



**RESEARCH FOUNDATION OF
THE CITY UNIVERSITY OF NEW YORK AND
RELATED ENTITIES**

Consolidated Financial Statements and Supplementary
Information on Federal Awards Programs

June 30, 2018

(With Independent Auditors' Report and Reports on
Internal Control and Compliance Thereon)

**RESEARCH FOUNDATION OF
THE CITY UNIVERSITY OF NEW YORK AND
RELATED ENTITIES**

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KPMG LLP
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Independent Auditors' Report

The Board of Directors
Research Foundation of
The City University of New York:

Report on the Consolidated Financial Statements

We have audited the accompanying consolidated financial statements of the Research Foundation of The City University of New York and related entities (the Foundation), which comprise the consolidated balance sheets as of June 30, 2018 and 2017, and the related consolidated statements of activities and cash flows for the years then ended, and the related notes to the consolidated financial statements.

Management's Responsibility for the Consolidated Financial Statements

Management is responsible for the preparation and fair presentation of these consolidated financial statements in accordance with U.S. generally accepted accounting principles; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of consolidated financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

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 financial audits contained in *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 consolidated financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the consolidated financial statements. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the consolidated financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the consolidated financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the consolidated financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the consolidated financial statements referred to above present fairly, in all material respects, the consolidated financial position of the Research Foundation of The City University of New York and related entities as of June 30, 2018 and 2017, and the changes in their net assets and their cash flows for the years then ended in accordance with U.S. generally accepted accounting principles.

*Other Matter*

Our audits were conducted for the purpose of forming an opinion on the consolidated financial statements as a whole. The 2018 consolidating information is presented for purposes of additional analysis of the 2018 consolidated financial statements rather than to present the financial position, changes in net assets, and cash flows of the individual entities and is not a required part of the 2018 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 2018 consolidated financial statements. The 2018 consolidating information has been subjected to the auditing procedures applied in the audit of the 2018 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 2018 consolidated financial statements or to the 2018 consolidated financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the 2018 consolidating information is fairly stated in all material respects in relation to the 2018 consolidated financial statements as a whole.

Other Reporting Required by *Government Auditing Standards*

In accordance with *Government Auditing Standards*, we have also issued our report dated October __, 2018 on our consideration of the Foundation's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is solely 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 effectiveness of the Foundation's internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Foundation's internal control over financial reporting and compliance.

KPMG LLP

October 24, 2018

**RESEARCH FOUNDATION OF
THE CITY UNIVERSITY OF NEW YORK AND
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Consolidated Balance Sheets

June 30, 2018 and 2017
(with consolidating information as of June 30, 2018)

	2018					
	Consolidating information					
		230 West 41st				
Assets	Foundation	Street LLC	GrantsPlus	Eliminations	Total	2017
Cash and cash equivalents	\$ 153,023,460	9,700,093	245,143	—	162,968,696	150,989,867
Restricted cash (note 8)	—	2,661,901	—	—	2,661,901	2,196,847
Grants, contracts, and accounts receivable (net of allowance of \$5,600,000 in 2018 and \$3,300,000 in 2017)	102,348,000	—	—	—	102,348,000	88,191,841
Rent receivable, net	—	713,744	—	—	713,744	398,315
Prepaid expenses and other assets	2,743,267	824,147	9,723	—	3,577,137	3,346,059
Prepaid postretirement benefits asset (note 4)	7,156,165	—	—	—	7,156,165	—
Investments at fair value (note 3)	48,428,469	—	—	—	48,428,469	47,876,503
Investment in GrantsPlus	68,668	—	—	(68,668)	—	—
Investment in 230 West 41st Street LLC	12,127,515	—	—	(12,127,515)	—	—
Deferred rent receivable	—	16,569,445	—	(98,916)	16,470,529	13,748,013
Value of in-place leases (net of accumulated amortization of \$2,584,775 in 2018 and \$2,452,809 in 2017)	—	368,406	—	—	368,406	500,372
Above-market leases (net of accumulated amortization of \$1,730,575 in 2018 and \$1,631,203 in 2017)	—	276,972	—	—	276,972	376,344
Deferred costs (net of accumulated amortization of \$4,440,402 in 2018 and \$4,161,705 in 2017)	—	2,450,940	—	—	2,450,940	2,336,564
Fixed assets:						
Rental property, net (note 7)	—	44,345,516	—	—	44,345,516	44,421,718
Furniture, fixtures, and equipment (net of accumulated depreciation of \$3,412,526 in 2018 and \$3,338,892 in 2017)	137,801	—	—	—	137,801	156,042
Leasehold improvements (net of accumulated amortization of \$872,019 in 2018 and \$836,612 in 2017)	—	—	—	—	—	35,407
Total assets	\$ 326,033,345	77,911,164	254,866	(12,295,099)	391,904,276	354,573,892
Liabilities and Net Assets						
Liabilities:						
Accounts payable and accrued expenses (notes 4 and 6)	\$ 90,738,812	1,094,653	88,756	—	91,922,221	80,446,918
Deferred revenue (note 5)	89,280,362	51,496	97,442	—	89,429,300	87,438,163
Grants payable to CUNY (note 9)	1,821,540	—	—	—	1,821,540	1,942,158
Deferred rent payable	98,916	—	—	(98,916)	—	—
Tenant security deposits payable	—	409,915	—	—	409,915	209,915
Deposits held in custody for CUNY colleges	93,008,080	—	—	—	93,008,080	82,957,808
Postretirement benefits payable (note 4)	—	—	—	—	—	1,371,872
Mortgage loan payable, net (note 8)	—	64,227,585	—	—	64,227,585	65,429,245
Total liabilities	274,947,710	65,783,649	186,198	(98,916)	340,818,641	319,796,079
Commitments and contingencies (notes 6 and 10)						
Net assets:						
Unrestricted:						
Postretirement benefits	7,156,165	—	—	—	7,156,165	(1,371,872)
230 West 41st Street LLC	12,127,515	12,127,515	—	(12,127,515)	12,127,515	8,391,366
GrantsPlus	68,668	—	68,668	(68,668)	68,668	77,185
Other	31,733,287	—	—	—	31,733,287	27,681,134
Total net assets	51,085,635	12,127,515	68,668	(12,196,183)	51,085,635	34,777,813
Total liabilities and net assets	\$ 326,033,345	77,911,164	254,866	(12,295,099)	391,904,276	354,573,892

See accompanying notes to consolidated financial statements.

**RESEARCH FOUNDATION OF
THE CITY UNIVERSITY OF NEW YORK AND
RELATED ENTITIES**

Consolidated Statements of Activities

Years ended June 30, 2018 and 2017
(with consolidating information as of June 30, 2018)

	2018					
	Consolidating information					
	Foundation	230 West 41st Street LLC	GrantsPlus	Eliminations	Total	2017
Grants and contracts administered for others:						
Revenue:						
Governmental	\$ 361,858,222	—	—	—	361,858,222	311,057,818
Private	137,676,146	—	—	—	137,676,146	146,505,547
Total grants and contracts revenue	499,534,368	—	—	—	499,534,368	457,563,365
Expenses:						
Research	(146,924,274)	—	—	—	(146,924,274)	(133,388,440)
Training	(165,533,055)	—	—	—	(165,533,055)	(145,157,474)
Other sponsored activity	(134,058,147)	—	—	—	(134,058,147)	(135,733,473)
Other institutional activity	(53,018,892)	—	—	—	(53,018,892)	(43,283,978)
Total grants and contracts expenses	(499,534,368)	—	—	—	(499,534,368)	(457,563,365)
Administrative services:						
Revenue:						
Administrative fees	33,813,491	—	159,524	—	33,973,015	30,961,659
Investment return (note 3)	850,923	30,677	—	—	881,600	353,927
Rental income (notes 6 and 9)	—	17,566,527	—	(2,772,055)	14,794,472	14,651,870
Donated services	—	—	79,700	(79,700)	—	—
Other	10,488	145,726	—	—	156,214	144,564
Total administrative revenue	34,674,902	17,742,930	239,224	(2,851,755)	49,805,301	46,112,020
Expenses:						
Management and general	(30,865,711)	—	(16,041)	2,772,055	(28,109,697)	(26,747,921)
Postretirement credit (note 4)	474,060	—	—	—	474,060	1,503,836
Grants to CUNY for central research initiatives (note 9)	(2,300,000)	—	—	—	(2,300,000)	(2,300,000)
Operating expenses of 230 West 41st Street LLC (note 10)	—	(4,916,001)	—	—	(4,916,001)	(5,689,348)
Interest expense	—	(3,175,249)	—	—	(3,175,249)	(3,233,131)
Real estate taxes (note 11)	—	(1,277,961)	—	—	(1,277,961)	(1,243,515)
Depreciation and amortization	(109,039)	(2,137,570)	—	—	(2,246,609)	(3,234,999)
Donated expenses (note 9)	—	—	(79,700)	79,700	—	—
Total administrative expenses	(32,800,690)	(11,506,781)	(95,741)	2,851,755	(41,551,457)	(40,945,078)
Excess of revenue over expenses before other changes	1,874,212	6,236,149	143,483	—	8,253,844	5,166,942
Other changes:						
Change in Foundation investment in 230 West 41st Street LLC	3,736,149	—	—	(3,736,149)	—	—
Change in Foundation investment in GrantsPlus	(8,517)	—	—	8,517	—	—
230 West 41st Street LLC distribution to Foundation	2,500,000	(2,500,000)	—	—	—	—
GrantsPlus management fee to Foundation (note 9)	152,000	—	(152,000)	—	—	—
Postretirement benefits changes other than net periodic benefit cost (note 4)	8,053,978	—	—	—	8,053,978	(2,152,442)
Increase (decrease) in net assets	16,307,822	3,736,149	(8,517)	(3,727,632)	16,307,822	3,014,500
Net assets at beginning of year	34,777,813	8,391,366	77,185	(8,468,551)	34,777,813	31,763,313
Net assets at end of year	\$ 51,085,635	12,127,515	68,668	(12,196,183)	51,085,635	34,777,813

See accompanying notes to consolidated financial statements.

**RESEARCH FOUNDATION OF
THE CITY UNIVERSITY OF NEW YORK AND
RELATED ENTITIES**

Consolidated Statements of Cash Flows

Years ended June 30, 2018 and 2017

	<u>2018</u>	<u>2017</u>
Cash flows from operating activities:		
Increase in net assets	\$ 16,307,822	3,014,500
Adjustments to reconcile increase in net assets to net cash provided by operating activities:		
Depreciation and amortization	2,389,551	3,382,618
Provision for bad debts	2,300,000	300,000
Postretirement benefits changes other than net periodic benefit cost	(8,053,978)	2,152,442
Net (appreciation) depreciation in fair value of investments	(29,406)	47,658
Loss on construction contract	—	459,870
Changes in assets and liabilities:		
Restricted cash	(465,054)	(516,722)
Grants, contracts, accounts, and rents receivable	(16,771,588)	(13,762,021)
Prepaid expenses and other assets	(231,078)	(743,735)
Deferred rent receivable	(2,722,516)	(2,444,677)
Accounts payable and accrued expenses and security deposit payable	11,675,303	18,287,841
Deferred revenue	1,991,137	(6,704,617)
Grants payable to CUNY	(120,618)	228,502
Postretirement benefits payable	(474,059)	(1,503,836)
Deposits held in custody for CUNY colleges	10,050,272	6,138,497
Net cash provided by operating activities	<u>15,845,788</u>	<u>8,336,320</u>
Cash flows from investing activities:		
Purchases of fixed assets	(55,391)	(24,652)
Expenditures for rental property improvements	(1,650,705)	(2,945,250)
Restricted cash	—	(94,977)
Deposits held in custody for tenant	—	(42,935)
Payment of deferred leasing costs	(393,073)	(209,636)
Purchases of investments	(100,834,056)	(86,938,483)
Sales and maturity of investments	100,311,496	86,839,855
Net cash used in investing activities	<u>(2,621,729)</u>	<u>(3,416,078)</u>
Cash flows from financing activity:		
Principal payments on mortgage loan	(1,245,230)	(1,187,576)
Net cash used in financing activity	<u>(1,245,230)</u>	<u>(1,187,576)</u>
Net increase in cash and cash equivalents	11,978,829	3,732,666
Cash and cash equivalents at beginning of year	<u>150,989,867</u>	<u>147,257,201</u>
Cash and cash equivalents at end of year	<u>\$ 162,968,696</u>	<u>150,989,867</u>
Supplemental cash flow disclosure:		
Cash paid for interest	\$ 3,136,607	3,194,261

See accompanying notes to consolidated financial statements.

**RESEARCH FOUNDATION OF
THE CITY UNIVERSITY OF NEW YORK AND
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Notes to Consolidated Financial Statements

June 30, 2018 and 2017

(1) Organization and Purpose

The Research Foundation of The City University of New York (the Foundation) was chartered in 1963 to further the purposes of The City University of New York (the University or CUNY) through the pursuit, acquisition, and administration of grants and gifts. The Foundation is a separate legal entity and is exempt from federal income taxes under the provisions of Section 501(c)(3) of the Internal Revenue Code (the Code).

230 West 41st Street LLC (the LLC) was established on May 7, 2004 as a Delaware limited liability company and organized pursuant to the Limited Liability Operating Agreement (the Agreement) dated July 14, 2004 between the Foundation (the Sole Member with a 100% interest in the LLC) and the LLC. The LLC was formed to acquire, own, and operate an approximately 300,000-square-foot office building located at 230 West 41st Street in New York, New York (the Property). The LLC is a single-member limited liability company organized and, accordingly, is treated as a disregarded entity for federal, state, and local income tax purposes.

GrantsPlus Inc. (GrantsPlus) was created by the Foundation and incorporated in May 2004 to provide postaward administration of sponsored programs for not-for-profit organizations other than the Foundation or CUNY. GrantsPlus is a separate legal entity exempt from federal income taxes under the provisions of Section 501(c)(3) of the Code.

(2) Summary of Significant Accounting Policies

(a) Basis of Presentation

The accompanying consolidated financial statements, which consolidate the Foundation, the LLC, and GrantsPlus (collectively, the Organization), are prepared on the accrual basis of accounting in accordance with generally accepted accounting principles in the United States of America for external financial reporting by not-for-profit organizations. All intercompany accounts and transactions have been eliminated in consolidation. The consolidated financial statements present balances and transactions according to the existence or absence of donor-imposed restrictions. At June 30, 2018 and 2017, none of the Organization's net assets or changes therein were subject to donor-imposed restrictions and, accordingly, are classified and reported as unrestricted net assets, and which includes grants and contracts for the performance of certain services or functions.

Revenues and gains and losses on investments and other assets are reported as changes in unrestricted net assets unless limited by explicit donor-imposed restrictions or by law. Expenses are reported as decreases in unrestricted net assets.

(b) Grants and Contracts

Revenue from grants and contracts, awarded to and accepted by the Foundation, GrantsPlus, and various units of the University, as joint grantees, primarily for research, training, and academic development programs, is recognized as earned, that is, as the related costs are incurred under the grant or contract agreements. Included in private grants and contracts revenue are grants sponsored by CUNY, totaling approximately \$42,741,000 and \$50,596,000 at June 30, 2018 and 2017, respectively.

