

Consolidated Financial Statements and
Supplementary Information on Federal
Awards Programs

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

**Research Foundation of The City University of
New York and Related Entities**

June 30, 2019

Research Foundation of The City University of New York and Related Entities

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REPORT OF INDEPENDENT CERTIFIED PUBLIC ACCOUNTANTS

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

Report on the financial statements

We have audited the accompanying consolidated financial statements of the Research Foundation of The City University of New York and its related entities (collectively, "RF CUNY"), which comprise the consolidated balance sheet as of June 30, 2019, and the related consolidated statements of activities and cash flows for the year then ended, and the related notes to the consolidated financial statements.

Management's responsibility for the financial statements

Management is responsible for the preparation and fair presentation of these consolidated financial statements in accordance with accounting principles generally accepted in the United States of America; 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.

Auditor's responsibility

Our responsibility is to express an opinion on these consolidated financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States. 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 auditor's 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 RF CUNY'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 RF CUNY'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 financial position of the Research Foundation of The City University of New York and its related entities as of June 30, 2019, and the changes in their net assets and their cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Other matters*Supplementary information*

Our audit was conducted for the purpose of forming an opinion on the consolidated financial statements as a whole. The schedule of expenditures of federal awards, as required by Title 2 U.S. Code of Federal Regulations (CFR) Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards ("Uniform Guidance") included in pages 20 – 60, is presented for purposes of additional analysis and is not a required part of the consolidated financial statements. Such supplementary 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 2019 consolidated financial statements and certain additional procedures. These additional procedures included comparing and reconciling the information directly to the underlying accounting and other records used to prepare the consolidated financial statements or to the 2019 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 supplementary information is fairly stated, in all material respects, in relation to the 2019 consolidated financial statements as a whole.

2018 Consolidated financial statements

The consolidated financial statements of RF CUNY as of and for the year ended June 30, 2018 were audited by other auditors. Those auditors expressed an unmodified opinion on those 2018 consolidated financial statements in their report dated October 24, 2018.

Other reporting required by Government Auditing Standards

In accordance with *Government Auditing Standards*, we have also issued our report, dated October 18, 2019, on our consideration of RF CUNY'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 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 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 RF CUNY's internal control over financial reporting and compliance.



New York, New York
October 18, 2019

Research Foundation of the City University of New York and Related Entities

CONSOLIDATED BALANCE SHEETS

As of June 30, 2019 and 2018
(with consolidating information as of June 30, 2019)

	2019					2018
	Consolidating information					
	Foundation	230 West 41st Street LLC	GrantsPlus	Eliminations	Total	
ASSETS						
Cash and cash equivalents	\$ 172,973,011	\$ 10,928,802	\$ 107,724	\$ -	\$ 184,009,537	\$ 162,968,696
Restricted cash (note 8)	-	2,688,732	-	-	2,688,732	2,661,901
Grants, contracts, and accounts receivable (net of allowance of \$2,900,000 in 2019 and \$5,600,000 in 2018)	105,225,074	-	-	-	105,225,074	102,348,000
Rent receivable	-	254,546	-	-	254,546	713,744
Prepaid expenses and other assets	3,334,070	924,904	3,529	-	4,262,503	3,577,137
Prepaid postretirement benefits asset (note 4)	1,211,926	-	-	-	1,211,926	7,156,165
Investments, at fair value (note 3)	55,018,633	-	-	-	55,018,633	48,428,469
Investment in GrantsPlus	30,019	-	-	(30,019)	-	-
Investment in 230 West 41st Street LLC	15,024,628	-	-	(15,024,628)	-	-
Deferred rent receivable	-	18,708,512	-	(2,289,133)	16,419,379	16,470,529
Value of in-place leases (net of accumulated amortization of \$2,716,741 in 2019 and \$2,584,775 in 2018)	-	236,440	-	-	236,440	368,406
Above-market leases (net of accumulated amortization of \$1,829,945 in 2019 and \$1,730,574 in 2018)	-	177,601	-	-	177,601	276,972
Deferred costs (net of accumulated amortization of \$4,704,547 in 2019 and \$4,440,402 in 2018)	-	2,226,650	-	-	2,226,650	2,450,940
Fixed assets:						
Rental property, net (note 7)	-	43,404,320	-	-	43,404,320	44,345,516
Furniture, fixtures, and equipment (net of accumulated depreciation of \$3,464,956 in 2019 and \$3,412,526 in 2018)	85,371	-	-	-	85,371	137,801
Total assets	<u>\$ 352,902,732</u>	<u>\$ 79,550,507</u>	<u>\$ 111,253</u>	<u>\$ (17,343,780)</u>	<u>\$ 415,220,712</u>	<u>\$ 391,904,276</u>
LIABILITIES AND NET ASSETS						
Liabilities:						
Accounts payable and accrued expenses (notes 4 and 6)	\$ 104,763,191	\$ 1,039,890	\$ 81,234	\$ -	\$ 105,884,315	\$ 91,922,221
Deferred revenue (note 5)	88,535,259	113,065	-	-	88,648,324	89,429,300
Grants payable to CUNY (note 9)	2,579,475	-	-	-	2,579,475	1,821,540
Deferred rent payable	2,289,133	-	-	(2,289,133)	-	-
Tenant security deposits payable	-	407,452	-	-	407,452	409,915
Deposits held in custody for CUNY colleges	100,577,354	-	-	-	100,577,354	93,008,080
Mortgage loan payable, net (note 8)	-	62,965,472	-	-	62,965,472	64,227,585
Total liabilities	<u>298,744,412</u>	<u>64,525,879</u>	<u>81,234</u>	<u>(2,289,133)</u>	<u>361,062,392</u>	<u>340,818,641</u>
Commitments and contingencies (notes 2, 6 and 10)						
Net assets without donor restrictions, available for/to:						
Postretirement benefits	1,211,926	-	-	-	1,211,926	7,156,165
230 West 41st Street LLC	15,024,628	15,024,628	-	(15,024,628)	15,024,628	12,127,515
GrantsPlus	30,019	-	30,019	(30,019)	30,019	68,668
Foundation operations	37,891,747	-	-	-	37,891,747	31,733,287
Total net assets without donor restrictions	<u>54,158,320</u>	<u>15,024,628</u>	<u>30,019</u>	<u>(15,054,647)</u>	<u>54,158,320</u>	<u>51,085,635</u>
Total liabilities and net assets without donor restrictions	<u>\$ 352,902,732</u>	<u>\$ 79,550,507</u>	<u>\$ 111,253</u>	<u>\$ (17,343,780)</u>	<u>\$ 415,220,712</u>	<u>\$ 391,904,276</u>

The accompanying notes are an integral part of these consolidated financial statements.

Research Foundation of the City University of New York and Related Entities

CONSOLIDATED STATEMENTS OF ACTIVITIES

For the years ended June 30, 2019 and 2018
(with consolidating information for the year ended June 30, 2019)

	2019					2018
	Consolidating information					
	Foundation	230 West 41st Street LLC	GrantsPlus	Eliminations	Total	
Grants and contracts administered for others:						
Revenue:						
Governmental	\$ 383,298,329	\$ -	\$ -	\$ -	\$ 383,298,329	\$ 361,858,222
Private	136,912,172	-	-	-	136,912,172	137,676,146
Total grants and contracts revenue	<u>520,210,501</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>520,210,501</u>	<u>499,534,368</u>
Expenses:						
Research	(152,357,287)	-	-	-	(152,357,287)	(146,924,274)
Training	(158,947,970)	-	-	-	(158,947,970)	(165,533,055)
Other sponsored activity	(157,501,390)	-	-	-	(157,501,390)	(134,058,147)
Other institutional activity	(51,403,854)	-	-	-	(51,403,854)	(53,018,892)
Total grants and contracts expenses	<u>(520,210,501)</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>(520,210,501)</u>	<u>(499,534,368)</u>
Administrative services:						
Revenue:						
Administrative fees	35,792,235	-	118,454	-	35,910,689	33,973,015
Investment return, net	2,238,136	59,379	-	-	2,297,515	881,600
Rental income (notes 6 and 9)	-	17,097,564	-	(4,096,595)	13,000,969	14,794,472
Donated services	-	-	43,875	(43,875)	-	-
Other	677,633	159,500	-	(668,670)	168,463	156,214
Total administrative revenue	<u>38,708,004</u>	<u>17,316,443</u>	<u>162,329</u>	<u>(4,809,140)</u>	<u>51,377,636</u>	<u>49,805,301</u>
Expenses:						
Management and general	(32,832,105)	-	(12,603)	4,096,595	(28,748,113)	(28,109,697)
Postretirement credit (note 4)	6,319,349	-	-	-	6,319,349	474,060
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)	-	(5,360,930)	-	668,670	(4,692,260)	(4,916,001)
Interest expense	-	(3,114,556)	-	-	(3,114,556)	(3,175,249)
Real estate taxes (note 11)	-	(1,123,810)	-	-	(1,123,810)	(1,277,961)
Depreciation and amortization	(61,939)	(2,320,034)	-	-	(2,381,973)	(2,246,609)
Donated services expenses	-	-	(43,875)	43,875	-	-
Total administrative expenses	<u>(28,874,695)</u>	<u>(11,919,330)</u>	<u>(56,478)</u>	<u>4,809,140</u>	<u>(36,041,363)</u>	<u>(41,551,457)</u>
Excess of revenue over expenses before other changes	9,833,309	5,397,113	105,851	-	15,336,273	8,253,844
Other changes:						
Change in Foundation investment in 230 West 41st Street LLC	2,897,113	-	-	(2,897,113)	-	-
Change in Foundation investment in GrantsPlus	(38,649)	-	-	38,649	-	-
230 West 41st Street LLC distribution to Foundation	2,500,000	(2,500,000)	-	-	-	-
GrantsPlus management fee to Foundation (note 9)	144,500	-	(144,500)	-	-	-
Postretirement benefits changes other than net periodic benefit cost (note 4)	(12,263,588)	-	-	-	(12,263,588)	8,053,978
Increase (decrease) in net assets without donor restrictions	3,072,685	2,897,113	(38,649)	(2,858,464)	3,072,685	16,307,822
Net assets without donor restrictions, beginning of year	51,085,635	12,127,515	68,668	(12,196,183)	51,085,635	34,777,813
Net assets without donor restrictions, end of year	<u>\$ 54,158,320</u>	<u>\$ 15,024,628</u>	<u>\$ 30,019</u>	<u>\$ (15,054,647)</u>	<u>\$ 54,158,320</u>	<u>\$ 51,085,635</u>

The accompanying notes are an integral part of these consolidated financial statements.

Research Foundation of the City University of New York and Related Entities

CONSOLIDATED STATEMENTS OF CASH FLOWS

For the years ended June 30, 2019 and 2018

	<u>2019</u>	<u>2018</u>
Cash flows from operating activities:		
Increase in net assets without donor restrictions	\$ 3,072,685	\$ 16,307,822
Adjustments to reconcile increase in net assets without donor restrictions to net cash provided by operating activities:		
Depreciation and amortization	2,524,915	2,389,551
Provision (reversal) for bad debts	(2,700,000)	2,300,000
Postretirement benefits changes other than net periodic benefit cost	12,263,588	(8,053,978)
Net appreciation in fair value of investments	(313,599)	(29,406)
Changes in assets and liabilities:		
Grants, contracts, accounts, and rents receivable	282,124	(16,771,588)
Prepaid expenses and other assets	(685,366)	(231,078)
Deferred rent receivable	51,150	(2,722,516)
Accounts payable and accrued expenses, and security deposit payable	13,545,445	11,218,007
Deferred revenue	(780,976)	1,991,137
Grants payable to CUNY	757,935	(120,618)
Postretirement benefits payable	(6,319,349)	(474,059)
Deposits held in custody for CUNY colleges	7,569,274	10,050,272
Net cash provided by operating activities	<u>29,267,826</u>	<u>15,853,546</u>
Cash flows from investing activities:		
Purchases of fixed assets	(9,508)	(55,391)
Additions for rental property improvements	(568,541)	(1,193,409)
Payment of deferred leasing costs	(39,856)	(393,073)
Purchases of investments	(120,820,420)	(100,834,056)
Sales and maturity of investments	114,543,855	100,311,496
Net cash used in investing activities	<u>(6,894,470)</u>	<u>(2,164,433)</u>
Cash flows from financing activity:		
Restricted cash	(26,831)	(465,054)
Principal payments on mortgage loan	(1,305,684)	(1,245,230)
Net cash used in financing activity	<u>(1,332,515)</u>	<u>(1,710,284)</u>
Net increase in cash and cash equivalents	21,040,841	11,978,829
Cash and cash equivalents at beginning of year	<u>162,968,696</u>	<u>150,989,867</u>
Cash and cash equivalents at end of year	<u>\$ 184,009,537</u>	<u>\$ 162,968,696</u>
Supplemental cash flow disclosure:		
Cash paid for interest	<u>\$ 3,076,154</u>	<u>\$ 3,136,607</u>
Additions for rental property improvements included in accounts payable and accrued expenses	<u>\$ 414,186</u>	<u>\$ 457,296</u>

The accompanying notes are an integral part of these consolidated financial statements.

Research Foundation of the City University of New York and Related Entities

NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS

June 30, 2019 and 2018

NOTE 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") and similar state provisions.

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 approximate 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 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 and similar state provisions. All postaward administration of sponsored programs provided by GrantsPlus ended effective June 30, 2019.

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of Presentation

The accompanying consolidated financial statements, which consolidate the accounts of the Foundation, the LLC, and GrantsPlus (collectively, "RF CUNY"), 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.

In August 2016, the Financial Accounting Standards Board ("FASB") issued Accounting Standards Update ("ASU") No. 2016-14, *Not-for-Profit Entities (Topic 958): Presentation of Financial Statements of Not-for-Profit Entities* ("ASU 2016-14"). The ASU amended the reporting model of not-for-profit organizations and requires certain additional disclosures and was adopted by RF CUNY in fiscal 2019 on a retrospective basis. The significant changes include:

- Presentation of two net asset classes - "net assets without donor restrictions" and "net assets with donor restrictions";
- Underwater endowment funds, if any, are included within net assets with donor restrictions;
- Releases from restrictions, if any, on gifts used to acquire or construct long-lived assets, absent explicit donor stipulations, are recognized when the assets are placed in service;
- An analysis of expenses by function and nature is presented in the notes to the consolidated financial statements;
- Quantitative and qualitative disclosure on liquidity; and
- Investment return is presented net of external and direct internal investment expenses.

Research Foundation of the City University of New York and Related Entities

NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2019 and 2018

Net assets and changes in net assets are classified based on the existence or absence of donor-imposed restrictions, if any. Accordingly, net assets are classified and reported as follows:

Net Assets Without Donor Restrictions

Net assets without donor restrictions represent resources which are not restricted by donors and, therefore, are fully available at the discretion of the Foundation's Board of Directors and management in meeting its organizational mission and operational objectives. Net assets without donor restrictions may be designated for specific purposes by the Foundation's Board of Directors or may be limited by legal requirements or contractual agreements with outside parties.

Net Assets With Donor Restrictions

Net assets with donor restrictions represent resources which are subject to donor-imposed stipulations whose use is restricted by time and/or purpose. When donor restrictions expire, that is, when a purpose restriction is fulfilled or a time restriction ends, such net assets are reclassified to net assets without donor restrictions and reported in the consolidated statements of activities as net assets released from restrictions.

At June 30, 2019 and 2018, none of RF CUNY's net assets or changes therein were subject to donor-imposed restrictions and, accordingly, were classified and reported as net assets without donor restrictions.

Revenues and gains and losses on investments and other assets are reported as changes in net assets without donor restrictions unless limited by explicit donor-imposed restrictions or by law. Expenses are reported as decreases in net assets without donor restrictions.

Grants and Contracts Revenue Recognition

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, other sponsored activity and other institutional activity, 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 \$29,943,000 and \$43,488,000 for the years ended June 30, 2019 and 2018, respectively.

Facilities and administrative costs recovered on grants and contracts are recorded at rates negotiated 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 accompanying consolidated financial statements.

The cost of operating the Foundation is covered by a fee charged on the activity it administers. Sponsored projects and all recovery account activity are included in the fee calculation. The current fee structure recognizes that services vary widely, depending on the requirements of each sponsored research project, and that there are varying costs associated with each service, driven largely by workload. The Foundation has identified six distinct areas of cost – construction, personal services, other than personal services, independent contractor agreements/MOUs, subawards and equipment grants. The fee is assessed based on actual project expenditures, not award amounts, and is generally paid with college overhead funds.

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

Research Foundation of the City University of New York and Related Entities

NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2019 and 2018

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 RF CUNY's consolidated financial statements, management uses significant accounting estimates with respect to the valuation of accounts receivable and postretirement benefit obligation.

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.

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.

The fair value of debt and equity securities with a readily determinable fair value is based on quotations obtained from national security exchanges. The fair value of non-U.S Treasury debt securities is determined by a nationally recognized independent pricing service.

