	93.113	5K25ES020355-02	June 15, 2012	February 28, 2017
93.061	5P01TP000300-05REVIS	October 1, 2008	September 29, 2013	93.113	112396.0002/AMD3	August 1, 2009	April 30, 2013
93.061	5R18IP00016603	September 1, 2007	September 29, 2011	93.113	9500300247	July 25, 2011	April 30, 2016
93.061	5R18PS00115702	September 30, 2008	September 29, 2012	93.113	1R01ES019285/3RB03	July 1, 2011	February 28, 2013
93.116	41900-046-11100210	May 18, 2010	December 31, 2012	93.213	1F31AT007130-01REV	December 1, 2011	November 30, 2013
93.121*	5R01DE00712023	July 1, 1984	June 30, 2011	93.213	1R01AT007052-01A1	July 1, 2012	June 30, 2017
93.121*	SR00001689, AMD1	April 8, 2011	March 30, 2013	93.213	69020	April 1, 2012	March 31, 2014
93.134	R390T20066-03-00	September 1, 2010	August 31, 2013	93.213	54783	October 15, 2011	June 30, 2012
93.135	5U48DP001909-04 REVI	September 30, 2009	September 29, 2014	93.224	2H80CS008840700	July 1, 2003	February 28, 2010
93.136	5R49CE001494-04	August 1, 2009	July 31, 2014	93.226	5R18HS01783103	September 30, 2008	September 29, 2012

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<u>CFDA Number</u>	<u>Award Number</u>	<u>Award beginning date</u>	<u>Award ending date</u>	<u>CFDA Number</u>	<u>Award Number</u>	<u>Award beginning date</u>	<u>Award ending date</u>
93.136	9001335/1146471	September 1, 2008	August 31, 2009	93.226	1R36HS01776701A1	July 1, 2009	February 28, 2011
93.136	RR376-010/4693568	September 1, 2009	August 31, 2012	93.226	5R21HS01764902	August 1, 2008	April 30, 2011
93.145	5H4AHA00067-09-00	July 1, 2002	June 30, 2011	93.226	5R18HS017829-03	September 30, 2008	September 29, 2012
93.145	6 H4AHA00067-11-03	July 1, 2010	June 30, 2015	93.226	5R21HS018236-02	September 30, 2009	September 29, 2012
93.161	U61TS000118	October 1, 2011	May 31, 2013	93.226	7R03HS019743-03	October 1, 2011	August 31, 2012
93.172	5R01HG003618-05	September 27, 2006	August 31, 2012	93.226	0600370HD68/60020838	December 1, 2007	April 30, 2012
93.172	5R01HG003461-05	September 1, 2007	June 30, 2011	93.226	026275 EU	April 1, 2010	January 31, 2012
93.172	5R01HG00289805	July 1, 2003	August 31, 2009	93.230	CONTRACT NO 09901571	October 1, 2008	September 29, 2010
93.172	5R21HG005133-02	July 1, 2009	June 30, 2012	93.242*	5R01MH070437-05 REV	April 1, 2004	December 31, 2009
93.172	5R21HG004751-02	September 27, 2010	July 31, 2013	93.242*	5P50MH05892209	September 30, 1999	August 31, 2010
93.172	5R01HG005119-04	August 1, 2010	June 30, 2013	93.242*	5U01MH06680704	August 1, 2004	July 31, 2011
93.172	3968-EU-NIH-4909	May 1, 2009	February 28, 2012	93.242*	7R01MH06676703	September 16, 2002	June 30, 2009
93.172	4624-EU-DHHS-6620	February 22, 2012	December 31, 2012	93.242*	5U01MH06348107	August 3, 2006	June 30, 2011
93.173	5R21DC00835302	April 1, 2007	March 31, 2010	93.242*	5P50MH077928-05	September 1, 2007	July 31, 2012
93.173	5R21DC00867202	July 1, 2007	June 30, 2010	93.242*	5R01MH06798104	June 1, 2004	March 31, 2010
93.173	5R01DC010204-04	July 1, 2009	June 30, 2014	93.242*	5R21MH08020802	September 1, 2007	May 31, 2011
93.173	5R01DC007423-05REVIS	January 1, 2007	December 31, 2013	93.242*	5R01MH07153104	August 12, 2005	July 31, 2011
93.173	5R01DC00648302	January 15, 2006	December 31, 2010	93.242*	5R01MH04208821	August 1, 2005	July 31, 2010
93.173	5R03DC00869302	December 1, 2006	November 30, 2009	93.242*	5R01MH070880-05	September 30, 2005	August 31, 2013
93.173	5R01DC00810805 - REV	December 5, 2006	November 30, 2012	93.242*	3R01MH081816-04S1	May 1, 2009	February 28, 2013
93.173	5R01DC008343-05	July 1, 2006	September 20, 2011	93.242*	5R01MH06985204	September 1, 2005	August 31, 2010
93.173	5R01DC008648-05	July 1, 2007	June 30, 2012	93.242*	1R03MH08559901A1	March 13, 2009	February 28, 2012
93.173	5R01DC00470108	July 1, 2006	June 30, 2011	93.242*	3R01MH084068-04S1	August 1, 2009	May 31, 2014
93.173	5R01DC005017-10	September 1, 2009	August 31, 2013	93.242*	5R01MH078100-05	May 24, 2007	July 31, 2013
93.173	5R33DC010476-04	September 25, 2009	August 31, 2014	93.242*	5R01MH071580-05	January 25, 2006	December 31, 2011
93.173	5R01DC005213-10	March 1, 2010	February 28, 2015	93.242*	5R01MH07723303	February 28, 2007	January 31, 2011
93.173	5R01DC006483-08	January 1, 2011	December 31, 2015	93.242*	5R01MH085600-04	July 16, 2009	March 31, 2014
93.173	5F31DC011987-02	January 1, 2012	December 31, 2014	93.242*	5R01MH079448-03	April 1, 2008	March 31, 2013
93.173	5R01DC008343-07	September 21, 2011	August 31, 2016	93.242*	5R01MH079100-05	April 1, 2008	March 31, 2013
93.173	5F31DC012225-02	September 1, 2011	August 31, 2014	93.242*	5R01MH080129-05REVIS	May 15, 2007	March 31, 2013
93.173	7R21DC009247-03	July 1, 2012	August 31, 2013	93.242*	5R01MH075102-05	April 5, 2006	March 31, 2012
93.173	VUMC33635	May 1, 2007	April 30, 2012	93.242*	5R01MH080880-05	April 2, 2008	March 31, 2014
93.185	5U01IP000413-03	September 1, 2010	August 31, 2014	93.242*	5R37MH047840-21REVIS	May 1, 2007	April 30, 2013
93.185	5U01IP000411-02REV	September 1, 2010	August 31, 2013	93.242*	5R01MH083746-04	June 8, 2009	February 28, 2014
93.213	3R21AT004220-03S1	July 1, 2009	June 30, 2013	93.242*	5U01MH081988-05REV	September 30, 2008	April 30, 2013
93.213*	5R01AT004698-03REVIS	May 1, 2009	October 14, 2011	93.242*	5R01MH081011-03	April 1, 2008	May 31, 2013
93.213	5R21AT004509-03REVIS	July 1, 2009	June 30, 2013	93.242*	5R01MH080007-05	June 1, 2008	May 31, 2013
93.213	5R21AT005231-02	May 1, 2010	April 30, 2013	93.242*	5R01MH085617-09	December 1, 2009	November 30, 2013
93.242*	5R01MH083722-04	September 25, 2008	May 31, 2012	93.242*	5R01MH092512-03	December 1, 2010	November 30, 2013
93.242*	5R01MH05884611	July 1, 2005	June 30, 2011	93.242*	5 R01 MH058846-14	December 15, 2010	April 10, 2015
93.242*	5R01MH073719-04	July 26, 2006	June 30, 2012	93.242*	2R56MH076090-06	August 9, 2011	July 31, 2012
93.242*	5R01MH056120-12	August 1, 2006	April 30, 2013	93.242*	5F32MH093023-03	December 15, 2010	November 30, 2013
93.242*	5R01NG068791-10	March 1, 2009	January 31, 2014	93.242*	3R01MH090584-02S2	June 15, 2011	March 31, 2016
93.242*	5R03MH08228202	January 9, 2008	November 30, 2011	93.242*	5R21MH091520-02	July 1, 2011	June 30, 2013
93.242*	5P50MH077083-05	July 14, 2006	June 30, 2012	93.242*	5R21MH092576-02	July 12, 2011	June 30, 2013
93.242*	5R34MH083078-03	July 11, 2008	June 30, 2012	93.242*	1R01MH095503-01 REV	September 21, 2011	June 30, 2016
93.242*	5R01MH078002-05	September 19, 2007	June 30, 2013	93.242*	5F32MH095456-02	August 15, 2011	August 14, 2013

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CFDA Number	Award Number	Award beginning date	Award ending date	CFDA Number	Award Number	Award beginning date	Award ending date
93.242*	5R01MH070537-09	September 30, 2003	February 28, 2013	93.242*	5K23MH096042-02REVIS	February 15, 2012	December 31, 2015
93.242*	5R01MH077776-05	April 18, 2008	February 28, 2013	93.242*	5R01MH093807-02	March 6, 2012	December 31, 2016
93.242*	5R01MH07055304	January 13, 2005	December 31, 2010	93.242*	5R01MH083712-05	April 14, 2011	December 31, 2013
93.242*	5R01MH079251-04	July 15, 2007	June 30, 2012	93.242*	5R01MH096764-02	March 1, 2012	February 28, 2017
93.242*	5R01MH082819-05	July 7, 2008	June 30, 2013	93.242*	5K99MH096746-02	March 1, 2012	February 28, 2014
93.242*	5R21MH084722-02	September 26, 2008	June 30, 2012	93.242*	1R01MH094757-01A1	May 17, 2012	April 30, 2017
93.242*	5K23MH082256-04	July 7, 2008	June 30, 2012	93.242*	5R21MH094525-02	March 8, 2012	February 28, 2014
93.242*	5R21MH08222502	July 1, 2008	June 30, 2011	93.242*	1R21MH094949-01A1	April 1, 2012	March 31, 2014
93.242*	5R01MH056897-15S1	August 1, 2007	June 30, 2013	93.242*	5R01MH083727-05	July 13, 2011	May 31, 2013
93.242*	5K24MH075867-05	September 1, 2006	June 30, 2012	93.242*	5R01MH092284-02	September 19, 2011	June 30, 2016
93.242*	5R21MH07717202	January 1, 2008	December 31, 2010	93.242*	1R21MH097187-01A1	June 20, 2012	March 31, 2014
93.242*	5R01MH039415-26	August 1, 2008	July 31, 2012	93.242*	2000GKH995/R01MH081	April 1, 2008	January 31, 2013
93.242*	5R01MH07643905	September 30, 2005	July 31, 2011	93.242*	NIH/5R21HM083964-02	August 1, 2008	July 31, 2012
93.242*	5R01MH050268-15	September 21, 2007	July 31, 2013	93.242*	PO #0000067637	July 1, 2008	July 31, 2012
93.242*	5R01MH07979403	August 1, 2007	July 31, 2011	93.242*	3001042619	August 1, 2008	July 31, 2012
93.242*	3R01MH07153703S1	September 1, 2005	August 31, 2010	93.242*	701-1963/AMND 1	June 1, 2008	April 30, 2012
93.242*	5R01MH07409005	March 15, 2005	July 14, 2010	93.242*	A003249301	March 1, 2009	February 28, 2014
93.242*	5R21MH08204602	December 1, 2007	November 30, 2010	93.242*	0001103/112730-1	April 27, 2007	March 31, 2010
93.242*	5R01MH070437-08REV	January 1, 2010	December 31, 2014	93.242*	1R25MH071735-04	September 1, 2006	June 30, 2010
93.242*	5R01MH082833-04	April 15, 2010	January 31, 2014	93.242*	5R01MH083579-04	September 1, 2008	April 30, 2012
93.242*	5R01MH072908-08	April 1, 2010	March 31, 2015	93.242*	RR376-333/4688658	January 1, 2009	August 31, 2012
93.242*	2R01MH074090-06REVIS	July 15, 2010	October 31, 2010	93.242*	1000714220/AMND03	February 1, 2009	January 31, 2014
93.242*	5R01MH080330-04	April 23, 2010	January 31, 2015	93.242*	1R43MH07956801A1	January 1, 2008	November 30, 2009
93.242*	5K01MH085806-04	April 21, 2010	February 28, 2014	93.242*	0255-4713-4609	June 1, 2009	May 31, 2010
93.242*	1 R21 MH086727-01A1	April 1, 2010	March 31, 2012	93.242*	3R55D/ 5R01MH078972	June 1, 2007	June 30, 2011
93.242*	3R21MH090776-03S1	April 23, 2010	January 31, 2014	93.242*	10-1737AMEND4	August 15, 2009	May 31, 2013
93.242*	5R01MH69852-08	September 1, 2010	March 31, 2015	93.242*	Y560291	July 26, 2010	May 31, 2012
93.242*	5R03MH090897-02	August 6, 2010	April 30, 2012	93.242*	951219RSUB	September 10, 2010	May 31, 2012
93.242*	5R21MH086947-04	August 1, 2009	May 31, 2013	93.242*	2011_003	June 1, 2011	May 31, 2013
93.242*	5R21MH091321-02REVIS	July 1, 2010	March 31, 2013	93.242*	414767-004-G	April 1, 2009	February 28, 2014
93.242*	5R01MH092902-03	July 1, 2010	March 31, 2014	93.242*	KFRI COSTCTR 9818B	August 1, 2011	July 31, 2013
93.242*	5R01MH087604-04	July 1, 2010	February 28, 2015	93.242*	337K481	August 12, 2011	July 31, 2013
93.242*	5U19MH069056-09	August 11, 2003	May 31, 2014	93.242*	M160785	July 28, 2010	June 30, 2012
93.242*	5F31MH086203-03	June 10, 2010	June 9, 2013	93.242*	1402533-YER-1	August 30, 2011	May 31, 2012
93.242*	5R01MH071537-09	September 1, 2010	February 28, 2015	93.242*	M12A11119 (A08329)	January 1, 2011	March 31, 2013
93.242*	11RDavi-03-EU/MOD1	January 1, 2011	July 31, 2012	93.279*	5R21DA026327-02	September 1, 2009	August 31, 2012
93.242*	NIH7R01MH074090-08S1	November 1, 2010	April 30, 2015	93.279*	5R01DA01999903	May 1, 2007	February 28, 2011
93.242*	353K920	August 11, 2011	January 31, 2012	93.279*	5R03DA027979-02	August 15, 2009	May 31, 2012
93.242*	H50884/AMND1	December 1, 2011	May 31, 2013	93.279*	5T32DA015040-09	June 1, 2002	June 30, 2013
93.242*	NIH/5R01MH094774-02	September 15, 2011	June 30, 2013	93.279*	5R21DA02524302	June 15, 2008	May 31, 2010
93.242*	409K065	September 1, 2012	June 30, 2017	93.279*	5F31DA025040-03	July 1, 2008	June 30, 2011
93.242*	11-M96	January 1, 2011	May 31, 2013	93.279*	5R01DA025494-05	September 20, 2008	June 30, 2013
93.243	5U79SM058941-03	September 30, 2009	September 29, 2012	93.279*	5R01DA015162-07	September 1, 2007	August 31, 2012
93.243	5U79SM057701-05	September 30, 2006	October 31, 2011	93.279*	5R01DA019624-05	September 1, 2006	August 30, 2012
93.249	UB6HP20199-03-00	September 1, 2010	August 31, 2015	93.279*	5R01DA02011603	September 1, 2005	July 31, 2011
93.250	5K01HP20509-03-00	September 1, 2010	August 31, 2015	93.279*	5R01DA027535-04	January 15, 2010	December 31, 2014