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**RESEARCH FOUNDATION OF
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Notes to Consolidated Financial Statements

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Facilities and administrative costs recovered on grants and contracts are recorded at rates established by the Foundation with its federal cognizant agency or predetermined by the nonfederal sponsor. Facilities and administrative cost rates for government grants and contracts are subject to audit, and subsequent final settlements, if any, are recorded as current period adjustments. Management believes the impact of any future settlements to be immaterial to the consolidated financial statements.

(c) Use of Estimates

The preparation of consolidated financial statements in conformity with U.S. generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosures of contingencies at the date of the consolidated financial statements and the reported amounts of revenue and expenses during the reporting period. These estimates and assumptions are based on management's best estimates and judgment. Management evaluates its estimates and assumptions on an ongoing basis using historical experience and other factors and adjusts such estimates when facts and circumstances dictate. In the preparation of the Organization's consolidated financial statements, management uses significant accounting estimates with respect to the valuation of accounts receivable and postretirement benefit obligation.

(d) Cash Equivalents

Highly liquid debt instruments with maturities at date of purchase of three months or less are classified as cash equivalents, except for those short-term investments that are managed by an external investment manager for long-term investment purposes. As of June 30, 2018 and 2017, the LLC has approximately \$1,000,000 and \$1,200,000, respectively, of cash and cash equivalents designated for future capital expenditures.

(e) Investments

Investments are reported at fair value based upon quoted market prices. Realized and unrealized gains and losses on investments are reflected in the accompanying consolidated statements of activities.

(f) Rental Revenue Recognition

Base rent income relating to the LLC is recognized on a straight-line basis, rather than in accordance with lease payment schedules, for purposes of recognizing a constant annual rental income. Scheduled base rent increases and the effects of rent abatements are spread evenly over the terms of the respective leases. Differences between the straight-line rents recorded and the amounts actually received are included in deferred rent receivable. Allowances are provided for uncollectible amounts.

(g) Rental Property

Building and building improvements of the LLC are carried at cost and are depreciated, using the straight-line method, over their estimated useful lives of 39 years or the life of the improvements, whichever is shorter. Significant renovations or improvements, which extend the economic life of the Property, are capitalized. Expenditures for maintenance and repairs are expensed as incurred.

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June 30, 2018 and 2017

The LLC reviews the carrying amount of the Property for impairment whenever events or changes in circumstances indicate that the carrying amount of an asset may not be recoverable. No impairment adjustments have been made as a result of this review process during 2018 or 2017.

(h) Fixed Assets

Furniture, fixtures, and equipment and leasehold improvements are stated at cost. Depreciation of furniture, fixtures, and equipment is computed on a straight-line basis, over the estimated useful lives of the assets, ranging from five to seven years. Amortization of leasehold improvements is computed on a straight-line basis, over the estimated useful lives of the assets, not to exceed the remaining life of the lease.

Equipment purchased by the Foundation on behalf of various units of the University from grant and contract funds is to be used in the project for which it was purchased and is not included in the Foundation's fixed assets on the accompanying consolidated balance sheets.

(i) Purchase Accounting for Acquisition of Real Estate

The fair value of the LLC's acquired rental property was allocated to the acquired tangible assets, consisting of land and building; and identified intangible assets and liabilities, consisting of the value of above-market and below-market leases, other value of in-place leases, and value of tenant relationships, based in each case on their fair values.

(j) Deferred Costs

Deferred financing costs were incurred in obtaining long-term financing for the LLC. Such costs are being amortized on a straight-line basis over the term of the related debt and are recorded as a component of interest expense.

(k) Restricted Cash

Restricted cash of the LLC includes amounts to be funded for tenant improvements, repairs, real estate taxes, and insurance as required by the LLC's loan agreement. Restricted cash also includes tenant security deposits held in accordance with tenant leases and other tenant deposits held for improvements to leased space.

(l) Deposits Held in Custody for CUNY Colleges

Deposits held in custody for CUNY colleges reflect those resources held on behalf of the individual colleges of the University. These deposits are credited with facilities and administrative cost, released time, summer salary recoveries, and CUNY Charitable Gift Trust Annuity for the respective colleges.

Released time recoveries represent personal service costs for individuals on the various colleges' payroll who report effort under grants or contracts. When colleges replace an individual providing time and effort to sponsored projects, the schools will also process the payroll for the replacements (adjuncts) and the Foundation will reimburse the school. The reimbursement of personal service costs is reflected as deductions of deposits held in custody for CUNY.

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**RESEARCH FOUNDATION OF
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Notes to Consolidated Financial Statements

June 30, 2018 and 2017

(m) Fair Value Measurements

Fair value is determined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants as of the measurement date. The Organization measures the fair value of its financial assets using a three-level hierarchy for fair value measurements based on the observable inputs to the valuation of an asset or liability at measurement date. It prioritizes the inputs to the valuation techniques used to measure fair value by giving the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (Level 1 measurements) and the lowest priority to measurements involving significant unobservable inputs (Level 3 measurements).

(n) Income Taxes

The effects of uncertain tax positions are recognized only if those positions are more likely than not of being sustained. No such positions have been recorded in the consolidated financial statements as of June 30, 2018 or 2017.

(o) New Authoritative Accounting Pronouncements

The Financial Accounting Standards Board (FASB) issued Accounting Standards Update (ASU) 2016-14, *Presentation of Financial Statements of Not-for-Profit Entities*, which among other things, changes how not-for-profit entities report net asset classes, expenses, and liquidity in their financial statements. The significant requirements of the ASU include the reduction of the number of net asset classes from three to two: with donor restrictions and without donor restrictions; the presentation of expenses by their function and their natural classification in one location; and quantitative and qualitative information about the management of liquid resources and availability of financial assets to meet cash needs within one year of the date of the balance sheet. The ASU is effective for annual financial statements issued for fiscal years beginning after December 15, 2017. Early adoption is permitted. The Organization is in the process of evaluating the impact of the ASU on its consolidated financial statements.

In November 2016, the FASB issued ASU 2016-18, *Statement of Cash Flows – Restricted Cash*, which requires that the statement of cash flows explain the change during the period in the total of cash, cash equivalents, and amounts generally described as restricted cash or restricted cash equivalents. Therefore, amounts generally described as restricted cash and restricted cash equivalents should be included with cash and cash equivalents when reconciling the beginning-of-period and end-of-period total amounts shown on the statement of cash flows. The provisions of the ASU are effective for the Organization for annual periods beginning after December 15, 2018 and interim periods thereafter. Early adoption is permitted. The Organization is in the process of evaluating the impact of the ASU on its consolidated financial statements.

In February 2016, the FASB issued ASU 2016-02, *Leases (Topic 842)*, which requires lessees and lessors to recognize leases on-balance sheet and disclose key information about leasing arrangements. ASC Topic 842 (ASC 842) establishes a right of use (ROU) model that requires lessees and lessors to recognize an ROU asset and lease liability on the balance sheet for all leases with a term longer than 12 months. Leases will be classified as finance or operating, with classification

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Notes to Consolidated Financial Statements

June 30, 2018 and 2017

affecting the pattern and classification of expense recognition in the income statement. The ASU is effective for the Organization for annual periods beginning after December 15, 2019 and interim periods thereafter. Early adoption is permitted. The Organization is in the process of evaluating the impact of the ASU.

(p) Reclassifications

Certain reclassifications have been made to the 2017 amounts to conform to the current year presentation.

(3) Investments

Investments held by the Foundation consist of the following at June 30, 2018 and 2017:

	Fair value	
	2018	2017
U.S. money market	\$ 107,334	109,364
U.S. Treasury bills	30,172,283	30,253,795
U.S. government agency obligations	625,906	396,013
U.S. equity securities	679,984	520,504
U.S. corporate bonds	16,842,962	16,596,827
Total	<u>\$ 48,428,469</u>	<u>47,876,503</u>

The Foundation categorizes its financial and nonfinancial assets and liabilities into a three-tiered hierarchy using the following guidelines:

- Level 1 inputs are quoted prices (unadjusted) in active markets for identical assets or liabilities that the Foundation has the ability to access at the measurement date.
- Level 2 inputs are inputs other than quoted prices included in Level 1 that are either directly or indirectly observable for the assets or liabilities.
- Level 3 inputs are unobservable inputs for the assets or liabilities.

At June 30, 2018 and 2017, the Foundation's investments are categorized as Level 1, except for U.S. corporate bonds, which are categorized as Level 2.

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**RESEARCH FOUNDATION OF
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Notes to Consolidated Financial Statements

June 30, 2018 and 2017

Components of investment return, including interest on cash and cash equivalents, are as follows for the years ended June 30, 2018 and 2017:

	<u>2018</u>	<u>2017</u>
Interest income	\$ 852,194	401,585
Net appreciation (depreciation) in fair value of investments	<u>29,406</u>	<u>(47,658)</u>
Total	<u>\$ 881,600</u>	<u>353,927</u>

(4) Pension and Other Retirement Benefits

Eligible employees of the Foundation and certain project personnel are covered under a defined-contribution pension plan established with Teachers Insurance and Annuity Association. The Foundation's contribution to the pension plan is based on specified percentages, ranging from 8% to 14%, of each employee's annual salary. Total pension expense for the years ended June 30, 2018 and 2017 was approximately \$11,641,000 and \$9,545,000, respectively. There are no unfunded past service costs.

In addition to providing pension benefits, the Foundation also provides postemployment benefits, including salary continuance, to certain employees. The cost of these benefits is accrued over the employees' years of service. Postemployment benefits liability included in accounts payable and accrued expenses was \$2,977,624 and \$2,795,515 in 2018 and 2017, respectively.

The Foundation also provides certain healthcare benefits to retired employees (including eligible dependents) who have a combination of age and years of service equal to 70 with a minimum age of 62 and at least 10 years of continuous service. The Foundation accounts for postretirement medical and other nonpension benefits provided to retirees on an accrual basis during the period of their employment.

The Foundation charges grants and contracts, as well as the administrative services department for postretirement benefit costs through the application of a fringe benefit rate, an element of which is based upon the estimated amount of such costs. In addition, a charge or credit is recognized in administrative services expenses for the difference between the actuarially determined net periodic postretirement benefit cost and the amount funded (claims paid and contributions to the trust).

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Information with respect to the postretirement plan is as follows:

	<u>2018</u>	<u>2017</u>
Change in benefit obligation:		
Benefit obligation at beginning of year	\$ 150,477,353	136,823,057
Service cost	4,237,055	3,930,293
Interest cost	5,773,845	4,710,262
Actuarial (gain) loss	(901,116)	9,383,565
Benefits paid and administrative expenses	<u>(5,083,008)</u>	<u>(4,369,824)</u>
Benefit obligation at end of year	<u>154,504,129</u>	<u>150,477,353</u>
Change in plan assets:		
Fair value of plan assets at beginning of year	149,105,481	136,099,791
Actual return on plan assets	12,554,813	12,005,690
Employer contributions	5,083,008	5,369,824
Benefits paid and administrative expenses	<u>(5,083,008)</u>	<u>(4,369,824)</u>
Fair value of plan assets at end of year	<u>161,660,294</u>	<u>149,105,481</u>
Funded status, recorded as an (asset) liability in the accompanying consolidated balance sheets	\$ <u><u>(7,156,165)</u></u>	<u><u>1,371,872</u></u>
	<u>2018</u>	<u>2017</u>
Components of net periodic cost:		
Service cost	\$ 4,237,055	3,930,293
Interest cost	5,773,845	4,710,262
Expected return on plan assets	(7,455,274)	(6,804,990)
Amortization of transition obligation	605,920	757,413
Recognized prior service credit	<u>1,447,403</u>	<u>1,273,011</u>
Net periodic benefit cost	<u>\$ 4,608,949</u>	<u>3,865,989</u>
Weighted average assumptions for the year ended June 30:		
Discount rate used to determine benefit obligation	4.10 %	3.95 %
Discount rate used to determine net periodic benefit cost	3.95	3.50
Expected return on plan assets	5.00	5.00

For measurement purposes, increases in healthcare costs (6.0% in 2018) were assumed to decrease by 0.5% per year in years 2019 through 2023 to an ultimate rate of 3.5% in 2024 and after.

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**RESEARCH FOUNDATION OF
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Assumed healthcare trend rates have a significant effect on the amounts reported for postretirement plans. A one-percentage-point change in assumed healthcare cost trend rates would have the following effects for 2018:

	<u>1% Increase</u>	<u>1% Decrease</u>
Effect on total of service and interest cost components	\$ 1,922,216	(1,563,915)
Effect on postretirement benefit obligation	22,662,776	(21,383,046)

The Foundation made no contributions to the postretirement plan in 2018. For the year ended June 30, 2017, the Foundation made contributions to the postretirement plan of \$1,000,000. In addition, for the years ended June 30, 2018 and 2017, the Foundation paid claims and expenses of \$5,083,008 and \$4,369,824, respectively. The Foundation expects to contribute or pay claims and expenses aggregating to approximately \$5,500,000 in 2019.

The benefits expected to be paid in each fiscal year from 2019 through 2023 and the five subsequent years are:

Year(s):	
2019	\$ 5,314,063
2020	5,853,969
2021	6,493,963
2022	7,008,275
2023	7,501,470
2024–2028	43,089,499

At June 30, 2018 and 2017, the items not yet recognized as a component of net periodic benefit cost are as follows:

	<u>2018</u>	<u>2017</u>
Transition obligation	\$ —	605,920
Net loss	<u>21,225,961</u>	<u>28,674,019</u>
Total unamortized items	<u>\$ 21,225,961</u>	<u>29,279,939</u>

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Notes to Consolidated Financial Statements

June 30, 2018 and 2017

The actuarial loss that are expected to be amortized into net periodic cost in fiscal year 2019 are as follows:

Net loss	\$	537,413
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Investment allocation and strategy decisions are generally made by management and the Foundation's board of directors. The postretirement plan's weighted average asset allocations at June 30, 2018 by asset category are as follows:

	Target allocation 2018	Actual allocation 2018
Growth portfolio:		
Domestic equity securities	24%–70%	60 %
Debt securities	13%–42%	26
Commodities	0%–7%	—
International equity securities	9%–34%	12
Cash equivalents	0%–5%	2
		<u>100 %</u>
	Target allocation 2018	Actual allocation 2018
Immunized fixed income:		
Debt securities	100 %	99 %
Cash equivalents	—	1
		<u>100 %</u>

The Foundation's plan assets are measured at fair value. Investments in equity securities and mutual funds with readily determinable fair values and all investments in debt securities are reported at fair value based upon quoted market prices.

