

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

**Supplemental Financial Statements Schedules (Unaudited)**

**Prepared for the Board of Directors**

**For Fiscal Year Ending June 30, 2021  
with comparison data for the previous fiscal year**



Prepared by the Office of the Chief Financial Officer



RESEARCH FOUNDATION  
of The CITY UNIVERSITY OF NEW YORK  
**Unaudited Supplemental Financial Statements Schedules**  
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**For Fiscal Year Ending June 30, 2021**  
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**RESEARCH FOUNDATION OF  
THE CITY UNIVERSITY OF NEW YORK**  
Grants and Contracts Expenditures by Funding Source  
Years ended June 30, 2021 and 2020

	<u>2021</u>	<u>2020</u>	<u>Variance</u>	
Grants and contracts expenditures:				
Federal:				
National Science Foundation	\$ 27,411,458	28,382,610	(971,152)	-3%
Department of Health and Human Services	5,337,816	4,509,693	828,123	18%
National Institutes of Health	43,484,295	40,575,286	2,909,009	7%
Department of Education	24,005,976	26,380,819	(2,374,843)	-9%
Other federal sponsors	28,395,036	27,225,167	1,169,869	4%
Total federal	<u>128,634,581</u>	<u>127,073,575</u>	<u>1,561,006</u>	1%
State and municipal:				
State sponsors	51,023,282	51,313,615	(290,333)	-1%
Municipal sponsors	133,285,803	168,075,727	(34,789,924)	-21%
New York County District Attorney's Office	28,047,301	26,554,074	1,493,227	6%
Total state and municipal	<u>212,356,386</u>	<u>245,943,416</u>	<u>(33,587,030)</u>	-14%
Private:				
Corporations	5,125,342	5,092,559	32,783	1%
Foundations	30,850,335	27,139,558	3,710,777	14%
Other private sponsors	67,166,075	74,521,852	(7,355,777)	-10%
Total private	<u>103,141,752</u>	<u>106,753,969</u>	<u>(3,612,217)</u>	-3%
CUNY Sponsored:				
PSC-CUNY research award program	2,950,995	3,587,781	(636,786)	-18%
CUNY miscellaneous	21,116,483	26,319,399	(5,202,916)	-20%
Total CUNY Sponsored	<u>24,067,478</u>	<u>29,907,180</u>	<u>(5,839,702)</u>	-20%
Total non-federal	<u>339,565,616</u>	<u>382,604,565</u>	<u>(43,038,949)</u>	-11%
<b>Total grants and contracts expenditures</b>	<b>\$ <u>468,200,197</u></b>	<b><u>509,678,140</u></b>	<b><u>(41,477,943)</u></b>	<b>-8%</b>

**RESEARCH FOUNDATION OF  
THE CITY UNIVERSITY OF NEW YORK**  
Grants and Contracts Expenditures by Program Type  
Years ended June 30, 2021 and 2020

	<u>2021</u>	<u>Percentage of total direct costs</u>	<u>2020</u>	<u>Percentage of total direct costs</u>
<b>Federal awards:</b>				
Direct costs:				
Research programs	\$ 70,319,897	68%	67,322,360	65%
Training programs	22,418,984	22%	27,500,243	27%
Other Sponsored Activity	10,222,007	10%	8,311,729	8%
Other Institutional Activity	—	—	—	—
Total federal direct costs	<u>102,960,888</u>	<u>100%</u>	<u>103,134,332</u>	<u>100%</u>
Indirect costs:				
Research programs	23,267,913	91%	21,646,093	90%
Training programs	1,508,447	6%	1,436,090	6%
Other Sponsored Activity	897,333	3%	857,060	4%
Other Institutional Activity	—	—	—	—
Total federal indirect costs	<u>25,673,693</u>	<u>100%</u>	<u>23,939,243</u>	<u>100%</u>
Total federal direct & indirect costs	<u>128,634,581</u>		<u>127,073,575</u>	
<b>Non-federal awards:</b>				
Direct costs:				
Research programs	50,456,709	16%	46,256,907	13%
Training programs	114,596,610	37%	126,624,503	37%
Other Sponsored Activity	105,695,757	34%	126,916,052	37%
Other Institutional Activity	38,957,800	13%	46,374,131	13%
Total non-federal direct costs	<u>309,706,876</u>	<u>100%</u>	<u>346,171,593</u>	<u>100%</u>
Indirect costs:				
Research programs	10,462,931	35%	10,813,045.0	30%
Training programs	10,237,679	34%	11,710,253.0	32%
Other Sponsored Activity	6,581,805	22%	9,774,114.0	27%
Other Institutional Activity	2,576,325	9%	4,135,560.0	11%
Total non-federal indirect costs	<u>29,858,740</u>	<u>100%</u>	<u>36,432,972</u>	<u>100%</u>
Total non-federal direct & indirect costs	<u>339,565,616</u>		<u>382,604,565</u>	
<b>Total grants and contracts expenditures</b>	<b>\$ <u>468,200,197</u></b>		<b><u>509,678,140</u></b>	