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CFDA Number	Award Number	Award beginning date	Award ending date	CFDA Number	Award Number	Award beginning date	Award ending date
93.262	5T01OH008609-07 REV	July 1, 2007	June 30, 2012	93.279*	5R01DA012514-14	May 1, 2010	March 31, 2015
93.262	5R01OH008989-03	September 1, 2009	August 31, 2013	93.279*	5R01DA029513-03	August 1, 2010	May 31, 2014
93.262	5R21OH009830-04	September 1, 2009	August 31, 2013	93.279*	5R01DA030996-03	September 17, 2010	June 30, 2015
93.262	2T03OH008609-08REVIS	July 1, 2012	June 30, 2017	93.279*	4R37DA010344-16	May 1, 2011	April 30, 2016
93.262	2007045280100	August 1, 2008	July 31, 2012	93.279*	5R90DA033462-02REVIS	August 15, 2011	July 31, 2016
93.262	200200931909	December 1, 2008	September 12, 2011	93.279*	1K05DA031246-01A1REV	June 1, 2012	May 31, 2017
93.272	5T32AA013528-10	July 1, 2007	June 30, 2013	93.279*	1F31DA033091-01	July 1, 2012	June 30, 2015
93.272	5F31AA017812-03	September 1, 2008	August 31, 2011	93.279*	5T90DA032466-02REVIS	August 15, 2011	July 31, 2013
93.272	1F32AA019880-01	September 27, 2010	June 30, 2011	93.279*	RR2743083504108/DA02	September 30, 2006	May 31, 2012
93.273	5R21AA01608002	July 1, 2006	June 30, 2009	93.279*	5R01DA01891005/00052	September 1, 2006	August 31, 2010
93.273	1K99AA01787001	June 5, 2008	May 31, 2009	93.279*	R01DA013336	September 1, 2007	August 31, 2013
93.273	5R01AA016348-05	April 1, 2008	March 31, 2013	93.279*	RR274-351/4688698	January 1, 2009	June 30, 2013
93.273	5K01AA017190-05	September 20, 2008	August 31, 2013	93.279*	PO414339-G/UR 5-2516	May 1, 2008	February 28, 2013
93.273	5R01AA00786122	September 30, 2006	January 31, 2012	93.279*	RR376-021/4693598	September 1, 2009	June 30, 2014
93.273	5R01AA012197-09	September 1, 2006	June 30, 2013	93.279*	VUMC 36512	April 1, 2010	March 31, 2014
93.273	5R00AA017870-04	June 5, 2008	May 31, 2012	93.279*	663 AMD4	January 1, 2009	August 22, 2012
93.273	5R01AA019582-02	September 30, 2009	August 31, 2011	93.279*	RR376-006/4785656	February 1, 2011	January 31, 2014
93.273	5R01AA017627-03	September 1, 2010	June 30, 2015	93.279*	0049	September 1, 2010	August 31, 2012
93.273	NIH 5U01AA019879-03	September 20, 2010	August 31, 2013	93.279*	-	July 1, 2011	May 31, 2013
93.273	3R01AA018096-03S1 RE	September 30, 2010	August 31, 2015	93.279*	M167078	July 15, 2011	June 30, 2012
93.273	5R21AA020047-02	September 1, 2011	July 31, 2013	93.279*	415200-G/5-26751	April 15, 2010	February 28, 2013
93.273	1F32AA020724-01	September 30, 2011	September 29, 2012	93.279*	RR540-160/4941946	April 1, 2012	February 28, 2013
93.273	5R33AA019582-04	September 15, 2011	August 31, 2014	93.279*	203-1273	July 1, 2010	June 30, 2011
93.273	1R01AA021411-01	July 1, 2012	June 30, 2015	93.279*	6739SC	September 1, 2011	August 31, 2013
93.273	2000 G KG925	June 5, 2008	June 30, 2013	93.279*	PO0000056	December 1, 2011	March 31, 2012
93.273	53311GP16507802211-5	August 1, 2009	July 31, 2012	93.281	5 K01 MH085506-05	April 1, 2009	January 31, 2014
93.273	FY13.580.002 Amd1	August 1, 2011	July 31, 2016	93.281	5K23MH086690-03	July 7, 2009	March 31, 2013
93.279*	1R03DA02621501	June 1, 2008	May 31, 2009	93.281	5K23MH077869-04	March 8, 2007	February 28, 2012
93.279*	5R01DA025607-04REV	February 1, 2009	November 30, 2013	93.281	5K24MH076955-05	May 1, 2006	April 30, 2012
93.279*	5R01DA018294-04	June 1, 2006	March 31, 2012	93.281	5K01MH073698-05REVIS	July 1, 2006	April 15, 2011
93.279*	5R03DA01817303	July 1, 2006	June 30, 2010	93.281	5K02MH064692-10	September 1, 2007	August 31, 2012
93.279*	5R01DA016434-10	May 1, 2009	February 28, 2014	93.281	5K01MH090278-03	July 1, 2010	May 31, 2014
93.279*	1R21DA02707201	April 1, 2009	September 30, 2011	93.281	5K23MH0915254-04	July 1, 2010	March 31, 2015
93.282	5F30MH07021804	August 12, 2004	June 30, 2008	93.286	5R01EB008838-08 REV	September 1, 2002	January 31, 2013
93.282	5F31MH08544502	September 1, 2009	August 31, 2011	93.286	5K23EB013221-02	June 1, 2011	May 31, 2014
93.282	5F31MH082647-03	May 22, 2008	May 21, 2011	93.286	5R01EB014266-02	August 1, 2011	July 31, 2015
93.282	5F32MH073525-05	June 1, 2006	May 31, 2012	93.286	1R13EB015311-01	April 1, 2012	March 31, 2013
93.282	5T32MH087977-04REVIS	July 1, 2009	June 30, 2014	93.286	R9074G1/1R01EB006369	September 7, 2007	August 31, 2013
93.282	5F32MH085443-03	August 18, 2009	August 17, 2012	93.286	R8078G1AMEND2	February 15, 2007	November 30, 2011
93.282	5F31MH086179-03	April 1, 2010	March 31, 2013	93.286	RA215-G1	September 30, 2010	August 31, 2012
93.282	5F31MH086186-02	September 1, 2010	August 31, 2012	93.286	RB224-G1	September 30, 2010	August 31, 2013
93.282	5F32MH090700-03	March 10, 2010	March 9, 2013	93.286	R6776-G1	October 1, 2010	June 30, 2012
93.282	5F32MH090785-03	April 12, 2010	April 11, 2013	93.286	GA TECH R8908-G1	September 1, 2011	August 31, 2012
93.282	5F32MH093054-02	September 21, 2010	September 20, 2012	93.286	120705	May 1, 2012	March 31, 2013
93.282	5F31MH090729-03	April 1, 2011	March 30, 2014	93.307	5R01MD004117-04	September 25, 2009	April 30, 2014
93.282	5F30MH095491-02	September 1, 2011	August 31, 2015	93.307	11-110229-01	September 30, 2007	December 31, 2012
93.282	5F31MH096630-02	February 1, 2012	January 31, 2015	93.307	5R24MD002798	April 1, 2009	March 31, 2013

## EMORY UNIVERSITY

## Schedule of Award Periods for Programs

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Year ended August 31, 2012

<u>CFDA Number</u>	<u>Award Number</u>	<u>Award beginning date</u>	<u>Award ending date</u>	<u>CFDA Number</u>	<u>Award Number</u>	<u>Award beginning date</u>	<u>Award ending date</u>
93.282	5F31MH095266-02	April 1, 2012	March 31, 2015	93.310	5R01CA163256-02	September 26, 2011	August 31, 2016
93.283	3U38TP42309504W1	September 1, 2003	December 31, 2009	93.310	3000691492-RPT	August 1, 2007	August 31, 2013
93.283	5U50DD00002902	September 30, 2004	September 29, 2009	93.310	500177/P1104287 MOD1	September 1, 2010	July 31, 2013
93.283	3U90TP42425604W1	September 1, 2004	August 31, 2009	93.310	RA325G1/AMND 2	September 1, 2010	August 31, 2013
93.283	5U38HK00001503	September 30, 2006	September 29, 2010	93.310	986049-8718	February 3, 2011	August 31, 2012
93.283	7U01DD00003904	July 1, 2008	September 29, 2010	93.310	NIH 1DP20D007433-01	July 1, 2011	May 31, 2013
93.283	200-2008-27816	September 15, 2008	September 14, 2013	93.350	2TL1TR000456-06	June 27, 2012	May 31, 2017
93.283	200-2009-M32385	September 30, 2009	September 29, 2011	93.350	2KL2TR000455-06	June 27, 2012	May 31, 2017
93.283	1U58CD001368-01REV	September 30, 2011	September 29, 2016	93.351	5R24OD010930-09	February 1, 2012	January 31, 2014
93.283	S355224/26	October 1, 2005	September 27, 2010	93.351	8R24OD010947-11	March 1, 2012	February 28, 2015
93.283	06105/U01CI00035302	May 1, 2007	April 30, 2008	93.358	1A10HP22117-01-00	July 1, 2011	June 30, 2012
93.283	U36CCU319276	September 30, 2008	September 29, 2011	93.361*	5R01NR00880004	September 1, 2004	November 30, 2009
93.283	S386827/27	September 28, 2008	September 27, 2012	93.361*	5F32NR01045102	August 15, 2007	August 14, 2009
93.283	S389527/27	September 28, 2008	September 27, 2011	93.361*	5K01NR01058403	September 30, 2007	May 31, 2010
93.283	S3798-26/28	October 1, 2007	September 27, 2012	93.361*	5F31NR011414-03	September 15, 2009	March 14, 2012
93.283	MM-1148-10/10	October 1, 2006	September 29, 2012	93.361*	5P01NR011587-04REVIS	September 30, 2009	July 31, 2014
93.283	427930905011104	January 1, 1995	June 30, 2009	93.361*	5R01NR011137-03	September 30, 2009	June 30, 2012
93.283	S3552-24/29	October 1, 2005	September 30, 2012	93.361*	5R01NR011888-03	September 29, 2009	July 31, 2013
93.283	5U58DP000984-05	January 1, 2008	September 29, 2012	93.361*	5R01NR012021-03	June 9, 2010	May 31, 2015
93.283	07178/U01CI00035303	May 1, 2007	April 30, 2012	93.361*	5F31NR011383-02REVIS	April 29, 2010	December 31, 2011
93.283	J5002	January 15, 2009	October 30, 2009	93.361*	5R01NR012419-03	May 21, 2010	April 30, 2014
93.283	S3800-26/28	September 28, 2008	September 27, 2012	93.361*	1F31NR012605-01	January 1, 2011	August 31, 2011
93.283	-	September 15, 2008	September 29, 2010	93.361*	5K01NR012779-02	August 15, 2011	June 30, 2014
93.283	S3887-28/28	September 28, 2009	September 27, 2012	93.361*	1T32NR012715-01A1	July 1, 2012	June 30, 2017
93.283	41900-036-10100072	January 12, 2010	June 30, 2012	93.361*	1R03NR013558-01	May 1, 2012	April 30, 2013
93.283	2408022-06A	January 1, 2010	August 30, 2010	93.361*	5R01NR011278-4	April 17, 2012	June 30, 2014
93.283	40500-036-13110270	July 1, 2010	June 30, 2013	93.375	5P60MD000052502	September 30, 2003	July 31, 2009
93.283	-	September 1, 2011	August 31, 2013	93.389	3ULIRR02500802S1	September 17, 2007	May 31, 2012
93.283	7002200036	March 1, 2012	June 30, 2012	93.389	5TLIRR025010-05	June 1, 2007	May 31, 2013
93.283	PF11.091	March 1, 2012	May 30, 2012	93.389	5R24RR01882704	September 13, 2004	July 31, 2009
93.389	5K01CA10407905	May 3, 2005	April 30, 2010	93.393	5R01CA149107-03	March 1, 2011	February 28, 2016
93.389	5K23RR02317103	June 15, 2006	May 31, 2011	93.393	7R01NS060830-05	September 1, 2010	March 31, 2013
93.389	3R24RR018827-07S1	April 1, 2009	January 31, 2014	93.393	5R03CA159369-02	March 1, 2012	February 28, 2014
93.389	5P51RR000165-50	May 1, 1997	April 30, 2011	93.393	2R01CA077337-11	May 1, 2012	March 31, 2017
93.389	5ULIRR025008-05REVIS	June 1, 2009	May 31, 2013	93.393	2R01CA09828606/530	August 1, 2008	July 31, 2010
93.389	5KL2RR025009-05REVIS	September 17, 2007	May 31, 2013	93.393	60014234EMORY03	September 1, 2006	February 28, 2011
93.389	5R25RR024504-04	September 30, 2007	May 31, 2012	93.393	533/2R01CA098286-06	September 1, 2008	July 31, 2010
93.389	5K24RR023356-05	July 1, 2007	July 15, 2012	93.393	H377885R01CA11452402	August 1, 2007	June 30, 2009
93.389	5R24RR01698808	September 15, 2006	May 20, 2010	93.393	10150049901G1 AMEND5	September 1, 2007	May 31, 2012
93.389	8U24OD011023-10REVIS	September 30, 2002	June 30, 2013	93.393	H47347	August 1, 2010	May 31, 2013
93.389	5R24RR016988-10REVIS	May 21, 2010	February 28, 2015	93.393	RB026-G1	August 4, 2010	May 31, 2013
93.389	8P51OD011132-52	May 1, 2011	April 30, 2014	93.393	5-30890	September 15, 2010	July 31, 2013
93.389	8R01OD011094-04	April 1, 2011	March 31, 2014	93.393	5-30889	September 15, 2010	July 31, 2013
93.389	P399140	September 25, 2009	April 30, 2012	93.393	VUMC 38945	September 26, 2011	June 30, 2012
93.389	09000114-01	July 1, 2009	March 31, 2011	93.393	09-DR0bi-20-02	September 1, 2010	February 28, 2013
93.389	1R43RR028178-01A1	November 1, 2010	October 31, 2011	93.394*	5R01CA121320-06	September 1, 2007	July 31, 2013
93.393	5R01CA09074707	June 1, 2006	May 31, 2010	93.394*	5R01CA133722-05	April 25, 2008	January 31, 2014