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**RESEARCH FOUNDATION OF
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The following tables present the Foundation's fair value hierarchy for postretirement assets, which are measured at fair value on a recurring basis, as of June 30, 2018 and 2017, respectively:

		2018			
		Fair value	Level 1	Level 2	Level 3
Debt securities:					
Fixed income mutual fund	\$	6,429,179	6,429,179	—	—
Corporate bonds		60,968,081	—	60,968,081	—
U.S. government obligations		12,017,719	—	12,017,719	—
Foreign bonds		6,410,086	—	6,410,086	—
Other		731,303	—	731,303	—
Total debt securities		86,556,368	6,429,179	80,127,189	—
Equity securities:					
Equity mutual funds		32,447,124	32,447,124	—	—
U.S. common stock		26,446,353	26,446,353	—	—
American depositary receipts		8,712,612	8,712,612	—	—
Foreign stock		2,739,826	2,739,826	—	—
Real estate investment trusts		266,674	266,674	—	—
Total equity securities		70,612,589	70,612,589	—	—
Short-term investments		4,491,337	4,491,337	—	—
	\$	161,660,294	81,533,105	80,127,189	—

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		2017			
		Fair value	Level 1	Level 2	Level 3
Debt securities:					
Fixed income mutual fund	\$	3,011,805	3,011,805	—	—
Corporate bonds		54,137,301	—	54,137,301	—
U.S. government obligations		14,899,474	—	14,899,474	—
Foreign bonds		5,860,624	—	5,860,624	—
Other		904,282	—	904,282	—
Total debt securities		<u>78,813,486</u>	<u>3,011,805</u>	<u>75,801,681</u>	<u>—</u>
Equity securities:					
Equity mutual funds		34,543,473	34,543,473	—	—
U.S. common stock		20,663,685	20,663,685	—	—
American depositary receipts		5,624,989	5,624,989	—	—
Foreign stock		3,832,046	3,832,046	—	—
Real estate investment trusts		1,756,477	1,756,477	—	—
Total equity securities		<u>66,420,670</u>	<u>66,420,670</u>	<u>—</u>	<u>—</u>
Short-term investments		<u>3,871,325</u>	<u>3,871,325</u>	<u>—</u>	<u>—</u>
	\$	<u><u>149,105,481</u></u>	<u><u>73,303,800</u></u>	<u><u>75,801,681</u></u>	<u><u>—</u></u>

(5) Deferred Revenue

At June 30, 2018 and 2017, cash advances for grants and contracts are for the following projects:

	2018	2017
Research	\$ 10,839,177	14,486,669
Training	23,769,644	12,818,958
Other sponsored activity	34,659,033	35,937,351
Other institutional activity	<u>20,161,446</u>	<u>24,195,185</u>
	<u><u>\$ 89,429,300</u></u>	<u><u>87,438,163</u></u>

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Notes to Consolidated Financial Statements

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(6) Commitments

(a) Rental Income under Operating Leases

Future minimum rental receipts under the LLC's operating leases are as follows:

2019	\$ 13,944,795
2020	14,521,597
2021	14,513,286
2022	13,049,965
2023	11,914,051
Thereafter	<u>145,854,155</u>
Total minimum rental payments	<u>\$ 213,797,849</u>

Pursuant to the individual tenant leases, the tenants pay their proportionate share of operating the Property, including real estate taxes, certain insurance premiums, and other expenses that are not included above. CUNY's portion of the above future minimum rental receipts is approximately \$183,000,000.

(b) Letter of Credit

In fiscal year 2008, the Foundation entered into an agreement with one of its health insurance carriers whereby the Foundation is required to pay the carrier, in advance, for claims incurred but not reported in the event of plan termination. The carrier has allowed the Foundation to retain this payment, which totals \$3,254,491 and is included as a component of accounts payable and accrued expenses on the accompanying consolidated balance sheets as of June 30, 2018 and 2017 and is secured by an irrevocable letter of credit to the carrier for the same amount, which expires on December 31, 2018.

(c) Construction-Related Purchase Commitments

The LLC has entered into construction-related purchase commitments of approximately \$1,000,000 as of June 30, 2018.

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**RESEARCH FOUNDATION OF
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Notes to Consolidated Financial Statements

June 30, 2018 and 2017

(7) Rental Property

Rental property (97.2% occupied as of June 30, 2018) consists of the following at June 30, 2018 and 2017:

	<u>2018</u>	<u>2017</u>
Land	\$ 9,037,040	9,037,040
Building	36,149,160	36,149,160
Building improvements	11,916,998	7,720,950
Tenant improvements	15,395,177	15,030,693
Construction-in-progress	<u>35,424</u>	<u>2,945,251</u>
Total	72,533,799	70,883,094
Accumulated depreciation	<u>(28,188,283)</u>	<u>(26,461,376)</u>
Rental property, net	<u>\$ 44,345,516</u>	<u>44,421,718</u>

(8) Mortgage Loan Payable, Net

Outstanding mortgage loan payable as of June 30, 2018 and 2017 consisted of the following:

	<u>2018</u>	<u>2017</u>
Mortgage loan payable	\$ 65,354,450	66,599,680
Less unamortized costs of issuance	<u>(1,126,865)</u>	<u>(1,170,435)</u>
Mortgage loan payable, net	<u>\$ 64,227,585</u>	<u>65,429,245</u>

The LLC entered into a mortgage loan payable (the loan) on May 12, 2014 with an original principal amount of \$70 million, which matures on June 1, 2044. The loan bears interest at a rate of 4.75%. The monthly principal and interest payments of \$365,153 began on July 1, 2014. The mortgage is amortized over 30 years with options to be called by the bank in 10 years and then every 5 years thereafter until the mortgage matures. The loan is collateralized by the Property and assignment of rents and other payments from the tenants and is guaranteed by the Foundation. The LLC incurred \$1,307,121 of financing costs in connection with obtaining the loan, which are being amortized over the life of the loan.

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June 30, 2018 and 2017

At June 30, 2018, future minimum principal payments are as follows:

2019	\$ 1,305,684
2020	1,369,072
2021	1,435,538
2022	1,505,230
2023	1,578,306
Thereafter	<u>58,160,620</u>
	<u>\$ 65,354,450</u>

Included in restricted cash in the accompanying consolidated balance sheets are balances in escrow accounts, including interest earned, of approximately \$2,250,000 and \$1,780,000 as of June 30, 2018 and 2017, respectively. Under the terms of the loan, the LLC is required to deposit annual payments of \$500,000 beginning on May 15, 2015 through May 15, 2019 and an additional payment of \$198,515 on May 15, 2020 into an escrow account maintained by the mortgage bank for future tenant improvements related to CUNY's extended lease.

(9) Related-Party Transactions

The Foundation entered into an agreement with CUNY, a tenant in the building, to sublease 66,867 of CUNY's 179,901 square feet of space. The CUNY lease agreement was extended in 2014 and was scheduled to expire in June 2034. In July 2017, the Foundation assumed the rental payments from CUNY for their space to lease directly from the LLC and CUNY's lease was amended to remove aforementioned space. The new lease with the Foundation is subject to all terms and conditions of the CUNY lease agreement. For the years ended June 30, 2018 and 2017, rental revenue from CUNY was \$5,425,367 and \$5,163,789, respectively. Approximately \$461,000 was receivable from CUNY as of June 30, 2018.

In fiscal years 2018 and 2017, the Foundation approved grants to CUNY for central research initiatives of \$2,300,000 annually.

GrantsPlus provides administrative services with respect to grants and contracts received by several not-for-profit organizations. Those grants and contracts administered by GrantsPlus, as agent for not-for-profit organizations, in fiscal years 2018 and 2017 approximated \$3,375,000 and \$3,457,000, respectively.

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The Foundation paid the operating costs of GrantsPlus, which totaled \$79,700 and \$78,000 as of June 30, 2018 and 2017, respectively. These costs are reflected as donated services and expenses in the consolidated statements of activities, before elimination. As of June 30, 2018, these costs consist of the following:

Personal services	\$ 78,500
Supplies, telephones, and communications	<u>1,200</u>
	<u>\$ 79,700</u>

As of June 30, 2018 and 2017, GrantsPlus management fee to the Foundation for services rendered was \$152,000 and \$105,000, respectively, which is eliminated in consolidation.

(10) Property Management Fees

The LLC has a management agreement with a third party to manage and provide leasing services to the Property through December 31, 2016. Such expenses are included in operating expenses in the consolidated statements of activities. Additionally, the LLC pays the property manager a commission in accordance with the terms of the management agreement if the property manager procures a new lease or an extension, renewal, or expansion of an existing lease for space in the Property during the term of this agreement; such costs are included in deferred costs on the accompanying consolidated balance sheets.

(11) Real Estate Tax Exemption

During fiscal years 2018 and 2017, the LLC obtained a real estate tax reduction amounting to \$1,632,569 and \$1,586,424, respectively, relating to an exemption for the portion of the Property used by CUNY as a not-for-profit, tax-exempt organization.

(12) Subsequent Events

The Organization evaluated events subsequent to June 30, 2017 and through October 24, 2018, the date on which the consolidated financial statements were issued, the result of which had no impact on the Organization's consolidated financial statement.

**RESEARCH FOUNDATION OF THE
CITY UNIVERSITY OF NEW YORK**
Schedule of Expenditures of Federal Awards
Year ended June 30, 2018

Federal grantor/pass-through, grantor program, or cluster title	Federal CFDA or federal I.D. number	Pass-through identifying number	Direct	Pass-through	Total	Passed through to subrecipients
Research and Development Cluster:						
U.S. Department of Health and Human Services:						
Environmental Public Health and Emergency Response/Pass-through – NYC Department of Health and Mental Hygiene	93.070	12SP004001R0D03	\$ —	57,106	57,106	—
Healthy Marriage Promotion and Responsible Fatherhood Grants/Pass-through – Osborne Association, Inc.	93.086	7H121-00 01	—	64,473	64,473	—
Enhance Safety of Children Affected by Substance Abuse/Pass-through – Georgia State University	93.087	SP00012618-04	—	10,695	10,695	—
Environmental Health	93.113		60,006	—	60,006	—
Environmental Health/Pass-through – Columbia University	93.113	1 (GG008430)	—	12,300	12,300	—
Oral Diseases and Disorders Research/Pass-through – SingleO2 Therapeutics LLC	93.121	160901	—	63,393	63,393	—
Centers for Research and Demonstration for Health Promotion and Disease Prevention/ Pass-through – New York University	93.135	14-A0-00-002153	—	149,726	149,726	—
Community Programs to Improve Minority Health Grant Program	93.137		482,018	—	482,018	—
NIEHS Hazardous Waste Worker Health and Safety Training/Pass-through – Rutgers University	93.142	8305	—	6,572	6,572	—
NIEHS Hazardous Waste Worker Health and Safety Training/ Pass-through – Steelworkers Charitable & Educational Organization	93.142	5U45ES006175	—	5,913	5,913	—
NIEHS Superfund Hazardous Substances – Basic Research and Education	93.143		68,777	—	68,777	36,593
Research Related to Deafness and Communication Disorders	93.173		1,639,321	—	1,639,321	777,583
Research Related to Deafness and Communication Disorders/Pass-through – Haskins Laboratories	93.173	R01 DC 002717	—	145,730	145,730	—
Research on Healthcare Costs, Quality and Outcomes	93.226		142,296	—	142,296	3,029
Mental Health Research Grants	93.242		4,841,025	—	4,841,025	1,411,980
Mental Health Research Grants/Pass-through – Columbia University	93.242	1(GG011926)	—	67,124	67,124	—
Mental Health Research Grants/Pass-through – Columbia University	93.242	7(GG009462)	—	13,520	13,520	—
Mental Health Research Grants/Pass-through – Icahn School of Medicine at Mount Sinai	93.242	0255-4261-4609	—	15,476	15,476	—
Mental Health Research Grants/Pass-through – New York Blood Center	93.242	NIH000491	—	67,264	67,264	—
Mental Health Research Grants/Pass-through – Research Foundation for Mental Hygiene	93.242	1013358	—	20,734	20,734	—
Mental Health Research Grants/Pass-through – Research Foundation for Mental Hygiene	93.242	1013359	—	125,196	125,196	—
Mental Health Research Grants/Pass-through – Research Foundation for Mental Hygiene	93.242	1013381	—	57,294	57,294	—
Mental Health Research Grants/Pass-through – Research Foundation for Mental Hygiene	93.242	137606	—	1,353	1,353	—
Mental Health Research Grants/Pass-through – University of Pennsylvania	93.242	568593	—	(60,481)	(60,481)	—
Mental Health Research Grants/Pass-through – University of Pittsburgh	93.242	0051506 (128654-1)	—	12,651	12,651	—
Occupational Safety and Health Program/Pass-through – Icahn School of Medicine at Mount Sinai	93.262	0253-6536-4609	—	10,258	10,258	—
Occupational Safety and Health Program/Pass-through – Icahn School of Medicine at Mount Sinai	93.262	0253-6537-4609	—	173,280	173,280	—
Occupational Safety and Health Program/Pass-through – Icahn School of Medicine at Mount Sinai	93.262	0254-5754-4609	—	(9,279)	(9,279)	—
Occupational Safety and Health Program/Pass-through – Icahn School of Medicine at Mount Sinai	93.262	0254-5931-4609	—	31,108	31,108	—
Occupational Safety and Health Program/Pass-through – Icahn School of Medicine at Mount Sinai	93.262	0254-5932-4609	—	104,240	104,240	—
Alcohol Research Programs	93.273		590,529	—	590,529	156,915
Alcohol Research Programs/Pass-through – Feinstein Institute for Medical Research	93.273	500665 HC	—	19	19	—
Alcohol Research Programs/Pass-through – Florida State University	93.273	R01965	—	80,194	80,194	—
Alcohol Research Programs/Pass-through – Pennsylvania State University	93.273	5300-HC-DHHS-321	—	26,479	26,479	—
Alcohol Research Programs/Pass-through – University of New Mexico	93.273	028349-870X	—	988	988	—
Alcohol Research Programs/Pass-through – Wayne State University	93.273	WSU14012-A3	—	49,245	49,245	—
Drug Abuse and Addiction Research Programs	93.279		3,771,274	—	3,771,274	503,189
Drug Abuse and Addiction Research Programs/Pass-through – Fordham University	93.279	5R25DA031608-08	—	11,292	11,292	—
Drug Abuse and Addiction Research Programs/Pass-through – Icahn School of Medicine at Mount Sinai	93.279	0255-2611-4609	—	93,139	93,139	—
Drug Abuse and Addiction Research Programs/Pass-through – New York University	93.279	F7610-10	—	(1,575)	(1,575)	—
Drug Abuse and Addiction Research Programs/Pass-through – New York University	93.279	F8602-3	—	(1,823)	(1,823)	—
Drug Abuse and Addiction Research Programs/Pass-through – New York University	93.279	F8733-02	—	17,373	17,373	—
Drug Abuse and Addiction Research Programs/Pass-through – New York University	93.279	F8733-10	—	1,720	1,720	—
Drug Abuse and Addiction Research Programs/Pass-through – New York University	93.279	F8784-3	—	27,334	27,334	—
Drug Abuse and Addiction Research Programs/Pass-through – Northwestern University	93.279	60043967	—	65,700	65,700	—
Drug Abuse and Addiction Research Programs/Pass-through – University of Minnesota	93.279	P004670601	—	412,757	412,757	—
Centers for Disease Control and Prevention Investigations and Technical Assistance/ Pass-through – National Association of Chronic Disease Directors	93.283	0432014	—	1,288	1,288	—
Centers for Disease Control and Prevention Investigations and Technical Assistance/ Pass-through – National Association of Chronic Disease Directors	93.283	0782013	—	12	12	—
Discovery and Applied Research for Technological Innovations	93.286		206,761	—	206,761	73,795
ARRA Discovery and Applied Research for Technological Innovations	93.286		395,951	—	395,951	99,711
Teenage Pregnancy Prevention Program/Pass-through – Center for Innovative Public Health Research	93.297	TP2AH000035	—	37,056	37,056	—
Minority Health and Health Disparities Research	93.307		2,096,326	—	2,096,326	106,880
Minority Health and Health Disparities Research/Pass-through – Columbia University	93.307	1(GG013713-01)	—	14,482	14,482	—
Minority Health and Health Disparities Research/Pass-through – Morehouse School of Medicine	93.307	004HC16	—	7,939	7,939	—
Minority Health and Health Disparities Research/Pass-through – Northwestern University	93.307	60044313CUNY	—	227,182	227,182	—
Minority Health and Health Disparities Research/Pass-through – Rand Corporation	93.307	9920170039	—	136,640	136,640	—
Skills Training and Health Workforce Development of Paraprofessionals Grant Program	93.329		42,014	—	42,014	—
Partnerships to Improve Community Health/Pass-through – Fund for Public Health in New York, Inc.	93.331	82,568	—	99,472	99,472	—
National Center for Advancing Translational Sciences	93.350		439,505	—	439,505	224,389
National Center for Advancing Translational Sciences/Pass-through – Columbia University	93.350	1(GG014404)	—	12,419	12,419	—
National Center for Advancing Translational Sciences/Pass-through – Weill Cornell Medical College	93.350	5 UL1 TR000457	—	15,141	15,141	—
National Center for Advancing Translational Sciences/Pass-through – Weill Cornell Medical College	93.350	TL1 TR000459	—	543	543	—
National Center for Advancing Translational Sciences/Pass-through – Weill Cornell Medical College	93.350	16010002-03	—	(324)	(324)	—
National Center for Advancing Translational Sciences/Pass-through – Weill Cornell Medical College	93.350	16121895-03	—	(1,510)	(1,510)	—
National Center for Advancing Translational Sciences/Pass-through – Weill Cornell Medical College	93.350	16121895-05	—	14,103	14,103	—
National Center for Advancing Translational Sciences/Pass-through – Weill Cornell Medical College	93.350	17040433-06	—	31,511	31,511	—
National Center for Advancing Translational Sciences/Pass-through – Weill Cornell Medical College	93.350	17040433-07	—	4,227	4,227	—
National Center for Advancing Translational Sciences/Pass-through – Weill Cornell Medical College	93.350	17040433-08	—	177,295	177,295	—

