

**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, 2020
with comparison data for the previous fiscal year**



Prepared by the Office of the Chief Financial Officer



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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, 2020 and 2019

	<u>2020</u>	<u>2019</u>	<u>Variance</u>	
Grants and contracts expenditures:				
Federal:				
National Science Foundation	\$ 28,382,610	28,914,277	(531,667)	-2%
Department of Health and Human Services	4,509,693	3,847,907	661,786	17%
National Institutes of Health	40,575,286	40,459,054	116,232	0%
Department of Education	26,380,819	26,114,140	266,679	1%
Other federal sponsors	<u>27,225,167</u>	<u>28,404,365</u>	<u>(1,179,198)</u>	-4%
Total federal	<u>127,073,575</u>	<u>127,739,743</u>	<u>(666,168)</u>	-1%
State and municipal:				
State sponsors	51,313,615	51,730,344	(416,729)	-1%
Municipal sponsors	168,075,727	174,056,987	(5,981,260)	-3%
New York County District Attorney's Office	<u>26,554,074</u>	<u>29,771,255</u>	<u>(3,217,181)</u>	-11%
Total state and municipal	<u>245,943,416</u>	<u>255,558,586</u>	<u>(9,615,170)</u>	-4%
Private:				
Corporations	5,092,559	5,654,597	(562,038)	-10%
Foundations	27,139,558	27,970,076	(830,518)	-3%
Other private sponsors	<u>74,521,852</u>	<u>68,939,867</u>	<u>5,581,985</u>	8%
Total private	<u>106,753,969</u>	<u>102,564,540</u>	<u>4,189,429</u>	4%
CUNY Sponsored:				
PSC-CUNY research award program	3,587,781	3,733,988	(146,207)	-4%
CUNY miscellaneous	<u>26,319,399</u>	<u>30,613,644</u>	<u>(4,294,245)</u>	-14%
Total CUNY Sponsored	<u>29,907,180</u>	<u>34,347,632</u>	<u>(4,440,452)</u>	-13%
Total non-federal	<u>382,604,565</u>	<u>392,470,758</u>	<u>(9,866,193)</u>	-3%
Total grants and contracts expenditures	\$ <u>509,678,140</u>	<u>520,210,501</u>	<u>(10,532,361)</u>	-2%

**RESEARCH FOUNDATION OF
THE CITY UNIVERSITY OF NEW YORK**
Grants and Contracts Expenditures by Program Type
Years ended June 30, 2020 and 2019

	<u>2020</u>	<u>Percentage of total direct costs</u>	<u>2019</u>	<u>Percentage of total direct costs</u>
Federal awards:				
Direct costs:				
Research programs	\$ 67,322,360	65%	69,655,476	67%
Training programs	27,500,243	27%	26,294,841	25%
Other Sponsored Activity	8,311,729	8%	8,215,038	8%
Other Institutional Activity	—	—	—	—
Total federal direct costs	<u>103,134,332</u>	<u>100%</u>	<u>104,165,355</u>	<u>100%</u>
		<u>Percentage of total indirect costs</u>		<u>Percentage of total indirect costs</u>
Indirect costs:				
Research programs	21,646,093	90%	21,434,869	91%
Training programs	1,436,090	6%	1,330,655	6%
Other Sponsored Activity	857,060	4%	808,864	3%
Other Institutional Activity	—	—	—	—
Total federal indirect costs	<u>23,939,243</u>	<u>100%</u>	<u>23,574,388</u>	<u>100%</u>
Total federal direct & indirect costs	<u>127,073,575</u>		<u>127,739,743</u>	
		<u>Percentage of total direct costs</u>		<u>Percentage of total direct costs</u>
Non-federal awards:				
Direct costs:				
Research programs	46,256,907	13%	51,341,796	14%
Training programs	126,624,503	37%	121,087,762	34%
Other Sponsored Activity	126,916,052	37%	137,888,739	38%
Other Institutional Activity	46,374,131	13%	47,839,405	13%
Total non-federal direct costs	<u>346,171,593</u>	<u>100%</u>	<u>358,157,702</u>	<u>100%</u>
		<u>Percentage of total indirect costs</u>		<u>Percentage of total indirect costs</u>
Indirect costs:				
Research programs	10,813,045	30%	9,925,146	29%
Training programs	11,710,253	32%	10,234,712	30%
Other Sponsored Activity	9,774,114	27%	10,588,749	31%
Other Institutional Activity	4,135,560	11%	3,564,449	10%
Total non-federal indirect costs	<u>36,432,972</u>	<u>100%</u>	<u>34,313,056</u>	<u>100%</u>
Total non-federal direct & indirect costs	<u>382,604,565</u>		<u>392,470,758</u>	
Total grants and contracts expenditures	\$ <u>509,678,140</u>		<u>520,210,501</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, 2020 and 2019