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CFDA Number	Award Number	Award beginning date	Award ending date	CFDA Number	Award Number	Award beginning date	Award ending date
93.393	5R01CA07733710	May 1, 1998	June 30, 2011	93.394*	5R01CA129356-05	September 21, 2007	July 31, 2013
93.393	2R56CA10511606	September 1, 2003	May 31, 2010	93.394*	5R21CA12506202	August 1, 2008	July 31, 2011
93.393	2R01CA09423306A2	December 1, 2001	September 30, 2009	93.394*	5R21CA150166-02	July 15, 2010	June 30, 2012
93.393	2R56CA09086005A1	September 1, 2004	August 31, 2009	93.394*	5R21CA141836-02 REV	April 1, 2010	March 31, 2013
93.393	2R56CA09423306A1	September 9, 2004	June 30, 2009	93.394*	5U01CA151810-03REVIS	September 10, 2010	July 31, 2013
93.393	5R01CA106826-09	May 1, 2009	February 28, 2014	93.394*	5U01CA151802-03	September 2, 2010	August 31, 2015
93.393	5R01CA131294-02 REV	July 15, 2009	December 31, 2010	93.394*	5R01CA156775-03	January 1, 2011	December 31, 2015
93.393	5R01CA132065-04	July 1, 2009	April 30, 2014	93.394*	5R01CA154846-02	August 1, 2011	May 31, 2016
93.393	5R01CA05852415	July 18, 2005	April 30, 2011	93.394*	5R33CA161873-02	July 27, 2011	June 30, 2014
93.393	5R01CA11787204	March 8, 2006	January 31, 2012	93.394*	5R01CA163746-02	March 8, 2012	February 29, 2016
93.393	5R01CA057327-20	August 1, 2008	May 31, 2013	93.394*	1U01CA168449-01	May 17, 2012	April 30, 2017
93.393	5R01CA087650-10	July 1, 2006	May 31, 2013	93.394*	1U01CA160930-01	August 23, 2012	June 30, 2017
93.393	5R01CA052004-24	January 29, 2009	November 30, 2013	93.394*	1R43CA13008601	August 10, 2008	December 30, 2009
93.393	5R01CA027834-30	August 1, 2004	July 31, 2012	93.394*	2R44EY15057-2A	October 26, 2010	April 30, 2012
93.393	5R01CA120288-05	August 1, 2007	July 31, 2013	93.394*	2001355031/1R01CA150	August 1, 2012	July 31, 2013
93.393	5R21CA13187502	September 1, 2008	August 31, 2011	93.395*	3U01DP000258-03S1	September 30, 2005	September 29, 2011
93.393	5R01CA086335-10	February 1, 2006	November 30, 2012	93.395*	3P01CA116676-05S2	May 1, 2006	May 31, 2013
93.393	5R01CA140515-04	February 23, 2010	December 31, 2014	93.395*	5R01CA138993-04	July 1, 2009	April 30, 2014
93.393	5R01CA105116-09	June 1, 2010	April 30, 2015	93.395*	5R01CA129424-04 REV	April 1, 2008	January 31, 2013
93.393	5R01CA136716-04	May 24, 2010	March 31, 2014	93.395*	5R01CA095317-05	July 1, 2005	May 31, 2011
93.393	5R01CA084197-13REVIS	April 1, 2010	August 31, 2011	93.395*	5R01CA120272-05	May 1, 2006	March 31, 2011
93.393	5R01CA151521-03	July 1, 2010	April 30, 2015	93.395*	5R01CA123490-05REV	December 15, 2007	November 30, 2012
93.393	5R01CA136534-03	July 16, 2010	May 31, 2015	93.395*	5R01CA11845005	August 15, 2006	September 23, 2011
93.393	2R56CA114456-04	August 1, 2009	July 31, 2011	93.395*	5R01CA126447-08	September 12, 2006	July 31, 2011
93.393	5R01CA095318-09	August 12, 2010	December 31, 2014	93.395*	5R01CA112643-05	August 18, 2006	July 31, 2013
93.393	5U01CA154282-02	September 2, 2011	July 31, 2016	93.395*	5R01CA129687-05	January 1, 2009	December 31, 2013
93.393	5 R21 CA149350-02	September 16, 2011	August 31, 2013	93.395*	5R01CA116804-05	September 1, 2007	July 31, 2013
93.395*	5R01CA143107-04	January 1, 2010	December 31, 2014	93.397	5O20CA10373505	September 1, 2003	February 8, 2010
93.395*	5R01CA129968-05	January 1, 2009	November 30, 2013	93.397	3P30CA138292-04	April 7, 2009	March 31, 2013
93.395*	1R21CA139035-02	March 1, 2011	February 28, 2014	93.397	5P50CA128613-05REVIS	August 23, 2007	June 30, 2013
93.395*	5R21CA155511-02	July 5, 2011	June 30, 2013	93.397	11111204/80041282	December 1, 2011	November 30, 2012
93.395*	5R01CA154129-02	September 16, 2011	July 31, 2016	93.398	5K01CA133106-05	July 1, 2008	August 31, 2013
93.395*	1R01CA157754-01A1REV	June 7, 2012	April 30, 2017	93.398	5K01CA11431305	July 31, 2009	June 30, 2012
93.395*	1R01CA165306-01	March 9, 2012	February 28, 2017	93.398	5K01CA118174-06	February 26, 2007	July 31, 2012
93.395*	5R01CA160522-02	April 1, 2012	March 31, 2017	93.398	5F32CA130308-03	August 1, 2008	July 31, 2011
93.395*	5R01CA118450-07	September 26, 2011	July 31, 2016	93.398	5K22CA12713603	September 1, 2007	August 31, 2011
93.395*	R21CA140766-03	December 1, 2011	April 30, 2013	93.398	5K08CA128925-06	July 1, 2008	June 30, 2013
93.395*	1R21CA164612-01A1	July 1, 2012	June 30, 2014	93.398	5K07CA139114-03	May 19, 2010	April 30, 2015
93.395*	5U24CA05572714/11128	August 1, 2008	November 30, 2010	93.398	5K99CA153914-02	September 3, 2010	July 31, 2012
93.395*	-	April 1, 2008	March 31, 2012	93.398	1K99CA153916-01	September 3, 2010	July 31, 2012
93.395*	5U01CA06247514	October 29, 1996	December 31, 2013	93.398	5K08CA143902-04	May 26, 2011	June 30, 2015
93.395*	EMY036CS-05	July 1, 1994	April 30, 2013	93.398	5K23CA164015-02	September 26, 2011	August 31, 2016
93.395*	-	September 22, 2008	June 30, 2010	93.398	5F31CA165897-02	September 20, 2011	September 19, 2013
93.395*	60032891/AMND1	August 1, 1998	August 31, 2012	93.398	5F32CA168112-02	April 1, 2012	March 31, 2014
93.395*	111287170-7415418	December 1, 2005	November 30, 2011	93.398	1F31CA168321-01	August 1, 2012	July 31, 2015
93.395*	020813AMND1	March 1, 2009	February 29, 2012	93.398	1F31CA168272-01A1	August 1, 2012	July 31, 2014
93.395*	19802	March 1, 2009	February 28, 2011	93.398	1F31CA165632-01	August 30, 2012	August 29, 2013

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CFDA Number	Award Number	Award beginning date	Award ending date	CFDA Number	Award Number	Award beginning date	Award ending date
93.395*	1R43141870-02	November 1, 2009	July 31, 2012	93.399*	5U54CA119338-05	August 30, 2005	August 31, 2012
93.395*	2012 RTOG Group Chai	January 1, 2011	December 31, 2012	93.399*	5R01CA09250506	May 1, 2003	December 31, 2009
93.395*	111287180-7466322	December 1, 2011	November 30, 2016	93.399*	1 P20 CA134223 01	September 28, 2007	August 31, 2010
93.395*	1354	September 1, 2011	May 31, 2013	93.399*	5P50CA128301-04REVIS	September 1, 2008	August 31, 2013
93.396	5R01CA10846805	September 15, 2004	June 30, 2011	93.399*	5R03CA136113-02	February 20, 2009	January 31, 2011
93.396	5R01CA139220-03	July 1, 2009	January 22, 2012	93.399*	5020325000L00378/MAN	September 17, 2003	June 30, 2008
93.396	5R01CA071971-15 REVI	August 1, 2007	January 22, 2012	93.399*	2000362349/AMD4	August 29, 2007	June 30, 2012
93.396	5R01CA109366-05	July 15, 2006	May 31, 2012	93.399*	06-DROBL-03-01	May 1, 2008	April 30, 2012
93.396	5R01CA121459-05	March 26, 2006	February 28, 2011	93.399*	EMYC22FK06	June 1, 2004	May 31, 2012
93.396	5R01CA087921-10	August 1, 2005	May 31, 2012	93.399*	09-DRobl-11EU	October 1, 2011	April 30, 2012
93.396	5R01CA127119-05	August 1, 2008	May 31, 2013	93.403	1D5FHP20667-01-00	September 1, 2010	August 31, 2015
93.396	5R01CA085560-10	September 11, 2006	July 31, 2012	93.412	1D5HHP18958-01-00	July 1, 2010	June 30, 2013
93.396	5R01CA123368-05REVIS	August 1, 2006	July 31, 2011	93.558	42700-040-0000007487	February 1, 2011	September 30, 2011
93.396	5R01CA084138-10	May 11, 2007	February 28, 2013	93.583	5T32NS007480-12	July 1, 2011	June 30, 2016
93.396	5R01CA127910-06REVIS	December 1, 2007	November 30, 2013	93.583	SP00010891	June 1, 2012	May 31, 2013
93.396	7R01CA111835-05	September 15, 2010	August 31, 2012	93.610	1C1CMS331041-01-00	July 1, 2012	June 30, 2015
93.396	5R01CA142858-02	March 1, 2011	February 29, 2016	93.643	42700-040-0000009916	April 1, 2011	September 30, 2011
93.396	5R01CA140571-03	March 14, 2011	February 29, 2016	93.701	5P01AI044644-11 REV	September 30, 1998	June 30, 2012
93.396	5R01CA123368-07	August 15, 2011	May 31, 2016	93.701	5R01DA025045-02	June 15, 2009	May 31, 2012
93.396	55093305/5R01CA1210	August 1, 2009	July 31, 2012	93.701	5R01HL083271-02	September 1, 2009	August 31, 2012
93.396	5P01CA098912-08	August 1, 2009	July 31, 2014	93.701	2R01AI02072324A2	December 1, 2008	July 31, 2011
93.396	R01CA15638607/633946	September 1, 2010	July 31, 2015	93.701	5R21MH083138-02	May 1, 2009	October 31, 2012
93.396	2001318925	July 1, 2011	June 30, 2013	93.701	5R21AG032104-02	June 1, 2009	May 31, 2013
93.396	2001355019	February 1, 2011	January 31, 2013	93.701	5R21NS066155-02	July 20, 2009	June 30, 2011
93.701	5R21DA027080-02	June 1, 2009	May 31, 2012	93.701	3R01DK079713-03S1	September 30, 2009	August 31, 2012
93.701	5R01CA090860-06	September 1, 2009	August 31, 2012	93.701	`3R37AI039816-15S1	September 12, 2009	August 31, 2011
93.701	5R01DK081699-02	September 1, 2009	August 31, 2012	93.701	3R01NS058710-01A1S1	September 30, 2009	July 31, 2012
93.701	5R03HD059993-02	September 1, 2009	August 31, 2012	93.701	3R01AT004698-01A1S1	September 30, 2009	September 29, 2012
93.701	5R21MH085210-02	August 15, 2009	July 31, 2012	93.701	3R01CA084138-08S1	September 30, 2009	July 31, 2011
93.701	5R01AI058057-07REVIS	July 1, 2009	March 9, 2012	93.701	3R01DK072564-15S1	September 30, 2009	February 28, 2011
93.701	3R01GM08544802S2	August 15, 2009	July 31, 2011	93.701	3R01GM085448-02S1	September 30, 2009	August 31, 2011
93.701	5R03CA136059-02	July 20, 2009	June 30, 2012	93.701	5RCNS069541-02	September 30, 2009	August 31, 2012
93.701	5R34MH086331-02	August 11, 2009	July 31, 2012	93.701	5RC1MD004370-02	September 24, 2009	August 31, 2012
93.701	5R01HL040921-19	July 1, 2009	June 20, 2012	93.701	5RC1MH088467-02	September 30, 2009	August 31, 2011
93.701	5R01DA023224-02	August 1, 2009	July 31, 2012	93.701	5RC1DK086939-02	September 30, 2009	July 31, 2012
93.701	5R03NS066378-02	July 1, 2009	June 30, 2012	93.701	5RC1ES018299-02	September 21, 2009	June 30, 2012
93.701	5R03HD058777-02	May 8, 2009	April 30, 2012	93.701	5RC1NS069234-02	September 30, 2009	September 29, 2011
93.701	5R01HD061344-02	August 1, 2009	July 31, 2012	93.701	5RC1MH088985-02REV	September 30, 2009	August 31, 2012
93.701	3R01DK04170716S1	August 20, 2009	July 31, 2010	93.701	5RC1HL100915-02	September 30, 2009	July 31, 2012
93.701	3R01DK06208105S1	July 15, 2009	May 31, 2010	93.701	5RC1MD004563-02	September 20, 2009	June 30, 2012
93.701	3K01DK07674203S1	August 20, 2009	June 30, 2012	93.701	1 RC1 GM092035-01	April 1, 2010	June 30, 2012
93.701	3R01DC008343-03S1	July 1, 2009	June 30, 2012	93.701	5RC1MH088609-02	September 30, 2009	August 31, 2012
93.701	3U01AI07782102S1	August 1, 2009	July 31, 2011	93.701	1RC1HL100951-02	September 30, 2009	August 31, 2012
93.701	3R01HL090851-02S1	July 1, 2009	June 30, 2012	93.701	3R01GM49245-17A1S1	September 27, 2010	August 31, 2011
93.701	3R01HL088488-02S2	July 15, 2009	June 30, 2012	93.701	3K01CA118174-05S1	August 1, 2009	July 31, 2012
93.701	3P01DK061521-05S1	July 15, 2009	June 30, 2012	93.701	3K12GM000680-10S1	September 1, 2009	August 31, 2011
93.701	3R21HL09126802S1	June 1, 2009	August 31, 2010	93.701	1R01MH089606-02	September 30, 2009	August 31, 2012

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<u>CFDA Number</u>	<u>Award Number</u>	<u>Award beginning date</u>	<u>Award ending date</u>	<u>CFDA Number</u>	<u>Award Number</u>	<u>Award beginning date</u>	<u>Award ending date</u>
93.701	3R21HL09366501A1S1	July 15, 2009	June 30, 2011	93.701	3R21AT004509-01A2S1	September 30, 2009	September 29, 2012
93.701	3R56DK082678-01S1	September 30, 2008	August 31, 2010	93.701	3R01GM082828-02S1	September 1, 2009	April 30, 2012
93.701	3R01DK069681-04S1	September 14, 2009	September 13, 2010	93.701	3R01HD055835-03S1	September 30, 2009	September 29, 2012
93.701	3R01DC00648304S2	July 21, 2009	June 30, 2010	93.701	3UL1RR02500803S1	September 4, 2009	September 3, 2012
93.701	3R01NS05638003S1	April 1, 2007	March 31, 2012	93.701	3U24RR018109-07S1	August 28, 2009	August 27, 2012
93.701	3R01NR00880004S1	July 14, 2009	October 31, 2009	93.701	3UL1RR025008-03S2	September 5, 2009	September 4, 2012
93.701	3R24RR01882705A1S1	September 29, 2009	September 28, 2012	93.701	3R01GM080771-03S1	September 1, 2009	August 31, 2011
93.701	3R25RR02450403S1	August 20, 2009	August 19, 2011	93.701	5RC2HG005542-02	September 25, 2009	July 31, 2012
93.701	3P51RR000165-49S2	September 24, 2009	September 23, 2012	93.701	5P30NS069250-02REVIS	September 30, 2009	December 31, 2012
93.701	3R56AI07623701A1S1	September 3, 2008	May 31, 2010	93.701	3R25TW007733-03S1	September 1, 2009	August 31, 2011
93.701	3T32GM008490-17S1	September 1, 2009	August 31, 2011	93.701	5RC2CA148265-02	September 30, 2009	August 31, 2013
93.701	1RC1AI081273-01	June 14, 2010	November 30, 2012	93.701	5RC2CA149086-02	September 28, 2009	August 31, 2012
93.701	5R01IHL096924-02	September 1, 2009	August 31, 2012	93.701	5P30GM092423-02	September 30, 2009	August 31, 2012
93.701	5R21AI083554-02	September 1, 2009	August 31, 2011	93.701	3D43TW00712406S1	September 1, 2009	August 31, 2011
93.701	5R01AI084834-02	September 26, 2009	August 31, 2012	93.701	5RC2HL101515-02	September 30, 2009	June 30, 2013
93.701	5R01MH082813-02REVIS	September 30, 2009	December 31, 2010	93.701	5RC2HD064525-02 REV	September 30, 2009	August 31, 2012
93.701	3R01GM084363-02S1	September 30, 2009	August 31, 2010	93.701	3D43TW007262-05S1	September 1, 2009	August 31, 2011
93.701	3R01AI034000-15S1	September 22, 2009	February 28, 2011	93.701	3K01CA114313-04S1	September 1, 2009	August 31, 2012
93.701	3U01DK069322-05S2	September 15, 2009	August 31, 2011	93.701	3U54CA119338-05S1	September 1, 2009	August 31, 2012
93.701	3R01DK06141707S1	September 30, 2009	August 31, 2011	93.701	3P01HD032571-14S1	September 1, 2010	August 31, 2011
93.701	3K08DK068226-06S1	January 8, 2010	December 31, 2011	93.701	5R01AR050501-07	September 18, 2009	August 31, 2011
93.701	3R01HD055379-03S1	August 1, 2010	July 31, 2011	93.701	5R01DK082690-02	August 17, 2009	June 30, 2012
93.701	5R01IHL092120-02	September 1, 2009	August 31, 2011	93.701	1R21 DK081887-01A2	September 1, 2009	August 31, 2012
93.701	3R01DK081699-01A1S1	January 1, 2010	December 31, 2010	93.701	5R21AI084710-02	September 1, 2009	August 31, 2011
93.701	3R01NS055015-03S1	September 30, 2009	September 29, 2011	93.701	4650202/5P01AI082282	September 1, 2009	August 31, 2011
93.701	5R01IHL082609-06REV	September 15, 2009	March 31, 2012	93.701	2000GMF325	September 30, 2009	August 31, 2011
93.701	3R01GM03030828S1	September 30, 2009	July 31, 2011	93.701	3R01LM009239-03S2	September 30, 2009	September 29, 2011
93.701	3R21DK080431-02S1	December 15, 2009	November 30, 2010	93.701	GC207623NGC	September 30, 2009	September 29, 2012
93.701	3R01GM078502-03S1	September 30, 2009	August 31, 2011	93.701	5RC1HL101899-02	September 30, 2009	February 29, 2012
93.701	3P30CA138292-01S2REV	September 30, 2009	September 29, 2012	93.701	9004344/115922-2	June 1, 2009	May 31, 2012
93.701	3R01GM068680-06S1	September 1, 2010	August 31, 2011	93.701	3U54HD055787	September 30, 2009	September 29, 2011
93.701	5P30NS069289-02	September 30, 2009	August 31, 2012	93.701	3813	August 1, 2009	July 31, 2011
93.701	5R01IHL068630-07	August 17, 2009	July 31, 2013	93.701	24402-04-319	September 28, 2009	August 31, 2011
93.701	3U19AI057266-06S2	September 22, 2009	August 31, 2012	93.701	4562-EU-DHHS-5573	September 26, 2009	July 31, 2013
93.701	5R01AG028617-02	September 15, 2009	February 28, 2013	93.701	5 RC2 HL101663-02	September 30, 2009	July 31, 2012
93.701	3U19AI057266-06S1	September 1, 2009	August 31, 2012	93.701	RC2HL10185/066469933	September 30, 2009	October 31, 2011
93.701	3R01DK074731-02S1	September 25, 2009	August 31, 2011	93.701	149618.0002	June 1, 2009	March 2, 2010
93.701	3K08CA128925-03S1	September 30, 2009	September 29, 2011	93.701	FY11.046.006	September 29, 2009	August 31, 2012
93.701	5RC1GM091388-02	September 1, 2009	August 31, 2011	93.701	UF10178/RC1NS068897	September 30, 2009	August 31, 2012
93.701	3R01AI068003-04S1	September 12, 2009	August 31, 2011	93.701	0901/IR15DC011005-01	April 1, 2010	March 31, 2013
93.701	5RC1GM090950-02 REV	September 30, 2009	August 31, 2012	93.701	00348386-001	September 30, 2009	July 31, 2012
93.701	1 U19 AI090023-01	July 12, 2010	June 30, 2011	93.701	10-102	June 1, 2010	May 31, 2013
93.701	1RC4NR0112527-01	September 24, 2010	August 30, 2013	93.701	26-1342508-YNPRC	June 1, 2010	May 31, 2013
93.701	3R01MH050268-14S1	September 27, 2010	September 30, 2011	93.701	5782sc/AMEND1	September 30, 2009	August 31, 2011
93.701	1RC4AG039071-01	September 30, 2010	August 31, 2013	93.701	320840-02-02	September 24, 2009	July 31, 2011
93.701	1R24TW008825-01	September 15, 2010	August 31, 2012	93.701	5U01AI082050-02	August 15, 2009	July 31, 2011
93.701	1S07TW008847-01	September 15, 2010	September 14, 2012	93.701	BRS-ACURE-Q-09-00121	November 9, 2009	August 31, 2011