Purchases and sales of securities are reflected on a trade-date basis. Gains and losses on sales of securities are based on average cost and are recorded in the consolidated statements of activities in the period in which the securities are sold. Dividends are accrued based on the ex-dividend date. Interest is recognized as earned.

Common trust funds are carried at net asset values ("NAV") as provided by the investment managers as of the reporting date.

All investment securities are exposed to various risks such as interest risk, market, and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities could occur in the near term and such changes could materially affect the amounts reported in the accompanying consolidated financial statements.

Rental Revenue Recognition

Base rental income relating to the LLC is recognized on a straight-line basis, rather than in accordance with lease payment schedules. Accordingly, 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 reported as deferred rent receivable in the accompanying consolidated balance sheets. Allowances are provided for uncollectible amounts, as appropriate.

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.

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 2019 or 2018.

Research Foundation of the City University of New York and Related Entities

NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2019 and 2018

Furniture, Fixtures and Equipment

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 in the accompanying consolidated balance sheets as it is subject to return to those respective grantors.

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 respective fair values.

Deferred Costs

Deferred financing costs were incurred in obtaining long-term financing for the LLC's Property acquisition. 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.

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.

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 accounts are credited with recoveries related to facilities and administrative costs, released time and summer salary recoveries, as well as, CUNY Charitable Gift Trust Annuity Funds of the respective colleges.

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. RF CUNY 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).

RF CUNY's interests in common trust funds are generally reported at NAV per share by the fund managers, which is used as a practical expedient to estimate the fair value of such investments. Those funds that use NAV as a practical expedient to estimate fair value are not categorized in the fair value hierarchy.

Research Foundation of the City University of New York and Related Entities

NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2019 and 2018

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, 2019 or 2018.

New Authoritative Accounting Pronouncements

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 this ASU are effective for RF CUNY for annual periods beginning after December 15, 2018 and interim periods thereafter. Early adoption is permitted. RF CUNY is in the process of evaluating the impact of this ASU on its consolidated financial statements and will implement such requirements in its fiscal year ending June 30, 2020.

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

In May 2014, the FASB issued ASU 2014-09, Revenue from Contracts with Customers. This ASU provides updated guidance to use in accounting for revenue arising from contracts with customers and supersedes most current revenue recognition guidance. Contribution revenue is specifically excluded from the scope of this update. This guidance is effective for RF CUNY for annual periods beginning after December 15, 2018. RF CUNY is currently assessing the effect that adoption of the new standard will have on its financial statements.

In June 2018, the FASB issued ASU 2018-08, "Clarifying the scope and the accounting guidance for contributions received and contributions made." This ASU provides framework for determining whether a transaction should be accounted for as a contribution or as an exchange transaction, as well as guidance to assist entities in determining whether a contribution is either conditional or unconditional. This update is effective for RF CUNY's fiscal year beginning July 1, 2019. RF CUNY is currently assessing the effect that adoption of the new standard will have on its consolidated financial statements.

Research Foundation of the City University of New York and Related Entities

NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2019 and 2018

NOTE 3 - INVESTMENTS

Investments held by the Foundation consisted of the following at June 30, 2019 and 2018:

	Fair Value	
	2019	2018
U.S. money market	\$ 1,621,488	\$ 107,334
U.S. treasury bills	36,088,161	30,172,283
U.S. government agency obligations	738,650	625,906
U.S. equity securities	761,650	679,984
U.S. corporate bonds	15,808,684	16,842,962
Total	<u>\$ 55,018,633</u>	<u>\$ 48,428,469</u>

At June 30, 2019 and 2018, the Foundation's investments were categorized as Level 1, except for U.S. corporate bonds, which were categorized as Level 2.

NOTE 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, 2019 and 2018 was approximately \$10,753,000 and \$11,641,000, 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 \$2,877,890 and \$2,977,624 as of June 30, 2019 and 2018, 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).

Research Foundation of the City University of New York and Related Entities

NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2019 and 2018

Information with respect to the postretirement plan, follows:

	<u>2019</u>	<u>2018</u>
Change in benefit obligation:		
Benefit obligation at beginning of year	\$ 154,504,129	\$ 150,477,353
Service cost	4,116,565	4,237,055
Interest cost	6,225,731	5,773,845
Actuarial (gain) loss	14,201,183	(901,116)
Benefits paid and administrative expenses	<u>(5,116,043)</u>	<u>(5,083,008)</u>
Benefit obligation at end of year	<u>173,931,565</u>	<u>154,504,129</u>
Change in plan assets:		
Fair value of plan assets at beginning of year	161,660,294	149,105,481
Actual return on plan assets	9,483,197	12,554,813
Employer contributions	9,116,043	5,083,008
Benefits paid and administrative expenses	<u>(5,116,043)</u>	<u>(5,083,008)</u>
Fair value of plan assets at end of year	<u>175,143,491</u>	<u>161,660,294</u>
Funded status, recorded as an (asset) liability in the accompanying consolidated balance sheets	<u>\$ (1,211,926)</u>	<u>\$ (7,156,165)</u>
	<u>2019</u>	<u>2018</u>
Components of net periodic cost:		
Service cost	\$ 4,116,565	\$ 4,237,055
Interest cost	6,225,731	5,773,845
Expected return on plan assets	(8,083,015)	(7,455,274)
Amortization of transition obligation	-	605,920
Recognized prior service credit	<u>537,413</u>	<u>1,447,403</u>
Net periodic benefit cost	<u>\$ 2,796,694</u>	<u>\$ 4,608,949</u>
Weighted average assumptions for the years ended June 30:		
Discount rate used to determine benefit obligation	3.40%	4.10%
Discount rate used to determine net periodic benefit cost	4.10	3.95
Expected return on plan assets	5.00	5.00

For measurement purposes, increases in healthcare costs (5.5% in 2019) were assumed to decrease by 0.5% per year in years 2020 through 2022 to an ultimate rate of 3.5% in 2023 and after.

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 2019:

	<u>1% Increase</u>	<u>1% Decrease</u>
Effect on total of service and interest cost components	\$ 1,928,677	\$ (1,708,958)
Effect on postretirement benefit obligation	27,490,776	(25,153,568)

Research Foundation of the City University of New York and Related Entities

NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2019 and 2018

The Foundation made contributions of \$4,000,000 and \$0 to the postretirement plan in 2019 and 2018, respectively. In addition, for the years ended June 30, 2019 and 2018, the Foundation paid claims and expenses of \$5,116,043 and \$5,083,008, respectively. The Foundation expects to contribute or pay claims and expenses aggregating to approximately \$10,000,000 in 2020.

The benefits expected to be paid in each fiscal year from 2020 through 2024 and the five subsequent years are:

<u>Year ending June 30,</u>	
2020	\$ 5,435,106
2021	6,032,904
2022	6,557,838
2023	7,062,403
2024	7,489,959
2025 - 2029	<u>43,136,923</u>
 Total	 <u>\$ 75,715,133</u>

At June 30, 2019 and 2018, the items not yet recognized as a component of net periodic benefit cost, follow:

	<u>2019</u>	<u>2018</u>
Net loss	\$ 33,489,549	\$ 21,225,961

The actuarial loss that is expected to be amortized into net periodic cost in fiscal year 2020 is \$1,674,274.

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, 2019 and 2018, by asset category, follow:

	<u>Target allocation 2019</u>	<u>Actual allocation 2019</u>	<u>Target allocation 2018</u>	<u>Actual allocation 2018</u>
Growth portfolio:				
Domestic equity securities	24%-70%	58%	24%-70%	60%
Debt securities	13%-42%	25%	13%-42%	26%
Commodities	0%-7%	0%	0%-7%	0%
International equity securities	9%-34%	10%	9%-34%	12%
Cash equivalents	0%-5%	<u>7%</u>	0%-5%	<u>2%</u>
		<u>100%</u>		<u>100%</u>
	<u>Target allocation 2019</u>	<u>Actual allocation 2019</u>	<u>Target allocation 2018</u>	<u>Actual allocation 2018</u>
Immunized fixed income:				
Debt securities	100%	95%	100%	99%
Cash equivalents	0%	5%	0%	1%
	<u>100%</u>	<u>100%</u>	<u>100%</u>	<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.

Research Foundation of the City University of New York and Related Entities

NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS

June 30, 2019 and 2018

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, 2019 and 2018, respectively:

	2019			
	Fair Value	Level 1	Level 2	Level 3
Debt securities:				
Fixed income mutual fund	\$ 2,985,922	\$ 2,985,922	\$ -	\$ -
Corporate bonds	63,035,079	-	63,035,079	-
U.S. government obligations	12,201,673	12,201,673	-	-
Foreign bonds	6,080,339	-	6,080,339	-
Other	2,541,518	-	2,541,518	-
Total debt securities	86,844,531	15,187,595	71,656,936	-
Equity securities:				
Equity mutual funds	28,890,937	28,890,937	-	-
U.S. common stock	29,900,581	29,900,581	-	-
American depository receipts	8,139,957	8,139,957	-	-
Foreign stock	2,717,738	2,717,738	-	-
Real estate investment trusts	299,343	299,343	-	-
Total equity securities	69,948,556	69,948,556	-	-
Short-term investments	7,222,715	7,222,715	-	-
Total	164,015,802	\$92,358,866	\$71,656,936	\$ -
Investments valued at NAV	11,127,689			
	\$ 175,143,491			
	2018			
	Fair Value	Level 1	Level 2	Level 3
Debt securities:				
Fixed income mutual fund	\$ 3,493,100	\$ 3,493,100	\$ -	\$ -
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	83,620,289	15,510,819	68,109,470	-
Equity securities:				
Equity mutual funds	27,336,756	27,336,756	-	-
U.S. common stock	26,446,353	26,446,353	-	-
American depository 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	65,502,221	65,502,221	-	-
Short-term investments	4,147,440	4,147,440	-	-
Total	153,269,950	\$85,160,480	\$68,109,470	\$ -
Investments valued at NAV	8,390,344			
	\$ 161,660,294			

Research Foundation of the City University of New York and Related Entities

NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS

June 30, 2019 and 2018

The following table summarizes investments for which fair value is measured using the NAV per share practical expedient as of June 30, 2019 and 2018, respectively.

	<u>2019 fair value</u>	<u>2018 fair value</u>	<u>Unfunded commitments</u>	<u>Redemption frequency (if currently eligible)</u>	<u>Redemption notice period</u>	<u>Redemption restrictions</u>
Common trust funds (a)	\$11,127,689	\$8,390,344	None	Daily	1 Day	None

(a) This category is comprised of investments in an equity fund, a fixed income fund and a short-term investment fund. The equity and fixed income funds are designed to provide investment results that correspond to the price and yield performance of publicly traded common stocks of large-sized and mid-sized domestic companies, respectively. The short-term investment fund is designed to invest and reinvest substantially all of its assets in short-term obligations having a stated maturity date of 365 days or less.

NOTE 5 - DEFERRED REVENUE

At June 30, 2019 and 2018, cash advances for grants and contracts were for the following projects:

	<u>2019</u>	<u>2018</u>
Research	\$ 18,241,292	\$ 10,839,177
Training	24,725,375	23,769,644
Other sponsored activity	22,649,916	34,659,033
Other institutional activity	23,031,741	20,161,446
	<u>\$ 88,648,324</u>	<u>\$ 89,429,300</u>

NOTE 6 - COMMITMENTS

Rental Income under Operating Leases

Future minimum rental receipts under the LLC's operating leases, follow:

<u>Year ending June 30,</u>	<u>LLC</u>	<u>Less: Foundation portion eliminated in consolidation</u>	<u>Total</u>
2020	\$ 14,469,165	\$ (3,297,378)	\$ 11,171,787
2021	14,471,752	(3,391,179)	11,080,573
2022	13,033,794	(3,475,959)	9,557,835
2023	11,904,450	(3,562,858)	8,341,592
2024	12,042,135	(3,651,929)	8,390,206
Thereafter	133,360,993	(45,680,308)	87,680,685
Total minimum rental receipts	<u>\$199,282,289</u>	<u>\$ (63,059,611)</u>	<u>\$136,222,678</u>

Research Foundation of the City University of New York and Related Entities

NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2019 and 2018

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 \$111,000,000.

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, is included as a component of accounts payable and accrued expenses in the accompanying consolidated balance sheets as of June 30, 2019 and 2018, and is secured by an irrevocable letter of credit to the carrier for the same amount, which expires on December 31, 2019.

NOTE 7 - RENTAL PROPERTY

Rental property (95% occupied as of June 30, 2019) consisted of the following at June 30, 2019 and 2018:

	<u>2019</u>	<u>2018</u>
Land	\$ 9,037,040	\$ 9,037,040
Building	36,149,160	36,149,160
Building improvements	12,361,820	11,916,998
Tenant improvements	15,630,186	15,395,177
Construction-in-progress	<u>338,320</u>	<u>35,424</u>
 Total	 73,516,526	 72,533,799
 Accumulated depreciation	 <u>(30,112,206)</u>	 <u>(28,188,283)</u>
 Rental property, net	 <u>\$ 43,404,320</u>	 <u>\$ 44,345,516</u>

NOTE 8 - MORTGAGE LOAN PAYABLE, NET

Outstanding mortgage loan payable as of June 30, 2019 and 2018 consisted of the following:

	<u>2019</u>	<u>2018</u>
Mortgage loan payable	\$ 64,048,766	\$ 65,354,450
Less unamortized costs of issuance	<u>(1,083,294)</u>	<u>(1,126,865)</u>
 Mortgage loan payable, net	 <u>\$ 62,965,472</u>	 <u>\$ 64,227,585</u>

The LLC entered into a mortgage loan (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.

Research Foundation of the City University of New York and Related Entities

NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2019 and 2018

At June 30, 2019, future minimum principal payments were as follows:

	<u>Amount/Year</u>
2020	\$ 1,369,072
2021	1,435,537
2022	1,505,230
2023	1,578,306
2024	1,654,929
Thereafter	<u>56,505,692</u>
Total	<u>\$ 64,048,766</u>

Included in restricted cash in the accompanying consolidated balance sheets are balances in escrow accounts, including interest earned, of approximately \$2,335,000 and \$2,250,000 as of June 30, 2019 and 2018, 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.

NOTE 9 - RELATED PARTY TRANSACTIONS

The Foundation has an agreement with the LLC to lease 66,867 square feet of space in the LLC's Property. CUNY has an agreement with the LLC to lease 122,424 square feet of space in the Property. Both agreements are scheduled to expire in June 2034. For the years ended June 30, 2019 and 2018, rental revenue from CUNY was \$5,502,576 and \$5,425,367, respectively. Approximately \$22,000 was receivable from CUNY at June 30, 2019.

In fiscal years 2019 and 2018, the Foundation approved grants to CUNY for central research initiatives of \$2,300,000 annually. Grants payable to CUNY at June 30, 2019 and 2018 were \$2,579,475 and \$1,821,540, respectively.

For the years ended June 30, 2019 and 2018, GrantsPlus management fee to the Foundation for services rendered was \$144,500 and \$152,000, respectively, which was eliminated in consolidation.

NOTE 10 - PROPERTY MANAGEMENT FEES

The LLC has a management agreement that operates on a month-to-month basis with a third party to manage and provide leasing services to the Property. 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 reported as deferred costs in the accompanying consolidated balance sheets.

NOTE 11 - REAL ESTATE TAX EXEMPTION

During fiscal years 2019 and 2018, the LLC obtained a real estate tax reduction amounting to \$1,837,403 and \$1,632,569, respectively, relating to an exemption for the portion of the Property used by CUNY as a not-for-profit, tax exempt organization.