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

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

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

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

**RESEARCH FOUNDATION OF  
THE CITY UNIVERSITY OF NEW YORK**  
Grants and Contracts Expenditures by Natural Classification  
Years ended June 30, 2021 and 2020

	<u>2021</u>	<u>2020</u>
Personal services:		
Salaries and wages	\$ 209,055,871	223,497,535
Fringe Benefits	<u>61,726,357</u>	<u>63,878,495</u>
Total personal services	270,782,228	287,376,030
Other than personal services:		
Administrative fees	1,088,666	1,058,284
Advertising	251,317	322,930
Conferences and meetings	429,088	2,919,486
Equipment and furniture	7,404,326	5,926,102
Equipment rental and maintenance	856,267	1,352,507
Independent contractors	17,340,532	17,589,771
Insurance	179,692	1,283,717
Laboratory fees	760,626	1,071,867
MTA taxes	622,607	662,787
Postage and shipping	197,110	229,615
Printing and publications	238,028	914,041
Rent	2,013,726	2,359,977
Scholarships, fellowships and training allowance	19,856,805	18,836,594
Subcontracts	43,432,215	55,358,753
Supplies	12,751,858	12,775,784
Telephone and communications	340,783	407,344
Travel	620,522	5,697,987
Other	<u>5,454,067</u>	<u>6,608,274</u>
Subtotal	113,838,235	135,375,820
Facilities and administrative costs reimbursements	<u>55,532,433</u>	<u>60,372,216</u>
Total other than personal services	<u>169,370,668</u>	<u>195,748,036</u>
New York County District Attorney's Office	28,047,301	26,554,074
<b>Total grants and contracts expenditures</b>	<b>\$ <u><u>468,200,197</u></u></b>	<b><u><u>509,678,140</u></u></b>

## RESEARCH FOUNDATION OF THE CITY UNIVERSITY OF NEW YORK

Analysis of Federal Research Activity by Sponsor

Years ended June 30, 2021 and 2020

	Fiscal Year 2021			Fiscal Year 2020		
	Direct Cost	F&A Cost	Effective F&A Rate (F&A Cost/Direct Cost)	Direct Cost	F&A Cost	Effective F&A Rate (F&A Cost/Direct Cost)
<b>FEDERAL</b>						
<b>Long-Form Sponsors</b>						
Dept of Commerce	\$ 3,061,979	\$ 221,954	7.25%	\$ 2,127,575	\$ 141,417	6.65%
Dept of Defense	4,171,997	1,116,739	26.77%	3,203,016	768,982	24.01%
Dept of Ed	365,329	18,009	4.93%	91,512	6,910	7.55%
Dept of Energy	6,795,809	1,621,098	23.85%	6,242,481	1,402,446	22.47%
Dept of Transportation	96,882	38,727	39.97%	324,023	85,571	26.41%
DHHS (excluding NIH) *	285,392	157,708	55.26%	354,349	118,258	33.37%
NIH *	23,161,565	9,022,297	38.95%	21,834,861	8,783,640	40.23%
NASA	1,568,997	613,150	39.08%	1,304,322	508,853	39.01%
NSF	12,829,169	4,948,220	38.57%	13,521,139	4,250,564	31.44%
Other Federal**	497,157	184,402	37.09%	449,261	144,709	32.21%
<b>Total Long-Form</b>	<b>52,834,277</b>	<b>17,942,304</b>	<b>33.96%</b>	<b>49,452,540</b>	<b>16,211,351</b>	<b>32.78%</b>
<b>Short-Form Sponsors</b>						
Dept of Commerce	—	—	—	8,666	3,698	42.67%
Dept of Defense	191,362	66,841	34.93%	202,180	67,098	33.19%
Dept of Ed	253,366	32,004	12.63%	307,451	36,485	11.87%
Dept of Energy	325,290	169,235	52.03%	353,109	197,605	55.96%
Dept of Transportation	—	—	—	—	—	—
DHHS (excluding NIH) *	136,014	34,635	25.46%	76,052	6,084	8.00%
NIH *	9,449,618	3,063,402	32.42%	7,621,963	2,640,779	34.65%
NASA	556,649	166,199	29.86%	640,569	151,856	23.71%
NSF	5,808,883	1,588,682	27.35%	7,241,505	1,982,834	27.38%
Other Federal**	1,088,020	337,749	31.04%	1,042,318	178,080	17.08%
<b>Total Short-Form</b>	<b>17,809,202</b>	<b>5,458,747</b>	<b>30.65%</b>	<b>17,493,814</b>	<b>5,264,519</b>	<b>30.09%</b>
<b>Total cash basis</b>	<b>70,643,480</b>	<b>23,401,051</b>	<b>—</b>	<b>66,946,354</b>	<b>21,475,870</b>	<b>—</b>
<i>Year-end accrual</i>	(323,582)	(133,137)	—	376,006	170,223	—
<b>TOTAL FEDERAL</b>	<b>\$ 70,319,897</b>	<b>\$ 23,267,913</b>	<b>—</b>	<b>\$ 67,322,360</b>	<b>\$ 21,646,093</b>	<b>—</b>

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

\*\* Other Federal includes: Nuclear Regulatory Comm., U.S. Dept. of Interior, Dept. of Agriculture, U.S. Dept. of Justice, Nat'l Endowment for the Humanities & U.S. Dept. of State.