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CFDA Number	Award Number	Award beginning date	Award ending date	CFDA Number	Award Number	Award beginning date	Award ending date
93.701	3P01ES016731-03S2	August 1, 2010	July 31, 2011	93.701	09-0031/3U01DK066143	September 27, 2009	July 31, 2012
93.701	3 U19 AI051731-09S1	July 26, 2010	June 30, 2012	93.701	3 U01 AI077810-02S1	September 17, 2010	June 30, 2013
93.701	1R56DK089763-01	July 15, 2010	August 31, 2011	93.701	325011.300001.80022	September 30, 2010	September 29, 2013
93.701	3R01GM066202-08S1	November 2, 2009	February 28, 2011	93.701	RS20092235-01	September 30, 2009	August 31, 2011
93.701	3P01ES016731-03S1	August 1, 2010	July 31, 2011	93.701	9005957	June 1, 2010	February 28, 2011
93.701	3R37AI051231-09S1	May 17, 2010	April 30, 2012	93.701	0256-9131-4609	September 13, 2010	September 12, 2012
93.701	3R01AI064060-06A1S1	May 17, 2010	April 30, 2012	93.701	24302-10-307	May 1, 2010	August 31, 2012
93.701	3 U01 AI077821-03S1	September 13, 2010	September 12, 2011	93.701	236401A	February 5, 2010	December 31, 2011
93.701	3R01HL093196-03S1	September 1, 2010	June 30, 2012	93.701	1U01A1089859-01	August 16, 2010	June 30, 2011
93.701	3K08DK070668-06S1	July 1, 2010	February 28, 2012	93.701	1U01AI089859-01	August 16, 2010	June 30, 2011
93.701	7R21A1079714-03	September 25, 2010	December 30, 2011	93.701	11-M95	January 1, 2011	August 31, 2011
93.701	7R21NS059649-03	January 20, 2011	April 30, 2013	93.701	718841Z	September 1, 2010	August 31, 2012
93.701	7RC1MH088676-03	September 1, 2011	July 31, 2012	93.701	29XS154ST	October 24, 2011	October 23, 2012
93.701	7RC1HL100245-03	August 10, 2011	December 31, 2012	93.702	1C06RR030135-01	March 25, 2010	August 31, 2013
93.701	7RC1DK086577-03	October 14, 2011	June 30, 2012	93.708	46900-621-V12EMO031	March 6, 2012	April 30, 2013
93.701	2000699297	May 22, 2009	April 30, 2012	93.712	-	July 1, 2010	December 29, 2011
93.701	09-21/1R03HD06097201	May 22, 2009	April 30, 2012	93.714	42700-040-0000005834	May 24, 2010	September 30, 2010
93.701	S7045-G3/R01AR056694	September 9, 2009	August 31, 2012	93.715	VUMC 37035	September 1, 2010	August 31, 2013
93.715	iADAPT PROJECT	September 1, 2010	August 31, 2013	93.837*	5R01HL090584-04	September 4, 2008	June 30, 2013
93.715	1R01HS019403-01	September 30, 2010	September 29, 2013	93.837*	5F31HL094102-03	September 1, 2008	August 31, 2011
93.715	6377sc amend 3	September 30, 2010	September 29, 2013	93.837*	5R01HL08872604	August 1, 2006	May 31, 2013
93.715	PI:Joel H Saltz/8364	September 30, 2010	September 29, 2013	93.837*	1R21HL097353-02	September 15, 2009	June 30, 2011
93.778	5820-1161-00-C/MOD2	August 1, 2010	June 30, 2013	93.837*	5K24HL077506-09	September 1, 2009	May 31, 2014
93.837*	5U01HL08054305	May 1, 2005	April 30, 2010	93.837*	5R01HL095479-04S1	September 17, 2009	July 31, 2013
93.837*	4U01HL08071101	May 1, 2005	April 30, 2012	93.837*	5R01HL098481-04	January 4, 2010	November 30, 2014
93.837*	5U01HL088928-05	July 1, 2007	January 31, 2013	93.837*	5K23HL098744-03	July 15, 2010	April 30, 2015
93.837*	5R01HL070531-10	June 1, 2002	June 30, 2013	93.837*	5R01HL094527-03	April 1, 2010	March 31, 2014
93.837*	5R01HL07089205	July 11, 2003	June 30, 2009	93.837*	5R01HL09687-02	April 1, 2010	July 31, 2011
93.837*	1K99HL093115-01	August 25, 2008	July 31, 2009	93.837*	5P01HL101398-03	September 1, 2010	November 30, 2015
93.837*	5R01HL07911504	February 15, 2005	December 31, 2009	93.837*	5R01HL096970-04	April 1, 2010	February 28, 2015
93.837*	5R01HL07748504	May 15, 2005	March 31, 2010	93.837*	5R00HL093115-04	September 7, 2009	June 30, 2013
93.837*	5P01HL058000-13REVIS	April 1, 1998	January 2, 2011	93.837*	5P01HL095070-04	August 13, 2009	July 31, 2014
93.837*	RAD001A2401	May 15, 2007	April 30, 2010	93.837*	5R01HL094469-02REV	July 15, 2010	July 4, 2011
93.837*	5R01HL07727404	April 1, 2005	March 31, 2010	93.837*	5F32HL104997-02	September 16, 2010	September 15, 2012
93.837*	5R01HL090601-04	March 1, 2009	February 28, 2014	93.837*	5R00HL092226-05	September 1, 2010	June 30, 2013
93.837*	5K24HL07750605	September 1, 2004	August 31, 2009	93.837*	5K23HL105785-03	March 8, 2011	February 29, 2016
93.837*	5R01HL092981-05	April 1, 2009	March 31, 2014	93.837*	5R37HL038206-26	July 15, 2011	June 30, 2016
93.837*	7R01HL07954605	May 1, 2008	June 30, 2010	93.837*	1F31HL107080-02	April 1, 2010	March 31, 2013
93.837*	5R21HL093665-02	April 15, 2009	March 31, 2012	93.837*	5K99HL107675-02	June 15, 2011	June 30, 2013
93.837*	5R21HL092518-02	June 8, 2009	May 31, 2012	93.837*	5R01HL079040-07	April 15, 2011	March 31, 2015
93.837*	5T32HL007745-19	July 1, 2009	June 30, 2014	93.837*	5R01HL058863-13	April 15, 2011	March 31, 2015
93.837*	5R01HL07913706	May 1, 2008	November 30, 2010	93.837*	5K23HL105892-02	August 1, 2011	June 30, 2016
93.837*	5R01HL094438-04	July 1, 2009	April 30, 2014	93.837*	5R21HL110044-02	August 1, 2011	July 31, 2013
93.837*	2R56HL09506305A1	September 1, 2009	August 31, 2011	93.837*	5U01HL105561-02	July 22, 2011	April 30, 2020
93.837*	5R01HL092150-04	August 18, 2009	June 30, 2013	93.837*	5K23HL103842-02	July 1, 2011	June 30, 2016
93.837*	R01HL093579-04	August 1, 2009	June 30, 2013	93.837*	5U10HL110302-02	January 1, 2012	December 31, 2018
93.837*	5R01HL090851-05	February 1, 2008	January 31, 2014	93.837*	1U54HL112309-01	May 1, 2012	April 30, 2017

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CFDA Number	Award Number	Award beginning date	Award ending date	CFDA Number	Award Number	Award beginning date	Award ending date
93.837*	01/5R01HL092141-05	January 1, 2009	December 31, 2013	93.837*	5P20HL113451-02	May 1, 2012	February 28, 2017
93.837*	5T15HL098122-03REVIS	August 20, 2009	February 28, 2013	93.837*	1R21HL109979-01A1	April 1, 2012	March 31, 2014
93.837*	5R21HL08916002	March 15, 2008	February 28, 2012	93.837*	1R01HL109413-01A1	May 1, 2012	April 30, 2016
93.837*	5R01HL07762704	March 1, 2006	February 28, 2012	93.837*	5R21HL110055-02	April 1, 2012	March 31, 2014
93.837*	3R01HL05979810S1	July 1, 1999	May 31, 2011	93.837*	1F30HL110447-01A1	July 1, 2012	June 30, 2017
93.837*	5R01HL084471-06	June 1, 2008	May 31, 2012	93.837*	2000093200, AMEND4	February 1, 2007	January 13, 2013
93.837*	5R01HL087012-04	August 15, 2007	May 31, 2012	93.837*	E17699G4/1R01HL07026	August 15, 2008	June 30, 2013
93.837*	5R01HL088488-05	May 1, 2008	April 30, 2013	93.837*	1R01HL082717-03	September 1, 2008	August 31, 2011
93.837*	5R01HL08386704	July 15, 2006	May 31, 2011	93.837*	CC0158313-01	August 25, 2007	May 31, 2010
93.837*	5R21HL08796902	June 15, 2008	May 31, 2011	93.837*	-	October 15, 2008	June 30, 2013
93.837*	5R01HL085417-04REVIS	June 1, 2008	May 31, 2013	93.837*	SR00000289/HL079376	May 1, 2008	April 30, 2012
93.837*	5F31HL09277203	July 1, 2008	June 30, 2011	93.837*	0004811/5R01HL077398	August 15, 2004	July 31, 2011
93.837*	5R01HL039006-22	December 1, 2006	December 31, 2010	93.837*	41628-A/ AMD3	April 1, 2008	March 31, 2012
93.837*	7R01HL07904004	August 1, 2008	January 31, 2011	93.837*	-	October 15, 2008	June 30, 2013
93.837*	5R01HL079867-05	September 1, 2006	August 31, 2012	93.837*	080-24000-PZ2808	April 1, 2009	February 29, 2012
93.837*	RA 128-G1	September 14, 2009	December 15, 2011	93.839	5R01HL095791-04	February 1, 2010	January 31, 2015
93.837*	217000-14142	September 30, 2009	June 30, 2013	93.839	5K08HL102262-04	April 15, 2010	February 28, 2015
93.837*	415904-G	August 14, 2010	June 30, 2015	93.839	5R01HL095858-04	August 21, 2009	March 31, 2014
93.837*	2001185468	March 7, 2011	November 30, 2015	93.839	5R01HL105613-02REVIS	January 1, 2011	February 27, 2012
93.837*	4R42HL106818-02	February 7, 2011	January 31, 2013	93.839	5R01HL106192-02	September 23, 2011	June 30, 2016
93.837*	ULRF08-0924A2-02	August 1, 2010	July 31, 2013	93.839	7K08HL093360-04	May 10, 2011	April 30, 2014
93.837*	7R21HL093637-03	June 1, 2010	March 31, 2013	93.839	5R01HL082808-08	January 1, 2012	December 31, 2014
93.837*	41010141103, AMD#2	September 5, 2011	April 30, 2013	93.839	0600370P76142117	September 1, 2005	August 31, 2010
93.837*	SUBAWARD 01024442	August 1, 2010	May 31, 2012	93.839	201453EU/7P01HL07882	September 1, 2005	August 31, 2010
93.837*	5U54GM062116-10	November 1, 2010	July 31, 2011	93.839	1R01HL07395801	October 1, 2003	August 31, 2009
93.837*	7290001	November 1, 2011	June 30, 2013	93.839	1R01HL08048201A2	January 1, 2009	February 28, 2011
93.837*	1R41HL102891-01A1	September 1, 2011	August 31, 2012	93.839	P01HL085607AMEND6.2	July 1, 2006	May 31, 2012
93.837*	IN-4686648-EU	April 6, 2012	February 28, 2013	93.839	Amendment 6.1	May 1, 2009	May 31, 2013
93.838	5T32HLHL07611803	July 1, 2004	June 30, 2009	93.839	2R42HL08353103	February 1, 2009	January 31, 2011
93.838	7R01HL07776904	August 1, 2007	July 31, 2010	93.839	5R42HL090112-03	July 1, 2010	June 30, 2013
93.838	5K99HL09222602	April 1, 2008	March 31, 2010	93.839	5-32283	January 1, 2012	December 31, 2013
93.838	5K01HL084683-04	April 1, 2007	March 31, 2011	93.846	5F32AR05226703	March 1, 2005	February 29, 2008
93.838	5K08HL08029305	April 15, 2005	March 31, 2011	93.846	5R01AR047314-10	September 1, 2008	June 30, 2013
93.838	5R01HL083019-05	July 18, 2007	August 31, 2012	93.846	5R01AR05050105	August 1, 2004	September 17, 2009
93.838	5R01HL063306-09	May 1, 2005	June 30, 2013	93.846	5R21AR05360702	July 1, 2007	June 30, 2010
93.838	5R01HL08312004	July 1, 2006	June 30, 2011	93.846	5K23AR054334-05	February 2, 2007	January 31, 2013
93.838	5T32HL076118-09	September 1, 2009	August 31, 2014	93.846	5R01AR053093-05	April 1, 2006	March 31, 2012
93.838	5K08HL102258-03	August 1, 2010	May 31, 2015	93.846	5R01AR05273004	April 12, 2006	March 31, 2012
93.838	5R01HL102167-03	January 1, 2011	December 31, 2014	93.846	5R01AR049659-10	August 1, 2007	May 31, 2014
93.838	5R01HL093196-05	September 1, 2010	March 31, 2014	93.846	1R21AR05682101A1	April 1, 2009	March 31, 2012
93.838	7R01HL109362-02	May 5, 2012	April 30, 2015	93.846	5R01AR054625-05	August 24, 2007	June 30, 2012
93.838	667078/R01HL090342	July 1, 2009	June 30, 2012	93.846	5R01AR056090-03	July 1, 2008	June 30, 2012
93.838	WFUHS 15903	August 8, 2011	June 30, 2017	93.846	5R01AR048615-10	August 1, 2007	July 31, 2012
93.838	4561534/ R01HL069170	July 1, 2009	June 30, 2011	93.846	5R01AR047901-10	September 1, 2008	June 30, 2013
93.838	1U10HL109250-01	August 8, 2011	June 30, 2012	93.846	5R01AR048266-10	August 1, 2008	July 31, 2013
93.838	723385/AMND2	July 1, 2011	June 30, 2013	93.846	5R01AR052133-05	September 1, 2005	August 31, 2011
93.838	2001443924	September 28, 2011	June 30, 2013	93.846	5R01AR059364-03	September 28, 2009	August 31, 2014