Research Foundation of the City University of New York and Related Entities

NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2019 and 2018

NOTE 12 - NATURAL CLASSIFICATION OF EXPENSES

Expenses are recognized by the Foundation on the accrual basis. The Foundation's principal program service is grants administration. Expenses reported in the accompanying consolidated statements of activities as research, training, other sponsored activity and other institutional activity are directly incurred in connection with its program service. Costs are allocated and reported on a functional basis using specific identification. Expenses by natural classification for the year ended June 30, 2019 consisted of the following:

	Program Services	Management & General	Total Expenses
Salaries and fringe	\$298,156,168	\$ 22,836,116	\$320,992,284
Facilities and administrative costs	57,887,444	-	57,887,444
Subcontracts	52,099,314	-	52,099,314
Independent contractor	18,668,281	31,919	18,700,200
Stipends	19,171,162	-	19,171,162
Supplies	13,095,967	102,551	13,198,518
Laboratory fees	9,294,525	-	9,294,525
Occupancy	2,614,553	-	2,614,553
Travel	7,890,343	22,287	7,912,630
Insurance	1,186,914	1,067,857	2,254,771
Conference and meeting	3,779,051	74,003	3,853,054
Post retirement credit	-	(6,319,349)	(6,319,349)
Interest expense	-	3,114,556	3,114,556
Real estate taxes	-	1,123,810	1,123,810
Depreciation and amortization	-	2,381,973	2,381,973
All other expenses	36,366,779	11,605,640	47,972,419
	<u>\$520,210,501</u>	<u>\$ 36,041,363</u>	<u>\$556,251,864</u>
Total expenses			

Research Foundation of the City University of New York and Related Entities

NOTES TO THE CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2019 and 2018

Expenses by natural classification for the year ended June 30, 2018 consisted of the following:

	<u>Program Services</u>	<u>Management & General</u>	<u>Total Expenses</u>
Salaries and fringe	\$290,514,275	\$ 23,422,815	\$313,937,090
Facilities and administrative costs	54,329,951	-	54,329,951
Subcontracts	38,283,315	-	38,283,315
Independent contractor	19,627,697	79,282	19,706,979
Stipends	19,382,029	-	19,382,029
Supplies	13,321,083	94,063	13,415,146
Laboratory fees	18,499,792	-	18,499,792
Occupancy	2,481,258	-	2,481,258
Travel	7,254,522	21,847	7,276,369
Insurance	162,681	1,135,344	1,298,025
Conference and meeting	4,300,900	147,095	4,447,995
Post retirement credit	-	(474,060)	(474,060)
Interest expense	-	3,175,249	3,175,249
Real estate taxes	-	1,277,961	1,277,961
Depreciation and amortization	-	2,246,609	2,246,609
All other expenses	<u>31,376,865</u>	<u>10,425,252</u>	<u>41,802,117</u>
 Total expenses	 <u>\$499,534,368</u>	 <u>\$ 41,551,457</u>	 <u>\$541,085,825</u>

NOTE 13 - LIQUIDITY

As of June 30, 2019, financial assets and liquidity resources available within one year for general expenditure, such as operating expenses, were as follows:

Financial assets:	
Cash and cash equivalents	\$ 184,009,537
Grants, contracts, and accounts receivable, net	105,225,074
Investments	55,018,633
Less:	
Accounts payable	(91,982,088)
Deferred revenue	(88,535,259)
Deposits held in custody for CUNY colleges	<u>(100,577,354)</u>
 Total financial assets available within one year	 <u>\$ 63,158,543</u>

RF CUNY maintains cash balances at a level designed to ensure short-term liquidity. In addition, a suitable portion of RF CUNY's investment balances are held in instruments that can readily be converted to cash, if needed.

NOTE 14 - SUBSEQUENT EVENTS

RF CUNY evaluated events subsequent to June 30, 2019 and through October 18, 2019, the date on which the consolidated financial statements were available to be issued, the result of which required no adjustments or disclosures to the accompanying consolidated financial statements.

Research Foundation of the City University of New York and Related Entities

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

For the year ended June 30, 2019

Federal grantor/pass-through, grantor program, or cluster title	CFDA 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:						
Healthy Marriage Promotion and Responsible Fatherhood Grants/Pass-through - Osborne Association, Inc.	93.086	7H121-00 01	\$ -	\$ 119,059	\$ 119,059	\$ -
Environmental Health	93.113	N/A	579,826	-	579,826	398,967
Environmental Health/Pass-through - Columbia University	93.113	1 (GG008430)	-	12,094	12,094	-
			<u>579,826</u>	<u>12,094</u>	<u>591,920</u>	<u>398,967</u>
Oral Diseases and Disorders Research/Pass-through - SingletO2 Therapeutics LLC	93.121	160901	-	4,732	4,732	-
Centers for Research and Demonstration for Health Promotion and Disease Prevention/Pass-through - New York University School of Medicine	93.135	14-A0-00-002153	-	162,128	162,128	-
NIEHS Hazardous Waste Worker Health and Safety Training/Pass-through – Steelworkers Charitable & Educational Organization	93.142	5U45ES0006175	-	17,253	17,253	-
NIEHS Superfund Hazardous Substances - Basic Research and Education	93.143	N/A	66,909	-	66,909	35,898
Human Genome Research/Pass-through - John Hopkins University	93.172	2003978368	-	121,752	121,752	-
Research Related to Deafness and Communication Disorders	93.173	N/A	1,252,298	-	1,252,298	402,082
Research Related to Deafness and Communication Disorders/Pass-through – Haskins Laboratories	93.173	2R01 DC 002717	-	9,818	9,818	-
Research Related to Deafness and Communication Disorders/ Pass-through – Haskins Laboratories	93.173	A93-538.00	-	43,688	43,688	-
			<u>1,252,298</u>	<u>53,506</u>	<u>1,305,804</u>	<u>402,082</u>
Research on Healthcare Costs, Quality and Outcomes	93.226	N/A	18,429	-	18,429	3,323
Mental Health Research Grants	93.242	N/A	6,134,248	-	6,134,248	1,439,447
Mental Health Research Grants/Pass-through – Columbia University	93.242	7(GG009462)	-	6,442	6,442	-
Mental Health Research Grants/Pass-through – Icahn School of Medicine at Mount Sinai	93.242	0255-4261-4609	-	36,992	36,992	-
Mental Health Research Grants/Pass-through – Research Foundation for Mental Hygiene Inc.	93.242	1013359	-	10,542	10,542	-
Mental Health Research Grants/Pass-through – Research Foundation for Mental Hygiene Inc.	93.242	1013360	-	111,251	111,251	-
Mental Health Research Grants/Pass-through – Research Foundation for Mental Hygiene Inc.	93.242	1014669	-	83,162	83,162	-
Mental Health Research Grants/Pass-through – Research Foundation for Mental Hygiene Inc.	93.242	1014670	-	47,024	47,024	-
Mental Health Research Grants/Pass-through – Research Foundation for Mental Hygiene Inc.	93.242	137269	-	34,552	34,552	-

Research Foundation of the City University of New York and Related Entities

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

For the year ended June 30, 2019

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Mental Health Research Grants/Pass-through – Research Foundation for Mental Hygiene Inc.	93.242	137606	\$ -	\$ 67,577	\$ 67,577	\$ -
Mental Health Research Grants/Pass-through – Research Foundation for Mental Hygiene Inc.	93.242	141032	-	8,125	8,125	-
Mental Health Research Grants/Pass-through – Research Foundation for Mental Hygiene Inc.	93.242	141810	-	9,182	9,182	-
			<u>6,134,248</u>	<u>414,849</u>	<u>6,549,097</u>	<u>1,439,447</u>
Occupational Safety and Health Program/Pass-through – Icahn School of Medicine at Mount Sinai	93.262	0253-6537-4609	-	14,452	14,452	-
Occupational Safety and Health Program/Pass-through – Icahn School of Medicine at Mount Sinai	93.262	0253-6538-4609	-	155,603	155,603	-
Occupational Safety and Health Program/Pass-through – Icahn School of Medicine at Mount Sinai	93.262	0254-5754-4609	-	(4,670)	(4,670)	-
Occupational Safety and Health Program/Pass-through – Icahn School of Medicine at Mount Sinai	93.262	0254-5932-4609	-	23,186	23,186	-
Occupational Safety and Health Program/Pass-through – Icahn School of Medicine at Mount Sinai	93.262	0254-5933-4609	-	103,157	103,157	-
Occupational Safety and Health Program/Pass-through – Icahn School of Medicine at Mount Sinai	93.262	0254-B011-4609	-	20,869	20,869	-
			<u>-</u>	<u>312,597</u>	<u>312,597</u>	<u>-</u>
Alcohol Research Programs	93.273	N/A	355,383	-	355,383	33,626
Alcohol Research Programs/Pass-through - Brown University	93.273	00001286	-	50,059	50,059	-
Alcohol Research Programs/Pass-through - Brown University	93.273	00001288	-	1,494	1,494	-
Alcohol Research Programs/Pass-through - Feinstein Institute for Medical Research	93.273	500693 HC	-	61,764	61,764	-
Alcohol Research Programs/Pass-through - Florida State University	93.273	R01965	-	74,933	74,933	-
Alcohol Research Programs/Pass-through - University of New Mexico	93.273	028349-870X	-	577	577	-
			<u>355,383</u>	<u>188,827</u>	<u>544,210</u>	<u>33,626</u>
Drug Abuse and Addiction Research Programs	93.279	N/A	3,444,394	-	3,444,394	449,755
Drug Abuse and Addiction Research Programs/Pass-through - Icahn School of Medicine at Mount Sinai	93.279	0255-2611-4609	-	33	33	-
Drug Abuse and Addiction Research Programs/Pass-through - Icahn School of Medicine at Mount Sinai	93.279	0255-2611-4809	-	9,877	9,877	-
Drug Abuse and Addiction Research Programs/Pass-through - New York University	93.279	F0221-10	-	30,747	30,747	-

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Drug Abuse and Addiction Research Programs/Pass-through - New York University	93.279	F0221-3	\$ -	\$ 32,166	\$ 32,166	\$ -
Drug Abuse and Addiction Research Programs/Pass-through - New York University	93.279	F8733-02	-	12,389	12,389	-
Drug Abuse and Addiction Research Programs/Pass-through - New York University	93.279	F8784-3	-	1,073	1,073	-
Drug Abuse and Addiction Research Programs/Pass-through - New York University	93.279	F8784-10	-	127	127	-
Drug Abuse and Addiction Research Programs/Pass-through - University of Minnesota	93.279	P004670601	-	353,968	353,968	-
			<u>3,444,394</u>	<u>440,380</u>	<u>3,884,774</u>	<u>449,755</u>
Discovery and Applied Research for Technological Innovations	93.286	N/A	328,442	-	328,442	65,115
Discovery and Applied Research for Technological Innovations/Pass-through - The University of Chicago	93.286	FP069028-B	-	60,824	60,824	-
Discovery and Applied Research for Technological Innovations/Pass-through - University of Virginia	93.286	GB10573.159365	-	14,510	14,510	-
Discovery and Applied Research for Technological Innovations/Pass-through - University of Virginia	93.286	GB10573.2124911	-	14,335	14,335	-
			<u>328,442</u>	<u>89,669</u>	<u>418,111</u>	<u>65,115</u>
Teenage Pregnancy Prevention Program/Pass-through - Center for Innovative Public Health Research	93.297	TP2AH000035	-	74,702	74,702	-
Minority Health and Health Disparities Research	93.307	N/A	559,582	-	559,582	95,544
Minority Health and Health Disparities Research/Pass-through - Northwestern University	93.307	60044313CUNY	-	228,375	228,375	-
Minority Health and Health Disparities Research/Pass-through - Rand Corporation	93.307	9920170039	-	123,831	123,831	-
Minority Health and Health Disparities Research/Pass-through - University of California at San Francisco	93.307	11273SC	-	30,904	30,904	-
Minority Health and Health Disparities Research/Pass-through - University of Illinois	93.307	079243-16911	-	205,492	205,492	-
			<u>559,582</u>	<u>588,602</u>	<u>1,148,184</u>	<u>95,544</u>
Trans-NIH Research Support/Pass-through - Case Western Reserve University	93.310	RES512967	-	66,741	66,741	-
Trans-NIH Research Support/Pass-through - Columbia University	93.310	3(GG012294-04)	-	13,199	13,199	-
Trans-NIH Research Support/Pass-through - Columbia University	93.310	3(GG012298-01)	-	81,393	81,393	-
			<u>-</u>	<u>161,333</u>	<u>161,333</u>	<u>-</u>

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Skills Training and Health Workforce Development of Paraprofessionals Grant Program	93.329	N/A	\$ 5,773	\$ -	\$ 5,773	\$ -
National Center for Advancing Translational Sciences	93.350	N/A	(20,260)	-	(20,260)	-
National Center for Advancing Translational Sciences	93.350	N/A	19,415	-	19,415	19,415
National Center for Advancing Translational Sciences/Pass-through - Columbia University	93.350	1 GG014404-06	-	16,184	16,184	-
National Center for Advancing Translational Sciences/Pass-through - Columbia University	93.350	1(GG014404)	-	84,793	84,793	-
National Center for Advancing Translational Sciences/Pass-through - Weill Cornell Medical College	93.350	17040433-07	-	39,196	39,196	-
National Center for Advancing Translational Sciences/Pass-through - Weill Cornell Medical College	93.350	17040433-08	-	89,615	89,615	-
National Center for Advancing Translational Sciences/Pass-through - Weill Cornell Medical College	93.350	17040433-09	-	8,640	8,640	-
National Center for Advancing Translational Sciences/Pass-through - Weill Cornell Medical College	93.350	183436	-	27,715	27,715	-
National Center for Advancing Translational Sciences/Pass-through - Weill Cornell Medical College	93.350	183436-06	-	53,578	53,578	-
National Center for Advancing Translational Sciences/Pass-through - Weill Cornell Medical College	93.350	183436-07	-	219,290	219,290	-
National Center for Advancing Translational Sciences/Pass-through - Weill Cornell Medical College	93.350	183436-08	-	66,046	66,046	-
National Center for Advancing Translational Sciences/Pass-through - Weill Cornell Medical College	93.350	5250015615	-	6,221	6,221	-
National Center for Advancing Translational Sciences/Pass-through - Weill Cornell Medical College	93.350	5250015626	-	7,983	7,983	-
			<u>(845)</u>	<u>619,261</u>	<u>618,416</u>	<u>19,415</u>
Nursing Research/Pass-through - Duke University	93.361	2036473	-	7,667	7,667	-
Nursing Research/Pass-through - University of Colorado	93.361	FY18.105.007	-	5,475	5,475	-
Nursing Research/Pass-through - Visiting Nurse Service of New York	93.361	4598H	-	19,561	19,561	-
			-	<u>32,703</u>	<u>32,703</u>	-
Cancer Cause and Prevention Research	93.393	N/A	4,538	-	4,538	-
Cancer Cause and Prevention Research/Pass-through – Duke University	93.393	A030720	-	66,854	66,854	-
Cancer Cause and Prevention Research/Pass-through – Health Research, Inc.	93.393	228-04	-	83,833	83,833	-
Cancer Cause and Prevention Research/Pass-through – New Jersey Institute of Technology	93.393	996287	-	4,885	4,885	-

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Cancer Cause and Prevention Research/Pass-through – New York University School of Medicine	93.393	17-A1-00-007671	\$ -	\$ 107,305	\$ 107,305	\$ -
Cancer Cause and Prevention Research/Pass-through – Roswell Park Cancer Institute	93.393	228-03	-	39,722	39,722	-
Cancer Cause and Prevention Research/Pass-through – Memorial Sloan Kettering Cancer Center	93.393	BD523341	-	97,648	97,648	-
			<u>4,538</u>	<u>400,247</u>	<u>404,785</u>	<u>-</u>
Cancer Detection and Diagnosis Research	93.394	N/A	721,151	-	721,151	61,517
Cancer Detection and Diagnosis Research/Pass-through – Memorial Sloan Kettering Cancer Center	93.394	BD519929C	-	174,798	174,798	-
Cancer Detection and Diagnosis Research/Pass-through – Memorial Sloan Kettering Cancer Center	93.394	BD520095A	-	33,658	33,658	-
Cancer Detection and Diagnosis Research/Pass-through – Memorial Sloan Kettering Cancer Center	93.394	BD523891	-	87,267	87,267	-
			<u>721,151</u>	<u>295,723</u>	<u>1,016,874</u>	<u>61,517</u>
Cancer Treatment Research	93.395	N/A	1,008	-	1,008	-
Cancer Biology Research	93.396	N/A	372,007	-	372,007	-
Cancer Biology Research/Pass-through – Massachusetts General Hospital	93.396	229675	-	211,939	211,939	-
Cancer Biology Research/Pass-through – Memorial Sloan Kettering Cancer Center	93.396	BD525139	-	19,694	19,694	-
			<u>372,007</u>	<u>231,633</u>	<u>603,640</u>	<u>-</u>
Cancer Centers Support Grants	93.397	N/A	1,257,259	-	1,257,259	20,079
Cancer Centers Support Grants/Pass-through- Memorial Sloan Kettering Cancer Center	93.397	BD517213C	-	8,486	8,486	-
Cancer Centers Support Grants/Pass-through- Memorial Sloan Kettering Cancer Center	93.397	BD517213D	-	8,487	8,487	-
Cancer Centers Support Grants/Pass-through- Memorial Sloan Kettering Cancer Center	93.397	BD518969A	-	88,616	88,616	-
			<u>1,257,259</u>	<u>105,589</u>	<u>1,362,848</u>	<u>20,079</u>
Cancer Research Manpower	93.398	N/A	369,240	-	369,240	-
ACL National Institute on Disability, Independent Living, and Rehabilitation Research/Pass-through - University of New Hampshire	93.433	16-030B	-	10,508	10,508	-