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Year ended June 30, 2018

Federal grantor/pass-through, grantor program, or cluster title	Federal CFDA or federal I.D. number	Pass-through identifying number	Direct	Pass-through	Total	Passed through to subrecipients
National Center for Advancing Translational Sciences/Pass-through – Weill Cornell Medical College	93.350	17040433-09	\$ —	87,592	87,592	—
National Center for Advancing Translational Sciences/Pass-through – Weill Cornell Medical College	93.350	4100410658	—	230	230	—
National Center for Advancing Translational Sciences/Pass-through – Weill Cornell Medical College	93.350	5250015615	—	8,719	8,719	—
National Center for Advancing Translational Sciences/Pass-through – Weill Cornell Medical College	93.350	5250015626	—	12,017	12,017	—
Nursing Research/Pass-through – Duke University	93.361	2036473	—	7,888	7,888	—
Nursing Research/Pass-through – University of Colorado	93.361	FY18.105.007	—	22,525	22,525	—
Nursing Research/Pass-through – Visiting Nurse Service of New York	93.361	4598H	—	29,881	29,881	—
National Center for Research Resources/Pass-through – Weill Cornell Medical College	93.389	08030388	—	86	86	—
Cancer Cause and Prevention Research	93.393	—	54,883	—	54,883	—
Cancer Cause and Prevention Research/Pass-through – New Jersey Institute of Technology	93.393	996287	—	13,279	13,279	—
Cancer Cause and Prevention Research/Pass-through – New York University School of Medicine	93.393	17-A1-00-007671	—	69,566	69,566	—
Cancer Cause and Prevention Research/Pass-through – Roswell Park Cancer Institute	93.393	228-02	—	25,175	25,175	—
Cancer Cause and Prevention Research/Pass-through – Roswell Park Cancer Institute	93.393	228-03	—	101,324	101,324	—
Cancer Cause and Prevention Research/Pass-through – Memorial Sloan Kettering Cancer Center	93.393	BD523341	—	14,150	14,150	—
Cancer Detection and Diagnosis Research	93.394	—	734,807	—	734,807	45,471
Cancer Detection and Diagnosis Research/Pass-through – Memorial Sloan Kettering Cancer Center	93.394	BD519929	—	246,736	246,736	—
Cancer Detection and Diagnosis Research/Pass-through – Memorial Sloan Kettering Cancer Center	93.394	BD520095	—	65,886	65,886	—
Cancer Treatment Research	93.395	—	239,764	—	239,764	—
Cancer Treatment Research/Pass-through – University of Alabama in Birmingham	93.395	000509179-001	—	23,176	23,176	—
Cancer Biology Research	93.396	—	554,333	—	554,333	—
Cancer Biology Research/Pass-through – Massachusetts General Hospital	93.396	229675	—	237,133	237,133	—
Cancer Centers Support Grants	93.397	—	1,639,910	—	1,639,910	51,865
Cancer Centers Support Grants/Pass-through – Memorial Sloan Kettering Cancer Center	93.397	BD517213	—	45,362	45,362	—
Cancer Centers Support Grants/Pass-through – Memorial Sloan Kettering Cancer Center	93.397	BD518845	—	15,794	15,794	—
Cancer Centers Support Grants/Pass-through – Memorial Sloan Kettering Cancer Center	93.397	BD518969	—	22,928	22,928	—
Cancer Centers Support Grants/Pass-through – Memorial Sloan Kettering Cancer Center	93.397	BD519561	—	21,786	21,786	—
Cancer Research Manpower	93.398	—	144,887	—	144,887	—
ACL National Institute on Disability, Independent Living, and Rehabilitation Research/Pass-through – Rutgers University	93.433	8165	—	11,591	11,591	—
ACL National Institute on Disability, Independent Living, and Rehabilitation Research/Pass-through – University of New Hampshire	93.433	16-030	—	67,025	67,025	—
Health Careers Opportunity Program/Pass-through – Albert Einstein College of Medicine	93.822	311026	—	28,106	28,106	—
Health Careers Opportunity Program/Pass-through – Albert Einstein College of Medicine	93.822	311184	—	34,226	34,226	—
Cardiovascular Diseases Research	93.837	—	62,966	—	62,966	—
Cardiovascular Diseases Research/Pass-through – Albert Einstein College of Medicine	93.837	310975	—	101,110	101,110	—
Cardiovascular Diseases Research/Pass-through – Brigham and Women's Hospital, Inc.	93.837	116900	—	125,650	125,650	—
Cardiovascular Diseases Research/Pass-through – Energy Research Company	93.837	1R41HL126568-01A1	—	5,695	5,695	—
Cardiovascular Diseases Research/Pass-through – New York Blood Center	93.837	OHU000419	—	26,952	26,952	—
Arthritis, Musculoskeletal and Skin Diseases Research	93.846	—	327,180	—	327,180	—
Arthritis, Musculoskeletal and Skin Diseases Research/Pass-through – Icahn School of Medicine at Mount Sinai	93.846	0255-4183-4609	—	67,281	67,281	—
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	—	133,852	—	133,852	—
Diabetes, Digestive, and Kidney Diseases Extramural Research/Pass-through – New York University	93.847	F7529-01	—	53,960	53,960	—
Diabetes, Digestive, and Kidney Diseases Extramural Research/Pass-through – New York University School of Medicine	93.847	13-A0-00-001433	—	20,704	20,704	—
Diabetes, Digestive, and Kidney Diseases Extramural Research/Pass-through – University of Pittsburgh	93.847	0048553 127065-3	—	120,295	120,295	—
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	—	3,321,040	—	3,321,040	232,570
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through – Cincinnati Children's Hospital Medical Center	93.853	135552	—	8,543	8,543	—
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through – New York University	93.853	F7796-01	—	1,410	1,410	—
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through – Rush University Medical Center	93.853	13012104-SUB02	—	106,523	106,523	—
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through – Soterix Medical, Inc.	93.853	SNCCNY4117	—	99,038	99,038	—
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through – Soterix Medical, Inc.	93.853	SNCCNY4118	—	17,189	17,189	—
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through – University of Wisconsin	93.853	690K141	—	51,615	51,615	—
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through – University of Wisconsin	93.853	756K475	—	267,476	267,476	—
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through – Washington University at St. Louis	93.853	WU-16-154	—	178,884	178,884	—
Allergy, Immunology and Transplantation Research	93.855	—	3,175,578	—	3,175,578	76,438
Allergy, Immunology and Transplantation Research/Pass-through – Albert Einstein College of Medicine	93.855	31004	—	133,930	133,930	—
Allergy, Immunology and Transplantation Research/Pass-through – Albert Einstein College of Medicine	93.855	31614	—	374,901	374,901	—
Allergy, Immunology and Transplantation Research/Pass-through – John Hopkins University	93.855	2002557625	—	111,236	111,236	—
Allergy, Immunology and Transplantation Research/Pass-through – Rutgers University	93.855	0231	—	311	311	—
Allergy, Immunology and Transplantation Research/Pass-through – St. Louis University	93.855	40001	—	111,530	111,530	—
Allergy, Immunology and Transplantation Research/Pass-through – Memorial Sloan Kettering Cancer Center	93.855	BD518963	—	201,502	201,502	—
Biomedical Research and Research Training	93.859	—	11,548,063	—	11,548,063	43,136
Biomedical Research and Research Training/Pass-through – Albert Einstein College of Medicine	93.859	310996	—	9,393	9,393	—
Biomedical Research and Research Training/Pass-through – Albert Einstein College of Medicine	93.859	311208	—	31,528	31,528	—
Biomedical Research and Research Training/Pass-through – American Society for Cell Biology	93.859	5R25GM116707-01	—	574	574	—
Biomedical Research and Research Training/Pass-through – American Society for Cell Biology	93.859	7H186-00 01	—	4,800	4,800	—
Biomedical Research and Research Training/Pass-through – New York Structural Biology Center	93.859	G0091102	—	87,686	87,686	—
Biomedical Research and Research Training/Pass-through – Research Foundation at Stony Brook	93.859	73299-1128962-3	—	26,968	26,968	—
Biomedical Research and Research Training/Pass-through – Research Foundation at Stony Brook	93.859	74777-1132140-2	—	5,437	5,437	—

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Biomedical Research and Research Training/Pass-through – Research Foundation at Stony Brook	93.859	74876	\$ —	6,795	6,795	—
Biomedical Research and Research Training/Pass-through – Rutgers University	93.859	8309	—	32,843	32,843	—
Biomedical Research and Research Training/Pass-through – Rutgers University	93.859	8357	—	38,621	38,621	—
Biomedical Research and Research Training/Pass-through – University of California at San Diego	93.859	42902316	—	109,118	109,118	—
Biomedical Research and Research Training/Pass-through – University of Delaware	93.859	48215	—	60,794	60,794	—
Biomedical Research and Research Training/Pass-through – University of Michigan	93.859	3004135047	—	69,866	69,866	—
Biomedical Research and Research Training/Pass-through – University of Michigan	93.859	3004658795	—	60,395	60,395	—
Biomedical Research and Research Training/Pass-through – University of Texas at Austin	93.859	UTA17-001185	—	185,151	185,151	—
Biomedical Research and Research Training/Pass-through – Virginia Polytechnic Institute and State University	93.859	431987-19B75	—	18,142	18,142	—
Child Health and Human Development Extramural Research	93.865		430,328	—	430,328	5,505
Child Health and Human Development Extramural Research/Pass-through – Albert Einstein College of Medicine	93.865	310944	—	35,900	35,900	—
Child Health and Human Development Extramural Research/Pass-through – FHI 360	93.865	100221.001.004	—	28,063	28,063	—
Child Health and Human Development Extramural Research/Pass-through – Florida State University	93.865	R01927	—	939,019	939,019	—
Child Health and Human Development Extramural Research/Pass-through – Florida State University	93.865	R01957	—	370,043	370,043	—
Child Health and Human Development Extramural Research/Pass-through – Florida State University	93.865	R01996	—	419,451	419,451	—
Child Health and Human Development Extramural Research/Pass-through – Florida State University	93.865	R02005	—	11,297	11,297	—
Child Health and Human Development Extramural Research/Pass-through – New York Blood Center	93.865	NIH000262	—	14,560	14,560	—
Child Health and Human Development Extramural Research/Pass-through – New York University	93.865	F8729-01	—	19,711	19,711	—
Child Health and Human Development Extramural Research/Pass-through – University of North Carolina	93.865	5107707	—	67,197	67,197	—
Child Health and Human Development Extramural Research/Pass-through – University of North Carolina	93.865	5108964	—	18,140	18,140	—
Child Health and Human Development Extramural Research/Pass-through – University of North Carolina	93.865	5109017	—	137,966	137,966	—
Child Health and Human Development Extramural Research/Pass-through – University of North Carolina	93.865	5110166	—	21,413	21,413	—
Child Health and Human Development Extramural Research/Pass-through – University of North Carolina	93.865	5110167	—	8,318	8,318	—
Child Health and Human Development Extramural Research/Pass-through – Washington University at St. Louis	93.865	WU-17-138	—	49,768	49,768	—
Child Health and Human Development Extramural Research/Pass-through – Wayne State University	93.865	WSU17010	—	20,582	20,582	—
Aging Research	93.866		302,620	—	302,620	—
Aging Research/Pass-through – Columbia University	93.866	3(GG012026-01)	—	33,783	33,783	—
Aging Research/Pass-through – University of Michigan	93.866	3004207471	—	723	723	—
Aging Research/Pass-through – University of Texas at Austin	93.866	UTA15-000587	—	7,879	7,879	—
Aging Research/Pass-through – University of Washington	93.866	UWSC9788	—	22,262	22,262	—
Aging Research/Pass-through – Visiting Nurse Service of New York	93.866	4612H	—	41,960	41,960	—
Vision Research	93.867		574,615	—	574,615	—
Medical Library Assistance	93.879		339,040	—	339,040	191,094
Special Projects of National Significance/Pass-through – Health Research Inc.	93.928	4346	—	39	39	—
Special Projects of National Significance/Pass-through – Health Research Inc.	93.928	5422	—	47,252	47,252	—
HIV Prevention Activities Health Department Based/Pass-through – Public Health, Inc.	93.940	16-CUNY-02	—	15,448	15,448	—
HIV Demonstration, Research, Public and Professional Education Projects/Pass-through – Albert Einstein College of Medicine	93.941	310441	—	12,066	12,066	—
International Research and Research Training/Pass-through – Rutgers University	93.989	5429	—	36,581	36,581	—
International Research and Research Training/Pass-through – Weill Cornell Medical College	93.989	16121981-01	—	20,225	20,225	—
Various/Pass-through – ABT Associates Inc.	93.UNKNOWN	HPOG2-Hostos	—	13,249	13,249	—
Various/Pass-through – Center for Public Service Communications	93.UNKNOWN	2016-23	—	2,916	2,916	—
Various/Pass-through – DCS Corporation	93.UNKNOWN	APX02-N013	—	192,553	192,553	—
Various/Pass-through – Phoebus Optoelectronics LLC	93.UNKNOWN	1R43FD005693-01	—	14,115	14,115	—
Various/Pass-through – Memorial Sloan Kettering Cancer Center	93.UNKNOWN	BD517283B	—	438	438	—
Total U.S. Department of Health and Human Services			38,359,669	9,474,908	47,834,577	4,040,143
U.S. Department of Agriculture:						
Agricultural Research Basic and Applied Research	10.001		83,830	—	83,830	454
Sustainable Agriculture Research and Education/Pass-through – University of Vermont	10.215	ONE16-252-29994	—	4,604	4,604	—
Higher Education – Institution Challenge Grants Program/Pass-through – University of Minnesota	10.217	H004972103	—	16,356	16,356	—
Agricultural and Rural Economic Research, Cooperative Agreements and Collaborations	10.250		288	—	288	—
Consumer Data and Nutrition Research	10.253		36,950	—	36,950	—
Agriculture and Food Research Initiative (AFRI)/Pass-through – University of Minnesota	10.310	0000457110	—	57,799	57,799	—
Agriculture and Food Research Initiative (AFRI)/Pass-through – University of Tennessee	10.310	2014-67001-2185	—	1,325	1,325	—
Soil and Water Conservation	10.902		56,275	—	56,275	—
Total U.S. Department of Agriculture			177,343	80,084	257,427	454
U.S. Department of Commerce:						
Ocean Exploration	11.011		63,411	—	63,411	29,036
Ocean Exploration/Pass-through – Boston University	11.011	4500002347	—	42,561	42,561	—
Sea Grant Support	11.417		32,419	—	32,419	—
Sea Grant Support/Pass-through -New York Sea Grant	11.417	R/XG-26	—	10,499	10,499	—
Sea Grant Support/Pass-through -University of South Carolina	11.417	18-3566	—	4,266	4,266	—
Coastal Zone Management Administration Awards/Pass-through – NYS Department of State	11.419	C1000894	—	31,704	31,704	5,106
Climate and Atmospheric Research	11.431		75,309	—	75,309	26,068
Climate and Atmospheric Research/Pass-through – Columbia University	11.431	3(GG012355)	—	111,049	111,049	—
National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes/ Pass-through – University of Maryland	11.432	16126-Z7813001	—	662,496	662,496	58,934
Applied Meteorological Research/Pass-through – University of Maryland	11.468	41196-Z7890001	—	44,817	44,817	—
Educational Partnership Program	11.481		2,791,482	—	2,791,482	611,910
Coral Reef Conservation Program/Pass-through – New York University	11.482	S0045-01	—	17,967	17,967	—