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CFDA Number	Award Number	Award beginning date	Award ending date	CFDA Number	Award Number	Award beginning date	Award ending date
93.839	5T32HL069769-08REV	April 1, 2004	March 31, 2014	93.846	5R01AR050501-09	September 1, 2011	August 31, 2016
93.839	5P01HL086773-05	July 1, 2008	August 31, 2013	93.846	5R01AR061987-02	September 1, 2011	August 31, 2016
93.839	5R01HL092977-04REVIS	January 1, 2009	February 27, 2012	93.846	5R01AR060893-02	September 17, 2011	August 31, 2015
93.839	5R21HL08413202	June 8, 2007	May 31, 2010	93.846	1R01AR060268-01A1	April 11, 2012	March 31, 2017
93.839	5K07HL088922-05	July 19, 2007	May 31, 2013	93.846	1K01AR061453-01A1	April 1, 2012	March 31, 2016
93.839	U01HL072248-10	September 1, 2007	August 31, 2013	93.846	1R01AR061267-01A1	April 17, 2012	March 31, 2017
93.839	5K08HL092959-04	April 26, 2009	March 31, 2013	93.846	2R01AR048615-11A1	August 1, 2012	July 31, 2017
93.839	5R01HL092179-05	April 1, 2009	February 28, 2014	93.846	5U01AR05218105/55143	August 1, 2008	July 31, 2010
93.839	5R01HL08260904	September 27, 2005	August 31, 2009	93.846	000278614-001	September 30, 2006	March 31, 2012
93.839	5R01HL05681912 REVIS	January 1, 2005	April 30, 2010	93.846	1705 G MA522	August 1, 2009	May 31, 2012
93.839	5T32HL069769-09	April 1, 2004	March 31, 2014	93.846	5-30786	September 30, 2009	July 31, 2013
93.839	5K02HL088026-05	July 19, 2007	June 30, 2012	93.846	106355	September 30, 2009	July 31, 2013
93.846	203-9146	August 1, 2011	July 31, 2013	93.847*	5R56DK08267802	September 30, 2008	August 31, 2010
93.847*	5R03DK07319002	September 30, 2005	July 31, 2008	93.847*	5K23DK07071505	September 30, 2005	August 31, 2011
93.847*	5T32DK007734-15 REV	January 1, 2007	May 31, 2012	93.847*	5K23DK080953-05	September 20, 2008	August 31, 2013
93.847*	5U01DK05695608	February 1, 2000	July 14, 2011	93.847*	5K08DK079176-04	June 1, 2009	May 31, 2014
93.847*	5K01DK081481-03	July 10, 2008	June 30, 2012	93.847*	5R01DK064730-08	September 14, 2009	August 31, 2013
93.847*	5R01DK046403-18	July 15, 2008	April 30, 2013	93.847*	5U01DK084585-03REVIS	September 5, 2009	May 31, 2014
93.847*	5R01DK075397-04	April 1, 2007	March 31, 2012	93.847*	5R01DK072372-08	March 20, 2010	February 28, 2014
93.847*	5K01DK082733-05	September 30, 2008	August 31, 2013	93.847*	5R21DK081847-02 REV	March 1, 2010	July 31, 2011
93.847*	5R01DK061418-09	September 30, 2008	August 31, 2012	93.847*	5R01DK083890-02REVIS	April 15, 2010	September 15, 2011
93.847*	5U01DK062408-10REV	February 1, 2009	January 31, 2014	93.847*	3T32DK007298-33S1	July 1, 2010	June 30, 2015
93.847*	5R01DK064711-08 REV	June 1, 2009	August 15, 2011	93.847*	2R01DK069275-10	August 1, 2010	December 31, 2010
93.847*	2R56DK06194106A2	January 1, 2003	June 30, 2011	93.847*	5R03DK089131-02REVIS	July 1, 2010	August 31, 2011
93.847*	5R01DK059888-10REVIS	September 1, 2006	August 31, 2011	93.847*	5R03DK089304-02	July 1, 2010	June 30, 2013
93.847*	3U01DK069322-05S3	July 1, 2005	August 31, 2013	93.847*	5R01DK056481-09	July 1, 2010	April 30, 2014
93.847*	5R01DK054514-14	January 1, 2008	April 30, 2014	93.847*	5R01DK083356-04	April 1, 2010	March 31, 2014
93.847*	1R34DK08172301A1	April 8, 2009	March 31, 2012	93.847*	5F31DK089932-03	September 1, 2010	August 31, 2013
93.847*	5K01DK07851302	March 15, 2008	December 31, 2011	93.847*	5R37DK057665-14	September 30, 2010	August 31, 2015
93.847*	5R01DK041707-18	January 1, 2006	December 31, 2012	93.847*	5R01DK072564-18	September 25, 2010	August 31, 2015
93.847*	5R01DK080684-04	August 1, 2009	July 31, 2014	93.847*	5R01DK087838-03	February 1, 2011	January 31, 2016
93.847*	5R01DK075016-04	July 1, 2009	April 30, 2014	93.847*	5R01DK087694-03	March 1, 2011	February 29, 2016
93.847*	R37DK038842-24	August 1, 2009	July 31, 2013	93.847*	5R21DK091147-02	September 1, 2011	May 31, 2014
93.847*	5K08DK083036-04	July 1, 2009	August 31, 2013	93.847*	5T32DK007656-22	July 1, 2011	June 30, 2016
93.847*	5R01DK07256415	July 1, 1997	August 31, 2010	93.847*	5T32DK007771-12	July 1, 2011	June 30, 2016
93.847*	5R01DK062092-09 REV	April 1, 2007	April 30, 2012	93.847*	2R01DK046493-10A1	July 20, 2011	March 31, 2015
93.847*	5R01DK069681-05	April 1, 2006	March 31, 2011	93.847*	5R03DK091501-02	April 1, 2011	March 31, 2014
93.847*	5R01DK076825-04REVIS	April 1, 2008	August 15, 2011	93.847*	5R01DK091780-02	August 1, 2011	July 31, 2015
93.847*	5R01DK061379-10 REV	May 1, 2007	April 30, 2012	93.847*	5U01DK056956-12	July 15, 2011	May 31, 2016
93.847*	5R01DK071597-05	February 15, 2007	April 14, 2012	93.847*	5R21DK089369-02	July 5, 2011	March 31, 2014
93.847*	5R01DK074518-05REV	December 1, 2009	November 30, 2013	93.847*	5R01DK059380-10	August 1, 2010	March 31, 2013
93.847*	5K23DK06563404	May 1, 2006	April 30, 2011	93.847*	5R01AA018096-03	September 25, 2010	August 31, 2015
93.847*	5R01DK073476-05	May 1, 2008	April 30, 2014	93.847*	5R01DK089828-02	July 1, 2011	June 30, 2015
93.847*	5R24DK064399-10	May 23, 2003	May 31, 2013	93.847*	5R01DK067110-07	September 30, 2010	August 31, 2013
93.847*	5R01DK055679-15	February 1, 2009	January 31, 2014	93.847*	5R01DK059888-12	September 1, 2011	August 31, 2016
93.847*	5R37DK037963-25	June 1, 2006	May 31, 2013	93.847*	5F32DK093255-02	July 1, 2011	June 30, 2013
93.847*	5R01DK071594-06REVIS	July 1, 2009	August 15, 2011	93.847*	1R01DK091841-01A1REV	April 1, 2012	August 10, 2012

## EMORY UNIVERSITY

## Schedule of Award Periods for Programs

Related to Finding 2012-1

Year ended August 31, 2012

CFDA Number	Award Number	Award beginning date	Award ending date	CFDA Number	Award Number	Award beginning date	Award ending date
93.847*	5R01DK080876-05	June 16, 2008	May 31, 2013	93.847*	1DP3DK094346-01 REV	September 30, 2011	August 31, 2016
93.847*	5R01DK079392-09	October 1, 2002	May 31, 2013	93.847*	2T32DK007734-16	June 1, 2012	May 31, 2013
93.847*	5R01DK05223014	July 1, 2006	August 31, 2011	93.847*	1R01DK095750-01	May 1, 2012	April 30, 2017
93.847*	5R01DK061417-09	July 1, 2008	October 7, 2011	93.847*	2R56DK062092-10	May 1, 2012	April 30, 2013
93.847*	5K01DK076742-05	August 1, 2007	June 30, 2012	93.847*	5R01DK095610-02	April 15, 2012	March 31, 2014
93.847*	5R01DK059904-10	August 1, 2001	June 30, 2013	93.847*	2R01DK061379-11	May 1, 2012	April 30, 2016
93.847*	5R01DK079713-05	August 1, 2007	July 31, 2012	93.847*	5R01DK071597-07	April 15, 2012	March 31, 2016
93.847*	5R01DK046493-11	August 1, 2007	July 31, 2013	93.847*	7R01DK056239-11	October 21, 2011	March 31, 2012
93.847*	5R01DK05766511	August 1, 2005	July 31, 2010	93.847*	5R01DK089763-02	September 1, 2011	May 31, 2015
93.847*	2R01DK079713-06	August 1, 2012	April 30, 2017	93.853*	2R56NS04259905A1	February 1, 2003	August 31, 2009
93.847*	9K24DK096574-06	July 16, 2012	June 30, 2017	93.853*	5 F30 NS063501-03	September 11, 2008	September 10, 2011
93.847*	5U01DK062470-09	December 22, 2011	May 31, 2014	93.853*	5R01NS04596205	January 15, 2004	February 28, 2011
93.847*	1K01DK087763-1A1	June 1, 2012	May 31, 2016	93.853*	5R01NS062358-05	January 15, 2009	December 31, 2013
93.847*	RES503818	December 1, 2008	July 31, 2012	93.853*	5K08NS04632205	June 1, 2004	March 31, 2010
93.847*	124615/124589	May 1, 2007	October 31, 2012	93.853*	5R01NS056380-03	April 1, 2007	March 31, 2012
93.847*	3938-EU-DHHS-5806	February 1, 2009	January 31, 2014	93.853*	5R01NS065371-04	April 1, 2009	March 31, 2014
93.847*	5R24DK082840-05	September 30, 2008	August 31, 2013	93.853*	5R01NS064991-04	May 16, 2009	April 30, 2014
93.847*	R8604G2/1R01DK076801	September 1, 2007	August 31, 2013	93.853*	5R01NS065187-04	April 1, 2009	March 31, 2014
93.847*	CHMC 105319/M3	April 1, 2009	March 31, 2013	93.853*	5R01NS04825406	August 1, 2004	August 31, 2011
93.847*	R18DK082401/22612-2	June 1, 2009	July 31, 2013	93.853*	5R01NS060680-05	January 15, 2009	December 31, 2013
93.847*	24020-4	July 1, 2010	June 30, 2011	93.853*	5R01NS045016-10	March 1, 2009	February 28, 2014
93.847*	5R01DK079856-03	September 1, 2010	August 31, 2013	93.853*	5U01NS062778-04	July 1, 2009	June 30, 2013
93.847*	361K620	December 1, 2011	July 31, 2013	93.853*	5F32NS065603-03	June 1, 2009	May 31, 2012
93.847*	12-179296-03	May 1, 2012	April 30, 2013	93.853*	5R25NS065739-04S1	March 1, 2009	February 28, 2014
93.847*	SP00010712	January 1, 2012	December 31, 2012	93.853*	5R01NS042599-08	September 1, 2009	August 31, 2013
93.848	5T32DK007771-10	July 1, 2006	June 30, 2011	93.853*	5R01NS058710-04	December 1, 2008	April 30, 2013
93.848	5R01DK06471105	August 1, 2004	May 31, 2009	93.853*	5R01NS062073-05	May 1, 2009	February 28, 2014
93.848	5R01DK06194105S1	September 1, 2003	June 30, 2009	93.853*	5R01NS05163004	January 1, 2006	December 31, 2009
93.848	7K08DK06200706	February 1, 2007	June 30, 2009	93.853*	5R01NS054911-05 REV	January 20, 2007	December 31, 2011
93.848	5R03DK07855202	September 1, 2007	July 31, 2009	93.853*	5R01NS055015-05	January 20, 2007	December 31, 2011
93.848	5F32DK07738103	September 1, 2006	August 31, 2009	93.853*	5R01NS057255-04	December 1, 2008	November 30, 2012
93.848	5F32DK07624303	September 1, 2006	August 31, 2009	93.853*	5R01NS024072-27REVIS	June 1, 2008	March 31, 2013
93.848	5R01DK06728504	September 30, 2004	August 31, 2010	93.853*	3T32NS007480-10S1	September 30, 2000	June 30, 2011
93.848	5R01DK071604-05REVIS	February 1, 2007	January 31, 2013	93.853*	5R01NS056097-05 REV	April 1, 2007	March 31, 2014
93.848	5R01DK074731-03	September 1, 2008	August 31, 2011	93.853*	5P30NS055077-05	April 1, 2008	November 30, 2013
93.848	1108941/5R01DK071817	July 1, 2005	June 30, 2009	93.853*	5R01NS03045419	September 30, 1991	March 31, 2011
93.849*	5P01DK06152105	September 30, 2004	July 31, 2010	93.853*	5R01NS042937-09	February 1, 2007	March 31, 2012
93.849*	5T32DK00765620	July 1, 2006	June 30, 2011	93.853*	5R01NS067201-04	September 1, 2009	August 31, 2014
93.849*	5R21DK07485402	April 1, 2006	March 31, 2009	93.853*	5R01NS054976-05	June 19, 2006	April 30, 2012
93.849*	2R56DK05293510A1	August 1, 2007	July 31, 2012	93.853*	5K23NS04910006	October 1, 2007	April 30, 2011
93.849*	5R01DK06208105	March 1, 2004	February 28, 2010	93.853*	5K02NS059416-05	May 1, 2008	July 31, 2013
93.849*	5R01DK038842-20	January 1, 2005	July 31, 2009	93.853*	5K08NS053454-05	July 1, 2007	October 30, 2011
93.849*	5K08DK06704505	September 20, 2004	July 31, 2009	93.853*	5R01NS057190-05REVIS	January 19, 2007	June 30, 2012
93.849*	5K08DK06822606	January 1, 2007	June 30, 2011	93.853*	5R01NS04286708	June 1, 2005	June 30, 2011
93.849*	5R01DK05074011	August 1, 2005	July 31, 2011	93.853*	5R01NS05372705	April 1, 2006	January 31, 2011
93.849*	2R42DK07526604A2	September 18, 2008	August 31, 2012	93.853*	3R01NS033592-15S1	September 1, 2008	April 30, 2012
93.849*	P30DK079312-03	June 1, 2009	November 30, 2010	93.853*	5R01NS053822-05 REV	March 5, 2007	February 28, 2013

