

**RESEARCH FOUNDATION of
The CITY UNIVERSITY OF NEW YORK**

Supplemental Financial Statements Schedules (Unaudited)

Prepared for the Board of Directors

**For Fiscal Year Ending June 30, 2019
with comparison data for the previous fiscal year**



Prepared by the Office of the Chief Financial Officer



RESEARCH FOUNDATION
of The CITY UNIVERSITY OF NEW YORK

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**RESEARCH FOUNDATION OF
THE CITY UNIVERSITY OF NEW YORK**
Grants and Contracts Expenditures by Funding Source
Years ended June 30, 2019 and 2018

	<u>2019</u>	<u>2018</u>	<u>Variance</u>	
Grants and contracts expenditures:				
Federal:				
National Science Foundation	\$ 28,914,277	29,856,430	(942,153)	-3%
Department of Health and Human Services	3,847,907	4,986,624	(1,138,717)	-23%
National Institutes of Health	40,459,054	37,735,834	2,723,220	7%
Department of Education	26,114,140	23,683,717	2,430,423	10%
Other federal sponsors	<u>28,404,365</u>	<u>29,989,254</u>	<u>(1,584,889)</u>	-5%
Total federal	<u>127,739,743</u>	<u>126,251,859</u>	<u>1,487,884</u>	1%
State and municipal:				
State sponsors	51,730,344	48,548,306	3,182,038	7%
Municipal sponsors	174,056,987	163,367,565	10,689,422	7%
New York County District Attorney's Office	<u>29,771,255</u>	<u>23,690,492</u>	<u>6,080,763</u>	26%
Total state and municipal	<u>255,558,586</u>	<u>235,606,363</u>	<u>19,952,223</u>	8%
Private:				
Corporations	5,654,597	4,223,070	1,431,527	34%
Foundations	27,970,076	25,968,725	2,001,351	8%
Other private sponsors	<u>68,939,867</u>	<u>60,323,269</u>	<u>8,616,598</u>	14%
Total private	<u>102,564,540</u>	<u>90,515,064</u>	<u>12,049,476</u>	13%
CUNY Sponsored:				
PSC-CUNY research award program	3,733,988	3,942,063	(208,075)	-5%
CUNY miscellaneous	<u>30,613,644</u>	<u>43,219,019</u>	<u>(12,605,375)</u>	-29%
Total CUNY Sponsored	<u>34,347,632</u>	<u>47,161,082</u>	<u>(12,813,450)</u>	-27%
Total non-federal	<u>392,470,758</u>	<u>373,282,509</u>	<u>19,188,249</u>	5%
Total grants and contracts expenditures	\$ <u>520,210,501</u>	<u>499,534,368</u>	<u>20,676,133</u>	4%

**RESEARCH FOUNDATION OF
THE CITY UNIVERSITY OF NEW YORK**
Grants and Contracts Expenditures by Program Type
Years ended June 30, 2019 and 2018

	<u>2019</u>	<u>Percentage of total direct costs</u>	<u>2018</u>	<u>Percentage of total direct costs</u>
<u>Federal awards:</u>				
Direct costs:				
Research programs	\$ 69,655,476	67%	71,273,493	69%
Training programs	26,294,841	25%	24,282,693	23%
Other Sponsored Activity	8,215,038	8%	8,347,380	8%
Other Institutional Activity	—	—	—	—
Total federal direct costs	<u>104,165,355</u>	<u>100%</u>	<u>103,903,566</u>	<u>100%</u>
		<u>Percentage of total indirect costs</u>		<u>Percentage of total indirect costs</u>
Indirect costs:				
Research programs	21,434,869	91%	20,247,324	91%
Training programs	1,330,655	6%	1,465,727	7%
Other Sponsored Activity	808,864	3%	635,242	3%
Other Institutional Activity	—	—	—	—
Total federal indirect costs	<u>23,574,388</u>	<u>100%</u>	<u>22,348,293</u>	<u>100%</u>
Total federal direct & indirect costs	<u>127,739,743</u>		<u>126,251,859</u>	
		<u>Percentage of total direct costs</u>		<u>Percentage of total direct costs</u>
<u>Non-federal awards:</u>				
Direct costs:				
Research programs	51,341,796	14%	46,216,898	14%
Training programs	121,087,762	34%	129,287,065	38%
Other Sponsored Activity	137,888,739	38%	116,049,790	34%
Other Institutional Activity	47,839,405	13%	49,753,739	15%
Total non-federal direct costs	<u>358,157,702</u>	<u>100%</u>	<u>341,307,492</u>	<u>100%</u>
		<u>Percentage of total indirect costs</u>		<u>Percentage of total indirect costs</u>
Indirect costs:				
Research programs	9,925,146	29%	9,186,559	29%
Training programs	10,234,712	30%	10,499,592	33%
Other Sponsored Activity	10,588,749	31%	9,023,713	28%
Other Institutional Activity	3,564,449	10%	3,265,153	10%
Total non-federal indirect costs	<u>34,313,056</u>	<u>100%</u>	<u>31,975,017</u>	<u>100%</u>
Total non-federal direct & indirect costs	<u>392,470,758</u>		<u>373,282,509</u>	
Total grants and contracts expenditures	\$ <u>520,210,501</u>		<u>499,534,368</u>	

Research programs – costs incurred for all research and development activities that are conducted in research centers and institutes.