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Science, Technology, Business and/or Education Outreach	11.620		\$ 61,376	—	61,376	—
Various	11.UNKNOWN		34,468	—	34,468	—
Total U.S. Department of Commerce			3,058,465	925,359	3,983,824	731,054
U.S. Department of the Navy:						
Basic and Applied Scientific Research	12.300		337,676	—	337,676	—
U.S. Department of the Army:						
Military Medical Research and Development/ Pass-through – New York University						
School of Medicine	12.420		—	7,850	7,850	—
Basic Scientific Research	12.431		672,054	—	672,054	—
Basic Scientific Research/Pass-through – Cornell University	12.431	71958-10661	—	199,123	199,123	—
Basic Scientific Research/Pass-through – Massachusetts Institute of Technology	12.431	5710004049	—	42,499	42,499	—
Basic Scientific Research/Pass-through – Rensselaer Polytechnic Institute	12.431	A12892	—	18,857	18,857	—
Basic, Applied, and Advanced Research in Science and Engineering	12.630		1,045,997	—	1,045,997	—
Basic, Applied, and Advanced Research in Science and Engineering/Pass-through – Academy of Applied Science	12.630	W911NF-10-2-0076	—	19,447	19,447	—
Basic, Applied, and Advanced Research in Science and Engineering/Pass-through – Academy of Applied Science	12.630	7N010-0003/0004	—	21,185	21,185	—
Basic, Applied, and Advanced Research in Science and Engineering/Pass-through – Academy of Applied Science	12.630	7N011-0003/0004	—	14,456	14,456	—
Research and Technology Development/Pass-through – BBN Technologies	12.910	9500009865	—	385,907	385,907	—
Various/Pass-through – MSI Stem Research and Development Consortium	12.UNKNOWN	DO1-W911SR-14-2-0001	—	385,126	385,126	—
Total U.S. Department of the Army			1,718,051	1,094,450	2,812,501	—
U.S. Department of the Air Force:						
Air Force Defense Research Sciences Program	12.800		1,267,391	—	1,267,391	160,443
Air Force Defense Research Sciences Program/Pass-through – Georgia State University	12.800	SP00012088-01	—	34,046	34,046	—
Air Force Defense Research Sciences Program/Pass-through – Northwestern University	12.800	SP0032777-PROJ00	—	164,793	164,793	—
Air Force Defense Research Sciences Program/Pass-through – Research Foundation for the SUNY	12.800	R1041503	—	38,689	38,689	—
Research and Technology Development	12.910		168,721	—	168,721	169,538
Various/Pass-through – Clarkson Aerospace Corporation	12.UNKNOWN	NCCY 16-S7700-04-C2	—	82,831	82,831	—
Various/Pass-through – Phoebeus Optoelectronics LLC	12.UNKNOWN	FA4819-16-C-0001	—	15,055	15,055	—
Various/Pass-through – UES, Inc.	12.UNKNOWN	S-953-23-MR001	—	10,105	10,105	—
Total U.S. Department of the Air Force			1,436,112	345,519	1,781,631	329,981
U.S. Department of Defense:						
Mathematical Sciences Grants	12.901		71,107	—	71,107	—
Various/Pass-through – John B. Pierce Laboratory	12.UNKNOWN	275-A	—	169,343	169,343	—
Various/Pass-through – National Advanced Mobility Consortium, Inc.	12.UNKNOWN	69-201511	—	69,885	69,885	—
Total U.S. Department of Defense			71,107	239,228	310,335	—
U.S. Department of Housing and Urban Development:						
Hurricane Sandy Community Development Block Grant Disaster Recovery						
Grants (CDBG-DR)/Pass-through NYC Department of Buildings	14.269	57500-00 01	—	238,858	238,858	61,258
Hurricane Sandy Community Development Block Grant Disaster Recovery						
Grants (CDBG-DR)/Pass-through NYC Department of Buildings	14.269	58580-00 01	—	6,234	6,234	—
Transformation Initiative Research Grants: Sustainable Community Research Grant						
Program/Pass-through – NYC Housing Authority	14.523	58951-00 01	—	3,323	3,323	—
Total U.S. Department of Department of Housing and Urban Development			—	248,415	248,415	61,258
U.S. Department of the Interior:						
Assistance to State Water Resources Research Institutes/Pass-through – Cornell University	15.805	78963-10874	—	18,953	18,953	—
Cooperative Research and Training Programs – Resources of the National Park System	15.945		70,660	—	70,660	16,591
Total U.S. Department of the Interior			70,660	18,953	89,613	16,591
U.S. Department of Justice:						
OVW Technical Assistance Initiative	16.526		267,288	—	267,288	—
National Institute of Justice Research, Evaluation, and Development Project Grants	16.560		2,008,847	—	2,008,847	1,123,643
National Institute of Justice Research, Evaluation, and Development Project Grants/ Pass-through – Michigan State University	16.560	RC104486	—	3,227	3,227	—
National Institute of Justice Research, Evaluation, and Development Project Grants/ Pass-through – Northeastern University	16.560	504618-78050	—	83,801	83,801	—
National Institute of Justice Research, Evaluation, and Development Project Grants/ Pass-through – Pennsylvania State University	16.560	5684-CUNY-NIU-00	—	18,356	18,356	—
National Institute of Justice Research, Evaluation, and Development Project Grants/ Pass-through – Rutgers University	16.560	0066	—	17,101	17,101	—
National Institute of Justice Research, Evaluation, and Development Project Grants/ Pass-through – University of Maryland	16.560	39480-Z9246102	—	81,117	81,117	—
National Institute of Justice Research, Evaluation, and Development Project Grants/ Pass-through – Urban Institute	16.560	08931-000-00	—	16,493	16,493	—
Criminal Justice Research and Development Graduate Research Fellowships	16.562		24,713	—	24,713	—
Edward Byrne Memorial State and Local Law Enforcement Assistance						
Discretionary Grants Program	16.580		53,678	—	53,678	—
Criminal and Juvenile Justice and Mental Health Collaboration Program/Pass-through – Education and Assistance Corporation	16.745	7H169-00 01	—	6,090	6,090	—
Edward Byrne Memorial Competitive Grant Program/Pass-through – International Association of Chiefs of Police	16.751	2015-VT-BX-K001	—	43,213	43,213	—
Second Chance Act Reentry Initiative/Pass-through – Education and Assistance Corporation	16.812	2015-RW-BX-0002	—	47,968	47,968	—
Second Chance Act Reentry Initiative/Pass-through – NYC Department of Probation	16.812	78116R0003001	—	21,917	21,917	—
Justice Reinvestment Initiative/Pass-through – Center for Court Innovation	16.827	F-FY17-82-045	—	51,824	51,824	—
Various	16.UNKNOWN		(403)	—	(403)	—
Various/Pass-through – Cherokee County	16.UNKNOWN	PSA-2015-77	—	7,283	7,283	—
Total U.S. Department of Justice			2,354,123	398,390	2,752,513	1,123,643
U.S. Department of Transportation:						
Highway Research and Development Program	20.200		205,409	—	205,409	24,924
Highway Research and Development Program/Pass-through – JHK Engineering P.C.	20.200	BN7600018	—	98,386	98,386	60,548
Highway Research and Development Program/Pass-through – New Jersey Department of Transportation	20.200	RFCUNY-56	—	107,692	107,692	—
Highway Planning and Construction/Pass-through – NYC Department of Transportation	20.205	57315-xx 26/28	—	111,149	111,149	100,677
Highway Planning and Construction/Pass-through – NYS Department of Transportation	20.205	17098M	—	14,675	14,675	—

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Highway Planning and Construction/Pass-through – NYS Department of Transportation	20.205	C030793	\$ —	544,161	544,161	418,412
Highway Planning and Construction/Pass-through – NYS Department of Transportation	20.205	C030794	—	664,632	664,632	504,749
Highway Planning and Construction/Pass-through – NYS Energy Research & Development Authority	20.205	116582	—	5,892	5,892	—
Highway Planning and Construction/Pass-through – NYS Energy Research & Development Authority	20.205	118144	—	42,812	42,812	25,000
Highway Planning and Construction/Pass-through – The Nature Conservancy	20.205	46847	—	4,553	4,553	3,517
Enhanced Mobility of Seniors and Individuals with Disabilities/Pass-through – University of South Florida	20.205	P103275/ A103357	—	2,869	2,869	—
Public Transportation Innovation/Pass-through – National Academy of Sciences	20.513	2117-1630-00-A	—	8,995	8,995	—
University Transportation Centers Program	20.530	TCRP F-25	—	139,406	139,406	13,793
University Transportation Centers Program/Pass-through – New York University	20.701	F8741-04	2,002,494	—	2,002,494	982,584
University Transportation Centers Program/Pass-through – University of Missouri	20.701	00055082	—	61,703	61,703	—
Various	20.701	—	—	123,988	123,988	—
	20.UNKNOWN	—	936,731	—	936,731	227,128
Total U.S. Department of Transportation			3,144,634	1,930,913	5,075,547	2,361,332
National Aeronautics and Space Administration:						
Science	43.001	—	1,626,533	—	1,626,533	254,656
Science/Pass-through – American Museum of Natural History	43.001	A25-2018-1	—	2,875	2,875	—
Science/Pass-through – Columbia University	43.001	1 (G0008796)	—	15,935	15,935	—
Science/Pass-through – Columbia University	43.001	1 (G0008944)	—	278	278	—
Science/Pass-through – Columbia University	43.001	1 (G0012408)	—	36,741	36,741	—
Science/Pass-through – Columbia University	43.001	1 (G0012576)	—	29,335	29,335	—
Science/Pass-through – Michigan Technological University	43.001	160103321	—	51,184	51,184	—
Science/Pass-through – Pennsylvania State University	43.001	5077-M37G	—	96,225	96,225	—
Science/Pass-through – Southwest Research Institute	43.001	K99006KJ	—	39,442	39,442	—
Science/Pass-through – University of Georgia	43.001	RR175-257/4945566	—	3,233	3,233	—
Science/Pass-through – University of Wisconsin	43.001	570K636	—	23,769	23,769	—
Exploration	43.003	—	159,764	—	159,764	—
Education	43.008	—	541,630	—	541,630	92,442
Education/Pass-through – Cornell University	43.008	73694-10321	—	16,753	16,753	—
Education/ Pass-through – Cornell University	43.008	76156-10480	—	37,000	37,000	—
Education/ Pass-through – Cornell University	43.008	76156-10483	—	56,140	56,140	—
Education/ Pass-through – Cornell University	43.008	76156-10487	—	12,500	12,500	—
Education/ Pass-through – Texas State University	43.008	17008-82232-9	—	28,193	28,193	—
Various/Pass-through – Jet Propulsion Laboratory	43.UNKNOWN	1514998	—	14,320	14,320	—
Total National Aeronautics and Space Administration			2,327,927	463,923	2,791,850	347,098
National Endowment for the Humanities:						
Promotion of the Humanities Research	45.161	—	11,360	—	11,360	—
Promotion of the Humanities Research/Pass-through – California State University at Northridge	45.161	F-14-3354-CUNY	—	693	693	—
Total National Endowment for the Humanities			11,360	693	12,053	—
National Science Foundation:						
Engineering Grants	47.041	—	3,376,339	—	3,376,339	758,261
Engineering Grants/Pass-through – Artaic, LLC	47.041	003	—	71,911	71,911	—
Engineering Grants/Pass-through – Georgia Institute of Technology	47.041	RG382-G2	—	110,000	110,000	—
Engineering Grants/Pass-through – Michigan State University	47.041	RC106692CUNY	—	34,356	34,356	—
Engineering Grants/Pass-through – Mousensor, LLC	47.041	SBIR 1720679	—	66,531	66,531	—
Engineering Grants/Pass-through – Sipra Solutions LLC	47.041	NSF-1648780	—	30,176	30,176	—
Engineering Grants/Pass-through – Spinup Nanosystems LLC	47.041	1520264	—	7,472	7,472	—
Engineering Grants/Pass-through – University of Texas at Austin	47.041	UTA16-001250	—	35,095	35,095	—
Mathematical and Physical Sciences	47.049	—	5,655,492	—	5,655,492	225,528
Mathematical and Physical Sciences/Pass-through – Columbia University	47.049	1(GG008600)	—	327,500	327,500	—
Mathematical and Physical Sciences/Pass-through – Johns Hopkins University	47.049	200264934	—	46,166	46,166	—
Mathematical and Physical Sciences/Pass-through – Mathematical Association of America	47.049	3-8-710-890	—	27,791	27,791	—
Mathematical and Physical Sciences/Pass-through – University of Louisville	47.049	—	—	5,660	5,660	—
Research Foundation	47.049	ULRF 14-0592-01	—	12,393	12,393	—
Mathematical and Physical Sciences/Pass-through – University of Michigan	47.049	3002118171	—	—	—	—
Geosciences	47.050	—	1,564,910	—	1,564,910	269,236
Geosciences/Pass-through – Columbia University	47.050	2(GG008997)	—	96,094	96,094	—
Geosciences/Pass-through – Columbia University	47.050	42(GG009393)	—	2,000	2,000	—
Geosciences/Pass-through – Columbia University	47.050	7(GG009393-01)	—	20,768	20,768	—
Computer and Information Science and Engineering	47.070	—	1,415,022	—	1,415,022	25,000
Computer and Information Science and Engineering/Pass-through – Computing Research Association	47.070	POSTDOC006	—	72,424	72,424	—
Computer and Information Science and Engineering/Pass-through – Massachusetts Institute of Technology	47.070	5710004126	—	10,343	10,343	—
Computer and Information Science and Engineering/Pass-through – New York University	47.070	F0459-01	—	74,278	74,278	—
Computer and Information Science and Engineering/Pass-through – Ohio State University	47.070	60052744	—	3,527	3,527	—
Biological Sciences	47.074	—	3,369,896	—	3,369,896	255,237
Biological Sciences/Pass-through – Cary Institute of Ecosystem Studies	47.074	3335/200201882	—	50,844	50,844	—
Biological Sciences/Pass-through – Cornell University	47.074	11071298	—	(3,597)	(3,597)	—
Biological Sciences/Pass-through – Miami University	47.074	G02462	—	19,706	19,706	—
Biological Sciences/Pass-through – Rowan University	47.074	50787-1	—	2,029	2,029	—
Biological Sciences/Pass-through – Memorial Sloan Kettering Cancer Center	47.074	BD519843	—	32,985	32,985	—
Social, Behavioral, and Economic Sciences	47.075	—	2,767,122	—	2,767,122	680,551
Social, Behavioral, and Economic Sciences/Pass-through – Arizona State University	47.075	16-819	—	40,391	40,391	—
Social, Behavioral, and Economic Sciences/Pass-through – Cary Institute of Ecosystem Studies	47.075	3283/200201868	—	66,713	66,713	—
Social, Behavioral, and Economic Sciences/Pass-through – Long Island University	47.075	RF CUNY 001	—	54,620	54,620	—
Social, Behavioral, and Economic Sciences/Pass-through – University of Texas at Dallas	47.075	1503120	—	51,385	51,385	—
Education and Human Resources	47.076	—	10,281,882	—	10,281,882	1,252,650
Education and Human Resources/Pass-through – American Museum of Natural History	47.076	675-2016-2	—	21,256	21,256	—
Education and Human Resources/Pass-through – Bowie State University	47.076	2090	—	20,961	20,961	—
Education and Human Resources/Pass-through – Bowie State University	47.076	2126	—	22,459	22,459	—
Education and Human Resources/Pass-through – Business Higher Education Forum	47.076	700-010	—	39,051	39,051	—
Education and Human Resources/Pass-through – Business Higher Education Forum	47.076	770-010	—	53,487	53,487	—
Education and Human Resources/Pass-through – Embry-Riddle Aeronautical University	47.076	63018-01	—	8,588	8,588	—
Education and Human Resources/Pass-through – Harrisburg University of Science and Technology	47.076	11,224,488	—	3,128	3,128	—