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CFDA Number	Award Number	Award beginning date	Award ending date	CFDA Number	Award Number	Award beginning date	Award ending date
93.853*	5U10NS053379-05 REV	December 1, 2009	November 30, 2012	93.853*	5K08NS04885805	July 1, 2005	June 30, 2011
93.853*	5F31NS055881-02	September 1, 2006	April 30, 2008	93.853*	5R01NS049195-05	July 15, 2006	June 30, 2012
93.853*	5U01NS058158-08	September 30, 2006	September 21, 2011	93.853*	3R01NS050595-05	July 15, 2006	June 30, 2013
93.853*	5R21NS06018202	September 15, 2007	July 31, 2010	93.853*	5R01NS049556-04	September 30, 2007	June 30, 2012
93.853*	5R01NS04757503	December 1, 2003	November 30, 2008	93.853*	5R01NS036232-12	June 1, 2005	November 30, 2011
93.853*	5R21NS05380102	February 1, 2006	January 31, 2009	93.853*	5R01NS041669-09	May 1, 2006	February 14, 2011
93.853*	5R01NS05065005	March 1, 2006	February 28, 2013	93.853*	5K02NS070960-02	July 1, 2011	June 30, 2016
93.853*	5R01NS055179-05	February 1, 2008	January 31, 2013	93.853*	5R01NS041669-12	February 15, 2011	January 31, 2016
93.853*	5R37NS036654-15	July 1, 2007	July 31, 2014	93.853*	5F31NS074717-02	June 1, 2011	November 30, 2013
93.853*	5R03NS05769302	February 1, 2008	January 31, 2011	93.853*	5U01NS074509-02	July 1, 2011	June 30, 2013
93.853*	5R01NS062876-03 REV	April 1, 2009	March 31, 2013	93.853*	5U01NS058158-07	September 22, 2011	August 31, 2016
93.853*	5U10NS059032-05	May 3, 2007	April 30, 2012	93.853*	5R21NS075338-02	July 1, 2011	June 30, 2013
93.853*	5R21NS06134902	September 15, 2008	August 31, 2011	93.853*	1R21NS072810-02	July 1, 2011	June 30, 2013
93.853*	5R21NS05480902	September 1, 2008	August 31, 2010	93.853*	5R21NS072422-02	August 15, 2011	May 31, 2013
93.853*	5R21NS05771802	September 1, 2008	August 31, 2011	93.853*	5R01NS072394-03	June 1, 2011	February 29, 2016
93.853*	5R01NS038455-10 REV	September 1, 2008	July 31, 2012	93.853*	5R01NS072221-02	July 1, 2011	June 30, 2015
93.853*	5F31NS065663-03	February 1, 2010	January 31, 2013	93.853*	5R21NS072712-02	August 1, 2011	July 31, 2013
93.853*	5U54NS065701-04	September 30, 2009	August 31, 2014	93.853*	5F32NS070572-02	December 1, 2011	November 30, 2014
93.853*	5R01NS051630-07	February 1, 2010	January 31, 2014	93.853*	5F31NS076215-02	September 26, 2011	September 25, 2013
93.853*	5R01NS045627-09	September 30, 2009	August 31, 2014	93.853*	5R01NS073994-02	September 1, 2011	July 31, 2016
93.853*	5U01NS062676-03	April 1, 2010	March 31, 2013	93.853*	5R01NS076775-02	September 1, 2011	August 31, 2015
93.853*	R01NS037112-12	July 1, 2010	June 30, 2014	93.853*	5R03NS076785-02	September 1, 2011	August 31, 2013
93.853*	5F31N067950-03 REVIS	January 1, 2010	December 31, 2012	93.853*	5R21NS077049-02	September 1, 2011	August 31, 2013
93.853*	5R01NS037948-16	February 15, 2010	January 31, 2014	93.853*	7R01NS047357-09	February 1, 2011	January 31, 2014
93.853*	5R01NS062097-03	February 1, 2010	January 31, 2015	93.853*	1R56NS070879-01	June 1, 2011	May 31, 2013
93.853*	5R21NS066030-02REVIS	April 1, 2010	March 31, 2014	93.853*	5U10NS077366-02 REV	September 30, 2011	August 31, 2013
93.853*	5R21NS067345-02 REV	February 1, 2010	January 31, 2013	93.853*	5R21NS074169-02	August 15, 2011	June 30, 2013
93.853*	5R01NS065949-03	March 15, 2010	February 28, 2015	93.853*	5R21NS074975-02	September 1, 2011	August 31, 2013
93.853*	5F31NS067844-02	April 1, 2010	March 31, 2012	93.853*	5F31NS074620-02	September 10, 2011	September 9, 2014
93.853*	5F31NS066754-03REV	May 1, 2010	October 31, 2012	93.853*	5F32NS077612-02	December 1, 2011	November 30, 2013
93.853*	5R01NS049433-06	July 3, 2009	June 30, 2012	93.853*	5R21NS077905-02	April 15, 2012	March 31, 2014
93.853*	5R01NS071867-02REVIS	May 1, 2011	April 30, 2013	93.853*	5R01NS036232-14	December 1, 2011	November 30, 2016
93.853*	5R21NS064351-02	July 15, 2009	December 30, 2011	93.853*	1F31NS076285-01A1	June 1, 2012	May 31, 2015
93.853*	5R01NS071074-03	May 15, 2010	April 30, 2015	93.853*	3R01NS079268-02S1	May 1, 2012	February 29, 2016
93.853*	5 F31NS065694-03REV	December 1, 2009	November 30, 2012	93.853*	1R01NS079625-01	August 1, 2012	April 30, 2017
93.853*	5F31NS063668-02	December 1, 2009	November 30, 2011	93.853*	2R01NS057190-06A1	July 1, 2012	June 30, 2017
93.853*	5R01NS064162-02	July 1, 2010	June 30, 2014	93.853*	1F32NS080589-01	July 1, 2012	June 30, 2015
93.853*	5R01NS071518-03	June 1, 2010	May 31, 2015	93.853*	4R00NS065974-03	July 15, 2012	May 31, 2015
93.853*	5P50NS071669-03S1REV	September 30, 2010	August 31, 2015	93.853*	5U54NS060659-03	September 1, 2007	May 30, 2011
93.853*	5R21NS067461-02	September 17, 2010	August 31, 2012	93.853*	MUSC08041	May 1, 2008	April 30, 2013
93.853*	5F31NS071834-02	January 1, 2011	December 31, 2012	93.853*	09NIH1078	January 15, 2009	December 31, 2012
93.853*	5F31NS071802-03	June 23, 2010	June 22, 2013	93.853*	735157	March 2, 2009	November 30, 2012
93.853*	5R01NS068464-04	February 1, 2010	January 31, 2014	93.853*	3P01NS05722801A1S1	September 15, 2007	August 31, 2010
93.853*	5R03NS072737-02	September 15, 2010	August 31, 2013	93.853*	NS054281	September 15, 2005	December 31, 2014
93.853*	3R01NS065992-03S1	September 17, 2010	August 31, 2014	93.853*	-	July 1, 2008	July 31, 2012
93.853*	5F31NS073237-03	January 1, 2011	December 31, 2013	93.853*	WU-08-202/5U01NS0322	January 1, 2008	November 30, 2011
93.853*	1R21NS074296-02	March 1, 2011	February 28, 2014	93.853*	UF07059/2R01NS038455	September 1, 2002	August 31, 2008

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CFDA Number	Award Number	Award beginning date	Award ending date	CFDA Number	Award Number	Award beginning date	Award ending date
93.853*	5R01NS045962-07	July 15, 2011	May 31, 2014	93.853*	3000691492-RPT AM 20	June 1, 2008	April 30, 2012
93.853*	5R01NS070526-02	April 1, 2011	March 31, 2014	93.853*	PSL06500/2R01NS04082	March 16, 2006	February 28, 2011
93.853*	5R01NS072467-03	September 15, 2010	July 31, 2015	93.853*	040895#5/2R01NS03899	July 1, 2003	July 31, 2009
93.853*	S11 NS055883-05	August 15, 2007	June 30, 2012	93.855*	5U01AI084150-04	August 1, 2009	August 31, 2014
93.853*	AMDT#3/5R01NS0493240	March 1, 2006	February 28, 2011	93.855*	5R01AI072435-06REVIS	February 1, 2008	January 31, 2012
93.853*	H50438/H49894	August 1, 2008	July 31, 2012	93.855*	5R01AI06406005	December 1, 2004	March 31, 2010
93.853*	MUSC08094/1U01NS0587	May 1, 2008	April 30, 2013	93.855*	5R01AI068003-04	February 15, 2006	January 31, 2013
93.853*	5R01NS04648705	July 1, 2004	April 30, 2010	93.855*	5R37AI051231-11	April 1, 2008	March 31, 2013
93.853*	RA343-G1, AMD 2	September 25, 2009	August 31, 2014	93.855*	5K23AI073119-05	June 15, 2007	April 30, 2012
93.853*	VUMC38069	June 1, 2010	May 31, 2012	93.855*	5R37AI048638-13	February 19, 2009	January 31, 2014
93.853*	006883	August 1, 2010	July 31, 2013	93.855*	5R37AI028731-22REVIS	May 1, 2006	December 31, 2012
93.853*	R8423	July 1, 2010	April 30, 2013	93.855*	5R01AI069148-03	May 1, 2008	April 30, 2012
93.853*	5R01NS065070-02	September 30, 2009	June 30, 2013	93.855*	5R01AI06596104	May 1, 2006	April 30, 2012
93.853*	-	September 30, 2011	August 31, 2012	93.855*	5R01AI073707-05	June 25, 2008	May 31, 2014
93.853*	5R44NS060192-03	May 1, 2010	January 31, 2012	93.855*	5R37AI039816-16	May 1, 2008	May 31, 2012
93.853*	749585	August 1, 2010	July 31, 2013	93.855*	5R01AI04033815	June 1, 2006	May 31, 2013
93.853*	02530-YER-1	July 1, 2011	May 31, 2012	93.855*	5R01AI077446-04	June 25, 2008	May 31, 2013
93.853*	203-2298	September 30, 2011	July 31, 2013	93.855*	5R01AI030363-17	June 1, 2007	May 31, 2012
93.853*	5P01NS057228-04	January 1, 2011	February 28, 2013	93.855*	5R01AI024710-23	June 25, 2008	May 31, 2014
93.853*	WU-12-82-MOD-1	July 1, 2011	June 30, 2013	93.855*	5U01AI074635-05	July 1, 2008	June 30, 2013
93.853*	OPT-001-EMORY	September 30, 2011	August 31, 2013	93.855*	5R21AI07608002	June 11, 2008	May 31, 2011
93.855*	2 R01 AI034000-15	August 15, 2003	February 28, 2011	93.855*	5R01AI064462-05	July 1, 2006	June 30, 2012
93.855*	5U19AI05726602	September 30, 2003	October 31, 2009	93.855*	5R01AI071852-03	July 1, 2007	June 30, 2012
93.855*	5T32AI007470-15	July 1, 2006	June 30, 2012	93.855*	5R01AI067704-05	July 1, 2006	June 30, 2012
93.855*	5T32AI070081-05	September 1, 2006	July 31, 2012	93.855*	5R01AI044142-10	January 1, 2004	December 1, 2009
93.855*	5U01AI074579-05REVIS	May 15, 2007	April 30, 2013	93.855*	5R01AI064766-05	August 15, 2006	July 31, 2012
93.855*	5U19AI051731-10REVIS	May 15, 2002	July 31, 2012	93.855*	5R01AI06998703	November 1, 2006	December 31, 2011
93.855*	5R01AI05601703	June 1, 2005	May 31, 2009	93.855*	5R01AI072462-05	March 1, 2008	February 28, 2013
93.855*	5UM1AI069418-07	December 1, 2006	November 30, 2013	93.855*	5R01AI074417-03	February 1, 2008	July 14, 2011
93.855*	1R56AI07623701A1	September 3, 2008	May 31, 2010	93.855*	5R37AI040519-15REVIS	January 1, 2007	December 31, 2011
93.855*	5P01AI080192-05	September 22, 2008	August 31, 2013	93.855*	5R01AI058706-10	March 1, 2008	February 28, 2014
93.855*	5R01AI05882805	February 1, 2006	November 30, 2010	93.855*	5R01AI05929005	May 1, 2005	January 31, 2010
93.855*	5R21AI081217-02	December 1, 2007	December 31, 2011	93.855*	5R01AI049334-09 REV	March 15, 2007	February 28, 2013
93.855*	5R01AI05433730	February 1, 2004	January 31, 2010	93.855*	HHSN266200700006C#16	March 30, 2001	March 31, 2014
93.855*	5R01AI078775-04REVIS	December 15, 2008	November 30, 2013	93.855*	5R01AI073830-05	January 1, 2011	December 31, 2013
93.855*	5R01AI078773-05	December 15, 2008	November 30, 2013	93.855*	5R01AI070101-06REVIS	September 1, 2006	September 29, 2011
93.855*	5R01AI071002-05	July 1, 2006	June 30, 2012	93.855*	5R37AI030048-19REVIS	January 1, 2009	February 28, 2011
93.855*	5R01AI081879-04	July 27, 2009	June 30, 2014	93.855*	5R01AI078426-05	February 15, 2008	January 31, 2013
93.855*	5R01AI070829-04	August 15, 2007	July 31, 2012	93.855*	5R01AI036680-12	April 1, 2008	March 31, 2012
93.855*	5U01AI079223-04	March 27, 2009	February 28, 2013	93.855*	1F32AI08017501A1	June 1, 2009	May 31, 2010
93.855*	2R56AI04863809	January 1, 2005	February 18, 2009	93.855*	5R01AI064060-08	April 1, 2010	March 31, 2015
93.855*	5R01AI020211-29	April 1, 2009	January 31, 2014	93.855*	5K08AI079166-04	September 25, 2009	July 31, 2014
93.855*	5U19AI057266-09	September 30, 2003	April 30, 2014	93.855*	5T32AI055404-09	September 1, 2009	August 31, 2014
93.855*	5P30AI050409-13	August 1, 2002	May 31, 2013	93.855*	5R21AI085328-02	May 1, 2010	April 30, 2013
93.855*	5T32AI074492-04REV	August 1, 2009	May 31, 2014	93.855*	5U01AI089317-03REVIS	September 25, 2009	July 31, 2013
93.855*	5U01AI077821-05REVIS	March 1, 2008	February 28, 2014	93.855*	5R01AI087798-03	May 15, 2010	April 30, 2015
93.855*	1R21AI083420-01	June 15, 2009	May 31, 2012	93.855*	1R21AI089093-02	September 1, 2010	August 31, 2013

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Year ended August 31, 2012

<u>CFDA Number</u>	<u>Award Number</u>	<u>Award beginning date</u>	<u>Award ending date</u>	<u>CFDA Number</u>	<u>Award Number</u>	<u>Award beginning date</u>	<u>Award ending date</u>
93.855*	5K01AI087724-02	July 1, 2010	June 30, 2015	93.855*	5U19AI090023-03REVIS	July 1, 2011	June 30, 2015
93.855*	5R37AI021150-28	April 1, 2010	March 31, 2015	93.855*	5R01AI058057-09	March 10, 2012	February 28, 2017
93.855*	5R01AI083409-02REVIS	May 1, 2010	December 4, 2011	93.855*	2P30AI050409-14REVIS	August 1, 2012	July 31, 2017
93.855*	1R56AI083402-01A	August 1, 2010	June 30, 2011	93.855*	1R21AI098800-01	May 1, 2012	April 30, 2014
93.855*	5R01AI047498-11	May 1, 2010	April 30, 2015	93.855*	2R56AI061031-06A1	August 1, 2012	July 31, 2013
93.855*	5P01AI088575-03REV	June 1, 2010	May 31, 2014	93.855*	5R21AI099847-02	February 2, 2012	January 31, 2014
93.855*	5T32 AI007610-13	September 1, 2010	August 31, 2015	93.855*	5R01AI086133-04	September 1, 2011	August 31, 2013
93.855*	5R01AI083366-03	May 1, 2010	April 30, 2015	93.855*	5R01AI072435-08	February 1, 2012	January 31, 2017
93.855*	5U01AI090956-03	September 1, 2010	August 31, 2015	93.855*	1R21AI098581-01A1	February 6, 2012	January 31, 2014
93.855*	2R56AI034000-16	September 1, 2010	August 31, 2012	93.855*	1R21AI097803-01A1	July 1, 2012	June 30, 2014
93.855*	5R01AI090840-03	June 1, 2010	May 31, 2014	93.855*	1R01AI101047-01	May 15, 2012	April 30, 2017
93.855*	3R01AI088025-03S1	May 1, 2010	April 30, 2015	93.855*	2U19AI051731-11REVIS	August 1, 2012	July 31, 2013
93.855*	5F32AI091105-02	July 1, 2010	June 30, 2012	93.855*	3R01AI097423-01A1S1	June 1, 2012	May 31, 2017
93.855*	1F32AI085763-01A1	September 1, 2010	August 31, 2011	93.855*	2R01AI071002-06A1	July 1, 2012	June 30, 2017
93.855*	1R34AI091437-01	September 23, 2010	August 31, 2013	93.855*	1R21AI102197-01	July 1, 2012	June 30, 2014
93.855*	1R56AI091805-01REV	August 1, 2011	October 30, 2011	93.855*	5K22AI087818-02	February 1, 2012	January 31, 2014
93.855*	5K01AI091864-03	February 1, 2011	January 31, 2016	93.855*	1R21AI095718-01A1	July 1, 2012	June 30, 2014
93.855*	1R56AI091827-01A1	August 1, 2011	July 31, 2013	93.855*	1R56AI095712-01A1	August 15, 2012	July 31, 2013
93.855*	1R56AI087673-01A1	September 1, 2011	August 31, 2013	93.855*	1R01AI098628-01A1	May 17, 2012	April 30, 2017
93.855*	5R01AI083402-02	July 1, 2011	June 30, 2016	93.855*	1R21AI098592-01A1	July 1, 2012	June 30, 2014
93.855*	5R01AI093406-02	May 1, 2011	April 30, 2016	93.855*	1R01AI096879-01AI	July 1, 2012	June 30, 2017
93.855*	7R01AI066998-07	June 1, 2010	February 28, 2011	93.855*	5R21AI094218-03	April 1, 2012	January 31, 2014
93.855*	5R01AI090797-03	July 25, 2010	June 30, 2014	93.855*	5R37AI049660-10	May 1, 2012	January 31, 2015
93.855*	5R37AI040519-17	February 1, 2012	January 31, 2017	93.855*	5R01AI084808-05	May 1, 2012	August 31, 2014
93.855*	5R01AI058828-08	December 1, 2010	November 30, 2015	93.855*	1U19AI07407801	September 1, 2007	August 31, 2012
93.855*	5R01AI084836-04	September 1, 2010	August 31, 2014	93.855*	5U19AI074073-04	September 30, 2007	August 31, 2013
93.855*	5R21AI094449-02	March 1, 2011	February 28, 2014	93.855*	191621, AMD 4	May 1, 2008	April 30, 2013
93.855*	7R21AI079539-03	August 1, 2010	January 31, 2012	93.855*	1495510010/5P01AI562	October 1, 2003	January 31, 2009
93.855*	5R01AI094575-03	April 4, 2011	March 31, 2015	93.855*	1R01AI07653501A1	June 15, 2008	May 31, 2013
93.855*	5R01AI053668-12	August 1, 2010	February 28, 2014	93.855*	550776/U54AI057157	March 1, 2008	September 30, 2012
93.855*	5R01AI030048-22	March 1, 2011	February 29, 2016	93.855*	5U54AI057157-11	September 1, 2003	February 28, 2014
93.855*	5R21AI087453-02	September 15, 2010	February 28, 2013	93.855*	0255-1125-4609	August 1, 2008	July 31, 2012
93.855*	1 R56 AI087186-01	September 15, 2010	August 31, 2013	93.855*	4 (GG006382)	May 1, 2009	February 28, 2014
93.855*	5R37AI06698-10	March 1, 2011	February 29, 2016	93.855*	RES502643	August 1, 2007	July 31, 2013
93.855*	5R01AI070101-07	February 1, 2012	January 31, 2017	93.855*	546160/PO2226978	February 1, 2006	November 30, 2010
93.855*	5R21AI096067-02	July 1, 2011	June 30, 2013	93.855*	AI07407302/U19	September 30, 2007	August 31, 2012
93.855*	5U19AI096187-02REVIS	July 7, 2011	June 30, 2012	93.855*	025513534609/5U01AI0	September 13, 2004	December 31, 2011
93.855*	2R56AI070101-06	September 30, 2011	January 30, 2012	93.855*	1U01AI06519104	September 30, 2004	July 31, 2009
93.855*	2R56AI074417-04A1	July 15, 2011	June 30, 2013	93.855*	1015107/5P01AI048240	September 30, 2000	July 31, 2009
93.855*	1R01AI093881-01A1	December 1, 2011	November 30, 2016	93.855*	10-21RR571-202/89224	August 1, 1997	May 31, 2012
93.855*	1R21AI094402-01A1	February 15, 2012	January 31, 2014	93.855*	CC0159700:P0095420	June 1, 2009	May 31, 2013
93.855*	5R01AI064462-07	September 1, 2011	February 28, 2017	93.855*	VUMC34383.AMD5	March 15, 2008	February 28, 2013
93.855*	1F32AI096709-01A1	June 1, 2012	May 31, 2014	93.855*	110-113842-1	March 15, 2007	February 28, 2012
93.855*	1R13AI098373-01	January 9, 2012	December 31, 2012	93.855*	5U01AI06519105	September 30, 2001	July 31, 2009
93.855*	SR00001551/AMD 5	September 1, 2007	August 31, 2012	93.855*	41000411216	May 1, 2012	April 30, 2013
93.855*	000435901-002	May 1, 2008	April 30, 2013	93.855*	763413	February 1, 2012	January 31, 2014
93.855*	SUB 016341-02	January 1, 2008	July 31, 2013	93.856	5U19AI06172805	September 2, 2004	August 31, 2011