	<u>2020</u>	<u>2019</u>
Personal services:		
Salaries and wages	\$ 223,497,535	229,710,733
Fringe Benefits	<u>63,878,495</u>	<u>68,445,404</u>
Total personal services	287,376,030	298,156,137
Other than personal services:		
Administrative fees	1,058,284	1,391,842
Advertising	322,930	98,836
Conferences and meetings	2,919,486	3,630,890
Equipment and furniture	5,926,102	4,957,073
Equipment rental and maintenance	1,352,507	816,071
Fundraising	—	8,000
Independent contractors	17,589,771	19,079,982
Insurance	1,283,717	1,203,669
Laboratory fees	1,071,867	1,534,902
MTA taxes	662,787	697,295
Postage and shipping	229,615	346,877
Printing and publications	914,041	1,056,483
Rent	2,359,977	2,131,111
Scholarships, fellowships and training allowance	18,836,594	18,577,411
Subcontracts	55,358,753	48,699,063
Supplies	12,775,784	14,297,067
Telephone and communications	407,344	434,351
Travel	5,697,987	7,737,575
Other	<u>6,608,274</u>	<u>7,697,167</u>
Subtotal	135,375,820	134,395,665
Facilities and administrative costs reimbursements	<u>60,372,216</u>	<u>57,887,444</u>
Total other than personal services	<u>195,748,036</u>	<u>192,283,109</u>
New York County District Attorney's Office	26,554,074	29,771,255
Total grants and contracts expenditures	\$ <u>509,678,140</u>	<u>520,210,501</u>

RESEARCH FOUNDATION OF THE CITY UNIVERSITY OF NEW YORK

Analysis of Federal Research Activity by Sponsor

Years ended June 30, 2020 and 2019

	Fiscal Year 2020			Fiscal Year 2019		
	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	\$ 2,127,575	\$ 141,417	6.65%	\$ 2,689,344	\$ 249,059	9.26%
Dept of Defense	3,203,016	768,982	24.01%	2,283,453	729,073	31.93%
Dept of Ed	91,512	6,910	7.55%	94,266	3,256	3.45%
Dept of Energy	6,242,481	1,402,446	22.47%	6,244,807	1,372,423	21.98%
Dept of Transportation	324,023	85,571	26.41%	1,606,470	164,347	10.23%
DHHS (excluding NIH) *	354,349	118,258	33.37%	11,813	6,615	56.00%
NIH *	21,834,861	8,783,640	40.23%	23,330,368	9,164,628	39.28%
NASA	1,304,322	508,853	39.01%	1,437,245	564,806	39.30%
NSF	13,521,139	4,250,564	31.44%	14,701,284	4,671,296	31.77%
Other Federal**	449,261	144,709	32.21%	413,281	71,731	17.36%
Total Long-Form	49,452,540	16,211,351	32.78%	52,812,331	16,997,234	32.18%
Short-Form Sponsors						
Dept of Commerce	8,666	3,698	42.67%	21,345	10,762	50.42%
Dept of Defense	202,180	67,098	33.19%	311,090	77,784	25.00%
Dept of Ed	307,451	36,485	11.87%	240,631	25,922	10.77%
Dept of Energy	353,109	197,605	55.96%	283,822	155,102	54.65%
Dept of Transportation	—	—	—	—	—	—
DHHS (excluding NIH) *	76,052	6,084	8.00%	5,154	619	12.00%
NIH *	7,621,963	2,640,779	34.65%	5,366,563	1,680,677	31.32%
NASA	640,569	151,856	23.71%	607,190	140,941	23.21%
NSF	7,241,505	1,982,834	27.38%	7,231,147	1,522,592	21.06%
Other Federal**	1,042,318	178,080	17.08%	1,962,285	515,216	26.26%
Total Short-Form	17,493,814	5,264,519	30.09%	16,029,228	4,129,614	25.76%
Total cash basis	66,946,354	21,475,870	—	68,841,559	21,126,849	—
<i>Year-end accrual</i>	376,006	170,223	—	813,917	308,020	—
TOTAL FEDERAL	\$ 67,322,360	\$ 21,646,093	—	\$ 69,655,476	\$ 21,434,869	—