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Education and Human Resources/Pass-through – Hofstra University	47.076	25297-CUNY	\$ —	74,167	74,167	—
Education and Human Resources/Pass-through – Michigan State University	47.076	RC104162CUNY	—	63,149	63,149	—
Education and Human Resources/Pass-through – Research Foundation at Stony Brook	47.076	79207-QCC	—	14,611	14,611	—
Education and Human Resources/Pass-through – University of Colorado	47.076	1553022	—	103,830	103,830	—
Education and Human Resources/Pass-through – Virginia Polytechnic Institute and State University	47.076	479656-19C40	—	15,890	15,890	—
Office of International Science and Engineering	47.079	—	468,630	—	468,630	—
Office of International Science and Engineering/Pass-through – Columbia University	47.079	1(GG005969)	—	82,541	82,541	—
Office of Cyberinfrastructure	47.080	—	1,234,351	—	1,234,351	379,302
Various/Pass-through – Innovot LLC	47.UNKNOWN	IIP-1332027	—	5,241	5,241	—
Total National Science Foundation			30,133,644	1,897,920	32,031,564	3,845,765
Department of Veterans Affairs: Various	64.UNKNOWN		6,270	—	6,270	—
Environmental Protection Agency: National Estuary Program/Pass-through – Hudson River Foundation	66.456	HEP1	—	12,979	12,979	—
Environmental Information Exchange Network Grant Program and Related Assistance/ Pass-through – Rutgers University	66.608	0237	—	29,817	29,817	—
Various	66.UNKNOWN		2,946	—	2,946	—
Total Environmental Protection Agency:			2,946	42,796	45,742	—
Nuclear Regulatory Commission: U. S. Nuclear Regulatory Commission Nuclear Education Grant Program	77.006		82,009	—	82,009	—
U. S. Nuclear Regulatory Commission Scholarship and Fellowship Program	77.008		97,961	—	97,961	—
Total Nuclear Regulatory Commission			179,970	—	179,970	—
U.S. Department of Energy: Office of Science Financial Assistance Program	81.049		7,368,735	—	7,368,735	1,399,388
Office of Science Financial Assistance Program/Pass-through – Columbia University	81.049	1(GG012512)	—	149,913	149,913	—
Office of Science Financial Assistance Program/Pass-through – University of California at San Diego	81.049	54573316-002	—	42,012	42,012	—
Renewable Energy Research and Development	81.087		201,677	—	201,677	35,094
Renewable Energy Research and Development/Pass-through – Alliance for Sustainable Energy, LLC	81.087	AEJ-7-70297-01	—	24,831	24,831	—
Fossil Energy Research and Development/Pass-through – Ionic Materials, Inc.	81.089	DE-AR0000780	—	96,781	96,781	—
Epidemiology and Other Health Studies Financial Assistance Program/ Pass-through – Steelworkers Charitable and Education Organizations	81.108	DE-FC01-06EH0601	—	1,374,650	1,374,650	91,500
Defense Nuclear Nonproliferation Research	81.113		81,967	—	81,967	—
Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance/Pass-through – The Solar Foundation	81.117	DE-EE0007155.0004	—	48,126	48,126	—
Nuclear Energy Research, Development and Demonstration	81.121		203,947	—	203,947	81,243
Various/Pass-through – Battelle	81.UNKNOWN	276556	—	42,161	42,161	—
Various/Pass-through – Fermi Research Alliance LLC	81.UNKNOWN	622463	—	14,585	14,585	—
Various/Pass-through – Lawrence Livermore National Laboratory	81.UNKNOWN	B621406	—	11,562	11,562	—
Various/Pass-through – Lawrence Livermore National Laboratory	81.UNKNOWN	B626796	—	10,956	10,956	—
Various/Pass-through – Oak Ridge Institute for Science and Education	81.UNKNOWN	DE-AC05-06OR23100	—	2,601	2,601	—
Various/Pass-through – Sandia National Laboratories	81.UNKNOWN	1732243	—	144,622	144,622	—
Various/Pass-through – Savannah River Nuclear Solutions, LLC	81.UNKNOWN	272362	—	126,034	126,034	—
Various/Pass-through – Stanford University	81.UNKNOWN	175079	—	49,167	49,167	—
Various/Pass-through – UT-Battelle, LLC	81.UNKNOWN	4000146527	—	14,097	14,097	—
Total U.S. Department of Energy			7,856,326	2,152,098	10,008,424	1,607,225
U.S. Department of Education: National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program/Pass-through – New York University	84.015	F7310	—	44,739	44,739	—
Overseas Programs – Doctoral Dissertation Research Abroad	84.022		43,624	—	43,624	—
Education, Research, Development and Dissemination/Pass-through – MDRC	84.305	R305H40065	—	144,493	144,493	—
Education, Research, Development and Dissemination/Pass-through – Technical Education Research Centers, Inc.	84.305	4024	—	61,298	61,298	—
Education, Research, Development and Dissemination/Pass-through – University of California at Santa Barbara	84.305	KK1606	—	46,068	46,068	—
Education, Research, Development and Dissemination/Pass-through – University of Virginia	84.305	GM10155	—	140,007	140,007	—
Total U.S. Department of Education			43,624	436,605	480,229	—
U.S. Department of Homeland Security: Centers for Homeland Security/Pass-through – George Mason University	97.061	E2043882	—	38,573	38,573	—
Centers for Homeland Security/Pass-through – University of Maryland	97.061	Z901208	—	6,690	6,690	—
Homeland Security Grant Program/Pass-through – NYC Department of Health and Mental Hygiene	97.067	12SP004001R0D03	—	52,183	52,183	—
Total U.S. Department of Homeland Security			—	97,446	97,446	—
Agency for International Development						
USAID Foreign Assistance for Programs Overseas/Pass-through – Instituto Tecnológico De Santo Domingo – INTEC	98.001	INTEC-AID-517-A	—	85,744	85,744	—
USAID Foreign Assistance for Programs Overseas/Pass-through – University of Utah	98.001	10035947-S1	—	25,862	25,862	—
USAID Foreign Assistance for Programs Overseas/Pass-through – University Research Co., LLC	98.001	AID-517-A-15-00002	—	42,329	42,329	—
USAID Foreign Assistance for Programs Overseas/Pass-through – University Research Co., LLC	98.001	AID-OAA-A-17-00002	—	712,768	712,768	—
USAID Foreign Assistance for Programs Overseas/Pass-through – University Research Co., LLC	98.001	SUBIQ-82	—	85,926	85,926	—
USAID Foreign Assistance for Programs Overseas/Pass-through – Virginia Polytechnic Institute and State University	98.001	451364-19B75	—	45,426	45,426	24,083
Various/Pass-through – American Institutes for Research	98.UNKNOWN	D425300003	—	111,986	111,986	—
Total Agency for International Development			—	1,110,041	1,110,041	24,083
Total Research and Development Cluster			91,289,907	20,957,741	112,247,648	14,488,627
Hurricane Sandy Relief Cluster: HHS Programs for Disaster Relief Appropriations Act – Non Construction/ Pass-through – NYS Office of Child and Family Services	93.095	C027458	—	26,003	26,003	—

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TANF Cluster:						
U.S. Department of Health and Human Services:						
Temporary Assistance for Needy Families/Pass-through – NYC Human Resources Administration	93.558	57100-xx 29	\$ —	1,072,706	1,072,706	—
Temporary Assistance for Needy Families/Pass-through – NYC Human Resources Administration	93.558	57121-xx 22-29	—	6,554,381	6,554,381	—
Temporary Assistance for Needy Families/Pass-through – NYC Human Resources Administration	93.558	150HEFI00401	—	5,118	5,118	—
Temporary Assistance for Needy Families/Pass-through – NYS Office Of Children And Family Services	93.558	C027774	—	30,889	30,889	—
Temporary Assistance for Needy Families/Pass-through – NYS Office Of Children And Family Services	93.558	C027974	—	149,444	149,444	—
Total TANF Cluster			—	7,812,538	7,812,538	—
CCDF Cluster:						
U.S. Department of Health and Human Services:						
Child Care and Development Block Grant/Pass-through – NYS Department of Health	93.575	18EN052601R0X00	—	427,301	427,301	—
Child Care and Development Block Grant/Pass-through – NYS Office of Child and Family Services	93.575	C027972	—	339,337	339,337	—
Child Care and Development Block Grant/Pass-through – NYS Office of Child and Family Services	93.575	MOU 2255	—	1,241,886	1,241,886	—
Child Care and Development Block Grant/Pass-through – NYS Office of Child and Family Services	93.575	C027965	—	212,184	212,184	—
Child Care and Development Block Grant/Pass-through – NYS Office of Child and Family Services	93.575	C028162	—	197,310	197,310	—
Child Care and Development Block Grant/Pass-through – NYS Office of Child and Family Services	93.575	C027966	—	3,148	3,148	—
Child Care and Development Block Grant/Pass-through – NYS Office of Child and Family Services	93.575	C028159	—	1,409	1,409	—
Total CCDF Cluster			—	2,422,575	2,422,575	—
Medicaid Cluster:						
U.S. Department of Health and Human Services:						
Medical Assistance Program/Pass-through – NYS Office of Child and Family Services	93.778	C027965	—	8,661	8,661	—
Medical Assistance Program/Pass-through – NYS Office of Child and Family Services	93.778	C028162	—	8,053	8,053	—
Medical Assistance Program/Pass-through – NYS Office of Child and Family Services	93.778	C027966	—	25,215	25,215	—
Medical Assistance Program/Pass-through – NYS Office of Child and Family Services	93.778	C028159	—	11,289	11,289	—
Total Medicaid Cluster			—	53,218	53,218	—
SNAP Cluster:						
U.S. Department of Agriculture:						
Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Child and Family Services	10.551	C027965	—	8,937	8,937	—
Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Child and Family Services	10.551	C028162	—	8,310	8,310	—
Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Child and Family Services	10.551	C027966	—	58,441	58,441	—
Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Child and Family Services	10.551	C028159	—	26,164	26,164	—
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program/Pass-through – NYS Department of Labor	10.561	C015406	—	586	586	—
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Temporary and Disability Assistance	10.561	C021541	—	22,121	22,121	—
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Temporary and Disability Assistance	10.561	C021194	—	3,254	3,254	—
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Temporary and Disability Assistance	10.561	G00255GG	—	52,105	52,105	—
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Temporary and Disability Assistance	10.561	C00256GG	—	80,986	80,986	—
Total SNAP Cluster			—	260,904	260,904	—
CDBG – Entitlement Grants Cluster:						
Community Development Block Grants/Entitlement Grants/Pass-through – NYC Department of Youth and Community Development	14.218	9909B	—	(126)	(126)	—
Community Development Block Grants/Entitlement Grants/Pass-through – NYC Department of Youth and Community Development	14.218	9909C	—	20,669	20,669	—
Community Development Block Grants/Entitlement Grants/Pass-through – NYC Department of Youth and Community Development	14.218	9909D	—	10,988	10,988	—
Community Development Block Grants/Entitlement Grants/Pass-through – NYC Department of Youth and Community Development	14.218	9909E	—	115,556	115,556	—
Community Development Block Grants/Entitlement Grants/Pass-through – NYC Department of Youth and Community Development	14.218	99330	—	356,412	356,412	—
Total CDBG – Entitlement Grants Cluster			—	503,499	503,499	—
CDBG – Disaster Recovery Grants – Pub. L. No. 113-2 Cluster:						
Hurricane Sandy Community Development Block Grant Disaster Recovery Grants (CDBG-DR)/Pass-through – NYC Human Resource Administration	14.269	57229-03/04	—	373,202	373,202	—
WIOA Cluster:						
U.S. Department of Labor:						
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57122-xx 09	—	40,348	40,348	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57327-00 05	—	16,099	16,099	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57330-00 04	—	854	854	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57335-00 02	—	11,425	11,425	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57337-00 02/03	—	225,987	225,987	27,527
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57352-xx 01/02	—	382,264	382,264	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57354-00 01/02/03	—	215,710	215,710	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57358-00 01/02/03	—	181,819	181,819	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57359-xx 01/02	—	47,877	47,877	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57360-00 01	—	7,244	7,244	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57361-00 01/02	—	44,463	44,463	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57362-00 01	—	10,179	10,179	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57363-00 01/02	—	151,590	151,590	—