## EMORY UNIVERSITY

## Schedule of Award Periods for Programs

Related to Finding 2012-1

Year ended August 31, 2012

<u>CFDA Number</u>	<u>Award Number</u>	<u>Award beginning date</u>	<u>Award ending date</u>	<u>CFDA Number</u>	<u>Award Number</u>	<u>Award beginning date</u>	<u>Award ending date</u>
93.855*	1034817	April 1, 1998	February 28, 2014	93.856	5R01AI05599404	April 1, 2004	March 31, 2010
93.855*	1015109	August 1, 2009	July 31, 2013	93.856	3R01AI04331609S1	July 15, 1998	February 28, 2010
93.855*	5U19AI031496-22	September 25, 2009	August 31, 2013	93.856	002COMPANS/5U19AI028	May 1, 1994	January 31, 2009
93.855*	151163.5027281.0003	September 5, 2009	August 31, 2014	93.856	1R43AI081385-01A1	September 1, 2009	August 31, 2011
93.855*	WU11300/PO#2024367N	September 24, 2009	August 31, 2011	93.856	Brandeis # 4-01202	August 1, 2009	July 31, 2011
93.855*	BRS-ACURE-S11000301	June 1, 2009	May 31, 2012	93.859	2T32GM008490-15	July 1, 2003	June 30, 2008
93.855*	PO# 2001007978	June 15, 2010	May 31, 2013	93.859	5K12GM000680-10REVIS	September 1, 2000	September 29, 2010
93.855*	75940 / 5R01AI084011	November 10, 2009	May 31, 2013	93.859	5T32GM00860515	July 1, 2007	June 30, 2011
93.855*	2010-2423/AI090656	July 1, 2010	May 31, 2013	93.859	5T32GM008490-20REVSD	July 1, 1993	June 30, 2013
93.855*	1R43AI091230-01	July 5, 2010	June 30, 2012	93.859	5R37GM051173-27	July 1, 1995	December 31, 2012
93.855*	6233SC/R01AI089292	July 1, 2010	June 30, 2012	93.859	5R01GM06615322S1	January 1, 2003	August 31, 2009
93.855*	EMORYVEA040112	January 1, 2010	December 31, 2010	93.859	5R01GM080754-04 REV	December 1, 2008	January 31, 2014
93.855*	1194803	September 30, 2010	August 31, 2013	93.859	5R01GM068680-07	June 1, 2005	May 31, 2010
93.855*	NIH/5R01AI081846-03	March 3, 2010	February 28, 2015	93.859	5R01GM054395-29REVIS	December 25, 2008	November 30, 2012
93.855*	EU-15536	July 15, 2010	June 30, 2012	93.859	5R01GM015691-43REVIS	March 9, 2009	December 31, 2013
93.855*	24005-03-307	June 1, 2010	August 31, 2013	93.859	5R01GM084070-04	May 1, 2009	April 30, 2014
93.855*	24004-19-307	June 1, 2010	August 31, 2013	93.859	5R01GM082932-04	September 10, 2007	August 31, 2012
93.855*	RES503443	August 1, 2010	July 31, 2013	93.859	5R01GM069971-08	February 1, 2004	May 31, 2013
93.855*	149639.5025086.0910	September 1, 2010	August 31, 2013	93.859	5R01GM091875-13	August 1, 2009	July 31, 2013
93.855*	VUMC38503	August 1, 2011	July 31, 2013	93.859	5T32GM008602-15	July 1, 1996	June 30, 2012
93.855*	9500301461	August 1, 2011	July 31, 2013	93.859	5T32GM008169-25	July 1, 1987	June 30, 2012
93.855*	000354181-001	September 11, 2009	August 31, 2013	93.859	5R01GM043107-18	April 2, 2007	February 28, 2012
93.855*	41000411007	February 1, 2011	April 30, 2012	93.859	5R01GM080771-04	September 1, 2008	August 31, 2012
93.855*	41000411010	February 1, 2011	April 30, 2012	93.859	5R01GM02943326	April 1, 2006	January 31, 2011
93.855*	RB323-G1/AMD 1	June 1, 2010	May 31, 2012	93.859	5R01GM07395904	April 1, 2006	March 31, 2012
93.855*	726611	September 30, 2011	January 31, 2012	93.859	5R01GM082828-04REVIS	July 18, 2008	April 30, 2014
93.855*	NIH 1R21AI095129-01A	July 12, 2011	June 30, 2013	93.859	5R01GM7760004	May 1, 2006	April 30, 2012
93.855*	WU-11-300	January 1, 2011	August 31, 2012	93.859	5R01GM07756904	April 1, 2006	March 31, 2011
93.855*	11-M61	September 1, 2011	May 31, 2013	93.859	5R01GM053640-17	April 1, 2009	December 31, 2013
93.855*	00007955-BB00039299	May 1, 2012	April 30, 2013	93.859	5R01GM068680-07	June 1, 2005	May 31, 2013
93.855*	557146/ PO#2684706	June 15, 2011	June 14, 2013	93.859	5R01GM067226-08	June 1, 2008	May 31, 2012
93.855*	738767	June 1, 2011	April 30, 2014	93.859	5R01GM06995805	July 1, 2005	June 30, 2011
93.855*	557915/ PO 2794394	August 1, 2011	March 31, 2013	93.859	5R01GM04924516 REVIS	December 1, 2005	August 31, 2010
93.855*	PO # 5-24907	July 15, 2012	June 30, 2013	93.859	5R01GM07924204	February 1, 2007	January 31, 2012
93.855*	po #5-24906	July 15, 2012	June 30, 2013	93.859	5R01GM06310209	March 1, 2002	February 28, 2012
93.855*	PO# 5-24908	July 15, 2012	June 30, 2013	93.859	5R01GM078502-05	July 1, 2007	June 30, 2013
93.855*	GVGT10103	September 1, 2011	February 29, 2012	93.859	5R01GM035463-25	September 1, 2007	August 31, 2012
93.855*	120718	June 22, 2012	May 31, 2014	93.859	5R01GM086824-04	September 26, 2008	June 30, 2013
93.855*	RB323G2/000338217003	September 1, 2011	May 31, 2012	93.859	5R01GM047310-15	April 1, 2007	March 31, 2011
93.855*	1200101	June 8, 2012	May 31, 2013	93.859	5R01GM05997509	August 1, 1999	May 31, 2011
93.855*	APRC00765EU	July 1, 2011	June 30, 2013	93.859	3R01GM058728-12S1	February 1, 1999	August 31, 2013
93.859	5R01GM08388914	August 1, 2008	February 29, 2012	93.859	R22071	September 15, 2011	May 31, 2013
93.859	5R01GM084363-04	September 15, 2008	July 31, 2013	93.864*	5F32HD061197-03	August 1, 2009	July 31, 2012
93.859	5R01GM07407004	February 1, 2006	January 31, 2012	93.864*	5R03HD05182202	August 1, 2008	August 14, 2011
93.859	5F31GM083452-03REVIS	April 1, 2008	May 10, 2010	93.864*	5R21HD05557002	September 1, 2008	August 31, 2011
93.859	5R01GM085448-04	August 1, 2008	July 31, 2012	93.864*	2007-06469-02	April 7, 2008	March 31, 2013
93.859	5R01GM030308-29	September 1, 2007	July 31, 2012	93.865	1R01HD04171601A1	June 1, 2004	March 31, 2010

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Year ended August 31, 2012

CFDA Number	Award Number	Award beginning date	Award ending date	CFDA Number	Award Number	Award beginning date	Award ending date
93.859	5R25GM089615-03	March 15, 2010	February 28, 2014	93.865	2U10HD027851-21	April 1, 1991	April 1, 2011
93.859	5R01GM093278-03	June 1, 2010	May 31, 2015	93.865	5R03HD05243102	May 1, 2006	April 30, 2009
93.859	5R01GM090158-03	September 1, 2010	July 31, 2014	93.865	5R01HD04309904	April 16, 2004	August 31, 2009
93.859	5R01GM046331-20	September 1, 2010	July 31, 2014	93.865	5R01HD059122-05	January 5, 2009	November 30, 2013
93.859	5R01GM049245-19	September 1, 2010	July 30, 2014	93.865	5K23HD058043-04	February 5, 2009	January 31, 2013
93.859	5K12GM000680-13	September 30, 2010	August 31, 2015	93.865	5R01HD03897909	June 22, 2000	May 31, 2010
93.859	5T32GM074909-08	July 1, 2010	June 30, 2013	93.865	HHSN2752008000024C	September 26, 2008	September 25, 2013
93.859	5R01GM072808-08	September 13, 2010	August 31, 2014	93.865	5R01HD060679-04	April 1, 2009	March 31, 2014
93.859	5T32GM095442-02	July 1, 2011	June 30, 2016	93.865	5R03HD05488602	September 28, 2007	August 31, 2011
93.859	5R01GM029433-29	February 1, 2011	December 31, 2013	93.865	5R01HD061971-04	July 15, 2009	June 30, 2014
93.859	5R01GM093294-02	September 1, 2011	August 31, 2015	93.865	5R01HD055379-05	March 1, 2008	February 28, 2014
93.859	5R01GM066202-09	November 2, 2009	February 28, 2012	93.865	5P01HD032571-15 REV	April 20, 1995	March 31, 2012
93.859	5T32GM008605-17	July 1, 2011	June 30, 2016	93.865	5R01HD055835-05	May 1, 2007	April 30, 2013
93.859	5R01GM047310-18	April 1, 2011	March 31, 2015	93.865	5R01HD02990914	May 5, 1994	May 31, 2011
93.859	5R01GM060448-11	April 1, 2011	March 31, 2015	93.865	5R01HD020521-25	December 1, 2006	November 30, 2012
93.859	5T32GM008367-23	July 1, 2010	June 30, 2015	93.865	5R01HD057029-03	August 1, 2008	July 31, 2012
93.859	5R01GM054787-18	August 1, 2010	September 27, 2012	93.865	5R01HD043099-08	September 15, 2009	August 31, 2013
93.859	1R01GM099142-02	September 20, 2011	May 31, 2015	93.865	1F32HD064545-02	July 1, 2010	June 30, 2012
93.859	5R24GM098791-02	September 20, 2011	August 31, 2014	93.865	5R01HD056956-06	March 1, 2009	June 30, 2014
93.859	2T32GM008169-26	July 1, 2012	June 30, 2017	93.865	5R21HD065115-02	August 1, 2010	May 31, 2013
93.859	5R01GM100151-02	March 1, 2012	December 31, 2015	93.865	5R03HD061509-02REVIS	April 1, 2010	March 31, 2013
93.859	1R01GM097331-01A1	March 5, 2012	January 31, 2016	93.865	1F32HD060368-01A2	June 1, 2010	December 31, 2010
93.859	5R01GM083889-16	March 1, 2012	December 31, 2015	93.865	5R01HD046922-08	June 25, 2010	May 31, 2015
93.859	2T32GM008602-16	July 1, 2012	June 30, 2017	93.865	5R21HD066306-02	August 1, 2010	July 31, 2013
93.859	1R01GM097399-01-A1	April 1, 2012	March 31, 2017	93.865	5R01HD066059-03	September 29, 2010	July 31, 2015
93.859	5R01GM084175-03	August 1, 2011	December 31, 2013	93.865	5U01HD066439-03	August 15, 2010	July 31, 2015
93.859	NIH/5U01GM070749-10	May 8, 2009	April 30, 2014	93.865	5R01HD067111-03	August 1, 2010	May 31, 2014
93.859	UF07084/AMEND1U01GM0	August 3, 2005	July 31, 2008	93.865	5R01HD038979-12	September 15, 2010	May 30, 2014
93.859	R01GM081592	August 1, 2007	July 31, 2012	93.865	5R03HD060602-02REVIS	January 1, 2011	December 31, 2013
93.859	9-526-1747	May 1, 2009	April 30, 2013	93.865	5R21HD066577-02REV	January 1, 2011	December 31, 2013
93.859	UF12210/Proj #104021	August 1, 2010	July 31, 2013	93.865	2U10HD027851-22	April 1, 2011	March 31, 2016
93.859	RR166-732-4693658	August 1, 2009	July 31, 2010	93.865	5T32HD052460-07	May 1, 2011	April 30, 2016
93.859	5R01GM75965-06	September 30, 2011	July 31, 2012	93.865	5R03HD067490-02	August 10, 2011	July 31, 2013
93.859	RR549-343/4785766	January 1, 2012	December 31, 2013	93.865	2R21HD067906-02	September 30, 2011	August 31, 2013
93.859	SP00010548-03	September 30, 2010	August 31, 2013	93.865	5F31HD070735-02	December 1, 2011	November 30, 2015
93.859	4R44GM095209-02	September 1, 2010	February 28, 2013	93.865	—	August 1, 2010	July 31, 2011
93.859	110-1093090-56699	September 1, 2010	December 31, 2012	93.865	7K01HD060759-03REVIS	June 1, 2011	May 31, 2015
93.859	Subaward/PO #382K885	January 15, 2012	December 31, 2012	93.865	5R21HD067834-02	September 16, 2011	August 31, 2013
93.865	5R01HD067359-02	February 16, 2012	January 31, 2017	93.866	2000GGV681AMEND3	September 1, 2005	May 31, 2010
93.865	5K23HD069199-02	January 2, 2012	December 31, 2016	93.866	544917UDS/5U01AG0169	July 1, 2008	October 30, 2010
93.865	2P01HD032571-16	April 1, 2012	March 31, 2017	93.866	1(Acct. #5-34005)	September 1, 2001	March 31, 2013
93.865	5K12HD072245-02	March 9, 2012	November 30, 2016	93.866	721762	July 1, 2010	June 30, 2012
93.865	-	July 1, 2011	June 30, 2013	93.866	5P50AG016574-14	May 1, 2010	April 30, 2013
93.865	1R01HD072659-01	August 10, 2012	April 30, 2017	93.866	558836	September 30, 2010	April 30, 2013
93.865	1R21DH073033-01	August 10, 2012	May 31, 2014	93.866	000410331-003	September 30, 2011	August 31, 2016
93.865	1R21HD073162-01	August 1, 2012	July 31, 2014	93.866	AG023451	November 15, 2011	August 31, 2012
93.865	1R21HD071148-01A1REV	July 20, 2012	June 30, 2014	93.866	557704	September 1, 2011	August 31, 2013