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Child Welfare Research Training or Demonstration/ Pass-through - University of Maryland	93.648	1400328D	\$ -	\$ 3,809	\$ 3,809	\$ -
Opioid STR/Pass-through - Research Foundation for Mental Hygiene Inc.	93.788	T1080223	-	7,687	7,687	-
Health Careers Opportunity Program/Pass-through - Albert Einstein College of Medicine	93.822	311184	-	31,487	31,487	-
Cardiovascular Diseases Research	93.837	N/A	393,726	-	393,726	334,637
Cardiovascular Diseases Research/Pass-through - Albert Einstein College of Medicine	93.837	310975	-	472,996	472,996	-
Cardiovascular Diseases Research/Pass-through - Brigham and Women's Hospital, Inc.	93.837	116900	-	111,039	111,039	-
Cardiovascular Diseases Research/Pass-through - New York University School of Medicine	93.837	17-A0-00-1000209	-	178,565	178,565	-
			<u>393,726</u>	<u>762,600</u>	<u>1,156,326</u>	<u>334,637</u>
Translation and Implementation Science Research for Heart, Lung, Blood Diseases, and Sleep Disorders/Pass-through - Weill Cornell Medical College	93.840	181877-01	-	53,276	53,276	-
Arthritis, Musculoskeletal and Skin Diseases Research	93.846	N/A	747,364	-	747,364	224,093
Arthritis, Musculoskeletal and Skin Diseases Research/Pass-through -Hospital for Special Surgery	93.846	001	-	2,820	2,820	-
Arthritis, Musculoskeletal and Skin Diseases Research/Pass-through -Icahn School of Medicine at Mount Sinai	93.846	0255-4183-4609	-	103,323	103,323	-
			<u>747,364</u>	<u>106,143</u>	<u>853,507</u>	<u>224,093</u>
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	N/A	199,861	-	199,861	-
Diabetes, Digestive, and Kidney Diseases Extramural Research/ Pass-through - New York University	93.847	F7529-01	-	362	362	-
Diabetes, Digestive, and Kidney Diseases Extramural Research/ Pass-through - University of Pittsburgh	93.847	0048553 127065-3	-	72,144	72,144	-
			<u>199,861</u>	<u>72,506</u>	<u>272,367</u>	<u>-</u>
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	N/A	3,762,626	-	3,762,626	411,693
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through - Cincinnati Children's Hospital Medical Center	93.853	135552	-	769	769	-
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through - Rush University Medical Center	93.853	13012104-SUB02	-	637	637	-
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through - Rush University Medical Center	93.853	13012104-SUB04	-	16,318	16,318	-
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through -Soterix Medical, Inc.	93.853	SNCCNY4118	-	71,237	71,237	-

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Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through - University of Texas Southwestern Medical College	93.853	GMO 180513 PO#RG	\$ -	\$ 25,854	\$ 25,854	\$ -
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through - University of Texas Southwestern Medical College	93.853	GMO191003	-	42,131	42,131	-
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through - University of Wisconsin	93.853	756K475	-	127,694	127,694	-
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through - University of Wisconsin	93.853	841K525	-	282,582	282,582	-
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through - Washington University at St. Louis	93.853	WU-16-154-MOD-2	-	15,979	15,979	-
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through - Washington University at St. Louis	93.853	WU-16-154-MOD-3	-	163,875	163,875	-
			<u>3,762,626</u>	<u>747,076</u>	<u>4,509,702</u>	<u>411,693</u>
Allergy, Immunology and Transplantation Research	93.855	N/A	4,142,566	-	4,142,566	173,731
Allergy, Immunology and Transplantation Research/Pass-through - Albert Einstein College of Medicine	93.855	310693	-	5,747	5,747	-
Allergy, Immunology and Transplantation Research/Pass-through - Albert Einstein College of Medicine	93.855	31137A	-	143,785	143,785	-
Allergy, Immunology and Transplantation Research/Pass-through - Albert Einstein College of Medicine	93.855	31142A	-	1,369	1,369	-
Allergy, Immunology and Transplantation Research/Pass-through - Albert Einstein College of Medicine	93.855	311409	-	129,471	129,471	-
Allergy, Immunology and Transplantation Research/Pass-through - Albert Einstein College of Medicine	93.855	311411	-	42,353	42,353	-
Allergy, Immunology and Transplantation Research/Pass-through - Albert Einstein College of Medicine	93.855	31614D	-	(23)	(23)	-
Allergy, Immunology and Transplantation Research/Pass-through - Albert Einstein College of Medicine	93.855	31614F	-	290,143	290,143	-
Allergy, Immunology and Transplantation Research/Pass-through - John Hopkins University	93.855	2002557625	-	105,683	105,683	-
Allergy, Immunology and Transplantation Research/Pass-through - Rutgers University	93.855	0231	-	4,589	4,589	-
Allergy, Immunology and Transplantation Research/Pass-through - St. Louis University	93.855	40001	-	73,702	73,702	-
Allergy, Immunology and Transplantation Research/Pass-through - St. Louis University	93.855	43555	-	42,168	42,168	-
Allergy, Immunology and Transplantation Research/Pass-through - Memorial Sloan Kettering Cancer Center	93.855	BD518963B	-	79,795	79,795	-

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Allergy, Immunology and Transplantation Research/Pass-through - Memorial Sloan Kettering Cancer Center	93.855	BD518963C	\$ - 4,142,566	\$ 49,100 967,882	\$ 49,100 5,110,448	\$ - 173,731
Biomedical Research and Research Training Biomedical Research and Research Training/Pass-through – Albert Einstein College of Medicine	93.859	N/A	12,477,044	-	12,477,044	234,175
Biomedical Research and Research Training/Pass-through – American Society for Cell Biology	93.859	310889	-	49,436	49,436	-
Biomedical Research and Research Training/Pass-through – American Society for Cell Biology	93.859	7H186-00 01	-	150	150	-
Biomedical Research and Research Training/Pass-through – Brown University	93.859	7H230-00 01	-	1,901	1,901	-
Biomedical Research and Research Training/Pass-through – New York Structural Biology Center	93.859	00000638	-	(212)	(212)	-
Biomedical Research and Research Training/Pass-through – New York Structural Biology Center	93.859	G0091102	-	515	515	-
Biomedical Research and Research Training/Pass-through – Research Foundation at Stony Brook	93.859	G09112-02	-	122,480	122,480	-
Biomedical Research and Research Training/Pass-through – Research Foundation at Stony Brook	93.859	73299-1128962-3	-	(161)	(161)	-
Biomedical Research and Research Training/Pass-through – Research Foundation at Stony Brook	93.859	74876	-	52,744	52,744	-
Biomedical Research and Research Training/Pass-through – Research Foundation at Stony Brook	93.859	81271-2-1146416	-	24,983	24,983	-
Biomedical Research and Research Training/Pass-through – Rutgers University	93.859	0769	-	55,214	55,214	-
Biomedical Research and Research Training/Pass-through – Rutgers University	93.859	8357	-	30,585	30,585	-
Biomedical Research and Research Training/Pass-through – University of California at San Diego	93.859	42902316	-	(170)	(170)	-
Biomedical Research and Research Training/Pass-through – University of Delaware	93.859	48215	-	153,552	153,552	-
Biomedical Research and Research Training/Pass-through – University of Michigan	93.859	3004658795	-	152,973	152,973	-
Biomedical Research and Research Training/Pass-through – University of Texas at Austin	93.859	UTA17-001185	-	257,151	257,151	-
Biomedical Research and Research Training/Pass-through – Virginia Polytechnic Institute and State University	93.859	431987-19B75	-	7,365	7,365	-
			<u>12,477,044</u>	<u>908,506</u>	<u>13,385,550</u>	<u>234,175</u>
Child Health and Human Development Extramural Research	93.865	N/A	454,137	-	454,137	82,620
Child Health and Human Development Extramural Research/ Pass-through – Albert Einstein College of Medicine	93.865	310944	-	28,998	28,998	-

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Child Health and Human Development Extramural Research/ Pass-through – FHI 360	93.865	17001570	\$ -	\$ 51,847	\$ 51,847	\$ -
Child Health and Human Development Extramural Research/ Pass-through – Florida State University	93.865	R01927	-	(1,885)	(1,885)	-
Child Health and Human Development Extramural Research/ Pass-through – Florida State University	93.865	R01957	-	2,290	2,290	-
Child Health and Human Development Extramural Research/ Pass-through – Florida State University	93.865	R01996	-	2,494	2,494	-
Child Health and Human Development Extramural Research/ Pass-through – Florida State University	93.865	R02005	-	3,225	3,225	-
Child Health and Human Development Extramural Research/ Pass-through – Florida State University	93.865	R02017	-	334,810	334,810	-
Child Health and Human Development Extramural Research/ Pass-through – Florida State University	93.865	R02065	-	1,150,994	1,150,994	-
Child Health and Human Development Extramural Research/ Pass-through – Florida State University	93.865	R02067	-	61,245	61,245	-
Child Health and Human Development Extramural Research/ Pass-through – Florida State University	93.865	R02094	-	2,041	2,041	-
Child Health and Human Development Extramural Research/ Pass-through – Florida State University	93.865	R02144	-	5,939	5,939	-
Child Health and Human Development Extramural Research/ Pass-through – Pennsylvania State University	93.865	1R21HD094158-01A1	-	23,132	23,132	-
Child Health and Human Development Extramural Research/ Pass-through – University of North Carolina	93.865	5108964	-	524	524	-
Child Health and Human Development Extramural Research/ Pass-through – University of North Carolina	93.865	5111109	-	11,067	11,067	-
Child Health and Human Development Extramural Research/ Pass-through – University of North Carolina	93.865	5111127	-	39,528	39,528	-
Child Health and Human Development Extramural Research/ Pass-through – University of North Carolina	93.865	5112152	-	64,275	64,275	-
Child Health and Human Development Extramural Research/ Pass-through – University of North Carolina	93.865	5113147	-	29,431	29,431	-
Child Health and Human Development Extramural Research/ Pass-through – Washington University at St. Louis	93.865	WU-17-138-MOD-3	-	69,963	69,963	-
Child Health and Human Development Extramural Research/ Pass-through – Washington University at St. Louis	93.865	WU-17-138-MOD-4	-	13,265	13,265	-
			<u>454,137</u>	<u>1,893,183</u>	<u>2,347,320</u>	<u>82,620</u>

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Aging Research	93.866	N/A	\$ 1,437,206	\$ -	\$ 1,437,206	\$ 132,717
Aging Research/Pass-through – Cassava Sciences, Inc.	93.866	76434-00 02/03	-	79,363	79,363	-
Aging Research/Pass-through – Cassava Sciences, Inc.	93.866	1R44AG060878-01	-	28,922	28,922	-
Aging Research/Pass-through – Columbia University	93.866	3(GG012026)	-	84,890	84,890	-
Aging Research/Pass-through – Columbia University	93.866	3(GG012026-01)	-	38,550	38,550	-
Aging Research/Pass-through – Rush University Medical Center	93.866	17091805-SUB01	-	148,196	148,196	-
Aging Research/Pass-through – University of California	93.866	1580 G WA702	-	140,743	140,743	-
Aging Research/Pass-through – University of Southern California	93.866	116019297	-	6,998	6,998	-
Aging Research/Pass-through – University of Washington	93.866	UWSC9788	-	26,316	26,316	-
Aging Research/Pass-through – Visiting Nurse Service of New York	93.866	4612H	-	8,626	8,626	-
			<u>1,437,206</u>	<u>562,604</u>	<u>1,999,810</u>	<u>132,717</u>
Vision Research	93.867	N/A	354,496	-	354,496	-
Medical Library Assistance	93.879	N/A	153,919	-	153,919	40,772
Special Projects of National Significance/Pass-through - Health Research Inc.	93.928	5422-02	-	15,641	15,641	-
Special Projects of National Significance/Pass-through - Health Research Inc.	93.928	5422-03	-	30,856	30,856	-
			<u>-</u>	<u>46,497</u>	<u>46,497</u>	<u>-</u>
HIV Demonstration, Research, Public and Professional Education Projects/ Pass-through - Albert Einstein College of Medicine	93.941	311314	-	11,045	11,045	-
International Research and Research Training/Pass-through - Rutgers University	93.989	5429	-	37,678	37,678	-
Various/Pass-through – ABT Associates Inc.	93.U01	HPOG2-Hostos	-	13,044	13,044	-
Various/Pass-through – NYC Administration for Children Services	93.U02	57343-00 03/04	-	225,447	225,447	-
Various/Pass-through – University of Nebraska Medical Center	93.U03	36-5226-2058-000	-	10,391	10,391	-
Total U.S. Department of Health and Human Services			<u>39,592,587</u>	<u>10,918,008</u>	<u>50,510,595</u>	<u>4,659,207</u>
U.S. Department of Agriculture:						
Agricultural Research Basic and Applied Research	10.001	N/A	22,694	-	22,694	-
Higher Education - Institution Challenge Grants Program/Pass-through - University of Minnesota	10.217	H004972103	-	33,216	33,216	-
Soil and Water Conservation	10.902	N/A	45,705	-	45,705	-
Total U.S. Department of Agriculture			<u>68,399</u>	<u>33,216</u>	<u>101,615</u>	<u>-</u>
U.S. Department of Commerce:						
NOAA Mission-Related Education Awards	11.008	N/A	127,865	-	127,865	40,323
Ocean Exploration/Pass-through - Boston University	11.011	4500002347	-	19,570	19,570	-
Sea Grant Support/Pass-through - University of South Carolina	11.417	18-3566	-	2,500	2,500	-

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Coastal Zone Management Administration Awards/Pass-through - NYS Department of State	11.419	C1000894	\$ -	\$ (865)	\$ (865)	\$ -
Coastal Zone Management Administration Awards/Pass-through - NYS Department of State	11.419	C1000894	-	10,626	10,626	10,626
			-	9,761	9,761	10,626
Climate and Atmospheric Research	11.431	N/A	103,085	-	103,085	27,388
Climate and Atmospheric Research/Pass-through - Columbia University	11.431	3(GG012355)	-	72,008	72,008	-
			103,085	72,008	175,093	27,388
National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes/Pass-through - University of Maryland	11.432	16126-Z7813001	-	845,755	845,755	50,755
Applied Meteorological Research/Pass-through - University of Maryland Educational Partnership Program	11.468	41196-Z7890001	-	857	857	-
	11.481	N/A	2,583,323	-	2,583,323	920,003
Coral Reef Conservation Program/Pass-through - New York University Science, Technology, Business and/or Education Outreach	11.482	S0045-01	-	3,936	3,936	-
	11.620	N/A	33,685	-	33,685	-
Minority Business Resource Development	11.802	N/A	108,235	-	108,235	40,611
Various	11.U01	N/A	32,107	-	32,107	-
Total U.S. Department of Commerce			2,988,300	954,387	3,942,687	1,089,706
U.S. Department of Defense:						
Basic and Applied Scientific Research	12.300	N/A	548,744	-	548,744	1,876
Scientific Research - Combating Weapons of Mass Destruction	12.351	N/A	15,577	-	15,577	8,740
Scientific Research - Combating Weapons of Mass Destruction/Pass-through – Columbia University	12.351	1(GG012727-01)	-	45,179	45,179	-
			15,577	45,179	60,756	8,740
Military Medical Research and Development	12.420	N/A	123,283	-	123,283	-
Military Medical Research and Development/ Pass-through - New York University School of Medicine	12.420	16A00000720101	-	4,431	4,431	-
			123,283	4,431	127,714	-
Basic Scientific Research	12.431	N/A	698,255	-	698,255	-
Basic Scientific Research/Pass-through – DCS Corporation	12.431	APX02-N013	-	269,671	269,671	-
Basic Scientific Research/Pass-through – Massachusetts Institute of Technology	12.431	5710004049	-	12,831	12,831	-
Basic Scientific Research/Pass-through – Rensselaer Polytechnic Institute	12.431	A12892	-	64,547	64,547	-
Basic Scientific Research/Pass-through – University of Michigan	12.431	SUBL00010334	-	55,971	55,971	-
			698,255	403,020	1,101,275	-