Training programs – costs incurred for conducting non-student training programs.

Other Sponsored activity programs – costs incurred for activities that are not considered organized research or training.

Other Institutional activity programs – costs incurred for activities that are undertaken by the institution.

**RESEARCH FOUNDATION OF
THE CITY UNIVERSITY OF NEW YORK**
Grants and Contracts Expenditures by Natural Classification
Years ended June 30, 2019 and 2018

	<u>2019</u>	<u>2018</u>
Personal services:		
Salaries and wages	\$ 229,710,733	224,243,264
Fringe Benefits	68,445,404	66,271,012
Total personal services	<u>298,156,137</u>	<u>290,514,276</u>
Other than personal services:		
Administrative fees	1,391,842	1,420,549
Advertising	98,836	1,335,357
Conferences and meetings	3,630,890	4,246,633
Equipment and furniture	4,957,073	5,616,669
Equipment rental and maintenance	816,071	598,989
Fundraising	8,000	89,500
Independent contractors	19,079,982	20,063,158
Insurance	1,203,669	418,838
Laboratory fees	1,534,902	1,422,368
MTA taxes	697,295	676,717
Postage and shipping	346,877	350,973
Printing and publications	1,056,483	1,526,387
Rent	2,131,111	2,663,257
Scholarships, fellowships and training allowance	18,577,411	19,217,445
Subcontracts	48,699,063	38,009,234
Supplies	14,297,067	14,387,970
Telephone and communications	434,351	379,629
Travel	7,737,575	7,232,383
Other	7,697,167	11,350,235
Subtotal	<u>134,395,665</u>	<u>131,006,291</u>
Facilities and administrative costs reimbursements	<u>57,887,444</u>	<u>54,323,309</u>
Total other than personal services	<u>192,283,109</u>	<u>185,329,600</u>
New York County District Attorney's Office	29,771,255	23,690,492
Total grants and contracts expenditures	\$ <u>520,210,501</u>	<u>499,534,368</u>

RESEARCH FOUNDATION OF THE CITY UNIVERSITY OF NEW YORK

Analysis of Federal Research Activity by Sponsor
Years ended June 30, 2019 and 2018

	Fiscal Year 2019			Fiscal Year 2018		
	Direct Cost	F&A Cost	Effective F&A Rate (F&A Cost/Direct Cost)	Direct Cost	F&A Cost	Effective F&A Rate (F&A Cost/Direct Cost)
FEDERAL						
Long-Form Sponsors						
Dept of Commerce	\$ 2,689,344	\$ 249,059	9.26%	\$ 2,655,810	\$ 263,822	9.93%
Dept of Defense	2,283,453	729,073	31.93%	1,507,942	501,840	33.28%
Dept of Ed	94,266	3,256	—	63,830	240	0.38%
Dept of Energy	6,244,807	1,372,423	21.98%	6,059,605	1,354,236	22.35%
Dept of Transportation	1,606,470	164,347	10.23%	2,770,611	343,762	12.41%
DHHS (excluding NIH) *	11,813	6,615	56.00%	575,646	177,062	30.76%
NIH *	1,437,245	564,806	39.30%	1,242,653	419,567	33.76%
NASA	23,330,368	9,164,628	39.28%	22,030,379	8,505,561	38.61%
NSF	14,701,284	4,671,296	31.77%	17,003,357	4,832,424	28.42%
Other Federal**	413,281	71,731	17.36%	524,790	41,208	7.85%
Total Long-Form	52,812,331	16,997,234	32.18%	54,434,622	16,439,721	30.20%
Short-Form Sponsors						
Dept of Commerce	21,345	10,762	50.42%	109,381	29,454	26.93%
Dept of Defense	311,090	77,784	25.00%	324,678	57,228	17.63%
Dept of Ed	240,631	25,922	10.77%	138,499	11,218	8.10%
Dept of Energy	283,822	155,102	54.65%	326,809	115,675	35.40%
Dept of Transportation	—	—	—	29,784	477	1.60%
DHHS (excluding NIH) *	5,154	619	12.00%	514,801	33,048	6.42%
NIH *	5,366,563	1,680,677	31.32%	5,025,599	1,539,114	30.63%
NASA	607,190	140,941	23.21%	560,043	105,665	18.87%
NSF	7,231,147	1,522,592	21.06%	6,158,855	1,466,065	23.80%
Other Federal**	1,962,285	515,216	26.26%	3,409,842	427,166	12.53%
Total Short-Form	16,029,228	4,129,614	25.76%	16,598,292	3,785,109	22.80%
Total cash basis	68,841,559	21,126,849	—	71,032,915	20,224,829	—
<i>Year-end accrual</i>	813,917	308,020	—	240,578	22,495	—
TOTAL FEDERAL	\$ 69,655,477	21,434,869	—	\$ 71,273,493	20,247,324	—

* NIH has been separated out from DHHS for reporting purposes. NIH is a division of the Public Health Service, which is part of U.S. Department of Health and Human Services.