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WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57366-00 01	\$ —	9,588	9,588	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57367-00 01	—	6,512	6,512	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57374-00 01/02	—	589,545	589,545	203,250
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57375-00 02	—	104,723	104,723	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57377-00 01/02	—	337,015	337,015	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57379-00 01/02	—	43,197	43,197	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57381-00 01	—	25,767	25,767	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57384-00 01	—	192,075	192,075	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57387-00 01	—	32,305	32,305	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57390-00 01	—	44,204	44,204	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57392-00 01	—	93,989	93,989	—
WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	801-18SBS19483	—	99,903	99,903	—
WIOA Youth Activities/Pass-through – Eckerd Youth Initiative	17.259	90528	—	64,674	64,674	—
WIOA Youth Activities/Pass-through – NYC Department of Youth and Community Development	17.259	57240-xx 01/02	—	410,193	410,193	—
WIOA Youth Activities/Pass-through – NYC Department of Youth and Community Development	17.259	90472A	—	378	378	—
WIOA Dislocated Worker Formula Grants/Pass-through-NYS Department of Labor	17.278	C015498	—	72,721	72,721	—
WIOA Dislocated Worker Formula Grants/Pass-through-NYS Department of Labor	17.278	C17168GG	—	41,921	41,921	—
Total WIOA Cluster			—	3,504,569	3,504,569	230,777
Special Education Cluster (IDEA):						
U.S. Department of Education:						
Special Education Grants to States/Pass-through – NYS Education Department	84.027	C010778	—	8,833	8,833	—
TRIO Cluster:						
U.S. Department of Education:						
TRIO – Student Support Services	84.042		2,096,401	—	2,096,401	—
TRIO – Talent Search	84.044		802,462	—	802,462	—
TRIO – Upward Bound	84.047		1,975,829	—	1,975,829	—
TRIO – Educational Opportunity Centers	84.066		255,464	—	255,464	—
TRIO – McNair Post-Baccalaureate Achievement	84.217		490,309	—	490,309	—
Total TRIO Cluster			5,620,465	—	5,620,465	—
Disability Insurance/SSI Cluster:						
Social Security Disability Insurance/Pass-through – NYS Office of Child and Family Services	96.001	C027965	—	2,672	2,672	—
Social Security Disability Insurance/Pass-through – NYS Office of Child and Family Services	96.001	C028162	—	2,485	2,485	—
Social Security Disability Insurance/Pass-through – NYS Office of Temporary and Disability Assistance	96.001	C021893	—	14,455	14,455	—
Total Disability Insurance/SSI Cluster			—	19,612	19,612	—
Other Programs:						
U.S. Department of Health and Human Services:						
Hospital Preparedness Program (HPP) and Public Health Emergency Preparedness (PHEP)						
Aligned Cooperative Agreements/Pass-through – Public Health Solutions	93.074	13-BCHAL-01	—	1,137	1,137	—
Hospital Preparedness Program (HPP) and Public Health Emergency Preparedness (PHEP)						
Aligned Cooperative Agreements/Pass-through – Public Health Solutions	93.074	14-BCHAL-01	—	5,816	5,816	—
Total 93.074			—	6,953	6,953	—
Guardianship Assistance/Pass-through – NYS Office of Children and Family Services	93.090	C027965	—	1,198	1,198	—
Guardianship Assistance/Pass-through – NYS Office of Children and Family Services	93.090	C028162	—	1,114	1,114	—
Total 93.090			—	2,312	2,312	—
Affordable Care Act (ACA) Health Profession Opportunity Grants	93.093		2,947,987	—	2,947,987	—
Substance Abuse and Mental Health Services – Projects of Regional and National Significance	93.243		1,075,271	—	1,075,271	—
Pregnancy Assistance Fund Program/Pass-through – Health Research, Inc.	93.500	15-0905-01	—	97,021	97,021	—
Pregnancy Assistance Fund Program/Pass-through – Health Research, Inc.	93.500	4741-04	—	15,501	15,501	—
Pregnancy Assistance Fund Program/Pass-through – Health Research, Inc.	93.500	5708-01	—	133,039	133,039	—
Pregnancy Assistance Fund Program/Pass-through – Health Research, Inc.	93.500	5709-01	—	105,668	105,668	—
Total 93.500			—	351,229	351,229	—
Child Support Enforcement/Pass-through – NYS Office of Children and Family Services	93.563	C027965	—	2,303	2,303	—
Child Support Enforcement/Pass-through – NYS Office of Children and Family Services	93.563	C028162	—	2,142	2,142	—
Child Support Enforcement/Pass-through – NYS Office of Children and Family Services	93.563	C027966	—	14,992	14,992	—
Child Support Enforcement/Pass-through – NYS Office of Children and Family Services	93.563	C028159	—	6,712	6,712	—
Child Support Enforcement/Pass-through – NYS Office of Temporary and Disability Assistance	93.563	55727-00 24	—	24,895	24,895	—
Child Support Enforcement/Pass-through – NYS Office of Temporary and Disability Assistance	93.563	55765-00 15	—	39,242	39,242	—
Child Support Enforcement/Pass-through – NYS Office of Temporary and Disability Assistance	93.563	C021894	—	1,000	1,000	—
Child Support Enforcement/Pass-through – NYS Office of Temporary and Disability Assistance	93.563	C021949	—	88,857	88,857	—
Child Support Enforcement/Pass-through – NYS Office of Temporary and Disability Assistance	93.563	C021950	—	31,057	31,057	—
Total 93.563			—	211,200	211,200	—
Low-Income Home Energy Assistance/Pass-through – NYS Office of Children and Family Services	93.568	C027965	—	1,106	1,106	—
Low-Income Home Energy Assistance/Pass-through – NYS Office of Children and Family Services	93.568	C028162	—	1,028	1,028	—
Low-Income Home Energy Assistance/Pass-through – NYS Office of Children and Family Services	93.568	C027966	—	7,262	7,262	—
Low-Income Home Energy Assistance/Pass-through – NYS Office of Children and Family Services	93.568	C028159	—	3,251	3,251	—
Total 93.568			—	12,647	12,647	—
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	766621	—	80,560	80,560	—
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	766622	—	90,521	90,521	—
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	766627	—	100,195	100,195	—
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	810513	—	84,114	84,114	—
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	811103	—	185,777	185,777	—
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	820511	—	113,116	113,116	—

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Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	820806	\$ —	76,867	76,867	—
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	821108	—	54,917	54,917	—
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	821410	—	68,875	68,875	—
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	821411	—	101,907	101,907	—
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	821705	—	62,123	62,123	—
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	840309	—	65,877	65,877	—
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	90901	—	181,488	181,488	—
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	90902	—	973,341	973,341	—
Community Services Block Grant/Pass-through – NYS Department of State	93.569	C1001025	—	17,166	17,166	—
Total 93.569			—	2,256,844	2,256,844	—
Refugee and Entrant Assistance Discretionary Grants/ Pass-through – NYS Office of Child and Family Services	93.576	C027965	—	92	92	—
Refugee and Entrant Assistance Discretionary Grants/ Pass-through – NYS Office of Child and Family Services	93.576	C028162	—	86	86	—
Total 93.576			—	178	178	—
Developmental Disabilities Basic Support and Advocacy Grants/ Pass-through – NYC Developmental Disabilities Planning Council	93.630	C024317	—	283,065	283,065	56,507
Developmental Disabilities Projects of National Significance/Pass-through – Quality Trust for Individuals with Disabilities, Inc.	93.631	90DM0001-01-00	—	242	242	—
Foster Care – Title IV-E/Pass-through – NYS Office of Children and Family Services	93.658	C027965	—	16,308	16,308	—
Foster Care – Title IV-E/Pass-through – NYS Office of Children and Family Services	93.658	C028162	—	15,164	15,164	—
Foster Care – Title IV-E/Pass-through – NYS Office of Children and Family Services	93.658	C027966	—	18,109	18,109	—
Foster Care – Title IV-E/Pass-through – NYS Office of Children and Family Services	93.658	C028159	—	8,107	8,107	—
Total 93.658			—	57,688	57,688	—
Adoption Assistance/Pass-through – NYS Office of Children and Family Services	93.659	C027965	—	101,347	101,347	—
Adoption Assistance/Pass-through – NYS Office of Children and Family Services	93.659	C028162	—	94,243	94,243	—
Total 93.659			—	195,590	195,590	—
Social Services Block Grants/Pass-through – NYS Office of Children and Family Services	93.667	C027965	—	135,529	135,529	—
Social Services Block Grants/Pass-through – NYS Office of Children and Family Services	93.667	C028162	—	126,028	126,028	—
Social Services Block Grants/Pass-through – NYS Office of Children and Family Services	93.667	55709-03 30	—	180,745	180,745	—
Social Services Block Grants/Pass-through – NYS Office of Children and Family Services	93.667	C027973	—	445,449	445,449	—
Social Services Block Grants/Pass-through – NYS Office of Temporary and Disability Assistance	93.667	55756-00 16	—	208,857	208,857	—
Social Services Block Grants/Pass-through – NYS Office of Temporary and Disability Assistance	93.667	C021892	—	(360)	(360)	—
Social Services Block Grants/Pass-through – NYS Office of Temporary and Disability Assistance	93.667	C021948	—	329,004	329,004	—
Total 93.667			—	1,425,252	1,425,252	—
Mental and Behavioral Health Education and Training Grants	93.732		383,977	—	383,977	—
Mental and Behavioral Health Education and Training Grants/Pass-through – Plymouth State University	93.732	PSU2017162	—	20,000	20,000	—
Total 93.732			383,977	20,000	403,977	—
State and Local Public Health Actions to Prevent Obesity, Diabetes, Heart Disease and Stroke (PPHF)/Pass-through – Fund for Public Health in New York, Inc.	93.757	82031	—	(419)	(419)	—
Various/Pass-through – NYC Administration for Children Services	93.UNKNOWN	57343-00 02/03	—	199,022	199,022	—
Total U.S. Department of Health and Human Services			4,407,235	5,021,803	9,429,038	56,507
U.S. Department of Agriculture: Hispanic Serving Institutions Education Grants	10.223		101,991	—	101,991	—
U.S. Department of Commerce: NOAA Mission – Related Education Awards	11.008		278,642	—	278,642	92,408
U.S. Department of Defense: Procurement Technical Assistance for Business Firms	12.002		307,447	—	307,447	—
The Language Flagship Grants to Institutions of Higher Education/Pass-through – Institute of International Education	12.550	00054-HC-4	—	586,004	586,004	—
Language Grant Program	12.900		192,372	—	192,372	—
Total U.S. Department of Defense			499,819	586,004	1,085,823	—
U.S. Department of Justice: Alcohol, Tobacco, and Firearms Training Assistance/Pass-through – NYS Education Department	16.012	C402974	—	320,255	320,255	—
Antiterrorism Emergency Reserve/Pass-through – Chicago Police Department	16.321	2014-RF-GX-K012	—	96,352	96,352	11,340
Total U.S. Department of Justice			—	416,607	416,607	11,340
U.S. Department of Labor: H-1B Job Training Grants	17.268		1,786,792	—	1,786,792	—
YouthBuild/Pass-through – NYC Department of Education	17.274	9555886	—	467,204	467,204	—
WIOA National Dislocated Worker Grants / WIA National Emergency Grants/ Pass-through – NYS Department of Labor	17.277	T015529	—	33,519	33,519	—
Trade Adjustment Assistance Community College and Career Training (TAACCT) Grants	17.282		89,321	—	89,321	—
Trade Adjustment Assistance Community College and Career Training (TAACCT) Grants/Pass-through – Passaic County Community College	17.282	TC-25061-13-60-A-34	—	55,724	55,724	—
Total 17.282			89,321	55,724	145,045	—

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Various/Pass-through – Growth Transitions, Inc.	17.UNKNOWN	DOLU131A22128	\$ —	135	135	—
Various/Pass-through – NYC Department of Small Business Services	17.UNKNOWN	57333-00 03/04	—	648,332	648,332	—
Total 17.UNKNOWN			—	648,467	648,467	—
Total U.S. Department of Labor			1,876,113	1,204,914	3,081,027	—
U.S. Department of State:						
International Programs to Support Democracy, Human Rights and Labor	19.345		585,630	—	585,630	15,870
Academic Exchange Programs – Scholars/Pass-through – The Trustees of Indiana University	19.401	BL-4145503-CUNY	—	229	229	—
Academic Exchange Programs – Scholars/Pass-through – The Trustees of Indiana University	19.401	BL-4145505-CUNY	—	37,606	37,606	—
Total 19.401			—	37,835	37,835	—
Criminal Justice Systems	19.703		634,176	—	634,176	—
Total U.S. Department of State			1,219,806	37,835	1,257,641	15,870
U.S. Department of Transportation:						
Highway Training and Education	20.215		34,055	—	34,055	—
Assistance to Small and Disadvantaged Businesses	20.910		217,565	—	217,565	—
Total U.S. Department of Transportation			251,620	—	251,620	—
U.S. Department of the Treasury:						
Volunteer Income Tax Assistance (VITA) Matching Grant Program	21.009		26,559	—	26,559	—
National Endowment for the Humanities:						
Promotion of the Arts Grants to Organizations and Individuals	45.024		10,000	—	10,000	—
Promotion of the Humanities – Federal/State Partnership/ Pass-through – New York Council for the Humanities	45.129	2789566	—	500	500	—
Promotion of the Humanities – Federal/State Partnership/ Pass-through – New York Council for the Humanities	45.129	3270527	—	4,477	4,477	—
Promotion of the Humanities – Federal/State Partnership/ Pass-through – New York Council for the Humanities	45.129	3425636	—	1,227	1,227	—
Total 45.129			—	6,204	6,204	—
Promotion of the Humanities Challenge Grants	45.130		12,358	—	12,358	—
Promotion of the Humanities-Teaching and Learning Resources and Curriculum Development	45.162		220,062	—	220,062	—
Promotion of the Humanities Professional Development	45.163		39,176	—	39,176	—
Promotion of the Humanities Public Programs	45.164		38,771	—	38,771	—
Promotion of the Humanities – Office of Digital Humanities	45.169		310,600	—	310,600	—
Laura Bush 21st Century Librarian Program/Pass-through – New York Public Library	45.313	RE-40-16-0158-16	—	108,476	108,476	—
Laura Bush 21st Century Librarian Program/Pass-through – Northern Virginia Community College	45.313	RE-96-17-0113-17	—	10,848	10,848	—
Total 45.313			—	119,324	119,324	—
Total National Endowment for the Humanities:			630,967	125,528	756,495	—
Small Business Administration:						
Small Business Development Centers/Pass-through – Research Foundation for the SUNY	59.037	76351	—	1,058,940	1,058,940	—
Small Business Development Centers/Pass-through – Research Foundation for the SUNY	59.037	79337	—	697,740	697,740	—
Small Business Development Centers/Pass-through – Research Foundation for the SUNY	59.037	79619	—	16,086	16,086	—
Total Small Business Administration:			—	1,772,766	1,772,766	—
Environmental Protection Agency:						
Environmental Education Grants	66.951		44,085	—	44,085	15,925
U.S. Department of Education:						
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040172003	—	7,104	7,104	—
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040172035	—	8,401	8,401	—
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040172036	—	24,422	24,422	—
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040182003	—	380,278	380,278	—
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040182035	—	390,344	390,344	—
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040182036	—	245,143	245,143	—
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338172085	—	5,705	5,705	—
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338172120	—	6,973	6,973	—
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338172124	—	61,336	61,336	—
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338173064	—	7,480	7,480	—
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338173065	—	4,254	4,254	—
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338173066	—	21,671	21,671	3,038
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338173067	—	5,158	5,158	—
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338182085	—	90,252	90,252	—
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338182120	—	109,828	109,828	—
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338182124	—	3,273,409	3,273,409	—
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338183064	—	92,525	92,525	—
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338183065	—	90,774	90,774	—
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338183066	—	93,366	93,366	12,150
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338183067	—	89,071	89,071	—
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	MOU#016-022	—	1,279	1,279	—
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	MOU#017-054	—	338,366	338,366	—
Total 84.002			—	5,347,139	5,347,139	15,188
Undergraduate International Studies and Foreign Language Programs	84.016		129,435	—	129,435	—
Higher Education – Institutional Aid	84.031		10,006,546	—	10,006,546	37,701
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000176030	—	152,325	152,325	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000176040	—	19,610	19,610	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000176120	—	9,300	9,300	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000176260	—	16,167	16,167	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000176330	—	161,422	161,422	—