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Centers for Academic Excellence/Pass-through - Rutgers University	12.598	0691	\$ -	\$ 350	\$ 350	\$ -
Basic, Applied, and Advanced Research in Science and Engineering	12.630	N/A	177,997	-	177,997	-
Basic, Applied, and Advanced Research in Science and Engineering/ Pass-through – Academy of Applied Science	12.630	2018-RFCUNY-1	-	996	996	-
Basic, Applied, and Advanced Research in Science and Engineering/ Pass-through - BBN Technologies	12.630	4201774692	-	211,179	211,179	-
Basic, Applied, and Advanced Research in Science and Engineering/ Pass-through - BBN Technologies	12.630	W 911NF-09-2-0053	-	72,943	72,943	-
Basic, Applied, and Advanced Research in Science and Engineering/ Pass-through – George Mason University	12.630	E2043344	-	52,556	52,556	-
Basic, Applied, and Advanced Research in Science and Engineering/ Pass-through – Nanohmics, Inc.	12.630	140D6318C0058	-	54,563	54,563	-
Basic, Applied, and Advanced Research in Science and Engineering/ Pass-through – Nanohmics, Inc.	12.630	FA9453-17-C-0481	-	59,810	59,810	-
Basic, Applied, and Advanced Research in Science and Engineering/ Pass-through - National Science Teachers Association	12.630	727325	-	14,551	14,551	-
			<u>177,997</u>	<u>466,598</u>	<u>644,595</u>	<u>-</u>
Air Force Defense Research Sciences Program	12.800	N/A	1,794,579	-	1,794,579	847,978
Air Force Defense Research Sciences Program/Pass-through – Georgia State University	12.800	SP00012088-01	-	35,502	35,502	-
Air Force Defense Research Sciences Program/Pass-through – Northwestern University	12.800	SP0032777-PROJ00	-	180,951	180,951	-
Air Force Defense Research Sciences Program/Pass-through – Research Foundation for the SUNY	12.800	R1041503	-	34,392	34,392	-
			<u>1,794,579</u>	<u>250,845</u>	<u>2,045,424</u>	<u>847,978</u>
Mathematical Sciences Grants	12.901	N/A	33,871	-	33,871	-
Research and Technology Development/Pass-through - John B. Pierce Laboratory	12.910	275-A	-	30,657	30,657	-
Research and Technology Development/Pass-through - John B. Pierce Laboratory	12.910	285-A	-	139,057	139,057	-
			<u>-</u>	<u>169,714</u>	<u>169,714</u>	<u>-</u>
Various	12.U01	N/A	320,348	-	320,348	85,738
Various/Pass-through – Charles River Analytics, Inc.	12.U02	SC1715603	-	14,414	14,414	-
Various/Pass-through – Clarkson Aerospace Corporation	12.U03	NCCY 16-S7700-04-C2	-	4,081	4,081	-
Various/Pass-through – Engineering Research and Consulting Inc.	12.U04	PS170079	-	34,405	34,405	-
Various/Pass-through – Ionica Sciences, Inc.	12.U05	W81XWH-18-C-0033	-	45,000	45,000	-
Various/Pass-through - MSI Stem Research & Development Consortium	12.U06	DO1-W911SR-14-2	-	401,809	401,809	-
Various/Pass-through – National Advanced Mobility Consortium, Inc.	12.U07	69-201511	-	71,288	71,288	-

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Various/Pass-through – Northrop Grumman	12.U08	8200214830	\$ -	\$ 25,225	\$ 25,225	\$ -
Various/Pass-through – Phoebus Optoelectronics LLC	12.U09	FA4819-16-C-0001	-	101,005	101,005	-
Various/Pass-through – Raytheon Company	12.U10	14811	-	62,162	62,162	-
Various/Pass-through – UES, Inc.	12.U11	S-953-23-MR001	-	1,070	1,070	-
Total U.S. Department of Defense			<u>3,712,654</u>	<u>2,100,596</u>	<u>5,813,250</u>	<u>944,332</u>
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	-	223,131	223,131	28,735
Hurricane Sandy Community Development Block Grant Disaster Recovery Grants (CDBG-DR)/Pass-through NYC Department of Buildings	14.269	CTA182620187211746	-	1,282,053	1,282,053	976,474
			-	<u>1,505,184</u>	<u>1,505,184</u>	<u>1,005,209</u>
Transformation Initiative Research Grants: Sustainable Community Research Grant Program/Pass-through - NYC Housing Authority	14.523	58951-00 01	-	4,491	4,491	-
Total U.S. Department of Department of Housing and Urban Development			-	<u>1,509,675</u>	<u>1,509,675</u>	<u>1,005,209</u>
U.S. Department of the Interior:						
Asian Elephant Conservation Fund	15.621	N/A	21,193	-	21,193	-
Cooperative Research and Training Programs – Resources of the National Park System	15.945	N/A	59,666	-	59,666	-
Total U.S. Department of the Interior			<u>80,859</u>	-	<u>80,859</u>	-
U.S. Department of Justice:						
Services for Trafficking Victims/Pass-through - International Association of Chiefs of Police	16.320	2017-VT-BX-K101	-	25,383	25,383	-
OVW Technical Assistance Initiative	16.526	N/A	456,516	-	456,516	-
Juvenile Justice and Delinquency Prevention	16.540	N/A	106,829	-	106,829	-
National Institute of Justice Research, Evaluation, and Development Project Grants	16.560	N/A	1,831,650	-	1,831,650	627,013
National Institute of Justice Research, Evaluation, and Development Project Grants/Pass-through – Northeastern University	16.560	504618-78050	-	32,161	32,161	-
National Institute of Justice Research, Evaluation, and Development Project Grants/Pass-through – Old Dominion University Research Foundation	16.560	19-193-100792-010	-	9,807	9,807	-

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National Institute of Justice Research, Evaluation, and Development Project Grants/Pass-through – Pennsylvania State University	16.560	5684-CUNY-NIJ-00	\$ -	\$ 18,161	\$ 18,161	\$ -
National Institute of Justice Research, Evaluation, and Development Project Grants/Pass-through – Rutgers University	16.560	0066	-	90,792	90,792	-
National Institute of Justice Research, Evaluation, and Development Project Grants/Pass-through – University of Maryland	16.560	39480-Z9246102	-	368	368	-
			<u>1,831,650</u>	<u>151,289</u>	<u>1,982,939</u>	<u>627,013</u>
Criminal Justice Research and Development Graduate Research Fellowships	16.562	N/A	7,198	-	7,198	-
Crime Victim Assistance/Discretionary Grants	16.582	N/A	8,424	-	8,424	-
Crime Victim Assistance/Discretionary Grants/Pass-through - Justice Research and Statistics Association	16.582	5200-023	-	3,085	3,085	-
			<u>8,424</u>	<u>3,085</u>	<u>11,509</u>	<u>-</u>
Project Safe Neighborhoods/Pass-through – Delaware Criminal Justice Council	16.609	7H246-00 01	-	72,284	72,284	-
Criminal and Juvenile Justice and Mental Health Collaboration Program/ Pass- through - Education and Assistance Corporation	16.745	7H169-00 01	-	3,910	3,910	-
Edward Byrne Memorial Competitive Grant Program/Pass-through - International Association of Chiefs of Police	16.751	2015-VT-BX-K001	-	62,729	62,729	-
Second Chance Act Reentry Initiative/Pass-through – Education and Assistance Corporation	16.812	2015-RW-BX-0002	-	2,130	2,130	-
Second Chance Act Reentry Initiative/Pass-through – NYC Department of Probation	16.812	78116R0003001	-	38,280	38,280	-
			<u>-</u>	<u>40,410</u>	<u>40,410</u>	<u>-</u>
Justice Reinvestment Initiative/Pass-through - Center for Court Innovation	16.827	F-FY17-82-045	-	59,303	59,303	-
Equitable Sharing Program/Pass-through - NYC Mayor's Office of Criminal Justice	16.922	57138-00 01	-	126,170	126,170	-
Total U.S. Department of Justice			<u>2,410,617</u>	<u>544,563</u>	<u>2,955,180</u>	<u>627,013</u>
U.S. Department of Transportation:						
Highway Research and Development Program	20.200	N/A	(158)	-	(158)	-
Highway Research and Development Program	20.200	N/A	11,593	-	11,593	11,593
Highway Research and Development Program/Pass-through – JHK Engineering P.C.	20.200	BN7600018	-	51,606	51,606	4,836

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Highway Research and Development Program/Pass-through – New Jersey Department of Transportation	20.200	RFCUNY-55	\$ -	\$ 58,502	\$ 58,502	\$ 55,716
Highway Research and Development Program/Pass-through – New Jersey Department of Transportation	20.200	RFCUNY-56	-	148,824	148,824	27,035
Highway Research and Development Program/Pass-through – New Jersey Department of Transportation	20.200	RFCUNY-57	-	211,748	211,748	201,665
			<u>11,435</u>	<u>470,680</u>	<u>482,115</u>	<u>300,845</u>
Highway Planning and Construction/Pass-through – NYC Department of Transportation	20.205	57315-xx 28	-	222,273	222,273	165,229
Highway Planning and Construction/Pass-through – NYS Department of Transportation	20.205	C030793	-	434,849	434,849	408,164
Highway Planning and Construction/Pass-through – NYS Department of Transportation	20.205	C030794	-	251,675	251,675	122,000
Highway Planning and Construction/Pass-through – NYS Energy Research & Development Authority	20.205	116582	-	126,334	126,334	12,988
Highway Planning and Construction/Pass-through – NYS Energy Research & Development Authority	20.205	118144	-	90,289	90,289	69,925
			<u>-</u>	<u>1,125,420</u>	<u>1,125,420</u>	<u>778,306</u>
Highway Training and Education	20.215	N/A	23,271	-	23,271	-
Public Transportation Innovation/Pass-through – National Academy of Sciences	20.530	TCRP F-25	-	90,830	90,830	16,824
University Transportation Centers Program	20.701	N/A	721,113	-	721,113	172,245
University Transportation Centers Program/Pass-through - New York University	20.701	F8741-04	-	62,290	62,290	-
University Transportation Centers Program/Pass-through - University of Missouri	20.701	00055082	-	218,898	218,898	-
			<u>721,113</u>	<u>281,188</u>	<u>1,002,301</u>	<u>172,245</u>
Various	20.U01	N/A	1,038,269	-	1,038,269	89,545
Total U.S. Department of Transportation			<u>1,794,088</u>	<u>1,968,118</u>	<u>3,762,206</u>	<u>1,357,765</u>
National Aeronautics and Space Administration:						
Science	43.001	N/A	2,167,130	-	2,167,130	215,279
Science/Pass-through – American Museum of Natural History	43.001	A25-2018-1	-	81,088	81,088	-
Science/Pass-through – American Museum of Natural History	43.001	A59-2019-1	-	17,391	17,391	-
Science/Pass-through – Columbia University	43.001	1 GG012408	-	90,626	90,626	-
Science/Pass-through – Cornell University	43.001	84502-11114	-	4,766	4,766	-
Science/Pass-through –Jet Propulsion Laboratory	43.001	1581593	-	24,915	24,915	-
Science/Pass-through –Jet Propulsion Laboratory	43.001	1606402	-	35,000	35,000	-

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Science/Pass-through –Jet Propulsion Laboratory	43.001	1625147	\$ -	\$ 2,767	\$ 2,767	\$ -
Science/Pass-through –Jet Propulsion Laboratory	43.001	1626508	-	7,883	7,883	-
Science/Pass-through – Michigan Technological University	43.001	1601033Z1	-	48,527	48,527	-
Science/Pass-through – Pennsylvania State University	43.001	5077-M37G	-	188	188	-
Science/Pass-through – Southwest Research Institute	43.001	K99006KJ	-	21,642	21,642	-
Science/Pass-through – University of California	43.001	A18-2017-S001	-	1,496	1,496	-
			<u>2,167,130</u>	<u>336,289</u>	<u>2,503,419</u>	<u>215,279</u>
Exploration	43.003	N/A	163,153	-	163,153	-
Exploration/Pass-through - Baylor College of Medicine	43.003	0402121992	-	38,967	38,967	-
			<u>163,153</u>	<u>38,967</u>	<u>202,120</u>	<u>-</u>
Education	43.008		419,899	-	419,899	73,105
Education/ Pass-through - Cornell University	43.008	76156-10480	-	20,000	20,000	-
Education/ Pass-through - Cornell University	43.008	76156-10483	-	7,800	7,800	-
Education/ Pass-through - Cornell University	43.008	76156-10487	-	22,900	22,900	-
Education/ Pass-through - Texas State University	43.008	17008-82232-9	-	16,639	16,639	-
			<u>419,899</u>	<u>67,339</u>	<u>487,238</u>	<u>73,105</u>
Various/Pass-through – Jet Propulsion Laboratory	43.U01	1514998	-	19,834	19,834	-
Various/Pass-through – Space Telescope Science Institute	43.U02	HST-GO-15107.006A	-	4,166	4,166	-
Total National Aeronautics and Space Administration			<u>2,750,182</u>	<u>466,595</u>	<u>3,216,777</u>	<u>288,384</u>
National Endowment for the Humanities:						
Promotion of the Humanities Research/Pass-through - California State University at Northridge	45.161	F-14-3354-CUNY	-	4,965	4,965	-
Promotion of the Humanities Teaching and Learning Resources and Curriculum Development	45.162	N/A	66,389	-	66,389	-
Promotion of the Humanities Office of Digital Humanities	45.169	N/A	15,993	-	15,993	-
Laura Bush 21st Century Librarian Program	45.313	N/A	33,189	-	33,189	-
Laura Bush 21st Century Librarian Program/Pass-through - Northern Virginia Community College	45.313	RE-96-17-0113-17	-	65,547	65,547	-
			<u>33,189</u>	<u>65,547</u>	<u>98,736</u>	<u>-</u>
Total National Endowment for the Humanities			<u>115,571</u>	<u>70,512</u>	<u>186,083</u>	<u>-</u>
National Science Foundation:						
Engineering Grants	47.041	N/A	3,215,266	-	3,215,266	815,904
Engineering Grants/Pass-through – Georgia Institute of Technology	47.041	RG382-G2	-	85,229	85,229	-

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Engineering Grants/Pass-through – Michigan State University	47.041	RC106692CUNY	\$ -	\$ 59,542	\$ 59,542	\$ -
Engineering Grants/Pass-through – Mousensor, LLC	47.041	SBIR 1720679	-	8,469	8,469	-
Engineering Grants/Pass-through – Sippa Solutions LLC	47.041	NSF-1648780	-	16	16	-
Engineering Grants/Pass-through – University of Texas at Austin	47.041	UTA16-001250	-	69,761	69,761	-
Engineering Grants/Pass-through – Worcester Polytechnic Institute	47.041	10443-GR	-	27,931	27,931	-
Engineering Grants/Pass-through – Yesse Technologies, Inc.	47.041	1,853,051	-	36,391	36,391	-
			<u>3,215,266</u>	<u>287,339</u>	<u>3,502,605</u>	<u>815,904</u>
Mathematical and Physical Sciences	47.049	N/A	5,906,594	-	5,906,594	243,798
Mathematical and Physical Sciences/Pass-through – Columbia University	47.049	1(GG008600)	-	215,093	215,093	-
Mathematical and Physical Sciences/Pass-through – Johns Hopkins University	47.049	2002644934	-	6,977	6,977	-
Mathematical and Physical Sciences/Pass-through – Princeton University	47.049	SUB0000224	-	270,987	270,987	-
Mathematical and Physical Sciences/Pass-through – University of Illinois	47.049	057930-17050	-	14,999	14,999	-
Mathematical and Physical Sciences/Pass-through – University of Michigan	47.049	3002118171	-	15	15	-
			<u>5,906,594</u>	<u>508,071</u>	<u>6,414,665</u>	<u>243,798</u>
Geosciences	47.050	N/A	1,703,303	-	170,303	307,690
Geosciences/Pass-through – Columbia University	47.050	2(GG008997)	-	1,988	1,988	-
Geosciences/Pass-through – Columbia University	47.050	42(GG009393)	-	12,991	12,991	-
Geosciences/Pass-through – Columbia University	47.050	7(GG009393-01)	-	58,112	58,112	-
Geosciences/Pass-through – Columbia University	47.050	80(GG009393)	-	27,812	27,812	-
Geosciences/Pass-through – Rutgers University	47.050	0824	-	12,317	12,317	-
			<u>1,703,303</u>	<u>113,220</u>	<u>1,816,523</u>	<u>307,690</u>
Computer and Information Science and Engineering	47.070	N/A	1,978,664	-	1,978,664	30,301
Computer and Information Science and Engineering/Pass-through – Columbia University	47.070	3(GG014460-02)	-	32,037	32,037	-
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 – Massachusetts Institute of Technology	47.070	S4158	-	7,005	7,005	-
Computer and Information Science and Engineering/Pass-through – New York University	47.070	F0459-01	-	93,799	93,799	-
Computer and Information Science and Engineering/Pass-through – Research Foundation SUNY	47.070	83108/2/1150594	-	20,453	20,453	-
Computer and Information Science and Engineering/Pass-through – Rutgers University	47.070	0558	-	5,846	5,846	-