* 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: Nuclear Regulatory Comm., U.S. Dept. of Interior, Dept. of Agriculture, U.S. Dept. of Justice, 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, 2020 and 2019

	Fiscal Year 2020				Fiscal Year 2019			
	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	\$ 2,490,493	\$ 1,047,248	42.05%	57.00%	\$ 2,578,501	\$ 1,131,123	43.87%	57.00%
City	16,168,019	5,598,697	34.63%	57.00%	19,122,849	5,671,621	29.66%	57.00%
CUNY Adv. Science Research Ctr.	5,795,790	1,833,004	31.63%	57.00%	4,421,251	1,737,457	39.30%	57.00%
CUNY Graduate Center	1,432,724	227,170	15.86%	53.00%	2,032,336	247,133	12.16%	53.00%
Hunter	14,944,855	5,436,729	36.38%	56.00%	13,402,136	4,975,207	37.12%	56.00%
Lehman*	—	—	—	—	2,322,855	1,012,964	43.61%	56.00%
Queens	8,620,660	2,068,503	23.99%	54.00%	8,932,403	2,221,731	24.87%	54.00%
Total Long-Form	49,452,540	16,211,351	32.78%	—	52,812,331	16,997,234	32.18%	—
Short-Form Recovery Colleges:								
Senior/Technical Colleges/Other								
Baruch	733,262	348,799	47.57%	68.20%	600,450	258,790	43.10%	68.20%
CUNY Central	974,939	91,993	9.44%	21.00%	2,278,911	103,252	4.53%	21.00%
CUNY School of Public Health* *	3,768,296	1,587,973	42.14%	62.50%	2,516,168	938,310	37.29%	62.50%
John Jay	2,896,921	553,926	19.12%	69.50%	3,059,314	973,421	31.82%	69.50%
Lehman*	2,266,904	832,517	36.72%	59.00%	—	—	—	—
Medgar Evers	401,093	79,456	19.81%	70.00%	768,276	93,864	12.22%	70.00%
NYC Technical	1,273,052	228,677	17.96%	55.00%	1,581,196	289,481	18.31%	55.00%
Staten Island	1,619,913	576,001	35.56%	72.00%	1,689,889	546,630	32.35%	72.00%
York	859,822	341,259	39.69%	72.00%	1,019,897	405,128	39.72%	72.00%
Total Short-Form Sr./Tech./Other	14,794,203	4,640,600	31.37%	—	13,514,101	3,608,876	26.70%	—
Community Colleges								
Bronx Community	741,505	175,691	23.69%	71.50%	505,876	163,788	32.38%	71.50%
Hostos Community	162,776	58,883	36.17%	65.00%	69,753	26,085	37.40%	65.00%
Kingsborough Community	221,752	33,685	15.19%	52.30%	266,987	49,136	18.40%	52.30%
LaGuardia Community	348,051	51,368	14.76%	65.00%	348,693	61,435	17.62%	65.00%
Manhattan Community	726,865	230,339	31.69%	71.00%	603,203	132,331	21.94%	71.00%
Queensborough Community	457,158	61,857	13.53%	44.70%	709,009	85,534	12.06%	44.70%
Stella and Charles Guttman	41,504	12,096	29.14%	50.00%	11,606	2,430	20.93%	50.00%
Total Short-Form Comm.	2,699,610	623,919	23.11%	—	2,515,127	520,739	20.70%	—
Total Short-Form	17,493,814	5,264,519	30.09%	—	16,029,228	4,129,614	25.76%	—
Total cash basis	66,946,354	21,475,870	—	—	68,841,560	21,126,849	—	—
<i>Year-end accrual</i>	376,006	170,223	—	—	813,917	308,020	—	—
Total	\$ 67,322,360	\$ 21,646,093	—	—	\$ 69,655,477	\$ 21,434,869	—	—

* Lehman was a Long-Form School in FY 2019; Short-Form in FY 2020.

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