** Other Federal includes: Environmental Protection Agency, Nuclear Regulatory Comm., U.S. Dept. of Interior, Dept. of Agriculture, U.S. Dept. of Justice, Nat'l Endowment for the Humanities, Institute of Museum and Library Services.

RESEARCH FOUNDATION OF THE CITY UNIVERSITY OF NEW YORK

Analysis of Federal Research Activity by Campus
Years ended June 30, 2019 and 2018

	Fiscal Year 2019				Fiscal Year 2018			
	Direct Cost	F&A Cost	Effective F&A Rate (F&A Cost/Direct Cost)	Approved F&A Rate	Direct Cost	F&A Cost	Effective F&A Rate (F&A Cost/Direct Cost)	Approved F&A Rate
Long-Form Recovery Colleges:								
Senior Colleges/Other								
Brooklyn	\$ 2,578,501	\$ 1,131,123	43.87%	57.00%	\$ 2,480,799	\$ 1,117,419	45.04%	57.00%
City	19,122,849	5,671,621	29.66%	57.00%	22,819,228	6,882,356	30.16%	56.00%
CUNY Adv. Science Research Ctr.	4,421,251	1,737,457	39.30%	57.00%	2,531,985	979,052	38.67%	56.00%
CUNY Graduate Center	2,032,336	247,133	12.16%	53.00%	1,925,065	167,846	8.72%	53.00%
Hunter	13,402,136	4,975,207	37.12%	56.00%	13,289,393	4,153,591	31.25%	55.00%
Lehman	2,322,855	1,012,964	43.61%	65.00%	3,000,945	1,027,258	34.23%	65.00%
Queens	8,932,403	2,221,731	24.87%	54.00%	8,387,208	2,112,199	25.18%	54.00%
Total Long-Form	52,812,331	16,997,234	32.18%	—	54,434,622	16,439,721	30.20%	—
Short-Form Recovery Colleges:								
Senior/Technical Colleges/Other								
Baruch	600,450	258,790	43.10%	68.20%	666,441	261,367	39.22%	68.20%
CUNY Central	2,278,911	103,252	4.53%	21.00%	1,937,563	264,975	13.68%	21.00%
CUNY School of Public Health*	2,516,168	938,310	37.29%	62.50%	2,147,824	784,054	36.50%	62.50%
John Jay	3,059,314	973,421	31.82%	69.50%	4,373,148	704,446	16.11%	69.50%
Medgar Evers	768,276	93,864	12.22%	70.00%	1,287,680	116,091	9.02%	70.00%
NYC Technical	1,581,196	289,481	18.31%	55.00%	1,713,861	220,324	12.86%	55.00%
Staten Island	1,689,889	546,630	32.35%	72.00%	1,712,760	557,075	32.52%	72.00%
York	1,019,897	405,128	39.72%	72.00%	998,762	432,866	43.34%	72.00%
Total Short-Form Sr./Tech./Other	13,514,101	3,608,876	26.70%	—	14,838,040	3,341,197	22.52%	—
Community Colleges								
Bronx Community	505,876	163,788	32.38%	71.50%	213,347	88,881	41.66%	71.50%
Hostos Community	69,753	26,085	37.40%	65.00%	108,400	21,256	19.61%	65.00%
Kingsborough Community	266,987	49,136	18.40%	52.30%	230,094	52,914	23.00%	52.30%
LaGuardia Community	348,693	61,435	17.62%	65.00%	71,562	14,973	20.92%	65.00%
Manhattan Community	603,203	132,331	21.94%	71.00%	613,676	213,797	34.84%	71.00%
Queensborough Community	709,009	85,534	12.06%	44.70%	523,174	52,091	9.96%	44.70%
Stella and Charles Guttman **	11,606	2,430	20.93%	50.00%	—	—	—	50.00%
Total Short-Form Comm.	2,515,127	520,739	20.70%	—	1,760,253	443,911	25.22%	—
Total Short-Form	16,029,228	4,129,614	25.76%	—	16,598,292	3,785,109	22.80%	—
Total cash basis	68,841,559	21,126,849	—	—	71,032,916	20,224,829	—	—
Year-end accrual	813,917	308,020	—	—	240,578	22,495	—	—
Total	\$ 69,655,477	21,434,869	—	—	\$ 71,273,494	20,247,324	—	—

* Effective 7/1/2016 a Short-form rate of 62.5% was negotiated for the College.

** Stella and Charles Guttman Community College had no federally sponsored research activity during the Fiscal Year 2018.