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Computer and Information Science and Engineering/Pass-through – Rutgers University	47.070	0559	\$ -	\$ 6,566	\$ 6,566	\$ -
Computer and Information Science and Engineering/Pass-through – Rutgers University	47.070	0777	-	11,381	11,381	-
Computer and Information Science and Engineering/Pass-through – University of Missouri	47.070	C00062047-1	-	19,293	19,293	-
			<u>1,978,664</u>	<u>206,723</u>	<u>2,185,387</u>	<u>30,301</u>
Biological Sciences	47.074	N/A	3,111,893	-	3,111,893	279,107
Biological Sciences/Pass-through – Cary Institute of Ecosystem Studies	47.074	3335/200201882	-	31,420	31,420	-
Biological Sciences/Pass-through – Cary Institute of Ecosystem Studies	47.074	3340/200201939	-	14,481	14,481	-
Biological Sciences/Pass-through – Cornell University	47.074	181886	-	11,617	11,617	-
Biological Sciences/Pass-through – Miami University	47.074	G02462	-	320	320	-
Biological Sciences/Pass-through – Rowan University	47.074	50787-1	-	502	502	-
Biological Sciences/Pass-through – Memorial Sloan Kettering Cancer Center	47.074	BD519843	-	34,132	34,132	-
			<u>3,111,893</u>	<u>92,472</u>	<u>3,204,365</u>	<u>279,107</u>
Social, Behavioral, and Economic Sciences	47.075	N/A	2,847,715	-	2,847,715	1,118,932
Social, Behavioral, and Economic Sciences/Pass-through – Arizona State University	47.075	16-819	-	52,060	52,060	-
Social, Behavioral, and Economic Sciences/Pass-through – Cary Institute of Ecosystem Studies	47.075	3283/200201868	-	72,634	72,634	-
Social, Behavioral, and Economic Sciences/Pass-through – Long Island University	47.075	RF CUNY 001	-	57,782	57,782	-
Social, Behavioral, and Economic Sciences/Pass-through – Rutgers University	47.075	0271	-	602	602	-
Social, Behavioral, and Economic Sciences/Pass-through – University of Maine System	47.075	UMS-1156	-	11,444	11,444	-
			<u>2,847,715</u>	<u>194,522</u>	<u>3,042,237</u>	<u>1,118,932</u>
Education and Human Resources	47.076	N/A	7,985,107	-	7,985,107	489,382
Education and Human Resources/Pass-through – American Museum of Natural History	47.076	675-2016-2	-	13,115	13,115	-
Education and Human Resources/Pass-through – Bowie State University	47.076	2126	-	16,639	16,639	-
Education and Human Resources/Pass-through – Business Higher Education Forum	47.076	770-010	-	147,670	147,670	-
Education and Human Resources/Pass-through – Embry-Riddle Aeronautical University	47.076	63018-01	-	30,893	30,893	-
Education and Human Resources/Pass-through – Hofstra University	47.076	25297-CUNY	-	87,451	87,451	-
Education and Human Resources/Pass-through – Michigan State University	47.076	RC104162CUNY	-	47,167	47,167	-

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Education and Human Resources/Pass-through – National Writing Project	47.076	92-NY02-NSF2017	\$ -	\$ 10,000	\$ 10,000	\$ -
Education and Human Resources/Pass-through – New York University	47.076	F1024-01	-	69,274	69,274	-
Education and Human Resources/Pass-through – Research Foundation of SUNY	47.076	79207-QCC	-	34,782	34,782	-
Education and Human Resources/Pass-through – University of Colorado	47.076	1553022	-	82,675	82,675	-
Education and Human Resources/Pass-through – University of Texas at Austin	47.076	UTA17-000764	-	20,824	20,824	-
			<u>7,985,107</u>	<u>560,490</u>	<u>8,545,597</u>	<u>489,382</u>
Office of International Science and Engineering	47.079	N/A	982,854	-	982,854	-
Office of Cyberinfrastructure	47.080	N/A	883,682	-	883,682	244,765
Various/Pass-through - Massachusetts Institute of Technology	47.U01	72564-00 01	-	5,279	5,279	-
Various/Pass-through - SIPPA Solutions LLC	47.U02	NSF-1831214	-	5,135	5,135	-
Total National Science Foundation			<u>28,615,078</u>	<u>1,973,251</u>	<u>30,588,329</u>	<u>3,529,879</u>
Environmental Protection Agency:						
Regional Wetland Program Development Grants/ Pass-through - Rutgers University	66.461	0282	-	5,853	5,853	-
Various	66.U01	N/A	54	-	54	-
Total Environmental Protection Agency:			<u>54</u>	<u>5,853</u>	<u>5,907</u>	<u>-</u>
Nuclear Regulatory Commission						
U. S. Nuclear Regulatory Commission Nuclear Education Grant Program	77.006	N/A	97,453	-	97,453	-
U. S. Nuclear Regulatory Commission Scholarship and Fellowship Program	77.008	N/A	189,561	-	189,561	-
Total Nuclear Regulatory Commission			<u>287,014</u>	<u>-</u>	<u>287,014</u>	<u>-</u>
U.S. Department of Energy:						
Office of Science Financial Assistance Program	81.049	N/A	7,923,044	-	7,923,044	1,538,354
Office of Science Financial Assistance Program/Pass-through – Case Western Reserve University	81.049	RES513722	-	87,927	87,927	-
Office of Science Financial Assistance Program/Pass-through – Columbia University	81.049	1(GG012512)	-	140,513	140,513	-
Office of Science Financial Assistance Program/Pass-through – MicroBio Engineering, Inc.	81.049	DE-SC0018769	-	88,487	88,487	-
			<u>7,923,044</u>	<u>316,927</u>	<u>8,239,971</u>	<u>1,538,354</u>
Renewable Energy Research and Development	81.087	N/A	15,174	-	15,174	14,918
Fossil Energy Research and Development/Pass-through – Ionic Materials, Inc.	81.089	DE-AR0001033	-	14,315	14,315	-
Epidemiology and Other Health Studies Financial Assistance Program/ Pass-through – Steelworkers Charitable & Education Organizations	81.108	DE-FC01-06EH0601	-	1,576,418	1,576,418	84,000

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Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance/Pass-through - The Solar Foundation	81.117	DE-EE0007155.0004	\$ -	\$ 1,572	\$ 1,572	\$ -
Nuclear Energy Research, Development and Demonstration	81.121	N/A	117,934	-	117,934	78,971
Advanced Research Projects Agency - Energy/Pass-through – Ionic Materials, Inc.	81.135	DE-AR0000780	-	136,843	136,843	-
Various/Pass-through – Brookhaven Science Associates, LLC	81.U01	344300	-	849	849	-
Various/Pass-through – Brookhaven Science Associates, LLC	81.U02	350719	-	29,183	29,183	-
Various/Pass-through – Brookhaven Science Associates, LLC	81.U03	351035	-	44,337	44,337	-
Various/Pass-through – Brookhaven Science Associates, LLC	81.U04	DE-SC0012704	-	11,395	11,395	-
Various/Pass-through – Fermi Research Alliance LLC	81.U05	7N013-00 01	-	21,292	21,292	-
Various/Pass-through – Lawrence Livermore National Laboratory	81.U06	B626796	-	10,542	10,542	-
Various/Pass-through – Sandia National Laboratories	81.U07	1732243	-	134,789	134,789	-
Various/Pass-through – Sandia National Laboratories	81.U08	1954708	-	86,101	86,101	-
Various/Pass-through – Stanford University	81.U09	DE-AC02-76SF00515	-	80,450	80,450	9,750
Various/Pass-through – Stanford University	81.U10	175079	-	45,026	45,026	25,000
Various/Pass-through – Stanford University	81.U11	182174	-	16,371	16,371	-
Various/Pass-through – UT-Batelle, LLC	81.U12	4000170698	-	25,774	25,774	-
Total U.S. Department of Energy			<u>8,056,152</u>	<u>2,552,184</u>	<u>10,608,336</u>	<u>1,750,993</u>
U.S. Department of Education:						
Overseas Programs - Doctoral Dissertation Research Abroad	84.022	N/A	115,124	-	115,124	-
Graduate Assistance in Areas of National Need	84.200	N/A	301,690	-	301,690	-
Education, Research, Development and Dissemination	84.305	N/A	276,100	-	276,100	104,758
Education, Research, Development and Dissemination/Pass-through – MDRC	84.305	72310-00 04/05	-	62,847	62,847	-
Education, Research, Development and Dissemination/Pass-through – MDRC	84.305	R305H40065	-	72,469	72,469	-
Education, Research, Development and Dissemination/Pass-through – New York University	84.305	F0959-01	-	8,783	8,783	-
Education, Research, Development and Dissemination/Pass-through – Technical Education Research Centers, Inc.	84.305	4024	-	25,372	25,372	-
Education, Research, Development and Dissemination/Pass-through – University of California at Santa Barbara	84.305	KK1606	-	49,111	49,111	-
Education, Research, Development and Dissemination/Pass-through – University of Virginia	84.305	72261-xx 03	-	58,976	58,976	-
Total U.S. Department of Education			<u>276,100</u>	<u>277,558</u>	<u>553,658</u>	<u>104,758</u>
			<u>692,914</u>	<u>277,558</u>	<u>970,472</u>	<u>104,758</u>
Corporation for National and Community Service						
Social Innovation Fund/ STRIVE International	94.019	7F266-00 01	-	26,225	26,225	-

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U.S. Department of Homeland Security:						
Centers for Homeland Security/Pass-through – George Mason University	97.061	E2043882	\$ -	\$ 73,393	\$ 73,393	\$ -
Centers for Homeland Security/Pass-through – George Mason University	97.061	E2044132	-	1,500	1,500	-
Centers for Homeland Security/Pass-through – University of Maryland	97.061	28058-Z9058103	-	49,960	49,960	-
Various/Pass-through - University of Maryland	97.U01	68170-Z9233202	-	27,416	27,416	-
Total U.S. Department of Homeland Security			-	152,269	152,269	-
Agency for International Development						
USAID Foreign Assistance for Programs Overseas/Pass-through - University of Utah	98.001	10035947-S1	-	40,880	40,880	-
USAID Foreign Assistance for Programs Overseas/ Pass-through - Seguridad y Justicia de Ciudad Juárez, A. C.	98.001	720-523-18-CA-00001	-	160,749	160,749	-
USAID Foreign Assistance for Programs Overseas/ Pass-through - Pro Superación Familiar Neolonesa, A. C.	98.001	720-523-18-CA-00012	-	76,011	76,011	-
USAID Foreign Assistance for Programs Overseas/ Pass-through - University Research Co., LLC	98.001	FY17-A03-6024	-	590,572	590,572	-
USAID Foreign Assistance for Programs Overseas/ Pass-through - University Research Co., LLC	98.001	SUBIQC-82	-	2,586	2,586	-
			-	870,798	870,798	-
Various/Pass-through - American Institutes for Research	98.U01	D425300003	-	3,375	3,375	-
Total Agency for International Development			-	874,173	874,173	-
Total Research and Development Cluster			91,164,469	24,427,183	115,591,652	15,357,245
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	-	1,222,723	1,222,723	-
Temporary Assistance for Needy Families/Pass-through – NYC Human Resources Administration	93.558	57121-xx 29/30	-	7,833,600	7,833,600	11,582
Temporary Assistance for Needy Families/Pass-through – NYS Office of Child and Family Services	93.558	C027775	-	19,557	19,557	-
Temporary Assistance for Needy Families/Pass-through – NYS Office of Child and Family Services	93.558	C027771	-	7,706	7,706	-
			-	9,083,586	9,083,586	11,582
Total TANF Cluster			-	9,083,586	9,083,586	11,582

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CCDF Cluster:						
U.S. Department of Health and Human Services:						
Child Care and Development Block Grant/ Pass-through – NYS Office of Child and Family Services	93.575	C027773	\$ -	\$ 28,671	\$ 28,671	\$ -
Child Care and Development Block Grant/ Pass-through – NYS Office of Child and Family Services	93.575	C027972	-	32,469	32,469	-
Child Care and Development Block Grant/ Pass-through – NYS Office of Child and Family Services	93.575	C027775	-	28,626	28,626	-
Child Care and Development Block Grant/ Pass-through – NYS Office of Child and Family Services	93.575	C027965	-	51,131	51,131	-
Child Care and Development Block Grant/ Pass-through – NYS Office of Child and Family Services	93.575	C027974	-	10	10	-
Child Care and Development Block Grant/ Pass-through – NYS Office of Child and Family Services	93.575	C028162	-	266,894	266,894	-
Child Care and Development Block Grant/ Pass-through – NYS Office of Child and Family Services	93.575	C028435	-	298,695	298,695	-
Child Care and Development Block Grant/Pass-through – NYS Office of Child and Family Services	93.575	C028436	-	178,830	178,830	-
Child Care and Development Block Grant/Pass-through – NYS Office of Child and Family Services	93.575	C027771	-	459	459	-
Child Care and Development Block Grant/Pass-through – NYS Office of Child and Family Services	93.575	C027966	-	779	779	-
Child Care and Development Block Grant/Pass-through – NYS Office of Child and Family Services	93.575	C028159	-	3,746	3,746	-
Child Care and Development Block Grant/Pass-through – NYS Office of Child and Family Services	93.575	C028438	-	1,960	1,960	-
Child Care and Development Block Grant/Pass-through – NYS Office of Child and Family Services	93.575	C181808	-	118,147	118,147	-
Child Care and Development Block Grant/Pass-through – NYS Office of Child and Family Services	93.575	MOU 2255	-	2,229,783	2,229,783	-
			-	3,240,200	3,240,200	-
Total CCDF Cluster			-	3,240,200	3,240,200	-

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Medicaid Cluster:						
U.S. Department of Health and Human Services:						
Medical Assistance Program/Pass-through – NYS Office of Child and Family Services	93.778	C027775	\$ -	\$ 989	\$ 989	\$ -
Medical Assistance Program/Pass-through – NYS Office of Child and Family Services	93.778	C027965	-	1,757	1,757	-
Medical Assistance Program/Pass-through – NYS Office of Child and Family Services	93.778	C027974	-	9,076	9,076	-
Medical Assistance Program/Pass-through – NYS Office of Child and Family Services	93.778	C028162	-	10,894	10,894	-
Medical Assistance Program/Pass-through – NYS Office of Child and Family Services	93.778	C028436	-	24,737	24,737	-
Medical Assistance Program/Pass-through – NYS Office of Child and Family Services	93.778	C027771	-	4,102	4,102	-
Medical Assistance Program/Pass-through – NYS Office of Child and Family Services	93.778	C027966	-	6,875	6,875	-
Medical Assistance Program/Pass-through – NYS Office of Child and Family Services	93.778	C028159	-	30,008	30,008	-
Medical Assistance Program/Pass-through – NYS Office of Child and Family Services	93.778	C028438	-	14,843	14,843	-
			-	103,281	103,281	-
Total Medicaid Cluster			-	103,281	103,281	-
SNAP Cluster:						
U.S. Department of Agriculture:						
Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Child and Family Services	10.551	C027775	-	1,068	1,068	-
Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Child and Family Services	10.551	C027965	-	2,063	2,063	-
Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Child and Family Services	10.551	C027974	-	5,611	5,611	-
Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Child and Family Services	10.551	C028162	-	11,241	11,241	-
Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Child and Family Services	10.551	C028436	-	52,159	52,159	-

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Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Child and Family Services	10.551	C027771	\$ -	\$ 7,244	\$ 7,244	\$ -
Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Child and Family Services	10.551	C027966	-	13,746	13,746	-
Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Child and Family Services	10.551	C028159	-	69,549	69,549	-
Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Child and Family Services	10.551	C028438	-	35,588	35,588	-
			-	198,269	198,269	-
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program/Pass-through – NYS Department of Labor	10.561	C015406	-	(900)	(900)	-
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program/Pass-through – NYS Department of Labor	10.561	C17041GG	-	26,998	26,998	-
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Temporary & Disability Assistance	10.561	C00255GG-3410000	-	21,873	21,873	-
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Temporary & Disability Assistance	10.561	C00256GG	-	95,573	95,573	-
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Temporary & Disability Assistance	10.561	C021541	-	5,065	5,065	-
			-	148,609	148,609	-
Total SNAP Cluster			-	346,878	346,878	-
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-xx 02/04/05	-	131,669	131,669	-
Housing Voucher Cluster						
Section 8 Housing Choice Vouchers/Pass-through - NYC Department of Housing Preservation & Development	14.871	57698-00 11	-	62,016	62,016	-
WIOA Cluster:						
U.S. Department of Labor:						
WIA/WIOA Adult Program/Pass-through - NYS Department of Labor	17.258	C17161GG	-	14,142	14,142	-
WIA/W IOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	57348-00 01	-	10	10	-

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WIA/W IOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7106	\$ -	\$ 52,630	\$ 52,630	\$ -
WIA/W IOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7109	-	(3,926)	(3,926)	-
WIA/W IOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7112	-	(2,691)	(2,691)	-
WIA/WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7186	-	1,714	1,714	-
WIA/WIOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7187	-	1,670	1,670	-
WIA/W IOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7218	-	23,079	23,079	-
WIA/W IOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7221	-	12,986	12,986	-
WIA/W IOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7233	-	12,357	12,357	-
WIA/W IOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7235	-	12,474	12,474	-
WIA/W IOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7237	-	17,341	17,341	-
WIA/W IOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7240	-	15,696	15,696	-
WIA/W IOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7241	-	29,275	29,275	-
WIA/W IOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7306	-	3,956	3,956	-
WIA/W IOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7340	-	3,669	3,669	-
WIA/W IOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7379	-	15,997	15,997	-
WIA/W IOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7393	-	8,886	8,886	-
WIA/W IOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7423	-	232	232	-
WIA/W IOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7436	-	7,094	7,094	-