## RESEARCH FOUNDATION OF THE CITY UNIVERSITY OF NEW YORK

Analysis of Federal Research Activity by Campus  
Years ended June 30, 2021 and 2020

	Fiscal Year 2021				Fiscal Year 2020			
	Direct Cost	F&A Cost	Effective F&A Rate (F&A Cost/Direct Cost)	Approved F&A Rate	Direct Cost	F&A Cost	Effective F&A Rate (F&A Cost/Direct Cost)	Approved F&A Rate
Long-Form Recovery Colleges:								
Senior Colleges/Other								
Brooklyn	\$ 3,069,242	\$ 1,098,242	35.78%	57.00%	\$ 2,490,493	\$ 1,047,248	42.05%	57.00%
City	18,787,591	6,655,077	35.42%	57.00%	16,168,019	5,598,697	34.63%	57.00%
CUNY Adv. Science Research Ctr.	7,127,929	2,247,698	31.53%	57.00%	5,795,790	1,833,004	31.63%	57.00%
CUNY Graduate Center	1,380,260	252,008	18.26%	53.00%	1,432,724	227,170	15.86%	53.00%
Hunter	13,221,749	5,142,082	38.89%	56.00%	14,944,855	5,436,729	36.38%	56.00%
Queens	9,247,505	2,547,197	27.54%	54.00%	8,620,660	2,068,503	23.99%	54.00%
<b>Total Long-Form</b>	<b>52,834,277</b>	<b>17,942,304</b>	<b>33.96%</b>	—	<b>49,452,540</b>	<b>16,211,351</b>	<b>32.78%</b>	—
Short-Form Recovery Colleges:								
Senior/Technical Colleges/Other								
Baruch	755,458	341,025	45.14%	68.20%	733,262	348,799	47.57%	68.20%
CUNY Central	964,575	88,550	9.18%	21.00%	974,939	91,993	9.44%	21.00%
CUNY School of Public Health*	6,017,967	1,945,688	32.33%	62.50%	3,768,296	1,587,973	42.14%	62.50%
John Jay	2,080,164	627,328	30.16%	69.50%	2,896,921	553,926	19.12%	69.50%
Lehman	2,352,993	960,880	40.84%	59.00%	2,266,904	832,517	36.72%	59.00%
Medgar Evers	312,094	62,260	19.95%	70.00%	401,093	79,456	19.81%	70.00%
NYC Technical	929,905	212,447	22.85%	55.00%	1,273,052	228,677	17.96%	55.00%
Staten Island	1,521,826	627,017	41.20%	72.00%	1,619,913	576,001	35.56%	72.00%
York	551,139	176,514	32.03%	72.00%	859,822	341,259	39.69%	72.00%
<b>Total Short-Form Sr./Tech./Other</b>	<b>15,486,120</b>	<b>5,041,708</b>	<b>32.56%</b>	—	<b>14,794,203</b>	<b>4,640,600</b>	<b>31.37%</b>	—
Community Colleges								
Bronx Community	385,818	58,787	15.24%	71.50%	741,505	175,691	23.69%	71.50%
Hostos Community	153,662	41,568	27.05%	65.00%	162,776	58,883	36.17%	65.00%
Kingsborough Community	233,980	34,697	14.83%	52.30%	221,752	33,685	15.19%	52.30%
LaGuardia Community	348,451	40,926	11.75%	65.00%	348,051	51,368	14.76%	65.00%
Manhattan Community	697,410	147,244	21.11%	71.00%	726,865	230,339	31.69%	71.00%
Queensborough Community	442,163	70,177	15.87%	44.70%	457,158	61,857	13.53%	44.70%
Stella and Charles Guttman	61,598	23,641	38.38%	50.00%	41,504	12,096	29.14%	50.00%
<b>Total Short-Form Comm.</b>	<b>2,323,082</b>	<b>417,039</b>	<b>17.95%</b>	—	<b>2,699,610</b>	<b>623,919</b>	<b>23.11%</b>	—
<b>Total Short-Form</b>	<b>17,809,202</b>	<b>5,458,747</b>	<b>30.65%</b>	—	<b>17,493,814</b>	<b>5,264,519</b>	<b>30.09%</b>	—
<b>Total cash basis</b>	<b>70,643,480</b>	<b>23,401,051</b>	—	—	<b>66,946,355</b>	<b>21,475,870</b>	—	—
<i>Year-end accrual</i>	(323,582)	(133,137)	—	—	376,006	170,223	—	—
<b>Total</b>	<b>\$ 70,319,897</b>	<b>\$ 23,267,913</b>	—	—	<b>\$ 67,322,361</b>	<b>\$ 21,646,093</b>	—	—

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