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CFDA Number	Award Number	Award beginning date	Award ending date	CFDA Number	Award Number	Award beginning date	Award ending date
93.865	PO #5600828282	July 1, 2008	June 30, 2013	93.866	32-4130	September 1, 2011	August 31, 2012
93.865	5-32510/5R01HD05561-	June 8, 2007	May 31, 2012	93.866	1000962256/W00326528	September 1, 2011	June 30, 2013
93.865	2000636054Amendment3	September 30, 2008	July 31, 2013	93.866	SUBAWARD 741797	July 1, 2012	June 30, 2013
93.865	101702131	July 1, 2009	June 30, 2013	93.867	1U10EY01327201A2	July 1, 2004	May 31, 2009
93.865	101702115	July 1, 2007	June 30, 2013	93.867	5K24EY017332-05	May 1, 2006	April 30, 2012
93.865	1D43HD065249-01	September 15, 2009	June 30, 2014	93.867	5U1EY013272-09	July 1, 2004	May 31, 2013
93.865	5P01HD023315/0650286	September 30, 2009	June 30, 2014	93.867	5U10EY013287-09	June 1, 2009	May 31, 2014
93.865	STTR/1R41 HD06536-01	September 29, 2010	August 31, 2012	93.867	2R01EY01531204A2	June 1, 2008	June 30, 2009
93.865	SP00010461-3	September 15, 2010	August 30, 2015	93.867	5R01EY01402605	May 1, 2004	April 30, 2011
93.865	70255-4421-4609	September 1, 2011	August 31, 2013	93.867	5R01EY016435-05	January 1, 2009	November 30, 2013
93.865	NIH 2K12HD055931-06	September 1, 2010	August 31, 2013	93.867	5R01EY01963002 REV	August 1, 2009	October 31, 2010
93.865	GPED10472A	August 1, 2010	July 31, 2012	93.867	5R01EY01244008	February 1, 1999	March 31, 2011
93.865	S12-0002	May 29, 2012	February 28, 2013	93.867	5P30EY006360-25S1	April 1, 1997	March 31, 2012
93.865	2814	September 1, 2011	November 30, 2012	93.867	5R01EY01647004	April 1, 2006	March 31, 2012
93.866	3P50AG02568804S3	June 1, 2005	April 30, 2010	93.867	5R01EY016400-05REVIS	February 1, 2006	January 31, 2011
93.866	5R01AG01504311	January 1, 2004	December 1, 2009	93.867	5R01EY014852-08 REV	March 1, 2008	February 29, 2012
93.866	5R01AG023695-05S1	February 21, 2005	August 31, 2011	93.867	5R24EY017045-05	June 1, 2006	July 31, 2012
93.866	5R01AG02876903	September 1, 2006	August 31, 2010	93.867	5R01EY004864-29	September 1, 2007	August 31, 2013
93.866	5R01AG034126-04	August 1, 2009	July 31, 2014	93.867	5K23EY019341-03	June 1, 2010	May 31, 2015
93.866	5R01AG019206-10	May 1, 2005	July 31, 2012	93.867	5T32EY007092-27	January 1, 2010	December 31, 2014
93.866	5P01AG026423-05 REV	April 15, 2007	March 31, 2013	93.867	5F31EY021089-02	September 1, 2010	August 31, 2015
93.866	5K23AG02596305	May 1, 2005	April 30, 2010	93.867	5R01EY016400-08	February 1, 2011	January 31, 2016
93.866	5R01AG028278-05	September 1, 2006	August 31, 2011	93.867	3R01EY014026-07S1	September 1, 2011	August 31, 2016
93.866	5R01AG031153-04	September 15, 2009	August 31, 2014	93.867	5R01EY012440-11	April 1, 2011	March 31, 2015
93.866	AG025688	May 1, 2010	April 30, 2015	93.867	5K23EY021760-02	September 1, 2011	August 30, 2016
93.866	5R01AG038746-03	September 30, 2010	August 31, 2015	93.867	5P30EY006360-27	September 1, 2011	August 31, 2016
93.866	5F32AG038259-02	September 30, 2011	September 29, 2013	93.867	5R01EY014852-10	March 1, 2012	February 28, 2015
93.866	5R21AG040589-02	August 15, 2011	July 31, 2013	93.867	2R44EY01622903	January 1, 2008	September 29, 2011
93.866	5R01AG040013-02	September 30, 2011	August 31, 2016	93.867	10-178 PO2911876A	September 1, 2009	March 20, 2012
93.866	5R00AG032362-04	February 1, 2012	January 31, 2015	93.867	5-30479/R01EY018400	February 1, 2010	April 30, 2013
93.866	2R01AG019206-11A1	August 1, 2012	July 31, 2017	93.867	23913450-41077-A	July 1, 2009	June 30, 2014
93.866	5F32AG041543-03	January 9, 2012	January 8, 2015	93.867	R7747-G6, AMD8	September 30, 2010	July 31, 2015
93.866	P01AG014449-15,AMD#6	April 1, 2008	March 31, 2013	93.867	-	March 1, 2012	February 28, 2013
93.866	2(ACCT5-37166)	February 1, 2009	January 31, 2013	93.867	R7747-G14	August 1, 2011	July 31, 2014
93.866	5P01AG00000134/46775	December 1, 2005	May 31, 2012	93.867	2R01EY022216-09A1	January 1, 2012	December 31, 2012
93.879	5R01LM011119-02	July 1, 2011	May 31, 2015	93.RD	N01-AI-25456	March 20, 2002	March 21, 2013
93.879	5R01LM009239-03	September 30, 2008	September 29, 2011	93.RD	N01DK75004/HHSN26720	March 1, 2007	August 31, 2013
93.884	5 D55HP23205-02-00	September 30, 2011	September 29, 2016	93.RD	N01AI50025MOD3/4	September 30, 2005	September 29, 2011
93.884	5D57HP23244-02-00	September 30, 2011	September 29, 2013	93.RD	HHS233200900491P	September 14, 2009	March 31, 2010
93.887	7R21HL097226-02	December 1, 2011	November 30, 2013	93.RD	CIERS 2010 TRAINING	October 1, 2010	February 28, 2011
93.891	5P50AA01375703	January 1, 2003	December 31, 2008	93.RD	HHSN271201100375P	June 1, 2011	May 31, 2012
93.891	5P50AA013757-09REVIS	December 1, 2008	December 31, 2012	93.RD	200-2011-41278/0002	September 29, 2011	September 28, 2021
93.918	5H76HA07848-05-00	January 1, 2010	December 31, 2011	93.RD	200-2011-M-41938	September 25, 2011	September 24, 2012
93.918	5H76HA07848-07-00	January 1, 2012	December 31, 2013	93.RD	HHSN261201000025C	August 1, 2012	September 29, 2013
93.926	HS-2009-11	June 1, 2009	May 31, 2010	93.RD	UF12154	May 30, 2007	May 29, 2013
93.928	U90HA07632	September 1, 2006	August 31, 2012	93.RD	R9934S1/N0001406D004	April 1, 2009	August 10, 2010
93.936	959/0080.0161	November 1, 2011	April 30, 2013	93.RD	7200004469	September 1, 2005	September 30, 2009

## EMORY UNIVERSITY

## Schedule of Award Periods for Programs

Related to Finding 2012-1

Year ended August 31, 2012

<u>CFDA Number</u>	<u>Award Number</u>	<u>Award beginning date</u>	<u>Award ending date</u>	<u>CFDA Number</u>	<u>Award Number</u>	<u>Award beginning date</u>	<u>Award ending date</u>
93.941	5UR6PS000679-04	September 30, 2007	September 29, 2012	93.RD	18205	September 1, 2008	February 28, 2009
93.941	1H62PS003187-01REVIS	September 1, 2010	August 31, 2012	93.RD	EH06-201-S14	July 1, 2008	September 29, 2012
93.941	5U01PS003322-02	January 1, 2012	December 31, 2015	93.RD	29XS132T08Mod5	June 24, 2009	June 23, 2014
93.941	2000526368/R01AI0788	July 1, 2008	May 31, 2013	93.RD	2U01DK06386506/22234	January 1, 2008	April 30, 2009
93.943	U65/CCU42337203	September 30, 2003	September 29, 2007	93.RD	GRS-09-009/08-AA-120	November 1, 2008	September 14, 2011
93.945	427930905084504AMEND	July 1, 2008	December 31, 2010	93.RD	RF01214227	September 26, 2008	May 11, 2012
93.959	200-2007-19630	October 1, 2009	September 30, 2012	93.RD	94558CBS88TASKORDER1	July 14, 2008	March 31, 2009
93.964	5A03HP01160-16-00	July 1, 1996	June 30, 2012	93.RD	PO # 5-23546	September 1, 2008	August 31, 2011
93.969	5UB4HP19215-03-00	July 1, 2010	June 30, 2015	93.RD	SUB NO 021066	March 1, 2008	February 29, 2012
93.974	1FPRPA0060270100	September 30, 2007	September 29, 2011	93.RD	29XS193MOD6 & 7	August 24, 2009	May 9, 2012
93.977	5H25PS001412-04 REV	January 1, 2009	December 31, 2013	93.RD	ATOPIC DERMATITIS	June 30, 2010	June 29, 2014
93.977	200-2008-28225	January 1, 2009	March 21, 2014	93.RD	RB307-S1	August 20, 2010	August 19, 2015
93.977	427930808142299	March 1, 1987	March 31, 2009	93.RD	HHSN2610201000125C	September 24, 2010	June 23, 2011
93.989	3D43TW007262-05S2	May 1, 2005	February 28, 2012	93.RD	DHHS-HHS276200900006	December 7, 2009	August 26, 2012
93.989	5D43TW00712405	September 27, 2004	March 31, 2010	93.RD	OPM02070029 -10-04	January 29, 2010	March 31, 2013
93.989	5R25TW00773303	September 15, 2006	August 31, 2011	93.RD	29XS132 ST 04	June 22, 2010	February 28, 2013
93.989	5D43TW001042-13	June 1, 2009	March 31, 2013	93.RD	-	April 1, 2010	March 31, 2013
93.989	5D43TW007124-09	July 1, 2009	June 30, 2014	93.RD	HHSN268200900048C	September 14, 2009	September 13, 2018
93.989	3D43TW005746-10S1	September 29, 2001	August 31, 2013	93.RD	HHSN250201000018C	September 21, 2012	March 20, 2013
93.989	4R00TW008043-05	July 1, 2008	June 30, 2012	93.RD	550-10 SC	September 1, 2010	May 31, 2013
93.989	1R21TW009032-01	September 9, 2011	August 31, 2013	93.RD	-	July 15, 2010	June 30, 2011
93.989	1D43TW009135-01A1	July 12, 2012	February 28, 2017	93.RD	CDC 200-2010-37417	September 30, 2010	September 29, 2013
93.989	1D43TW00758501	January 1, 2007	March 31, 2011	93.RD	29XS132ST10	November 8, 2010	October 31, 2012
93.989	RES502866/R01TW08067	September 20, 2007	July 31, 2013	93.RD	Amendment #1	September 1, 2010	August 31, 2012
93.989	VUMC3552/5R24TW00798	July 1, 2009	August 31, 2012	93.RD	RF01221705, MOD2	September 1, 2010	October 31, 2011
93.989	VUMC36841-R	July 1, 2010	June 30, 2011	93.RD	-	July 5, 2011	June 30, 2013
93.989	VUMC38414	July 1, 2011	September 30, 2012	93.RD	2011056	January 7, 2011	June 30, 2013
93.989	VUMC 40185	July 1, 2012	February 28, 2013	93.RD	0024031-1	September 26, 2011	September 25, 2013
93.994	41900-036-11100293	June 30, 2010	June 29, 2012	93.RD	200-2010-M-35093	September 1, 2010	September 14, 2012
93.RD	HHSN272200800005C	November 1, 2007	October 31, 2014	93.RD	200-2009-31909	April 15, 2011	September 10, 2011
93.RD	20020010086/0013	October 1, 2001	September 30, 2011	93.RD	2-312-0212791	September 15, 2011	March 15, 2013
93.RD	HHSN267200700007C	September 28, 2007	September 27, 2012	93.RD	200-2011-41989	September 30, 2011	September 29, 2013

**EMORY UNIVERSITY**  
 Schedule of Award Periods for Programs  
 Related to Finding 2012-1  
 Year ended August 31, 2012

<u>CFDA Number</u>	<u>Award Number</u>	<u>Award beginning date</u>	<u>Award ending date</u>
93.RD	11st1030	October 26, 2011	November 30, 2012
93.RD	200-2009-31909-0012	September 12, 2011	April 14, 2012
93.RD	40500-032-13120764	February 8, 2012	June 30, 2013
93.RD	BD514857	September 30, 2011	September 29, 2012
93.RD	HS-2009-12	June 1, 2011	May 31, 2012
93.RD	4R44GM096723-02	April 1, 2012	August 31, 2013
93.RD	-	March 15, 2012	February 28, 2015
98.001	114A00070006400	September 20, 2007	September 19, 2010
98.001	AID-114-A-09-00009	September 30, 2009	September 29, 2012
98.001	IAVI ATLANTA 2010: F	January 1, 2010	December 31, 2010
98.001	EMORYVEAO40113	January 1, 2010	December 31, 2010
98.001	012-01 EUH	May 1, 2010	March 14, 2012
98.001	G-9650-3	December 1, 2010	August 31, 2012
98.001	EMORYVEA040116	January 1, 2011	December 31, 2011
98.001	EMORYVEA040115	January 1, 2011	December 31, 2011
98.001	EMORYVEA040114	January 1, 2011	December 31, 2011
98.001	G-9650-19	November 1, 2011	October 31, 2013
98.001	2012 ZAMBIA FEDERAL	January 1, 2012	December 31, 2013
98.001	2012RWANDA(PSF)FED/S	January 1, 2012	December 31, 2013
98.001	2013 ATLANTA FED/SOW	January 1, 2012	December 31, 2013
98.012	523-A-00-06-00009-00	July 23, 2009	December 31, 2012



**Finding 2012-1**

***Reporting – Financial Status Reports***

Federal Agency:	U.S. Department of Health and Human Services U.S. Department of Agriculture U.S. Department of Defense U.S. Department of State National Aeronautics and Space Administration National Endowment for the Humanities National Science Foundation U.S. Department of Veteran Affairs U.S. Environmental Protection Agency U.S. Department of Energy U.S. Department of Education U.S. Agency for International Development
Federal Program:	Research and Development Cluster
CFDA No.	See appendix A
Award Year:	See appendix A

***Criteria***

Per Circular A-110, Section 52, the Federal awarding agency shall determine the frequency of the Financial Status Report for each project or program, considering the size and complexity of the particular project or program. Each project is assigned a reporting due date for which financial status reports, forms 269s and 272s, must be filed.

***Condition***

During our test work over the Research and Development Cluster, we selected a sample of 40 financial status reports and noted that 20 of the reports had not been submitted within the required time frame as stipulated in the grant agreement.

***Cause***

The University experienced delays and backlogs in its process to ensure that all grant reports are submitted on a timely basis due to a new system implementation. The reporting exception appears to be systemic in nature.

***Questioned Cost***

None.

***Effect***

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Noncompliance could result in a lack of timely reporting in accordance with the terms of the grant agreement.

***Recommendation***

We recommend that the University strengthen its processes and controls in place to help ensure that all financial status reports are submitted in a timely manner in accordance with the grant agreement.

***Corrective Action Plan***

Emory implemented the PeopleSoft Financial Management System (including the grants module) in September 2009. Following the implementation, there was a period of time where staff needed to learn the new, more complex system. In addition, staffing levels were not adequate due to the increased time required for handling tasks in the new system. During this period, new management reports were developed to assist staff in managing sponsored projects. Since implementation, a large number of reports have been developed and the system has been enhanced to assist us in managing our awards. While all of this was occurring, there were delays with some financial reporting.

Over the past year, we have made significant progress in our ability to track reports by due date and completion, as well as address delinquent reports. We have developed metric reports that provide tracking of all financial reports. Additional resources have been obtained to ensure that all of our financial reports are up to date. An additional Associate Director was added in the post award area to assist in the management of this area. We are also developing electronic templates that will be generated after an award ends to standardize and simplify the process of finalizing expenditures and closing the award. These metric reports allow Emory to actively track and measure different activities regarding sponsored awards in an automated way. Financial reporting on our sponsored projects is a critical area to Emory. We are fully committed to ensuring that this area is managed without delinquencies.

***Responsible Person:*** Evelyn Balabis, Director, Post Award Financials, Office of Grant and Contract Accounting, Emory University.