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WIA/W IOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7447	\$ -	\$ 6,252	\$ 6,252	\$ -
WIA/W IOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7448	-	19,811	19,811	-
WIA/W IOA Adult Program/Pass-through – NYC Department of Small Business Services	17.258	7449	-	3,230	3,230	-
			-	255,884	255,884	-
WIA/W IOA Youth Activities/Pass-through – Eckerd Youth Initiative	17.259	90528	-	65,814	65,814	-
WIA/W IOA Youth Activities/Pass-through – NYC Department of Youth and Community Development	17.259	57240-xx 01/02	-	177,998	177,998	-
WIA/W IOA Youth Activities/Pass-through – NYC Department of Youth and Community Development	17.259	90543	-	14,757	14,757	-
WIA/W IOA Youth Activities/Pass-through – NYC Department of Youth and Community Development	17.259	90545	-	18,731	18,731	-
WIA/W IOA Youth Activities/Pass-through – NYC Department of Youth and Community Development	17.259	90546	-	91,113	91,113	-
WIA/WIOA Youth Activities/Pass-through-NYS Department of Labor	17.259	C17161GG	-	14,142	14,142	-
			-	382,555	382,555	-
WIA/WIOA Dislocated Worker Formula Grants/Pass-through-NYS Department of Labor	17.278	C17161GG	-	14,142	14,142	-
WIA/WIOA Dislocated Worker Formula Grants/Pass-through-NYS Department of Labor	17.278	C17168GG	-	58,076	58,076	-
WIA/WIOA Dislocated Worker Formula Grants/Pass-through-NYS Department of Labor	17.278	C18375GG	-	20,027	20,027	-
WIA/WIOA Dislocated Worker Formula Grants/Pass-through-NYS Department of Labor	17.278	C18388GG	-	8,193	8,193	-
			-	100,438	100,438	-
Total WIOA Cluster			-	738,877	738,877	-

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TRIO Cluster:						
U.S. Department of Education:						
TRIO – Student Support Services	84.042	N/A	\$ 2,268,108	\$ -	\$ 2,268,108	\$ -
TRIO – Talent Search	84.044	N/A	827,983	-	827,983	-
TRIO – Upward Bound	84.047	N/A	1,801,553	-	1,801,553	-
TRIO - Educational Opportunity Centers	84.066	N/A	281,805	-	281,805	-
TRIO – McNair Post-Baccalaureate Achievement	84.217	N/A	460,513	-	460,513	-
Total TRIO Cluster			5,639,962	-	5,639,962	-
Disability Insurance/SSI Cluster:						
Social Security Disability Insurance/Pass-through – NYS Office of Child and Family Services	96.001	C027775	-	354	354	-
Social Security Disability Insurance/Pass-through – NYS Office of Child and Family Services	96.001	C027965	-	613	613	-
Social Security Disability Insurance/Pass-through – NYS Office of Child and Family Services	96.001	C028162	-	3,361	3,361	-
Social Security Disability Insurance/Pass-through – NYS Office of Temporary and Disability Assistance	96.001	C028436	-	2,119	2,119	-
			-	6,447	6,447	-
Total Disability Insurance/SSI Cluster			-	6,447	6,447	-
Other Programs:						
U.S. Department of Health and Human Services:						
Guardianship Assistance/Pass-through - NYS Office of Children and Family Services	93.090	C027775	-	216	216	-
Guardianship Assistance/Pass-through - NYS Office of Children and Family Services	93.090	C027965	-	388	388	-
Guardianship Assistance/Pass-through - NYS Office of Children and Family Services	93.090	C028162	-	1,507	1,507	-
Guardianship Assistance/Pass-through - NYS Office of Children and Family Services	93.090	C028436	-	4,943	4,943	-
Guardianship Assistance/Pass-through - NYS Office of Children and Family Services	93.090	C027771	-	15	15	-
Guardianship Assistance/Pass-through - NYS Office of Children and Family Services	93.090	C027966	-	41	41	-
			-	7,110	7,110	-

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Affordable Care Act (ACA) Health Profession Opportunity Grants	93.093	N/A	\$ 2,001,803	\$ -	\$ 2,001,803	\$ -
Community Programs to Improve Minority Health Grant Program	93.137	N/A	407,303	-	407,303	-
Community Programs to Improve Minority Health Grant Program/Pass-through- NYC City Council	93.137	58932-00 01	-	4,556	4,556	-
			<u>407,303</u>	<u>4,556</u>	<u>411,859</u>	<u>-</u>
Substance Abuse and Mental Health Services – Projects of Regional and National Significance	93.243	N/A	730,134	-	730,134	-
Partnerships to Improve Community Health/Pass-through - Fund for Public Health in New York, Inc.	93.331	82568	-	528	528	-
Pregnancy Assistance Fund Program/Pass-through - Health Research, Inc.	93.500	5700-01	-	17,672	17,672	-
Pregnancy Assistance Fund Program/Pass-through - Health Research, Inc.	93.500	5708-01	-	16,649	16,649	-
Pregnancy Assistance Fund Program/Pass-through - Health Research, Inc.	93.500	5709-01	-	15,929	15,929	-
Pregnancy Assistance Fund Program/Pass-through - Health Research, Inc.	93.500	5877-01	-	130,859	130,859	-
Pregnancy Assistance Fund Program/Pass-through - Health Research, Inc.	93.500	5920-01	-	135,493	135,493	-
Pregnancy Assistance Fund Program/Pass-through - Health Research, Inc.	93.500	5954-01	-	101,493	101,493	-
			<u>-</u>	<u>418,095</u>	<u>418,095</u>	<u>-</u>
State Planning and Establishment Grants for the Affordable Care Act (ACA)'s Exchanges/ Pass-through - Community Service Society of New York	93.525	1301300317	-	48	48	-
Child Support Enforcement/Pass-through – NYS Human Resource Administration	93.563	57265-00 01/02	-	591,416	591,416	590,765
Child Support Enforcement/Pass-through – NYS Office of Temporary and Disability Assistance	93.563	55727-00 24/25	-	69,328	69,328	-
Child Support Enforcement/Pass-through – NYS Office of Temporary and Disability Assistance	93.563	55765-00 15/16	-	157,313	157,313	100,000
Child Support Enforcement/Pass-through – NYS Office of Temporary and Disability Assistance	93.563	C021949	-	2,495	2,495	-
Child Support Enforcement/Pass-through – NYS Office of Temporary and Disability Assistance	93.563	C021950	-	5,273	5,273	-
Child Support Enforcement/Pass-through – NYS Office of Children and Family Services	93.563	C027775	-	337	337	-
Child Support Enforcement/Pass-through – NYS Office of Children and Family Services	93.563	C027965	-	633	633	-
Child Support Enforcement/Pass-through – NYS Office of Children and Family Services	93.563	C028162	-	2,897	2,897	-
Child Support Enforcement/Pass-through – NYS Office of Children and Family Services	93.563	C028436	-	12,748	12,748	-
Child Support Enforcement/Pass-through – NYS Office of Children and Family Services	93.563	C027771	-	2,238	2,238	-

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Child Support Enforcement/Pass-through – NYS Office of Children and Family Services	93.563	C027966	\$ -	\$ 3,939	\$ 3,939	\$ -
Child Support Enforcement/Pass-through – NYS Office of Children and Family Services	93.563	C028159	-	17,842	17,842	-
Child Support Enforcement/Pass-through – NYS Office of Children and Family Services	93.563	C028438	-	8,801	8,801	-
			-	875,260	875,260	690,765
Low-Income Home Energy Assistance/Pass-through - NYS Office of Children and Family Services	93.568	C027775	-	146	146	-
Low-Income Home Energy Assistance/Pass-through - NYS Office of Children and Family Services	93.568	C027965	-	266	266	-
Low-Income Home Energy Assistance/Pass-through - NYS Office of Children and Family Services	93.568	C027974	-	466	466	-
Low-Income Home Energy Assistance/Pass-through - NYS Office of Children and Family Services	93.568	C028162	-	1,391	1,391	-
Low-Income Home Energy Assistance/Pass-through - NYS Office of Children and Family Services	93.568	C028436	-	6,639	6,639	-
Low-Income Home Energy Assistance/Pass-through - NYS Office of Children and Family Services	93.568	C027771	-	928	928	-
Low-Income Home Energy Assistance/Pass-through - NYS Office of Children and Family Services	93.568	C027966	-	1,632	1,632	-
Low-Income Home Energy Assistance/Pass-through - NYS Office of Children and Family Services	93.568	C028159	-	8,643	8,643	-
Low-Income Home Energy Assistance/Pass-through - NYS Office of Children and Family Services	93.568	C028438	-	4,572	4,572	-
			-	24,683	24,683	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	766621A	-	81,940	81,940	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	766622A	-	100,625	100,625	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	766627A	-	90,295	90,295	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	810513	-	8,758	8,758	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	810513A	-	85,634	85,634	-

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Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	811103	\$ -	\$ 14,071	\$ 14,071	\$ -
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	811103A	-	173,860	173,860	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	820511A	-	95,518	95,518	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	820806	-	3,522	3,522	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	820806A	-	94,495	94,495	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	821108	-	3,292	3,292	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	821108A	-	55,043	55,043	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	821410A	-	51,092	51,092	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	821411	-	53,628	53,628	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	821411A	-	119,674	119,674	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	821705	-	4,343	4,343	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	821705A	-	62,900	62,900	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	840309A	-	59,326	59,326	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	90901A	-	211,344	211,344	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	90902A	-	928,193	928,193	-
Community Services Block Grant/Pass-through – NYS Department of State	93.569	C1001025	-	117,404	117,404	-
			-	2,414,957	2,414,957	-

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Refugee and Entrant Assistance Discretionary Grants/Pass-through – NYS Office of Child and Family Services	93.576	C027775	\$ -	\$ 21	\$ 21	\$ -
Refugee and Entrant Assistance Discretionary Grants/Pass-through – NYS Office of Child and Family Services	93.576	C027965	-	41	41	-
Refugee and Entrant Assistance Discretionary Grants/Pass-through – NYS Office of Child and Family Services	93.576	C028162	-	116	116	-
Refugee and Entrant Assistance Discretionary Grants/Pass-through – NYS Office of Child and Family Services	93.576	C028436	-	62	62	-
			-	240	240	-
Developmental Disabilities Basic Support and Advocacy Grants/Pass-through - NYC Developmental Disabilities Planning Council	93.630	C024317	-	418,206	418,206	137,241
Foster Care - Title IV-E/Pass-through - NYS Office of Children and Family Services	93.658	C027775	-	1,614	1,614	-
Foster Care - Title IV-E/Pass-through - NYS Office of Children and Family Services	93.658	C027965	-	2,737	2,737	-
Foster Care - Title IV-E/Pass-through - NYS Office of Children and Family Services	93.658	C027974	-	71	71	-
Foster Care - Title IV-E/Pass-through - NYS Office of Children and Family Services	93.658	C028162	-	20,512	20,512	-
Foster Care - Title IV-E/Pass-through - NYS Office of Children and Family Services	93.658	C028436	-	27,738	27,738	-
Foster Care - Title IV-E/Pass-through - NYS Office of Children and Family Services	93.658	C027771	-	2,473	2,473	-
Foster Care - Title IV-E/Pass-through - NYS Office of Children and Family Services	93.658	C027966	-	4,574	4,574	-
Foster Care - Title IV-E/Pass-through - NYS Office of Children and Family Services	93.658	C028159	-	21,551	21,551	-
Foster Care - Title IV-E/Pass-through - NYS Office of Children and Family Services	93.658	C028438	-	10,890	10,890	-
			-	92,160	92,160	-
Adoption Assistance/Pass-through - NYS Office of Children and Family Services	93.659	C027775	-	12,865	12,865	-
Adoption Assistance/Pass-through - NYS Office of Children and Family Services	93.659	C027965	-	24,370	24,370	-
Adoption Assistance/Pass-through - NYS Office of Children and Family Services	93.659	C028162	-	127,479	127,479	-
Adoption Assistance/Pass-through - NYS Office of Children and Family Services	93.659	C028436	-	123,837	123,837	-
			-	288,551	288,551	-

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Social Services Block Grants/Pass-through – NYS Office of Children and Family Services	93.667	C027775	\$ -	\$ 18,308	\$ 18,308	\$ -
Social Services Block Grants/Pass-through – NYS Office of Children and Family Services	93.667	C027965	-	32,603	32,603	-
Social Services Block Grants/Pass-through – NYS Office of Children and Family Services	93.667	C027974	-	94	94	-
Social Services Block Grants/Pass-through – NYS Office of Children and Family Services	93.667	C028162	-	170,474	170,474	-
Social Services Block Grants/Pass-through – NYS Office of Children and Family Services	93.667	C028436	-	142,654	142,654	-
Social Services Block Grants/Pass-through – NYS Office of Children and Family Services	93.667	55709-03 30/31	-	677,434	677,434	-
Social Services Block Grants/Pass-through – NYS Office of Children and Family Services	93.667	C027772	-	65,377	65,377	-
Social Services Block Grants/Pass-through – NYS Office of Children and Family Services	93.667	C027973	-	95,660	95,660	-
Social Services Block Grants/Pass-through – NYS Office of Temporary and Disability Assistance	93.667	55756-00 16/17	-	369,341	369,341	-
Social Services Block Grants/Pass-through – NYS Office of Temporary and Disability Assistance	93.667	C021892	-	29,164	29,164	-
Social Services Block Grants/Pass-through – NYS Office of Temporary and Disability Assistance	93.667	C021948	-	7,537	7,537	-
			-	1,608,646	1,608,646	-
Mental and Behavioral Health Education and Training Grants	93.732	N/A	640,591	-	640,591	-
Total U.S. Department of Health and Human Services			3,779,831	6,513,040	9,932,871	828,036
U.S. Department of Agriculture:						
Hispanic Serving Institutions Education Grants	10.223	N/A	71,602	-	71,602	-
Smith-Lever Funding (Various Programs)/Pass-through - Cornell University	10.511	903311	-	10,000	10,000	-
Total U.S. Department of Agriculture:			71,602	10,000	81,602	-

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U.S. Department of Defense:						
Procurement Technical Assistance for Business Firms	12.002	N/A	\$ 294,515	\$ -	\$ 294,515	\$ -
The Language Flagship Grants to Institutions of Higher Education/ Pass-through - Institute of International Education	12.550	00054-HC-4	-	257,387	257,387	-
The Language Flagship Grants to Institutions of Higher Education/ Pass-through - Institute of International Education	12.550	0054-HC-4-CHN-28	-	291,333	291,333	-
The Language Flagship Grants to Institutions of Higher Education/ Pass-through - Institute of International Education	12.550	0054-HC-4-SSC-28	-	135,612	135,612	-
			-	684,332	684,332	-
Language Grant Program	12.900	N/A	195,491	-	195,491	-
Total U.S. Department of Defense			490,006	684,332	1,174,338	-
U.S. Department of Housing and Urban Development:						
Section 4 Capacity Building for Community Development and Affordable Housing/Pass-through - Youth Action Programs and Homes, Inc.	14.252	18SG1126	-	5,529	5,529	-
U.S. Department of Labor:						
H-1B Job Training Grants	17.268	N/A	2,631,005	-	2,631,005	-
YouthBuild/Pass-through - NYC Department of Education	17.274	9555886	-	477,573	477,573	-
Various/Pass-through – Westat, Inc.	17.U01	6139-SA-01	-	40,294	40,294	-
Total U.S. Department of Labor			2,631,005	517,867	3,148,872	-
U.S. Department of State:						
International Programs to Support Democracy, Human Rights and Labor	19.345	N/A	368,286	-	368,286	-
Criminal Justice Systems	19.703	N/A	336,816	-	336,816	-
Total U.S. Department of State			705,102	-	705,102	-
U.S. Department of Transportation:						
Assistance to Small and Disadvantaged Businesses	20.910	N/A	230,447	-	230,447	-
U.S. Department of the Treasury						
Volunteer Income Tax Assistance (VITA) Matching Grant Program	21.009	N/A	20,765	-	20,765	-

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National Endowment for the Humanities:						
Promotion of the Arts Grants to Organizations and Individuals	45.024	N/A	\$ 10,000	\$ -	\$ 10,000	\$ -
Promotion of the Humanities – Federal/State Partnership/ Pass-through – New York Council for the Humanities	45.129	3270527	-	523	523	-
Promotion of the Humanities – Federal/State Partnership/ Pass-through – New York Council for the Humanities	45.129	3425636	-	3,774	3,774	-
			-	4,297	4,297	-
Promotion of the Humanities Fellowships and Stipends	45.160	N/A	45,300	-	45,300	-
Promotion of the Humanities Research	45.161	N/A	29,152	-	29,152	-
Promotion of the Humanities-Teaching and Learning Resources and Curriculum Development	45.162	N/A	167,569	-	167,569	-
Promotion of the Humanities Professional Development	45.163	N/A	129,135	-	129,135	-
Promotion of the Humanities Public Programs	45.164	N/A	18,495	-	18,495	-
Promotion of the Humanities - Office of Digital Humanities	45.169	N/A	174,411	-	174,411	-
Laura Bush 21st Century Librarian Program/Pass-through - New York Public Library	45.313	RE-40-16-0158-16	-	2,129	2,129	-
Total National Endowment for the Humanities:			574,062	6,426	580,488	-
Small Business Administration:						
Small Business Development Centers/Pass-through – Research Foundation for the SUNY	59.037	79337	-	478,133	478,133	-
Small Business Development Centers/Pass-through – Research Foundation for the SUNY	59.037	79619	-	37,450	37,450	-
Small Business Development Centers/Pass-through – Research Foundation for the SUNY	59.037	82763	-	1,347,296	1,347,296	-
			-	1,862,879	1,862,879	-
Total Small Business Administration:			-	1,862,879	1,862,879	-
U.S. Department of Education:						
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040182003	-	18,365	18,365	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040182035	-	9,471	9,471	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040182036	-	10,864	10,864	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040192091	-	142,597	142,597	-