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Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000176340	\$ —	47,561	47,561	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000176360	—	47,103	47,103	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000176410	—	20,378	20,378	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000176460	—	82,114	82,114	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000176470	—	6,288	6,288	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000176571	—	3,268	3,268	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186030	—	2,113,597	2,113,597	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186040	—	1,013,634	1,013,634	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186120	—	269,612	269,612	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186260	—	698,409	698,409	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186330	—	935,318	935,318	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186340	—	1,212,409	1,212,409	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186360	—	66,889	66,889	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186410	—	847,520	847,520	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186430	—	569,328	569,328	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186460	—	339,775	339,775	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186470	—	37,841	37,841	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186571	—	85,748	85,748	—
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186581	—	34,664	34,664	—
Total 84.048			—	8,790,280	8,790,280	—
Fund for the Improvement of Postsecondary Education	84.116		550,617	—	550,617	—
Fund for the Improvement of Postsecondary Education/ Pass-through – University of Minnesota	84.116	A004497005	—	73,898	73,898	—
Total 84.116			550,617	73,898	624,515	—
Minority Science and Engineering Improvement	84.120		656,505	—	656,505	14,278
Rehabilitation Services Vocational Rehabilitation Grants to States/ Pass-through – NYS Office of Children and Family Services	84.126	C027417	—	244	244	—
Rehabilitation Services Vocational Rehabilitation Grants to States/ Pass-through – NYS Office of Children and Family Services	84.126	C027965	—	3,501	3,501	—
Rehabilitation Services Vocational Rehabilitation Grants to States/ Pass-through – NYS Office of Children and Family Services	84.126	C028162	—	3,256	3,256	—
Total 84.126			—	7,001	7,001	—
Rehabilitation Long-Term Training	84.129		188,616	—	188,616	—
Graduate Assistance in Areas of National Need	84.200		222,968	—	222,968	—
Language Resource Centers	84.229		137,612	—	137,612	—
Twenty-First Century Community Learning Centers/ Pass-through – NYC Department of Education	84.287	9654026	—	19,862	19,862	—
Twenty-First Century Community Learning Centers/ Pass-through – NYS Education Department	84.287	0187176051	—	10,504	10,504	—
Twenty-First Century Community Learning Centers/ Pass-through – NYS Education Department	84.287	0187176052	—	488,369	488,369	478,954
Total 84.287			—	518,735	518,735	478,954
Special Education – Personnel Development to Improve Services and Results for Children with Disabilities	84.325		1,120,675	—	1,120,675	—
Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities	84.326		625,321	—	625,321	—
Gaining Early Awareness and Readiness for Undergraduate Programs	84.334		1,484,959	—	1,484,959	—
Gaining Early Awareness and Readiness for Undergraduate Programs/Pass-through – NYS Higher Education Services Corporation	84.334	HES01-C12333GC-3	—	364,502	364,502	—
Gaining Early Awareness and Readiness for Undergraduate Programs/Pass-through – NYS Higher Education Services Corporation	84.334	MOU#33	—	45,959	45,959	—
Gaining Early Awareness and Readiness for Undergraduate Programs/Pass-through – NYS Higher Education Services Corporation	84.334	T112369	—	32,818	32,818	—
Total 84.334			1,484,959	443,279	1,928,238	—
Child Care Access Means Parents in School	84.335		545,724	—	545,724	—
Teacher Quality Partnership Grants	84.336		85,131	—	85,131	85,131
Teacher Quality Partnership Grants/Pass-through – New Vision for Public Schools	84.336	41130-CUNY	—	117,035	117,035	—
Total 84.336			85,131	117,035	202,166	85,131
English Language Acquisition State Grants	84.365		955,734	—	955,734	117,496
English Language Acquisition State Grants/Pass-through – NYS Education Department	84.365	015-021	—	179,822	179,822	—
English Language Acquisition State Grants/Pass-through – NYS Education Department	84.365	017-012	—	13,952	13,952	—
Total 84.365			955,734	193,774	1,149,508	117,496

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Mathematics and Science Partnerships/Pass-through – NYC Department of Education	84.366	9655856	\$ —	488,864	488,864	—
Mathematics and Science Partnerships/Pass-through – NYC Department of Education	84.366	9852601	—	106,952	106,952	—
Total 84.366			—	595,816	595,816	—
Supporting Effective Instruction State Grants /Pass-through – National Writing Project	84.367	92-NY02-SEED2012	—	9	9	—
Supporting Effective Instruction State Grants /Pass-through – National Writing Project	84.367	92-NY02-SEED2016	—	4,101	4,101	—
Supporting Effective Instruction State Grants /Pass-through – NYS Education Department	84.367	0247170002	—	52,792	52,792	—
Supporting Effective Instruction State Grants /Pass-through – NYS Education Department	84.367	0247170013	—	81,709	81,709	46,800
Supporting Effective Instruction State Grants /Pass-through – NYS Education Department	84.367	0247180002	—	124,524	124,524	—
Supporting Effective Instruction State Grants /Pass-through – NYS Education Department	84.367	0247180013	—	128,600	128,600	—
Total 84.367			—	391,735	391,735	46,800
College Access Challenge Grant Program/Pass-through – NYS Department of Correction and Community Supervision	84.378	T61353	—	23,372	23,372	—
College Access Challenge Grant Program/Pass-through – NYS Higher Education Services Corporation	84.378	C112162	—	400	400	—
College Access Challenge Grant Program/Pass-through – NYS Higher Education Services Corporation	84.378	MOU#35	—	(747)	(747)	—
Total 84.378			—	23,025	23,025	—
Strengthening Minority-Serving Institutions	84.382		1,331,292	—	1,331,292	—
Teacher Quality Partnerships, Recovery Act	84.405		177,877	—	177,877	20,233
Transition Programs for Students with Intellectual Disabilities into Higher Education/ Pass-through – University of Rochester	84.407	416881	—	390,549	390,549	—
Preschool Development Grants/Pass-through – NYS Education Department	84.419	015-028	—	912,376	912,376	65,667
American History and Civics Education/Pass-through – NYC Department of Education	84.422	MOU#016-022	—	127	127	—
American History and Civics Education/Pass-through – NYC Department of Education	84.422	MOU#017-054	—	35	35	—
Total 84.422			—	162	162	—
Various/Pass-through – NYC Department of Education	84.UNKNOWN	9852347	—	3,534	3,534	—
ARRA Various/Pass-through – NYC Department of Education	84.UNKNOWN	57306-00 02	—	1,644	1,644	—
ARRA Various/Pass-through – NYC Department of Education	84.UNKNOWN	9552361	—	15,692	15,692	—
Total 84.378			—	20,870	20,870	—
Total U.S. Department of Education			18,219,012	17,825,674	36,044,686	881,448
National Archives and Records Administration: National Historical Publications and Records Grants	89.003		74,167	—	74,167	—
Corporation for National and Community Services: Social Innovation Fund/Pass-through – New York City Workforce Development Corporation	94.019	72158-01 01	—	2,506	2,506	—
Social Security Administration: Social Security – Work Incentives Planning and Assistance Program	96.008		293,666	—	293,666	—
U.S. Department of Homeland Security: Citizenship Education and Training	97.010		126,622	—	126,622	—
Citizenship Education and Training/Pass-through – Catholic Migration Services	97.010	2016-CS-010-000016	—	57,647	57,647	—
Total 97.010			126,622	57,647	184,269	—
Scientific Leadership Awards	97.062		104,380	—	104,380	—
Homeland Security Grant Program/Pass-through – NYC Office of Emergency Management	97.067	57204-xx 06	—	26,515	26,515	—
Total U.S. Department of Homeland Security			231,002	84,162	315,164	—
Agency for International Development: USAID Foreign Assistance for Programs Overseas	98.001		1,323,568	—	1,323,568	695,147
USAID Foreign Assistance for Programs Overseas/Pass-through – Family Health International	98.001	PO16004521	—	816,970	816,970	103,207
Total Agency for International Development			1,323,568	816,970	2,140,538	798,354
Total other programs			29,478,252	27,894,769	57,373,021	1,871,852
Total federal awards			\$ 126,388,624	63,837,463	190,226,087	16,591,256

See accompanying independent auditors' report.

**RESEARCH FOUNDATION OF
THE CITY UNIVERSITY OF NEW YORK AND
RELATED ENTITIES**

Notes to Schedule of Expenditures of Federal Awards

June 30, 2018

(1) Basis of Presentation

The accompanying schedule of expenditures of federal awards (the Schedule) presents the Research Foundation of The City University of New York and related entities' (the Foundation) expenditures charged to federal programs. The information in this Schedule is presented in accordance with the requirements of Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance).

Federal awards, principally federal student financial assistance, received and administered by The City University of New York (the University), are not included in the accompanying schedule of expenditures of federal awards because the University prepares a separate report for its federal awards expenditures.

(2) Summary of Significant Account Policies

Expenditures reported in the Schedule are reported on the cash basis of accounting. Such expenditures are recognized following the cost principles contained in the Uniform Guidance, wherein certain types of expenditures are not allowable or are limited as to reimbursement. Negative amounts shown on the Schedule represent adjustments or credits made in the normal course of business to amounts reported as expenditures in prior years. The Foundation's consolidated financial statements were prepared on the accrual basis of accounting; therefore, certain amounts presented in the Schedule may differ from amounts presented in, or used in the preparation of, the Foundation's consolidated financial statements. However, management has reconciled amounts presented in the consolidated financial statements to related amounts in the Schedule. The Foundation has elected not to use the 10-percent de minimis indirect cost rate allowed under the Uniform Guidance.



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II-1

**Independent Auditors' Report on Internal Control Over Financial Reporting and on Compliance
and Other Matters Based on an Audit of Consolidated Financial Statements Performed in Accordance
With Government Auditing Standards**

The Board of Directors
Research Foundation of
The City University of New York:

We have audited, in accordance with the 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, the consolidated financial statements of the Research Foundation of The City University of New York and related entities (the Foundation), which comprise the consolidated balance sheet as of June 30, 2018, and the related consolidated statements of activities and cash flows for the year then ended, and the related notes to the consolidated financial statements, and have issued our report thereon dated October 24, 2018.

Internal Control Over Financial Reporting

In planning and performing our audit of the consolidated financial statements, we considered the Foundation's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the consolidated financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Foundation's internal control. Accordingly, we do not express an opinion on the effectiveness of the Foundation's internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A material weakness is a deficiency, or combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected, on a timely basis. A significant deficiency is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit, we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the Foundation's consolidated financial statements are free from 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*.

**Purpose of this Report**

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the Foundation's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Foundation's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

KPMG LLP

October 24, 2018



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New York, NY 10154-0102

II-3

Independent Auditors' Report on Compliance for Each Major Federal Program; Report on Internal Control Over Compliance; and Report on Schedule of Expenditures of Federal Awards Required by the Uniform Guidance

The Board of Directors
Research Foundation of
The City University of New York:

Report on Compliance for Each Major Federal Program

We have audited the Research Foundation of The City University of New York and related entities' (the Foundation) compliance with the types of compliance requirements described in the *OMB Compliance Supplement* that could have a direct and material effect on each of the Foundation's major federal programs for the year ended June 30, 2018. The Foundation's major federal programs are identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs.

Management's Responsibility

Management is responsible for compliance with federal statutes, regulations, and the terms and conditions of its federal awards applicable to its federal programs.

Auditors' Responsibility

Our responsibility is to express an opinion on compliance for each of the Foundation's major federal programs based on our audit of the types of compliance requirements referred to above. 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 the audit requirements of Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the Foundation's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance for each major federal program. However, our audit does not provide a legal determination of the Foundation's compliance.

Opinion on Each Major Federal Program

In our opinion, the Research Foundation of The City University of New York and related entities complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2018.

Report on Internal Control Over Compliance

Management of the Foundation is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered the Foundation's internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance



for each major federal program and to test and report on internal control over compliance in accordance with the Uniform Guidance, 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 Foundation's internal control over compliance.

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

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 material weaknesses or significant deficiencies. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

Report on Schedule of Expenditures of Federal Awards Required by the Uniform Guidance

We have audited the consolidated financial statements of the Foundation as of and for the year ended June 30, 2018, and have issued our report thereon dated October 24, 2018, which contained an unmodified opinion on those financial statements. Our audit was conducted for the purpose of forming an opinion on the consolidated financial statements as a whole. The accompanying schedule of expenditures of federal awards for the year ended June 30, 2018 is presented for purposes of additional analysis as required by the Uniform Guidance 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 consolidated financial statements. The information has been subjected to the auditing procedures applied in the audit 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 consolidated financial statements or to the consolidated financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the schedule of expenditures of federal awards is fairly stated in all material respects in relation to the consolidated financial statements as a whole.

KPMG LLP

March 27, 2019

**RESEARCH FOUNDATION OF
THE CITY UNIVERSITY OF NEW YORK AND
RELATED ENTITIES**

Schedule of Findings and Questioned Costs

June 30, 2018

(1) Summary of Auditors' Results

- (a) Type of report issued on whether the consolidated financial statements were prepared in accordance with generally accepted accounting principles: **Unmodified**
- (b) Internal control deficiencies over financial reporting disclosed by the audit of the consolidated financial statements:
 - Material weaknesses: **No**
 - Significant deficiencies: **None reported**
- (c) Noncompliance material to the consolidated financial statements: **No**
- (d) Internal control deficiencies over each major program disclosed by the audit:
 - Material weaknesses: **No**
 - Significant deficiencies: **None reported**
- (e) Type of report issued on compliance for each major program: **Unmodified**
- (f) Audit findings that are required to be reported in accordance with 2 CFR 200.516(a): **No**
- (g) Major programs:
 - Research and Development cluster – various CFDA number
 - Affordable Care Act (ACA) Health Profession Opportunity Grants – CFDA 93.093
 - Higher Education – Institutional Aid – CFDA 84.031
- (h) Dollar threshold used to distinguish between Type A and Type B programs: **\$3,000,000**
- (i) Auditee qualified as a low-risk auditee: **Yes**

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

None

(3) Findings and Questioned Costs Related to Federal Awards

None