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Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040192098	\$ -	\$ 169,874	\$ 169,874	\$ -
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040192099	-	171,288	171,288	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040193000	-	299,896	299,896	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040193001	-	139,864	139,864	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040193005	-	129,272	129,272	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040193009	-	117,282	117,282	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0138192047	-	152,577	152,577	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338173064	-	(35)	(35)	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338182085	-	7,665	7,665	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338182120	-	888	888	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338182124	-	102,726	102,726	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338183064	-	5,348	5,348	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338183065	-	7,751	7,751	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338183066	-	4,417	4,417	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338183067	-	6,434	6,434	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338193120	-	95,631	95,631	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338193144	-	3,140,242	3,140,242	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338193190	-	97,607	97,607	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338193191	-	66,138	66,138	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338193218	-	68,878	68,878	-

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Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338193219	\$ -	\$ 58,092	\$ 58,092	\$ -
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	016-022	-	324	324	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	017-054	-	122,282	122,282	-
			-	5,145,738	5,145,738	-
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	F7310-01	-	401	401	-
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	F7310-02	-	8,888	8,888	-
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	F8882-01	-	21,237	21,237	-
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	F8882-02	-	8,757	8,757	-
			-	39,283	39,283	-
Undergraduate International Studies and Foreign Language Programs	84.016	N/A	25,756	-	25,756	-
Higher Education – Institutional Aid	84.031	N/A	9,995,734	-	9,995,734	38,816
Career and Technical Education – Basic Grants to States/ Pass-through – NYC Department of Education	84.048	9470332	-	45,495	45,495	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYC Department of Education	84.048	9874357	-	100,923	100,923	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000176340	-	6	6	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186030	-	131,406	131,406	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186040	-	84,317	84,317	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186120	-	11,845	11,845	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186260	-	45,008	45,008	-

Research Foundation of the City University of New York and Related Entities

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

For the year ended June 30, 2019

Federal grantor/pass-through, grantor program, or cluster title	CFDA Number	Pass-through Identifying Number	Direct	Pass-through	Total	Passed Through to Subrecipients
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186330	\$ -	\$ 35,686	\$ 35,686	\$ -
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186340	-	40,275	40,275	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186360	-	81,218	81,218	-
Career and Technical Education – Basic Grants to States/Pass-through – NYS Education Department	84.048	8000186410	-	29,560	29,560	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186460	-	35,311	35,311	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186470	-	1,490	1,490	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186571	-	18,504	18,504	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000186581	-	1,269	1,269	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000196030	-	2,281,485	2,281,485	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000196040	-	1,162,618	1,162,618	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000196120	-	311,556	311,556	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000196260	-	917,833	917,833	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000196330	-	906,085	906,085	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000196340	-	1,282,859	1,282,859	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000196360	-	84,301	84,301	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000196410	-	872,697	872,697	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000196460	-	998,877	998,877	-

Research Foundation of the City University of New York and Related Entities

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

For the year ended June 30, 2019

Federal grantor/pass-through, grantor program, or cluster title	CFDA Number	Pass-through Identifying Number	Direct	Pass-through	Total	Passed Through to Subrecipients
Career and Technical Education – Basic Grants to States/Pass-through – NYS Education Department	84.048	8000196470	\$ -	\$ 62,700	\$ 62,700	\$ -
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000196571	-	108,076	108,076	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000196581	-	31,115	31,115	-
Total Career and Technical Education - Basic Grants			-	9,682,515	9,682,515	-
Fund for the Improvement of Postsecondary Education	84.116	N/A	890,084	-	890,084	-
Fund for the Improvement of Postsecondary Education/Pass-through - University System of Georgia	84.116	7N020-0001	-	3,143	3,143	-
Fund for the Improvement of Postsecondary Education/Pass-through - University of Minnesota	84.116	A004497005	-	19,863	19,863	-
			890,084	23,006	913,090	-
Minority Science and Engineering Improvement	84.120	N/A	348,399	-	348,399	-
Rehabilitation Services Vocational Rehabilitation Grants to States/ Pass-through – NYS Education Department	84.126	017-001	-	265,963	265,963	-
Rehabilitation Services Vocational Rehabilitation Grants to States/ Pass-through – NYS Office of Children and Family Services	84.126	C027775	-	386	386	-
Rehabilitation Services Vocational Rehabilitation Grants to States/ Pass-through – NYS Office of Children and Family Services	84.126	C027965	-	776	776	-
Rehabilitation Services Vocational Rehabilitation Grants to States/ Pass-through – NYS Office of Children and Family Services	84.126	C028162	-	4,409	4,409	-
Rehabilitation Services Vocational Rehabilitation Grants to States/ Pass-through – NYS Office of Children and Family Services	84.126	C028436	-	2,060	2,060	-
			-	273,594	273,594	-
Rehabilitation Long-Term Training	84.129	N/A	144,643	-	144,643	-
Language Resource Centers	84.229	N/A	96,774	-	96,774	-
Special Education – Personnel Development to Improve Services and Results for Children with Disabilities	84.325	N/A	896,007	-	896,007	-
Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities	84.326	N/A	551,579	-	551,579	-
Gaining Early Awareness and Readiness for Undergraduate Programs	84.334	N/A	1,876,482	-	1,876,482	-

Research Foundation of the City University of New York and Related Entities

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

For the year ended June 30, 2019

Federal grantor/pass-through, grantor program, or cluster title	CFDA Number	Pass-through Identifying Number	Direct	Pass-through	Total	Passed Through to Subrecipients
Gaining Early Awareness and Readiness for Undergraduate Programs/Pass-through - NYS Higher Education Services Corporation	84.334	C111882	\$ -	\$ 68	\$ 68	\$ -
Gaining Early Awareness and Readiness for Undergraduate Programs/Pass-through - NYS Higher Education Services Corporation	84.334	HES01-C12333GC-3	-	382,310	382,310	-
Gaining Early Awareness and Readiness for Undergraduate Programs/Pass-through - NYS Higher Education Services Corporation	84.334	MOU#33	-	49,686	49,686	-
			<u>1,876,482</u>	<u>432,064</u>	<u>2,308,546</u>	<u>-</u>
Child Care Access Means Parents in School	84.335	N/A	1,317,478	-	1,317,478	-
Teacher Quality Partnership Grants	84.336	N/A	64,234	-	64,234	64,234
Teacher Quality Partnership Grants/Pass-through – New Vision for Public Schools	84.336	41130-CUNY	-	61,781	61,781	-
			<u>64,234</u>	<u>61,781</u>	<u>126,015</u>	<u>64,234</u>
English Language Acquisition State Grants	84.365	N/A	818,780	-	818,780	317,517
English Language Acquisition State Grants/Pass-through - NYS Education Department	84.365	015-021	-	7,805	7,805	-
English Language Acquisition State Grants/Pass-through - NYS Education Department	84.365	017-012	-	(13,952)	(13,952)	-
			<u>818,780</u>	<u>(6,147)</u>	<u>812,633</u>	<u>317,517</u>
Mathematics and Science Partnerships/Pass-through – NYC Department of Education	84.366	57398-00 01	-	20,981	20,981	-
Mathematics and Science Partnerships/Pass-through – NYC Department of Education	84.366	57404-00 01	-	246,577	246,577	-
			<u>-</u>	<u>267,558</u>	<u>267,558</u>	<u>-</u>
Supporting Effective Instruction State Grants /Pass-through – NYC Department of Education	84.367	57642-xx 11	-	481,494	481,494	-
Supporting Effective Instruction State Grants /Pass-through – NYS Education Department	84.367	0247180002	-	28,034	28,034	-
Supporting Effective Instruction State Grants /Pass-through – NYS Education Department	84.367	0247180013	-	54,780	54,780	21,800
Supporting Effective Instruction State Grants /Pass-through – NYS Education Department	84.367	018-006	-	22,678	22,678	-
			<u>-</u>	<u>586,986</u>	<u>586,986</u>	<u>21,800</u>

Research Foundation of the City University of New York and Related Entities

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

For the year ended June 30, 2019

Federal grantor/pass-through, grantor program, or cluster title	CFDA Number	Pass-through Identifying Number	Direct	Pass-through	Total	Passed Through to Subrecipients
Strengthening Minority-Serving Institutions	84.382	N/A	\$ 1,891,181	\$ -	\$ 1,891,181	\$ -
Teacher Quality Partnerships, Recovery Act	84.405	N/A	128,696	-	128,696	50,000
Transition Programs for Students with Intellectual Disabilities into Higher Education/Pass-through - University of Rochester	84.407	416881	-	272,327	272,327	-
Preschool Development Grants/Pass-through - NYS Education Department	84.419	015-028	-	1,038,764	1,038,764	-
Various/Pass-through - New Visions for Public Schools	84.U01	71774-00 01	-	79,894	79,894	-
Various/Pass-through - MDRC	84.U02	R305A170250	-	151,720	151,720	-
Total U.S. Department of Education			19,045,827	18,049,083	37,094,910	492,367
National Archives and Records Administration						
National Historical Publications and Records Grants	89.003	N/A	43,548	-	43,548	-
Social Security Administration:						
Social Security - Work Incentives Planning and Assistance Program	96.008	N/A	292,184	-	292,184	-
U.S. Department of Homeland Security:						
Citizenship Education and Training	97.010	N/A	37,546	-	37,546	-
Citizenship Education and Training/Pass-through - Catholic Migration Services	97.010	18CICET00067-01-00	-	29,458	29,458	-
Citizenship Education and Training/Pass-through - Catholic Migration Services	97.010	2016-CS-010-000016	-	27,279	27,279	-
			37,546	56,737	94,283	-
Scientific Leadership Awards	97.062	N/A	201,238	-	201,238	-
Total U.S. Department of Homeland Security			238,784	56,737	295,521	-

Research Foundation of the City University of New York and Related Entities

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

For the year ended June 30, 2019

Federal grantor/pass-through, grantor program, or cluster title	CFDA Number	Pass-through Identifying Number	Direct	Pass-through	Total	Passed Through to Subrecipients
Agency for International Development						
USAID Foreign Assistance for Programs Overseas	98.001	N/A	\$ 1,242,490	\$ -	\$ 1,242,490	\$ 639,121
USAID Foreign Assistance for Programs Overseas/Pass-through - Family Health International	98.001	PO16004521	-	649,332	649,332	79,474
			<u>1,242,490</u>	<u>649,332</u>	<u>1,891,822</u>	<u>718,595</u>
Total Agency for International Development			<u>1,242,490</u>	<u>649,332</u>	<u>1,891,822</u>	<u>718,595</u>
Total other programs			<u>29,365,653</u>	<u>27,995,225</u>	<u>57,360,878</u>	<u>2,038,998</u>
Total expenditures of federal awards			<u>\$ 126,170,084</u>	<u>\$ 66,135,362</u>	<u>\$ 192,305,446</u>	<u>\$ 17,407,826</u>

The accompanying notes to the Schedule of Expenditures of Federal Awards should be read in conjunction with this Schedule.

Research Foundation of The City University of New York and Related Entities

NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

For the year ended June 30, 2019

NOTE A - BASIS OF PRESENTATION

The accompanying schedule of expenditures of federal awards (the "Schedule") presents the expenditures charged to federal programs of the Research Foundation of The City University of New York and its related entities ("RF CUNY") for the year ended June 30, 2019. The information in this Schedule is presented in accordance with the requirements of Title 2 *U.S. Code of Federal Regulations (CFR) 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 because the University prepares a separate report for such federal awards programs.

NOTE B - SUMMARY OF SIGNIFICANT ACCOUNT POLICIES

Expenditures reported in the Schedule are reported on the cash basis of accounting. Such expenditures are recognized in accordance with the cost principles contained in the Uniform Guidance. Accordingly, 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.

RF CUNY's consolidated financial statements were prepared on the accrual basis of accounting; therefore, certain amounts presented in the Schedule differ from amounts presented in, or used in the preparation of, RF CUNY's consolidated financial statements. However, management has reconciled amounts presented in the consolidated financial statements to related amounts in the Schedule.

RF CUNY utilizes an approved indirect cost rate negotiated with cognizant agency, the U.S. Department of Health and Human Services ("DHHS"), to charge facilities and administrative costs to sponsored projects. Such rate is subject to audit and potential adjustment by DHHS. Therefore, RF CUNY elected not to use the 10% de minimis indirect cost rate allowed under the Uniform Guidance.

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**REPORT OF INDEPENDENT CERTIFIED PUBLIC ACCOUNTANTS
ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON
COMPLIANCE AND OTHER MATTERS REQUIRED BY *GOVERNMENT
AUDITING STANDARDS***

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

We have audited, 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, the consolidated financial statements of the Research Foundation of The City University of New York and its related entities (collectively, "RF CUNY"), which comprise the consolidated balance sheet as of June 30, 2019, 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 18, 2019.

Internal control over financial reporting

In planning and performing our audit of the consolidated financial statements, we considered RF CUNY's internal control over financial reporting ("internal control") to design 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 internal control. Accordingly, we do not express an opinion on the effectiveness of RF CUNY'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 a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of RF CUNY's consolidated 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 RF CUNY's 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 RF CUNY'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*.

Intended purpose

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 RF CUNY's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering RF CUNY's internal control and compliance. Accordingly, this report is not suitable for any other purpose.



New York, New York
October 18, 2019

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REPORT OF INDEPENDENT CERTIFIED PUBLIC ACCOUNTANTS ON COMPLIANCE FOR EACH MAJOR FEDERAL PROGRAM AND ON INTERNAL CONTROL OVER COMPLIANCE REQUIRED BY THE UNIFORM GUIDANCE

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

Report on compliance for each major federal program

We have audited the compliance of the Research Foundation of The City University of New York and its related entities (collectively, "RF CUNY"), with the types of compliance requirements described in the U.S. Office of Management and Budget's *OMB Compliance Supplement* that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2019. RF CUNY's major federal programs are identified in the summary of auditor's 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 RF CUNY's federal programs.

Auditor's responsibility

Our responsibility is to express an opinion on compliance for each of RF CUNY'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 (CFR) 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 RF CUNY'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 RF CUNY's compliance.

Opinion on each major federal program

In our opinion, RF CUNY 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, 2019.

Report on internal control over compliance

Management of RF CUNY 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 RF CUNY's internal control over compliance with the types of compliance requirements that could have a direct and material effect on each major federal program to design audit 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 RF CUNY'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 a 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. Given these limitations, during our audit we did not identify any deficiencies in RF CUNY's 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.



New York, New York
March 25, 2020

Research Foundation of The City University of New York and Related Entities

SCHEDULE OF FINDINGS AND QUESTIONED COSTS

For the year ended June 30, 2019

SECTION I - SUMMARY OF AUDITOR'S RESULTS

Financial Statements

Type of auditor's report issued: Unmodified

Internal control over financial reporting:

- Material weakness(es) identified? _____ yes X no
- Significant deficiency(ies) identified that are not considered to be material weakness(es)? _____ yes X none reported

Noncompliance material to financial statements noted? _____ yes X no

Federal Awards

Internal control over the major programs:

- Material weakness(es) identified? _____ yes X no
- Significant deficiency(ies) identified that are not considered to be material weakness(es)? _____ yes X none reported

Type of auditor's report issued on compliance for major program: Unmodified

Any audit findings disclosed that are required to be reported in accordance with 2 CFR 200.516(a) of the Uniform Guidance? _____ yes X no

Federal Grantor/Program or Cluster Title	Federal CFDA Number
Research and Development Cluster	Various
TRIO Cluster	Various
U.S. Department of Education:	
Career and Technical Education - Basic Grant to States	84.048
U.S. Department of Health and Human Services:	
CCDF Cluster - Child Care and Development Block Grant	93.575
Dollar threshold used to distinguish between type A and type B programs:	\$3,000,000
Auditee qualified as low-risk auditee?	_____ <u> X </u> yes _____ no

Research Foundation of The City University of New York and Related Entities

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

For the year ended June 30, 2019

SECTION II - FINANCIAL STATEMENT FINDINGS

None identified.

SECTION III - FEDERAL AWARD FINDINGS AND QUESTIONED COSTS

None identified.